



Amendments
Jurisdiction-Specific Requirements



NORTH DAKOTA MONEY BROKER LICENSE

Instructions

1. File all amendments through NMLS. The following amendments require instructions or items sent outside the NMLS:
2. Amendments are: Change of Address
 - Change of Name
 - Change of Ownership
 - Change of Control Person or Manager

(Check all of the above that apply)
3. North Dakota does not currently charge fees for amendments.
4. Any Change of Address, Change of Name or change in Control Person or Manager must also be reported on the applicable Form MU1 and Form MU2.
5. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

For U.S. Postal Service and Overnight Delivery send to:

*ND Dept. of Financial Institutions
Consumer Division
2000 Schafer Street, Suite G
Bismarck, ND 58501*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	SURETY BOND RIDER. (For change of name only) - Submit the Surety Bond Rider that reflects the change of name or addition of new trade name.
<input type="checkbox"/>	<input type="checkbox"/>	ORIGINAL LICENSE. (For change of address or change of name only) - Return the original license as issued by the North Dakota Dept. of Financial Institutions.
<input type="checkbox"/>	<input type="checkbox"/>	SECRETARY OF STATE/MUNCIPALITY DOCUMENTATION. Provide copy of Certificate of Authority or Trade Name Registration issued by the North Dakota Office of the Secretary of State.
<input type="checkbox"/>	<input type="checkbox"/>	CHANGE IN OWNERSHIP or CHANGE IN CONTROL - Provide a letter of explanation of the change including proposed new ownership or the proposed change in control. A new application may be required for a 25% or more change in ownership.
<input type="checkbox"/>	<input type="checkbox"/>	FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR QUALIFYING INDIVIDUAL. A change in any Control person or Qualifying Individual must be reported as an Amendment on the Form MU1 filing with a new Form MU2 submitted through the NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Control Person or any new Manager.

WHO TO CONTACT – Contact the Consumer Division licensing staff by phone at (701) 328-9933 or send your questions via e-mail to dfi@nd.gov for additional assistance.

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