



PA Mortgage Broker Surrender Checklist (Company)

CHECKLIST SECTIONS

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GENERAL INFORMATION

Instruction

1. File the surrender request through NMLS.
2. There is no fee to surrender.

Help Resources

- [Company License Surrender Requests Quick Guide](#)
- [License Status Review & Definitions Quick Guide](#)

Agency Contact Information

Contact Pennsylvania Department of Banking and Securities, Non-Depository Licensing Office staff by phone at 717-787-3717 or send your questions via email to ra-asklicensing@pa.gov for additional assistance.

The completed checklist and the documents that are required to be submitted outside of NMLS must be received within 5 business days of the electronic submission through NMLS via email to ra-AskLicensing@pa.gov.

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

NMLS ID Number	
Company Name	

REQUIREMENTS COMPLETED IN NMLS		
Complete	PA Mortgage Broker	Submitted via...
<input type="checkbox"/>	Submission of Surrender Request through Company Form (MU1): Request the surrender of the license through the submission of the Company Form (MU1). See the Company License Surrender Requests Quick Guide for instructions. 7 Pa.C.S. § 6137	NMLS

REQUIREMENTS SUBMITTED OUTSIDE OF NMLS		
Complete	PA Mortgage Broker	Submitted via...
<input type="checkbox"/>	Pipeline: Return with this checklist a letter listing all loans in the pipeline as of the date surrender is filed in the NMLS. Listing should include: <ul style="list-style-type: none"> • Name of consumer • Consumer address & telephone number • Current application status • Name of mortgage broker (if other than company brokered loan) • Broker contact information • Loan number • Amount of loan • Closing date of loan • Loan type (i.e. purchase or refinance) • Amount of prepaid loan fees submitted • Rate lock status • Contact information for applicable lender with whom each loan will be placed • Date these loans will be resolved. 	Email to: ra-asklicensing@pa.gov
<input type="checkbox"/>	Loans Subject to Recourse (i.e. subject to buyback): Total number of loans subject to buyback: _____	Email to: ra-asklicensing@pa.gov
<input type="checkbox"/>	Arrangements to Pay All Creditors: Return with this checklist a letter describing the Arrangement (if applicable)	Email to: ra-asklicensing@pa.gov
<input type="checkbox"/>	Books and Records: Provide the name, mailing address, email address, and telephone number of the individual(s) responsible for safekeeping of the surrendering licensee's books and records subsequent to the surrender. 7 Pa.C.S. § 6135(a)(2)	Email to: asklicensing@pa.gov