



Amendments Jurisdiction-Specific Requirements



INDIANA DFI - EXEMPT COMPANY REGISTRATION

Instructions

1. A change of control must be updated in your NMLS record. If the change of control includes a change in the business model, a new exempt company registration may be required.
2. 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 in the United States, click on the link below for details on completing the fingerprint submission process. **Do not mail the fingerprint cards to the Indiana-DFI.** http://www.in.gov/dfi/files/DFI_Fingerprint_Instruct.pdf
 - b. 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.
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 JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.