

**STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
DEPARTMENT OF BUSINESS REGULATION
DIVISION OF BANKING
1511 PONTIAC AVENUE
CRANSTON, RI 02920**

COMPANY NAME: _____

LOCATION: _____

AUTHORIZATION FOR BACKGROUND CHECK AND RELEASE

I, _____,
(Full Name and Title)

of _____,
(Residence Address, City, State, Zip Code)

having a date of birth of _____ and social security number of _____ hereby voluntarily direct and authorize the Division of Banking of the Department of Business Regulation to utilize the above information as part of its evaluation of my general character and financial condition. The information may be used for purposes of obtaining a credit report on me and/or may be shared with the Bureau of Criminal Identification of the Department of the Attorney General for the State of Rhode Island to make available to the Department of Business Regulation any criminal record or other disposition that the Bureau of Criminal Identification has on file in reference to me.

I hereby waive and release any and all manner of actions, cause of actions, and demands of every kind, nature and description, arising from any release of criminal records and requests therefrom, whatsoever against the State of Rhode Island, the Bureau of Criminal Identification, the Attorney General, the Department of Business Regulation, the employees of the Attorney General's Office and the employees and officials of the Department of Business Regulation in both law and equity which I may now have or in the future may have.

(Full Name, Please Print)

(Signature)

Sworn to before me on this _____ day of _____, 20____

Notary Public

My Commission Expires: _____

Upon the filing of an initial application or upon a change in: any holder of 10% or more of the voting stock or equity interest; director; principal officer; or manager (licensees only), such holder of 10% or more of the voting stock or equity interest; director, officer, manager of a regulated entity must provide a **signed** response to the following questions with a signed explanation for any affirmative response (additional copies of this page may be reproduced as needed):

Has the director, officer, manager or principal stockholder or any organization in which said person served as a director, officer, manager, or a principal stockholder ever:

1. Made application for a financial license in this state or any other state that was denied, refused or withdrawn, or had a financial license suspended, revoked or canceled?

YES _____ NO _____

2. Been enjoined or restrained by order of any court from continuing any conduct or practice in connection with the type of activity for which a license is being requested?

YES _____ NO _____

3. Adversely been the subject of or named in any order issued by any court, official or agency of any state or other authority engaged in regulating the business activity for which a license is being requested?

YES _____ NO _____

4. Been the subject of any bankruptcy, receivership, or insolvency proceedings?

YES _____ NO _____

5. For any violation of law other than a motor vehicle violation been (check all that apply):

Arrested YES _____ NO _____ Prosecuted YES _____ NO _____
Indicted YES _____ NO _____ Convicted YES _____ NO _____

6. A copy of a valid picture ID, such as a Driver's License or passport.

I _____, certify that
(Full Name and Title)

the above responses are true and accurate to the best of my knowledge and belief.

Signed _____ Title _____

Date _____