



Amendments
Jurisdiction-Specific Requirements



INDIANA-SOS LOAN BROKER LICENSE

NMLS Unique ID Number: _____

Applicant Legal Name: _____

Instructions

1. The following amendments require instructions and will be amended through the NMLS:
 - Change of Address
 - Change of Name
 - Change of Control Person
 - Change in Surety Bond
 - Change of Disclosure Question Answer
 - Change of Ownership – \$100.00 per new Ultimate Equitable Owner defined as any owner with 10% or greater ownership
2. All fees ARE NON REFUNDABLE.
3. Any Change of Address, Change of Name or change in Control Person or Manager (Control Person) must also be reported on the applicable Form MU1 and Form MU2.
4. All amendments must be submitted within two business days of the change.

WHO TO CONTACT – Contact Indiana Secretary of State, Securities Division licensing staff by phone at 317-232-6681 or send your questions via e-mail to compliance@sos.in.gov for additional assistance.

	ITEM
<input type="checkbox"/>	<p>SURETY BOND RIDER. (For change of address or change of name only) 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 for more information.</p>
<input type="checkbox"/>	<p>SECRETARY OF STATE/MUNCIPALITY DOCUMENTATION. (For all amendments) All name and address changes must be filed with the INSOS Business Services Division in addition to the NMLS</p> <ol style="list-style-type: none"> If a corporation, provide a Certificate of Good Standing dated not more than sixty (60) days from the filing of this application issued by the <i>Indiana Secretary of State Business Services Division</i>. If a limited liability company, provide a copy of a Certificate of Good Standing or a Certificate of Registration dated not more than sixty (60) days from the filing of this application issued by the <i>Indiana Secretary of State Business Services Division</i>. If a limited partnerships provide a Certificate of Good Standing for the Limited Partnership from the <i>Indiana Secretary of State Business Services Division</i>.
<input type="checkbox"/>	<p>ULTIMATE EQUITABLE OWNER(S). \$100.00 for each ultimate equitable owner (UEO) changed or added during the licensing period.</p> <p>The UEO is a person who, directly or indirectly, owns or controls ten percent (10%) or more of the equity interest in a loan broker licensed regardless of whether the person owns or controls the equity interest through one (1) or more other persons or one or more proxies, powers of attorney or variances.</p> <p>This fee will be paid through Agency Fee Invoicing (AFI) on the NMLS. The invoice amount will be based on the direct and indirect owners listed on the MU1. The AFI will appear a few days after you submit the change in ownership on the form MU1 on the NMLS. The online payment through NMLS can take 7-10 business days to process and the payment must clear before the application can be processed.</p> <p>The UEO fee will NO longer be accepted via check mailed directly to the Indiana Secretary of State.</p> <p>New UEOs are also required to obtain an FBI criminal background check through the NMLS. The definition of an UEO can be found at Ind. Code § 23-2.5-1-38.</p>
<input type="checkbox"/>	<p>FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR MANAGER. When there is a change in any Control Person or a change in any person designated as a manager of a licensed Loan Broker, the Form MU1 must be amended and a new Form MU2 must be submitted through the NMLS.</p>
<input type="checkbox"/>	<p>MU2 INDIVIDUAL FBI CRIMINAL BACKGROUND CHECK REQUIREMENTS. The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>Ultimate Equitable Owners as defined at Ind. Code § 23-2.5-1-38, directors, managers, and officers.</p> <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 Quick Guides - Company section of the NMLS Resource Center for more information.</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.
<input type="checkbox"/>	DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Control Person or any new Manager.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.