



Company Amendments Agency Requirements



NEW YORK MORTGAGE BROKER REGISTRATION

Instructions

This document includes instructions on how to complete the requirements for amending a Mortgage Broker Registration (“Registrant”) with the New York State Department of Financial Services (the “Department”).

Registrants are required to provide the Department with advance notification for certain changes made to the company’s record in NMLS, see checklist below for details. The checklist below provides instructions and requirements for filing Advance Change Notice through the NMLS, as well as those documents for which originals must be mailed to the Department.

The following amendments require advance notification to the Department:

- Change in Legal Name
- Change of Main Address
- Change in Legal Status
- Change of Control
- Change of Executive Officers, Directors or Qualifier
- Addition or Deletion of Other Trade Names

Amendment Fees:

Change of Control

- Investigation Fee \$1,500 – Make check payable to the New York State Department of Financial Services
- Fingerprinting Processing Fee \$99.00 for each individual required to submit fingerprint cards. Consult the Department’s website for New York State fingerprint instructions: https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/fingerprinting_resources

Change of Executive Officers, Directors or Qualifier

- Fingerprinting Processing Fee \$99.00 for each new executive officer, director, or qualifier identified in the respective application. **Note: The fingerprint fee is not required for the Qualifier if the Qualifier is simultaneously applying for licensure as an MLO or is currently licensed as an MLO.** Consult the Department’s website for New York State fingerprint instructions: https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/fingerprinting_resources

All fees collected through NMLS or outside of NMLS are NON REFUNDABLE.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice:
 - a. In the NMLS document upload section; you must select Advance Change Notice for document type. If there isn't a document type available for a specific Advance Change Notice event you must mail document(s) directly to the **New York State Department of Financial Services**.
2. Documents notarized outside New York State must be accompanied by a certification from the Secretary of State or county clerk authenticating the notary's signature.
3. Please note, the Registrant's NMLS Identification Number for company and/or branch office, as applicable, must be included on every document submitted to the Department.
4. If you are required to provide document(s) outside of NMLS, you must mail the document(s) within Five business days to the following address:

*For U.S. Postal Service and Overnight Delivery:
New York State Department of Financial Services
Mortgage Banking – Application Unit
One State Street
New York, NY, 10004
Attn: Applications Unit*

DO NOT SEND THIS CHECKLIST TO THE DEPARTMENT

FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
CHANGE OF LEGAL NAME			
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>CHANGE OF LEGAL NAME. Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. 60 Days notice must be given for this change.</p> <p>Request to change the legal corporate name or the fictitious name of a registrant is subject to availability of such name in the State of New York. Pursuant to New York Business Corporation Law, the prior approval of the Superintendent is required if the amended corporate or fictitious name includes the following restricted words: Loan, Mortgage, Finance Investment and Banker. Consult the Department’s website for information on obtaining word approval https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>SECRETARY OF STATE/MUNCIPALITY DOCUMENTATION. Upload copies of the following documents:</p> <ul style="list-style-type: none"> • Filing receipt from the Secretary of State evidencing approval of the name change • Recorded or certified copy of the Certificate of Amendment filed with the Secretary of State. • Foreign Corporations must also provide a certified copy of the certificate of amendment from its home state. • General partnership must provide a certificate evidencing name change from the appropriate county clerk’s office. Note: The certificate must have the county clerk’s receipt affixed to the document.
N/A	<input type="checkbox"/>	N/A	<p>COVER LETTER. Submit a cover letter on company letterhead signed by an owner, officer or designated contact on file with the Department. The letter must address the requested changes and the authority of the individual submitting such request</p>
N/A	<input type="checkbox"/>	N/A	<p>ORIGINAL REGISTRATION. – Submit the principal office registration and all additional authorized branch office registration(s). Note: If your registration has been lost or misplaced you must submit a notarized Lost License and Certificate Affidavit for each lost registration. The Affidavit can be downloaded https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
N/A	<input type="checkbox"/>	N/A	<p>SURETY BOND RIDER. Submit an “Original” Surety Bond Rider that reflects the change of name.</p>

FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
CHANGE OF MAIN ADDRESS			
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>CHANGE OF MAIN ADDRESS. Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. 30 Days notice must be given for this change.</p> <p>Note: The Department can deny your request to change the address of the principal location if it determines that (1) the requested address is currently registered to another entity; (2) the requested location was occupied by another entity less than six (6) months prior to your application; (3) your branch manager is sponsored by another company; or (4) supplemental documents are not properly executed.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>DOCUMENT REQUIRED FOR ACN OF CHANGE OF MAIN ADDRESS Upload copies of the following documents.</p> <p>LEASES. Provide copies of leases, subleases and/or lease assignment, if applicable, for the proposed new location. Leases and/or subleases, if applicable, must meet the following criteria:</p> <ol style="list-style-type: none"> i. Fully executed in the name of the applicant and signed by an officer of the applicant. Signature line must include printed name and title of the individual officer executing the document. ii. Lease terms must be for at least 6 months. Month-to-month leases and License Agreements are not accepted iii. All subleases or lease assignments must be accompanied by a fully executed copy of the main lease. iv. If required by the main (master) lease, a copy of the landlord consent to the sublease or lease assignment must be submitted. v. Unless the applicant occupies the entire building or floor, the lease and/or sublease must include the suite number. <p>Note: Applicants seeking to license residential property as the principal office or main location must submit a certified copy of the property deed along with zoning permissions. <u>The Department does not accept License Agreement as substitute for leases or sub-leases.</u></p>
N/A	<input type="checkbox"/>	N/A	<p>COVER LETTER. Submit a cover letter on company letterhead signed by an owner, officer or designated contact on file with the Department. The letter must include a statement that the licensee is relocating the principal office and the date such move is expected to become effective. Both addresses must be clearly stated in the cover letter, including suite number.</p>
N/A	<input type="checkbox"/>	N/A	<p>ORIGINAL REGISTRATION. – Submit the principal office registration and all additional authorized branch office registrations. Note: If your registration has been lost or misplaced you must submit a notarized Lost License and Certificate Affidavit for each lost registration. The Affidavit can be downloaded https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
N/A	<input type="checkbox"/>	N/A	<p>SURETY BOND RIDER. Submit an “Original” Surety Bond Rider that reflects the change of address, including the specific suite number.</p>

N/A	<input type="checkbox"/>	<input type="checkbox"/>	DUAL AGENCY AFFIDAVIT. If the mortgage broker, principal owner or other person having a relationship with your company holds a real estate broker or sales person license or functions as an attorney on residential mortgage transactions, or if the principal office is physically located on the premises of a real estate agency, a Dual Agency form must be submitted. Download form at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms
N/A	<input type="checkbox"/>	<input type="checkbox"/>	RELOCATIONS OUTSIDE NEW YORK STATE. If you are moving the principal office from a location within the State of New York to a location outside the State of New York you must also provide a brief statement summarizing the reason for relocating the office outside the State of New York. The summary should include discussion of business plan and primary means of conducting business with New York State consumers (e.g. internet, telephone etc.). This information can be incorporated into the cover letter.
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
CHANGE OF LEGAL STATUS			
<input type="checkbox"/>	N/A	<input type="checkbox"/>	CHANGE OF LEGAL STATUS. Submit an ACN for a change of Legal Status within the Company (MU1) Form through NMLS. 60 Days notice must be given for this change. Note: Under New York laws change in legal status may require surrender of existing registration and submission of a new application for registration. Pursuant to Section 593-a of the New York Banking Law, registrations are not transferable or assignable.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	SECRETARY OF STATE/MUNICIPALITY DOCUMENTATION. Upload copies of the following documents: <ul style="list-style-type: none"> Recorded or certified copy of the Certificate of Amendment filed with the Secretary of State of the registrants' original home state and the state in which the registrant has reincorporated, if different. Recorded or Certified copies of Conversion documents filed with the Secretary of State of the registrants' original home state and state in which the registrant reincorporated, if different.
N/A	<input type="checkbox"/>	N/A	COVER LETTER. Submit a cover letter on company letterhead signed by an owner, officer or designated contact on file with the Department. The letter must outline the change in legal status and whether the registrant retains the original date of incorporation and tax identification number. If the change in legal status was accomplished through a conversion, registrants must provide an opinion from an outside attorney on the corporate conversion laws of the state in which the company is reincorporated or has been converted
N/A	N/A	N/A	CONVERSIONS AND REINCORPORATIONS. Registrants are reminded of their responsibility to ensure that the conversion and reincorporation of existing entities do not result in a transfer or assignment of registrant.
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
CHANGE OF CONTROL			
<input type="checkbox"/>	N/A	N/A	ADDITION OR MODIFICATION OF DIRECT OR INDIRECT OWNERS. Submit an ACN for an addition or change in direct or Indirect Owners within the Company (MU1) Form through NMLS. 90 Days notice must be given for this change.

			<p>Control Persons must also be reported on the Individual (MU2) Form. Under New York Banking Law, a control person is any individual or entity who directly or indirectly owns 10 percent or more of the voting stock, or equivalent interest, of the applicant, or possesses the power to direct or cause the direction of the management or policies of the registrant.</p> <p>Section 594-b of the New York Banking Law, makes it unlawful, except with the prior approval of the Superintendent for any action to be taken which results in the change of control of a licensee. Change of Control means the power, directly or indirectly, to direct the management or policies of a licensee through ownership or otherwise.</p> <p>Note: Changes in officers, directors, and, if different, Qualifiers are not generally considered a change of control. However, changes in officers, directors or Qualifier(s) require formal notification and approval. Please see information below for instructions on changes in directors, executive officers, or Qualifier(s).</p>
<input type="checkbox"/>	N/A	N/A	<p>CORPORATE FINANCIAL STATEMENTS. Corporate applicants must upload copies of the following:</p> <ul style="list-style-type: none"> a) Audited financial statements for the past two years prepared by a Certified Public Accountant in accordance with Generally Accepted Accounting Principles; and b) Unaudited financial statement for the most recent quarter signed and affirmed by an executive officer of the corporate applicant and all the corporate owners of the applicant. <p>NOTE: Financial statements are uploaded separately under the “Financial Statement” section of the Filing tab. See the Financial Statement Quick Guide for instructions.</p>
N/A	<input type="checkbox"/>	N/A	<p>SURETY BOND. Submit a letter from the Surety provider confirming that the surety bond remains in effect after the change of control.</p>
<input type="checkbox"/>	N/A	N/A	<p>CREDIT REPORT. All individuals of the applicant directly or indirectly owning 10% or more of the registrant, the three most senior executive officers, and if different, the Qualifier, are required to authorize a credit report through NMLS. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p>
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>SECRETARY OF STATE DOCUMENTATION. Domestic Companies (includes entities incorporated or chartered in the State of New York)</p> <p>(A) Mail an original Certificate of Good Standing, if the applicant has been incorporated for more than six months; and</p> <p>Upload one of the following:</p> <ul style="list-style-type: none"> • Certified copy Certificate of Incorporation and filing receipt (if a corporation); or • The Articles of Organization and Operating Agreement (if a Limited Liability Company); or • Partnership Agreement or Trust Agreement (if a partnership or established pursuant to a trust).

			<p>Foreign Companies (entities incorporated or chartered outside the State of New York) provide the following:</p> <p>(A) Mail an original Certificate of Good Standing from the New York Secretary of State if the authority to conduct business in New York is more than six months old; and</p> <p>(B) Upload one of the following: <ul style="list-style-type: none"> • Copy of filing receipt and certified copy of Application for Authority from the New York Secretary of State; or • Copy of filing receipt and certified Certificate of Fictitious name from the New York Secretary of State if you file for a Fictitious name; and </p> <p>(C) Upload one of the following: <ul style="list-style-type: none"> • Certified copy of certificate of incorporation and filing receipt from the Secretary of State in which the entity was incorporated or chartered, or Partnership Agreement or Trust Agreement, (if a partnership or established pursuant to a trust); or • The Articles of Organization and Operating Agreement, if a limited liability company. </p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	CHANGE IN OWNERSHIP LEGAL DOCUMENTS - Provide certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	CORPORATE/PARTNERSHIP/TRUST RESOLUTION. For corporate entities, provide a corporate resolution, authorizing officer to execute the application on the entity's behalf. Resolution must be signed by the corporate secretary and bear the seal of the corporation. For partnership limited liability company or trust entities, provide an authorization signed by a managing member, general partner or trustee authorizing an amendment to the existing agreement.
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
N/A	<input type="checkbox"/>	<input type="checkbox"/>	STATEMENT OF PROPOSED OWNERSHIP. The applicant must indicate percentage ownership of the registered entity after the proposed change in control. Form can be downloaded at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms
N/A	<input type="checkbox"/>	<input type="checkbox"/>	DESCRIPTION OF ACQUISITION. Submit a brief description of the transaction resulting in the change of control indicating the purpose, source of funds and financing terms, if applicable, and ability of the proposed owner(s) to weather financial adversities. Describe changes in the licensed entity structure, including managerial and/or staffing changes contemplated.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	OWNERSHIP STRUCTURE AND ORGANIZATION CHART. For corporate applicants, submit an organizational chart, detailing ownership structure and operating management structure. Reporting lines of executive officers and operating committees should be clearly delineated.

N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>BUSINESS PLAN. Provide a statement addressing proposed changes to the registered entity marketing strategy, products and services, target markets, and operating structure as a result of the change of control.</p> <p>Also provide updated information for the registered entity specifically addressing (i) aggregate mortgage loan application and closed loan volume in states already licensed or registered, if any; (ii) New York mortgage broker volume in dollars and number of loans; (iii) technology platform employed in originating loans; (iv) source of business (e.g. real estate referrals); (v) types of loan products offered; (vi) demographics the applicant solicits; and (vii) aggregate funding facilities. If the registered entity does not physically operate in New York address whether a physical location in NYS is anticipated as a result of the change of control.</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>COMPLIANCE PROGRAM. Provide a summary description of the applicant's compliance program. The summary should address (i) employee training; (ii) method of delivering training to employees; (iii) frequency of training; (iv) training timeline for newly hired employees; (v) frequency of compliance reviews; (vi) compliance risk rating; (vii) compliance rating definition, (viii) escalation process, and (ix) compliance oversight and reporting structure. The summary should also discuss the applicant's oversight of the licensed entity compliance function, including management reporting lines.</p> <p>Note: Compliance summary inclusive of ratings and definition must demonstrate the applicant's ability to facilitate enterprise wide risk assessment encompass comprehensive assessment of compliance risk, its impact on consumers, financial condition, potential legal and regulatory action.</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>FAIR LENDING PLAN. Submit a fair lending plan addressing how the Registrant ensures that loans are made in conformance with both federal and New York State fair lending laws. Also, provide a statement addressing any changes in the registrant's current fair lending plan. Details on the minimum requirements of a fair lending plan can be reviewed at www.dfs.ny.gov/legal/industry/mb990611.htm</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>CERTIFICATE OF COMPLIANCE. Provide an original, signed Certificate of Compliance stating that the applicant is in compliance with Section 296-a of the Executive Law prohibiting unlawful discriminatory practices in relation to credit. The certificate must be signed by the designated officer authorized by the corporate resolution. Download form at www.dfs.ny.gov/banking/iambcertcom.pdf</p>
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>PERSONAL QUESTIONNAIRE. All individuals directly or indirectly owning 10% or more of the applicant, the three most senior executive officers and, if different, the Qualifier must submit a personal questionnaire. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p> <p>The Personal Questionnaire Form is posted on the Department's website at</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 on the Personal Questionnaire or the MU1 form for the company or the MU2 form for the three most senior executive officers, each controlling member of a partnership, each managing member, trustee, principal beneficiary of the trust, each member of the board of directors, and all direct and indirect principal stockholders of a corporate applicant. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p>

N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>PERSONAL FINANCIAL STATEMENT(S). All individuals directly or indirectly owning 10% or more of the voting stock of the applicant, the three most senior executive officers and, if different, the Qualifier must submit a personal financial statement for the most recent quarter end as of the date of the filing of the electronic application. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p> <p>The Personal Financial Statement Form is posted on the Department's website at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>FINGERPRINT CARDS AND FINGERPRINT CERTIFICATION FORM. For each control person, three senior most executive officers, director and qualifier, must submit fingerprint to the Department. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p> <p>Detailed instructions regarding the fingerprint process are posted on the Department's website at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/fingerprinting_resources</p> <p>Rolled Fingerprints must be submitted on Fingerprint cards furnished by the Department. Fingerprint cards can be requested via e-mail at fingerprintrequest@dfs.ny.gov.</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>LITIGATION AFFIDAVIT. Each control person, the three most senior executive officers and, if different, the Qualifier must submit a litigation affidavit. If applicable, also provide a letter from the applicant's attorney detailing any pending litigation and the most likely outcome. An applicant that has only two executive officers must substitute the compliance officer for the third executive officer. The Litigation Affidavit is posted on the Department's website at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>CERTIFICATION AND AFFIRMATION. Each control person must provide a signed certification and affirmation form stating that the applicant will immediately notify the Superintendent of any changes to the information furnished in the application and that a designated officer has reviewed the application and certifies that the application does not contain any untrue statement or omission of material facts.</p> <p>An applicant that has only two executive officers must substitute the compliance officer for the third executive officer.</p> <p>The Certification and Affirmation Form is posted on the Department's website at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>RESUME. Submit a resume for individual control person.</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>Waiver Requests: Consistent with the New York Banking Law and the General Regulations of the Superintendent, the New York State Department of Financial Services may, in its discretion and in limited circumstances, consider requests for waiver of certain informational requirements applicable to control persons, such as individual owners owning indirectly 10 percent or more of the voting stock of the applicant or of the voting stock of an entity that directly or indirectly owns 10 percent or more of the applicant, where it determines the waiver will not adversely impact the application process or the ability of the Department to adequately determine the character and fitness of an applicant. All</p>

			<p>waiver request should be in writing, include name and title of individuals and documents to be waived and submitted to the Deputy Superintendent of Mortgage Banking. Consideration of any waiver request will be fact specific and may require submission of substantial supporting documentation. Waiver requests may be granted subject to conditions.</p> <p>In considering a waiver request, the Department may take into account factors such as any publicly available information, including regulatory filings as required by federal law and regulations, that would provide the Department with sufficient insight into the background and financial status of the individual or individuals for whom the waiver is sought, lack of any direct or indirect control, influence or oversight by such individual or individuals over the management or operations of the applicant, including serving on the board of directors of the applicant or acting or functioning as a director or officer of the applicant, or any power, whether direct or indirect, to direct or cause the direction of the management or policies of the applicant, including but not limited to the ability to appoint or dismiss any executive officers, members of the board of directors or other similar officials of the applicant. Additionally, the Department may take into account any evidence of regulatory concerns regarding the applicant, its executive officers and directors, as well as any supplemental information submitted to determine if existing federal regulatory oversight, due diligence or other available or utilized processes are comparable to the Department's application due diligence process. Any waiver request should address the above factors. Furthermore, in the process of reviewing and considering the application, the Department may request additional information and supporting documents.</p>
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FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
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CHANGE IN QUALIFIER			
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<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>ADDITION OR CHANGE IN QUALIFYING INDIVIDUALS. Submit an ACN for an addition or change in Qualifying Individuals within the Company (MU1) Form through NMLS. 90 Days notice must be given for this change.</p> <p>Note: Control Persons must also be reported on the Individual (MU2) Form.</p> <p>The prior approval of the Department of Financial Services is required for changes in qualifiers. The designated <u>Qualifier</u> must be an owner, general partner, trustee or executive officer of the applicant. New York State Qualifiers are required to be licensed Mortgage Loan Originators.</p>
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N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>NOTARIZED AFFIDAVIT OF RELEVANT BUSINESS EXPERIENCE. A change in "Qualifying Individual" requires the submission of a Notarized Affidavit of Relevant Business Experience. The qualifying individual must actively participate in the New York operations of the mortgage broker and have two years of verifiable experience in underwriting or credit analysis of residential mortgage loans or similar lending and credit evaluation experience.</p> <p>Note: Refer to Part 410.3 of the Superintendent's Regulations for additional details. The Department will not accept verification of experience from the Registrant for the qualifying individual. Qualifying individual must be licensed as an MLO in New York.</p> <p>ADDITIONAL REQUIRED DOCUMENTS ARE DETAILED IN THE CHANGE IN EXECUTIVE OFFICERS AND DIRECTORS SECTION</p>
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**REQUIRED AMENDMENT ITEMS FOR
CHANGE OF EXECUTIVE OFFICERS, DIRECTORS OR QUALIFIER**

CHANGE IN EXECUTIVE OFFICERS OR DIRECTORS.

Pursuant to Part 410.6(b) of the Superintendent's Regulations Registrants are required to notify the Superintendent within **10 days** after a change in any of the directors or three senior most executive officers or, if different, any officer(s) in charge of the New York operations of the registered mortgage broker.

N/A	<input type="checkbox"/>	<input type="checkbox"/>	CREDIT REPORT. A change in any of the three most senior officers, directors or qualifying individual requires the submission of a credit report through NMLS.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	FINGERPRINT CARDS AND FINGERPRINT CERTIFICATION FORM. For each newly appointed executive officer, director and/or qualifier, provide two blue fingerprint cards issued by the Federal Bureau of Investigation (FBI). Fingerprint cards can be requested via e-mail at fingerprintrequest@dfs.ny.gov . Please see the Department's website for instructions https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/fingerprinting_resources
N/A	<input type="checkbox"/>	<input type="checkbox"/>	LITIGATION AFFIDAVIT. Provide for each newly appointed executive officer, director, and/or qualifier. Form can be downloaded at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms

FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
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N/A	<input type="checkbox"/>	<input type="checkbox"/>	PERSONAL FINANCIAL STATEMENT(S). For each newly appointed executive officer, director and qualifier submit a current personal financial statement. Download form at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms
N/A	<input type="checkbox"/>	<input type="checkbox"/>	PERSONAL QUESTIONNAIRE. Provide a personal questionnaire for each newly appointed executive officer, director and qualifier. Download form at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms
N/A	<input type="checkbox"/>	<input type="checkbox"/>	CERTIFICATION AND AFFIRMATION. Provide an affirmation stating that the applicant will immediately notify the Superintendent of any changes to the information furnished in the application and that the designated officer has reviewed the application and certifies that the application does not contain untrue statement or omission of material facts. Form can be downloaded at. https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms
N/A	<input type="checkbox"/>	<input type="checkbox"/>	RESUME. A resume must be submitted.

OTHER TRADE NAME (DBA)

<input type="checkbox"/>	N/A	<input type="checkbox"/>	SECRETARY OF STATE/MUNICIPALITY DOCUMENTATION. ADDITION OR MODIFICATION OF OTHER TRADE NAME. (A) Upload copies of the following documents: <ul style="list-style-type: none"> Filing receipt from the Secretary of State evidencing approval of the assumed name. Recorded or certified copy of the Certificate of Assumed Name filed with the Secretary of State. You must provide the coversheet identifying counties you are authorized to use the assumed name.
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			<p>(B) Mail Original Document</p> <ul style="list-style-type: none"> Sole Proprietors and General Partnerships must provide the approved “Doing Business As Certificate” from the appropriate county clerk’s office. The certificate must have the county clerk’s receipt affixed to the document. <p>Note: If you intend to conduct business in multiple counties, please provide an approved certificate from each county in which you intend to conduct business.</p> <p>DELETION (DISCONTINUANCE) OF OTHER TRADE NAME.</p> <p>(A) Upload copies of the following</p> <ul style="list-style-type: none"> Corporations, limited liability companies, and limited partnerships seeking to discontinue the use of an assumed name (d/b/a) must provide a recorded or certified certificate of discontinuance from the Secretary of State. <p>(B) Mail Original Document</p> <ul style="list-style-type: none"> Sole Proprietors and General Partnerships must provide a certificate of discontinuance filed with the respective county clerk’s office. You must provide a certificate for each county in which you wish to discontinue use of the assumed name (d/b/a).
FILED IN NMLS	SUBMITTED OUTSIDE NMLS	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES. Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. 60 Days must be given for this change.</p> <p>Request to add an assumed name is subject to availability of such name in the State of New York. Pursuant to New York Business Corporation Law, the prior approval of the Superintendent is required if the name includes the following restricted words: Loan, Mortgage, Finance Investment and Banker.</p> <p>Consult the Department’s website for information on obtaining word approval</p>
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p>ORIGINAL REGISTRATION. Return the original principal office registration and all additional authorized branch office licenses to the New York State Department of Financial Services. Note: If your registration has been lost or misplaced you must submit a notarized Lost License and Certificate Affidavit for each lost registration. The Affidavit can be downloaded at https://www.dfs.ny.gov/apps_and_licensing/mortgage_companies/common_forms</p>
N/A	<input type="checkbox"/>	N/A	<p>COVER LETTER. Submit a cover letter on company letterhead signed by an owner, officer or designated contact on file with the Department. The letter must clearly state the proposed trade name and address the following:</p> <ol style="list-style-type: none"> The ownership of the proposed trade name (i.e. owned by requesting entity or individual, affiliate relationship, joint venture, or separately incorporated entity) Whether the trade name is similar to names currently utilized by other mortgage companies, an existing corporate entity or internet domain; and If the trade name is established pursuant to an affiliate business arrangement, joint venture, Series LLC or co-brokering arrangement, please provide the names of the principal owners of the trade name if different from that of the requesting entity.

WHO TO CONTACT – For questions concerning jurisdiction-specific requirements or to review your status, please contact the Department at Mortgage.Broker@dfs.ny.gov.

AMENDMENTS ARE SUBJECT TO APPROVAL. REGISTRANTS ARE FULLY RESPONSIBLE FOR ENSURING COMPLIANCE WITH NEW YORK LICENSING LAWS AND REGULATIONS. ENGAGING IN ACTIVITIES WITHOUT APPROPRIATE APPROVAL CAN RESULT IN SUPERVISORY ACTION. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.