



CA-DFPI Residential Mortgage Lending Act License Amendment Checklist (Company)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, CA-DFPI requires advance notification for some changes. The change should be made in NMLS as of the effective date with submission and/or upload of supporting documentation as instructed in the checklist below. Other 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 doesn't require ACN, select the applicable document type in the NMLS Document Uploads section. All documents required outside of the NMLS and/or uploaded to NMLS must be received within 5 days of the submission through NMLS.

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

Helpful Resources

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

Agency Contact Information

Contact the *Department of Financial Protection and Innovation* by phone at [\(866\) 275-2677](tel:8662752677) or send your questions via email to CRMLA.Licensing@DFPI.ca.gov for additional assistance.

For U.S. Postal Service and Overnight Delivery:

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

Amendments

- [Change of Legal Name](#)
- [Change of Control \(Ownership\)](#)
- [Change of License Authority](#)
- [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. All filings must be attested by a direct owner, executive officer, or CA-DFPI qualifying individual of the company. Agency-specific requirements that should be mailed to the agency on the checklist below must be received with the appropriate checklist within 5 days of the electronic submission of your filing through NMLS.

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 | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Name Amendment Items | Submitted via... |
|--------------------------|---|--|
| <input type="checkbox"/> | <p>Change of Legal Name: Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS.</p> <p>If the name of the licensee is a forced/assumed name issued by the California Secretary of State, the Forced Name box must be checked.</p> <p>Note: The attestation of the Company Form (MU1) and all amendments to the MU1 must be completed by a duly authorized individual who has submitted a Form MU2 or has been delegated to attest to the filing by an individual who has submitted a Form MU2.</p> | NMLS |
| NOTE | Change of Legal Name Fee: \$0 per license | N/A |
| <input type="checkbox"/> | <p>Electronic Surety Bond: Electronic Surety Bond via NMLS in the amount of \$50,000 furnished and submitted by a surety company authorized to conduct business in California.</p> <p>See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> <p>Note: Pursuant to the adoption of the Electronic Surety Bond (ESB) on August 15, 2021, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by December 31, 2021. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> <p>If you have NOT converted to the Electronic Surety Bond, upload the Surety Bond Rider that reflects the change of name in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.</p> | <p>Electronic Surety Bond in NMLS</p> <p>Or;</p> <p>Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). This document should be named [<i>License Type</i>] <i>Surety Bond</i>.</p> <p>AND</p> <p>Mail to CA DFPI Note: This item must also be mailed to the Department.</p> |
| <input type="checkbox"/> | <p>Fidelity Bond: Upload the fidelity bond currently in effect.</p> <ul style="list-style-type: none"> The name and address of the principal insured on the bond must exactly match the entity's full new legal name, or if issued by the California Secretary of State, the Forced/Assumed Name The address on the bond should reflect the entity's current address If applicable, include power of attorney (POA) | Upload in NMLS under <i>Fidelity Bond</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Name Amendment Items | Submitted via... |
|--------------------------|---|--|
| | <ul style="list-style-type: none"> The fidelity bond should contain coverage for employee dishonesty <p>The full policy must be uploaded. This document should be titled <i>Fidelity Bond</i>.</p> | |
| <input type="checkbox"/> | <p>Formation Documents: Upload formation documents related to this change type.</p> <p>Determine classification of entity’s legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments thereto, including a list of any name changes.</p> <p>This document should be titled <i>[State prefix] Formation Documentation [Date of Creation (MM-DD-YYYY)]</i>.</p> <p>Sole Proprietor:</p> <ul style="list-style-type: none"> No CA-DFPI specific documentation required <p>Unincorporated Association:</p> <ul style="list-style-type: none"> By-Laws or constitution (including all amendments) <p>General Partnership:</p> <ul style="list-style-type: none"> Partnership Agreement (including all amendments) <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> Certificate of Limited Liability Partnership; and Partnership Agreement (including all amendments) <p>Limited Partnership:</p> <ul style="list-style-type: none"> Certificate of Limited Partnership; and Partnership Agreement (including all amendments) <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> Certificate of Limited Liability Limited Partnership; and Partnership Agreement (including all amendments) <p>Limited Liability Company (LLC):</p> <ul style="list-style-type: none"> Articles of Organization (including all amendments); Operating Agreement (including all amendments); IRS Form 2553 or IRS Form 8832 if S-Corp treatment elected; and LLC resolution if authority not in operating agreement <p>Corporation:</p> <ul style="list-style-type: none"> Articles of Incorporation (including all amendments); By-laws (including all amendments), if applicable; Shareholder Agreement (including all amendments), if applicable; IRS Form 2553 if S-Corp treatment elected; and Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable <p>Not for Profit Corporation:</p> <ul style="list-style-type: none"> Documents requested of a Corporation; and Proof of nonprofit status <ul style="list-style-type: none"> Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or | <p>Upload in NMLS under the Document Type <i>Formation Document</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Name Amendment Items | Submitted via... |
|--------------------------|--|--|
| | <ul style="list-style-type: none"> ○ Statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating within the State; and (ii) no part of the entity’s net earnings may lawfully benefit any private shareholder or individual; or ○ Entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or ○ Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate <p>Trust (Statutory):</p> <ul style="list-style-type: none"> ● Certificate of Trust; and ● Governing instrument (all amendments) | |
| <input type="checkbox"/> | <p>Certificate of Authority/Good Standing Certificate (ALL ENTITIES): Upload the Certificate of Authority/Certificate of Good Standing from the California Secretary of State that reflects the following:</p> <ul style="list-style-type: none"> ● The entity’s new legal name ● Dated not more than sixty (60) days prior to the filing of the amendment through the NMLS ● The certificate must demonstrate the entity is authorized to transact business in the State of California <p>The following requirement apply to all applicants (corporations, limited liability companies, limited partnerships and trusts).</p> <p>This document should be titled <i>[State prefix] Certificate of Authority or [State prefix] Certificate of Good Standing</i>.</p> | <p>Upload in NMLS under the Document Type <i>Certificate of Authority/Good Standing Certificate</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Certificate of Authority/Good Standing Certificate (FOREIGN ENTITY): Upload a Certificate of Good Standing from the Secretary of State of the state of incorporation or formation that reflects the following:</p> <ul style="list-style-type: none"> ● The entity’s new legal name ● Dated not more than sixty (60) days prior to the filing of the amendment through NMLS ● The certificate must demonstrate the entity is authorized to transact business in the state of incorporation or formation <p>The following requirement apply to all applicants (corporations, limited liability companies, limited partnerships and trusts).</p> <p>This document should be titled <i>[State prefix] Certificate of Authority or [State</i></p> | <p>Upload in NMLS under the Document Type <i>Certificate of Authority/Good Standing Certificate</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Name Amendment Items | Submitted via... |
|--------------------------|---|---|
| | <i>prefix] Certificate of Good Standing.</i> | |
| <input type="checkbox"/> | <p>Customer Authorization for Disclosure of Financial Records: Please complete and file the original <i>Customer Authorization for Disclosure of Financial Records Form</i> MBL 1950.122B (Rev. 07/13).</p> <ul style="list-style-type: none"> • The entity's name on the disclosure must be the same name on file with the California Secretary of State • The signature must be of a person named in the Direct Owners and Executive Officers section of the application • If executed outside the State of California, the signature must be notarized • Click to download form | <p>Mail to CA-DFPI: This item must be mailed to the Department.</p> |
| <input type="checkbox"/> | <p>Other Trade Name: A legal name change may require the submission of a new Fictitious Business Name Statement. If operating under an <i>Other Trade Name</i>:</p> <ul style="list-style-type: none"> • Upload a copy of the Fictitious Business Name Statement bearing the seal of the County Clerk for each fictitious business name to be used that reflects the entity's new legal name • List the <i>Other Trade Name(s)</i> under the <i>Other Trade Names</i> section of the Company Form (MU1) <p>In California, a company is not authorized to use a fictitious business name if a Forced/Assumed Name is issued by the California Secretary of State. The California Department of Department of Financial Protection and Innovation does not limit the number of other trade names.</p> <p>Refer to Section 17900 of the Business and Professions Code for the requirements in filing this statement.</p> <p>This document should be titled <i>[State prefix] CRMLA Lender or Servicer or Lender/Servicer Fictitious Business Name/Trade Name/Assumed Name/DBA.</i></p> | <p>Upload in NMLS under the Document Type <i>Trade Name/Assumed Name Registration Certificates</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Control (Ownership) Amendment Items | Submitted via... |
|--------------------------|---|--|
| <input type="checkbox"/> | <p>Change of Control: Submit an ACN for a change of control through the Company Form (MU1). A ninety (90) day notice must be provided for this change.</p> <p>Any person or entity wishing to acquire 10% or more of the ownership interest of the company, either directly or indirectly, must file the change prior to the change of control taking place. An individual will also be required to file an Individual Form (MU2) and all required documents.</p> | NMLS |
| <input type="checkbox"/> | <p>Change of Control: \$100 per license.</p> <p>Fingerprint Processing Fees: \$20 for Livescan or \$62 for Fingerprint Card.</p> <p>Fees collected NOT REFUNDABLE OR TRANSFERABLE</p> | <p>Change of Control fees and Fingerprint fees mailed to CA-DFPI: This item must be mailed to the Department.</p> |
| <input type="checkbox"/> | <p>Fingerprint requirement: A change in any control person or a change in any officers, directors, general partner, direct and indirect owner (10% or more), managers, members, or trustee, etc. must be reported as an advance change notification on the Company Form (MU1) with a new Individual Form (MU2) submitted through NMLS. For each person submit:</p> <ul style="list-style-type: none"> • A Notice of Officers, Directors, Partners, Control Persons, Managers, Members, Trustees, and Employees of a Residential Mortgage Lender, Residential Mortgage Lender and Servicer, or Residential Mortgage Loan Servicer. Form 1950.122.2 (7/13) Click to download form • A copy of the completed BCIA 8016 Request for Livescan Service for each individual. The Request for Livescan must contain the information completed by the Livescan Transmitting Agency. Please refer to the DFPI website for further information. • If the individual has no regional access to CA Livescan Fingerprinting Services, please mail a copy of the Notice of Officers Form, completed fingerprint card, and payment to the DFPI. Standard fingerprint cards should be available at any Fingerprinting Servicer location. • Payment of \$20.00 for processing of each Livescan, or \$62.00 for processing of each fingerprint card. <p>Note: Natural persons who indirectly own 25% or greater of the applicant meet the definition of <i>Control Persons</i> and require an Individual Form (MU2) to be filed in NMLS. In addition to disclosing these persons in the <i>Indirect Owners</i></p> | <p>Mail to CA-DFPI: This item must be mailed to the Department.</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Control (Ownership) Amendment Items | Submitted via... |
|--------------------------|---|---|
| | <p>section of the Company Form, list these persons as <i>Control Persons</i> in the <i>Direct Owners and Executive Officers</i> section of the Company Form with the title of <i>Indirect Owner</i>.</p> <p>The California Department of Financial Protection and Innovation requires each person who directly or indirectly owns or controls 10% or more of the licensee to be disclosed in the <i>Direct Owner/Executive Officer</i> or <i>Indirect Owner</i> section of the Company Form (MU1).</p> | |
| <input type="checkbox"/> | <p>Disclosure Questions: Provide a complete and detailed explanation and upload supporting documentation for each <i>yes</i> response to Disclosure Questions made by the company (MU1) or related control persons (MU2). If a <i>yes</i> response applies to multiple incidents, each incident must have its own explanation and document upload.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p> | <p>Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).</p> |
| <input type="checkbox"/> | <p>Management Chart: Upload a management chart displaying the entity’s divisions, directors, officers, and managers (individual name(s) and title(s). The chart must also identify compliance reporting and internal audit structure. The named individuals should match those disclosed in the Direct Owners and Executive Officers section of the Company Form MU1.</p> <p style="text-align: center;">The chart should identify the lowest level of management.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Amended Management Chart</i>.</p> | <p>Upload in NMLS under <i>Management Chart</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Organizational Chart/Description: Upload an organizational chart showing (and a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners (with 10% or more ownership) • Indirect Owners (with 10% or more ownership) • Subsidiaries and Affiliates of the licensee <p>The total direct ownership and indirect ownership percentages must equate to 100%.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Amended Organizational Chart – Description</i>.</p> | <p>Upload in NMLS: under <i>Organizational Chart/Description</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of License Authority Amendment Items | Submitted via... |
|--------------------------|--|---|
| <input type="checkbox"/> | <p>Change of License Authority: Submit an ACN for a change of license authority through the NMLS by updating the <i>Business Activities</i> section of the Company Form MU1 to reflect the business activities allowed under the California Residential Mortgage Lending Act. Ninety (90) day notice must be provided for this change.</p> | <p>Mail to CA-DFPI: This item must be mailed to the Department.</p> |
| NOTE | <p>Change of License Authority: \$0</p> | N/A |
| <input type="checkbox"/> | <p>Business Plan: To add residential mortgage lender or mortgage loan servicer authority to an existing license, upload a plan of business for that activity. The plan of business should outline the following:</p> <ul style="list-style-type: none"> • The type of license– CRMLA lender or servicer– stated clearly at the top of the plan of business • Describe in sufficient detail the business to be conducted under the license • Operating structure entity intends to employ • Marketing strategies • Products/Services • Target markets • Credit decision • Flow of funds structure • Loan processing/underwriting • Sale and/or purchase of loans • Affiliate and/or subsidiary relationships • If applying for a residential mortgage loan servicer license (including Master Servicer), include the <ul style="list-style-type: none"> ○ Loss mitigation program ○ Sub-servicer contract ○ Sub-servicer oversight policies and procedures <p>This document should be titled <i>[State prefix] [Company Legal Name] Amended Business Plan.</i></p> | <p>Upload in NMLS under the Document Type <i>Business Plan</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of License Authority Amendment Items | Submitted via... |
|--------------------------|---|--|
| <input type="checkbox"/> | <p>Approvals and Designation: Upload evidence of federal agency approval for the entity to engage in business as a lender and/or servicer of federally related mortgage loans. The federal agency approval must be from FHA, VA, Fannie Mae, Freddie Mac, Ginnie Mae. or Farmers Home Administration.</p> | <p>Upload in NMLS under the Document Type <i>Approvals and Designation</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Statement of Compliance with California Homeowners Bill of Rights (CA-HBOR): Provide a written statement confirming the following:</p> <ul style="list-style-type: none"> • The company is aware of all CA-HBOR requirements • The company acknowledges that CA-HBOR requirements differ from federal-level requirements • The company has policies and procedures, and if applicable, its sub servicer has policies and procedures in place that comply with CA-HBOR requirements <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] CA-HBOR Compliance</i>.</p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Per Diem Interest: Provide a written statement confirming the company has policies and procedures in place that will ensure compliance with per diem interest related requirements. The per diem policies and procedures must comply with Section 50204(o) of the Financial Code, Section 2948.5 of the Civil Code (Per Diem Statute), and DFPI’s related guidance per DFPI Release No. 58-FS (Revised).</p> <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Per Diem Interest policies and procedures</i>.</p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Trust Accounting: Provide a written statement confirming the company has policies and procedures in place that will ensure compliance with trust accounting related requirements, to include but not limited to, weekly and monthly reconciliations, commingling, and debit balances. Please refer to CRMLA related sections of the Financial Code and Code of Regulations.</p> <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Trust Accounting policies and procedures</i>.</p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of License Authority Amendment Items | Submitted via... |
|--------------------------|--|--|
| <input type="checkbox"/> | <p>Oversight of Sub-servicer: Provide a written statement confirming the company has policies and procedures in place that will ensure compliance with 12 CFR 1024.38(b)(3): <i>Facilitating oversight of, and compliance by, service providers.</i></p> <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Oversight of Sub-servicer policies and procedures.</i></p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Timely onboarding of loans: Provide a written statement confirming the company has policies and procedures in place that will ensure compliance with 12CFR 1024.38(b)(4) 4. <i>Facilitating transfer of information during servicing transfers.</i></p> <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name] Consumer complaint policies and procedures.</i></p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Consumer Complaint: Provide a written statement confirming the company has policies and procedures in place to effectively and efficiently manage consumer complaints.</p> <p>The statement must be made on company letterhead and signed by an officer of the company.</p> <p>This document should be titled <i>[State prefix] [Company Legal Name]. Consumer Complaint policies and policies and procedures.</i></p> | <p>Upload in NMLS under the Document Type <i>Company Staffing and Internal Policies</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Main Address Amendment Items | Submitted via... |
|--------------------------|---|--|
| <input type="checkbox"/> | Change of Main Address: Submit an ACN for a change of main address through the Company Form (MU1) in NMLS. Ten (10) day notice must be provided for this change. | NMLS |
| NOTE | Change of Main Address: \$0 per license | N/A |
| <input type="checkbox"/> | <p>Surety Bond Rider: Licensees may submit their surety bond to California in one of the ways listed below.</p> <ol style="list-style-type: none"> If you HAVE converted to the Electronic Surety Bond, no further action is required to process this change. If you have NOT converted to the Electronic Surety Bond, upload the Surety Bond Rider that reflects the change of address in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above. <p>Note: Pursuant to the adoption of the Electronic Surety Bond (ESB) on August 15, 2021, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by December 31, 2021. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> | <p>Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). This document should be named <i>[License Type] Surety Bond</i>.</p> <p>AND</p> <p>Mail to CA DFPI Note: This item must also be mailed to the Department.</p> |
| <input type="checkbox"/> | <p>Fidelity Bond: Upload the fidelity bond currently in effect.</p> <ul style="list-style-type: none"> The new address of the principal insured The name on the bond must exactly match the entity's full legal name, or if issued by the California Secretary of State, the Forced/Assumed Name and new address of the company If applicable, include power of attorney (POA) The bond should contain coverage for employee dishonesty <p>The full policy must be uploaded. This document should be titled <i>Fidelity Bond</i>.</p> | <p>Upload in NMLS under <i>Fidelity Bond</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| | <p>Other Trade Name: A change of address will require submission of a new Fictitious Business Name Statement reflecting the entity's new address. If operating under an <i>Other Trade Name</i>:</p> <p>Upload a copy of the Fictitious Business Name Statement bearing the seal of</p> | <p>Upload in NMLS under the Document Type <i>Trade Name/Assumed Name Registration Certificates</i></p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Main Address Amendment Items | Submitted via... |
|----------|--|--|
| | <p>the County Clerk for each fictitious business name to be used.</p> <ul style="list-style-type: none"> List the <i>Other Trade Name(s)</i> under the <i>Other Trade Names</i> section of the Company Form (MU1). <p>In California, a company is not authorized to use a fictitious business name if a Forced/Assumed Name is issued by the California Secretary of State. The California Department of Financial Protection and Innovation does not limit the number of other trade names.</p> <p>Refer to Section 17900 of the Business and Professions Code for the requirements of filing this statement.</p> <p>This document should be titled <i>[State prefix] CRMLA Lender or Servicer or Lender/Servicer Fictitious Business Name/Trade Name/Assumed Name/DBA</i>.</p> | <p>in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| | | |
|----------|--|------------------|
| Complete | CA-DFPI Residential Mortgage Lending Act License Addition or Modification of Other Trade Name Amendment Items | Submitted via... |
|----------|--|------------------|

Note: A residential mortgage lender, servicer, or lender and servicer is not prohibited from using more than one trade name, fictitious name, or DBA. Therefore, applicants may list multiple names in the *Other Trade Names* section on the Company Form (MU1) for CA-DFPI.

| | | |
|--------------------------|---|------|
| <input type="checkbox"/> | Addition or Modification of Other Trade Name: Submit an ACN for an addition or modification of an Other Trade Name through the Company Form (MU1) in NMLS. Ten (10) day notice must be provided for this change. CA-DFPI does not require a separate license for each Other Trade Name added. | NMLS |
|--------------------------|---|------|

| | | |
|------|---|-----|
| Note | Addition or Modification of Other Trade Name: \$0 per license. | N/A |
|------|---|-----|

| | | |
|--------------------------|--|---|
| <input type="checkbox"/> | <p>Fictitious Business Name Statement: The addition of a new fictitious business name requires the submission of a new Fictitious Business Name Statement. If operating under a new fictitious business name:</p> <ul style="list-style-type: none"> • Upload a copy of Fictitious Business Name Statement bearing the seal of the County Clerk for each <i>Other Trade Name</i> for each fictitious business name to be used • List the <i>Other Name(s)</i> under the <i>Other Trade Names</i> section of the Company Form (MU1) <p>In California, an entity is not authorized to use a fictitious business name if a Forced/Assumed Name is issued by the California Secretary of State. The California Department of Financial Protection and Innovation does not limit the number of other trade names.</p> <p>This document should be titled <i>[State prefix] CRMLA Lender or Servicer or Lender/Servicer Fictitious Business Name/Trade Name/Assumed Name/DBA</i>. Refer to Section 17900 of the Business and Professions Code for the requirements of filing this statement.</p> | <p>Upload in NMLS under the Document Type <i>Trade Name/Assumed Name Registration Certificates</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
|--------------------------|--|---|

| | | |
|----------|---|------------------|
| Complete | CA-DFPI California Residential Mortgage Lending Act 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 <i>Other Trade Name</i> through the Company Form (MU1) in NMLS. If deleting an <i>Other Trade Name</i> , this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1). | NMLS |
|--------------------------|---|------|

| Complete | CA-DFPI California Residential Mortgage Lending Act License Deletion of Other Trade Name Amendment Items | Submitted via... |
|----------|---|------------------|
| Note | Deletion of Other Trade Name: \$0 per license | N/A |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| | | |
|----------|--|------------------|
| Complete | CA-DFPI Residential Mortgage Lending Act 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). Contact your regulator to determine if a change of legal status requires a new NMLS record and/or license.

| | | |
|--------------------------|--|--|
| <input type="checkbox"/> | <p>Change of Legal Status: Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. Ninety (90) day notice must be provided for this change.</p> | NMLS |
| Note | <p>Change of Legal Status: \$0 per license</p> | N/A |
| <input type="checkbox"/> | <p>Surety Bond Rider: Upload and mail an original surety bond rider (or new bond if applicable) that reflects the following:</p> <ul style="list-style-type: none"> • The entity’s new legal status • The name of the principal insured on the bond rider must match exactly the entity’s full legal name, or if issued by the California Secretary of State, the Forced/Assumed Name. The name must be the same as the name on file with the California Secretary of State • The name of the principal insured should not include a fictitious business name • The surety bond must be signed by a person named in the Direct Owners and Executive Officers section of the Company Form (MU1) • All signatures must be notarized • If a new surety bond is needed, use the Surety Bond Form MBL 50205 (7/13) Click here to access form | <p>Upload in NMLS under the Document Type <i>Surety Bond</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> <p>Note: This item must also be mailed to the Department.</p> |
| <input type="checkbox"/> | <p>Fidelity Bond: Upload the fidelity bond currently in effect that reflects the following:</p> <ul style="list-style-type: none"> ○ The new legal status of the principal insured ○ The name and address of the principal insured on the bond must exactly match the Full Legal Name, or if issued by the California Secretary of State the Forced/Assumed Name and address, of the entity ○ If applicable, include power of attorney (POA) <p>The full policy must be uploaded. This document should be titled <i>Fidelity Bond</i>.</p> | <p>Upload in NMLS under <i>Fidelity Bond</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Status Amendment Items | Submitted via... |
|--------------------------|--|--|
| <input type="checkbox"/> | <p>Formation Documents: Determine classification of the entity’s new legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments, thereto including a list of any name changes.</p> <p>This document should be titled <i>Formation Documentation [Date of Creation (MM-DD-YYYY)]</i>.</p> <p>Sole Proprietor:</p> <ul style="list-style-type: none"> • N/A for California <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments) <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments) <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments) <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments) <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments) <p>Limited Liability Company (‘LLC’):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-Corp treatment elected; and • LLC resolution if authority not in operating agreement <p>Corporation:</p> <ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-Corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable <p>Not for Profit Corporation:</p> <ul style="list-style-type: none"> • N/A for California <p>Trust (Statutory):</p> <ul style="list-style-type: none"> • Certificate of Trust; and • Governing instrument (all amendments) | <p>Upload in NMLS under <i>Formation Document</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |
| <input type="checkbox"/> | <p>Other Trade Names: A legal status change requires submission of a new Fictitious Business Name Statement. If operating under an ‘Other Trade Name:</p> <ul style="list-style-type: none"> ○ Upload a copy of the Fictitious Business Statement bearing the seal of the County Clerk for each fictitious business name to be used that reflects the entity’s new legal status | <p>Upload in NMLS under the Document Type <i>Trade Name/Assumed Name Registration Certificates</i> in the <i>Document</i></p> |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Status Amendment Items | Submitted via... |
|--------------------------|---|--|
| | <ul style="list-style-type: none"> ○ List the 'Other Trade Name(s)' under the <i>Other Trade Name</i> section of the Company Form (MU1) <p>In California, a company is not authorized to use a fictitious business name if a Forced/Assumed Name is issued by the California Secretary of State. The California Department of Financial Protection and Innovation does not limit the number of other trade names.</p> <p>This document should be titled <i>[State prefix] CRMLA Lender or Servicer or Lender/Servicer Fictitious Business Name/Trade Name/Assumed Name/DBA</i>. Refer to Section 17900 of the Business and Professions Code for the requirements of filing this statement.</p> | Uploads section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Management Chart: Submit a Management chart displaying the company's divisions, directors, officers, and managers (individual name and title). The chart must also identify compliance reporting and internal audit structure. The named individuals should match those disclosed in the Direct Owners and Executive Officers section of the Company Form MU1.</p> <p style="text-align: center;">The chart should identify the lowest level of management.</p> <p>This document should be titled <i>[Company Legal Name] Amended Management Chart</i>.</p> <p>Note: If the existing uploaded management chart already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Management Chart</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Organizational Chart/Description: Submit a chart showing (and a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners (with 10% or more ownership) • Indirect Owners (with 10% or more ownership) • Subsidiaries and Affiliates of the licensee <p>The total direct ownership and indirect ownership percentages must equate to 100%.</p> <p>This document should be titled <i>[Company Legal Name] Amended Organizational Chart – Description</i>.</p> <p>Note: If the existing uploaded Organizational Chart/Description already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Organizational Chart/Description</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Management Chart: Submit a Management chart displaying the company's divisions, directors, officers, and managers (individual name and title). The chart must also identify compliance reporting and internal audit structure. The named individuals should match those disclosed in the Direct Owners and Executive Officers section of the Company Form MU1.</p> | Upload in NMLS under <i>Management Chart</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |

| Complete | CA-DFPI Residential Mortgage Lending Act License Change of Legal Status Amendment Items | Submitted via... |
|--------------------------|---|--|
| | <p style="text-align: center;">The chart should identify the lowest level of management.</p> <p>This document should be titled <i>[Company Legal Name] Amended Management Chart</i>.</p> <p>Note: If the existing uploaded management chart already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | |
| <input type="checkbox"/> | <p>Organizational Chart/Description: Submit a chart showing (and a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners (with 10% or more ownership) • Indirect Owners (with 10% or more ownership) • Subsidiaries and Affiliates of the licensee <p>The total direct ownership and indirect ownership percentages must equate to 100%.</p> <p>This document should be titled <i>[Company Legal Name] Amended Organizational Chart – Description</i>.</p> <p>Note: If the existing uploaded Organizational Chart/Description already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | <p>Upload in NMLS under <i>Organizational Chart/Description</i> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act 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 ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. A sixty (60) day notice must be provided for this change. | NMLS |
| <input type="checkbox"/> | Addition or Modification of Direct Owners/Executive Officers: \$0 per license Fingerprint Processing Fee: \$20 for Livescan or \$62 for Fingerprint card Fees collected through NMLS are <u>NOT REFUNDABLE OR TRANSFERABLE</u> | Mail to CA-DFPI This item must be mailed to the Department. |
| Note | Credit Report: Credit Reports and authorizations for credit report through NMLS are not required. | N/A |
| <input type="checkbox"/> | <p>Fingerprint Requirement: For each control person, officer, director, general partner, direct and indirect owner (10% or more), manager, member, or trustee submit:</p> <ul style="list-style-type: none"> • A Notice of Officers, Directors, Partners, Control Persons, Managers, Members, Trustees, and Employees of a Residential Mortgage Lender, Residential Mortgage Lender and Servicer, or Residential Mortgage Loan Servicer. Form 1950.122.2 (7/13) Click to download form • A copy of the completed Request for Livescan for each individual. The Request for Livescan must contain the information completed by the Livescan Transmitting Agency. Please refer to the DFPI website for further information. • Payment of \$20.00 for processing of each Livescan or \$62.00 for processing of each fingerprint card. <p>Note: Natural persons who indirectly own 25% or greater of the applicant meet the definition of <i>Control Persons</i> and require an Individual Form to be filed in NMLS. In addition to disclosing these persons in the <i>Indirect Owners</i> section of the Company Form, list these persons as <i>Control Persons</i> in the <i>Direct Owners and Executive Officers</i> section of the Company Form with the title of <i>Indirect Owner</i>.</p> <p>The California Department of Financial Protection and Innovation requires each person who directly or indirectly owns or controls 10% or more of the licensee to be disclosed in the <i>Direct Owner/Executive Officer</i> or <i>Indirect Owner</i> section of the Company Form (MU1).</p> | Mail to CA-DFPI: This item must be mailed to the Department. |

| | | |
|--------------------------|---|---|
| Complete | CA-DFPI Residential Mortgage Lending Act License Addition or Modification of Direct Owners/Executive Officers Amendment Items | Submitted via... |
| Note | MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Direct Owners and Executive Officers are NOT required to authorize an FBI criminal background check (CBC) through NMLS. | N/A |
| <input type="checkbox"/> | <p>Management Chart: Submit a Management chart displaying the company’s divisions, directors, officers, and managers (individual names and titles). Must also identify compliance reporting and internal audit structure. The named individuals should match those disclosed in the Direct Owners and Executive Officers section of the Company Form MU1.</p> <p style="text-align: center;">The chart should identify the lowest level of management.</p> <p>This document should be named <i>[Company Legal Name] Amended Management Chart</i>.</p> <p>Note: If the existing uploaded management chart already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Management Chart</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Organizational Chart/Description: Submit a chart showing (and a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners (with 10% or more ownership) • Indirect Owners (with 10% or more ownership) • Subsidiaries and Affiliates of the licensee <p>The total direct ownership and indirect ownership percentages must equate to 100%.</p> <p>This document should be titled <i>[Company Legal Name] Amended Organizational Chart – Description</i>.</p> <p>Note: If the existing uploaded Organizational Chart/Description already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Organizational Chart/Description</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Disclosure Questions: Provide a complete and detailed explanation and supporting documentation for each <i>yes</i> response to Disclosure Questions made by the company (MU1) and/or related control persons (MU2). If a <i>yes</i> response applies to multiple incidents, each incident must have its own explanation and document upload.</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). |
| Complete | CA-DFPI Residential Mortgage Lending Act License Addition or Modification of Indirect Owners Amendment Items | Submitted via... |

| Complete | CA-DFPI Residential Mortgage Lending Act License Addition or Modification of Indirect Owners Amendment Items | Submitted via... |
|--------------------------|---|--|
| <input type="checkbox"/> | Addition or Modification of Indirect Owners: Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. A sixty (60) day notice must be provided for this change. | NMLS |
| <input type="checkbox"/> | Addition or Modification of Indirect Owners: \$0 per license Fingerprint Processing Fee: \$20 for Livescan or \$62 for Fingerprint card Fees collected through NMLS are <u>NOT REFUNDABLE OR TRANSFERABLE</u> | Mail to CA-DFPI: This item must be mailed to the Department. |
| Note | Credit Report: Credit Reports and authorizations for credit report through NMLS are not required. | N/A |
| <input type="checkbox"/> | <p>Fingerprint Requirement: For each control person, officer, director, general partner, direct and indirect owner (10% or more), manager, member, or trustee submit:</p> <ul style="list-style-type: none"> • A Notice of Officers, Directors, Partners, Control' Persons, Managers, Members, Trustees, and Employees of a Residential Mortgage Lender, Residential Mortgage Lender and Servicer, or Residential Mortgage Loan Servicer. Form 1950.122.2 (5/17) Click to download form • A copy of the completed Request for Livescan for each individual. The Request for Livescan must contain the information completed by the Livescan Transmitting Agency. Please refer to the DFPI website for further information • If the individual resides and works outside the State of California, a fingerprint card and Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement in lieu of the Request for Livescan noted above. Fingerprint cards may be obtained from the Department of Financial Protection and Innovation • Payment of \$20.00 for processing of each Livescan or \$62.00 for processing of each fingerprint card <p>Fees collected through NMLS are <u>NOT REFUNDABLE OR TRANSFERABLE</u></p> <p>Note: Natural persons who indirectly own 25% or greater of the applicant meet the definition of <i>Control Persons</i> and require an Individual Form to be filed in NMLS. In addition to disclosing these persons in the <i>Indirect Owners</i> section of the Company Form, list these persons as <i>Control Persons</i> in the <i>Direct Owners and Executive Officers</i> section of the Company Form with the title of <i>Indirect Owner</i>.</p> <p>The California Department of Financial Protection and Innovation requires each person who directly or indirectly owns or controls 10% or more of the licensee</p> | Mail to CA-DFPI: This item must be mailed to the Department. |

| Complete | CA-DFPI Residential Mortgage Lending Act License Addition or Modification of Indirect Owners Amendment Items | Submitted via... |
|--------------------------|---|--|
| | to be disclosed in the <i>Direct Owner/Executive Officer</i> or <i>Indirect Owner</i> section of the Company Form (MU1). | |
| Note | MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Indirect Owners are NOT required to authorize an FBI criminal background check (CBC) through NMLS. | N/A |
| <input type="checkbox"/> | <p>Management Chart: Submit a Management chart displaying the company’s divisions, directors, officers, and managers (individual names and titles). The chart must also identify compliance reporting and internal audit structure. The named individuals should match those disclosed in the Direct Owners and Executive Officers section of the Company Form MU1.</p> <p style="text-align: center;">The chart should identify the lowest level of management.</p> <p>This document should be titled <i>[Company Legal Name] Amended Management Chart</i>.</p> <p>Note: If the existing uploaded management chart already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Management Chart</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Organizational Chart/Description: Submit a chart showing (and a description which includes) the percentage of ownership of:</p> <ul style="list-style-type: none"> • Direct Owners (with 10% or more ownership) • Indirect Owners (with 10% or more ownership) • Subsidiaries and Affiliates of the licensee <p>The total direct ownership and indirect ownership percentages must equate to 100%.</p> <p>This document should be titled <i>[Company Legal Name] Amended Organizational Chart – Description</i>.</p> <p>Note: If the existing uploaded Organizational Chart/Description already includes the above information, an additional document does not need to be uploaded. A company should only upload a single management chart.</p> | Upload in NMLS under <i>Organizational Chart/Description</i> in the <i>Document Uploads</i> section of the Company Form (MU1). |
| <input type="checkbox"/> | <p>Disclosure Questions: Provide a complete and detailed explanation and upload supporting documentation for each <i>yes</i> response to Disclosure Questions made by the company (MU1) and/or related control persons (MU2). If a <i>yes</i> response applies to multiple incidents, each incident must have its own explanation and document upload.</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). |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act 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 |
| Note | Change of Qualifying Individual: \$0 per license | N/A |
| <input type="checkbox"/> | Disclosure Questions: Provide a complete and detailed explanation and upload supporting documentation for each <i>yes</i> response to Disclosure Questions made by the company (MU1) and/or related control persons (MU2). If a <i>yes</i> response applies to multiple incidents, each incident must have its own explanation and document upload. See the Company Disclosure Explanations Quick Guide for instructions. | Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |

| | |
|----------------|--|
| NMLS ID Number | |
| Legal Name | |

| Complete | CA-DFPI Residential Mortgage Lending Act 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"/> | Changing a Response from No to Yes: Provide a complete and detailed explanation and upload supporting documentation for each response that changes from <i>no</i> to <i>yes</i> for the company and/or each control person. See the Company Disclosure Explanations Quick Guide for instructions. | Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |
| <input type="checkbox"/> | Changing a Response from Yes to No: When changing a Disclosure Question response from <i>yes</i> to <i>no</i> , you will be required to remove the question from the associated Disclosure Explanation and provide an amended explanation. You must select <i>Add Explanation for No Responses</i> and provide an explanation for each response that changes from <i>yes</i> to <i>no</i> for the company and/or each control person. You must also upload supporting documentation related to the amended explanation. See the Company Disclosure Explanations Quick Guide for instructions. | Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |