

Confidential Background Information Consent Form

by Individual Owner, Officer, Director, Partner, or Member

SECTION A: Individual Attestation of Owner, Officer, Director, Partner, Member:

I understand the Kansas Office of the State Bank Commissioner (OSBC) may conduct an investigation of the applicant and the applicant's owners, officers, directors, partners, and members for the purpose of determining the suitability of the applicant named below to hold a relevant license in the state of Kansas. I hereby authorize, consent to, and request all state and federal law enforcement authorities, all state and federal regulatory and licensing authorities, and all credit reporting agencies to furnish information about me to the OSBC regarding criminal records, investigations, background information, licensing, credit reports, and other information of whatever kind and nature, whether known to me or otherwise. Further, I understand the OSBC shall be under no obligation to disclose such information to me or any other person, and that if such information indicates a violation of law, it may be shared with any agency responsible for investigation or prosecution. I hereby attest that the information contained in this form is accurate and true to the best of my knowledge. A copy of this authorization shall be accepted with the same force and validity as the original.

(Print full name of Owner, Officer, Director, Partner, or Member)

(Title or Position)

(Email Address)

(Phone Number)

Residence Address: (Street) (City) (State) (Zip Code)

(Date of Birth)

(Social Security Number *)

Name of Company (applicant/licensee):

Kansas license number of company: _____
(N/A if submitted with a new application)

BACKGROUND QUESTIONS. Have you ever:

- been the subject of any administrative or judicial judgments?
- been the subject of any tax liens or other liens of any nature?
- filed for personal or business related bankruptcy?
- had a license or other authority to conduct business suspended, revoked, or denied?
- been named as a defendant in any form of civil litigation related, directly or indirectly, to consumer or mortgage lending activities, or involving fraud, dishonesty, or deceit?
- been charged or convicted of any crime (other than minor traffic violations)?

No Yes *(If "Yes" to any of the above, provide a detailed explanation on an attached sheet.)*

Do you have a financial interest in or hold a position with any affiliate of the above company or any other licensee under the Kansas Mortgage Business Act, the Kansas Uniform Consumer Credit Code, the Kansas Money Transmitter Act, or the Kansas Credit Services Organization Act?

No Yes *(If "Yes," provide a detailed explanation on an attached sheet.)*

X _____ (Signature of individual listed above) _____ (Date)

STATE OF _____) COUNTY OF _____)

Sworn and subscribed before me on _____ by _____
(Date) (Print name of individual listed above)

(NOTARY SEAL) _____ My commission expires: _____
Notary Public Signature

SECTION B: Fingerprint Card, FBI Waiver, and Processing Fee Requirement

Individuals designated in Section A must submit:

- 1) this disclosure/consent Form A / CSO-1,
- 2) a completed fingerprint card,
- 3) the attached [FBI Waiver Agreement](#), and
- 4) the current background processing fee.

Current fee amounts: https://www.osbckansas.org/cml/resources/fee_summary.pdf

TO REQUEST BLANK FINGERPRINT CARDS:

1. Complete a Fingerprint Card Request Form at: https://www.osbckansas.org/cml/applications/fingerprint_request.pdf
The requested number of fingerprint cards will be mailed to the contact person at the mailing address of the licensee to distribute to individuals meeting the fingerprint requirements.
2. The fingerprint card must be completed as directed in [the instructions](#). Fingerprint cards must be dated within one year of submission to the OSBC, as required by the Kansas Bureau of Investigation.

SECTION C: OSBC-Authorized Owner, Officer, Director, or Partner Attestation**

***OSBC-authorized individuals are those who have been identified by your company and have submitted Confidential Background Information Consent Forms to the OSBC. Signatures of unauthorized individuals will not be accepted.*

Make appropriate selection below:

- ☐ This form is submitted in conjunction with a new company application; therefore, there is no existing existing OSBC-authorized** owner, officer, director, or partner to provide the below attestation.
Instructions: Leave below section blank. Submit form, fingerprint card, and attachments.
- ☐ This form is submitted in conjunction with the addition of an individual owner, officer, director, partner, or member to a currently licensed company. *Instructions: Where appropriate, an existing owner, officer, director, or partner of the Licensee must complete this section. Submit form, completed fingerprint card, and attachments. For changes in ownership where all prior owners and/or members have changed, then check this box ☐ and attach the sale agreement or equivalent document including the signatures of existing owner(s)/member(s) authorizing the company sale or transfer of ownership.*

Company Name: _____

(Print Name of Authorized Individual—other than in Section A above)

(Title or Position)

I hereby advise the OSBC of the addition of the individual named above as an owner, officer, director, partner or member. I understand I am required to notify the OSBC within 10 days of the addition or departure of any similar individual by submitting the required forms and fees. I further understand that licenses are non-transferable and non-assignable, and no other entity may conduct business under the authority of our license. I understand I am required to notify the OSBC in writing and provide detailed information regarding corporate reorganizations or structure changes. I attest that the information contained in this form is accurate and true to the best of my knowledge.

(Signature of Authorized Individual—other than in Section A above)

(Date)

AUJ: cfa s UbX: YfbyLhc.

OFFICE OF THE STATE BANK COMMISSIONER

700 SW Jackson St., Suite 300

Topeka, KS 66603-3796

* Providing a social security number is voluntary; however, if not provided, application processing may be delayed. The number is requested pursuant to K.S.A. 9-2201 *et seq.*, K.S.A. 16a-1-101 *et seq.*, or K.S.A. 50-1116 *et seq.* and may be used to identify applicants in state or national criminal history records or financial investigations, provided to Kansas Department of Revenue pursuant to K.S.A. 74-139, and/or provided to Kansas Department for Children and Families pursuant to K.S.A. 74-148 and K.S.A. 39-758.

**WAIVER AGREEMENT
AND
FBI PRIVACY ACT STATEMENT**

Fingerprint-Based Record Checks for Noncriminal Justice Purposes

I hereby authorize Kansas Office of the State Bank Commissioner to submit a set of my fingerprints to the Kansas Bureau of Investigation (KBI) for the purpose of identifying me and accessing and reviewing Kansas and/or national criminal history records that may pertain to me. Pursuant to K.S.A. 22-4701 et seq. and K.S.A. 22- 5001, the Authorized Recipient may obtain my criminal history record information for noncriminal justice purposes. By signing this waiver, it is my intent to authorize release to the above-referenced Authorized Recipient of any Kansas and/or national criminal history record that may pertain to me. I further understand that, if applicable, the Authorized Recipient may choose to deny me unsupervised access to children, the elderly, or individuals with disabilities until the criminal history background check is completed.

I understand that, upon my request, the Authorized Recipient will provide me a copy of the criminal history background report, received on me, for the purpose to challenge the accuracy and completeness of any information contained in any such report. I may be afforded a reasonable amount of time to correct or complete the criminal history record (or decline to do so) before the Authorized Recipient makes a final decision about my status as an employee, volunteer or contractor, or my eligibility for any pertinent license, certification or registration, or adoption. See 28 CFR 50.12(b).

I understand that officials receiving the results of the criminal history record check are to use those results only for authorized purposes and are prohibited from retaining or disseminating such results in violation of federal statute, regulation or executive order, or rule, procedure or standard established by the National Crime Prevention and Privacy Compact Council. (See 5 United States Code (USC) 552a(b); 28 USC 534(b); 42 USC 14616, Article IV(c); 28 CFR 20.21(c), 20.33(d), and 906.2(d).)

FBI PRIVACY ACT STATEMENT

Authority:

The FBI's acquisition, preservation, and exchange of information requested by this form is generally authorized under 28 U.S.C.534. Depending on the nature of your application, supplemental authorities include numerous Federal statutes, hundreds of State statutes pursuant to Pub.L. 92-544, Presidential executive orders, regulations and/or orders of the Attorney General of the United States, or other authorized authorities. Examples include, but are not limited to: 5 U.S.C. 9101; Pub.L. 94-29; Pub.L. 101-604; and Executive Orders 10450 and 12968. Providing the requested information is voluntary; however, failure to furnish the information may affect timely completion or approval of your application.

Social Security Account Number (SSAN):

Your SSAN is needed to keep records accurate because other people may have the same name and birth date. Pursuant to the Federal Privacy Act of 1974 (5 USC 552a), the requesting agency is responsible for informing you whether disclosure is mandatory or voluntary, by what statutory or other authority your SSAN is solicited, and what uses will be made of it. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

Principal Purpose:

Certain determinations, such as employment, security, licensing, and adoption, may be predicated on fingerprint-based checks. Your fingerprints and other information contained on (and along with) this form may be submitted to the requesting agency, the agency conducting the application investigation, and/or FBI for the purpose of comparing the submitted information to available records in order to identify other information that may be pertinent to the application. During the processing of this application, and for as long hereafter as may be relevant to the activity for which this application is being submitted, the FBI may disclose any potentially pertinent information to the requesting agency and/or to the agency conducting the investigation. The FBI may also retain the submitted information in the FBI's permanent collection of fingerprints and related information, where it will be subject to comparisons against other submissions received by the FBI. Depending on the nature of your application, the requesting agency and/or the agency conducting the application investigation may also retain the fingerprints and other submitted information for other authorized purposes of such agency(ies).

**WAIVER AGREEMENT
AND
FBI PRIVACY ACT STATEMENT (Cont.)**

Fingerprint-Based Record Checks for Noncriminal Justice Purposes

Routine Uses:

The fingerprints and information reported on this form may be disclosed pursuant to your consent, and may also be disclosed by the FBI without your consent as permitted by the Federal Privacy Act of 1974 (5 USC 552a(b)) and all applicable routine uses as may be published at any time in the Federal Register, including the routine uses for the FBI Fingerprint Identification Records System

(Justice/FBI-009) and the FBI's Blanket Routine Uses (Justice/FBI-BRU). Routine uses include, but are not limited to, disclosures to: appropriate governmental authorities responsible for civil or criminal law enforcement, counterintelligence, national security or public safety matters to which the information may be relevant; to State and local governmental agencies and nongovernmental entities for application processing as authorized by Federal and State legislation, executive order, or regulation, including employment, security, licensing, and adoption checks; and as otherwise authorized by law, treaty, executive order, regulation, or other lawful authority. If other agencies are involved in processing this application, they may have additional routine uses.

Additional Information:

The requesting agency and/or the agency conducting the application-investigation will provide you additional information pertinent to the specific circumstances of this application, which may include identification of other authorities, purposes, uses, and consequences of not providing requested information. In addition, any such agency in the Federal Executive Branch has also published notice in the Federal Register describing any system(s) of records in which that agency may also maintain your records, including the authorities, purposes, and routine uses for the system(s).

**RIGHT TO OBTAIN AND CHALLENGE ACCURACY
OF CRIMINAL HISTORY RECORDS**

You may request a copy of your state and/or national criminal history record from the Authorized Recipient for the purpose of challenging for accuracy and completeness.

Alternatively, you may obtain a copy of your **Kansas criminal history record information** (CHRI) to review for accuracy and completeness, by submitting a set of your fingerprints, a letter requesting your criminal history record, and payment of the appropriate fee to the KBI. For further details, including the current fee, visit the following Internet website: http://www.kansas.gov/kbi/info/info_brochures.shtml then find the brochure named "Record Checks for Non-Criminal Justice Purposes". Or, to provide official court documents to make a correction you may write to:

Kansas Bureau of Investigation
Attn: Criminal History Records
1620 SW Tyler
Topeka, Kansas 66612-1837

If a change is made to your Kansas criminal history record due to a challenge, a new copy of your Kansas criminal history record will be sent to the Authorized Recipient to make a final decision about your status as an employee, volunteer or contractor, or your eligibility for any pertinent license, certification or registration, or adoption.

To obtain a copy of your **national CHRI, also known as the Identity History Summary**, for review and challenge you must submit a set of your fingerprints and the appropriate fee to the FBI. Information regarding this process may be obtained at: <https://www.fbi.gov/services/cjis/identity-history-summary-checks>. Or, you may write to:

FBI CJIS Division
Attn: Criminal History Analysis Team 1
1000 Custer Hollow Road
Clarksburg, West Virginia 26306

**WAIVER AGREEMENT
AND
FBI PRIVACY ACT STATEMENT (Cont.)**

Fingerprint-Based Record Checks for Noncriminal Justice Purposes

The FBI will forward your challenge to the appropriate contributing agency to verify or correct the entry. Upon receipt of an official communication directly from that agency, the FBI will make any necessary changes/corrections to your record in accordance with the information supplied by that agency (see 28 CFR 16.30 through 16.34). The Authorized Recipient must submit a new set of fingerprints and fee to receive the updated federal criminal history record.

I have ☐ **OR** have not ☐ been convicted of a crime.

If convicted, describe the crime(s), the date and location of the crime(s), and the name of the convicting court:

Under penalty of perjury, I hereby declare that I am the person described below, and understand that any falsification of this statement constitutes a severity level 9, nonperson felony under the provisions of Title 21 Kansas Statutes Annotated, Section 5903.

I have been provided the Waiver Agreement, FBI Privacy Act Statement, and information how to challenge my criminal records for accuracy and completeness.

Signature

Date

Printed Name

Date of Birth

Residential Address

City

State

Zip

TO BE COMPLETED BY THE FINGERPRINTING AGENCY:

Method of Verifying Identity:	<input type="checkbox"/> Driver's License	<input type="checkbox"/> State Issued ID Card
	<input type="checkbox"/> Military ID Card	
State/Branch: _____	ID Number: _____	

Agency Name: _____

Address: _____

Telephone: _____ Fax: _____

Name of Individual Verifying Identity: _____

***AUTHORIZED RECIPIENT: 1. Must maintain original or arrange for KBI to maintain.
2. Must provide a copy to the applicant.***