



## **DOCUMENTS REQUIRED TO BE FURNISHED FOR COLLECTIONS CERTIFICATION**

In addition to the completed Application for a Certificate of Compliance from the Commercial Law League of America, please provide the following documents that apply to the applicant:

1. Articles of Incorporation, Articles of Organization, Partnership Agreement and/or other formation document(s) for the Applicant, each of its subsidiaries, or parent entities. If Applicant is a general or limited partnership whose general partner(s) is not an individual, provide the applicable aforementioned documents for Applicant's general partner(s).
2. Certificate of status, from the Secretary of State (or other governing body) in the Applicant's home state; certifying that the Applicant is authorized to do business, is active, and in good standing. If requested, a certificate of status, from any other state in which the Applicant is licensed and/or registered.
3. Copy of a surety bond(s) from a licensed surety company, in a form approved by the CLLA, and in the sum(s) required for certification (see Application paragraph I, 12, c).
4. An attestation from the agency's CFO or equivalent that funds in the trust bank account(s) are equal to or in excess of the trust liability at the end of each year. (see Application paragraph I, C, 12, d).
5. A list of any states/jurisdictions where the Applicant's incorporation, license, registered, or authority to conduct business has been suspended, revoked, or was denied, including any cease and desist orders. List the state/jurisdictional license and/or registration numbers and provide an explanation and relevant dates (see Application paragraph I, A, 9).
6. All policy and procedure documents (see Application paragraph I, B, 9) related to the Applicant's:
  - a. Account Assignment to Collection Staff
  - b. Complaint Handling, Tracking, and Resolution
  - c. Payment Processing
  - d. Remittance Processing

7. Each relevant complaint document (other than a lawsuit) pertaining to a complaint, against the Applicant, that has been filed/made, either directly to the Applicant or with a government or regulatory agency or association within the last 5 years concerning the Applicant's collection practices, including but not limited to remittance of funds, FDCPA violation, FCRA violation, or unethical or improper collection tactics (see Application paragraph I, C, 10).
8. Each relevant, legal complaint document in which the Applicant been named as a defendant in any lawsuit, including federal, state, and local cases, within the last 5 years concerning the Applicant's collection practices, including but not limited to remittance of funds, FDCPA violation, FCRA violation, TCPA violation, or unethical or improper collection tactics (see Application paragraph I, C, 11).
9. All complaints, responses and documents evidencing the disposition of any claim against a surety bond, or similar bond, held by the Applicant, covering the acts of the Applicant or its officers, directors, managers, employees, or agents (see Application paragraph I, 12, b).
10. Each summary document indicating the person, charges, and disposition of the case(s) related to any shareholder, member, partner, general partner, owner, officer, manager, director, or key employee, of the Application, being found liable, convicted, entering a guilty plea, or *nolo contendere* (see Application paragraph I, F, 4 a,b,c) to any of the following:
  - a. Any violation of a law or regulation relating to debt collection;
  - b. Any criminal offense involving fraud or theft;
  - c. Any civil action for fraud, misrepresentation, civil theft, breach of fiduciary duty, embezzlement, conversion, or larceny.

**Note:** If deemed necessary by the CLLA, additional documents may be requested and become required during the certification process.