



Owner/Officer/Branch Manager Change Form

The Department of Banking and Securities requires all designated officers and office managers to obtain National Criminal History Record Information (Fingerprint Cards) and Pennsylvania Criminal Record Checks.

OWNER/OFFICER/BRANCH MANAGER

Office Location:

License #: _____

Company Name: _____

Street: _____

City: _____ State: _____ Zip: _____

Owner/Officer/Branch Manager Name:

(First) (MI) (Last)

Social Security Number: _____ Date of Birth: _____

Residential Address: _____
(Street Address)

(City) (State) (Zip)

Telephone # () Cell Phone #: ()

Email Address: _____

Effective Date of Change: ____ / ____ / ____ Title: _____

Has any director, officer, office manager or owner, etc. identified on this application ever been arrested for, charged with, convicted of, pled guilty to, or pled nolo contendere (no contest) or been given a diversionary sentence in lieu of conviction to any criminal offense in this Commonwealth or anywhere else, including courts martial or disciplinary proceedings under the Uniform Code of Military Justice?

_____ No _____ Yes – Please attach a sworn, notarized affidavit explaining the details.

Identify the person to be contacted in the event questions arise concerning this officer change.

Name: _____ Title: _____
(Please Print)

Telephone # (_____) Fax #: (_____)

Email Address: _____

SIGNATURE AND TITLE OF AUTHORIZED PERSON:

Name: _____ Title: _____
(Please Print)

I affirm that the statements contained in this form are true and correct.

Signature: _____
(Officer/owner of Company)

The Pennsylvania Department of Banking and Securities (“the Department”) regulates the financial service industry in Pennsylvania and requires license applicant(s) to complete a Pennsylvania State Police criminal background history check and an FBI Fingerprint Check when applying for licensure.

Please review the following requirements and conditions for the Pennsylvania Check:

1. Each applicant or control person listed on the license application must complete an online criminal background history check using the Pennsylvania Access to Criminal History (PATCH) located at <https://epatch.state.pa.us>
2. Cost of the online criminal background history check is \$8.00 for each request and is payable through PATCH by credit card.
3. When completing the application, the “Personal Information” section of the PATCH application must contain identifying information for the Department to ensure the results of the criminal background history check are forwarded directly to this Department. **Results of the criminal background history check will not be accepted directly from the applicant and will only be accepted from PATCH.** Below is the information that **must** be entered in the **“Personal Information”** section of the PATCH application:

Reason for Request: Employment

First Name: PADOBS

Middle Name: NonDepository

Last Name: Licensing

Address Line 1: Market Square Plaza

Address Line 2: 17 N 2nd St Ste 1300

City: Harrisburg

State: PA

Zip: 17101

Email Address: ra-asklicensing@pa.gov

Phone Number: (717) 787-3717

Fax: (717) 787-8773

After completing the “Personal Information” section of the PATCH application, navigate to the “Record Check Request Form” section of the application and enter the information of the applicant or control person. Although not required by PATCH, **it is a requirement of the Department to provide your Social Security number in the “Record Check Request Form” section of the application.**

After making payment for the criminal background history check, you will be provided with a “Request Results” page which **must be** provided to the Department in order to verify the background history check was completed and to track the results of any “No Record” responses. **Print** the “Request Results” page and send it with the other state specific information. The “Request Results” page will contain your First and Last name as you typed them into the system, the date that you submitted the request and a control number.

In addition to the Pennsylvania State Police criminal background history check, all applicants are also subject to a search of the national criminal history database via an **FBI Fingerprint Check**.

Please review the following requirements and conditions for the FBI Fingerprint Check:

Available to Pennsylvania residences and those working in close proximity to the Commonwealth of Pennsylvania:

- Use the Cogent live scan fingerprint system located at the following website:
<https://www.pa.cogentid.com>
- Be sure to click on the link for the PA Department of Banking and Securities
- Follow the instructions on the website to schedule an appointment to obtain your live scan fingerprints at the nearest print site location.
- Results of the background checks are not mailed to applicants. If there is a problem with the results of your background check you will be notified.

For all other applicants residing or working in states other than the Commonwealth of Pennsylvania:

- Visit the Cogent website at <https://www.pa.cogentid.com>.
- Be sure to click on the link for the PA Department of Banking and Securities
- Follow instructions on the website on how to submit a fingerprint card to 3M Cogent.
- Results of the background checks are not mailed to applicants. If there is a problem with the results of your background check you will be notified.

For all other applicants residing or working in countries other than the United States:

- Complete the Certification of Identity Form

Results of the background checks are not mailed to applicants. If there is a problem with the results of your background check you will be notified.