



STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF CONSUMER SERVICES

P.O. Box 41200 • Olympia, Washington 98504-1200

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WASHINGTON STATE 2009 CONSUMER LOAN MAIN OFFICE CLOSURE/LICENSE SURRENDER FORM

Use this form if you are surrendering a Consumer Loan license or closing your consumer loan business.

INSTRUCTIONS

- 1. Your books and records must be accessible to DFI (in Washington State, unless special permission has been granted to maintain records outside the state of Washington) pursuant to RCW 31.04.155, WAC 208-620-380(2), and WAC 208-620-520.**
 - Complete the enclosed forms about the records' location and custodian information. If this information changes, you must provide written notice of the changes to DFI.
 - You must preserve the books, accounts, records, papers, documents, files, and other information relevant to your Washington loans for at least twenty-five months after making the final entry on any loan. See RCW 31.04.155. You may have to preserve the records, portions of the records, longer if required by other state or federal law(s).
 - You must preserve the records in a manner that protects all non-public personal information in accordance with the Gramm-Leach-Bliley Act, 15 U.S.C. Sec. 6801-6809, and the GLBA-mandated Federal Trade Commission (FTC) privacy rules, at 16 C.F.R. Parts 313-314., and any other applicable privacy laws.
- 2. Complete the additional information section.**
 - Complete the enclosed forms about the future contact person and the pipeline information. If the future contact information changes, you must provide written notice of the changes to DFI.
- 3. Surrender the original Consumer Loan license issued to your Main Office location. If you cannot produce the original license, you must provide DFI with a written statement that the original license has been lost.**
 - You must also complete the *Consumer Loan Branch Office Surrender* form for all branches licensed to offer products and services in Washington. Use the form found at http://dfi.wa.gov/cs/pdf/clclosure_branch.pdf.
 - You must surrender all original branch office licenses or provide DFI with a written statement that the original license(s) have been lost.
- 4. Complete the Annual Assessment and Consolidated Annual Reports (attached) that covers Washington activities from January 1, 2009, through the effective date of closure or surrender.**
 - You must submit these reports even if you did no business in Washington since January 1, 2009.
 - Enclose your assessment fees check, payable to the "Washington State Treasurer."
 - Enclose your supporting list(s) of Washington loans (one for each assessment line item response that is not listed as none). These lists must be in electronic format using Microsoft Excel software (CDs should be password-protected).
 - Enclose your financial statements: Year-end Balance Sheet and Income Statement for 2008 and most recent quarter-ended statements for 2009. Statements must be prepared according to Generally Accepted Accounting Principles (GAAP), send audited if available. If you use net worth in lieu of the surety bond, you must send audited financial statements for 2008.

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ADDITIONAL INFORMATION

FUTURE CONTACT PERSON: _____

TITLE: _____

MAILING ADDRESS: _____

City

County

State

Zip

PHONE NUMBER: _____

EMAIL ADDRESS: _____

NUMBER OF WASHINGTON LOANS IN PIPELINE*: _____

HOW ARE THESE LOANS BEING HANDLED?

*Include a list in excel format of all outstanding Washington loans in the pipeline

REASON FOR SURRENDER/CLOSURE:

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ANNUAL ASSESSMENT REPORT (AAR)

CONSUMER LOAN COMPANY NAME: _____

LICENSE NUMBER: _____ **EFFECTIVE DATE OF CLOSURE/SURRENDER** _____

WASHINGTON STATE CONSUMER LOAN ACTIVITY (ANSWER EVERY QUESTION OR WRITE IN "NONE") Report All Loans Brokered, Made, Or Purchased: Regardless Of Interest Rate Or Lien Position		Number of Loans	Dollar Volume
MORTGAGE ACTIVITY: ASSESSMENT			
1	Enter the total principal balance of WA mortgage loans in your portfolio at year-end, December 31, 2008.		
2a	Enter the total principal amount of all WA mortgage loans you brokered from January 1, 2009, through the effective date of closure or surrender.		
2b	Enter the total principal amount of all WA mortgage loans you made from January 1, 2009, through the effective date of closure or surrender. Do not include canceled loans that did not fund.		
2c	Enter the total principal amount of all WA mortgage loans you purchased from January 1, 2009, through the effective date of closure or surrender. Include Table-Funded and Secondary Market transactions.		
2d	Subtotal: Add lines 1 through 2c. Enter this amount on line 5.		
NON-MORTGAGE ACTIVITY: ASSESSMENT			
3	Enter the total principal balance of WA non-mortgage loans in your portfolio at year-end, December 31, 2008.		
4a	Enter the total principal amount of all WA non-mortgage loans you brokered from January 1, 2009, through the effective date of closure or surrender. This is a rare activity in the industry.		
4b	Enter the total principal amount of all WA non-mortgage loans you made from January 1, 2009, through the effective date of closure or surrender. Do not include canceled loans.		
4c	Enter the total principal amount of all WA non-mortgage loans you purchased from January 1, 2009, through the effective date of closure or surrender. Include Table-Funded and Secondary Market transactions.		
4d	Subtotal: Add lines 3 through 4c. Enter this amount on line 6 below.		
ASSESSMENT FEE CALCULATION			Dollar Volume
5	Enter the total dollar volume from 2d here.		
6	Enter the total dollar volume from 4d here.		
7	Adjusted total loan value: Add lines 5 and 6.		
8	Assessment fee: multiply line 7 by .000180271 (round to the nearest cent) and enter the result here. Pay this amount. Make checks payable to the "Washington State Treasurer."		

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CONSOLIDATED ANNUAL REPORT (CAR), Page 1

CONSUMER LOAN COMPANY NAME: _____

LICENSE NUMBER: _____ **EFFECTIVE DATE OF CLOSURE/SURRENDER** _____

WASHINGTON STATE CONSUMER LOAN ACTIVITY (ANSWER EVERY QUESTION OR WRITE IN "NONE") Report All Loans Brokered, Made, Or Purchased: Regardless Of Interest Rate Or Lien Position		Number of Loans	Dollar Volume
INFORMATIONAL ACTIVITY:			
1	Enter the total principal balance of WA mortgage loans in your portfolio as of the effective date of closure or surrender.		
2	Enter the total principal balance of WA non-mortgage loans in your portfolio as of the effective date of closure or surrender.		
3	Washington mortgage loans that foreclosed from January 1, 2009, through the effective date of closure or surrender.		
4	Washington mortgage loans contractually delinquent 60 days or more from January 1, 2009, through the effective date of closure or surrender.		
5	For all loans that you own, enter the following information from January 1, 2009, through the effective date of closure or surrender.		
	5a. Interest Only Adjustable Rate Mortgages (ARMs)		
	5b. Payment Option ARMs		
	5c. Other first lien loans that permit negative amortization		
	5d. Introductory rate loans (Introductory rate loans: low initial payments based on a fixed introductory or "teaser" rate that expires after a short initial period then adjusts to a variable index rate plus a margin for the remaining term of the loan.)		
	5e. Balloon Payment Loans		

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AFFIDAVIT

(Please print neatly)

AFFIDAVIT OF PREPARER:

I hereby certify and swear (or affirm) under penalty of perjury that I have examined the information contained in this Annual Assessment Report (AAR), Consolidated Annual Report (CAR), and attached supporting documentation (including any accompanying schedules and statements – if any), and the reported information is correct and complete in accordance with the law, and further acknowledge that there are no misrepresentations or omissions of material facts.

Prepared By: _____

Signature

Date

Typed or printed name of preparer *Title*

Phone: _____ Ext: _____ Fax: _____ E-mail: _____

AFFIDAVIT OF COMPANY OFFICIAL:

I, _____ the undersigned being the _____
Type or Print Name of Company Representative *Title of Company Representative*

of _____, a Washington licensed Consumer Loan Company,
Print Company Name as Licensed

hereby certify and swear (or affirm) under penalty of perjury that I have examined the information contained in this Annual Assessment Report (AAR), Consolidated Annual Report (CAR), and attached supporting documentation (including any accompanying schedules and statements – if any), and the reported information is correct and complete in accordance with the law, and further acknowledge that there are no misrepresentations or omissions of material facts.

Signature of Company Representative

NOTARY:

Signed and sworn before me this _____ day of _____ 20_____ and

I hereby certify that I am not an officer or director of this company. _____

Signature of Notary Public

Notary Public in and for the:

notary seal here

State of _____

County of _____

My appointment expires: _____