NH Schedule A

DIRECT OWNERS AND EXECUTIVE OFFICERS

(Answer for Item 4 of the NH Application/Amendment Form)

Applicant full legal name: _____

Date: _____

1. **Use Schedule A** only in new applications to provide information on the *direct owners* and *principals* of the *applicant*. Under NH law, "***principal***" of the *applicant* or *licensee* includes owners and beneficiaries of 10 percent or more of the *applicant*, and each corporate officer, director, executive officer, senior manager, member, general partner, limited liability partner or limited partner with 10 percent or more ownership interest, trustee, beneficiary of 10 percent or more of the trust that owns the *applicant* or *licensee*, senior manager, and any person occupying similar status or performing similar functions. **Use Schedule B** in new applications to provide information on *indirect owners*. File all amendments to Schedules A & B on Schedule C. **Complete each column.**

2. ***Principals and Direct Owners:*** list below the names of:
   (a) each *principal*;
   (b) in the case of an *applicant* that is a corporation, each shareholder that directly owns 10% or more of a class of a voting security of the *applicant*, unless the *applicant* is a publicly traded company; Direct owners include any *person* that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 10% or more of a class of a voting security of the *applicant*. For purposes of this Schedule, a *person* beneficially owns any securities (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant or right to purchase the security. Sole proprietors are 100% owners of their business;
   (c) in the case of an *applicant* that is a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 10% or more of the partnership's capital;
   (d) in the case of a trust that directly owns 10% or more of a class of a voting security of the *applicant*, or that has the right to receive upon dissolution, or have contributed, 10% or more of the *applicant's* capital, the trust, each 10% or more beneficiary of the trust and each trustee; and
   (e) in the case of an *applicant* that is a Limited Liability Company ("LLC"), (i) all members and (ii) if managed by elected managers, all elected managers.
   (f) **Submit an MU2 (NH Individual Disclosure form), a Criminal History Record Information Authorization Form, fingerprint card and fingerprint fee for each individual listed on Schedule A.**
   (g) **NH branch managers** are *principals* of the company, but must be reported on the NH Branch Office Application Form (not on this Schedule) and an MU2 (NH Individual Disclosure Form), a Criminal History Record Information Authorization Form, fingerprint card and fingerprint fee must be submitted for each NH branch manager.

3. Are there any indirect owners of the *applicant* required to be reported on Schedule B? ☐ Yes ☐ No

4. Complete the "Title or Status" column by entering board/management titles; status as a partner, trustee, sole proprietor, or shareholder; and for shareholders, the class of securities owned (if more than one is issued).

5. In the "Publicly Traded" column, if the owner is a publicly traded company, enter the stock symbol; otherwise enter "NA".

FULL LEGAL NAME (Individuals: Last Name, First Name, Middle Name)	Title or Status	% Ownership		Publicly Traded	S.S. No., IRS Tax No. or Employer ID