



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

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 and submit and/or upload 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 NMLS and/or uploaded to NMLS must be received within 5 business 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:866-275-2677) 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
NMLS Licensing Unit
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.

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. All filings must be attested by a direct owner, executive officer or qualifying individual of the company. 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.

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

Complete	CA-DFPI Residential Mortgage Lending Act Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Branch Address: Submit an ACN for a change of branch address through the Branch Form (MU3) in NMLS. Ten (10) days notice must be provided for this change.	NMLS
NOTE	Change of Main Address: \$0 per license	N/A

Complete	CA-DFPI Residential Mortgage Lending Act Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an ACN to add or modify an <i>Other Trade Name</i> through the Company Form (MU1) in NMLS.</p> <p><i>Other Trade Names</i> are managed at the company license level. Once the <i>Other Trade Name</i> is approved at the company level, it can be used across all licensed branches. If a branch office will operate under an approved <i>Other Trade Name</i>, that name must be listed under the <i>Other Trade Names</i> section of the Branch Form (MU3).</p> <p>If the company intends to conduct business at a branch office under a fictitious business name (<i>Other Trade Name</i>) not already approved by the Commissioner, upload a copy of the Fictitious Business Name Statement bearing the seal of the County Clerk for each fictitious business name to be used. Refer to Section 17900 of the Business and Professions Code for the requirements of filing this statement.</p> <p>In California, a company is not authorized to use a fictitious business name if an assumed/forced 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 or require a separate license for each <i>Other Trade Name</i> added.</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).
Note	Addition or Modification of Other Trade Name: \$0 per license.	N/A

Complete	CA-DFPI California Residential Mortgage Lending Branch Act License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an ACN for deletion of an <i>Other Trade Name</i> through the Company Form (MU1) in NMLS.</p> <p>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) and Branch Form (MU3).</p>	NMLS
Note	Deletion of Other Trade Name: \$0 per license	N/A

Complete	CA-DFPI Residential Mortgage Lending Act Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.</p>	NMLS
Note	Change of Branch Manager: \$0 per license	N/A
<input type="checkbox"/>	<p>Branch Manager (MU2) Attestation: If the branch manager is not licensed as a mortgage loan originator (MLO), the branch manager must complete the Individual Form (MU2) in NMLS. This form must be attested to by the applicable branch manager before it can be submitted along with the Branch Form (MU3).</p>	NMLS
<input type="checkbox"/>	<p>Disclosure Questions: Provide a complete and detailed explanation and document upload for each <i>yes</i> response to Disclosure Questions made by the branch manager.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).

Complete	CA-DFPI Residential Mortgage Lending Act Branch License Change of Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p>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.</p>	NMLS
NOTE	Change of Disclosure Question(s): \$0 per license	N/A
<input type="checkbox"/>	<p>Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from <i>no</i> to <i>yes</i> for the Branch Manager.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).

Complete	CA-DFPI Residential Mortgage Lending Act Branch License Change of Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Changing a Response from Yes to No: When changing a Disclosure Question response from <i>yes</i> to <i>no</i> for the Branch Manager, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason.</p> <p>You may 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 Branch Manager. You are required to upload a document (PDF) related to the explanation.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p>	<p>Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).</p>