

**FORM MTR**

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(To be left blank by all Applicants)

Name \_\_\_\_\_ License No. \_\_\_\_\_  
Location \_\_\_\_\_ Date Issued \_\_\_\_\_  
Classification \_\_\_\_\_ License Fee Received \_\_\_\_\_

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(To be filled in by all Applicants)

**APPLICATION FOR RENEWAL OF LICENSE PURSUANT TO  
THE ALABAMA MONETARY TRANSMISSION ACT**

To: STATE OF ALABAMA  
Alabama Securities Commission  
PO Box 304700  
Montgomery, AL 36130-4700

Date \_\_\_\_\_

The undersigned hereby makes application for the renewal of a license under the provisions of the Alabama Monetary Transmissions Act, Ala. Code Section 8-7A-1, et. seq. to engage in the business of selling or issuing payment instruments, stored value, or receiving money or monetary value for transmission in the State of Alabama. For the purpose of such application, the undersigned submits the following information:

1. The name of the Applicant is \_\_\_\_\_

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2. The address of the Applicant's principal office in the State of Alabama is:

\_\_\_\_\_

(street) (city) (county) (state) (zip)

3. If a foreign corporation, the address of the principal office of the corporation is:

\_\_\_\_\_

(street) (city) (county) (state) (zip)

4. The trade name(s) under which the Applicant proposes to operate, if any, is:

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5. Applicant's Email Address: \_\_\_\_\_

6. Has the Applicant undergone any change in name or ownership since filing its original application with the Commission? If so, describe any such changes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**GENERAL QUESTIONS**

1. Are you now engaged in the business of selling, or issuing payment instruments, stored value instruments or other instruments for the transmission or payment of money?

YES \_\_\_\_\_ NO \_\_\_\_\_

2. Are you now engaged in the business of receiving money or monetary value for transmission?

YES \_\_\_\_\_ NO \_\_\_\_\_

3. Do you carry on, or engage in any other business?

YES \_\_\_\_\_ NO \_\_\_\_\_

If the answer is "YES", describe the other businesses:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Do you operate at more than one location within the State of Alabama? YES \_\_\_\_\_ NO \_\_\_\_\_

Number of additional locations \_\_\_\_\_

(a) In your answer is "YES", provide the address of the location, and state the name and business address of the licensee or an authorized delegate of the licensee engaged in money transmission located at each location. This exhibit should be marked Exhibit A and attached to this application.

**DISCIPLINARY QUESTIONS**

**DEFINITIONS:**

"Applicant" shall mean and include an individual applicant as well as the officers, directors and controlling persons of any proprietorship, corporation, partnership, limited liability corporation or joint stock association applicant.

A. In the past ten years has the applicant been convicted of or pleaded guilty or nolo contendere ("no contest") to:

- (1) A felony or misdemeanor involving:  
Investment or an investment-related business  
Fraud, false statement, or omission  
Wrongful taking of property or  
Bribery, forgery, counterfeiting, or extortion

YES \_\_\_\_\_ NO \_\_\_\_\_

- (2) Any other felony?

YES \_\_\_\_\_ NO \_\_\_\_\_

B. Has any other federal regulatory agency or any state regulatory agency:

- (1) Ever found the applicant to have made a false statement or omission or been dishonest, unfair, or unethical?

YES \_\_\_\_\_ NO \_\_\_\_\_

- (2) Ever found the applicant to have been a cause of a money transmission business having its authorization to do business denied, suspended, revoked, or restricted?

YES \_\_\_\_\_ NO \_\_\_\_\_

- (3) In the past ten years, entered an order against the applicant in connection with a money transmission business?

YES \_\_\_\_\_ NO \_\_\_\_\_

- (4) Ever denied, suspended, or revoked the applicant's registration or license, prevented it from associating with a money transmission business, or otherwise disciplined it by restricting its activities?

YES \_\_\_\_\_ NO \_\_\_\_\_

**THE APPLICANT, BY THE EXECUTION OF THIS APPLICATION, ACKNOWLEDGES AND AGREES TO THE FOLLOWING CONDITIONS:**

A. Applicant agrees to operate the business in compliance with all orders, decisions or findings of the Alabama Securities Commission.

YES \_\_\_\_\_ NO \_\_\_\_\_

B. The Applicant agrees to maintain adequate records which disclose the true status of the Applicant's business, and will make such records available for examination upon request of representatives of the Alabama Securities Commission.

YES \_\_\_\_\_ NO \_\_\_\_\_

C. The Applicant agrees to maintain sufficient bank deposit balances at all times to cover Applicant's liability on account of checks, drafts, money orders, traveler's checks, stored value instruments, or receiving or monetary value for transmission in the state of Alabama.

YES \_\_\_\_\_ NO \_\_\_\_\_

D. Applicant agrees that upon receiving a license under the Act, it will maintain a bank deposit account for the payment of liabilities incurred in the business for which this license application is being filed. Applicant will keep and maintain in this account, at all times, a minimum amount equal to all outstanding liabilities.

YES \_\_\_\_\_ NO \_\_\_\_\_

**SIGNATURE OF APPLICANT**

For sole proprietor \_\_\_\_\_  
(Proprietor)

For Partnership \_\_\_\_\_  
(Name of partnership)

BY \_\_\_\_\_  
(General Partner)

(Seal of Corporation)

For Corporation, etc. \_\_\_\_\_

\_\_\_\_\_  
(Name of Corporation)

BY \_\_\_\_\_

(Name)

ITS: \_\_\_\_\_

For Limited Liability Corporation, Limited Liability  
Partnership \_\_\_\_\_

BY \_\_\_\_\_

(its Managing Member/Shareholder)

This application must be executed by a principal officer, partner or principal on behalf of the Applicant.

STATE OF \_\_\_\_\_

SS.

COUNTY OF \_\_\_\_\_

The undersigned being duly sworn deposes and says that he has executed the foregoing applications for and on behalf of the applicant named therein; that he is

\_\_\_\_\_

of such applicant and is fully authorized to execute and file such application; that he is familiar with such application; and that to the best of his knowledge, information and belief, the statements made in such application and the statements made in the exhibits submitted therewith, are true.

\_\_\_\_\_

Subscribed and sworn to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

\_\_\_\_\_

(Notary Public)