



# IN-DFI Exempt Company Registration – CUSO Amendment Checklist

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

Indiana DFI does not require advance notice for any changes; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

### Uploading Agency-Specific Documents

If you are required to upload documents for an amendment, 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](#)
- [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 send your questions to [dfilicensing@dfi.in.gov](mailto: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/REGISTRANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE REGISTRATION WHICH THEY ARE AMENDING. 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. REGISTRANTS SHOULD ALSO REVIEW APPLICABLE LAW. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

## AMENDMENTS

- [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 on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

Complete	IN-DFI Exempt Company Registration – CUSO Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.</p> <p>Ensure that the company's record with the Indiana Secretary of State is updated to reflect the change <i>before</i> submitting the amendment.</p>	NMLS
Note	<b>Change of Legal Name Fee:</b> \$0 per license.	N/A
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p>	<b>Electronic Surety Bond in NMLS</b>
Note	If any documents are required, you will receive email notification from Indiana DFI. Monitor your email for such requests.	<b>Upload in NMLS:</b> under the Document Type <u>Additional Requirements</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN-DFI Exempt Company Registration – CUSO Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. Ensure that the company's record with the Indiana Secretary of State is updated to reflect the change <i>before</i> submitting the amendment.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license	N/A
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.	<b>Electronic Surety Bond in NMLS</b>
Note	If any documents are required, you will receive email notification from Indiana DFI. Monitor your email for such requests.	<b>Upload in NMLS:</b> under the Document Type <u>Additional Requirements</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN-DFI Exempt Company Registration – CUSO Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. Ensure that the trade name is registered with the Indiana Secretary of State.	NMLS
Note	<b>Addition of Other Trade Name</b> \$0 per license.	N/A

Complete	IN-DFI Exempt Company Registration – CUSO Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1). Ensure that the deleted trade name is removed from the company's registration with the Indiana Secretary of State.	NMLS

Complete	IN-DFI Exempt Company Registration – CUSO Change of Legal Status Amendment Items	Submitted via...
<b>Note:</b> 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).		
<input type="checkbox"/>	<b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	<b>NMLS</b>
Note	If any documents are required, you will receive email notification from Indiana DFI. Monitor your email for such requests.	<b>Upload in NMLS:</b> under the Document Type <u>Additional Requirements</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN-DFI Exempt Company Registration – CUSO Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	<b>NMLS</b>
Note	If any documents are required, you will receive email notification from Indiana DFI. Monitor your email for such requests.	<b>Upload in NMLS:</b> under the Document Type <u>Additional Requirements</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN-DFI Exempt Company Registration – CUSO Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.	<b>NMLS</b>

Complete	IN-DFI Exempt Company Registration – CUSO Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.	NMLS

Complete	IN-DFI Exempt Company Registration – CUSO Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
Note	<b>Addition or Modification of Qualifying Individual:</b> No amendment is required for an addition or change in Qualifying Individuals.	N/A

Complete	IN-DFI Exempt Company Registration – CUSO Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<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 company or any control person. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<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. 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 may also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	NMLS