

# FORM L-PCEX



## MORTGAGE BROKER PARENT COMPANY RESPONSIBLE INDIVIDUAL RESIDENCY EXEMPTION REQUEST FORM

INSURANCE LICENSING/APPRAISERS

☎ 602-364-4457

✉ [insurancelicensing@difi.az.gov](mailto:insurancelicensing@difi.az.gov)

FINANCIAL ENTERPRISES

☎ 602-771-2800

✉ [felicensing@difi.az.gov](mailto:felicensing@difi.az.gov)

*Must be completed by an EMPLOYEE of the parent company of the mortgage broker.*

### Part 1 Information about the Mortgage Broker and Parent Company

NAME OF MORTGAGE BROKER/COMMERCIAL MORTGAGE BROKER (MB/CMB)		MB/CMB NMLS NO.
NAME OF PARENT COMPANY ("PARENT COMPANY")		PARENT CO. NMLS NO. (if known)
NAME OF INDIVIDUAL SUBMITTING THIS REQUEST ("EMPLOYEE"): <i>Must be a parent company employee.</i>		TITLE

### Part 2 Information about the Requested Responsible Individual

NAME OF REQUESTED RESPONSIBLE INDIVIDUAL (RRI)

---

**SECTION A: Mortgage Broker Applicant/Licensee ONLY**

- Does the RRI named above have at least three years of experience as a mortgage broker or loan originator, or equivalent lending experience during the five years immediately preceding the time of application? Please see [AAC R20-4-906](#) for information about qualifying equivalent experience.  Yes  No
- Has the RRI named above satisfactorily completed a [course of study approved by the deputy director](#) during the three years immediately preceding the time of application?  Yes  No
- Has the RRI named above passed the Arizona Mortgage Broker's Test?  Yes  No

**SECTION B: Commercial Mortgage Broker Applicant/Licensee ONLY**

- Does the RRI named above have *not less than* three years of experience in the commercial mortgage broker business or equivalent lending experience in a related business during the five years immediately preceding the time of application? Please see [AAC R20-4-906](#) for information about qualifying equivalent experience.  Yes  No
- Has the RRI named above made, negotiated, offered or intend to make, negotiate or offer commercial mortgage loans?  Yes  No

Continued on page 2...

NAME OF MORTGAGE BROKER/COMMERCIAL MORTGAGE BROKER (MB/CMB)	MB/CMB NMLS NO.
---	-----------------

**Part 3**    **Parent Company Attestation**

On behalf of the PARENT COMPANY named in Part 1, I, the EMPLOYEE named in Part 1, attest to the following (A "No" answer will disqualify the company from the individual residency exemption.):

- 1. The PARENT COMPANY maintains a physical present in Arizona .....  Yes  No
- 2. The PARENT COMPANY has not been a subject of, or entered into, any disciplinary actions with the Arizona Department of Insurance and Financial Institutions .....  Yes  No
- 3. The PARENT COMPANY has a class of securities registered with the United States Securities and Exchange Commission (SEC) .....  Yes  No
- 4. The PARENT COMPANY will pay all applicable fees associated with the request for a certification of exemption .....  Yes  No
- 5. Upon submission of this form, I will upload a copy of the registration statement filed with the SEC when the class of securities was offered .....  Yes  No
- 6. Upon completion of this form, I will upload it to the "Document Upload" section of the parent companies MU1 on NMLS. For assistance with uploading documents, contact the NMLS call center, toll free, at (855) 665-7123. ....  Yes  No
- 7. I, or another designated employee of the parent company, will submit annual renewals to the NMLS as long as the RRI listed above qualifies .....  Yes  No

**Section 4**    **Signature**

I attest that all statements and attestations provided above are complete and accurate. I also attest that the signature (electronic or wet) below is my own, and has not been applied by any other person than myself.

➤ \_\_\_\_\_ DATE \_\_\_\_\_  
SIGNATURE OF EMPLOYEE OF PARENT COMPANY ("EMPLOYEE")