



## Amendments Jurisdiction-Specific Requirements



### ALASKA MORTGAGE BROKER / LENDER LICENSE

**The following amendments have prior notification and/or prior approval requirements. Please refer to the statutes and regulations listed below. Additional documentation must also be submitted outside the NMLS.**

Name Change – AS 06.60.130(b); 3 AAC 14.920(c)

Address Change – AS 06.60.115; 3 AAC 14.920(a)(b)

Change in Control Person – AS 06.60.130; 3 AAC 14.434

Change in Control/Ownership – AS 06.60.130; 3 AAC 14.434

#### **Amendment fees: (check all that apply)**

\$50.00 for each license change (**name or address**) paid through NMLS

Change of Ownership - \$150 paid directly to the State of Alaska

Change of Control Person - \$150 paid directly to the State of Alaska

1. Filing an amendment through the NMLS does **not** authorize you to conduct business with the changes requested. You must receive authorization from the State of Alaska before conducting business with the changes requested.
2. Any Change of Address, Change of Name or change in Control Person must also be reported on the applicable Form MU1 and Form MU2.
3. Any new Control Person is required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before the Amendment adding a Direct Owner/Executive Officer for your company can be filed through NMLS.
4. The applicant's NMLS Unique Identifier must be written on the upper right-hand corner of every hard copy document submitted to the Department.
5. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

*For U.S. Postal Service and Overnight Delivery:*

*State of Alaska, Department of Commerce,  
Community & Economic Development  
Division of Banking & Securities  
550 W. Seventh Avenue, Suite 1940  
Anchorage, Alaska 99501*

NMLS Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGE OF LEGAL NAME:</b> Provide a certified copy of the corporate or organizational legal documents authorizing the change in legal name that has been filed in the entity's domicile state, Surety Bond Rider and Secretary of State Documentation (instructions below).
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGE OF ASSUMED BUSINESS NAME/OTHER TRADE NAME:</b> Provide a file-stamped copy of the Certificate of Assumed Business Name issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing, a certified copy of the corporate or organization legal documents authorizing the change of assumed business name/other trade name, and Surety Bond Rider (instructions below).
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGE OF ADDRESS/BUSINESS LOCATION:</b> Submit the Surety Bond Rider that reflects the change of address/business location. Address on the rider must match exactly to the address on the amended Form MU1 and the amended filing with the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing.
<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER.</b> Submit the Surety Bond Rider that reflects the change of <b>LEGAL</b> name. Legal name on the rider must match exactly to the legal name change documents, amended Form MU1 and the amended filing with the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing.
<input type="checkbox"/>	<input type="checkbox"/>	<b>SECRETARY OF STATE DOCUMENTATION:</b> Provide a file-stamped copy of the amended legal name change filing document(s) issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing. Filed name must match the domicile state name change documents, and amended Form MU1 and the surety bond rider.
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGE IN OWNERSHIP LEGAL DOCUMENTS:</b> Provide certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements. Include a detailed written description of the effect, if any, to the Alaska licensee(s). Provide a revised/amended organizational structure chart.
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE IN CONTROL PERSON:</b> A change in any Control person must be reported as an Amendment on the Form MU1 filing with a new Form MU2 submitted through the NMLS.</p> <p><b>Credit Reports.</b> Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before the Amendment for your company can be filed through NMLS.</p>

		<p><b>Fingerprint Cards.</b> For each new control person, provide two fingerprint cards issued by the Federal Bureau of Investigation (FBI) or available upon request from the Alaska Division of Banking and Securities. Fingerprints will be submitted to the FBI as well as the State of Alaska for a criminal history background check.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DISCLOSURE QUESTIONS:</b> IF YOU ANSWERED “YES” TO ANY OF THE DISCLOSURE QUESTIONS FOR THE COMPANY OR ANY CONTROL PERSON, YOU MUST EXPLAIN DATES, LOCATIONS, AND CIRCUMSTANCES ON A SEPARATE PIECE OF PAPER <u>AND</u> SEND ANY SUPPORTING DOCUMENTS THAT ARE APPLICABLE (INCLUDING CERTIFIED COURT RECORDS, JUDGMENTS, AND CHARGING DOCUMENTS AS WELL AS RELEASE DOCUMENTS FOR JUDGMENTS, LIENS AND BANKRUPTCIES AND COPIES OF REGULATORY ORDERS AND AGREEMENTS).</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE IN SURETY BOND PROVIDER:</b> Provide an original, fully executed surety bond with any original attachments from the new provider with no lapse in surety coverage. <a href="#">Click to download form</a></p>

**WHO TO CONTACT** – Contact Alaska *Division of Banking & Securities*’ licensing staff by phone at 907-269-4584 or send your questions via e-mail to [mortgagelending@alaska.gov](mailto:mortgagelending@alaska.gov) for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE AMENDING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.