



AZ Loan Originator License Amendment Checklist (Individual)

CHECKLIST SECTIONS

- [General Information](#)
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GENERAL INFORMATION

Note from AZ-DFI: We ask that you provide the necessary information needed to make our decision within 10 days of the date we notify you of any deficiencies. This is to ensure the application can be processed and to avoid any undue delay. Untimely submissions may result in your application being considered withdrawn. If the application is withdrawn, the applicant will have the ability to reapply and the application fee will be waived.

Instructions

When making changes to your record in NMLS, review the checklist below.

Notice to Applicant Pursuant to [A.R.S. § 41-1030](#)

An agency shall not base a licensing decision in whole or in part on a licensing requirement or condition that is not specifically authorized by statute, rule or state tribal gaming compact. A general grant of authority in statute does not constitute a basis for imposing a license requirement or condition unless a rule is made pursuant to that general grant of authority that specifically authorizes the requirement or condition.

This section may be enforced in a private civil action and relief may be awarded against the State. The court may award reasonable attorney fees, damages and all fees associated with the license application to a party that prevails in an action against the state for a violation of this section.

A State employee may not intentionally or knowingly violate this section. A violation of this section is cause for disciplinary action or dismissed pursuant to the Agency's adopted personnel policy.

This section does not abrogate the immunity provided by section 12-820.01 or 12-820.02.

Helpful Resources

- [Individual \(MU4\) Amendments Quick Guide](#)
- [Individual Disclosure Explanations Quick Guide](#)
- [Disclosure Explanations - Document Upload Quick Guide](#)
- [Change of Employer Quick Guide](#)

Agency Contact Information

Contact [Arizona Department of Financial Institutions](#) licensing staff by phone at (602) 771-2800 or send your questions via email to licensing@azdfi.gov for additional assistance.

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 Employment](#)
 - Sponsorship Change – \$50. This fee will be paid by your employing company.
 - NMLS Sponsorship Change Processing Fee: \$30
 - This fee will be waived for the initial sponsorship request for a license.

- [Change of Legal Name](#)
 - Change of Legal Name Fee: \$50 per license

- [Change of Residential Address](#)
 - Required to immediately update their Residential History on their MU4.
 - Change of Residential Address Fee: \$50 per license

- [Duplicate License Request](#)
 - Submit a request for a duplicate license through AzDFI email: \$100 per license

- [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	AZ Loan Originator License Change of Employment Amendment Items	Submitted via...
<input type="checkbox"/>	<p>End Company Relationship: End the “Relationship” with your former employer in NMLS if the company has not already done so. For instructions on completing this action, see the Removing Access & Ending Relationships Quick Guide.</p> <p>Note: Once the current “Sponsorship” is removed, your license status will be updated to Approved-Inactive. You are not authorized to conduct business until the sponsorship request from your new employer is accepted by AZ-DFI.</p>	NMLS
<input type="checkbox"/>	<p>Employment History: Update the Employment History section of the Individual Form (MU4).</p>	NMLS
<input type="checkbox"/>	<p>Confirm Email Address: Confirm that the email address listed in the following locations is current in NMLS:</p> <ul style="list-style-type: none"> • Home Tab>My Account>Update User Profile • Filing Tab>Individual>Identifying Information section 	NMLS
<input type="checkbox"/>	<p>Grant Company Access: Grant your new employer access to your NMLS record, to allow creation of new relationship/sponsorship. For instructions on completing this action, see the Providing Access to a Company Quick Guide.</p> <p>Note: After access is granted, your new employer is required to submit a “Sponsorship” request to this agency.</p> <p>Note: Once the new “Sponsorship” request is accepted, your license status will be updated to Approved and you will be authorized to conduct business. You are not authorized to conduct business until the sponsorship request from your new employer is accepted by AZDFI.</p>	NMLS
<input type="checkbox"/>	<p>Change of Sponsorship: \$50 per license</p> <p>This fee will be paid by your employing company.</p> <p>NMLS Sponsorship Change Processing Fee: \$30 This fee will be waived for the initial sponsorship request for a license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE.</p>	NMLS

Complete	AZ Loan Originator License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	Update Identifying Information Section: If changing your legal name, you must update the <i>Identifying Information</i> section of the Individual Form (MU4).	NMLS
<input type="checkbox"/>	Change of Legal Name: Provide a copy of legal documents which support the name change (i.e. marriage certificate, divorce decree etc.)	Upload in NMLS: under the Document Type <u>Legal Name/Status Documentation</u> in the <u>Document Uploads</u> section of the Individual Form (MU4). OR Email to licensing@azdfi.gov
<input type="checkbox"/>	Change of Legal Name Fee: \$50 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)

Complete	AZ Loan Originator License Change of Residential Address Amendment Items	Submitted via...
<input type="checkbox"/>	Update Residential History Section: If changing residence, you must update the <i>Residential History</i> section of the Individual Form (MU4) and the mailing address listed in the Identifying Information section of the Individual Form (MU4).	NMLS
<input type="checkbox"/>	Change of Main Address: \$50 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)

Complete	AZ Loan Originator License Duplicate License Request	Submitted via...
<input type="checkbox"/>	Duplicate License Request: Submit your request to AzDFI.	Email lolicensing@AzDFI.gov
<input type="checkbox"/>	Duplicate License Fee: \$100 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)

Complete	AZ Loan Originator License Change in Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change in Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Individual Form (MU4) in NMLS.	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.” See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU4).
<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”. You must also upload a document (PDF) related to the explanation. See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.	NMLS