



IN Consumer Loan License Amendment Checklist (Company)

CHECKLIST SECTIONS

- [General Information](#)
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GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Indiana Department of Financial Institutions (Indiana DFI) 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 *Indiana Department of Financial Institutions, Consumer Credit Division* licensing staff by phone at *(317) 453-2566* or send your questions via email to dfilicensing@dfi.in.gov for additional assistance.

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

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

The Indiana DFI does not charge a fee for any of the amendments listed below.

- [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.

Complete	IN Consumer Loan License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Legal Name: Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS. Notification of the change of legal name must be submitted no later than thirty (30) days after the change of legal name occurs.	NMLS
Note	Change of Legal Name Fee: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<p>Formation Documents: 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>Sole Proprietor</p> <ul style="list-style-type: none"> • Copy of registration with the Indiana Department Revenue. <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company (“LLC”):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and • LLC resolution if authority not in operating agreement. <p>Corporation:</p> <ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status <ul style="list-style-type: none"> ○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or ○ statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating 	Upload in NMLS: under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN Consumer Loan License Change of Legal Name Amendment Items	Submitted via...
	<p>within the State; and (ii) no part of the entity's net earnings may lawfully benefit any private shareholder or individual; or</p> <ul style="list-style-type: none"> ○ entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or ○ Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate. <p>Trust (Statutory)</p> <ul style="list-style-type: none"> • Certificate of Trust; and • Governing instrument (all amendments). 	

Complete	IN Consumer Loan License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Main Address: Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. Notification of the change of main address must be submitted no later than thirty (30) days after the change of main address occurs.</p>	NMLS
Note	<p>Change of Main Address: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A

Complete	IN Consumer Loan License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. Notification of the addition or modification of the trade names must be submitted no later than thirty (30) days after the addition or modification of the trade names occurs.</p>	NMLS
Note	<p>Addition of Other Trade Name \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	IN Consumer Loan License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. Notification of the change of legal name must be submitted no later than thirty (30) days after the change of legal name occurs.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p>	NMLS

Complete	IN Consumer Loan License Change of Legal Status Amendment Items	Submitted via...
<p>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).</p>		
<input type="checkbox"/>	<p>Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Change of Legal Status: If you have a change in legal status, provide a detailed explanation of the change to the Indiana DFI so a determination can be made if an amendment, ACN, or a new application would be required.</p>	<p>Upload in NMLS: under the Document Type <u>ACN</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	IN Consumer Loan License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</p>	NMLS

NMLS ID Number	
Licensee Legal Name	

Complete	IN Consumer Loan License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Direct Owners: Submit an ACN for an addition or change in Direct Owners within the Company Form (MU1) in NMLS. 120 days notice must be provided for this change.</p> <p>Please note not all direct ownership changes require 120 days advance notice. Please review Indiana Code 24-4.-3-515 for additional information on change in control and the events that trigger the 120 days advance notice.</p>	NMLS
<input type="checkbox"/>	<p>Addition or Modification of Executive Officers: Submit an amendment for an addition or change in Executive Officers within the Company Form (MU1) in NMLS.</p>	NMLS
Note	<p>Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.</p>	N/A
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>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.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> All direct owners that own at least 10% of the entity. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> All executive officers that complete an MU2 or are instructed to complete an MU2. <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	NMLS
<input type="checkbox"/>	<p>MU2 Individual Out-of-Country Criminal Background Check Required Outside NMLS: If the person is currently domiciled outside the United States or was domiciled for more than 12 consecutive months during the last 10 years outside of the United States, the person must obtain a background check</p>	Email to Indiana DFI : dfilicensing@dfi.in.gov

Complete	IN Consumer Loan License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
	equivalent to the United States FBI background check in the country where the person is or was domiciled.	
<input type="checkbox"/>	Criminal Background Notification: A notification of felony convictions must be submitted related to this change type. The notification must be provided no later than thirty (30) days after the conviction occurs.	Email to Indiana DFI: dfilicensing@dfi.in.gov
<input type="checkbox"/>	<p>Change in Control Notification Documentation: If an advance change notice (ACN) is required for a change in direct owners, the documents listed below must be uploaded to NMLS for the change of control notification to be considered complete.</p> <ul style="list-style-type: none"> • A letter that outlines the changes that will be occurring. • A copy of the purchase agreement, if applicable. • A current organizational chart. • A post-event organizational chart. • A financial statement for the proposed new entity owners, if applicable. • A copy of the initial public offering (IPO), if applicable. 	Upload in NMLS: under the Document Type <u>ACN</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	IN Consumer Loan License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Indirect Owners: Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 120 days advance notice must be provided for this change.</p> <p>Please note not all indirect ownership changes require 120 days advance notice. Please review Indiana Code 24-4.-3-515 for additional information on change in control and the events that trigger the 120 days advance notice.</p>	NMLS
Note	Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.	N/A
<input type="checkbox"/>	FBI Criminal Background Check for MU2 Individual: \$36.25 per person.	NMLS (Filing submission)
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), Indirect Owners, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> • All indirect owners that own 10% or more of the licensee. 	NMLS

Complete	IN Consumer Loan License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	
<input type="checkbox"/>	<p>MU2 Individual Out-of-Country Criminal Background Check Required Outside NMLS: If the person is currently domiciled outside the United States or was domiciled for more than 12 consecutive months during the last 10 years outside of the United States, the person must obtain a background check equivalent to the United States FBI background check in the country where the person is or was domiciled.</p>	<p>Email to Indiana DFI: dfilicensing@dfi.in.gov</p>
<input type="checkbox"/>	<p>Criminal Background Notification: A notification of felony convictions must be submitted related to this change type. The notification must be provided for no later than thirty (30) days after the conviction occurs.</p>	<p>Email to Indiana DFI: dfilicensing@dfi.in.gov</p>
<input type="checkbox"/>	<p>Change in Control Notification Documentation: If an advance change notice (ACN) is required for a change in indirect owners, the documents listed below must be uploaded to NMLS for the change of control notification to be considered complete.</p> <ul style="list-style-type: none"> • A letter that outlines the changes that will be occurring. • A copy of the purchase agreement, if applicable. • A current organizational chart. • A post-event organizational chart. • A financial statement for the proposed new entity owners, if applicable. • A copy of the initial public offering (IPO), if applicable. 	<p>Upload in NMLS: under the Document Type <u>ACN</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

NMLS ID Number	
Licensee Legal Name	

Complete	IN Consumer Loan License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Qualifying Individual: Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.	NMLS
Note	Change of Qualifying Individual: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
Note	Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.	N/A
<input type="checkbox"/>	FBI Criminal Background Check for MU2 Individual: \$36.25 per person.	NMLS (Filing submission)
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), Qualifying Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p><i>Qualifying Individuals</i></p> <ul style="list-style-type: none"> All individuals that are designated as a Qualifying Individual for Indiana must complete the background check process in NMLS. <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	NMLS
<input type="checkbox"/>	Criminal Background Notification: A notification of felony convictions must be submitted related to this change type. The notification must be provided no later than thirty (30) days after the conviction occurs.	Email to Indiana DFI: dfilicensing@dfi.in.gov

Complete	IN Consumer Loan License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	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 <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	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 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 Company Disclosure Explanations Quick Guide for instructions.	NMLS