



Company Amendments Agency Requirements



INDIANA-DFI DEBT MANAGEMENT LICENSE

Instructions

1. Indiana DFI requires advance change notification only for changes in control and changes in trust accounts used for Indiana contract debtors. Please refer to IC 28-1-29-3.1 for details on what constitutes a change in control and IC 28-1-29-9 for information on trust accounts.
2. All other changes do not require advance notice. File any Amendments in NMLS through the Filing Tab and Company (MU1) Form. We may request additional information upon review of any amendment filed in NMLS. Watch your e-mail for such requests.
3. A new control person must have a background check based on fingerprints.
 - a. If the control person is domiciled outside the United States, the control person must obtain a background check equivalent to the United States FBI background check in the country where the control person is domiciled.
 - b. **MU2 Individual FBI Criminal Background Check Requirements:** When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS. \$36.26 FBI Criminal Background Check fee will be charged per FBI CBC authorization.

Direct Owners

- All direct owners that own at least 10% or more of the entity are required to authorize a FBI CBC through NMLS.

Executive Officers

- All executive officers that complete an MU2 or are told an MU2 must be completed are required to authorize a FBI CBC through NMLS.

Indirect Owners

- All indirect owners that own at least 10% or more of the entity are required to authorize a FBI CBC through NMLS.

Qualifying Individuals

- All individuals that are designated as an Indiana qualifying individual are required to authorize a FBI CBC through NMLS.

After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.

See the [Quick Guides - Company section](#) of the NMLS Resource Center for more information.

Note: If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.

4. Surety Bond Rider: *Effective September 12th, 2016*. Contact the surety bond producer to inform them of the legal name/main address change and effective date, so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the [NMLS Resource Center](#) for more information.
5. Please only mail documents to the address below if we have requested that the documents need to be provided to us.

For U.S. Postal Service or For Overnight Delivery:
Indiana Department of Financial Institutions
Consumer Credit Division
30 South Meridian Street, Suite 300
Indianapolis, IN 46204

WHO TO CONTACT – Contact *Indiana Department of Financial Institutions* licensing staff by phone at [317-453-2539](tel:317-453-2539) or send your questions via e-mail to dfilicensing@dfi.in.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.