



Company New Application Checklist

Agency Requirements



NEBRASKA INSTALLMENT SALES COMPANY REGISTRATION

This document includes instructions for a company (corporation location) new registration request.

Please verify that you have selected the appropriate license or registration as any fees collected through NMLS are not refundable:

- If your corporate location conducts Nebraska business you must submit an application for an **Installment Sales License** at the company level. If you have additional locations that also conduct Nebraska business you must submit an application for a branch license for each of those locations.
- If your corporate location does not conduct Nebraska business, but instead you only have other locations that actually conduct Nebraska business, you must submit an application for an **Installment Sales Registration** at the company level and submit an application for a branch license for each location conducting Nebraska business.

Total Registration costs: No Initial Fee at the Company Level. \$100 NMLS annual processing fee is charged for approved licenses at the time of renewal. Fees collected through the NMLS ARE NOT REFUNDABLE.

Use the checklist below to complete the requirements for the Nebraska Department of Banking & Finance.

The checklist provides instructions and requirements for information to be entered in NMLS, the documents that must be uploaded into NMLS, as well as the documents that must be sent outside NMLS.

For help with the NMLS application, see the [Quick Guide for submitting a complete Company Form](#) filing through NMLS.

Agency specific requirements marked **Filed in NMLS** must be completed and/or uploaded in NMLS; this information will not be viewable to the agency until the application has been submitted through NMLS.

For help with document uploads, see the [Quick Guide for document upload in NMLS](#)

Note: Financial statements are uploaded separately under the Filing tab, “Financial Statement” submenu. All other documents are uploaded in the Filing tab under the “Document Upload” section of the company form.

Agency specific requirements marked **Attached** on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

For Electronic Delivery:
Dob.consumerfinance@nebraska.gov
 Include Applicant Name and
 NMLS ID# in the subject line.

For U.S. Postal Service
 Nebraska Department of
 Banking and Finance
 P.O. Box 95006
 Lincoln, NE 68509

For Overnight Delivery:
 Nebraska Department of
 Banking and Finance
 1526 K Street, Suite 300
 Lincoln, NE 68508

NMLS **Company** Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	ATTACHED	NOT APPLICABLE	INSTALLMENT SALES COMPANY REGISTRATION
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>Other Trade Name: DBA's should be listed under Other Trade Names on the NMLS Company Form. The Department does not limit the number of dba's, however, each dba must be properly registered with the Nebraska Secretary of State and must be reflected on your bond form.</p> <p>**Note: If you already have a NMLS record and utilize a dba in other states besides Nebraska, just add Nebraska to that portion of the form. **</p>
<input type="checkbox"/>	<input type="checkbox"/>	N/A	<p>Resident/Registered Agent: Submit a completed Registered Agent Appointment and Consent Form.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>Disclosure Questions: Provide an explanation for any "Yes" response for the company or any Control Person. Upload a copy of any applicable orders or supporting documents in NMLS. If you have more than one order or supporting document to upload, each must be uploaded as its own pdf document.</p> <p>**Note: If you already have a NMLS record and have uploaded your disclosure document(s) previously you DO NOT need to upload them again. **</p>
<input type="checkbox"/>	N/A	N/A	<p>Financial Statements: Upload an Audited financial statement prepared in accordance with Generally Accepted Accounting Principles dated within 90 days of your fiscal year end. Financial statements should include a Balance Sheet, Income Statement and Statement of Cash Flows and all relevant notes thereto. If applicant does not have an audited financial statement, and Applicant is a wholly owned subsidiary, a copy of the parent company audited corporate financial statement must be submitted. If company is a wholly owned subsidiary and you will be providing parent company financials in lieu of the licensee financials you MUST upload those financials in the YEAR-TO-DATE category and INCLUDE A COVER SHEET indicating that the financials are of the parent company.</p> <p>An Application will not be processed without Audited Financials.</p> <p>The financial statement requirement must illustrate a company net worth of \$100,000.</p>

FILED IN NMLS	ATTACHED	NOT APPLICABLE	INSTALLMENT SALES COMPANY REGISTRATION
<input type="checkbox"/>	N/A	N/A	<p>Certificate of Authority/Good Standing Certificate from domestic state: <u>Upload</u> a state-issued document (typically by the state’s Secretary of State office) demonstrating that the corporation or limited liability company (LLC) exists or is authorized to do business.</p> <p>**Note: If you already have a NMLS record and have uploaded your domestic state authorization you DO NOT need to upload it again. **</p>
<input type="checkbox"/>	N/A	N/A	<p>Certificate of Authority/Good Standing Certificate from Nebraska: <u>Upload</u> a state-issued document from Nebraska’s Secretary of State Office demonstrating that the corporation or limited liability company (LLC) exists or is authorized to do business in Nebraska.</p>
<input type="checkbox"/>	N/A	N/A	<p>Formation Document: <u>Upload</u> a certified copy of:</p> <ul style="list-style-type: none"> • The Corporate Charter or Articles of Incorporation (if a corporation), or • The Articles of Organization and Operating Agreement (if a Limited Liability Company), or • The Partnership Agreement (if a partnership of any form). <p>**Note: If you already have a NMLS record and have uploaded your formation documents you DO NOT need to upload them again. **</p>
<input type="checkbox"/>	N/A	N/A	<p>Management Chart: <u>Upload</u> an organizational chart showing the applicant’s divisions, officers, and managers.</p> <p>**Note: If you already have a NMLS record and have uploaded your management chart you DO NOT need to upload it again. **</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>Organizational Chart/Description: <u>Upload</u> an organizational chart if applicant is owned by another entity or entities or person, or has subsidiaries or affiliated entities.</p> <p>**Note: If you already have a NMLS record and have uploaded your organization chart you DO NOT need to upload it again. **</p>
<input type="checkbox"/>	<input type="checkbox"/>	N/A	<p>Electronic Surety Bond: Submit an Electronic Surety Bond (ESB) via NMLS in the amount of \$50,000 furnished and submitted by a surety company authorized to conduct business in Nebraska. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> <p>The bond must be increased by \$50,000 for each branch location licensed by this agency. Supplemental information must be submitted to the Department of Banking and Finance to indicate the locations for which bond coverage has been obtained.</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>Sole Proprietor United States Citizenship Attestation Form: If applicant is a sole proprietor, <u>submit</u> the United States Citizenship Attestation Form.</p>

The Nebraska Department of Banking & Finance will review the filing and all required documents and communicate with you through NMLS. To review your status or see detailed communication from the regulator, click on the Composite View tab and then click on View License/Registration in NMLS see ([License Status Quick Guide](#)) for instruction.

WHO TO CONTACT – Contact NDBF licensing staff by phone at 402-471-2171 or send your questions via e-mail to dob.consumerfinance@nebraska.gov for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.