



**Amendments**  
Jurisdiction-Specific Requirements



**INDIANA-SOS LOAN BROKER BRANCH 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 of Disclosure Question Answer
  
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 MU3 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 [arsmock@sos.in.gov](mailto:arsmock@sos.in.gov) for additional assistance.

FILED IN NMLS	ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR MANAGER.</b> 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 MU3 must be amended and a new Form MU2 must be submitted through the NMLS.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>MU2 INDIVIDUAL FBI CRIMINAL BACKGROUND CHECK REQUIREMENTS.</b> 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>The definition of an UEO can be found at <a href="#">Ind. Code § 23-2.5-1-38</a>.</p> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU3) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Quick Guides - Company section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> 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"/>	N/A	<input type="checkbox"/>	<p><b>DISCLOSURE QUESTIONS.</b> 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.</p>

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.