OH Insurance Premium Finance Branch License Amendment Checklist

CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions
When making changes to your record in NMLS, Ohio 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 Quick Guide
- Document Uploads Quick Guide
- Document Upload Descriptions and Examples

Agency Contact Information
Contact a licensing staff member at (614) 644-6484 or webdfi-cf@com.state.oh.us.

THE REGISTRANT/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 Branch Address
- Change of Branch Manager Disclosure Question(s)
- Addition or Modification of Other Trade Name
- Deletion of Other Trade Name
- Addition or Modification of Qualifying Individual

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.
<table>
<thead>
<tr>
<th>Complete</th>
<th>OH Insurance Premium Finance Branch License</th>
<th>Change of Branch Address Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td><strong>Change of Branch Address:</strong> Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. <strong>15 Days'</strong> notice must be provided for this change.</td>
<td></td>
<td>NMLS</td>
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| □        | **Change of Branch Address:**  
- $0 per license, unless moving outside of the municipal corporation.  
- If there is a change in municipal corporation:  
  - $575.00 per license issued January 1 – June 30.  
  - $387.50 per license issued July 1 – December 31.  
  *Ohio will invoice the company via NMLS for the relocation amount due. This must be paid in full prior to the license being issued. There is no fee if the address remains within the current municipal corporation.* | NMLS (Agency Fee Invoice) |
| □        | **Books and Records Location:** In the “Books and Records” section of the Form MU3, update/confirm the name, title, address, and telephone number of the record custodian responsible for maintaining documents/information. | | NMLS |

<table>
<thead>
<tr>
<th>Complete</th>
<th>OH Insurance Premium Finance Branch License</th>
<th>Addition or Modification of Other Trade Name Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
</table>
| □        | **Addition or Modification of Other Trade Name:** Submit an ACN for an addition or change to an Other Trade Name through the Branch Form (MU3) in NMLS. **15 days’** notice must be provided for this change.  
If operating under an “Other Trade Name”, upload Ohio Secretary of State Trade Name Certificate of Registration regarding ability to do business under that trade name.  
This document should be named *OH-Trade Name-Assumed Name*.  
**Note:** When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).  
**Note:** There is no fee for an addition or modification of other trade name. | | NMLS |
### Deletion of Other Trade Name Amendment Items

**Deletion of Other Trade Name:** Submit an ACN for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS. **15 days’** notice must be provided for this change.

Submitted via: NMLS

### Change of Branch Manager Amendment Items

**Addition or Modification of Branch Manager:** Submit an ACN for a change in Branch Manager within the Branch Form (MU3) in NMLS. **15 Days’** notice must be provided for this change.

Submitted via: NMLS

**Note**
- **Credit Report:** Branch Managers are NOT required to authorize a credit report.
- **MU2 Individual FBI Criminal Background Check:** Not Required Through NMLS.

### Change to Branch Manager Disclosure Question(s) Amendment Items

**Change of Disclosure Question(s):** Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.

Submitted via: NMLS

**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 the Branch Manager.


Submitted via: Upload in NMLS in the Disclosure Explanations section of the Individual Form (MU2).
### Changing a Response from Yes to No:

When changing a Disclosure Question response from “Yes” to “No” for the Branch Manager, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason.

You may select “Add Explanation for “No” Responses” and provide an explanation for each response that changes from “Yes” to “No” for the Branch Manager. You may also upload a document (PDF) related to the explanation.