

Executive Officer's License Application

(Comprehensive)

Nebraska Department of Banking & Finance

<https://ndbf.nebraska.gov>

1526 K Street, Suite 300

Lincoln, NE 68508-2732

402-471-2171

This application for an Executive Officer's License is made pursuant to the provisions of Section 8-139 of the Nebraska Banking Act and 45 NAC 9.

PART I: This section to be completed by the Applicant Bank.

Main Office Name

Street Address

City

County

State

Zip Code

Applicant Bank Official to Contact Regarding this Individual Application:

Name

Title

Telephone

Email Address

Email Address for Notification of Action by the Department, if different than above.

Email Address

ALL APPLICANT BANKS – SUPPLEMENTAL INFORMATION

(Any "No" answer requires an explanation to be attached.)

Yes No For individuals newly hired or employed less than 6 months, references were checked.

Yes No Credit report less than one month old has been reviewed, any negative information has been satisfactorily explained, and balances on credit report closely approximate what is reflected on the Individual Personal Financial Statement. The credit report should be of a type used for hiring decisions, such as the "PERSONA" report offered by Equifax, a "PEER" (Pre-Employment Evaluation Report) offered by TransUnion, or an "EMPLOYMENT INSIGHT" report offered by Experian, and not the type of credit report used in evaluating an application for credit. **Credit report should NOT be submitted to the Department.**

Please attach the following to the completed application.

A signed Personal Financial Statement, pages 1 and 2, of the Individual Applicant on the Department form, current as of the date of the application. [Click here](#) for the form.

A copy of all Criminal History Reports from each state in which the applicant has resided during the past ten years. [Click here](#) for link to Criminal History Record repositories for each state. When requesting a Criminal History Report from the Nebraska State Patrol, a signed release must be submitted to the Patrol. [Click here](#) for the release. Applicant Bank has the option to obtain a Background Check which includes a Criminal History Report from a vendor. To be acceptable to the Department, the vendor must provide documentation or a certification that the Criminal History Record repository was checked for each state the applicant has resided in during the past ten years. This vendor report may be submitted in substitution of a report from the Nebraska State Patrol or any state repository.

Note: If a state criminal repository will not release a criminal history record for licensure, please contact a Bank Review Examiner at 402-471-2171.

- A résumé for the Individual Applicant, including residence address, employment record, education, professional licenses, and business associations, current as of the date of the application.
- A letter from a bank official of the Bank for which this application pertains, stating the reasons why the Applicant Bank desires to obtain a license for the Individual Applicant and detailing how the Applicant Bank concluded the Individual Applicant is a person of good moral character, known integrity, business experience, and responsibility, and is capable of conducting the affairs of the Applicant Bank on sound banking principles. ***(This requirement must be completed by a Board Member if the Individual Applicant is the Chief Executive Officer or President of the Applicant Bank.)***
- A completed United States Citizenship Attestation Form. [Click here](#) for the form.
- A check or ACH in the amount of \$50.00 payable to the Nebraska Department of Banking and Finance.

AUTHORITY

I, _____ (Name), President , CEO , Executive VP , or Board Member , of the Applicant Bank for which this Individual Application pertains, requests the issuance of a license to the Applicant named herein, conveying the authority to act as an active executive officer of the Applicant Bank. *(If the Individual Applicant is the Chief Executive Officer or President of the Applicant Bank, this request must be signed by a Board Member.)*

Signature of President, CEO, Executive VP, or Board Member

Date

PART II: This section to be completed by the Individual for whom the Application is made.

Attach additional sheets as necessary to fully answer any question.

Biographical Report:

Individual Applicant's Name

Street (Home Address) City

County State Zip Code

Social Security Number Date of Birth

Telephone Number

Individual Applicant's Bank Email Address

Bank Location Where Applicant Will Work:

Street Address City

County State Zip Code

Employment Record:

- 1. Have you ever been dismissed or asked to resign from any past employment, including receiving an Other Than Honorable Discharge from military service? Yes No
If "yes," complete the following:

Employer's Name, Address, Telephone	Position	Date of Discharge	Explanation <small>*Attach additional page if needed for full explanation*</small>

General Information:

- 1. Have you or any business interest of yours ever undergone bankruptcy? Yes No
If "yes," provide full details, including place and date.

- 2. Have you ever been the subject of a garnishment? Yes No
If "yes," provide full details, including place and date.

3. Have you ever been convicted for the violation of any law that has not been pardoned or set aside other than a minor traffic infraction? Yes No
If "yes," provide full details including, but not limited to, date, county, and state.

4. Have you ever been turned down or canceled on a personal, fidelity, or surety bond? Yes No
If "yes," provide name of bonding company and date of rejection or cancellation.

5. Have you ever been denied any professional license (e.g., Attorney, Medical, CPA, Real Estate, Insurance, FINRA, or SEC registration), or has any such license ever been suspended or revoked? Yes No
If "yes," provide full details.

6. To your knowledge, are you, or have you ever been, the subject of an investigation regarding any such license? Yes No
If "yes," provide full details.

7. To your knowledge, are you, or have you ever been, the subject of a federal or state administrative investigation or order? Yes No
If "yes," provide full details.

8. Do you have any contingent liabilities, either personally or through any business interests, to any source, including the Applicant Bank? Yes No
If "yes," complete the following:

Financial Institution	Amount of Borrowing	Borrowing Entity

9. List the duties and responsibilities you will have at the Applicant Bank.

10. If your duties will include the making of loans and investments at the Applicant Bank, do you have two years of experience in the making of loans and/or investments? Yes No

If "yes," provide details of your experience. If the attached résumé details lending experience, responding with "See Attached" will be sufficient.

If "no," do you have comparable educational experience, defined as closely related to the experience requirements in such areas as examining and reviewing loans or investments or attending specific schools on loans and investments, and have you successfully completed at least one school or educational program concentrating on both loans and investments? Yes No

If you have comparable educational experience, provide details, including a list of schools or educational programs and dates attended.

School or Educational Program	Date Attended

If you do not have two years of experience in the making of loans and/or investments or comparable educational experience, provide the limits and/or restrictions on lending and/or investing, including amounts, that the Applicant Bank proposes to place on you.

11. Are you, or upon hiring, will you be, a member of the Applicant Bank's board of directors? Yes No

12. If "yes" to #11, are you, or will you be, an officer of the Applicant Bank's board of directors? Yes No
 Title: _____

13. Are you, or upon hiring, will you be, a shareholder of the Applicant Bank? Yes No
 If "yes," provide the number and type of shares you own, or will own: _____

14. Are you, or upon hiring, will you be, a shareholder of the Applicant Bank's holding company? Yes No
 If "yes," provide the number and type of shares you own, or will own: _____

ATTESTATION

I certify that the information contained in this application is true, correct, and complete and is current as of the date of this submission. I acknowledge that any misrepresentation or omission of a material fact constitutes fraud in the inducement and may subject me to legal or administrative sanctions.

Signature of Individual Applicant

Date