A. GENERAL INSTRUCTIONS

1. FILING – Form(s) CA2 must accompany Form CA1, the Collection Agency License Application form. Each individual identified as a control person for the applicant on Schedule A of Form CA1, must complete Form CA2. Additionally, applicants/licensees must update the roster of control persons on Form CA1 by filing a Schedule C, thus requiring additional CA2 forms.

2. EMPLOYMENT REPRESENTATION – The employment representation section must be completed by an authorized representative of the applicant/licensee.

3. TERMS USED – See the following Explanation of Terms section regarding italicized words/phrases.

4. DATES – The filing date is the date applicant submits this form to the Department. The desired effective date is the date applicant would like an amendment to become effective.

5. AMENDMENTS – The applicant must update biographical information by submitting amendments using Form CA2. On Form CA2, circle or otherwise identify the item being amended. Complete only items 1(A) and 1(I), as well as the information that is being amended.

B. FILING INSTRUCTIONS

1. FORMAT
   A. Each individual identified as a control person on Schedules A or C must complete Form CA2. A fully completed Form CA2 for each control person is required to be submitted along with the applicant’s initial Form CA1. Form CA2 also accompanies Schedule C when reporting new control person(s).
   B. Type or print all information clearly and legibly.
   C. Use only the current version of Form CA2.
   D. The Acknowledgment & Consent section must include a notarized original manual signature.
   E. The Employment Representation section must include an original manual signature.
   F. Employment history, item 6: provide the full legal name of the company, beginning with your current employer. For the purposes of this history, include both 1099 independent contractor assignments as well as W-2 status employment.

2. ATTACHMENTS -
   A. Agents, including Responsible Persons in Charge (RPIC) of the applicant/licensee who will contact persons in Idaho, whether debtors or creditors, relative to the business activities of the applicant/licensee will need to be registered on the Notification of Agents/Collectors.
   B. Provide written explanations and supporting documents for any “Yes” answer provided in section 8.

C. EXPLANATION OF TERMS – The following terms are italicized throughout Form CA2

1. GENERAL

APPLICANT – The collection agency, debt/credit counselor, debt settlement company, debt buyer or credit repair organization applying on or amending information on Form CA1 (including schedules) or Form CA3. The only instance in which the applicant is an individual is in the case of a sole proprietorship.

CONTROL – The power, directly or indirectly, to direct the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any person that (i) is a director, general partner or executive officer; (ii) directly or indirectly has the right to vote 10% or more of a class of a voting security or has the power to sell or direct the sale of 10% or more of a class of voting securities; (iii) in the case of an LLC, Managing Member; or (iv) in the case of a partnership, has the right to receive upon dissolution, or has contributed, 10% or more of the capital, is presumed to control that company.

CONTROL PERSON – An individual (a natural person) named on Form CA1 in Item 1A or in Schedules A, B, or C that directly or indirectly exercises control over the applicant. This includes all RPICs.
JURISDICTION – A state, the District of Columbia, the Commonwealth of Puerto Rico, any territory of the United States, or any subdivision or regulatory body thereof.
PERSON – An individual, partnership, corporation, trust, LLC, or other organization.

2. FOR THE PURPOSE OF ITEM 8

ENJOINED – Includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction, or a temporary restraining order.
FELONY – For jurisdictions that do not differentiate between a felony and a misdemeanor, a felony is an offense punishable by a sentence of at least one year imprisonment and/or a fine of at least $1,000. The term also includes a general court martial.
FINANCIAL SERVICES OR FINANCIAL SERVICES-RELATED – Pertaining to securities, commodities, banking, insurance, consumer lending, or real estate (including, but not limited to; acting as or being associated with a bank or savings association, credit union, mortgage lender, mortgage broker, real estate salesperson or agent, closing agent, title company, or escrow agent).
FOREIGN FINANCIAL REGULATORY AUTHORITY – Includes (1) a financial services authority of a foreign country; (2) other governmental body empowered by a foreign government to administer or enforce its laws relating to the regulation of financial services or financial services-related activities; and (3) a foreign membership organization, a function of which is to regulate the participation of its members in financial services activities listed above.
FOUND – Includes adverse final actions, including consent decrees in which the respondent has neither admitted nor denied the findings, but does not include agreements, deficiency letters, examination reports, memoranda of understanding, letters of caution, admonishments, and similar informal resolutions of matters.
INVOLVED – Doing an act or omission or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act or omission.
MISDEMEANOR – For jurisdictions that do not differentiate between a felony and a misdemeanor, a misdemeanor is an offense punishable by a sentence of less than one year imprisonment and/or a fine of less than $1,000. The term also includes a special court martial.
ORDER – A written directive issued pursuant to statutory authority and procedures, including orders of denial, suspension, or revocation; does not include special stipulations, undertakings or agreements relating to payments, limitations on activity or other restrictions unless they are included in an order.
PROCEEDING – Includes a formal administrative or civil action initiated by a governmental agency, self-regulatory organization or a foreign financial regulatory authority; a felony criminal indictment or information (or equivalent formal charge); or a misdemeanor criminal information (or equivalent formal charge). The term does not include other civil litigation, investigations, or arrests or similar charges affected in the absence of a formal criminal indictment or information (or equivalent formal charge).
**FORM CA2**

**BIOGRAPHICAL STATEMENT & CONSENT**

**COLLECTION AGENCY APPLICATION FORM**

Date of filing (MM/DD/YYYY): ________ Desired Effective Date (MM/DD/YYYY): ________

<table>
<thead>
<tr>
<th>License Number information (if applicable) is optional. Use additional sheets if necessary.</th>
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<tbody>
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<td>License #</td>
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<td>License #</td>
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**NEW APPLICATION**  [ ] AMENDMENT  To amend, circle or identify items being amended.

1. **Individual's identifying information:**

   (A) Full last, first and middle names:
   
   Last Name ________________ First Name ________________ Full Middle Name ________________ Suffix (if any) ________________

   (B) Social Security Number: ________________

   (C) Gender: [ ] Male  [ ] Female

   (D) Date of Birth (MM/DD/YYYY) ________________

   (E) State/Province of Birth: ____________________

   (F) Country/Province of Birth: ____________________

   (G) List all names(s), other than your legal name, you have used or are using, or by which you are or were known since the age of 18. This field should include, for example, nicknames, aliases, and names used before or after marriage. (Use additional sheets as necessary).

   Name __________________________________________ Name __________________________________________ Name __________________________________________ Name __________________________________________

   **For amendments only:** If this filing reports that an individual's name has changed, enter the new name and attach supporting legal documentation:

   Last Name __________________________________________ First Name __________________________________________ Full Middle Name __________________________________________ Suffix (if any) __________________________________________

   (I) Current Employer Name (applicant/licensee):

   ________________________________

   (J) Physical Office of Employment address: (do not use a P.O. Box)

   Number & Street ________________________________ City ________________________________ State / Province & Country ________________________________ Zip+4 / Postal Code ________________________________

   (K) Current Residence address (if different from employment address):

   Number & Street ________________________________ City ________________________________ State / Province & Country ________________________________ Zip+4 / Postal Code ________________________________

   (L) Telephone Numbers and e-mail address:

   (_____)__________________ (_____)__________________ (_____)__________________ (_____)__________________

   Business Phone ________________________________ Cell Phone (optional) ________________________________ Fax Line ________________________________ e-mail address ________________________________

2. **Individual's Acknowledgment & Consent:**

   I swear or affirm that I have executed this form before a Notary Public, of my own free will and:

   (A) I have read and understand the items and instructions on this form;

   (B) My answers (including attachments) are true and complete to the best of my knowledge;

   (C) I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers;

   (D) I authorize all my current and former employers, law enforcement agencies, and any other person to furnish to any jurisdiction, or any agent acting on its behalf, any information they have, including without limitation my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination;

   (E) I have read and understand applicable federal and state law, and will be in compliance at all times;

   (F) I promise to keep the information contained in this form current and to file accurate supplementary information on a timely basis.

   ____________________________________________________________

   Date (MM/DD/YYYY) ________________________________

   Signed or attested before me: ________________________________

   Notary seal here ________________________________

   Print Notary Public name ________________________________

   Print individual’s name ________________________________

   on this ____________________ day of ____________________,

   Date ____________________ Month ____________________

   Year ____________________ State ____________________ County ____________________

   Notary Public signature ________________________________

   Notary Appointment Expires (MM/DD/YYYY) ________________________________

   ________________________________

   Individual’s Acknowledgment & Consent must always be completed in full with original, manual signature and notarization.

   Affix notary stamp or seal where applicable.
### 3. Employer’s Representation:

To the best of my knowledge and belief, the control person will be familiar with the statutes, regulations, and rules of the jurisdiction where this application is being filed, and will be fully qualified for the position for which application is being made herein. I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application. I have provided the individual an opportunity to review the information contained herein and the individual has approved this information and signed the form.

Company Name: ________________________________
Signature of authorized party: ____________________
Print Name and Title of authorized party: ____________

*Employment Representation must always be completed in full with original, manual signature.*

### 4. Fingerprint Information filing representation:

- [ ] I represent that I am submitting, have submitted, or promptly will submit to the appropriate jurisdiction(s) two fingerprint cards as required.
- [x] I am applying for a license in a jurisdiction that does not require me to submit fingerprint cards.

### 5. Residential History:

Starting with current address provide all residential addresses over the last ten years. Records must contain a complete ten years history without gaps. (Attach additional sheets as necessary.)

<table>
<thead>
<tr>
<th>From (MM/YYYY)</th>
<th>To (MM/YYYY)</th>
<th>Street Address</th>
<th>City</th>
<th>State or Province</th>
<th>Zip or Postal Code</th>
<th>Country/Province</th>
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### 6. Employment History:

Provide a complete employment history for the past 10 years. Account for all time including full & part-time employments, self-employment, military service, and homemaking. Also include periods such as unemployed, full-time student, extended travel, etc. Indicate by “YES” or “NO” whether this employment was related to collection, debt/credit counseling, debt settlement, debt buying, credit repair or any financial service-related business. Records must contain a complete 10 year history without gaps. (Attach additional sheets as needed.)

<table>
<thead>
<tr>
<th>From (MM/YYYY)</th>
<th>To (MM/YYYY)</th>
<th>Employer (company name)</th>
<th>Position Held (no abbreviations)</th>
<th>Address/City</th>
<th>State and Postal Code</th>
<th>Country/Province</th>
<th>YES or NO?</th>
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</table>
7. **Other Business:** Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.) If YES, provide the following details: the name of the other business; whether the business is related to collection, debt/credit counseling, debt buying, credit repair or any financial service-related business; the address of the other business; the nature of the other business; your position, title, or relationship with the other business; the start date of your relationship; the approximate number of hours per month you devote to the other business; and briefly describe your duties relating to the other business. (Attach additional sheets as needed.)

Details:

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
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8. **Disclosures:** If the answer to any of the following is "YES," provide complete details of all events or proceedings as well as supporting documents. Send the details on a separate sheet to the Department together with this application. Remember to file updates to these disclosures as needed to keep the information current.

**Financial Disclosure**

(A) Within the past 10 years:
   (1) have you filed a personal bankruptcy petition or been the subject of an involuntary bankruptcy petition?
   (2) based upon events that occurred while you exercised control over any organization, have any filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?

(B) Has a bonding company ever denied, paid out on, or revoked a bond for you?

(C) Do you have any unsatisfied judgments or liens against you?

**Criminal Disclosure**

(D) Within the past ten (10) years, have you been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

(E) Based upon activities that occurred while you exercised control over it, has an organization within the past ten (10) years been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony?

(F) Have you been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court within the past ten (10) years to a misdemeanor involving: collection, debt/credit counseling, debt settlement, debt buying, credit repair, OR any financial services-related business; any fraud, false statements, or omissions; any theft or wrongful taking of property; bribery; perjury; forgery; counterfeiting; extortion; or a conspiracy to commit any of these offenses?

(G) Based upon activities that occurred while you exercised control over it, has an organization within the past ten (10) years been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor specified in 8(F)?
### Regulatory Action Disclosure

(H) Has any state or federal regulatory agency or foreign financial regulatory authority within the past ten (10) years:

1. **found** you to have made a false statement or omission or been dishonest, unfair or unethical?  
   - YES [ ]  NO [ ]

2. **found** you to have been involved in a violation of a collection, debt/credit counseling, debt settlement, debt buying, credit repair, or financial services-related regulation(s) or statute(s)?  
   - YES [ ]  NO [ ]

3. **found** you to have been a cause of a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related business having its authorization to do business denied, suspended, revoked or restricted?  
   - YES [ ]  NO [ ]

4. entered an **order** against you in connection with a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related activity?  
   - YES [ ]  NO [ ]

5. denied, suspended, or revoked your registration or license, disciplined you, or otherwise by **order**, prevented you from associating with a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related business or restricted your activities?  
   - YES [ ]  NO [ ]

6. barred you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related business?  
   - YES [ ]  NO [ ]

7. issued a final **order** based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?  
   - YES [ ]  NO [ ]

(I) Have you ever had an authorization to act as an attorney, accountant, or state or federal contractor that was revoked or suspended?  
   - YES [ ]  NO [ ]

(J) Are you now the subject of any regulatory **proceeding** that could result in a "yes" answer to any part of 8(H) or 8(I)?  
   - YES [ ]  NO [ ]

### Civil Judicial Disclosure

(K) (1) Has any domestic or foreign court ever:

   a. enjoined you in connection with any collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related activity?  
      - YES [ ]  NO [ ]

   b. **found** that you were involved in a violation of any collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related statute(s) or regulation(s)?  
      - YES [ ]  NO [ ]

   c. dismissed, pursuant to a settlement agreement, a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related civil action brought against you by a state, federal, or foreign financial regulatory authority?  
      - YES [ ]  NO [ ]

(2) Are you named in any pending collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related civil action that could result in a "yes" answer to any part of 8K(1)?  
   - YES [ ]  NO [ ]

### Customer Arbitration/Civil Litigation Disclosure

(L) Have you ever been named as a respondent/defendant in a collection, debt/credit counseling, debt settlement, debt buying, credit repair or financial services-related consumer-initiated arbitration or civil litigation which:

1. is still pending; or  
   - YES [ ]  NO [ ]

2. resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action; or  
   - YES [ ]  NO [ ]

3. was settled for any amount?  
   - YES [ ]  NO [ ]

### Termination Disclosure

(M) Have you ever voluntarily resigned, been discharged, or permitted to resign after allegations were made that accused you of:

1. violating statute(s), regulation(s), rule(s), or industry standards of conduct?  
   - YES [ ]  NO [ ]

2. fraud, dishonesty, theft, or the wrongful taking of property?  
   - YES [ ]  NO [ ]