



CALIFORNIA FINANCING LAW (CFL)

Amendment Checklist (Branch)

CHECKLIST SECTIONS

- [General Information](#)
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GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, the California Department of Financial Protection and Innovation (CA-DFPI) requires advance notification for some changes. Some changes require an amendment to your record in NMLS and the submission and/or upload of supporting documentation. 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 does not require ACN, select the applicable document type in the NMLS Document Uploads section.

AMENDMENTS

- [Change of Branch Address – 10-Day Advance Notice is Required Prior to Change](#)
- [Change of Branch Manager](#)
- [Branch Manager Disclosure Question\(s\)](#)
- [Addition/Modification of Other Trade Name](#)
- [Removal of Other Trade Name](#)

In general, the CA-DFPI does not charge fees for filing branch amendments, however there are fees for the processing and submission of fingerprints as described below and that cannot be collected through NMLS and must be paid by sending a check made payable to *Department of Financial Protection and Innovation* along with this checklist:

A change in officers, directors, control persons, and managers requires fingerprinting of the new individual, unless fingerprints are otherwise on file. The associated fees are as follows:
Fingerprint Fees – \$20 for live scan processing or \$69 for fingerprint cards.

Any change of address or change in manager must be reported on the applicable Forms MU2 and MU3. Any change to the Other Trade Name must be reported on the applicable Forms MU1 and MU3.

Documents that must be uploaded to the *Document Uploads* section of the Branch Form (MU3) in NMLS must be uploaded before or at the time of electronic submission of the application through NMLS. **All documents required to be mailed to the Department must be received within 5 business days of the electronic submission of the application in NMLS** at the address provided below. Refer to the checklist for documents that must be uploaded and/or mailed.

Document Uploads Guidance

Documents that must be uploaded to the *Document Uploads* section of the Company Form (MU1) in NMLS are indicated in the checklist below. When uploading documents:

- Follow the guidance in [Document Upload Descriptions and Examples](#).
- Only upload documents relevant to the company application.
- Only upload documents where there is an applicable document category. If an inappropriate document is uploaded in a category, you will be to remove them from NMLS.
- Do not upload the same company documents multiple times. Generally, unless the document is state-specific, if the document has already been uploaded for another state, a new upload is not required unless changes have been made.
- If a document previously uploaded has been revised, delete the old document and replace it with the new document (history of the old document will remain in NMLS).
- For state-specific documents (ex., the business plan), be sure to indicate the applicable state.
- Include all documents required to be emailed in one email.

Helpful Resources

- [Document Upload Descriptions and Examples](#)
- [Individual Form \(MU2\) Filing Quick Guide](#)
- [License Status Definitions Quick Guide](#)

Agency Contact Information

Contact the *Department of Financial Protection and Innovation* by phone at [\(866\) 275-2677](tel:866-275-2677) or send your questions via email to CFL.Inquiries@DFPI.ca.gov for additional assistance.

For U.S. Postal Service and Overnight Delivery:

*Department of Financial Protection and Innovation
CFL Licensing Unit – Amendments
320 West 4th Street, Suite 750
Los Angeles, CA 90013*

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.

NMLS ID Number (Company)	
NMLS ID Number (Branch)	
Legal Name	

Complete	CA-DFPI CFL Branch Address Change	Submitted via...
<input type="checkbox"/>	CHANGE OF ADDRESS: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. You must provide ten days' notice for this change.	NMLS
NOTE	Change of Branch Address Fee: \$0 If notification is less than 10 days, Late Penalty - \$500	If applicable, mail late penalty to the Department

Complete	CA-DFPI CFL Change in Branch Manager	Submitted via...
<input type="checkbox"/>	Change in Branch Manager: Amend the Branch Form (MU3) to reflect a change in branch manager and complete the other requirements in this checklist.	NMLS
<input type="checkbox"/>	Individual Form (MU2): Submit an Individual Form (MU2) for the new branch manager.	NMLS
<input type="checkbox"/>	<p>Fingerprint Requirement: Submit fingerprints for each new branch manager submitting a Form MU2.</p> <p>For in-state individuals:</p> <ul style="list-style-type: none"> Complete the form DFPI-CFL Request for Live Scan Service for each individual submitting a set of fingerprints and provide the set of fingerprints through a live scan location in California. A list of live scan locations may be found on the California Department of Justice's website. After submitting fingerprints through the live scan location, provide a copy of the form DFPI-CFL Request for Live Scan Service, completed by the operator at the live scan location, and a \$20 processing fee for each set of fingerprints by mail to the DFPI. The processing fee must be paid by check made payable to the Department of Financial Protection and Innovation. Refer to the Background Check Guidance for further information. <p>For out-of-state individuals:</p>	<p>Mail to CA-DFPI:</p> <p>For in-state individuals: After submitting fingerprints through a live scan location, mail to CA-DFPI the completed copy of the DFPI-CFL Request for Live Scan Service form and the \$20 processing fee for each set of fingerprints.</p> <p>For out-of-state individuals: Mail to CA-DFPI the \$69 processing fee and the completed fingerprint hard card for each set of fingerprints.</p>

	<ul style="list-style-type: none"> Individuals unable to submit fingerprints at a live scan location in California must submit fingerprints through a fingerprint hard card. Fingerprint hard cards may be obtained from CA-DFPI at CFL.inquiries@dfpi.ca.gov. (The FBI fingerprint hard card (FD-258) is widely available and may be obtained from any source. The form may not be downloaded and an original FD-258 on card stock is required.) Submit the completed fingerprint hard card and an \$69 processing fee for each set of fingerprints. The processing fee must be paid by check made payable to the Department of Financial Protection and Innovation. Refer to the Background Check Guidance for further information. <p>The fingerprint requirement applies to all applicable persons regardless of national origin or foreign location.</p>	
<input type="checkbox"/>	<p>Branch Written Agreement: Upload a copy of the agreement between the licensee and branch manager, in compliance with applicable state and federal law.</p> <p>Title this document <i>CA CFL [Company Legal Name] Branch Written Agreement</i></p>	<p>Upload in NMLS under the Document Type <i>Additional Requirement(s)</i> in the <i>Document Uploads</i> section of the Company Form (MU3).</p>

Complete	CA-DFPI CFL Branch Manager Disclosure Question(s)	Submitted via...
<input type="checkbox"/>	<p>Branch Manager Disclosure Questions: Provide a complete and detailed explanation for each “Yes” response to any Disclosure Question on the Individual Form (MU2).</p> <p>Upload copies of all pertinent court documents and orders.</p>	<p>Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).</p>

Complete	CA-DFPI CFL Change in Other Trade Name	Submitted via...
<input type="checkbox"/>	<p>Other Trade Name: A branch may only use a trade name that has been submitted and approved for use by a company on the Company Form (MU1). Once the Other Trade Name is approved for use by the company through submission on the Company Form (MU1), it may be used by any licensed branch.</p> <p>If the company intends to conduct business at a branch office under a fictitious business name not already approved by the Commissioner:</p>	<p>NMLS</p> <p>Upload in NMLS: 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>

	<p>1. Upload a copy of the Fictitious Business Name Statement bearing the seal of the County Clerk for each fictitious business name to be used under the Document Type <i>Trade Name/Assumed Name Registration Certificates</i> in the Document Uploads section of the Company Form (MU1); and</p> <p>2. Provide the fictitious business name in the Other Trade Name section of the Company Form (MU1) and Branch Form (MU3).</p> <p>In California, a company is not authorized to use a fictitious business name if an assumed name is issued by the California Secretary of State.</p> <p>Title this document <i>CA CFL [Company Legal Name] Fictitious Business Name/Trade Name/Assumed Name/DBA</i></p>	
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Complete	CA-DFPI CFL Removal of Other Trade Name	Submitted via...
<input type="checkbox"/>	<p>Removal of Other Trade Name:</p> <ul style="list-style-type: none"> • Update the <i>Other Trade Names</i> section on Company Form (MU1). • Upload the <i>Statement of Abandonment</i> filed with the county clerk (Business and Professions Code section 17922). <p>Title this document <i>CA CFL Fictitious Business Name/Trade Name/Assumed Name/DBA</i>.</p>	<p>NMLS</p> <p>Update MU1 and MU3:</p> <p>Other Trade Names</p> <p>Upload in NMLS 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>