



IN Consumer Loan License Amendment Checklist (Company)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Indiana DFI requires advance notification for some changes. See the checklist below for details. **For any Amendment requiring an Advance Change Notice**, send an email to dfilicensing@dfi.in.gov explaining the change. Include the licensee's name and NMLS number in the subject line.

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 file naming convention found in the [Document Upload Descriptions and Examples](#).

Helpful Resources

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

Agency Contact Information

Contact Indiana DFI Consumer Credit Division licensing staff at (317) 453-2566 or dfilicensing@dfi.in.gov for additional assistance.

*For U.S. Postal Service or Overnight Delivery:
Indiana Department of Financial Institutions
Consumer Credit Division
30 South Meridian Street, Suite 200
Indianapolis, IN 46204*

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. **WHILE THE CHECKLIST IS A GUIDE, IT DOES NOT CONTAIN ALL LEGAL OBLIGATIONS. APPLICANTS SHOULD ALSO REVIEW APPLICABLE LAW.** SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

AMENDMENTS

The Indiana DFI does not charge a fee for any of the amendments listed below.

- [Change of Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Addition or Modification of Qualifying Individuals](#)
- [Change of 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 to the agency according to the checklist below must be received within five (5) business days of the electronic submission of your filing through NMLS.

Complete	IN Consumer Loan License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Legal Name: Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS. Notification of the change of legal name must be submitted no later than thirty (30) days after the change of legal name occurs.</p> <p>Ensure that the company's record is updated with the Indiana Secretary of State to reflect the change, <i>before</i> submitting the amendment.</p>	NMLS
Note	<p>Change of Legal Name Fee: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Formation Documents: Formation Documents must be submitted related to this change type.</p> <p>Determine the classification of the applicant's legal status and submit a state-certified copy of the requested applicable documentation detailed below. Include original formation documents and all subsequent amendments, including a list of any name changes.</p> <p>Sole Proprietor</p> <ul style="list-style-type: none"> • Copy of registration with the Indiana Department Revenue. <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company ("LLC"):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and • LLC resolution if authority not in operating agreement. <p>Corporation:</p> <ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status 	<p>Upload in NMLS: under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	IN Consumer Loan License Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> Internal Revenue Service ("IRS") 501(c)(3) designation letter; or statement from a state taxing body or the state attorney general certifying that: (i) the entity is a nonprofit organization operating within the state; and (ii) no part of the entity's net earnings may lawfully benefit any private shareholder or individual; or entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the state or parent organization that the applicant is a local nonprofit affiliate. <p>Trust (Statutory)</p> <ul style="list-style-type: none"> Certificate of Trust; and Governing instrument (all amendments). 	

Complete	IN Consumer Loan License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Main Address: Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1). Notification of the change of main address must be submitted no later than thirty (30) days after the change of main address occurs.	NMLS
Note	Change of Main Address: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	IN Consumer Loan License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1). Notification of the addition or modification of the trade names must be submitted no later than thirty (30) days after the addition or modification of the trade names occurs.</p> <p>Ensure that the company's record is updated with the Indiana Secretary of State to reflect the additions and modifications, <i>before</i> submitting the Amendment.</p>	NMLS
Note	Addition of Other Trade Name \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	IN Consumer Loan License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1). Notification of the change of legal name must be submitted no later than thirty (30) days after the change of legal name occurs.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p> <p>Ensure that the company's record is updated with the Indiana Secretary of State to reflect the deletion, <i>before</i> submitting the Amendment.</p>	NMLS

Complete	IN Consumer Loan License Change of Legal Status Amendment Items	Submitted via...
<p>Note: In many cases, a change to the Fiscal Year End, Legal Status, or State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).</p>		
<input type="checkbox"/>	<p>Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Change of Legal Status: Provide a detailed explanation of the change via email to dfilicensing@dfi.in.gov so that a determination can be made as to whether an amendment, an ACN, or a new application will be required.</p>	<p>Email to Indiana DFI: dfilicensing@dfi.in.gov</p>

Complete	IN Consumer Loan License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1).</p>	NMLS
<input type="checkbox"/>	<p>Organizational Chart/Description: Submit an UPDATED chart showing (or a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners, with the percentage of ownership of each (the total direct ownership must equal 100%) • Indirect Owners, with the percentage of ownership of each • Subsidiaries and Affiliates of the applicant/licensee <p>Note: REPLACE the previous version in NMLS.</p>	<p>Upload in NMLS: under <u>Organizational Chart/Description</u> in the <u>Document Uploads</u> section of the Company Form (MU1).</p>

Complete	IN Consumer Loan License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Direct Owners: <u>Submit an Amendment</u> for an addition or change in Direct Owners of $\geq 10\%$ but $< 25\%$ within the Company Form (MU1) in NMLS, within 10 days of the effective date of the change. DO NOT submit this change as an ACN.</p> <p>Submit an ACN for an addition or change in Direct Owners of $\geq 25\%$. 120-day notice is required for this change. See I.C. 24-4.5-3-515 for more information regarding changes that constitute a Change in Control.</p> <p>If submitting an ACN for a Change in Control of any kind, send an email to dfilicensing@dfi.in.gov outlining the changes.</p>	NMLS
<input type="checkbox"/>	<p>Addition or Modification of Executive Officers: <u>Submit an Amendment</u> for an addition or change in Executive Officers within the Company Form (MU1) in NMLS, within 10 days of the effective date of the change. DO NOT submit this change as an ACN.</p>	NMLS
Note	<p>Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.</p>	N/A
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p> <p>This is required for all MU2 individuals.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: All direct owners who own at least 10% of the entity 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>	NMLS
<input type="checkbox"/>	<p>MU2 Individual Out-of-Country Criminal Background Check: If the person is domiciled outside of the United States, or was domiciled outside of the United States for more than 12 consecutive months during the last 10 years, provide a background check for that country which is equivalent to the United States FBI background check, and includes at least the last ten years. Ensure that the background check report identifies the years searched and the sources that were canvassed to arrive at the results.</p>	<p>Upload in NMLS: under the Document Type <u>Additional Requirements</u> in the Document Uploads section of the Company Form (MU1), or email to dfilicensing@dfi.in.gov</p>

Complete	IN Consumer Loan License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	Criminal Background Notification: A notification of new felony convictions must be submitted related to this change type. The notification must be provided no later than thirty (30) days after the conviction occurs.	Email to Indiana DFI: dfilicensing@dfi.in.gov
<input type="checkbox"/>	<p>Advance Change Notice Documents:</p> <p>When submitting an Advance Change Notice for a Change in Control under I.C. 24-4.4-2-406 or I.C. 24-4.5-3-515 (see above), upload to NMLS the following documents:</p> <ul style="list-style-type: none"> • A document/letter outlining all changes that will occur; • If applicable, a copy of the purchase agreement; • Financial statements for any proposed new company owners; • If applicable, a copy of the initial public offering (IPO); • A pre-change organizational chart/description*; • A post-change organizational chart/description*. <p>*Organizational charts/descriptions must include:</p> <ul style="list-style-type: none"> • Direct Owners, with the percentage of ownership of each (the total direct ownership must equal 100%); • Indirect Owners, with the percentage of ownership of each; and • Subsidiaries and Affiliates of the applicant/licensee. 	Upload in NMLS: under the Document Type <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN Consumer Loan License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Indirect Owners: <u>Submit an Amendment</u> for an addition or change in Indirect Owners of ≥10% but <25% within the Company Form (MU1) in NMLS, within 10 days of the effective date of the change. DO NOT submit this change as an ACN.</p> <p><u>Submit an ACN</u> for an addition or change in Indirect Owners of ≥25%, or any change which constitutes a Change in Control. 120-day notice is required for this change. See I.C. 24-4.4-2-406 or I.C. 24-4.5-3-515 for more information regarding changes that constitute a Change in Control.</p> <p>If submitting an ACN for a Change in Control of any kind, send an email to dfilicensing@dfi.in.gov outlining the changes.</p>	NMLS
Note	Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.	N/A

Complete	IN Consumer Loan License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	FBI Criminal Background Check for MU2 Individual: \$36.25 per person. This is required for all MU2 individuals.	NMLS (Filing submission)
<input type="checkbox"/>	MU2 Individual FBI Criminal Background Check Requirements: All Indirect Owners who own at least 10% of the applicant are required to authorize an FBI criminal background check (CBC) through NMLS. 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. See the Criminal Background Check section of the NMLS Resource Center for more information. 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.	NMLS
<input type="checkbox"/>	MU2 Individual Out-of-Country Criminal Background Check: If the person is domiciled outside of the United States, or was domiciled outside of the United States for more than 12 consecutive months during the last 10 years, provide a background check for that country which is equivalent to the United States FBI background check, and includes at least the last ten years. Ensure that the background check report identifies the years searched and the sources that were canvassed to arrive at the results.	Upload in NMLS: under the Document Type Additional Requirements in the Document Uploads section of the Company Form (MU1), or email to dfilicensing@dfi.in.gov
<input type="checkbox"/>	Criminal Background Notification: A notification of new felony convictions must be submitted related to this change type. The notification must be provided for no later than thirty (30) days after the conviction occurs.	Email to Indiana DFI: dfilicensing@dfi.in.gov
<input type="checkbox"/>	Advance Change Notice Documents: When submitting an Advance Change Notice for a Change in Control under I.C. 24-4.4-2-406 or I.C. 24-4.5-3-515 (see above), upload to NMLS the following documents: <ul style="list-style-type: none">• A document/letter outlining all changes that will occur;• If applicable, a copy of the purchase agreement;• Financial statements for any proposed new company owners;• If applicable, a copy of the initial public offering (IPO);• A pre-change organizational chart/description*;• A post-change organizational chart/description*. *Organizational charts/descriptions must include: <ul style="list-style-type: none">• Direct Owners, with the percentage of ownership of each (the total	Upload in NMLS: under the Document Type Advance Change Notice in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN Consumer Loan License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<p>direct ownership must equal 100%);</p> <ul style="list-style-type: none"> • Indirect Owners, with the percentage of ownership of each; and • Subsidiaries and Affiliates of the applicant/licensee. 	

Complete	IN Consumer Loan License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Qualifying Individual: Submit an Amendment for an addition or change in Qualifying Individuals within the Company Form (MU1).</p> <p>If the Qualifying Individual will be a Direct Owner, Executive Officer, or Indirect Owner, see the above sections for additional requirements.</p>	NMLS
Note	<p>Change of Qualifying Individual: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
Note	<p>Credit Report: Credit Reports and authorizations for a credit report through NMLS are not required.</p>	N/A
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p> <p>This is required of all MU2 individuals.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: All Indiana Qualifying Individuals 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>	NMLS
<input type="checkbox"/>	<p>Criminal Background Notification: A notification of new felony convictions must be submitted related to this change type. The notification must be provided no later than thirty (30) days after the conviction occurs.</p>	Email to Indiana DFI: dfilicensing@dfi.in.gov

Complete	IN Consumer Loan License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an Amendment for a change to Disclosure Question response(s) through the Company Form (MU1).	NMLS
<input type="checkbox"/>	Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for the company or any control person. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	Changing a Response from Yes to No: 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. You must select “Add Explanation for “No” Responses” and provide an explanation for each response that changes from “Yes” to “No” for the company or any control person. You must also upload a document (PDF) related to the explanation. See the Company Disclosure Explanations Quick Guide for instructions.	NMLS