

**MORTGAGE BROKER/LOAN OFFICER**

**NOTIFICATION OF ACTION**

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

*Print or Type in Blue or Black Ink*

**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 CERTIFICATE OF REGISTRATION OR LICENSE ARE UNDER A CONTINUING OBLIGATION TO NOTIFY THE DIVISION OF FINANCIAL INSTITUTIONS WITHIN TEN BUSINESS DAYS OF THE FILING OF A LEGAL ACTION AGAINST THEM BY A BUYER ALLEGING INJURY UNDER ANY PROVISION OF THE OHIO MORTGAGE BROKER ACT, REVISED CODE CHAPTER 1322.**

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

Name of Loan Officer or Mortgage Broker on Whose Behalf This Form is Being Submitted: \_\_\_\_\_

License Number of Loan Officer or Mortgage Broker on Whose Behalf This Form is Being Submitted: \_\_\_\_\_

Court Where Action Was Filed: \_\_\_\_\_

Case Number Assigned by Court: \_\_\_\_\_

Briefly Describe the Action: \_\_\_\_\_

Indicate the Anticipated Course of Action by the Loan Officer or Mortgage Broker: \_\_\_\_\_

**ATTACH A COPY OF THE COMPLAINT FILED AGAINST THE MORTGAGE BROKER OR LOAN OFFICER and ANY RESPONSE OR MOTION FILED WITH THE COURT BY THE LOAN OFFICER OR MORTGAGE BROKER.**

**IF NOTIFICATION OF ACTION FORM IS BEING SUBMITTED ON BEHALF OF A MORTGAGE BROKER, THE PERSON SIGNING THIS FORM ON BEHALF OF THE MORTGAGE BROKER 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, 21<sup>st</sup> 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 \_\_\_\_\_