



Illinois Department of Financial and Professional Regulation

Division of Banking

6-2(4) REPORT

Section 6-2(4) of the Residential Mortgage License Act of 1987 (“Act”) provides for the submission to the Illinois Department of Financial and Professional Regulation (“IDFPR”) of an incident report involving an employee of a licensee that has knowingly submitted or caused to be submitted documents that contain willful and material misstatements of facts in connection with any licensable activity as defined in Section 1-3(a) of this Act. This incident report must document the action.

Upon receipt of the complete 6-2(4) Report, including the signature, OBRE shall:

1. Complete an in-office review of the 6-2(4) Report and supporting documentation;
2. Conduct a phone or in-person discussion with company or individual submitting the report;
3. Upon confirmation of the report, IDFPR will send a letter to the respondent that the report indicates has violated the law. This letter will set forth the allegations;
4. The respondent will have a reasonable period of time to respond in writing to the incident report;
5. Upon receipt of the response, a meeting will be scheduled with the respondent to discuss the allegations;
6. Within a reasonable period of time following the completion of such meetings, IDFPR will decide, based on the merits of the case, whether any of the parties will be recalled or a formal hearing will be conducted; and
7. Once a decision is made and a formal hearing is required, all parties involved will be notified.

I. REPORTING ENTITY INFORMATION

Report type: _____ initial report _____ update _____ correction

Date of submission _____ License number (if applicable) _____

Reporting company’s name (if applicable) _____

Reporting person’s name _____

Phone _____ Fax _____

I certify that, to the best of my knowledge, the information being reported herein is true and accurate.

_____ Title

Reporting person’s signature

II. ORIGINATING ENTITY INFORMATION

1. The incident being reported involves a residential mortgage loan that was originated by:

_____ Your company (Check if this incident involved a loan originated by your company.)
_____ Third party (Check if this incident involved a loan originated by a company other than your own.)
_____ N/A (Check if this incident did NOT involve a loan. Go to Addendum A.)

Originating Company

Company name _____

Street address _____

City _____ State _____ Zip _____

Tax identification number (if known) _____ License number (if known) _____

2. Originating individual (Provide the name of the individual who originated the loan, if known.)

Individual's name _____

Home address (if known) _____

City _____ State _____ Zip _____

Social Security number (if known) _____

III. INCIDENT INFORMATION

(Complete Addendum A for each incident and Addendum B for each person implicated.)

1. Date of incident _____

2. Was the incident reported to any regulatory, governmental or law enforcement agency?

_____ No _____ Yes

If "yes," to which agency _____ Date reported _____

3. Information submitted supporting incident being reported – **check all that are applicable.**

_____ Document evidence _____ Signed statement received _____ One witness's signed statement
_____ Sworn testimony _____ Affidavit received _____ Two witnesses' signed statement

ADDENDUM A. INCIDENT INFORMATION

Complete an Addendum A for incident being reported.

NOTE: You must submit documentation
verifying the incident or no action
will be taken!

This addendum is limited to two (2) typewritten pages, which should be attached to this form.

ADDENDUM B. IMPLICATED PERSON INFORMATION

Complete an Addendum B for each person implicated in the incident being reported.

Individual's name _____

Social Security number (if known) _____

Position with company (if known) _____

Company name (if known) _____

Individual/company street address _____

City _____ State _____ Zip _____

Company taxpayer identification (if known) _____

Phone _____ Fax _____

License number (if known) _____

Other identifying information on individual or company (branches): _____
