



### DFI License Renewal (DFI-LR)

*This application must be completed by typewriter or legibly printed.*

Do not leave any blank spaces. There must be an answer provided for each inquiry. If not applicable use "None" or "n/a".

License Number:	Year of Renewal:
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#### 1. Company Identifying Information:

##### A. Legal Name:

Legal Name approved by domicile state

Arizona Legal Name (as approved by the Arizona Corporate Commission or Arizona Secretary of State)

Doing Business As (DBA) Name: **Optional.** As approved by the Arizona Secretary of State:

##### B. Primary Location Address:

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	Website:
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##### C. Corporate Address:

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	Website:
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#### 2. Company Contacts:

##### A. Contact Employee:

Name:	Title:
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Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	E-mail Address:
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#### 3. Business Information:

##### A. Auditing Agency:

Certified Public Accountant firm or agency which audits your financial records.

Name:	Your fiscal year end is:
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Address:

City:	State:	Zip Code:
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**4. Arizona Branches: - IF MT or MVD, Arizona Branches only:**

**-List branches you are renewing.**  
**-Do not list your primary office location as a branch location.**  
**-Return original license on those locations you are NOT renewing.**

a. Designated Branch Manager (Overseer or Contact Person):

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	E-mail Address:
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b. Designated Branch Manager (Overseer or Contact Person):

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	Email:
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c. Designated Branch Manager (Overseer or Contact Person):

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	E-mail Address:
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d. Designated Branch Manager (Overseer or Contact Person):

Address Line 1:

Address Line 2:

City:	State:	Zip Code:
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Telephone Number:	Fax Number:	Email:
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List additional branches on a separate sheet.



**5. Disclosures:**

If the answer to any of the following questions is "YES", then you will need to provide complete details in an attachment, including as applicable: disposition/status, summary of event or proceeding, copies of applicable charges and orders and/or consent agreements. Please refer to the following definitions when answering questions in this Section of the renewal application only:

ENJOINED – Includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction, or a temporary restraining order.

FINANCIAL SERVICES OR FINANCIAL SERVICES RELATED – Pertaining to securities, commodities, banking, insurance, consumer lending, or real estate (including, but not limited to; acting as or being associated with a bank or savings association, credit union, Farm Credit System institution, mortgage lender, mortgage broker, real estate salesperson or agent, appraiser, closing agent, title company, or escrow agent).

Do not list any offences that were previously reported to the Department on your initial applications or subsequent renewals.

**A. Criminal Disclosure**

	YES	NO
(a) Has the entity ever:		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?		
(2) been charged with any felony?		
(b) In the past ten years has the entity:		
(1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: financial services or a financial services-related business; any fraud, false statements, or omissions; any theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or a conspiracy to commit any of these offenses?		
(2) been charged with a misdemeanor specified in (b)(1)?		

**B. Regulatory Action Disclosure:**

(c) In the past ten years, has any State or federal regulatory agency or foreign financial regulatory authority ever:		
(1) found the entity to have made a false statement or omission or been dishonest, unfair or unethical?		
(2) found the entity to have been involved in a violation of a financial services-related regulation(s) or statute(s)?		
(3) found the entity to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?		
(4) entered an order against the entity in connection with a financial services-related activity?		
(5) denied, suspended, or revoked the entity's registration or license or otherwise, by order, prevented it from associating with a financial services-related business or restricted its activities?		
(d) Has the entity's authorization to act as an attorney, accountant, or State or federal contractor ever been revoked or suspended?		
(e) Is the entity now the subject of any regulatory proceeding that could result in a "yes" answer to any part of (c)?		

**C. Civil Judicial Disclosure:**

(f) Has any domestic or foreign court:		
(a) in the past ten years enjoined the entity in connection with any financial services-related activity?		



(b) in the past ten years found the entity to be in violation of any financial services-related statute(s) or regulation(s)?

(c) in the past ten years dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against the applicant by a State or foreign financial regulatory authority?

(g) Is the entity named in any pending financial services-related civil action that could result in a "yes" answer to any part of (f)?




**D. Financial Disclosure:**

(h) In the past ten years has the entity or a control affiliate been a mortgage lender or a mortgage broker or a control affiliate of a mortgage lender or a mortgage broker that has been the subject of a bankruptcy petition?

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(i) Has a bonding company ever denied, paid out on, or revoked a bond for the entity?

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(j) Does the entity have any unsatisfied judgments or liens against it?

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**6. Changes to Your Licenses:**

Have you made any changes to your license since the last renewal (address-corporate or branch; owner/officer; company name-including trade name)?"

YES	NO

Submit the Change Application along with all applicable documents and fees to AzDFI before submitting your renewal application. NOTE: When submitting your renewal application, you are certifying that you all information on file with AzDFI is current and accurate and that all applicable documents have been submitted to AzDFI for any changes made since the last renewal

**7. Affidavit:**

State of \_\_\_\_\_

County of \_\_\_\_\_

I \_\_\_\_\_ as \_\_\_\_\_ swear or affirm that I have executed this form

Print Name

Print Official Title

before a Notary Public, of my own free will and:

- (a) I have read and understand the items and instructions on this form;
- (b) My answers (including attachments) are true and complete to the best of my knowledge;
- (c) I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers;
- (d) I authorize all my current and former *employers*, law enforcement agencies, and any other *person* to furnish to any *jurisdiction*, or any agent acting on its behalf, any information they have, including without limitation my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former *employers*, complete reasons for my termination;
- (e) I have read and understand applicable federal and state law, and will be in compliance at all times;
- (f) I promise to keep the information contained in this form current and to file accurate supplementary information on a timely basis;
- (g) I understand that this renewal has to be signed by one of the owners or officers on file with the Department of Financial Institutions**

Signature of individual: \_\_\_\_\_ Date (MM/DD/YYYY) \_\_\_\_\_

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

Date

Month

Year

Print Notary Public name: \_\_\_\_\_ Notary Public signature: \_\_\_\_\_

Notary Appointment Expires (MM/DD/YYYY): \_\_\_\_\_ Notary seal here



**License Renewal (LR) Application Checklist**

- Make checks payable to "AZDFI"
- Financial Statements (you will need to refer to your specific license type Renewal Supplement to find out what type of financials to submit).
- State of Domicile - Certificate of Good Standing
- Arizona - Certificate of Good Standing
- Sole Proprietor's only: If there has been a change in your Citizenship status, you must complete and submit with this renewal the "Arizona Statement of Citizenship and Alien Status for State Public Benefits" form.
- Make and keep copies for your records
- Legibly print or type all answers
- Answer ALL questions or statements AND if not applicable mark "NONE" or "NA"
- Renewal properly signed and notarized (renewal must be signed by an officer or owner on file with the Department of Financial Institutions)
- All changes to your license are sent to the department under separate cover. Do not include/submit with renewal application. (Click here for the License Change Form)
- Submit appropriate Renewal Fees (you will need to refer to your specific license type Renewal Supplement to find out what the renewal fees are for your license).
- Submit Renewal Supplement application for your license type (See website for appropriate supplement form for your license type)