



**State of Connecticut
Department of Banking
Consumer Credit Division
260 Constitution Plaza, Hartford, CT 06103**



**NEW APPLICATION
FOR REGISTRATION OF LOAN ORIGINATORS**

Sections 36a-485(8) and 36a-510(5) of the Connecticut General Statutes define "originator" to mean an individual who is employed or retained by a First or Secondary Mortgage Lender or Broker, for, or with the expectation of, a fee, commission or other valuable consideration, to negotiate, solicit, arrange or find a first or second mortgage loan. "Originator" does not include an officer, if the licensee is a corporation; a general partner, if the licensee is a partnership; a member, if the licensee is a limited liability company; or a sole proprietor, if the licensee is a sole proprietorship.

***A loan originator may only work on behalf of one Licensee at a time. If a Licensee holds a first/second mortgage license issued by this Department, it need only register an originator once with the first mortgage license. DO NOT SUBMIT DOUBLE FEES FOR BOTH FIRST/SECOND MORTGAGE LICENSEES. Registration authorizes an originator to work under both mortgage licenses held by the Licensee.**

NEW LOAN ORIGINATOR REGISTRATION FEES NOW THROUGH JULY 31st

must be paid by the **COMPANY'S CHECK FOR TOTAL AMOUNT**

May check payable to: **Treasurer, State of Connecticut**
(NON-REFUNDABLE AND NON-TRANSFERRABLE)

Ⓟ \$50 fee for new loan originator registrations only
will be issued immediately and will expire 9/30/06.

A separate renewal application will be mailed to you on or about July 31st. This application will need to be completed and a new fee will be imposed at that time.

\$50 X _____ (# of Originators) = \$ _____

Ⓟ New loan originator registrations will be approved 10/1/06 and will expire 9/30/08.

\$100 X _____ (# of Originators) = \$ _____

This form may also be downloaded on our website @ www.ct.gov/dob. If you have any questions pertaining to loan originators, please call Maria Burgos @ 860-240-8211 or via email maria.burgos@ct.gov.

For questions pertaining to this application, please provide the following contact information:

Contact Name: _____ Direct telephone # _____ Fax # _____

E-mail address: _____

This form must be completed by the licensed entity or prospective licensee:

1. _____
Company Name

2. _____
DBA Name (If applicable)

3. _____
Company Street Address - City State Zip Code

4. 1st CT Mortgage License # _____ 2nd CT Mortgage License # _____
(If applicable) (If applicable)

5. F.E.I.N. Number _____ 6. If Sole Proprietor, Social Security # _____

7. The questions set forth below are applicable to each individual applying for registration as an originator. If any question(s) are answered "YES," attach a **DETAILED WRITTEN EXPLANATION** and provide any legal documentation, if applicable.

HAVE ANY OF THE INDIVIDUALS APPLYING FOR REGISTRATION AS AN ORIGINATOR:

- | | | |
|--------------------------|--------------------------|---|
| YES | NO | |
| <input type="checkbox"/> | <input type="checkbox"/> | (a) ever been convicted in any state or federal court of any crime (not including motor vehicle traffic misdemeanors)? |
| <input type="checkbox"/> | <input type="checkbox"/> | (b) ever been the subject of actions (cease and desist orders, consent orders, injunctions, license suspensions or revocations, etc.) before any regulatory agency? |
| <input type="checkbox"/> | <input type="checkbox"/> | (c) ever been refused any license (except motor vehicle operator) by the Department of Banking or any other governmental agency or had withdrawn such an application? |
| <input type="checkbox"/> | <input type="checkbox"/> | (d) ever been a defendant in any litigation of any type (including suits under the State or Federal Truth in Lending Act) filed against the originator, in connection with the granting or arranging of mortgage loans? |

Note: This application may only be signed by a principal officer, owner, member or partner
FORMS SIGNED BY LOAN ORIGINATORS WILL NOT BE ACCEPTED

STATE OF _____ BY: _____
Signature

COUNTY OF _____ _____
Print Name and Title

On this _____ day of _____, 20 _____

Personally Appeared: _____

(Name and Title of person signing and appearing before the notary)
to me known, and known by me to be the signer of the foregoing instrument, who duly sworn upon oath, deposes and says he/she has read, and knows the contents thereof, and that the alleged facts herein contained are true to his/her knowledge.