This document includes instructions for a company (corporation location) new application request. If you need to complete a new application for a branch location (authorized delegates are not considered a branch in NMLS) or individual; refer to the appropriate new application checklists.

Total License costs: $50. A $15 fee for a credit report will be added if one has not been authorized through NMLS in the past 30 days for each required control person. Fees collected through the NMLS ARE NOT REFUNDABLE.

Use the checklist below to complete the requirements for New Hampshire Banking Department. 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 U.S. Postal Service:**

New Hampshire Banking Department  
53 Regional Drive  
Concord NH  03301

**For Overnight Delivery:**

New Hampshire Banking Department  
53 Regional Drive  
Concord NH  03301
NMLS Company Unique ID Number: ________________

Applicant Legal Name: ______________________________________

<table>
<thead>
<tr>
<th>Filed in NMLS</th>
<th>Attached</th>
<th>Not Applicable</th>
<th>New Hampshire Motor Vehicle Retail Seller Company License</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Other Trade Name:</strong> Foreign and domestic applicants who propose to use a trade name must provide proof of trade name registration issued by the NH Secretary of State. The “owner” of the trade name listed on the registration must match the name of the applicant. If these are not the same, ownership must be changed through the Secretary of State’s office.</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Resident/Registered Agent:</strong> Foreign companies (not formed under NH law) must appoint and maintain at all times a registered agent in New Hampshire. If the applicant has a NH branch office, an individual in that office may be appointed as the NH registered agent. If the applicant does not have a NH branch office or does not wish to appoint someone in a branch office, the applicant must appoint another person to be the NH registered agent. The agent’s office must be open during regular business hours. Banking Department examinations of the licensee’s books and records may take place at the registered agent’s office. Providing this information on Form MU1 does not take the place of filing Form U-2, Uniform Consent to Service of Process.</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Bank Account:</strong> Bank account information is not required; this field can be left blank on the company form.</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Qualifying Individual:</strong> Qualifying Individual field does not require an individual, this field can be left blank on the NMLS Company Form.</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Credit Report:</strong> Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>Disclosure Questions:</strong> Provide an explanation for any “Yes” response. Upload a copy of any applicable orders or supporting documents in NMLS.</td>
</tr>
</tbody>
</table>
|               | N/A      |                | **Financial Statements:** Financial statements must be consistent with the legal status of the applicant, and audited statements are required if an audit was performed. Copies of the following that are prepared in accordance with generally accepted accounting principles by a public accountant, certified public accountant or the applicant's financial officer must be submitted. Internally-prepared statements must include an attestation, signed under penalty of Unsworn Falsification pursuant to NH RSA 641:3, that the financial statements are true and accurate to the best of his or her belief and knowledge.  
  - Balance sheet as of the last fiscal year end and as of the most recent quarter end.  
  Note: Companies must maintain a minimum positive net worth at all times as set by rule. |
<p>|               | N/A      |                | <strong>Business Plan:</strong> Upload a business plan outlining marketing strategy, products, target markets and operating structure the applicant intends to employ. |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th>Certificate of Authority/Good Standing Certificate: Upload 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 in the state.</th>
</tr>
</thead>
</table>
|   | N/A | N/A | Formation Document: Upload a certified copy of:  
+ 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). |
|   | N/A | N/A | Management Chart: Upload an organizational chart showing the applicant's divisions, officers, and managers. |
|   | N/A | N/A | Organizational Chart/Description: Upload an organizational chart if applicant is owned by another entity or entities or person, or has subsidiaries or affiliated entities. |
|   | N/A | N/A | Contact Employees:  
The individual named in question 6. Primary Contact Employee Information on the Form MU1 must be authorized by the company to make sworn statements and attestations on behalf of the company where required as part of the application and/or renewal process.  
The individual named in question 6. Primary Consumer Complaint must be the individual that the NH Banking Department will contact when a complaint against the company is received. This individual should have the authority and discretion to speak on behalf of the company and will more than likely be a principal of the company and not merely clerical or administrative contact persons. As such, the individual may be subject to an Individual Form (MU2) filing and background check. |
|   | N/A | N/A | Additional Contact Employees: The following contact employee(s) will need to be identified under question 7, Additional Contact Employees Information:  
Litigation and Examination. (Please note that even if the individual is already listed as the Primary Contact person, he or she will still need to be identified here.) These individuals should have the authority and discretion to speak on behalf of the company and will more than likely be principals of the company and not merely clerical or administrative contact persons. As such, the individuals in these positions may be subject to an Individual Form (MU2) filing and background check. |
|   | N/A | N/A | Control Persons/Principals: Individual Form (MU2) must be filed for all control persons/principals of the applicant, including sole proprietors. Principals of the applicant are considered "control persons" in New Hampshire. Principals for New Hampshire purposes include "management level employees" and certain contact persons identified on Company Form (MU1) in addition to officers, directors and direct and indirect owners. Branch Managers of branch offices are considered principals of the company and their Individual Form (MU2) filings are made at the time a Branch Form (MU3) is filed. |
| N/A | N/A | N/A | AUTHORIZATION FOR BACKGROUND CHECK AND RELEASE. Until such time as the NMLS has procedures in place for collecting this information, for each MU2 control person/principal, qualifying individual and
certain contact persons, submit an executed original copy of the release form from the link below directly to the Department. Criminal Record checks, including an FBI record check are conducted by the State of New Hampshire Department of Safety, State Police Division. Complete all items in Section I of the Authorization, and make sure to sign the release information in Section II of the form and have the form notarized. We will forward the document(s) and check(s) to the Department of Safety.

Criminal History Record Information Authorization Form

| N/A | N/A | The Department of Safety charges a $51.50 fee to cover costs for each record check which includes an FBI record check. All checks and money orders for the record check(s) must be attached to this checklist and made payable to “State of NH – Criminal Records.” Fees covering multiple individuals may be combined into one check.

Fingerprint cards. Until such time as the NMLS has procedures in place for collecting this information, for each MU2 control person/principal, qualifying individual and certain contact persons, provide one fingerprint card issued by the NH Department of Safety. You may electronically submit a request to the Banking Department, and we will send you the number of cards you need. An email/fax form can be found on our website at http://www.nh.gov/banking/FingerprintCardRequest.pdf or call (603) 271-8675 or click on the link below

Fingerprint Request Form

| N/A | N/A | FORM U-2, UNIFORM CONSENT TO SERVICE OF PROCESS. This requirement is not in lieu of the “Registered Agent” field in NMLS. You must file this form directly with the Department.

Form U-2

| N/A | N/A | New Hampshire Part II Click to download form

The regulator will review the filing and all required documents and communicate with you through NMLS and written correspondence. 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. For questions regarding NH RSA 361-A visit: http://gencourt.state.nh.us/rsa/html/NHTOC/NHTOC-XXXIII-A-361-A.htm

WHO TO CONTACT – Contact New Hampshire licensing staff by phone at (603) 271-8675 or send your questions via e-mail to Licensing@banking.state.nh.us 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.