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

**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 Short-Term Lender Nonprofit License (Branch)</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Change of Branch Address Amendment Items</td>
<td>NMLS</td>
</tr>
<tr>
<td></td>
<td>Change of Branch Address: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. 15 Days’ notice must be provided for this change.</td>
<td>NMLS (Agency Fee Invoice)</td>
</tr>
<tr>
<td>Note</td>
<td>Change of Branch Address:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● $0 per license, unless moving outside of the municipal corporation.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>● If there is a change in municipal corporation:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>○ $500 per license issued January 1 – June 30.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>○ $250 per license issued July 1 – December 31.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>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.</strong></td>
<td></td>
</tr>
</tbody>
</table>

| Note     | Books and Records Location: In the “Books and Records” section of the Form MU1, update/confirm the name, title, address, and telephone number of the record custodian responsible for maintaining documents/information. | NMLS |

|          | Surety Bond Rider: Upload surety bond rider that reflects the entity’s new legal address. The address of the principal insured as listed on the bond rider must match exactly the full legal address of applicant as indicated on the MU1. This document should be named Surety Bond Rider [effective date]. | Upload in NMLS: under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1). |

<table>
<thead>
<tr>
<th>Complete</th>
<th>OH Short-Term Lender Nonprofit License (Branch)</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Addition or Modification of Other Trade Name Amendment Items</td>
<td>NMLS</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td>NMLS and Upload in NMLS: under the Document Type Trade Name/Assumed Name Registration Certificates in the Document Uploads section of the Company Form (MU1).</td>
</tr>
<tr>
<td></td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>This document should be named OH-Trade Name-Assumed Name.</td>
<td></td>
</tr>
<tr>
<td>Note</td>
<td>When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</td>
<td></td>
</tr>
<tr>
<td>Note</td>
<td>there is no fee for an addition or modification of other trade name.</td>
<td></td>
</tr>
</tbody>
</table>
**Note**

**Electronic Surety Bond:** If the ESB is affected by the addition/modification of branch Other Trade Name, Licensees must contact the surety bond producer to inform them of the change and effective date. Visit the [ESB for NMLS Licensees page](https://esb.nmlslicensing.com) of the NMLS Resource Center for more information about the Electronic Surety Bond process.

**Upload in NMLS:** under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).

**Surety Bond Rider:** If the branch will be operating with a new Other Trade Name, upload a surety bond rider that lists all company location Other Trade Names. The ESB will only permit the company to list one Other Trade Name on the ESB, and the rider must capture all additional legal Other Trade Names as indicated on the MU1.

This document should be named *Surety Bond Rider [effective date]*.

**Complete** | **OH Short-Term Lender Nonprofit License (Branch)** | **Submitted via...**
---|---|---
**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.

**Note**

**Electronic Surety Bond:** If the ESB is affected by the deletion of branch Other Trade Name, Licensees must contact the surety bond producer to inform them of the change and effective date. Visit the [ESB for NMLS Licensees page](https://esb.nmlslicensing.com) of the NMLS Resource Center for more information about the Electronic Surety Bond process.

**Upload in NMLS:** under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).

**Surety Bond Rider:** If the branch Other Trade Name being deleted will affect the company list of Other Trade Names indicated on the MU1, upload a surety bond rider that lists all current Other Trade Names for all company locations. The ESB will only permit the company to list one Other Trade Name on the ESB, and the rider must capture all current legal Other Trade Names as indicated on the MU1.

This document should be named *Surety Bond Rider [effective date]*.

**Complete** | **OH Short-Term Lender Nonprofit License (Branch)** | **Submitted via...**
---|---|---
**Change of Branch Manager Amendment Items** | | |
**Addition or Modification of Branch Manager:** Submit an ACN for an addition or change in Qualifying Individuals within the Branch Form (MU3) in NMLS. **30 Days’** notice must be provided for this change.

**Note:** Each branch must maintain an “Office Manager” (OM) who must be listed as a qualifying individual on Form MU1.

**Complete** | **OH Short-Term Lender Nonprofit License (Branch)** | **Submitted via...**
---|---|---
**Addition or Modification of Branch Manager** | | |

**NMLS**
<table>
<thead>
<tr>
<th>Complete</th>
<th>OH Short-Term Lender Nonprofit License (Branch) Change to Branch Manager Disclosure Question(s) Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td><strong>Change of Disclosure Question(s):</strong> Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.</td>
<td>NMLS</td>
</tr>
</tbody>
</table>
| □        | **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.  
| □        | **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.  

Note: **Credit Report:** Office Managers are NOT required to authorize a credit report. **N/A**

Note: **MU2 Individual FBI Criminal Background Check:** Not Required Through NMLS. **N/A**