



AR Money Transmitter License Amendment Checklist (Company)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

Arkansas does not require advance notice for any changes, except for a change of control; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

A change of control request must be submitted to the Arkansas Securities Department within 15 days after learning of the proposed change of control.

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.

Note: Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

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.

Helpful Resources

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

Agency Contact Information

Contact the Arkansas Securities Department licensing staff by phone at 501-324-9260 or send your questions via e-mail to jay.drake@arkansas.gov for additional assistance.

For U.S. Postal Service & Overnight Delivery:

Arkansas Securities Department
1 Commerce Way
Suite 402
Little Rock, AR 72202

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 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 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	AR Money Transmitter License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Legal Name: Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
Note	Change of Legal Name Fee: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	Surety Bond Rider: 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 ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.	Electronic Surety Bond in NMLS

Complete	AR Money Transmitter 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) in NMLS.	NMLS
Note	Change of Main Address: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	AR Money Transmitter License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	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) in NMLS.	NMLS
Note	Addition of Other Trade Name \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	If adding a new Other Trade Name, this name must be listed under the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS
<input type="checkbox"/>	Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed	Upload in NMLS: under the Document Type

Complete	AR Money Transmitter License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
	Name Registration Certificates must be submitted related to this change type.	“Trade Name/Assumed Name Registration Certificates” in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	AR Money Transmitter License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS

Complete	AR Money Transmitter License Change of Legal Status Amendment Items	Submitted via...
Note: 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).		
<input type="checkbox"/>	Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	NMLS

Complete	AR Money Transmitter License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	NMLS

Complete	AR Money Transmitter License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Direct Owners/Executive Officers: Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<p>Credit Report: The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a credit report through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> Individuals with the direct ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> Individuals with the indirect ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <p>The responsible individual for the applicant.</p>	NMLS
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: The following Individuals, as specified below, on the Company Form (MU1) 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"> Individuals with the direct power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> Individuals with the indirect power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <ul style="list-style-type: none"> The responsible individual for the applicant. <p>After authorizing a 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</p>	NMLS

Complete	AR Money Transmitter License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
	background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.	

Complete	AR Money Transmitter License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Indirect Owners: Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<p>Credit Report: The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a credit report through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> Individuals with the direct ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> Individuals with the indirect ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <p>The responsible individual for the applicant.</p>	NMLS
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: The following Individuals, as specified below, on the Company Form (MU1) 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"> Individuals with the direct power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> Individuals with the indirect power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. 	NMLS

Complete	AR Money Transmitter License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<p><i>Executive Officers</i></p> <ul style="list-style-type: none"> • All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <ul style="list-style-type: none"> • The responsible individual for the applicant. <p>After authorizing a 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>	

Complete	AR Money Transmitter License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Qualifying Individual: Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<p>Credit Report: The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a credit report through NMLS.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> • Individuals with the direct ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> • Individuals with the indirect ownership of, or the power to vote, at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> • All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <p>The responsible individual for the applicant.</p>	NMLS
<input type="checkbox"/>	MU2 Individual FBI Criminal Background Check Requirements: The following Individuals, as specified below, on the Company Form (MU1) are required to authorize an FBI criminal background check (CBC) through NMLS.	NMLS

Complete	AR Money Transmitter License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
	<p><i>Direct Owners</i></p> <ul style="list-style-type: none"> Individuals with the direct power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> Individuals with the indirect power to vote at least 10 percent of a class of voting securities or voting interests for the applicant. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> All Directors and Executive Officers of the applicant. <p><i>Qualifying Individuals</i></p> <ul style="list-style-type: none"> The responsible individual for the applicant. <p>After authorizing a 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>	
<input type="checkbox"/>	The Qualifying Individual must upload documentation to their Individual Form (MU2) that they are a citizen of the United States or have obtained legal immigration status to work in the United States.	Upload in NMLS in the <i>Legal Name/Status Documentation</i> section of the Individual Form (MU2).

Complete	AR Money Transmitter 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) in NMLS.	NMLS
<input type="checkbox"/>	<p>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 company or each control person.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).