



## Amendment Checklists Jurisdiction-Specific Requirements



# ARIZONA COMMERCIAL MORTGAGE BROKER SURRENDER CHECKLIST

## INSTRUCTIONS

1. You must provide your entity unique NMLS ID number, entity legal name, AzDFI main license number and AzDFI license name (including any DBA). The completion of your amendment request may be delayed without this information.
2. Surrendering your main/corporate license shall result in all licensed branches being closed as well.
3. AUTHORIZED SIGNOR: The Amendment/Change request must be signed by an Owner/Officer/Member or authorized signor on file with AzDFI.
4. AzDFI will review the Surrender request and all required documents and then communicate with the licensee through NMLS if there are any deficiencies.
5. Jurisdiction-specific requirements, as identified on the checklist(s) below, must be submitted to AzDFI along with the applicable Amendment Checklist within 5 business days of the electronic submission of your Amendment request through the NMLS at the following:

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

*Arizona Department of Financial Institutions  
Licensing Division  
2910 N. 44<sup>th</sup> Street, Suite 310  
Phoenix, AZ 85018*

**WHO TO CONTACT** – For questions regarding Arizona requirements and/or guidelines, contact the licensing Division of the Arizona Department of Financial Institutions (“AzDFI”) by phone at (602) 771-2800 or send your questions via e-mail to [licensing@azdfi.gov](mailto:licensing@azdfi.gov). For questions on how to navigate through the NMLS or how to check your license status on NMLS or how to find deficiencies on your Amendment request on NMLS, you will need to contact the NMLS Call Center at (240) 386-4444.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF ARIZONA STATE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING/AMENDING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE YOUR APPLICATION/AMENDMENT THROUGH NMLS. AzDFI HAS A LINK TO THE ARIZONA STATUTES AND RULES ON ITS WEBSITE AT [www.azdfi.gov](http://www.azdfi.gov). SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

# COMMERCIAL MORTGAGE BROKER LICENSE SURRENDER CHECKLIST

NMLS Entity ID #: \_\_\_\_\_

AZ Main License #: \_\_\_\_\_

Entity Legal Name: \_\_\_\_\_

AZ License Name (including any DBA): \_\_\_\_\_

COMPLETED /ATTACHED	NOT APPLICABLE	ITEM
		<p><b><u>INFORMATION on CHANGING A BRANCH MANAGER</u></b></p> <p>You will need to request surrender of your license on NMLS. <i>Until AzDFI approves the closure/surrender of your license, you are still considered licensed and under the jurisdiction of AzDFI.</i> <b>NOTE:</b> When you surrender your main/corporate license, all licensed branches will be closed as well.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>RETURN ORIGINAL PAPER LICENSE(S):</b> You will need to attach to this Amendment Checklist the original paper license for each licensed location. If you do not have your original paper license(s), then you will need to include a check payable to AzDFI for \$100.00 for each paper license lost. This requirement is not applicable if AzDFI issued your license(s) electronically.</p>
<p><b>RECORDS MUST BE MAINTAINED FOR 5 YEARS</b></p>		<p><b>PROVIDE THE INFORMATION BELOW REGARDING RECORD STORAGE:</b></p> <p>Location of where the records will be maintained:</p> <p>Address: _____</p> <p>City: _____ State: _____ Zip Code: _____</p> <p>Contact Person: _____</p> <p>Contact Person Phone Number: _____</p> <p>Contact Person Email: _____</p>
<input type="checkbox"/>		<p>Date you are requesting that your license be closed/surrendered: _____ (MM/DD/YYYY)</p>
<p><b>INDIVIDUAL TO CONTACT REGARDING THIS AMENDMENT REQUEST</b></p>		<p>Name: _____ Title: _____</p> <p>Phone number &amp; extension: _____</p> <p>Email: _____</p>
<p><b>AUTHORIZED SIGNOR</b></p>		<p>_____ Signature</p> <p>_____ Print Name &amp; Title</p>