



Amendments Jurisdiction-Specific Requirements



CALIFORNIA RESIDENTIAL MORTGAGE LENDING ACT LICENSE

Instructions

1. The following amendments require instructions or items sent directly to the California Department of Business Oversight (formerly Department of Corporations) outside of the NMLS:
2. California Department of Business Oversight charges amendment fees for the fields listed below that cannot be collected through NMLS and must be paid by sending a check made payable to *Department of Business Oversight* along with this checklist. (check all boxes that apply):
 - Change of Ownership – \$100.00
 - Fingerprint Fees – \$20 for livescan processing or \$62 for fingerprint cards
3. All fees collected through the NMLS ARE NOT REFUNDABLE.
4. Any change of address, change of name or change in control person, manager (control person), branch manager or qualifying individual must also be reported on the applicable Company Form and Individual Form.
5. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following address:

For U.S. Postal Service:

*Department of Business Oversight
NMLS Licensing Unit
320 West 4th Street, Suite 750
Los Angeles, CA 90013*

For Overnight Delivery:

*Department of Business Oversight
NMLS Licensing Unit
320 West 4th Street, Suite 750
Los Angeles, CA 90013*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

CALIFORNIA RESIDENTIAL MORTGAGE LENDING ACT AMENDMENTS

FILED IN NMLS	ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>LEGAL NAME CHANGE</p> <ul style="list-style-type: none"> • ALL LICENSEES must provide an original Certificate of Good Standing dated not more than sixty (60) days from the filing of this amendment issued by the California Secretary of State • If the name of the licensee is an assumed name authorized by the California Secretary of State, the forced name box must be checked. • If the licensee is a foreign entity, provide an original Certificate of Good Standing dated not more than sixty (60) days from the filing of this amendment issued by the Secretary of State of the state of incorporation or formation. • A surety bond rider reflecting the new name. The name must be the same as the name on file with the California Secretary of State. All signatures must be notarized. • Customer Authorization for Disclosure of Financial Records. The name must be the same the name on file with the California Secretary of State. The authorization must be signed by an individual named in the Direct Owners and Executive Officers section of Form MU1. If executed outside the State of California, the signature must be notarized.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>OTHER TRADE NAMES</p> <p>If the licensee uses one or more fictitious business names, 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 17000 of the Business and Professions Code for the requirements of filing this statement. If the licensee uses an assumed name, additional fictitious business names will not be authorized.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR OFFICERS, DIRECTORS, TRUSTEES, MEMBERS, MANAGERS, ETC.</p> <ul style="list-style-type: none"> • A change in any control person or a change in any officers, directors, managers, members or principal officers, etc. must be reported as an Amendment on the Company Form filing with a new Individual Form submitted through the NMLS. • 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 must be filed for each new control person. • 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 DBO website at http://www.dbo.ca.gov/Licensees/Residential_Mortgage/pdf/MBL1950122C.pdf 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

			<p>noted above. Fingerprint cards may be obtained from the Department of Business Oversight.</p> <ul style="list-style-type: none"> • Payment of \$20.00 for processing each Livescan or \$62.00 for processing of each fingerprint card. A check for payment of processing fees must be sent to the Department of Business Oversight. Please make checks payable to Department of Business Oversight.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>CHANGE OF ADDRESS</p> <ul style="list-style-type: none"> • Main office - A surety bond rider reflecting a change of address for the main office. All signatures must be notarized. • If the company uses a fictitious business name, also submit a Fictitious Business Name Statement bearing the seal of the County Clerk for each fictitious business name to be used. Refer to Section 17000 of the Business and Professions Code for the requirements of filing this statement.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>CHANGE OF CONTROL OR OWNERSHIP</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 and all required accompanying documents. Payment of \$100.00 must be sent to the Department of Business Oversight. Please make checks payable to Department of Business Oversight.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>CHANGE OF LICENSE AUTHORITY</p> <ul style="list-style-type: none"> • To add residential mortgage lender or mortgage loan servicer authority to an existing license provide a plan of business for that activity. If adding mortgage loan servicing authority include your loss mitigation program. Please state clearly at the top of the plan of business the type of license authority the licensee wishes to have - lender, servicer or lender and servicer. • Provide evidence of federal approval for the proposed new activity issued by FHA, VA, Fannie Mae, Freddie Mac, Ginnie Mae or Farmers Home Administration.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>DISCLOSURE QUESTIONS. Provide an explanation for any "Yes" response. Upload a copy of any applicable orders or supporting documents in NMLS.</p>

WHO TO CONTACT – Please refer to the Department of Business Oversight website at www.dbo.ca.gov or contact Department of Business Oversight by phone at 866-275-2677 for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.