



THE COMMONWEALTH OF MASSACHUSETTS
DIVISION OF BANKS

One Federal Street, Suite 710, Boston, Massachusetts 02110

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)

YES

NO

(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?

☐

☐

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?	<input type="checkbox"/>	<input type="checkbox"/>
	(b) found that you were involved in a violation of any financial services-related statute(s) or regulation(s)?	<input type="checkbox"/>	<input type="checkbox"/>
	(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:	<input type="checkbox"/>	<input type="checkbox"/>
	(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"/>

(9) entered an order concerning you in connection with any license or registration?	<input type="checkbox"/>	<input type="checkbox"/>
(L) Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?	<input type="checkbox"/>	<input type="checkbox"/>
(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?	<input type="checkbox"/>	<input type="checkbox"/>
(N) Is there a pending regulatory action proceeding against you for any alleged violation described in (K) through (L)?	<input type="checkbox"/>	<input type="checkbox"/>
(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)?	<input type="checkbox"/>	<input type="checkbox"/>
Customer Arbitration/Civil Litigation Disclosure		
(P) Have you ever been named as a respondent/defendant in a financial services-related consumer-initiated arbitration or civil litigation which:		
(1) is still pending?	<input type="checkbox"/>	<input type="checkbox"/>
(2) resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action?	<input type="checkbox"/>	<input type="checkbox"/>
(3) was settled for any amount?	<input type="checkbox"/>	<input type="checkbox"/>
Termination Disclosure		
(Q) Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that you were accused of:		
(1) violating statute(s), regulations(s), rule(s), or industry standards or conduct?	<input type="checkbox"/>	<input type="checkbox"/>
(2) fraud, dishonesty, theft, or the wrongful taking of property?	<input type="checkbox"/>	<input type="checkbox"/>
5. Individual's Acknowledgment & Consent I swear or affirm that I have executed this form of my own free will and that I am attesting to this application and that I agree to and represent the following: (A) That I have read and understand the items and instructions on this form; (B) 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 and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law; (C) That the Division of Banks may conduct any investigation into my background, in accordance with all laws and regulations; and (G) That I will keep the information contained in this form current and to file supplementary information on a timely basis.		
_____ Date (MM/DD/YYYY)	_____ Signature of agent/delegate manager	
_____ Print individual's name		
<i>Individual's Acknowledgment & Consent must always be completed in full with signature.</i>		
6. Applicant's Representation To the best of my knowledge and belief, the agent/delegate location manager identified herein is fully qualified for the position for which application is being made. I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application.		
_____ Foreign Transmittal Company Name and NMLS #	By _____ Signature of authorized party	_____ Print Name and Title of authorized party