



Company Amendments Agency Requirements



KENTUCKY MORTGAGE BROKER

Instructions

When making changes to your record in NMLS Kentucky requires advance notification for some changes, see checklist below for details.

Fees

1. Kentucky does not collect amendment fees for changes through NMLS.
2. All fees collected through NMLS ARE NOT REFUNDABLE.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice:
 - a. In the NMLS document upload section; you must select Advance Change Notice for document type.
 - b. Documents required to be uploaded through Advance Change Notice are considered proposed documents. You will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date. If there isn't a document type available for a specific Advance Change Notice event you must mail document(s) directly to **Kentucky Department of Financial Institutions**.
2. If you are required to upload documents for an amendment that doesn't require Advance Change Notice:
 - a. In the NMLS document upload section, select the applicable document type.
3. If you are required to provide document(s) outside of NMLS:
 - a. You must mail the document(s) along with the checklist within 5 business days to the following address:

*For U.S. Postal Service or Overnight Delivery
Kentucky Department of Financial Institutions
1025 Capital Center Drive, Suite 200
Frankfort, KY 40601*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	CHANGE OF LEGAL NAME. Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. 10 Days notice must be giving for this change.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME: Upload copies of the following documents: <ul style="list-style-type: none"> • KY Secretary of State Certificate of Authority • Bond Rider
<input type="checkbox"/>	N/A	<input type="checkbox"/>	CHANGE OF MAIN ADDRESS. Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. 10 Days notice must be giving for this change.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	DOCUMENT REQUIRED FOR ACN OF CHANGE OF MAIN ADDRESS Upload copies of the following documents: <ul style="list-style-type: none"> • [Bond Rider]
<input type="checkbox"/>	N/A	<input type="checkbox"/>	ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES. Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. 10 Days must be giving for this change.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S): Upload copies of the following documents: <ul style="list-style-type: none"> • KY Secretary of State Assumed Name Certificate
<input type="checkbox"/>	N/A	<input type="checkbox"/>	ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS. Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company (MU1) Form through NMLS. 10 Days notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	ADDITION OR MODIFICATION OF INDIRECT OWNERS. Submit an ACN for an addition or change in Indirect Owners within the Company (MU1) Form through NMLS. 10 Days notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.
FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	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.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	ORIGINAL LICENSE. (For change of address or change of name only) - Return the original license as issued by the Kentucky Department of Financial Institutions.

<input type="checkbox"/>	N/A	<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.
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WHO TO CONTACT – Contact [KY Department of Financial Institutions](#) licensing staff by phone at [\(800\) 223-2579 ext. 255](#) or send your questions via e-mail to Fitzgerald.Pam@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 AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.