AZ Consumer Lender Branch License Amendment Checklist (Branch)

CHECKLIST SECTIONS
- General Information
- Amendments

GENERAL INFORMATION

Note from AZ-DIFI: 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 work item(s) can be processed and to avoid any undue delay.

Instructions
Arizona Department of Financial Institutions (AZ-DIFI) 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 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 an 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 Quick Guide
- Document Uploads Quick Guide
- Document Upload Descriptions and Examples

Agency Contact Information
Contact the AZDIFI licensing staff by phone at (602) 771-2800 or send your questions via email to felicensing@difi.az.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 Branch Address**
- **Addition or Modification of Other Trade Name**
- **Deletion of Other Trade Name**
- **Change of Branch Manager**
- **Change of Branch Manager Disclosure Question(s)**

**Note:** Information uploaded or filed in NMLS will not be viewable to AZ-DIFI until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to AZ-DIFI on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your submission through the NMLS.

<table>
<thead>
<tr>
<th>Complete</th>
<th>AZ Consumer Lender Branch License</th>
<th>Change of Branch Address Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□</td>
<td><strong>Change of Branch Address:</strong> Submit an amendment for a change of Branch Address through the Branch Form (MU3) in NMLS.</td>
<td>NMLS</td>
</tr>
<tr>
<td></td>
<td>□</td>
<td><strong>Change of Branch Address:</strong> $0</td>
<td>NMLS</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Complete</th>
<th>AZ Consumer Lender Branch License</th>
<th>Addition or Modification of Other Trade Name Amendment Items</th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□</td>
<td><strong>Other Trade Name(s):</strong></td>
<td>NMLS</td>
</tr>
<tr>
<td></td>
<td>□</td>
<td>- <strong>List your DBA or Trade Name(s) used in Arizona</strong> in the “Other Trade Names” (OTN) section of the Branch Form (MU3).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>□</td>
<td>- <strong>IMPORTANT</strong> - If adding a new OTN for the branch location that is not already listed on the Company Form (MU1), during the application process, also submit an amendment for the addition of the OTN through the Company Form (MU1) in NMLS.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>□</td>
<td>- A separate license is <strong>no longer required</strong> for use of multiple trade names.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>□</td>
<td>- You may only transact business in the legal name of the entity and any name(s) approved and listed for Arizona under the Trade name section on the NMLS.</td>
<td></td>
</tr>
</tbody>
</table>
|          | □                                  | - A licensee may not use an assumed name or trade name that either:  
|          | □                                  |   - Is so substantially similar to the assumed name or trade name of another department licensee that it may cause uncertainty or confusion among the public.  
|          | □                                  |   - Tends to deceive or mislead the public as to the nature of business that the licensee conducts.  
|          | □                                  | - A person using an approved assumed or trade name shall notify the AZ-DIFI within fifteen days after any material change to the name. |                  |

It is recommended that each DBA or Trade Name is registered with the [Arizona](https://www.azdifi.az.gov).
Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS.

Note: If the Other Trade Name being deleted from the Branch Form (MU3) will no longer be in use by the company, it must also be deleted from the Company Form (MU1).

If deleting an Other Trade Name, this name must be removed from the Other Trade Names section of the Branch Form (MU3).

Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.

Note: Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.

Note: MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Branch Managers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.

Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.

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 the Branch Manager.


Changing a Response from Yes to No: When changing a Disclosure Question response from Yes to No for the Branch Manager, 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 Branch Manager must also upload a document (PDF) related to the explanation.
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