



AZ Escrow Agent Branch License Amendment Checklist (Branch)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Note from Arizona Department of Insurance and Financial Institutions (“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

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 [AZ-DIFI](#) licensing staff at (602) 771-2800 or via email at 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 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 submission through the NMLS.

Complete	AZ Escrow Agent Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Branch Address: Submit an amendment for a change of Branch Address using the Branch Form (MU3) in NMLS.	NMLS
<input type="checkbox"/>	Change of Branch Address: \$0 per license	NMLS

Complete	AZ Escrow Agent Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<p>Note: Escrow Agents are prohibited from using more than one trade name, fictitious name, or DBA for each license obtained. Applicants may only list <u>one name</u> in the <i>Other Trade Names</i> section on the Branch Form (MU3) for AZ-DIFI.</p>		
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. Sixty (60) days must be provided for this change. Send a follow-up email to felicensing@difi.az.gov.</p> <p>AZ Debt Management Licensees are prohibited from using more than one trade name, fictitious name, or DBA for each license obtained. Note: When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</p>	NMLS
Note:	<p>Arizona escrow agent licensees are permitted to use only one 'other trade name' for each license obtained. Therefore, please be advised that applicants must hold an Escrow Agent License - Other Trade Name for each additional other trade name listed in the Other Trade Names section of the Branch Form (MU3) that is being used to conduct business in Arizona. AZ-DIFI does not allow more than one (1) other trade names license. Refer to the new application checklist for additional information.</p>	
<input type="checkbox"/>	<p>Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p>	Upload in NMLS: under the Document Type

Complete	AZ Escrow Agent Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
		<u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Branch Form (MU3).

Complete	AZ Escrow Agent Branch License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS.</p> <p>Note: If the deleted Other Trade Name will no longer be in use by the company, it must also be deleted from the Company Form (MU1).</p> <p>AZ-DIFI requires a separate license for each Other Trade Name added. When deleting an Other Trade Name, you must request to surrender the appropriate Escrow Agent Branch License - Other Trade Name # license. This surrender must be requested in the License/Registration section of the Branch Form (MU3).</p>	NMLS
<input type="checkbox"/>	Deletion of Other Trade Name \$0 per license.	NMLS (Agency Fee Invoice)

Complete	AZ Escrow Agent Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.	NMLS
Note	Credit Report: Credit Reports and authorization for credit reports through NMLS are not required.	N/A
Note	MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Branch Managers are NOT required to authorize an FBI criminal background check through NMLS.	N/A

Complete	AZ Escrow Agent Branch License Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
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Complete	AZ Escrow Agent Branch License Change to Branch Manager 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 Branch Manager’s Individual Form (MU2) 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” for the Branch Manager. 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 (MU2).
<input type="checkbox"/>	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 may select “Add Explanation for “No” Responses” and provide a detailed explanation and document upload for each response that changes from “Yes” to “No” for the Branch Manager. See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.	NMLS

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.