



NH Mortgage Broker License Amendment Checklist (Company)

CHECKLIST SECTIONS

- [General Information](#)
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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 [\(603\) 271-8675](tel:6032718675) 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](#)
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- [Change of Legal Status](#)
- [Change of Ownership](#)
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- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Change of Disclosure Question\(s\)](#)
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- [Miscellaneous Notifications](#)
 - Registered Agent
 - AML/BSA Policy
 - 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 397-A found on our web site at www.nh.gov/banking. The statutes provide definitions, and licensee requirements.

NMLS ID Number	
Licensee Legal Name	

Complete	NH Mortgage Broker License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Legal Name: Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 30 days' notice is requested for this change.</p>	NMLS
Note	<p>Change of Legal Name Fee: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Electronic Surety Bond Rider: Electronic Surety Bond rider (or new surety bond) via NMLS furnished and submitted by a surety company authorized to conduct business in New Hampshire. The rider (or new bond) must reflect the entity's new legal name and any forced trade names.</p> <p>See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> <p>Note: Surety bonds submitted via the <i>Document Uploads</i> section will not satisfy this requirement.</p>	Electronic Surety Bond in NMLS
<input type="checkbox"/>	<p>Formation Documents: Formation Documents must be submitted related to this change type.</p> <p>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.</p> <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company ("LLC"):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); 	Upload in NMLS: under the Document Type Formation Document in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	NH Mortgage Broker License Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> • 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. <p>Corporation:</p> <ul style="list-style-type: none"> • 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. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status <ul style="list-style-type: none"> ○ 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. <p>Trust (Statutory)</p> <ul style="list-style-type: none"> • Certificate of Trust; and • Governing instrument (all amendments). 	
<input type="checkbox"/>	<p>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.</p> <p>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</p>	<p>Upload in NMLS: under the Document Type <u>Certificate of Authority/ Good Standing</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

NMLS ID Number	
Licensee Legal Name	

Complete	NH Mortgage Broker License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>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.</p> <p>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.</p>	NMLS
Note	<p>Change of Main Address: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Electronic Surety Bond Rider: Electronic Surety Bond rider (or new surety bond) via NMLS furnished and submitted by a surety company authorized to conduct business in New Hampshire. The rider (or new bond) must reflect the entity's new address.</p> <p>See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p> <p>Note: Surety bonds submitted via the <i>Document Uploads</i> section will not satisfy this requirement.</p>	Electronic Surety Bond in NMLS

NMLS ID Number	
Licensee Legal Name	

Complete	NH Mortgage Broker License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Other Trade Name: Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
Note	Addition of Other Trade Name \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.	Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

NMLS ID Number	
Licensee Legal Name	

Complete	NH Mortgage Broker License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p>	NMLS

Complete	NH Mortgage Broker License Change of Legal Status Amendment Items	Submitted via...
<p>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).</p> <p>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.</p> <p>If the Tax Identification number will not be changing, this can be processed as a Legal Name amendment.</p>		
<input type="checkbox"/>	<p>Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>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.</p>	NMLS
<input type="checkbox"/>	<p>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.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> • Own 10 percent or more of the company • Own less than 10 percent but are a control person <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> • Control person <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> • 25 percent or more ownership <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	NMLS

Complete	NH Mortgage Broker license Change in Ownership Amendment Items <i>(Addition or Modification of Direct Owners/Executive Officers and Indirect Owners)</i>	Submitted via...
<input type="checkbox"/>	<p>Change of Ownership: 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.</p> <p>Note: Changes in Direct Owners and/or Executive Officers must be reported in the <i>Direct Owners/Executive Officers</i> section of the Company Form (MU1) in NMLS. Changes in Indirect Owners must be reported in the <i>Indirect Owners</i> section of the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	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
<input type="checkbox"/>	FBI Criminal Background Check for MU2 Individual: \$36.25 per person.	NMLS (Filing submission)
<input type="checkbox"/>	<p>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.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> • Own 10 percent or more of the company • Own less than 10 percent but are a control person <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> • Control person <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> • 25 percent or more ownership <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	NMLS

Complete	NH Mortgage Broker license Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Modification of Qualifying Individual: Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.</p> <p>Note: Be sure that the QI meets NH requirements. See the Mortgage Broker License New Application Checklist for more information.</p>	NMLS
Note	<p>Change of Qualifying Individual: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Credit Report for Control Persons: \$15 per control person.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>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.</p>	NMLS
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), Qualifying Individuals are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	NMLS

Complete	NH Mortgage Broker License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	NMLS

Complete	NH Mortgage Broker license Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	Changing a Response from No to Yes: 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 Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	Changing a Response from Yes to No: 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 Company Disclosure Explanations Quick Guide for instructions.	NMLS

Complete	NH Mortgage Broker license Change of Contacts	Submitted via...
<input type="checkbox"/>	Change of Contact Person(s): New Hampshire requires that contact(s) be identified for <i>Examination</i> and <i>Litigation</i> in addition to the NMLS required Primary Licensing contact and Primary Complaint contact. Report any changes to contact persons in the <i>Contact Employees</i> section of the Company Form (MU1). Note: 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.	NMLS

Complete	NH Mortgage Broker license Miscellaneous Notification requirements	Submitted via...
<input type="checkbox"/>	Change of Registered Agent: Submit a change in Registered Agent through the <i>Resident/Registered Agent</i> section of the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	AML/BSA Policy: Changes to the policy should be uploaded to the NMLS as a revision. This document should be uploaded as a <u>AML/BSA Policy</u> Document Type in the <i>Document Uploads</i> section of the Company Form (MU1).	Upload in NMLS
<input type="checkbox"/>	Business Plans: Changes to the company's current business model for New Hampshire should be uploaded to the NMLS. This document should be uploaded as a <u>Business Plan</u> Document Type in the <i>Document Uploads</i> section of the Company Form (MU1).	Upload in NMLS
<input type="checkbox"/>	Management Chart: Changes to the company's current Management Chart should be uploaded to the NMLS. This document should be uploaded as a <u>Management Chart</u> Document Type in the <i>Document Uploads</i> section of the Company Form (MU1).	Upload in NMLS
<input type="checkbox"/>	Organizational Chart: Changes to the company's current Organizational Chart should be uploaded to the NMLS. This document should be uploaded as an <u>Organizational Chart/Description</u> Document Type in the <i>Document Uploads</i> section of the Company Form (MU1).	Upload in NMLS