



## Branch New Application Checklist

Agency Requirements



### INDIANA SOS COLLECTION AGENCY BRANCH LICENSE

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

The Company form (corporate location) must request a new application prior to the submission of a branch form.

Total License costs: \$30, fees collected through the NMLS ARE NOT REFUNDABLE.

**Use the checklist below to complete the requirements for the Indiana Secretary of State.**

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 Branch Form](#) through NMLS

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

Supporting documentation must be uploaded in NMLS as stated in the checklist below.

NMLS **Branch** Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

FILED IN NMLS	ATTACHED	NOT APPLICABLE	INDIANA SOS COLLECTION AGENCY BRANCH LICENSE
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>Disclosure Questions:</b> Provide an explanation for any “Yes” response. Upload a copy of any applicable orders or supporting documents in NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Surety Bond:</b> Every applicant must submit an Electronic Surety Bond (ESB) via NMLS in the amount of \$5,000 per office registered in Indiana furnished and submitted by a surety company authorized to conduct business in the State of Indiana. The parent company and all branches should submit one aggregated bond in the amount of \$5,000 per office registered in Indiana. This must be submitted under the parent company’s license. The \$5,000 bond for each branch must be included in the parent company’s ESB.  See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees</a> page of the NMLS Resource Center for more information.  The name of the principal insured on the bond and the NMLS number must match the name and NMLS number of the applicant.

The regulator 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 *Indiana Secretary of State, Securities Division* licensing staff by phone at 317-232-6681 or send your questions via e-mail to [compliance@sos.in.gov](mailto:compliance@sos.in.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.