CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions
When making changes to your record in NMLS, New Hampshire requires advance notification for some changes. See the checklist below for details.

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 NH Banking Department Licensing staff by phone at (603) 271-3561 or send your questions via email to licensing@banking.nh.gov for additional assistance.

For U.S. Postal Service & Overnight Delivery:

New Hampshire Banking Department
Licensing
53 Regional Drive
Suite 200
Concord, NH 03301

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
- Change of Ownership
- Addition or Modification of Affiliates/Subsidiaries
- Change of Disclosure Question(s)
- Addition, Modification, or Deletion of Contact Person(s)
- Miscellaneous Notifications
  - Registered Agent
  - Business Plans
  - Management
  - Organizational charts

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.

IMPORTANT: We encourage you to review Chapter RSA 399-D found on our web site at www.nh.gov/banking. The statutes provide definitions, and licensee requirements.
<table>
<thead>
<tr>
<th>Complete</th>
<th>NH Debt Adjuster License</th>
<th>Submitted via...</th>
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<tbody>
<tr>
<td></td>
<td>Change of Legal Name Amendment Items</td>
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<tr>
<td>□</td>
<td><strong>Change of Legal Name</strong>: Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 30 days’ notice is requested for this change.</td>
<td>NMLS</td>
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**Note**  
**Change of Legal Name Fee**: $0 per license  
Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.  
N/A

**Surety Bond Rider**: Upload and mail an original Debt Adjuster surety bond rider (or new bond if applicable) that reflects the entity’s new legal name. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.  
If a new surety bond is needed, use the [Surety Bond Form found here](#).  
Upload in NMLS: under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).  
AND Mail to New Hampshire Banking Department:

**Formation Documents**: Formation Documents must be submitted related to this change type.  
Determine classification of applicant’s legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments, thereto including a list of any name changes.  
Unincorporated Association:  
- By-Laws or constitution (including all amendments).  
General Partnership:  
- Partnership Agreement (including all amendments).  
Limited Liability Partnership:  
- Certificate of Limited Liability Partnership; and  
- Partnership Agreement (including all amendments).  
Limited Partnership:  
- Certificate of Limited Partnership; and  
- Partnership Agreement (including all amendments).  
Limited Liability Limited Partnership:  
- Certificate of Limited Liability Limited Partnership; and  
- Partnership Agreement (including all amendments).  
Limited Liability Company (“LLC”):  
- Articles of Organization (including all amendments);  
- Operating Agreement (including all amendments);  
- IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and  
- LLC resolution if authority not in operating agreement.  
Corporation:  
Upload in NMLS: under the Document Type Formation Document in the Document Uploads section of the Company Form (MU1).
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<tr>
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<td></td>
<td>Change of Legal Name Amendment Items</td>
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</table>

- Articles of Incorporation (including all amendments);  
- By-laws (including all amendments), if applicable;  
- Shareholder Agreement (including all amendments), if applicable;  
- IRS Form 2553 if S-corp treatment elected; and  
- Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable.

**Not for Profit Corporation**  
- Documents requested of a Corporation; and  
- Proof of nonprofit status  
  - Internal Revenue Service ("IRS") 501(c)(3) designation letter; or  
  - statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating within the State; and (ii) no part of the entity’s net earnings may lawfully benefit any private shareholder or individual; or  
  - entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or  
  - Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.

**Trust (Statutory)**  
- Certificate of Trust; and  
- Governing instrument (all amendments).

**Secretary of State Documentation:** Provide all relevant name change documentation from the Secretary of State(s) offices(s) to verify the licensee’s legal name has been properly amended with its home state and with NH Secretary of State office.

The NH Secretary of State office can be reached at 603-271-3242 or via their web site: [http://sos.nh.gov/corp_div.aspx](http://sos.nh.gov/corp_div.aspx)

**Upload in NMLS:** under the Document Type Certificate of Authority/ Good Standing in the Document Uploads section of the Company Form (MU1).
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<tr>
<th>Complete</th>
<th>NH Debt Adjuster License</th>
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<tbody>
<tr>
<td></td>
<td>Change of Main Address Amendment Items</td>
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</table>

- **Change of Main Address:** Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 10 days’ notice must be provided for this change.
  - **Note:** Be advised that you are required to amend any other address fields in the Company Form (MU1) that may have also changed. Example: Contact person(s) address.

- **Surety Bond Rider:** Upload and mail an original Debt Adjuster surety bond rider (or new bond if applicable) that reflects the entity’s new address. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.
  - If a new surety bond is needed, use the [Surety Bond Form found here](#).
  - **Upload in NMLS:** under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).
  - **AND Mail to New Hampshire Banking Department**

- **Note:** Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.
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<th>Complete</th>
<th>NH Debt Adjuster License</th>
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<tbody>
<tr>
<td></td>
<td><strong>Addition or Modification of Other Trade Name Amendment Items</strong></td>
<td>NMLS</td>
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<tr>
<td></td>
<td><strong>Addition or Modification of Other Trade Name</strong>: Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.</td>
<td>N/A</td>
</tr>
<tr>
<td>Note</td>
<td><strong>Addition of Other Trade Name</strong> $0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</td>
<td>N/A</td>
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<td><strong>Trade Name/Assumed Name Registration Certificates</strong>: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</td>
<td>Upload in NMLS: under the Document Type Trade Name/Assumed Name Registration Certificates in the Document Uploads section of the Company Form (MU1).</td>
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<tr>
<td>Complete</td>
<td>NH Debt Adjuster License</td>
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<td></td>
<td>Deletion of Other Trade Name Amendment Items</td>
<td>NMLS</td>
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- **Deletion of Other Trade Name**: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.

  If deleting an Other Trade Name, this name must be removed from the *Other Trade Names* section of the Company Form (MU1).
Complete | NH Debt Adjuster License | Change of Legal Status Amendment Items | Submitted via...
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**Note:** In many cases, a change to the Fiscal Year End, 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).

If the form of organization of a licensee is changing (e.g. a sole proprietorship to a corporation), and there will be a new tax identification number, this requires that the company create a new NMLS record and file a completely new Company (MU1) form and pay all applicable fees.

If the Tax Identification number will not be changing, this can be processed as a Legal Name amendment.

| | Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS. | NMLS |
| | Credit Report: Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS. | NMLS |
| | MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), the following individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS. | NMLS |
| | **Direct Owners**
| | • Own 10 percent or more of the company
| | • Own less than 10 percent but are a control person
| | **Executive Officers**
| | • Control person
| | **Indirect Owners**
| | • 25 percent or more ownership
| | After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.
| | See the [Criminal Background Check section](#) of the NMLS Resource Center for more information.
| | **Note:** If you are able to ‘Use Existing Prints’ to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.
<table>
<thead>
<tr>
<th>Complete</th>
<th>NH Debt Adjuster license</th>
<th>Change in Ownership Amendment Items (Addition or Modification of Direct Owners/Executive Officers and Indirect Owners)</th>
<th>Submitted via...</th>
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</thead>
<tbody>
<tr>
<td></td>
<td><strong>Change of Ownership:</strong> At this time the Department does not require advance notice for change in Ownership. All changes in Ownership must be filed as an amendment to the licensee’s Company Form (MU1) via the NMLS no later than 30 days after the change occurs. <strong>Note:</strong> Changes in Direct Owners and/or Executive Officers must be reported in the Direct Owners/Executive Officers section of the Company Form (MU1) in NMLS. Changes in Indirect Owners must be reported in the Indirect Owners section of the Company Form (MU1) in NMLS.</td>
<td>NMLS</td>
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<td><strong>Credit Report for Control Persons:</strong> $15 per control person.</td>
<td>NMLS (Filing submission)</td>
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<td></td>
<td><strong>Credit Report:</strong> Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.</td>
<td>NMLS</td>
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<td><strong>FBI Criminal Background Check for MU2 Individual:</strong> $36.25 per person.</td>
<td>NMLS (Filing submission)</td>
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</table>
| | **MU2 Individual FBI Criminal Background Check Requirements:** When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS. **Direct Owners**  
- Own 10 percent or more of the company  
- Own less than 10 percent but are a control person  
**Executive Officers**  
- Control person  
**Indirect Owners**  
- 25 percent or more ownership  
After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.  
See the [Criminal Background Check section](#) of the NMLS Resource Center for more information. **Note:** If you are able to ‘Use Existing Prints’ to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file. | NMLS |
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<th>Addition or Modification of Affiliates/Subsidiaries Amendment Items</th>
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<tbody>
<tr>
<td></td>
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<td><strong>Addition or Modification of Affiliates/Subsidiaries:</strong> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</td>
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<td><strong>Submitted via...</strong> NMLS</td>
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<th>Complete</th>
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<th>Change of Disclosure Question(s) Amendment Items</th>
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<td><strong>Change of Disclosure Question(s):</strong> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.</td>
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<td><strong>Submitted via...</strong> NMLS</td>
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<td><strong>Changing a Response from No to Yes:</strong> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</td>
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<td><strong>NMLS</strong></td>
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<td><strong>Changing a Response from Yes to No:</strong> 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. 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 may also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</td>
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<td><strong>NMLS</strong></td>
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<tr>
<th>Complete</th>
<th>NH Debt Adjuster license</th>
<th>Change of Contacts</th>
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<td><strong>Change of Contact Person(s):</strong> New Hampshire requires that contact(s) be identified for <em>Examination</em> and <em>Litigation</em> in addition to the NMLS required Primary Licensing contact and Primary Complaint contact. Report any changes to contact persons in the <em>Contact Employees</em> section of the Company Form (MU1). <strong>Note:</strong> If a primary contact will be the contact for Exams and Litigation, he or she will need to be added as a non-primary contact, in addition to the primary contact.</td>
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<td><strong>Submitted via...</strong> NMLS</td>
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<tr>
<td>Complete</td>
<td>NH Debt Adjuster license Miscellaneous Notification requirements</td>
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<td><strong>Change of Registered Agent</strong>: Submit a change in Registered Agent through the <em>Resident/Registered Agent</em> section of the Company Form (MU1) in NMLS.</td>
<td>NMLS</td>
</tr>
<tr>
<td></td>
<td><strong>Business Plans</strong>: Changes to the company’s current business model for New Hampshire should be uploaded to the NMLS. This document should be uploaded as a <em>Business Plan</em> Document Type in the <em>Document Uploads</em> section of the Company Form (MU1).</td>
<td>Upload in NMLS</td>
</tr>
<tr>
<td></td>
<td><strong>Management Chart</strong>: Changes to the company’s current Management Chart should be uploaded to the NMLS. This document should be uploaded as a <em>Management Chart</em> Document Type in the <em>Document Uploads</em> section of the Company Form (MU1).</td>
<td>Upload in NMLS</td>
</tr>
<tr>
<td></td>
<td><strong>Organizational Chart</strong>: Changes to the company’s current Organizational Chart should be uploaded to the NMLS. This document should be uploaded as an <em>Organizational Chart/Description</em> Document Type in the <em>Document Uploads</em> section of the Company Form (MU1).</td>
<td>Upload in NMLS</td>
</tr>
</tbody>
</table>