



NYS DEPARTMENT OF FINANCIAL SERVICES

SURETY BOND CERTIFICATION

(to be completed with the submission of individual mortgage loan originator surety bonds only)

NAME OF MORTGAGE LOAN ORIGINATOR: _____

NMLS NUMBER: _____ **DATE LICENSED BY DFS:** _____

| Name of Sponsoring Entity (Employer) | NMLS Number of Sponsor | Period of Employment (start and end dates) | \$ Volume of Loans Originated* | \$ Amount of Bond Coverage | Date Coverage Began |
|---|------------------------|--|--------------------------------|----------------------------|---------------------|
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| Please provide summation of the total \$ volume of Loans Originated while employed by each sponsor and the required \$ Amount of Bond Coverage on last line of each column | | | | | |

[Add additional sheets as necessary]

*represents aggregate dollar amount of loans originated for preceding calendar year or period of employment if less than 12 months. Do not include loans on "investment property". **REMINDERS:** Resubmission of a surety bond certification is required upon changes in employment during a calendar year; new bond certification is required to be submitted at time of MLO licensure renewal. Cancellation of a surety bond requires prior written notification to the Department by registered mail or by certified mail return receipt requested.

Please complete the next section, sign where indicated and notarize.

I, _____, hereby subscribe and affirm, under penalty of perjury, that I have personally reviewed this Surety Bond Certification form and certify that the information contained in this Certification is true and accurate and does not contain any omission of a material fact. Further, I shall promptly notify the Superintendent of any changes affecting this Certification, including but not limited, to my termination of employment as indicated in this Certification, or a change in my license status in New York or any other State.

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|----------------------|--|-----------|--|---------|-------|
| Signature of MLO: | | Title: | | Date: | |
| Signature of Notary: | | Notary #: | | County: | Date: |

Instructions for Filling out the Surety Bond Certification Form

1. Name of Sponsoring Entity (Employer): For this column, the applicant is to indicate the legal name of his/her employer (sponsor) that is legally required to be used to do business in New York (obtain this information from your employer).
2. NMLS Number of Sponsor: For this column, the applicant is to indicate the NMLS identification number of his/her sponsor.
3. Period of Employment (start and end dates): For this column, the applicant must indicate the start and end date (if applicable) for every employer worked for during the calendar year.
4. \$ Volume of Loans Originated: For this column, the applicant must indicate the total volume of loans originated for the preceding calendar year or period of employment if less than 12 months for each employer. All loans must be aggregated and indicate at the end of the column. Do not include loans on investment property.
5. \$ Amount of Bond Coverage: For this column, the applicant must indicate his/her required amount of bond coverage. Please refer to the Mortgage Loan Originator Surety Bond Instruction grid (1st chart in the general instructions posted on the website) for the required amount of bond coverage which is based on your aggregate amount of New York loans originated.
6. Date Coverage Began: For this column, the applicant is to indicate the date his/her bond coverage became effective.

REMINDERS:

1. The Surety Bond Certification must be completed by applicant.
2. The Surety Bond Certification must be signed and stamped by the Notary certifying this form.
3. The applicant should submit the original form with the Notary stamp (no photocopies will be accepted)
4. Resubmission of a surety bond certification is required upon changes in employment during a calendar year
5. A new bond certification is required to be submitted at time of MLO licensure renewal.
6. Cancellation of a surety bond requires prior written notification to the Department by registered mail or by certified mail return receipt requested.