



# CT Debt Negotiation Amendment Checklist (Branch)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, the Connecticut Department of Banking 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 does not 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 Consumer Credit staff by phone at (860) 240-8225 or send your questions via email to [dob.ccl@ct.gov](mailto:dob.ccl@ct.gov) for additional assistance.

### For U.S. Postal Service & Overnight Delivery:

Connecticut Department of Banking  
Consumer Credit  
260 Constitution Plaza  
Hartford, CT 06103-1800

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](#)
- [Addition or Modification of Other Trade Name](#)
- [Change of Branch Manager](#)

**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	CT Debt Negotiation Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Branch Address:</b> Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. <b>30 days'</b> notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload and mail an original company of the surety bond rider (or new bond if applicable) that reflects the entity's new branch address. The address of the principal insured on the bond must match exactly the address listed on the Branch Form (MU3).</p> <p><b>Secured:</b> If a new surety bond is needed, use the Surety Bond Form found <a href="#">here</a>.</p> <p><b>Unsecured:</b> If a new surety bond is needed, use the Surety Bond Form found <a href="#">here</a>.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1)</p> <p><b>AND</b></p> <p>Mail to Connecticut Department of Banking</p>
Complete	CT Debt Negotiation Branch License Addition or Modification of Other Trade Name Amendment	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an ACN for the addition or modification of an Other Trade Name through the branch form (MU3) in NMLS. <b>30 days'</b> notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload and mail an original surety bond rider (or new bond if applicable) that reflects the addition, modification, or deletion of a DBA name. The name of the principal insured on the bond must match exactly the full legal name of applicant, including all Other Trade Names.</p> <p><b>Secured:</b> If a new surety bond is needed, use the Surety Bond Form found <a href="#">here</a>.</p> <p><b>Unsecured:</b> If a new surety bond is needed, use the Surety Bond Form found <a href="#">here</a>.</p> <p><b>Note:</b> When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> <p><b>AND</b></p> <p>Mail to Connecticut Department of Banking</p>
Complete	CT Debt Negotiation 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). A Branch Manager is an individual who is responsible for the actions of the licensee. This change must be filed in NMLS no later than <b>15 days</b> after the licensee had reason to know of the change.</p> <p>MU2 Individuals are required to meet <u>minimum criminal and credit background check requirements</u>. These individuals will be required to authorize a criminal background check and credit report through NMLS.</p>	<b>NMLS</b>

<input type="checkbox"/>	<b>Credit Report:</b> Branch Managers 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 a license request for your company can be filed through NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Credit Report for MU2 Individual:</b> \$15 per person.	<b>NMLS</b>
<input type="checkbox"/>	<p><b>FBI Criminal Background Check for MU2 Individual:</b> When added to the Branch Form (MU3), Branch Managers are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p>After authorizing a FBI criminal background check through the submission of the Branch Form (MU3) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more info.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	<b>NMLS</b>
<input type="checkbox"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	<b>NMLS</b>
<input type="checkbox"/>	<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. Must be filed on the NMLS no later than <b>15 days</b> after the licensee had reason to know of the change.	<b>NMLS</b>