

Regulated Lenders New Application Checklist

Required for all applicants:

1. Statement of Experience ([Form](#))
2. Business Operation Plan ([Form](#))
3. Financial Statement ([Form](#))
4. Supporting financial information (Form [AMD 18](#) & [ADM 19](#))
5. Bank Confirmation ([Form](#))
6. Loan Document – Loan documents not already approved by the OCCC must undergo review with [Plain Language](#) for approval prior to approval of a license
7. License application fee \$800* as of 01/2020**
8. Statutory agent – A Texas resident and an address different from the proposed business location
9. Statement of Record – An address of where the business records will be stored
10. [Principal Party Information](#)
 - a. Personal Affidavit
 - b. Personal Employment History (10 years of **consecutive data** prior to the application submission date)
 - c. Personal Questionnaire
11. Fingerprints (Receipt received at the IDENTOGO office) Your reviewer will send you instructions to schedule & complete your fingerprints.

Items 7-10 are processed/entered in ALECS

This is a general checklist. For more detail, review [Texas Administrative Code §83](#), the authority over application requirements

It is recommended that the applicant review Texas Finance Code [342](#) prior to submitting the application.

**License fees are subject to change*

*** As of 01/2020 REG licenses are renewed in December annually regardless of when the license was acquired.*

Additional Requirements For LLC's Corporations, LTD's:

- [Articles of Incorporation from the Texas Secretary of State](#) - (Certificate of Formation, Application for Registration, Certificate of Authority. A Certificate of Filing will not meet this requirement.
- Certificate of Good Standing - (Now known as a [Franchise Tax Account Status](#) from the Texas Comptroller's Office) Upload a screenshot of the results with an "As of" date of no more than 3 months prior to the application submission date and an "Active" status.
- If a parent company holds part or whole ownership of the applying entity, upload a statement or diagram describing each level of ownership/management of the parent company(ies) up to a natural person (not another entity)

Additional requirements for:

Trusts:

- The instrument that created the Trust & Trust Agreement

General Partnerships:

- Partnership Agreement, signed & dated by all partners

Estates:

- The instrument that established the Estate

DBA/Assumed Names

If you will be using/operating under a DBA, you must provide the proof* of filing.

Sole Proprietors & General Partnerships:

Assumed Name Certificate from the County Clerk

All others: Assumed Name Certificate from the Texas Secretary of State

**Proof will be uploaded in ALECS during the application process.*