

**MORTGAGE BROKER/LOAN OFFICER
NOTIFICATION OF GUILTY PLEA/CONVICTION**

Ohio Administrative Code 1301:8-7-19(D)

ALL MORTGAGE BROKERS INCLUDING EVERY PERSON THAT ACQUIRES OR OTHERWISE RECEIVES AN INTEREST OF FIVE PER CENT OR MORE IN A MORTGAGE BROKER, LOAN OFFICERS, AND APPLICANTS FOR A MORTGAGE BROKER CERTIFICATE OF REGISTRATION OR LOAN OFFICER LICENSE ARE REQUIRED TO NOTIFY THE DIVISION OF FINANCIAL INSTITUTIONS OF ANY GUILTY PLEA OR CONVICTION OF A CRIMINAL OFFENSE INVOLVING THEFT, RECEIVING STOLEN PROPERTY, EMBEZZLEMENT, FORGERY, FRAUD, PASSING BAD CHECKS, MONEY LAUNDERING, OR DRUG TRAFFICKING OR ANY CRIMINAL OFFENSE INVOLVING MONEY OR SECURITIES. THIS NOTIFICATION IS REQUIRED TO BE SUBMITTED TO THE DIVISION WITHIN THIRTY BUSINESS DAYS OF THE PLEA OR CONVICTION.

Check the appropriate box: Loan Officer /Applicant Representative of the Mortgage Broker /Applicant

Name of Loan Officer/Applicant or Mortgage Broker/Applicant on Whose Behalf This Form is Being Submitted: _____

License Number of Loan Officer/Applicant or Mortgage Broker/Applicant on Whose Behalf This Form is Being Submitted: _____

_____ Social Security Number of Person Executing This Form: _____

Court Where Guilty Plea or Conviction Entered: _____

Case Number Assigned by Court: _____

Briefly Describe the Charges and Facts & Circumstances Leading to the Charges: _____

ATTACH COPY OF GUILTY PLEA OR CONVICTION ENTRY.

IF NOTIFICATION OF GUILTY PLEA OR CONVICTION FORM IS BEING SUBMITTED ON BEHALF OF A MORTGAGE BROKER/APPLICANT, THE PERSON SIGNING THIS FORM ON BEHALF OF THE MORTGAGE BROKER/APPLICANT MUST ALSO SUBMIT A COMPANY RESOLUTION. (SEE ATTACHED.)

The undersigned hereby swears or affirms that this notification and any attachments have been prepared or carefully reviewed by me and that these constitute a complete, truthful, and correct statement of all information requested herein. I realize that any false or fraudulent representation or substantial misrepresentation will be grounds for denial of this application or revocation of any license granted hereunder, and is subject to criminal prosecution.

Printed Name Title

Signature Date

Please Mail Completed Form by Certified Mail to:
Division of Financial Institutions
77 South High Street, 21st Floor
Columbus, Ohio 43215-6120

Warning: It is a crime to knowingly provide a false statement to a government official or public agency.
Revised Code 2921.13

COMPANY RESOLUTION

(To be adopted by all companies for the purpose of demonstrating that the person signing documents and forms filed with, or submitted to, the Division of Financial Institutions, Consumer Finance Section, has the company's authority to sign on behalf of the company)

(Name of Company)

AT A MEETING OF ITS _____ HELD AT _____
(members, partners, managers, trustees or board of directors)

ON THE _____ DAY OF _____, 20 __, PURSUANT TO LAWFUL NOTICE OR

WAIVER THEREOF, and at which meeting a quorum for the transaction of business was present, the

following was duly adopted:

"BE IT RESOLVED, that _____
(Name of Individual and Company Title)

or _____
(Name of Individual and Company Title)

of _____
(Name of Company)

Be authorized and directed by the Company's members, partners, managers, trustees or board of directors, to execute and submit filings and forms for, and all acts amendatory thereof and supplemental thereto, the Company, to the Division of Financial Institutions."

CERTIFICATION

The undersigned hereby certifies that he/she is the _____ Secretary of _____, a company organized and existing under the laws of the State of _____; that the foregoing is a true and correct copy of a resolution duly adopted at a meeting of the members, partners, managers, trustees or board of directors of the company held on _____ day of _____, 20 __, at which meeting a quorum was at all times present and acting; that the passage of said resolution was in all respects legal; and, that said resolution is in full force and effect.

By _____
(Company Secretary – Signature)

Date _____