



85 – 7<sup>th</sup> PLACE EAST, SUITE 280  
ST. PAUL, MN 55101  
651-539-1599

## BACKGROUND HISTORY

# PRELIMINARY APPLICATION

Use this form to request a determination as to whether your criminal record or conviction would make you ineligible to receive an occupational or professional license, registration, or certificate issued by the Minnesota Department of Commerce, pursuant to Minn. Stat. § 214.035.

Please complete electronically or print legibly.

### YOUR INFORMATION

Full Legal Name (please print or type)		
Date of Birth (Month/Day/Year)		
Residence Address		
City	State	Zip Code
E-mail Address	CRD (Central Registration Depository) Number (if applicable)	

### LICENSE AREA INFORMATION

Please check the box next to each license area you are interested in becoming licensed in.

<input type="checkbox"/>	<b>REAL ESTATE</b> (salesperson, broker, limited broker, closing agent, abstractor)
<input type="checkbox"/>	<b>INSURANCE</b> (producer, adjuster, reinsurance intermediary)
<input type="checkbox"/>	<b>REAL PROPERTY APPRAISER</b>
<input type="checkbox"/>	<b>DEBT COLLECTOR</b>
<input type="checkbox"/>	<b>ATHLETE AGENT</b>
<input type="checkbox"/>	<b>COPPER SELLER</b>
<input type="checkbox"/>	<b>NOTARY</b>
<input type="checkbox"/>	<b>MORTGAGE</b> (individual mortgage loan originator)
<input type="checkbox"/>	<b>SECURITIES</b> (broker-dealer agent, investment adviser representative)

## REQUIRED DOCUMENTATION

Attach the indicated items to this form before you submit it.

Item	What should be submitted	What should NOT be submitted
<b>For each of the following:</b>  <b>Criminal conviction</b> (felony, gross misdemeanor, misdemeanor, or military offense)  <b>Criminal charge</b> (felony, gross misdemeanor, misdemeanor, or military offense)  <b>Withheld or deferred judgment</b> (felony, gross misdemeanor, misdemeanor, or military offense)	<ul style="list-style-type: none"><li>• A written statement explaining the circumstances of each incident; AND</li><li>• A copy of the charging document; AND</li><li>• A copy of the official document that demonstrates the resolution of the charges or any final judgment—often called a Sentencing Order</li><li>• CRD (Central Registration Depository) Number (if applicable)</li></ul>	<ul style="list-style-type: none"><li>• A Register of Actions (unless it contains an official court stamp confirming that it is the only document available)</li><li>• A case summary printout</li></ul>

**CERTIFICATION:** I certify that all of the information above is true and complete, and that this document has not been changed in any manner from the form adopted by the Department of Commerce.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**SUBMIT THIS FORM AND ATTACHED DOCUMENTATION VIA EMAIL TO THE ADDRESS INDICATED BELOW.**  
**If you have questions about the documentation submission process, please email the associated area.**

FOR THESE LICENSE AREAS:	EMAIL TO:
Real Estate Insurance Real Property Appraiser Debt Collector Athlete Agent Copper Seller Notary	licensing.commerce@state.mn.us
Mortgage	mortgage.commerce@state.mn.us
Securities	securities.commerce@state.mn.us



## **Tennessen Warning Notice of Collection of Private/Confidential Data**

Minnesota Department of Commerce approves or disapproves certain applications for licensure. This notice explains why we are requesting the private data about you, how we will use it, who will see it, and your obligation to provide the data.

### **Why are we asking you for this data and how will we use it?**

Minn. Stat. § 214.035 permits an individual to submit a preliminary application for a determination by Commerce as to whether a criminal record or conviction would make the individual ineligible to receive an occupational or professional license, registration, or certificate in an industry regulated by Commerce.

The requested data helps us to determine eligibility for licensure. The data is also used to comply with federal and state law and rules. We may ask for data about you, including your birthdate, to ensure we are reviewing the correct person and information.

### **Do you have to provide the requested data?**

You are not required to provide all of the data. However, if you do not provide the requested data, we will be unable to make a determination on your eligibility to receive an occupational or professional license, registration, or certificate.

### **What will happen if you do not provide the requested data?**

If you do not provide this data, the determination of eligibility may be delayed or denied.

### **Who else may see this data about you?**

We may give this data about you to the Legislative Auditor; BCA; the Department of Commerce; and any law enforcement agency or other agency with the legal authority to have the data; and anyone authorized by a court order. In addition, the parents of a minor may see data on the minor unless there is a law, court order, or other legally binding instrument that blocks the parent from that data.

Per Minnesota law this data may become public data upon receiving an occupational or professional license, registration, or certificate.

### **How else may this data be used?**

We can use or release this data only as stated in this notice unless you give us your written permission to release the data for another purpose or to release it to another individual or entity. The data may also be used for another purpose if Congress or the Minnesota Legislature passes a law allowing or requiring us to release the data or to use it for another purpose.