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Application for License

Regulated Industry

TEXAS OFFICE OF CONSUMER
CREDIT COMMISSIONER

Ownership Structure	License Status (License will be:)	Application Type
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CHECKLISTS AND INSTRUCTIONS FOR COMPLETING APPLICATIONS ARE PROVIDED ON THE OCCC WEBSITE. ENSURE YOU READ ALL CHECKLISTS, INSTRUCTIONS, AND ADMINISTRATIVE RULES BEFORE COMPLETING AND SUBMITTING YOUR APPLICATION.

Section 1: Identifying Information

Entity Name or Name of Owner/Sole Proprietor

FEIN (Federal Employment Identification Number), or SSN (Social Security Number) of Owner/Sole Proprietor

Operating Name (d/b/a)

Is the applicant seeking a *credit access business license* or *motor vehicle sales finance license*, and does the applicant conduct business with consumers through branch offices or other business locations?

Transfer License Number(if applicable)

Yes No

Mailing Address

If "Yes", complete the appropriate form below for each location:

City State Zip Code

CAB10 - Branch location (for Credit Access Business license applications)
No. of Branch Locations for this Application

MV-61 - Registered Offices (for Motor Vehicle Sales Finance license applications)
No. Registered Offices for this Application

Location Address

Location Phone Number

City State Zip Code County

Location Fax Number

Website Address

Name of Location Manager

Section 2: Main Office Contact Information

Contact Information for Application

Compliance Officer

Name

Name

Title

Title

Email Address

Email Address

Business Phone Number

Business Phone Number

Fax Number

Fax Number

The Office of Consumer Credit Commissioner obtains information from this form and certain third-party sources. With few exceptions, you may review and correct the information we collect. To find out more about the information we collect or to make an open records request, contact our Public Information Officer at 512-936-7622 or public.information@occc.texas.gov.

Section 3: Owners and Principal Parties

Proprietorships: Include spouses with community property interest.

Limited Partnerships, Corporations, & Other Entities: Provide ownership information as required by:

- 7 TAC, §83.302 (Regulated Lenders),
- 7 TAC, §84.602 (Motor Vehicle Sales Finance),
- 7 TAC, §85.202 (Pawn Shops), or
- 7 TAC, §89.302 (Property Tax Lender)

General Partnerships: Provide names of all general partners regardless of percentage of ownership

If additional space is needed, attach a document identifying all required information noted below.

Owners: Proprietors, Partners, Members, or Stockholders

Name	% of Ownership	Name	% of Ownership
Name	% of Ownership	Name	% of Ownership
Name	% of Ownership	Name	% of Ownership
Name	% of Ownership	Name	% of Ownership

Principal Parties

Officers

President	Vice President	Secretary
Treasurer	Other	Other

Directors

Name	Name	Name
Name	Name	Name
Name	Name	Name

Other Principal Parties (Members, Managers, Etc)

Name	Name	Name

Name	Name	Name
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Section 4: Disclosure Questions

If the answer to any of the below questions is "YES", provide a summary of each event or proceeding and copies of relevant documents as an attachment.

	YES	NO
(A) Has the entity or control affiliate ever:		
1) been convicted of or pled guilty or <i>nolo contendere</i> ("no contest") to a felony in a domestic, foreign, or military court; or	<input type="checkbox"/>	<input type="checkbox"/>
2) been charged with any felony?	<input type="checkbox"/>	<input type="checkbox"/>
(B1) During the past ten (10) years, has the entity or control affiliate been convicted of or pled guilty or <i>nolo contendere</i> in a domestic, foreign, or military court to committing or conspiring to commit a misdemeanor involving: financial services or a financial services related business, fraud, false statements, theft or wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion?	<input type="checkbox"/>	<input type="checkbox"/>
(B2) Are there pending charges against the entity or a control affiliate for a misdemeanor specified in (B1)?	<input type="checkbox"/>	<input type="checkbox"/>
(C) In the past ten (10) years, has any state, federal, or foreign regulatory agency ever:		
1) found the entity or a control affiliate to have made a false statement or omission or been dishonest, unfair, or unethical;	<input type="checkbox"/>	<input type="checkbox"/>
2) found the entity or a control affiliate to have been involved in a violation of a financial services related regulation(s) or statute(s);	<input type="checkbox"/>	<input type="checkbox"/>
3) found the entity or a control affiliate to have been the cause of a financial services related business having its authorization to do business denied, suspended, revoked or restricted;	<input type="checkbox"/>	<input type="checkbox"/>
4) entered an order against the entity or control affiliate in connection with a financial services related activity; or,	<input type="checkbox"/>	<input type="checkbox"/>
5) denied, suspended, or revoked the entity's or a control affiliate's registration or license or otherwise, by order, prevented it from associating with a financial services related business or restricted its activities?	<input type="checkbox"/>	<input type="checkbox"/>
(D) Has the entity's or a control affiliate's authorization to act as an attorney, accountant, or state or federal contractor ever been revoked or suspended?	<input type="checkbox"/>	<input type="checkbox"/>
(E) Is the entity or a control affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Section C(4)?	<input type="checkbox"/>	<input type="checkbox"/>
(F1) Has any domestic or foreign court in the past ten (10) years:		
a) enjoined the entity or control affiliate in connection with any financial services related activity;	<input type="checkbox"/>	<input type="checkbox"/>
b) found the entity or a control affiliate to be in violation of any financial services related statute(s) or regulation(s); or	<input type="checkbox"/>	<input type="checkbox"/>
c) dismissed, pursuant to a settlement agreement, a financial services related civil action brought against the applicant or control affiliate by a state or foreign financial regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
(F2) Is the entity or a control affiliate named in any pending financial services related civil action that could result in a "yes" answer to any part of (F1)?	<input type="checkbox"/>	<input type="checkbox"/>
(G) Has a bonding company ever denied, paid out on, or revoked a bond for the entity?	<input type="checkbox"/>	<input type="checkbox"/>
(H) Does the entity have any unsatisfied judgments or liens against it?	<input type="checkbox"/>	<input type="checkbox"/>

The following questions are to be answered by Pawnshop License Applicants only.

(I) If applicant intends to deal in firearms, has applicant applied for or obtained a Federal Firearms License?

(J) Within what municipal jurisdiction is the shop to be located?

(K) If the application is for a new pawnshop license, provide the straight-line distance from the proposed location to the nearest operating pawnshop. *(Be exact)*

The undersigned affirms that all answers made in the application for license, disclosure of owners and principal parties, application questionnaire and disclosure questions, and in all supporting schedules and exhibits are true, correct, and complete and are made for the purpose of securing the license(s) indicated here. The applicant is of good moral character, good business repute, and possesses the character and general fitness necessary to warrant belief that the applicant will operate the business lawfully and fairly within the provisions of the Texas Finance Code. FALSE OR MATERIALLY INCOMPLETE ANSWERS ARE GROUNDS FOR DENIAL.