



New Application Checklist Jurisdiction-Specific Requirements



INDIANA-SOS PRINCIPAL MANAGER REGISTRATION

Instructions

1. A Principal Manager is required for all locations conducting transactions in Indiana and will require a filing of form MU4 through NMLS.
2. Total License costs: \$130.00 which includes the NMLS set-up fee. Additional charges for the FBI background check and the Principal Manager assessment are payable outside the NMLS and are noted in the checklist below.
3. All fees are collected through the NMLS except the FBI background check and assessment fees and ARE NOT REFUNDABLE.
4. Complete the Principal Manager Assessment and provide the passing certificate verifying the assessment was passed in the last 12 months. [Candidate Guide for Principal Manager Assessment.](#)
5. The regulator will review the filing and all required documents and communicate with you through NMLS once the checklist items have been received. To review your status in NMLS, click the Composite View Tab and View Individual.
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7. Jurisdiction-specific requirements as identified on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

*For U.S. Postal Service or Overnight
Delivery:*
*Indiana Secretary of State
Securities Division
302 W. Washington St.
Room E-111
Indianapolis, IN 46204*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	FBI BACKGROUND REPORT. Include a copy of the receipt from the fingerprinting site once you have been fingerprinted. Please see the following instructions on obtaining the FBI criminal background check for more detail. FBI Criminal Background Report Instructions
<input type="checkbox"/>	<input type="checkbox"/>	EDUCATION CERTIFICATES. Provide Certificates of Completion for all courses completed
<input type="checkbox"/>	<input type="checkbox"/>	ASSESSMENT RESULTS. Provide a copy of the passing results.
<input type="checkbox"/>	<input type="checkbox"/>	SUPPORTING DOCUMENTS. Provide any supporting documentation that may be necessary including resumes showing detailed experience.
<input type="checkbox"/>	<input type="checkbox"/>	DISCLOSURE QUESTIONS. Provide complete details of all events or proceeding for any "Yes" answer to any of the Disclosure questions and provide a copy of any applicable orders or documents.

WHO TO CONTACT – Contact *Indiana Secretary of State, Securities Division* licensing staff by phone at 317-232-6681 or send your questions via e-mail to ejwise@sos.in.gov for additional assistance.

THE APPLICANT/REGISTRANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE REGISTRATION FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.