**GENERAL INFORMATION INTAKE FORM**

**FOR PROPOSED PROTOCOL APPLICANTS**

**Please note:** This is a new program and we are working hard to make it effective for you and for the regulators. We are eliminating as much duplication as possible. You must carefully review the Phase Two checklists for the states you plan to add to your application. You can upload those requirements during the Phase One review but you must NOT make changes to your Phase One application materials once your application has been certified.

|  |  |
| --- | --- |
| **Company name:** |  |
| **Primary contact name & phone number/email:** |  |

**Do any of the following exclusions apply?**

Outside of US Unlicensed activity Company is in marijuana industry

Control person has a felony or financially-related or dishonesty-related misdemeanor within   
 the last 10 years

|  |
| --- |
| Other(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| **Home State:** |  |

|  |  |
| --- | --- |
| **Primary  business activities:** |  |

**Is the company a start-up?** Yes No Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Does the company have audited financials?** Yes No Notes:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |
| --- | --- |
| **Where is the company licensed now?** |  |
|  | |

**By what date will the company be ready to go into NMLS and file the application?**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Please be prepared to file an application within 30 calendar days of receiving notification of acceptance.** You must submit a **complete** Phase One application no later than 60 calendar days after initial application. Phase One **certifications have a “shelf life” of 90 calendar days**. You must make application in your choice of Phase Two participating states within 90 calendar days of your Phase One certification.

**Please note:** If you enter the program and file a complete application, you must NOT make any material changes to the application records in NMLS prior to Phase One certification. You will be required to submit certification of no material changes when you file your Phase Two applications. Contact the Phase One state if you have questions.

**In what states is the company interested in for licensure?**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| California | Connecticut\* | Georgia\* | Idaho | Illinois |
| Indiana | Iowa | Kansas\* | Kentucky | Louisiana |
| Maine | Maryland\* | Massachusetts | Mississippi | Nebraska |
| North Carolina\* | North Dakota\* | Ohio | Rhode Island\* | South Dakota |
| Tennessee | Texas\* | Utah | Vermont\* | Washington\* |
| Wyoming\* |  |  |  |  |

\* Denotes a state that is eligible to perform a Phase One review

**Do you have a preference for the Phase One review state? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Please note:** Your preference is just one of a number of factors we look at when assigning your Phase One reviewing state.

**Please carefully review the participating states’ checklists in NMLS for any state specific requirements that may make you ineligible or otherwise not interested in applying in a particular state.** You will be provided with a Phase One Uniform Checklist by your Phase One reviewing state. This checklist will also include links to the specific Phase Two checklists for this program.

**Please note:** You can file any documents for Phase Two during your Phase One application.

**Other notes:**