KY Deferred Deposit Service Business Registration Amendment Checklist (Company)

CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Kentucky 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 Eveanna Hunt licensing staff by phone at (502) 782-1298 or send your questions via email to Eveanna.Hunt@ky.gov for additional assistance.

For U.S. Postal and Overnight Delivery Service:

Kentucky Department of Financial Institutions
Division of Non-Depository Institutions
Mail Stop 2 SW 19
500 Mero St.
Frankfort, KY 40601

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
- Addition or Modification of Qualifying Individuals
- 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.

NMLS ID Number	
Licensee Legal Name	

Complete	KY Deferred Deposit Service Business Registration Change of Legal Name Amendment Items	Submitted via…
☐	**Change of Legal Name:** Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.	**NMLS**
Note	**Change of Legal Name Fee:** $0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	**N/A**
☐	**Surety Bond Rider:** Licensees may submit their surety bond to Kentucky in one of the ways listed below. ***Electronic Surety Bond***, contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.	**Electronic Surety Bond in NMLS**
☐	**Certificate of Authority/Good Standing Certificate**: Upload a state-issued document (typically by the state's Secretary of State office) demonstrating that the corporation or limited liability company (LLC) exists or is authorized to do business in the state.	**Upload in NMLS:** under the Document Type Formation Document in the *Document Uploads* section of the Company Form (MU1).

NMLS ID Number	
Licensee Legal Name	

Complete	KY Deferred Deposit Service Business Registration Change of Main Address Amendment Items	Submitted via…
☐	**Change of Main Address:** Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.	**NMLS**
Note	**Change of Main Address:** $0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	**N/A**
☐	**Surety Bond Rider:** Licensees may submit their surety bond to Kentucky in one of the ways listed below. ***Electronic Surety Bond***, contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.	**Electronic Surety Bond in NMLS**

Complete	KY Deferred Deposit Service Business Registration Addition or Modification of Other Trade Name Amendment Items	Submitted via…
☐	**Addition or Modification of Other Trade Name:** Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 15 days must be provided for this change.	**NMLS**
Note	**Addition of Other Trade Name** $0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	**N/A**
☐	**Trade Name/Assumed Name Registration Certificates:** Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.	**Upload in NMLS:** under the Document Type Trade Name/Assumed Name Registration Certificates in the *Document Uploads* section of the Company Form (MU1).

Complete	KY Deferred Deposit Service Business Registration Deletion of Other Trade Name Amendment Items	Submitted via…
☐	**Deletion of Other Trade Name:** Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 15 days must be provided for this change.	**NMLS**

Complete	KY Deferred Deposit Service Business Registration Change of Legal Status Amendment Items	Submitted via…
Note: 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).		
☐	**Change of Legal Status:** Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 15 days must be provided for this change.	**NMLS**

Complete	KY Deferred Deposit Service Business Registration Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via…
☐	**Addition or Modification of Affiliates/Subsidiaries:** Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	**NMLS**

Complete	KY Deferred Deposit Service Business Registration Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via…
☐	**Addition or Modification of Direct Owners/Executive Officers:** Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.	**NMLS**
☐	**Credit Report for Control Persons**: $15 per control person.	**NMLS (Filing submission)**
☐	**Credit Report:** Individuals in a position of control 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.	**NMLS**
Note	**MU2 Individual FBI Criminal Background Check Not Required Through NMLS:** Direct Owners and Executive Officers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	**N/A**

Complete	KY Deferred Deposit Service Business Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via…
☐	**Addition or Modification of Indirect Owners:** Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.	**NMLS**
Note	**Credit Report:** Credit Reports and authorizations for credit report through NMLS are not required.	**N/A**
Note	**MU2 Individual FBI Criminal Background Check Not Required Through NMLS:** Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	**N/A**

Complete	KY Deferred Deposit Service Business Registration Change of Disclosure Question(s) Amendment Items	Submitted via…
☐	**Change of Disclosure Question(s):** Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	**NMLS**
☐	**Changing a Response from No to Yes:** Provide a complete and detailed explanation and document upload for each response that changes from "No" to "Yes" for company or each control person. See the Company Disclosure Explanations Quick Guide for instructions.	**Upload in NMLS** in the *Disclosure Explanations* section of the Company Form (MU1) or Individual Form (MU2).
☐	**Changing a Response from Yes to No:** 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. You may 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. See the Company Disclosure Explanations Quick Guide for instructions.	**NMLS**