

## NOTES FROM CCD DATABASE (OFFICERS SCREEN)

7/18/01 60-day withdrawal sent per KRM.

3/17/03 changed web address from fra1@fcgnetworks.net at time of renewal. Bp

12/08/03 Email changed from fra@metrocast.net on renewal. LDC

01/20/06 AJS enforcement action for privacy law violations - Hearing is set for March 9 2006.

2/15/06 Rec'd new broker bond for company. Previous: Great American Insurance Companies #FS 3-43-93-59-03. La

4/26/06-wrote for complete financials. No fine was assessed because partial financials were received on time. As a lender, they are required to file more. Cc

06/07/06-received preferred stock redemption listing for the past 12 months showing that (perhaps) all of the preferred shareholders redeemed 100% of their preferred stock from 08/05 through 06/2006. No new shares were issued to anyone per Scott Farah. Cc

07/13/06 AJS rec'd notice that licensee was sued by [REDACTED] - who filed a complaint with the Department.

8/30/06-RLS wrote again because there was no answer to the 4/26 letter and file had been re-pended twice before for a response. Advised of enforcement action if audited financials were not received within 30 days. Cc

9/28/96-audited financials FINALLY received. Cc

10/4/06-see note above dated 7/13/06 re complaint filed by [REDACTED] Received a letter from attorney for the company stating the matter was resolved with none of the defendants admitting liability, and the plaintiffs ultimately dismissed the case. The company returned to the plaintiffs the amounts due under their prior agreement irrespective of the claims in the litigation. Terms of the agreement are confidential. Cc

10/6/06-notified by company of redemption of 100% (143 preferred shares) by [REDACTED] No other change in ownership of common stock and no new shares issued. Cc

10/19/06-notified by company of redemption of 100% of 401 preferred shares by [REDACTED] No change in ownership of common stock and no new shares of any class were issued. Cc

02/02/07-100% of shares redeemed by [REDACTED] (35 sh) and [REDACTED] (28 sh). No change in ownership and no new shares of any class issued. Cc

10/6/06-notified by company of redemption of 100% (143 preferred shares) by [REDACTED]. No other change in ownership of common stock and no new shares issued. Cc

02/20/07-10/6/06-notified by company of redemption of 120 of 344 preferred shares) by [REDACTED]. No other change in ownership of common stock and no new shares issued. Cc

06/13/07-notified that [REDACTED] has redeemed 100% of his shares of preferred stock on 4/1/07. There has been no change in ownership of common stock and no new shares of any class issued. Cc

6/19/07-KCG was notified by letter from Scott Farah that there had been an error in the report of the number of preferred shares that were redeemed back in February. It was reported that 35 shares were reported by one shareholder, [REDACTED] when in fact it should have been 34 shares. Additionally, the Trust Company of American notified Farah that there were an additional 21.5 shares outstanding but they could not release the name of the shareholder. The company has not heard further from them after asking them to confirm the status of those shares with the shareholder. Cc (See letter in file). Cc

6/13/07-rec responses from their attorney to 2 complaints: [REDACTED] & [REDACTED]. Ndb

9/14/07-rec'd contact form. No changes. Rls

10/24/07-rec notice that ronald provart's account was closed. Ndb

Exhibit to:

1/3/08-rec notice that company is planing on doing a name change from Financial Resources & Assistance of the Lakes Region Inc to Financial Resources National Inc. Company also sent restated articles of incorporation and amendments as approved by the SOS. ndb  
1/11/08-rec amended MU1 and org license, new U2, bond rider for name change.  
2/20/08-sent new license for name change from Financial Resources & Assistance of the Lakes Region, Inc to Financial Resources National, Inc. ndb  
10/31/08-Because the State of VA will not renew a company with "national" in its name due to an obscure federal law, the company has changed its name from Financial Resources National, Inc. to the above. Cc  
10/12/09-Per NMLS, 3/30/09-contact person changed from: Scott Farah to Richard Rollock, Admin. Ass't. Email address for company changed from:sfarah@frmortgageinc.com

**NOTES FROM DATABASE ON MANCHESTER NH BRANCH OFFICE LICENSE  
(LICENSE LOCATIONS SCREEN)  
(LICENSE SURRENDERED 6/18/07)**

Thomas A. Scribner, II to be BOM.  
2/22/06-Thomas Scribner is approved as BOM.  
6/18/07-rec org lic and mu1 for branch at 1045 elm st, ste 304, manchester nh. Ndb

**NOTES FROM DATABASE ON PRINCIPAL OFFICE (LICENSE LOCATIONS SCREEN)**

1/5/99 Mr. Farah called stating his company had not received renewal pkg. He was informed it was mailed on 10/12/98 and that it was not returned to this office as undeliverable. He will send someone in to the office today to pick up a renewal package. He claims he has several loans to close this week. La  
Late renewal  
3/30/00 Received "Notice of Replacement Banker Bond" \$92,000, effective May 1, 2000. Great American Insurance Company replaces Fidelity and Deposit Company of Maryland. Krm  
4/16/01 Received December 31, 2000 Audited Statements. Zero cash minus Accounts Payable of \$92,996 and Accrued Expenses of \$1,981 results in no liquidity. Request Banker Bond be increased to \$100,000. Krm  
12/31/03 Recv'd broker and banker bond #FS 3-43-93-59-03 and FS 3-43-92-52-04 respectfully effective 12/31/03. LDC  
5-25-04 - Company reported 19 originators at 19 different NH addresses. Co. claims a mistake in reporting; it reported home rather than business addresses. Examiners should verify that all originators work from the 15 Northview address; the company has no branch offices. - MLJ  
2/15/06 Rec'd new broker bond for company. Previous: Great American Insurance Companies #FS 3-43-93-59-03. La  
6/18/07-rec org lic and mu1 for branch at 1045 elm st, ste 304, manchester nh. Ndb  
3/5/08-rec bond reinstatement on bond 41058053. ndb  
12/2/08-new bond received --04BSBFF8925.  
3/9/09-rec bond cancellation notice on bond 04BSBFF8925 to be effective 5/12/09, will send ltr for reinstatement. Ndb  
5/12/09-rich rourke called and left message that he is working on replacement bond and that he will call in the morning. Ndb

Exhibit to:

5/21/09-spoke with rich rourke who said that the bond is approved per his borker and that it should arrive in the next few days. I asked him to have the broker send me an e-mail to verify this. Ndb  
5/28/09-rec new bond 41176514 to be effective 5/12/09 however the bond is not countersigned and needs to be returend. Ndb

6/9/09-rec properly signed bond 41176514. Ndb

7/30/09-rec bond rider on bond 41176514 to increase surety bond to \$100,000 effect 7/31/09 for new law that went into effect 7/31/09. Ndb

11/19/09-rec bond cancellation notice on bond 41176514 to be effective 12/12/09. Ndb

**NOTES FROM FORMER SECOND MORTGAGE LICENSE (LICENSE LOCATIONS SCREEN)(LICENSE CONVERTED 9/12/05)**

11/18/98. Was entered as an additional office and therefore left off mailing list. Corrected entry as Principal and mailed renewal packet with annual report. La

1/8/99 Forwarded another renewal pkt including annual report with note attached from KB that this license has not been renewed an they need to file an annual report for this license that was held in 98.

5/27/99 Sent notice of late renewal. La

11/26/02 No bond enclosed. La

**NOTES FROM FORMER SMALL LOAN LICENSE (LICENSE LOCATIONS SCREEN) (LICENSE SURRENDERED 6/7/09)**

7/18/01 60 Day notice sent

8/24/01 Received missing documentation and new \$450 fee. Krm

06/07/06-received original liense for surrender. Cc

6/14/06-sent surrender form and instructions for completing the surrender. Cc

09/06/06-file referred for enforcement. No annual report received and no other surrender information completed. Cc

Exhibit to:

Appendix A Page A-8  
Paragraph 13