



# AZ Collection Agency Branch License Amendment Checklist (Branch)

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## CHECKLIST SECTIONS

- [General Information](#)
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## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Arizona Department of Financial Institutions (AZ-DFI) requires advance notification for some changes. See the checklist below for details.

### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS *Document Uploads* section. If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS *Document Uploads* section.

**Note:** Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#)

### Helpful Resources

- [Amendments & Advance Change Notice Quick Guide](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact *Arizona Department of Financial Institutions* licensing staff by phone at (602) 771-2800 or send your questions via email to [licensing@azdfi.gov](mailto:licensing@azdfi.gov) for additional assistance.

*For U.S. Postal Service:*

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

*For Overnight Delivery:*

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

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

## AMENDMENTS

- [Change of Branch Address](#)
  - Change of Branch Address: \$50 per license
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
  - Deletion of Other Trade Names: \$250 per license
- [Change of Branch Manager](#)
- [Change of Branch Manager Disclosure Question\(s\)](#)

**Note:** Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your submission through the NMLS.

Complete	AZ Collection Agency Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Branch Address:</b> Submit an amendment for a change of Branch Address through the Branch Form (MU3) in NMLS.	NMLS
<input type="checkbox"/>	<b>Change of Branch Address:</b> \$50 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS

Complete	AZ Collection Agency Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition of Other Trade Name:</b> If operating under a name that is different from the applicant’s legal name, that name (“Trade Name”, “Assumed Name” or “DBA”) must be listed under the <i>Other Trade Names</i> section of the Company Form (MU1), the Branch Form (MU3) and a separate license type (i.e. Arizona Collection Agency Branch License – Other Trade Name #) is required.</p> <p><b>Arizona Collection Agencies are permitted to use only one other trade name for each license obtained.</b> Therefore, please be advised that applicants must hold a Collection Agency Branch License - Other Trade Name for each other trade name listed in the <i>Other Trade Names</i> section of the Company Form (MU1) that is being used to conduct business in Arizona.</p> <p>AZ-DFI does not allow more than seven (7) other trade names.</p> <p><b>R20-4-1519. Licensee Names and Control</b></p> <p><b>C.</b> A collection agency shall not use a collection agency license to do business under more than one name. Each collection agency shall apply for and obtain a separate license for each business name it intends to use in Arizona.</p> <p><b><i>The following fees will be charged when applying for the Collection Agency Branch License - Other Trade Name.</i></b></p> <p>Application Fee: \$500, NMLS Initial Processing Fee: \$0</p>	NMLS
<input type="checkbox"/>	<b>Modification of Other Trade Name:</b> Submit an ACN for a change to an Other Trade Name through the Branch Form (MU3) in NMLS. Sixty (60) days’ notice must be provided for this change.	NMLS
Note	<b>Addition of Other Trade Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<p><b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p> <p><b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Branch Form.</p>	Upload in NMLS

Complete	AZ Collection Agency Branch License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name (OTN):</b> Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS.</p> <p><b>Note for Company that hold the AZ Collection Agency Branch License – Other Trade Name #:</b> In addition to amending the <i>Other Trade Names</i> section of the Branch Form (MU3), if you are deleting an OTN, you must also request to surrender the related AZ Collection Agency Branch License – Other Trade Name #.</p>	NMLS
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name</b> \$250 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Agency Fee Invoice)

Complete	AZ Collection Agency Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Branch Manager:</b> Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.</p>	NMLS
Note	<p><b>Change of Branch Manager Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
Note	<p><b>Credit Report:</b> Branch Managers are NOT required to authorize a credit report through NMLS.</p>	N/A
Note	<p><b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Branch Managers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.</p>	N/A

Complete	AZ Collection Agency Branch License Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p><b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for the Branch Manager. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).

Complete	AZ Collection Agency Branch License Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input data-bbox="138 401 180 443" type="checkbox"/>	<p><b>Changing a Response from Yes to No:</b> When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason.</p> <p>You must select “Add Explanation for “No” Responses” and provide an explanation for each response that changes from “Yes” to “No” for the Branch Manager. You must also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	<p><b>NMLS</b></p>