Instructions

1. Registrant is required to notify the Pennsylvania Department of Banking and Securities within ten (10) days of terminating business under this registration. Notification needs to be made by surrendering the registration through Form MU3 in NMLS.

2. Registrant is required to update the Books and Records section of Form MU3 with the Records Custodian name and the physical location where the books and records will be maintained subsequent to surrender. If the Records Custodian or location changes after surrender, you must provide written notice of changes to the Pennsylvania Department of Banking and Securities. Books and records must be kept for four (4) years from the date of surrender.

3. Jurisdiction-specific requirements as identified on the checklist below need to be received with this checklist within 5 business days of the electronic submission of your surrender through the NMLS at the following:

   For U.S. Postal Service:
   The Pennsylvania
   Department of Banking and Securities
   Non-Depository Licensing Division
   17 N 2nd Street, Ste 1300
   Harrisburg, PA 17101-2290

   For Overnight Delivery:
   The Pennsylvania
   Department of Banking and Securities
   Non-Depository Licensing Division
   17 N 2nd Street, Ste 1300
   Harrisburg, PA 17101-2290

NMLS Unique ID Number: ________________
Registrant’s Legal Name: ____________________________

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<th>ATTACHED</th>
<th>NOT APPLICABLE</th>
<th>ITEM</th>
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<td>REASON FOR SURRENDER OF REGISTRATION. Return with this checklist a letter that provides the reason for registration surrender.</td>
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<td>CONTACT AND BOOKS/ RECORDS INFORMATION. Verify that the information on Form MU1 for the Consumer Complaint Employee Information for Pennsylvania and the Books and Records section has been updated and is accurate.</td>
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WHO TO CONTACT – Contact the PA Department of Banking and Securities, Non-Depository licensing staff by phone at (717) 787-3717 or send your questions via e-mail to ra-asklicensing@pa.gov for additional assistance.

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