Instructions

Pre-Notification:
Any changes to the company record require prior notification and must be sent outside NMLS to this agency 15 of days prior to the change being made in NMLS.

1. To amend your company record or individual record in NMLS, enter the Filing Tab, the appropriate record, create a new filing and enter the section of the form that requires amendment, make the appropriate changes, proceed to the “complete and submit” field and attest to all changes. You will be prompted to pay for any changes to your record that includes an amendment fee. The fields that generate an amendment fee through NMLS are noted below.

2. Kentucky Department of Financial Institutions charges amendment fees for the field listed below:
   □ Change of Control – $100.00

3. All fees collected through the NMLS ARE NOT REFUNDABLE.

4. Any change in Control Persons must also be reported on Form MU2.

5. Supporting documentation as noted in the checklist must be provided along with this checklist at the following:

   For U.S. Postal and Overnight Delivery Service:
   Kentucky Department of Financial Institutions
   Division of Non-Depository Institutions
   Mail Stop 2 SW 19
   500 Meri St.
   Frankfort, KY 40601
<table>
<thead>
<tr>
<th>FILED IN NMLS</th>
<th>ATTACHED</th>
<th>NOT APPLICABLE</th>
<th>ITEM</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>SURETY BOND RIDER. (For change of address or change of name only) - Submit the Surety Bond Rider that reflects the change of address or change of name, whichever is applicable.</td>
</tr>
<tr>
<td>N/A</td>
<td></td>
<td></td>
<td>ORIGINAL LICENSE. (For change of address or change of name only) - Return the original license as issued by the Kentucky Department of Financial Institutions.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>AUDITED FINANCIAL STATEMENTS. (For change of control only) - If 25% change, provide the most recent audited Financial Statements signed by an executive officer prepared in accordance with Generally Accepted Accounting Principles showing assets, liabilities, and net worth.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>N/A</td>
<td></td>
<td></td>
<td>CHANGE OF CONTROL FEE: Provide by mail a nonrefundable fee of $100 by check to the Kentucky Department of Financial Institutions.</td>
</tr>
</tbody>
</table>

**WHO TO CONTACT** – Contact Jessica Sullivan licensing staff by phone at 502-782-9095 or send your questions via e-mail to Jessica.Sullivan@ky.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.**