

DIVISION OF BANKING 1511 Pontiac Avenue, Building 68-1 Cranston, Rhode Island 02920

Telephone (401) 462-9503 - Facsimile (401) 462-9532

TO: LENDER, SMALL LOAN LENDER, LOAN BROKER AND THIRD PARTY LOAN SERVICER LICENSEES

RE: FINAL ANNUAL REPORT

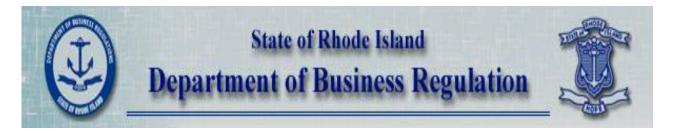
PLEASE READ ALL DOCUMENTS CAREFULLY

R. I. Gen. Laws \$19-14-16 requires any licensee terminating business to notify the Division of Banking ("Division") of such termination in writing <u>within twenty-four (24) hours from the termination of business</u>¹ at the licensed location.

The Final Annual Report ("Report") must be completed and filed *via a PDF Email attachment to* <u>sara.cabral@dbr.ri.gov</u> for receipt by the Division, in accordance with the provisions of R. I. Gen. Laws §§ 19-14-16 and 19-14-22, as amended, within the earlier of thirty (30) days of receipt by the Division of written notice of the surrender of the license, or sixty (60) days of termination of business under the Rhode Island License(s), in order to complete the surrender of a license and to avoid late filing penalties of twenty-five dollars (\$25.00) per day. Please submit payment of the filing fee of fifty-five dollars (\$55.00) for each license and each branch certificate included in the Report. Cancellation or surrender of a license will not be complete until receipt by the Division of a properly completed Report including applicable filing fees.

Please contact Supervisor of Examinations, Sara Paterson Cabral, at (401) 462-9570 or <u>sara.cabral@dbr.ri.gov</u> or Senior Bank Examiner, Emilia Giorno, at (401) 462-9567 or emilia.giorno@dbr.ri.gov if you have any questions related to the filing of this Report.

¹ For purposes of R. I. Gen. Laws §19-14-16 a licensee terminates business when it no longer engages in activity governed by the Rhode Island license, whether or not the licensee terminates all other business.



DIVISION OF BANKING 1511 Pontiac Avenue, Building 68-2 Cranston, Rhode Island 02920 Telephone Number (401) 462-9503 – Facsimile (401) 462-9532

FINAL ANNUAL REPORT

LENDER / SMALL LOAN LENDER / LOAN BROKER / THIRD PARTY LOAN SERVICER

FOR THE PERIOD FROM JANUARY 1ST THROUGH THE DATE OF TERMINATION OF BUSINESS

Pursuant to Sections 16 and 22 of Chapter 14 of Title 19 of the General Laws of Rhode Island, each Rhode Island LENDER, SMALL LOAN LENDER, LOAN BROKER, AND THIRD PARTY LOAN SERVICER LICENSEE must file this Final Annual Report ("Report") in order to surrender a license issued pursuant to Chapter 14 of Title 19 of the Rhode Island General Laws.

License Number(s)

#

Name of Licensee **as it Appears on the Main Office License** (include d/b/a if applicable)

Street, City, State, Zip Code (Address as it Appears on the Main Office License)

NOTE:

The Licensee may be subject to late filing penalties in accordance with R. I. Gen. Laws § 19-14-22 at the rate of twenty-five dollars (\$25) per day <u>and/or examination fees</u> <u>pursuant to R. I. Gen. Laws § 19-14-23</u> if an incomplete Report is submitted.

NOTE: The accuracy and correctness of this Report must be attested to by: 1) in the case of a **Corporation or Limited Liability Company**, at least **two (2) Members of the Board of Directors**; 2) in the case of a **Partnership**, by at least **two (2) Partners**; or 3) in the case of a **Sole Proprietorship**, by the **Owner**.

The penalty, upon conviction, of filing any false entry in the Report is a maximum of \$50,000 and imprisonment for up to twenty (20) years.

We, the undersigned, have examined the contents of this Report and attest to the completeness, accuracy and correctness of this Report.

Signature of Director	Date
Signature of Director	Date
Signature of Partner	Date
Signature of Partner	Date
Signature of Owner	Date

THIS REPORT (6 OF 6 PAGES) IS A TIME SENSITIVE DOCUMENT. PLEASE FORWARD THE REPORT TO THE OFFICER/PERSON RESPONSIBLE FOR ITS COMPLETION IMMEDIATELY

Final Annual Report_Lender, Small Loan Lender, Loan Broker, Third Party Loan Servicer: Revised 05/31/2017

Schedule A - Rhode Island Licensed Activity from January 1st to the Date of Termination of Business¹

1. License Number(s)

ber(s) #_____#____

2. LENDER AND SMALL LOAN LENDER LICENSEES ONLY

a) Number and original dollar amount of loan applications taken <u>(including withdrawn and denied applications</u>) and/or of retail installment contracts purchased under the Rhode Island Lender and/or Small Loan Lender license(s) from January 1ST through the date of the termination of business.

		Number of Loans	Dollar Amount
i.	Mortgages	#	\$
ii.	Auto, personal & other loans excluding loans originated under a Small Loan License	#	\$
iii.	Small Loans	#	\$
iv.	Total loan applications taken through the date of termination of business (all types)	#	<u>\$</u>

b) Number of loans held under the Rhode Island Lender and Small Loan Lender license(s) and dollar amount of said loan balances carried on the books of the licensee as loan receivables (**including retail installment contracts purchased**) as of the date of the termination of business.

		Number of Loans	Dollar Amount
i.	Mortgages	#	<u></u> \$
ii.	Auto, personal & other loans excluding loans originated under a Small Loan License	#	_\$
iii.	Small Loans	#	\$

3. LOAN BROKERS LICENSEES ONLY

Number and dollar amount of loan applications taken <u>(including withdrawn and denied applications</u>) under the Rhode Island Loan Broker license from January 1, 2012 through the date of the termination of business.

		Number of Loans	Dollar <u>Amount</u>	Fees Generated ²
i. ii.	Mortgages Other Loans	# #	\$\$	\$ \$
iii.	Total loan applications taken through the termination of business.	#	\$	\$

4. THIRD PARTY LOAN SERVICER LICENSEES ONLY

Number and dollar amount (unpaid balance) of loans serviced acquired under the Rhode Island Third Party Loan Servicer license(s) from January 1, of this current year through the date of the termination of business.

	Number of	
	Loans	Dollar Amount
Rhode Island Loans	#	\$

Final Annual Report_Lender, Small Loan Lender, Loan Broker, Third Party Loan Servicer: Revised 05/31/2017

¹ Include only Rhode Island activity.

² Fees shall include origination, broker and any form of compensation received as a result of the licensed activity.

Schedule B - Miscellaneous Information

1. Provide the Name of the Surety who issued the Bond along with the Bond Number and Bond Amount for each Bond outstanding as of the filing of this Report.

	Name of Surety (not agent)					
	License Number	Bond Number	Amount			
	License Number	Bond Number	Amount			
	License Number	Bond Number	Amount			
		v bonds issued must remain on file with the R. I. Gen. Laws § 9-1-1 <i>et seq.</i>).	e Division until the applicable statute of limitations for			
2.	· · · · · · · · · · · · · · · · · · ·	telephone number of the attorney (other to will accept service of process pursuant t	than the manager or an official of the licensee) or o R. I. Gen. Laws §19-14-10			
	Name					
	Street					
	City, State & Zip Code					
	Telephone Number					
3.	Provide the name, address, tele	phone and fax number of the custodian of	f the records for the canceled license.			
	Name of Custodian of the Rece	ords				
	Street					
	City, State & Zip Code	City, State & Zip Code				
	Telephone Number (<u>toll free</u> i	Telephone Number (<u>toll free</u> if applicable)				
	Fax Number	Fax Number				
4.	Provide the address, telephone and fax number of the location of the records for the canceled license(s).					
	Street					
	City, State & Zip Code					
	Telephone Number (<u>toll free</u> i	Telephone Number (<u>toll free</u> if applicable)				
	Fax Number					
5.	Reason for termination of busi	ness under the Rhode Island License (Ch	eck $(\sqrt{)}$ only one):			
	b all Rhode Island federal law.		ng activity continues pursuant to authority under			
		Laws § 19-14.1-10(a)(4) relating to banks	ng activity continues pursuant to an exemption s, financial institutions or credit unions organized			
	Island License check $()$ <u>"i"</u> b applicant's address, scheduled	elow and provide on a separate sheet a list	<u>a</u> date of termination of business under the Rhode t containing the name of the applicant along with the ed and the identity of the person to whom said loans			
	i. List of pending applic	ations/transfer enclosed				
	ii. No applications/trans	ers pending				

Schedule B - Miscellaneous Information (continued)

6. a. If the licensee <u>will not retain</u> the funded/originated/serviced loans in portfolio as of the date of termination of Rhode Island business, provide the name, address, telephone and fax number and type of entity who will <u>retain and service</u> said loans (you may attached additional report if necessary)

	NameStreet	
	City, State & Zip Code	
	Telephone Number (<u>toll free</u> if applicable)	
	Fax Number	
	Type of entity	
b.	If the licensee is a Rhode Island Loan Broker or will retain the loans in portfolio as of the date of termination of Island, business indicate " Not Applicable " for this Item where indicated below:	f Rhode
	Not Applicable:	
Pro	ovide the name, telephone and fax number of the individual authorized to respond to questions about this Report	
Naı	me	
Titl	le	
Tel	lephone Number (<u>toll free</u> if applicable) Fax Number	
E-n	mail Address	
	(Must be Provided)	
Pro	ovide the date of termination of business under the Rhode Island License(s).	
	HERE INSUFFICIENT SPACE IS PROVIDED TO SET FORTH THE FACTS ADEQUATELY, ATTACH SCHEDULE INDICATING THE DETAILS.	
	CHECK MUST BE MADE PAYABLE TO	
	"GENERAL TREASURER - STATE OF RHODE ISLAND" PLEASE NOTE: CHECKS WITH THE INCORRECT PAYEE WILL BE RETURNED	

7.

8.

Return Check To Department of Business Regulation Division of Banking 1511 Pontiac Avenue, Building 68-1 Cranston, RI 02920

Please contact Supervisor of Examinations Sara Paterson Cabral at (401) 462-9570 or <u>sara.cabral@dbr.ri.gov</u> or Senior Bank Examiner, Emilia Giorno at (401) 462-9567 or <u>emilia.giorno@dbr.ri.gov</u> if you have any questions related to the filing of this Report. The Division prefers to respond to questions in advance so licensees may avoid Report filing delays and the penalties associated with the filing of an incomplete or inadequate Report.

Late Filing Penalties Are Twenty-Five Dollars (\$25) Per Day For The Delayed Filing Of The Report

Schedule E – Notary Public

This schedule is to be used to satisfy the signature witness requirement of the Report filing. The directors, partners, or sole proprietor signatures, whichever is applicable, appearing on page 1 of this Report are to be witnessed on this Schedule.

State of			
County of			
In	in said County on the	day of	20
before me personally appeared		, known by me to be	the party executing the
foregoing instrument, on behalf of	(Name of L	icensee)	("Licensee")
and he/she acknowledged said instrumer Licensee.	nt by him or her executed to be b	his or her free act and de	eed and the free act and deed of said
SEAL		Not	tary Public
State of			
County of			
In	in said County on the	day of	_20
before me personally appeared		, known by me to	be the party executing the
foregoing instrument, on behalf of	(Name of L		("Licensee")
and he/she acknowledged said instrumer Licensee.	nt by him or her executed to be l	nis or her free act and de	ed and the free act and deed of said
SEAL			

Notary Public

FINAL ANNUAL REPORT

LENDER / SMALL LOAN LENDER / LOAN BROKER / THIRD PARTY LOAN SERVICER

PAYMENT SCHEDULE	A COPY OF THIS SCHEDULE MUST ACCOMPANY YOUR PAYMENT			
	Column 1	Column 2	Column 3	Total Fee by Type
License Type	Main	# Branches	Total # Main and Branches	(column 3 multiplied by \$55)
Lender				
Loan Broker				
Small Loan Lender				
Third Party Loan				
Servicers				
Total by Type				

Licensee full legal name:

License Number(s)

Check must be payable to: "General Treasurer, State of Rhode Island"

Make a copy of this Completed Page 6 and mail the Original Completed Page 6 with your check to:

State of Rhode Island Department of Business Regulation Division of Banking 1511 Pontiac Avenue, Building 68-1 Cranston, RI 02920-4407

PAGES 1 THROUGH 5 MUST BE SUMBITTED AS A PDF ATTACHMENT VIA EMAIL TO:

sara.cabral@dbr.ri.gov

Final Annual Report_Lender, Small Loan Lender, Loan Broker, Third Party Loan Servicer: Revised 05/31/2017