



# OK DOCC Oklahoma Small Lender License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, the Oklahoma Department of Consumer Credit 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 doesn’t 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](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact *Oklahoma Department of Consumer Credit* licensing staff by phone at [\(405\) 521-3653](tel:4055213653) or send your questions via email to [licensing@okdocc.ok.gov](mailto:licensing@okdocc.ok.gov) for additional assistance.

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

*Oklahoma Department of Consumer Credit  
Attention: Licensing Department  
629 N.E. 28<sup>th</sup> Street  
Oklahoma City, OK 73105*

## 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 Direct Owners/Executive Officers](#)
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- [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 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 filing through NMLS.

Complete	OK DOCC Oklahoma Small Lender License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.	<b>NMLS</b>
Note	<b>Change of Legal Name Fee:</b> \$0 Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees may submit their surety bond to OK DOCC in one of the ways listed below.</p> <ol style="list-style-type: none"> <li>1. <b><i>If you have an Electronic Surety Bond</i></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.</li> <li>2. <b><i>If you have a paper Surety Bond</i></b>, upload the Surety Bond Rider that reflects the change of name in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.</li> </ol>	<p><b>Electronic Surety Bond in NMLS</b></p> <p><b>Or;</b></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). This document should be named <i>Oklahoma Small Lender Surety Bond</i>.</p>
<input type="checkbox"/>	<p><b>Formation Documents:</b> Formation Documents must be submitted related to this change type.</p> <p>Determine classification of licensee's legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments, thereto including a list of any name changes.</p> <p><b>Sole Proprietor</b></p> <ul style="list-style-type: none"> <li>• A copy of the Trade Name Report from the Oklahoma Secretary of State</li> <li>• A Form 1 or Form 2 Affidavit showing lawful presence in the United States (<a href="#">See attached forms</a>)</li> </ul> <p><b>Unincorporated Association:</b></p> <ul style="list-style-type: none"> <li>• By-Laws or constitution (including all amendments).</li> </ul> <p><b>General Partnership:</b></p> <ul style="list-style-type: none"> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Company ("LLC"):</b></p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	OK DOCC Oklahoma Small Lender License Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> <li>Articles of Organization (including all amendments).</li> <li>Operating Agreement (including all amendments).</li> <li>IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and</li> <li>LLC resolution if authority not in operating agreement.</li> </ul> <p><b>Corporation:</b></p> <ul style="list-style-type: none"> <li>Articles of Incorporation (including all amendments).</li> <li>By-laws (including all amendments), if applicable.</li> <li>Shareholder Agreement (including all amendments), if applicable.</li> <li>IRS Form 2553 if S-corp treatment elected; and</li> <li>Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable.</li> </ul>	

Complete	OK DOCC Oklahoma Small Lender License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.	<b>NMLS</b>
Note	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees may submit their surety bond to OK DOCC in one of the ways listed below.</p> <ol style="list-style-type: none"> <li><b><i>If you have an Electronic Surety Bond</i></b>, no further action is required to process this change.</li> <li><b><i>If you have a paper Surety Bond</i></b>, upload the Surety Bond Rider that reflects the change of address in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</li> </ol>	<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).

Complete	OK DOCC Oklahoma Small Lender License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Other Trade Name:</b> Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.</p> <p><b>Addition of Other Trade Name:</b> OK DOCC requires a separate license for each Other Trade Name added. When adding an Other Trade Name, licensee must apply for a separate Oklahoma Small Lender Other Trade Name # license. This new license must be requested in the <i>License/Registration</i> section of the Company Form (MU1).</p>	NMLS
Note	<p><b>Modification of Other Trade Name</b> \$0 per license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p><b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p> <p>If operating under an "Other Trade Name", upload the Trade Name Report provided by the OK Secretary of State regarding the ability to do business under that trade name.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	OK DOCC Small Lender License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name:</b> Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.</p>	NMLS

Complete	OK DOCC Oklahoma Small Lender License Change of Legal Status Amendment Items	Submitted via...
<p><b>Note:</b> In many cases, a change to the Fiscal Year End, Legal Status, and 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><b>Change of Legal Status:</b> Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.</p>	NMLS

Complete	OK DOCC Oklahoma Small Lender License Change of Legal Status Amendment Items	Submitted via...
Note	<b>Change of Legal Status Fee:</b> \$0 per license	<b>NMLS (Agency Fee Invoice)</b>
<input type="checkbox"/>	<p><b>Certificate of Authority/Certificate of Good Standing:</b> A Certificate of Authority/Certificate of Good Standing must be submitted related to this change type.</p> <p>Upload a state-issued and approved document from the Oklahoma Secretary of State, dated not more than 60 days prior to the filing of the ACN that demonstrates the authorization to do business in Oklahoma.</p>	<b>Upload in NMLS:</b> under the Document Type <u>Certificate of Authority/Good Standing</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	OK DOCC Oklahoma Small Lender License 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 ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<b>Credit Report for Control Persons:</b> \$15 per control person.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<b>Credit Report:</b> Individuals in a position of <a href="#">control</a> 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>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>Any individual with a ten percent (10%) or more shareholder of the applicant or who owns or controls the applicant is required to authorize an FBI criminal background check through NMLS.</li> </ul> <p><i>Executive Officers</i></p>	<b>NMLS</b>

Complete	OK DOCC Oklahoma Small Lender License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
	<ul style="list-style-type: none"> <li>Any individual who is a director or officer is required to authorize an FBI criminal background check through NMLS.</li> </ul> <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 <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</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>	

Complete	OK DOCC Oklahoma Small Lender License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. Thirty (30) day notice must be provided for this change.	NMLS
<input type="checkbox"/>	<b>Credit Report for Control Persons:</b> \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	<b>Credit Report:</b> Individuals in a position of <a href="#">control</a> 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"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	NMLS (Filing submission)
<input type="checkbox"/>	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> When added to the Company Form (MU1), Indirect Owners, as specified below, are required to authorize an FBI criminal background check (CBC) through NMLS.</p> <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> <li>Any individual who owns or controls the applicant is required to authorize an FBI criminal background check through NMLS.</li> </ul> <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 <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p>	NMLS

Complete	OK DOCC Oklahoma Small Lender License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<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.	

Complete	OK DOCC Oklahoma Small Lender License 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.	<b>NMLS</b>
<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 company or each 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 may select "Add Explanation for "No" Responses" and provide an explanation for each response that changes from "Yes" to "No" for company or each 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.	<b>NMLS</b>