



# MA Exempt Company Registration Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

Massachusetts Division of Banks does not require advance notice for any changes; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

**Note:** All documents required outside of the NMLS must be received within 5 business days of the submission through NMLS.

### 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 Massachusetts Division of Banks licensing staff by phone at (617) 956-1500 ext. 61480 or send your questions via email to [nmls@state.ma.us](mailto:nmls@state.ma.us) for additional assistance.

*For U.S. Postal Service & For Overnight Delivery:*

*Massachusetts Division of Banks  
Attn: Mortgage Licensing Unit  
1000 Washington Street, 10th floor  
Boston, MA 02118*

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

- [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](#)
- [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.

|                       |  |
|-----------------------|--|
| NMLS ID Number        |  |
| Registrant Legal Name |  |

| Complete                 | MA Exempt Company Registration<br>Change of Legal Name Amendment Items  | Submitted via...                      |
|--------------------------|---|---------------------------------------|
| <input type="checkbox"/> | <b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.   | <b>NMLS</b>                           |
| Note                     | <b>Change of Legal Name Fee:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.   | <b>N/A</b>                            |
| <input type="checkbox"/> | <b>Surety Bond Form / Surety Bond Rider:</b> Contact the surety bond producer to inform them of the legal name change and effective date, so the producer can initiate the Surety Bond Rider Process in NMLS. See the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information. | <b>Electronic Surety Bond in NMLS</b> |

|                              |  |
|------------------------------|--|
| <b>NMLS ID Number</b>        |  |
| <b>Registrant Legal Name</b> |  |

| <b>Complete</b>          | <b>MA Exempt Company Registration<br/>Change of Main Address Amendment Items</b>  | <b>Submitted via...</b> |
|--------------------------|---|-------------------------|
| <input type="checkbox"/> | <b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. | <b>NMLS</b>             |
| <b>Note</b>              | <b>Change of Main Address:</b> \$0 per license<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.                   | <b>N/A</b>              |

| <b>Complete</b>          | <b>MA Exempt Company Registration<br/>Addition or Modification of Other Trade Name Amendment Items</b>   | <b>Submitted via...</b> |
|--------------------------|--|-------------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. | <b>NMLS</b>             |

|                 |   |                         |
|-----------------|---|-------------------------|
| <b>Complete</b> | <b>MA Exempt Company Registration</b><br><b>Addition or Modification of Other Trade Name Amendment Items</b>            | <b>Submitted via...</b> |
| <b>Note</b>     | <b>Addition of Other Trade Name</b> \$0 per license.<br>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE. | <b>N/A</b>              |

|                          |  |                         |
|--------------------------|--|-------------------------|
| <b>Complete</b>          | <b>MA Exempt Company Registration</b><br><b>Deletion of Other Trade Name Amendment Items</b>   | <b>Submitted via...</b> |
| <input type="checkbox"/> | <b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. | <b>NMLS</b>             |

|   |  |                         |
|---|--|-------------------------|
| <b>Complete</b>   | <b>MA Exempt Company Registration</b><br><b>Change of Legal Status Amendment Items</b>                                 | <b>Submitted via...</b> |
| <b>Note:</b> In many cases, a change to 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). |  |                         |
| <input type="checkbox"/>  | <b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS. | <b>NMLS</b>             |

|                          |   |                         |
|--------------------------|---|-------------------------|
| <b>Complete</b>          | <b>MA Exempt Company Registration</b><br><b>Addition or Modification of Affiliates/Subsidiaries Amendment Items</b>   | <b>Submitted via...</b> |
| <input type="checkbox"/> | <b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS. | <b>NMLS</b>             |

| Complete                 | MA Exempt Company Registration<br>Addition or Modification of Direct Owners/Executive Officers<br>Amendment Items   | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. | NMLS             |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | N/A              |

| Complete                 | MA Exempt Company Registration<br>Addition or Modification of Indirect Owners<br>Amendment Items  | Submitted via... |
|--------------------------|---|------------------|
| <input type="checkbox"/> | <b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. | NMLS             |
| Note                     | <b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.  | N/A              |

| Complete                 | MA Exempt Company Registration<br>Change of Disclosure Question(s)<br>Amendment Items   | Submitted via...  |
|--------------------------|---|---|
| <input type="checkbox"/> | <b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.  | NMLS  |
| <input type="checkbox"/> | <b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person. Should a yes response apply to multiple incidents, each incident must have its own explanation and document upload. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.  | <b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2). |
| <input type="checkbox"/> | <b>Changing a Response from Yes to No:</b> 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.<br><br>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, if applicable. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions. | NMLS  |