

INDIVIDUAL FORM

UNIFORM BIOGRAPHICAL STATEMENT AND CONSENT FORM

The NMLS Individual Form is the universal form used by individuals required to submit biographical and other information to a state agency through NMLS as part of a license application. Not all sections of the NMLS Individual Form may apply to all applicants.

1. Identifying Information

(A) Full last, first and middle names:

_____	_____	_____	_____
Last Name	First Name	Full Middle Name	Suffix (if any)

(B) Social Security Number: _____ (C) Gender: Female Male

(D) _____ (E) _____ (F) _____

_____	_____	_____
Date of Birth (MM/DD/YYYY)	State/Province of Birth	Country/Province of Birth

(G) US Citizen: YES NO

(H)* State of Government Issued Identification: _____

(I)* Government Issued Identification Number: _____

(J)* Passport Issuing Country: _____ (K)* Passport Number: _____

* For questions H – K, consult state licensing requirements to see if this is required

(L) Business phone, home phone, cell phone, fax and email:

_____	_____	_____	_____
Business Phone	Extension	Home Phone (optional)	Cell Phone (optional)
_____	_____		
Fax Line (optional)	Email Address		

(M) Mailing Address: Same as Current Residential Address

_____	_____	_____	_____	_____
Number & Street	City	State	Country/Province	Postal Code

(N) **For amendments only:** If this filing reports that an individual's name has changed, enter the new name and attach supporting legal documentation:

_____	_____	_____	_____
Last Name	First Name	Full Middle Name	Suffix (if any)

2. Other Names

Other than your legal name, list all name(s) you are using or have used since the age of 18. Examples include nicknames, aliases, and names used before or after marriage. (Use additional sheets as necessary).

Name _____ Name _____

Name _____ Name _____

5. Other Business		
Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non-financial services-related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.) If YES, provide the following details (attach additional sheets as needed.):	YES	NO
<div style="display: flex; justify-content: space-between;"> <div style="width: 80%;"> <p>_____</p> <p>Business Name</p> <p>Does this business conduct financial services-related activities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____</p> <p>Number & Street</p> <p>_____</p> <p>City</p> <p>_____</p> <p>State</p> <p>_____</p> <p>Country/Province</p> <p>_____</p> <p>Postal Code</p> <p>Nature of business: _____</p> <p>_____</p> <p>Position, Title or Relationship with business</p> <p>Start Date: _____</p> <p>Hours per month: _____</p> <p>Describe your duties: _____</p> </div> <div style="width: 10%;"></div> <div style="width: 10%;"></div> </div>	<input type="checkbox"/>	<input type="checkbox"/>
6. Disclosure Questions		
If the answer to any of the following is "YES", provide complete details of all events or proceedings. Send the details to the state(s) where you are licensed/registered or requesting licensure/registration. Remember to file updates to these disclosures as needed.		
<p style="text-align: center;">Financial Disclosure</p> <p>(A)</p> <p>(1) Have you filed a personal bankruptcy petition or been the subject of an involuntary bankruptcy petition within the past 10 years?</p> <p>(2) Based upon events that occurred while you exercised control over an organization, has any organization filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition within the past 10 years?</p> <p>(3) Have you been the subject of a foreclosure action within the past 10 years?</p> <p>(B) Has a bonding company ever denied, paid out on, or revoked a bond for you?</p> <p>(C) Based upon activities that occurred while you exercised control over an organization, has any bonding company ever denied, paid out on, or revoked a bond for any organization?</p> <p>(D) Do you have any unsatisfied judgments or liens against you?</p> <p>(E) Are you delinquent on any court ordered child support payments?</p>	YES	NO
<p style="text-align: center;">Criminal Disclosure</p> <p>(F)</p> <p>(1) Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?</p> <p>(2) Are there pending charges against you for any felony?</p> <p>(G) Based upon activities that occurred while you exercised control over an organization:</p> <p>(1) Has any organization ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?</p> <p>(2) Are there pending charges against any organization for any felony?</p> <p>(H)</p> <p>(1) Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to committing or conspiring to commit a misdemeanor involving: (i) financial services or a financial services-related business, (ii) fraud, (iii) false statements or omissions, (iv) theft or wrongful taking of property, (v) bribery, (vi) perjury, (vii) forgery, (viii) counterfeiting, or (ix) extortion?</p> <p>(2) Are there pending charges against you for a misdemeanor specified in (H(1))?</p>	YES	NO

	YES	NO
<p>(I) Based upon activities that occurred while you exercised control over an organization:</p> <p>(1) Has any organization ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any misdemeanor specified in (H)(1)?</p> <p>(2) Are there pending charges against any organization for any misdemeanor specified in (H)(1)?</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Civil Judicial Disclosure		
<p>(J)</p> <p>(1) Has any domestic or foreign court ever:</p> <p>(a) enjoined you in connection with any financial services-related activity?</p> <p>(b) found that you were involved in a violation of any financial services-related statute(s) or regulation(s)?</p> <p>(c) dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against you by a State, federal, or foreign financial regulatory authority?</p> <p>(2) Is there a pending financial services-related civil action in which you are named for any alleged violation described in (J)(1)?</p> <p>(3) Based upon activities that occurred while you exercised control over an organization, is there a pending financial services-related civil action in which any organization is named for any alleged violation described in (J)(1)?</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Regulatory Action Disclosure		
<p>(K) Has any State or federal regulatory agency or foreign financial regulatory authority or self-regulatory organization (SRO) ever:</p> <p>(1) found you to have made a false statement or omission or been dishonest, unfair or unethical?</p> <p>(2) found you to have been involved in a violation of a financial services-related business regulation(s) or statute(s)?</p> <p>(3) found you to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?</p> <p>(4) entered an order against you in connection with a financial services-related activity?</p> <p>(5) revoked your registration or license?</p> <p>(6) denied or suspended your registration or license or application for licensure, disciplined you, or otherwise by order, prevented you from associating with a financial services-related business or restricted your activities?</p> <p>(7) barred you from association with an entity regulated by such commissions, authority, agency, or officer, or from engaging in a financial services-related business?</p> <p>(8) issued a final order against you based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</p> <p>(9) entered an order concerning you in connection with any license or registration?</p> <p>(L) Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?</p> <p>(M) Based upon activities that occurred while you exercised control over an organization, has any State or federal regulatory agency or foreign financial regulatory authority or self-regulatory organization (SRO) ever taken any of the actions listed in (K) through (L) above against any organization?</p> <p>(N) Is there a pending regulatory action proceeding against you for any alleged violation described in (K) through (L)?</p> <p>(O) Based upon activities that occurred while you exercised control over an organization, is there a pending regulatory action proceeding against any organization for any alleged violation described in (K) through (L)?</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Customer Arbitration/Civil Litigation Disclosure		
<p>(P) Have you ever been named as a respondent/defendant in a financial services-related consumer-initiated arbitration or civil litigation which:</p> <p>(1) is still pending?</p> <p>(2) resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action?</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

(3) was settled for any amount?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
Termination Disclosure		
(Q) Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of:		
(1) violating statute(s), regulation(s), rule(s), or industry standards of conduct?	<input type="checkbox"/>	<input type="checkbox"/>
(2) fraud, dishonesty, theft, or the wrongful taking of property?	<input type="checkbox"/>	<input type="checkbox"/>

10. Individual's Acknowledgment & Consent				
<p>I swear (or affirm) that I executed this application on my own behalf, and agree to and represent the following:</p> <p>(1) That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true, accurate and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;</p> <p>(2) To the extent any information previously submitted is not amended, and hereby, such information remains accurate and complete;</p> <p>(3) That the jurisdiction(s) to which an application is being submitted may conduct any investigation into my background, in accordance with all laws and regulations;</p> <p>(4) To keep the information contained in this form current and to file accurate supplementary information on a timely basis; and</p> <p>(5) To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which I am applying.</p> <p>If an Applicant has made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, then the foregoing application may be denied.</p>				
<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; text-align: center;"> <p>_____</p> <p>Signature of individual</p> </td> <td style="width: 50%; border: none; text-align: center;"> <p>_____</p> <p>Date (MM/DD/YYYY)</p> </td> </tr> <tr> <td colspan="2" style="border: none; text-align: center; margin-top: 20px;"> <p>_____</p> <p>Printed Name and Title</p> </td> </tr> </table>	<p>_____</p> <p>Signature of individual</p>	<p>_____</p> <p>Date (MM/DD/YYYY)</p>	<p>_____</p> <p>Printed Name and Title</p>	
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