



THE COMMONWEALTH OF MASSACHUSETTS
DIVISION OF BANKS
1000 Washington Street, 10th Floor, Boston, Massachusetts 02118

INSTRUCTIONS

THIS AMENDMENT FORM MUST BE TYPED.

Please submit this AMENDMENT by email to dob.ftannualreport@mass.gov.

The Division of Banks (Division) will not accept this Amendment by mail. For further assistance please contact the Licensing Unit at (617) 956-1500, ext. 61479.

AMENDMENT
(Check Box for Section that is Being Amended)

**AGENT/DELEGATE LOCATION MANAGER
 BIOGRAPHICAL STATEMENT & CONSENT**

Legal Name of Applicant (i.e. the licensed foreign transmittal agency):

NMLS Number of Applicant (i.e. the licensed foreign transmittal agency):

1. **Identifying Information:**
 If this filing reports that an individual's name has changed, enter the new name and attach supporting legal documentation.

A. Please provide legal documentation of your legal name change.

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

B.

Business Phone (Including Extension) Home Phone (Optional) Cell Phone (Optional)

Fax Line (Optional) Email Address

2. **New Employment History**
 Check Appropriate Box Below if the applicable section is: **New Employment (N)** or the **Removal of Prior Information (R)**

Starting with current employment, provide new employment information. Indicate by "YES" or "NO" whether the employment is/was financial service-related business. (Attach additional sheets as needed.)

N	R	From (MM/YYYY)	To (MM/YYYY)	Employer (company name)	Position Held (no abbreviations)	Address/City	State and Postal Code	Country/ Province	Financial Services-Related?	
									Yes	No
<input type="checkbox"/>	N/A		Current						<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"/>								<input type="checkbox"/>	<input type="checkbox"/>

3. New Financial Services 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

Business Name _____

Does this business conduct financial services-related activities? Yes No

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

Nature of business: _____

Position, Title or Relationship with business: _____

Start Date: _____ Hours per month: _____

Describe your duties: _____

4. Disclosure Questions

If the answer to any of the following is "YES", provide complete details of all events or proceedings. The agent/delegate location manager must notify the Applicant and the Applicant must file updates to these disclosures as needed.

Financial Disclosure

- (A)
- (1) Have you filed a personal bankruptcy petition or been the subject of an involuntary bankruptcy petition within the past 10 years?
 - (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?
 - (3) Have you been the subject of a foreclosure action within the past 10 years?
- (B) Has a bonding company ever denied, paid out on, or revoked a bond for you?
- (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?
- (D) Do you have any unsatisfied judgments or liens against you?
- (E) Are you delinquent on any court ordered child support payments?

YES	NO
<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"/>
<input type="checkbox"/>	<input type="checkbox"/>

Criminal Disclosure			
(F)	(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?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Are there pending charges against you for any felony?	<input type="checkbox"/>	<input type="checkbox"/>
(G)	Based upon activities that occurred while you exercised control over an organization: (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?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Are there pending charges against any organization for any felony?	<input type="checkbox"/>	<input type="checkbox"/>
(H)	(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?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Are there pending charges against you for a misdemeanor specified in (H)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
(I)	Based upon activities that occurred while you exercised control over an organization: (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)?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Are there pending charges against any organization for any misdemeanor specified in (H)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
Civil Judicial Disclosure			
(J)	(1) Has any domestic or foreign court ever: (a) enjoined you in connection with any financial services-related activity? (b) found that you were involved in a violation of any financial services-related statute(s) or regulation(s)? (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?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Is there a pending financial services-related civil action in which you are named for any alleged violation described in (J)(1)?	<input type="checkbox"/>	<input type="checkbox"/>
	(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)?	<input type="checkbox"/>	<input type="checkbox"/>
Regulatory Action Disclosure			
(K)	Has any State or federal regulatory agency or foreign financial regulatory authority or self-regulatory organization (SRO) ever: (1) found you to have made a false statement or omission or been dishonest, unfair or unethical?	<input type="checkbox"/>	<input type="checkbox"/>
	(2) found you to have been involved in a violation of a financial services-related business regulation(s) or statute(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	(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?	<input type="checkbox"/>	<input type="checkbox"/>
	(4) entered an order against you in connection with a financial services-related activity?	<input type="checkbox"/>	<input type="checkbox"/>
	(5) revoked your registration or license?	<input type="checkbox"/>	<input type="checkbox"/>
	(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?	<input type="checkbox"/>	<input type="checkbox"/>
	(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?	<input type="checkbox"/>	<input type="checkbox"/>
	(8) issued a final order against you based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	<input type="checkbox"/>	<input type="checkbox"/>

