



OCCC

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Regulated Lender Transfer of License Application Checklist

Checklist for New Applications

Below is a checklist designed to assist you in compiling and submitting required documents for a new pawnshop license application. Ensure all required and applicable documents are submitted with the application.

The OCCC processes completed applications in the order in which they were received. The OCCC may request additional information to fully process application materials in accordance with statute and administrative rules. An application is not considered complete until all required documents and supporting materials are received by the agency.

It is recommended that the applicant review Chapters 342 and 345 of the Texas Finance Code and Chapter 83, Subchapter A of the Texas Administrative Code prior to completing the application materials.

REQUIRED INFORMATION FOR ALL APPLICANTS

- Business Information:
 - Ownership Structure
 - ☐ - Identification of Principle Parties and Contact Info
 - Business Location & Contact Info
 - Compliance Office Name and Contact Info
- ☐ Statutory Agent Disclosure
- ☐ [Statement of Experience](#) *
- ☐ [Financial Statement](#) (or Current Balance Sheet) *
- ☐ Supporting Financial Information [Part 1](#) / [Part 2](#) *
- ☐ Copies/Samples of Loan Documents and Forms to be used in financing operations/transactions.
- ☐ [Business Operations Plan](#) *
- ☐ Copy of any document that transferred ownership in a license by gift, devise, or descent. (7 TAC §83.303(c)(1)(c))
- ☐ Permission to operate (7 TAC 83.303(d))
- ☐ Proof of filing an assumed name (d/b/a), if applicable

Each Principal Party must submit the following:

- ☐ Personal Affidavit
- ☐ Personal Employment History
- ☐ Personal Questionnaire
- ☐ Electronic Fingerprints

Fingerprint Submission

All principals identified in the Application for License (ADM10) are required to provide fingerprints electronically.

The OCCC will issue fingerprint authorization forms, including instructions on how to provide electronic fingerprints and current fees, to the principal party or applicant after an initial review of the application package has been conducted.

Applicants and Principal Parties should not send fingerprints prior to receiving this authorization. Payment of fees for fingerprint processing will be made directly to the third-party vendor.

ADDITIONAL REQUIREMENTS: CORPORATIONS

- ☐ Certificate of Good Standing with Texas Comptroller of Public Accounts
- ☐ Most Recent Quarterly & Annual Reports (*Publicly-Held Corporations Only*)
- ☐ Certificate of Authority to Operate in Texas (*Foreign Corporations Only*)
- ☐ Articles of Incorporation
- ☐ Corporate Bylaws
- ☐ If parent corporation is sole or part owner, narrative describing each level of ownership and management, up to natural person (not another entity)
- ☐ Minutes of corporate meetings recording the selection of all current officers and directors, the appointment of the statutory agent, and other pertinent items.

ADDITIONAL REQUIREMENTS: LIMITED LIABILITY COMPANIES

- ☐ Certificate of Authority to Operate in Texas (*Foreign Companies Only*)
- ☐ Articles of Organization
- ☐ Operating Agreement
- ☐ Minutes of members appointing the statutory agent and electing the management names in the operating agreement.

ADDITIONAL REQUIREMENTS: PARTNERSHIPS

- ☐ Partnership Agreement, signed and dated by all partners
- ☐ Certificate of Authority to Operate in Texas (*Foreign Limited Partnerships Only*)
- ☐ Articles of Partnership, as filed with Texas Secretary of State (*Limited Partnerships Only*)
- ☐ Financial Statement or Current Balance Sheet of each partner (*General Partnerships Only*)

ADDITIONAL REQUIREMENTS: TRUSTS

- ☐ Copy of the instrument that created the Trust, and Trust Agreement

ADDITIONAL REQUIREMENTS: ESTATES

- ☐ Copy of the instrument that established the estate

ADDITIONAL REQUIREMENTS: FOREIGN ENTITY

- ☐ [Statement of Recordkeeping](#) *

** Download and complete these documents. You will be asked to upload the completed documents during the application process.*