

FINANCIAL REGULATION FRAUD, THEFT, FORGERY, AND CONVICTIONS REPORTING FORM

This Reporting Form has been issued by the Commissioner of Financial Regulation pursuant to COMAR 09.03.10.02. The full text of COMAR 09.03.10.02 is printed on the last page of this Reporting Form; please review it carefully.

This Reporting Form may be used by regulated persons reporting pursuant to COMAR 09.03.10.02; it may also be used by persons not regulated by the Commissioner to report alleged acts, or suspected acts, of fraud, theft, or forgery, or convictions, of persons regulated by the Commissioner.

Instructions:

This is a fillable PDF form which means you may complete and sign this form electronically. If you decide to complete the form manually, please print the form, print your information clearly and sign your name.

This is **NOT** an online form; you must submit your report by one of the means listed below. Be sure to sign (electronically or manually) and date your report.

Deliver your completed report form and relating documents by one of the following methods:

BY E-MAIL:

CSU.Complaints@maryland.gov

BY MAIL:

Attention: Enforcement Unit
Office of Financial Regulation
100 S. Charles Street, Tower 1, Suite 5300
Baltimore, Maryland 21201

IN-PERSON:

Appointments are available to hand-deliver documents or for virtual meetings with Financial Regulation staff. To schedule an appointment online, please visit the Office's online scheduling system.

BY FAX:

Use the following fax number 410-333-0475
(Please mark your fax to the attention of the Enforcement Unit).

Financial Regulation Fraud, Theft, Forgery, & Convictions Reporting Form

Before you submit or mail your form:

Proofread the information you have provided and make sure it is correct. Enclose copies (**NOT ORIGINALS**) of documents that relate to your report. Please make sure to sign and date the form.

Date of Report

Part I. Information Regarding Individual Filing Report ("Reporting Individual")

Your Name

☐

Mr.

☐

Ms.

Email

Home Phone #

Cell Phone #

Work Phone #

Fax #

Street Address

City

State

Zip

Name of Regulated Business (if applicable):

Address of Regulated Business (if applicable)

City

State

Zip

Part II. Suspected Acts of Fraud, Theft, or Forgery

The Reporting Individual shall provide the information requested below relating to the Reporting Individual's discovery that a suspected act of fraud, theft, or forgery has been committed by a regulated person, or any owner, director, officer, member, partner, employee, or agent of a regulated person (including the Reporting Individual), or has reason to believe that such an act been committed.

Identify the regulated person, or owner, director, officer, member, partner, employee, individual, or agent of the regulated person who committed, or is believed to have committed, a suspected act of fraud, theft or forgery:

Name

Title

Address/Location

City

State

Zip

Date on or about the regulated person, or owner, director, officer, member, partner, employee, individual, or agent of the regulated person, committed, or is believed to have committed, the suspected act of fraud, theft, or forgery:

Date of the Reporting Individual's discovery of the suspected act of fraud, theft, or forgery:

Description or nature of the suspected act of fraud, theft or forgery: (Attach additional pages or documentation if necessary)

Part III. Report of Convictions

Identify the regulated person, or owner, director, officer, member, partner, employee, individual, or agent of the regulated person, who was convicted of any felony, or of a misdemeanor involving fraud, theft, or forgery:

Name

Title

Address/Location

City

State

Zip

Date of conviction

Date that Reporting Individual
received knowledge of conviction

Court which rendered verdict

Case name and number

Description of sentence/fines/restitution

Description or nature of the conviction: (Attach additional pages or documentation if necessary)

Part IV. Signature

This Reporting Form is filed pursuant to COMAR 09.03.10.02. The Reporting Individual reasonably believes that the information contained herein is true and correct and the Reporting Individual took reasonable steps to verify its truth and accuracy.

Signature of Reporting Individual

Date

Part V. Text of Regulation

COMAR 09.03.10 .02 Reporting Fraud, Other Violations of Law, and Convictions.

A. Duty to Report.

1. Except as provided in §E of this regulation, a regulated person shall submit a report to the Commissioner within 30 business days after the person discovers that an act, or has reason to believe that an act, of fraud, theft, or forgery has been committed by a regulated person, including the person, or any owner, director, officer, member, partner, employee, or agent of a regulated person.
2. Except as provided in §E of this regulation, a regulated person that is, or that has an owner, director, officer, member, partner, employee, or agent that is, convicted of any felony, or of a misdemeanor involving fraud, theft, or forgery, shall submit a report to the Commissioner informing the Commissioner of the conviction within 5 business days from the date on which the regulated person receives knowledge of the conviction.

B. Contents of Report.

1. A regulated person submitting a report pursuant to this regulation shall utilize the reporting form prescribed by the Commissioner.
2. If it is determined after the submission of a report that information contained in the report is false or otherwise inaccurate, the regulated person that submitted the report shall be considered to be in compliance with the reporting requirements of this regulation if the regulated person reasonably believed that the information was true and accurate at the time the report was submitted and the regulated person took reasonable steps to verify its truth and accuracy.

C. Nondisclosure of Report. A regulated person submitting a report to the Commissioner pursuant to this regulation may not disclose to any person that is a subject of the report the existence of the report or that the report has been submitted to the Commissioner.

D. Reports to Law Enforcement Authorities. Except as provided in §E of this regulation, a regulated person that discovers that an act, or suspected act, of fraud, theft, or forgery required to be reported pursuant to this regulation has been committed, the regulated person shall report the details of the incident to the appropriate law enforcement authorities.

E. Exceptions. The provisions of this regulation do not apply to a bank, savings bank, trust company, or credit union having a branch that accepts deposits in this State.

“Regulated person” means an individual, corporation, business trust, financial institution, estate, trust, partnership, association, two or more persons having a joint or common interest, or any other legal or commercial entity that is subject to the regulatory authority of the Commissioner pursuant to Financial Institutions Article, or Commercial Law Article, Annotated Code of Maryland. COMAR 09.03.10.01B(6).