



# TN Deferred Presentment License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
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## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Tennessee Department of Financial Institutions (TN) requires advance notification for some changes. 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.

**Note:** Use the recommended filing naming convention found on 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 Tennessee Department of Financial Institutions, Compliance Division licensing staff by phone at (615) 253-6714 or send your questions via email to [ask.licensing@tn.gov](mailto:ask.licensing@tn.gov) for additional assistance.

*For U.S. Postal Service & Overnight Delivery:*

*Tennessee Department of Financial Institutions  
Compliance Division  
Tennessee Tower, 26th Floor  
312 Rosa L. Parks Avenue  
Nashville, TN 37243*

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 Legal Name](#)
- [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](#)
- [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. 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.

| Complete                 | TN Deferred Presentment License<br>Change of Legal Name Amendment Items   | Submitted via...   |
|--------------------------|---|--|
| <input type="checkbox"/> | <b>Change of Legal Name:</b> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 5 Days' notice must be provided for this change.  | <b>NMLS</b>  |
| Note                     | <b>Change of Legal Name Fee:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.   | <b>N/A</b>   |
| <input type="checkbox"/> | <p><b>Formation Documents:</b> Formation Documents must be submitted related to this change type.</p> <p>Determine classification of applicant'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><b>Sole Proprietor</b></p> <ul style="list-style-type: none"> <li>Eligibility Verification Letter. Click <a href="#">here</a> to access the Form.</li> </ul> <p><b>Unincorporated Association:</b></p> <ul style="list-style-type: none"> <li>By-Laws or constitution (including all amendments).</li> </ul> <p><b>General Partnership:</b></p> <ul style="list-style-type: none"> <li>Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Partnership:</b></p> <ul style="list-style-type: none"> <li>Certificate of Limited Liability Partnership; and</li> <li>Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>Certificate of Limited Partnership; and</li> <li>Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>Certificate of Limited Liability Limited Partnership; and</li> <li>Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Company ("LLC"):</b></p> <ul style="list-style-type: none"> <li>Articles of Organization (including all amendments);</li> <li>Operating Agreement (including all amendments);</li> <li>IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and</li> <li>LLC resolution if authority not in operating agreement.</li> </ul> <p><b>Corporation:</b></p> <ul style="list-style-type: none"> <li>Articles of Incorporation (including all amendments);</li> <li>By-laws (including all amendments), if applicable;</li> <li>Shareholder Agreement (including all amendments), if applicable;</li> <li>IRS Form 2553 if S-corp treatment elected; and</li> <li>Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable.</li> </ul> <p><b>Trust (Statutory)</b></p> <ul style="list-style-type: none"> <li>Certificate of Trust; and</li> <li>Governing instrument (all amendments).</li> </ul> | <b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1). |

| Complete                 | TN Deferred Presentment License<br>Change of Main Address Amendment Items  | Submitted via... |
|--------------------------|--|------------------|
| <input type="checkbox"/> | <b>Change of Main Address:</b> Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 5 Days' notice must be provided for this change. | NMLS             |
| Note                     | <b>Change of Main Address:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.  | N/A              |

| Complete                 | TN Deferred Presentment License<br>Addition or Modification of Other Trade Name Amendment Items  | Submitted via...  |
|--------------------------|--|---|
| <input type="checkbox"/> | <b>Addition or Modification of Other Trade Name:</b> Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 5 Days' must be provided for this change. | NMLS  |
| Note                     | <b>Addition of Other Trade Name</b> \$0 per license.<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.  | N/A   |
| <input type="checkbox"/> | <b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.   | <b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1). |

| Complete                 | TN Deferred Presentment License<br>Deletion of Other Trade Name Amendment Items  | Submitted via... |
|--------------------------|--|------------------|
| <input type="checkbox"/> | <b>Deletion of Other Trade Name:</b> Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 5 Days' must be provided for this change.<br><br>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1). | NMLS             |

| Complete  | TN Deferred Presentment License<br>Change of Legal Status Amendment Items   | Submitted via...         |
|---|---|--------------------------|
| <p><b>Note:</b> 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).</p> |   |                          |
| <input type="checkbox"/>  | <p><b>Change of Legal Status:</b> Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 15 Days' must be provided for this change.</p>  | NMLS                     |
| Complete  | TN Deferred Presentment License<br>Addition or Modification of Affiliates/Subsidiaries Amendment Items  | Submitted via...         |
| <input type="checkbox"/>  | <p><b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an ACN for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS. 15 Days' notice must be provided for this change.</p>  | NMLS                     |
| Complete  | TN Deferred Presentment License<br>Addition or Modification of Direct Owners/Executive Officers Amendment Items   | Submitted via...         |
| <input type="checkbox"/>  | <p><b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.</p>  | NMLS                     |
| <input type="checkbox"/>  | <p><b>Credit Report for Control Persons:</b> \$15 per control person.</p>   | NMLS (Filing submission) |
| <input type="checkbox"/>  | <p><b>Credit Report:</b> Individuals in a position of <a href="#">control</a> are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.</p> | NMLS                     |
| Note  | <p><b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Direct Owners and Executive Officers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.</p>  | N/A                      |

| Complete                 | TN Deferred Presentment License<br>Addition or Modification of Indirect Owners Amendment Items  | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Indirect Owners:</b> Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change. | <b>NMLS</b>      |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | <b>N/A</b>       |
| Note                     | <b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.                        | <b>N/A</b>       |

| Complete                 | TN Deferred Presentment License<br>Change of Disclosure Question(s) Amendment Items  | Submitted via...  |
|--------------------------|--|---|
| <input type="checkbox"/> | <b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.   | <b>NMLS</b>   |
| <input type="checkbox"/> | <b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from "No" to "Yes" for company or each control person.<br><br>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.  | <b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |
| <input type="checkbox"/> | <b>Changing a Response from Yes to No:</b> When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason.<br><br>You must select "Add Explanation for "No" Responses" and provide an explanation for each response that changes from "Yes" to "No" for company or each control person. You may also upload a document (PDF) related to the explanation.<br><br>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions. | <b>NMLS</b>   |