



DELAWARE BROKER LICENSE

Instructions

Delaware 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

- Delaware does not collect fees for changes not associated with ownership (name, address, control persons, etc.)
- Changes of direct or indirect owners are considered changes of control and require a new application, handled as indicated below.
 - Make the changes in NMLS as amendments. Delaware uses the information in these amendments as the change of control application.
 - Mail the investigation and licensing fees directly to the Delaware Office of the State Bank Commissioner (Total of \$750 per licensed location).
- All fees collected through NMLS ARE NOT REFUNDABLE.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice:
 - a. In the NMLS document upload section; you must select Advance Change Notice for document type.
 - b. Documents required to be uploaded through Advance Change Notice are considered proposed documents. You will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date. If there isn't a document type available for a specific Advance Change Notice event you must mail document(s) directly to Delaware Office of the State Bank Commissioner.
2. If you are required to upload documents for an amendment that doesn't require Advance Change Notice:
 - a. In the NMLS document upload section, select the applicable document type.
3. If you are required to provide document(s) outside of NMLS:
 - a. You must mail the document(s) along with the checklist within 5 business days to the following address:

For U.S. Postal Service:
Office of the State Bank Commissioner
Licensing
555 E. Loockerman St.
Suite 210
Dover, DE 19901

For Overnight Delivery:
Office of the State Bank Commissioner
Licensing
555 E. Loockerman St.
Suite 210
Dover, DE 19901

NMLS Unique ID Number: _____

Applicant Legal Name: _____

| FILED IN NMLS | ATTACHED | NOT APPLICABLE | REQUIRED AMENDMENT ITEM |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | N/A | <input type="checkbox"/> | <p>ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS. Submit an amendment for an addition or change in Non-owner Executive Officers within the Company (MU1) Form through NMLS.</p> <p>Note: Control Persons must also be reported on the Individual (MU2) Form.</p> <p>Changes in Direct Owners require a new application – see information under “Fees” above.</p> |
| <input type="checkbox"/> | N/A | <input type="checkbox"/> | <p>ADDITION OR MODIFICATION OF INDIRECT OWNERS. Requires a new application – see information under “Fees” above.</p> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <p>SURETY BOND RIDER. (For change of address or change of name only) – Mail the original Surety Bond Rider that reflects the change of address or change of name, whichever is applicable.</p> |
| N/A | <input type="checkbox"/> | <input type="checkbox"/> | <p>DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any “Yes” answer to any of the Disclosure questions for company or any new Control Person or any new Manager.</p> |

WHO TO CONTACT – Contact *the Delaware State Bank Commissioner’s* licensing staff by phone at (302) 739-4235 or send your questions via e-mail to Carole.Hoffecker@state.de.us 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.