



State of Rhode Island
Department of Business Regulation



DIVISION OF BANKING
 1511 Pontiac Avenue, Bldg. 69-2
 Cranston, Rhode Island 02920
 Telephone (401) 462-9503 - Facsimile (401) 462-9559

AUTHORIZATION FOR BACKGROUND CHECK AND RELEASE

Company Name _____
Address _____
City, State, Zip Code _____

I, _____,
 (Type or Print Full Name and Title)

_____ **Maiden Name or Former Name**
 of _____,
 (Type or Print 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 there from, 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.

Upon submission of an application for licensure or a change in a licensee's officers, directors, manager or principal owner as defined in R. I. Gen. Laws § 19-14-1(10), each such officer, director, manager or principal owner must provide a signed response to the questions on Page 2 of 2. An affirmative response to any question requires a signed explanation. (Additional copies of this form may be reproduced as needed.)

Company Name _____

Individual's Name _____
(Type or Print Full Name)

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 Made application for a financial license in this state or any other state that was denied, refused or withdrawn, or had a financial license suspended, revoked or canceled?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. Attach copy of a Photo ID (i.e. Valid Drivers License or ID Card.)

7. Manager's must also attach a resume that details the individual's work experience for a minimum of five (5) years immediately preceding this filing, educational background, and designations achieved.

The undersigned certifies that the above responses are true and accurate to the best of my knowledge and belief.

Full Name (Type or Print) _____ Title _____

Signature _____ Date _____

Notary Public _____

Notary Seal

My Commission Expires _____, 20_____