



CT Mortgage Servicer License Amendment Checklist (Branch)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Connecticut 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 licensing staff by phone at (860)240-8225 or send your questions via email to 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](#)

Complete	CT Mortgage Servicer Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Branch Address: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. 30 days' notice must be provided for this change.	NMLS
Complete	CT Mortgage Servicer Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Other Trade Name: Submit an ACN for an addition or change of an Other Trade Name(s) on the Branch (MU3) Form through NMLS. 30 days' notice must be given for this change. Note: When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).	NMLS
Complete	CT Mortgage Servicer Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS. Must be filed on the NMLS no later than 15 days after the licensee had reason to know of the change.	NMLS
Note	The commissioner may automatically suspend a license upon failure of the licensee to designate a branch manager who meets all requirements within thirty days of a vacancy in the position.	N/A
<input type="checkbox"/>	Branch Manager: A Branch Manager (on-site manager) is required to: <ul style="list-style-type: none"> • Hold physical employment at the branch office location • Have at least three years of experience in the mortgage servicing industry, within the five years immediately preceding the application • Reside within 100 miles of the branch or show capability of full-time supervision A work experience form or resume must be uploaded to NMLS recognizing dates of employment (month/year), employer, job title, and work functions for each position held by the individual for a period of at least five years immediately preceding the date of application. Click to download experience form. The branch manager is required to meet <u>minimum criminal and credit background check requirements</u> . This individual will be required to authorize a criminal background check and credit report through the NMLS.	Upload in NMLS: under the Document Type <u>Verification of Experience</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).
<input type="checkbox"/>	Credit Report: MU2 individuals 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.	NMLS
<input type="checkbox"/>	Credit Report for MU2 Individual: \$15 per person.	NMLS

<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: Branch Managers are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p>After authorizing an FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>Note: 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>	<p>NMLS</p>
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Change of Disclosure Question(s): 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 15 days after the licensee had reason to know of the change.</p>	<p>NMLS</p>