



# Regulated Lender Transfer Application Checklist

To gain familiarity with the rules and statutes, please review Chapter 342 of the Texas Finance Code and Chapter 83 of the Texas Administrative Code before submitting an application.

Keep copies of all documents uploaded in ALECS. Create an account and submit application in ALECS [here](#).

## Required for ALL Applicants:

1. Statement of Experience [Form](#)

2. Business Operations Plan [Form](#)

3. Approved Loan Documents

Do not submit a contract for review with your application.

Approved vendors listed [here](#).

Contract submission information is [here](#).

4. Assumed Name Certificate.

Only if applicant has a DBA.

5. Financial [Forms](#):

Financial Statement

Financial Statement: Schedules 1 - 3

Financial Statement: Schedules 4 - 6

6. Copy of any documents that transferred ownership per TAC [§83.303](#)(c)(1)(c)

7. Permission to operate per TAC [§ 83.303](#)(d)

8. Bank [Confirmation](#).

9. Each principal party must provide:

1. Personal Employment History\*\*

2. Personal Questionnaire\*\*

3. Personal Affidavit\*\*

4. Electronic Fingerprints

After application fee is paid, principal parties should schedule appointments.

Instructions are available [here](#).

\* Forms are available [here](#).

\*\* Only use forms if not prompted for entry in ALECS.

## Additional Requirements: LLCs (Limited Liability Companies)

- Certificate of Authority to Operate in Texas (Foreign Companies Only)
- Articles of Organization
- Certificate of Good Standing with Texas Comptroller of Public Accounts ( [Franchise Tax Account Status](#) )
- If parent corporation is sole or part owner, a narrative describing each level of ownership and management up to natural person (not another entity).

## Additional Requirements: Partnerships

- Partnership Agreement, signed and dated by all partners
- Foreign Limited Partnerships Only- Certificate of Authority to Operate in Texas
- Limited Partnerships Only-Articles of Partnership as filed with Texas Secretary of State
- If parent corporation is sole or part owner, a narrative describing each level of ownership and management up to natural person (not another entity)
- Certificate of Good Standing with Texas Comptroller of Public Accounts ( [Franchise Tax Account Status](#) )



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### Additional Requirements: Corporations

- Certificate of Good Standing with Texas Comptroller of Public Accounts ([Franchise Tax Account Status](#))
- Articles of Incorporation
- Most Recent Quarterly & Annual Reports (Publicly-Held Corporations Only)
- Certificate of Authority to Operate in Texas (Foreign Corporations Only)
- If parent corporation is sole or part owner, a narrative describing each level of ownership and management, up to natural person (not another entity).

### Additional Requirements: Trusts

- Copy of the instrument that created the Trust and Trust Agreement
- If parent corporation is sole or part owner, a narrative describing each level of ownership and management up to natural person (not another entity).

### Additional Requirements: Estates

- Copy of the instrument that established the estate
- If parent corporation is sole or part owner, a narrative describing each level of ownership and management up to natural person (not another entity).

### Additional Requirements: Foreign Entities

- If parent corporation is sole or part owner, a narrative describing each level of ownership and management up to natural person (not another entity).