



## Company Amendments Agency Requirements



### DC RETAIL SELLER AND CONSUMER SALES FINANCE LICENSE

#### Instructions

**When making changes to your record in NMLS, District of Columbia (District) Department of Insurance, Securities and Banking (DISB) does not require advance notice, make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.**

#### Fees

1. DISB does not collect amendment fees through NMLS for this license type.
2. All fees collected through NMLS ARE NOT REFUNDABLE.

#### Agency Specific Documents

Agency specific requirements marked **Filed in NMLS** must be completed and/or uploaded in NMLS; this information will not be viewable to the agency until the application has been submitted through NMLS. For help with document uploads, see the [Document Upload Quick Guide](#).

*Review the checklist below when making a change to your record in NMLS.*

NMLS Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

FILED IN NMLS	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME:</b></p> <ul style="list-style-type: none"> <li>Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.</li> <li>Upload a certified copy of the amended Articles of Incorporation (if a Corporation); the Articles of Organization (if a Limited Liability Company); or the Partnership Agreement (if a Partnership of any form).</li> <li>Upload a copy of the Certificate of Good Standing issued by the District's Department of Consumer and Regulatory Affairs.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENT REQUIRED FOR CHANGE OF MAIN ADDRESS:</b></p> <ul style="list-style-type: none"> <li>Submit and amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENT REQUIRED FOR ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):</b></p> <ul style="list-style-type: none"> <li>Submit an amendment for an addition or change to Other Trade Name through the Company Form (MU1) in NMLS.</li> <li>Upload a Trade Name Registration form issued by the District's Department of Consumer and Regulatory Affairs. <b>Upload Tip:</b> Upload this document under the Document Type "Certificate of Authority/Good Standing Certificate" in the Document Uploads section of the Company (MU1) Form.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENT REQUIRED FOR CHANGE OF LEGAL STATUS:</b></p> <ul style="list-style-type: none"> <li>Upload a certified copy of the amended Articles of Incorporation (if a Corporation); the Articles of Organization (if a Limited Liability Company); or the Partnership Agreement (if a Partnership of any form).</li> <li>Upload a copy of the Certificate of Good Standing issued by the District's Department of Consumer and Regulatory Affairs.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENTS REQUIRED FOR ACQUISITION OR CHANGE IN CONTROL.</b> Upload copies of the following documents:</p> <ul style="list-style-type: none"> <li>Certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.</li> <li>Financial statements for the acquiring entity in accordance with Generally Accepted Accounting Principles (GAAP). Financial statements should include, but not be limited to, a balance sheet, income statement, statement of cash flows and all relevant notes thereto, for the current year to date through the most recent quarter</li> </ul>

		<p>ending date and for the preceding fiscal year.</p> <ul style="list-style-type: none"> <li>• A brief description of the acquisition transaction. Include pre and post organization charts detailing ownership and operating management structure.</li> <li>• Information on any proposed changes to the licensee’s marketing strategy, products and service offerings for District consumers.</li> <li>• On company letterhead, provide complete details of all events or proceedings for any “Yes” answer to any of the Disclosure questions for the company and any Control Person on forms MU1 and MU2. Upload any applicable orders or documents</li> </ul>
--	--	---

**WHO TO CONTACT** – Contact DISB licensing staff by phone at (202) 727-8000 or send your questions via e-mail to [bankingbureau@dc.gov](mailto:bankingbureau@dc.gov) for additional assistance.

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