



# IA Mortgage Banker Registrant Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, the Iowa Division of Banking 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 *the Iowa Division of Banking* licensing staff by phone at [515-281-4014](tel:515-281-4014) or send your questions via email to [fblicensing@idob.state.ia.us](mailto:fblicensing@idob.state.ia.us) for additional assistance.

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

*Iowa Division of Banking  
200 East Grand Avenue, Suite 300  
Des Moines, Iowa 50309-1827*

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 Legal Name: \$25 per license
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
  - Addition of Other Trade Names: \$25 per license
- [Change of Legal Status](#)
  - Change of Legal Status: \$25
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
  - Change of Control: \$100
- [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	IA Mortgage Banker Registrant Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Change of Legal Name Fee:</b> \$25 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Filing submission)
<input type="checkbox"/>	<b>Return Original License:</b> Company is required to return its license to this agency.	Mail to Iowa Division of Banking
<input type="checkbox"/>	<b>Secretary of State Documentation:</b> Provide the following documents to support this change. <ul style="list-style-type: none"> <li>a) amended Corporate Charter or amended Articles of Incorporation (if a corporation)</li> <li>b) The amended Articles of Organization and Operating Agreement (if a Limited Liability Company), or</li> <li>c) The amended Partnership agreement (if a partnership of any form)</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	IA Mortgage Banker Registrant Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	IA Mortgage Banker Registrant 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 amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Addition of Other Trade Name</b> \$25 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>NMLS (Filing submission)</b>
<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. Upload fictitious name filing from Iowa Secretary of State.	<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).
<input type="checkbox"/>	<b>Return Original License:</b> Company is required to return its license to this agency.	<b>Mail to Iowa Division of Banking</b>

Complete	IA Mortgage Banker Registrant Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).	<b>NMLS</b>
<input type="checkbox"/>	<b>Return Original License:</b> Company is required to return its license to this agency.	<b>Mail to Iowa Division of Banking</b>

Complete	IA Mortgage Banker Registrant 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 amendment for a change in Legal Status within the Company Form (MU1) in NMLS.</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Secretary of State Documentation:</b> Provide the following documents to support this change.</p> <ul style="list-style-type: none"> <li>d) amended Corporate Charter or amended Articles of Incorporation (if a corporation)</li> <li>e) The amended Articles of Organization and Operating Agreement (if a Limited Liability Company), or</li> <li>f) The amended Partnership agreement (if a partnership of any form)</li> </ul>	<p><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).</p>
<input type="checkbox"/>	<p><b>Return Original License:</b> Company is required to return its license to this agency.</p>	<p><b>Mail to Iowa Division of Banking</b></p>

Complete	IA Mortgage Banker Registrant Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<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.	NMLS
<input type="checkbox"/>	<b>Letter of Explanation:</b> Provide a letter of explanation of the change including the proposed new ownership or the proposed change in control.	<b>Upload in NMLS:</b> under the Document Type <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Change in Ownership or Change in Control:</b> \$100	NMLS (Agency Fee Invoice)
Note	<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.	N/A
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A

Complete	IA Mortgage Banker Registrant Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.	NMLS
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.	N/A
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A

Complete	IA Mortgage Banker Registrant 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. 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. 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 must also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>NMLS</b>