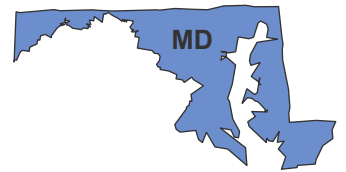




Company Amendments Agency Requirements



MARYLAND EXEMPT MORTGAGE LENDER COMPANY REGISTRATION

Instructions

Maryland does not require advance notice, make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

Fees

1. Maryland DOES NOT collect amendment fees for the following changes through NMLS during filing:
 - Change of Address
 - Change of Name
 - Change of Other Trade Names
 - Change of Qualifying Individual
 - Change of Ownership
 - Change of Control Person

2. All fees collected through NMLS ARE NOT REFUNDABLE.

How to submit Agency specific documents

1. 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.

2. 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 For Overnight Delivery:
Maryland Commissioner of Financial Regulation
Attn: Licensing Unit
500 N Calvert Street, Suite 402
Baltimore, Maryland 21202*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME: Upload copies of the following documents:</p> <ul style="list-style-type: none"> • Surety Bond Rider or other proof of surety bond coverage that reflects the change of name. • All legal documents executed and associated with the change of name, including, but not limited to, any applicable amended articles of incorporation or articles of organization, merger agreements, or consent to change name agreements.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR OF CHANGE OF MAIN ADDRESS Upload copies of the following documents:</p> <ul style="list-style-type: none"> • Surety Bond Rider or other proof of surety bond coverage that reflects that reflects the change of address.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S): Upload copies of the following documents:</p> <ul style="list-style-type: none"> • If adding or amending, other trade name registration certificate from the Maryland State Department of Assessments and Taxation • Surety bond rider that amends, adds or deletes the other trade name
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR CHANGE OF LEGAL STATUS: <u>Generally, Maryland requires the submission of a new application, not an amendment, if the registrant's legal status is changing.</u> However, if the state of formation considers the change of legal status to be a continuation of the original entity and not a new entity, submit an amendment for a change of Legal Status within the Company (MU1) Form through NMLS and provide copies of the following documents:</p> <ul style="list-style-type: none"> • Third party legal opinion to the licensee, on which the Agency may rely, from attorney authorized to practice in the licensee's state of formation, that confirms that the change of legal status is not considered a new entity in the state of formation. • All applicable amended, supplemented or modified formation documents (upload).
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES. Amend the NMLS record and upload copies of the following documents:</p> <ul style="list-style-type: none"> • If applicable, any amendments or other modification or supplement to the following: <ul style="list-style-type: none"> ○ The certificate of incorporation or articles of incorporation and bylaws (if a corporation), or ○ The articles of organization and operating agreement (if a

			<p>limited liability company), or</p> <ul style="list-style-type: none"> ○ The partnership agreement (if a partnership of any form), or ○ The governing documents of any other form of business entity. <ul style="list-style-type: none"> • Amended organizational chart showing: (1) the percentage of ownership, (2) if applicant is owned by another entity, entities or person, and/or (3) if the applicant has subsidiaries or affiliated entities.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS: Amend the NMLS record and upload copies of the following documents:</p> <ul style="list-style-type: none"> • If applicable, any amendments or other modification or supplement to the following: <ul style="list-style-type: none"> ○ The certificate of incorporation or articles of incorporation and bylaws (if a corporation), or ○ The articles of organization and operating agreement (if a limited liability company), or ○ The partnership agreement (if a partnership of any form), or ○ The governing documents of any other form of business entity. • Amended organizational chart showing: (1) the percentage of ownership, (2) if applicant is owned by another entity, entities or person, and/or (3) if the applicant has subsidiaries or affiliated entities.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ADDITION OR MODIFICATION OF INDIRECT OWNERS: Amend the NMLS record and upload copies of the following documents:</p> <ul style="list-style-type: none"> • If applicable, any amendments or other modification or supplement to the following: <ul style="list-style-type: none"> ○ The certificate of incorporation or articles of incorporation and bylaws (if a corporation), or ○ The articles of organization and operating agreement (if a limited liability company), or ○ The partnership agreement (if a partnership of any form), or ○ The governing documents of any other form of business entity. • Amended organizational chart showing: (1) the percentage of ownership, (2) if applicant is owned by another entity, entities or person, and/or (3) if the applicant has subsidiaries or affiliated entities.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ADDITION OR MODIFICATION OF QUALIFYING INDIVIDUALS: If applicable, amend the NMLS record.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>GOOD STANDING STATUS: Applicants must be registered and in good standing with the Maryland Department of Assessments and Taxation (SDAT) to be licensed. The current good standing status may be verified on the SDAT website: http://dat.maryland.gov.</p>

<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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WHOM TO CONTACT – Contact the Commissioner of Financial Regulation licensing staff by phone at 410-230-6155 or 888-784-0136 for further assistance regarding Maryland specific requirements.

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.