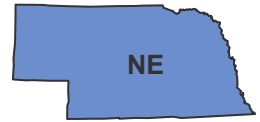




Company Amendments Agency Requirements



NEBRASKA MONEY TRANSMITTER LICENSE

Instructions

Fees

Nebraska does not collect fees in connection with amendments made to new or existing NMLS filings. NMLS does not charge processing fees for amendments.

Pre-Notification

Nebraska only requires advance notification for change of control and changes in executive officers. All other changes can be made contemporaneously in your NMLS Record.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice (ACN):
 - 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 the Nebraska Department of Banking and Finance.
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:
Nebraska Department of
Banking & Finance
P.O. Box 95006
Lincoln, NE 68509-5006

For Overnight Delivery:
Nebraska Department of
Banking & Finance
1526 K Street, Suite 300
Lincoln, NE 68508-2732

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"/>	<p>CHANGES IN CONTROL OF A LICENSEE AND CHANGES IN EXECUTIVE OFFICERS</p> <p>Licensees must notify the director in writing <u>thirty (30) days</u> prior to a change of control or appointing a new executive officer</p> <p>Firms that are seeking pre-approval for a change in control/executive officers should submit that information in advance of the control change through their NMLS Company (MU1) Form for change in Legal Status, as well as for Direct Owners & Executive Officers.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENTS REQUIRED FOR CHANGE OF CONTROL: Upload copies of the following documents:</p> <ul style="list-style-type: none"> • Anticipated Organizational Chart • Written description of anticipated transaction.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>FINANCIAL STATEMENTS (INDIVIDUAL): Submit individual financial statements for each newly listed individual in the control section of the Company (MU1) Form in NMLS.</p> <p>The Financial Statement (Individual) Form may be sent direct to the Department at the address listed above or it may be uploaded into NMLS.</p> <p>If you choose to upload the document to NMLS, it should be uploaded in NMLS under the Document Type <u>Personal Financial Statement</u> in the <i>Document Uploads</i> section of the Individual Form (MU2). Click for the Financial Statement (Individual) Form</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>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. Upload a copy of any applicable orders or supporting documents in NMLS.</p>
FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>SURETY BOND RIDER (For change of name/trade name only)</p> <p>Electronically submit, through the NMLS, the surety bond rider that reflects the change of name or the change of trade name, whichever is applicable, to the Department in one of the ways listed below.</p> <ol style="list-style-type: none"> 1. If you HAVE converted to an Electronic Surety Bond (“ESB”), contact the surety bond producer to inform them of the change and effective date so that producer can initiate the Surety Bond Rider process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process. 2. If you have NOT converted to an ESB, upload the Surety Bond Rider that reflects the change of name or trade name in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original to the Department at the address above. The name of the principal insured on the bond must match exactly the full legal

			<p>name of applicant, including any Other Trade Names.</p> <p>Note: Pursuant to the Department’s adoption of the ESB effective February 1, 2019, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by January 31, 2020. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>SURETY BOND RIDER (For change of main address only) Submit the surety bond rider that reflects the change of main address to the Department in one of the ways listed below.</p> <ol style="list-style-type: none"> 1. If you HAVE converted to an Electronic Surety Bond (“ESB”), no further action is required to process this change. 2. If you have NOT converted to an ESB, upload the Surety Bond Rider that reflects the change of address in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original to the Department at the address above. <p>Note: Pursuant to the Department’s adoption of the ESB effective February 1, 2019, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by January 31, 2020. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>SECRETARY OF STATE DOCUMENTATION. For any change of name or main address, upload the amendment filed with the state of incorporation and the amendment filed with the Nebraska Secretary of State in NMLS under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1). For trade names, upload a copy of the Trade Name Registration filed with the Nebraska Secretary of State.</p>

WHO TO CONTACT – Contact the [Nebraska Department of Banking and Finance](#) licensing staff by phone at 402-471-2171 or send your questions via e-mail to dob.consumerfinance@nebraska.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.