

4. If you answer "YES" to any question below, provide a detailed written explanation and supporting legal documentation with the application.

Have you:

YES NO

- a. Been a defendant in any lawsuit involving claims of gross negligence, fraud, misrepresentation, mismanagement of funds, conversion, breach of fiduciary duty, breach of conduct, or deceit?
- b. Been the subject of any inquiry or investigation by the Minnesota Department of Commerce or ever been censured, suspended, revoked, cancelled or terminated or been the subject of any type of administrative action in any state including Minnesota, or by any other federal regulatory agency?
- c. Been found by any civil court to have failed to account to a client or customer for money or property collected for or on behalf of the client or customer?
- d. Been a principal or officer of any firm, corporation, partnership, or association, which has filed a bankruptcy petition, been declared bankrupt or filed personal bankruptcy?
- e. Been charged with, indicted for, or convicted of, or entered a plea to, any criminal offense (felony, gross misdemeanor or misdemeanor), other than traffic violations, in any state or federal court?
- f. Been notified by the Commissioner of Revenue pursuant to Minn. Stat. § 270.72 of delinquent taxes which are currently owed to the State of Minnesota?
- g. Have any unclaimed property (unclaimed funds or property over three years old) to report under Minn. Stat. § 345?

5. Do you have an ownership interest in or connection with any other licensee under Minnesota Statutes, Chapter 60A.957-9585?

YES NO If YES, explain: _____

6. Have you previously held a license under Minnesota Statutes, Chapter 60A.957-9585?

YES NO If YES, explain: _____

7. **APPLICATION FEE.** Include a check (only) for \$250 made payable to "Minnesota Department of Commerce."

AFFIDAVIT OF APPLICANT

I hereby certify that all the information contained in this application and any accompanying documents are true and correct to the best of my knowledge. I certify that this document has not been altered or changed in any manner from the form adopted by the Department of Commerce.

STATE OF _____)
COUNTY OF _____) ss.

Applicant Signature

Subscribed and sworn to before me, a Notary Public, this _____ day of _____, _____.

Notary Public Signature

NOTARY SEAL

State of _____

County of _____

My commission expires _____

