§ 599-m. Required records and reporting. 1. Educational records. Each originating entity shall obtain and retain acceptable documentation of the satisfactory completion of education courses required pursuant to this article by each mortgage loan originator employed by or affiliated with such originating entity and shall provide such documentation at the request of the superintendent. Such documentation shall be retained by an originating entity for six years. An originating entity shall retain a copy of any original proof or record of completion provided by a mortgage loan originator. In those instances when an originating entity also retains the original proof or record of such completion of any then applicable education requirement, such originating entity shall provide the original proof or record, upon request, when a mortgage loan originator terminates or has terminated his or her employment or affiliation with the originating entity.

2. List of licensed mortgage loan originators. The superintendent shall maintain upon the internet web-page of the department a list of the mortgage loan originators licensed and in good standing. Such list shall indicate the name, license number and current originating entity, if any, employing each mortgage loan originator or with whom such mortgage loan originator is affiliated.

3. Reports by originating entities. Each originating entity shall on a quarterly basis in each calendar year provide the superintendent, in written or electronic form, with a list of the mortgage loan originators employed by, or affiliated with, such originating entity and shall also advise in such report of any dismissal for cause of a mortgage loan originator employed by, or affiliated with, such originating entity during such quarter, which is due or based upon an alleged violation of this chapter or any law involving real property.

4. Reports by mortgage loan originators. Each mortgage loan originator shall promptly notify the superintendent of the following:

(a) A change in his or her primary residence address;

(b) Any felony conviction or pending felony charges; any charge of or conviction with respect to a misdemeanor involving financial services or a financial services related business; or any charge or conviction

involving fraud, false statements or omissions, theft or wrongful taking of property, bribery, perjury, forgery or extortion subsequent to initial authorization;

(c) Any termination of or resignation from employment of affiliation with an originating entity;

(d) Any initiation, settlement or resolution of any complaint, action or proceeding brought against him or her by a state or federal governmental unit or self-regulatory organization in connection with a financial services-related activity or business or involving fraud, misrepresentation, consumer deception, larceny or perjury;

(e) Any initiation, settlement or resolution of any other civil action or proceeding against him or her involving fraud, misrepresentation, larceny or perjury; and

(f) Any other matters as directed by the superintendent.