



Amendments
Jurisdiction-Specific Requirements



ALABAMA MORTGAGE BROKER LICENSE

Instructions

- The following amendments require instructions or items sent outside the NMLS:
- Amendment types and fees are:
 - Change of Address - \$25.00 per license
 - Change of Name - \$25.00 per license
A change in name would include a change in the name of the legal entity or the trade name (d/b/a name)
 - Change of Ownership – \$0.00
 - Change of Control Person – \$0.00

(Check all of the above that apply)
- All fees are collected through the NMLS and ARE NOT REFUNDABLE.
- Any Change of Address, Change of Name or change in Control Person or Manager (Control person) **must also be reported on the applicable Form MU1 and Form MU2**. Once completed we will receive an electronic notification of your requested changes.
- 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:

State Banking Department of Alabama
Bureau of Loans
P. O. Box 4600
Montgomery, AL 36103-4600

For Overnight Delivery:

State Banking Department of Alabama
Bureau of Loans
401 Adams Avenue
Suite 680
Montgomery, AL 36104

NMLS Unique ID Number: _____

Alabama License Number: _____

Applicant Legal Name: _____

| ATTACHED | NOT APPLICABLE | CHANGE OF ADDRSS |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | ZONING: Signed statement attesting that the requested license location is not zoned residential. Click to download form |
| <input type="checkbox"/> | <input type="checkbox"/> | SURETY BOND RIDER - Submit the Surety Bond Rider that reflects the change of address if the address on the surety bond is being amended. |
| <input type="checkbox"/> | <input type="checkbox"/> | ORIGINAL LICENSE. - Return the original license as issued by the State Banking Department of Alabama. |
| <input type="checkbox"/> | <input type="checkbox"/> | PRINTED COPY OF THIS FORM- Return this completed form with the above attachments. Your fee will be collected by the NMLS and we will be notified of your requested address change through the system. |
| ATTACHED | NOT APPLICABLE | CHANGE OF NAME |
| <input type="checkbox"/> | <input type="checkbox"/> | SURETY BOND RIDER - Submit the Surety Bond Rider that reflects the change of the legal entity name or trade name (d/b/a). |
| <input type="checkbox"/> | <input type="checkbox"/> | ORIGINAL LICENSE. - Return the original license as issued by the State Banking Department of Alabama. |
| <input type="checkbox"/> | <input type="checkbox"/> | SECRETARY OF STATE DOCUMENTATION. - Submit the documents filed in the companies State of origin and documents issued by the Alabama Secretary of State reflecting the change in name. In the case of a trade name (d/b/a) change and where the State of origin or the Alabama Secretary of State does not require a filing then this attachment will not be necessary. |
| <input type="checkbox"/> | <input type="checkbox"/> | PRINTED COPY OF THIS FORM- Return this completed form with the above attachments under change of name. Your fee will be collected by the NMLS and we will be notified of your requested address change through the system. |
| ATTACHED | NOT APPLICABLE | CHANGE OF OWNERSHIP OR CONTROL PERSON |
| <input type="checkbox"/> | <input type="checkbox"/> | CHANGE IN OWNERSHIP LEGAL DOCUMENTS - 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. |
| <input type="checkbox"/> | <input type="checkbox"/> | FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR EXECUTIVE OFFICER - A change in any Control person or a change in any person designated as an Executive Officer of a licensed office must be reported as an Amendment on the Form MU1 filing with a new Form MU2 submitted through the NMLS. |
| <input type="checkbox"/> | <input type="checkbox"/> | PRINTED COPY OF THIS FORM- Return this completed form with the attachments under change of ownership or control person. |
| <input type="checkbox"/> | <input type="checkbox"/> | DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Control Person or any new Executive Officer. |

WHO TO CONTACT – Contact the State Banking Department’s mortgage licensing staff by phone at (334) 242-3452 or send your questions via e-mail to hillary.brooks@banking.alabama.gov for additional assistance.

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