



# OR Debt Management Service Provider Registration Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

Oregon Division of Financial Regulation does not require advance notice for any changes; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

### 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 *Oregon Division of Financial Regulation* licensing staff by phone at *(503) 378-4140* or send your questions via email to [nmls.licensing@oregon.gov](mailto:nmls.licensing@oregon.gov) for additional assistance. Please specify that this regards DMSP.

*For U.S. Postal Service:*

*Oregon Division of Financial Regulation  
Licensing Section  
PO Box 14480  
Salem, OR 97309*

*For Overnight Delivery:*

*Oregon Division of Financial Regulation  
Licensing Section  
350 Winter Street NE Room 410  
Salem, OR 97301*

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](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Change of 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. 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.

NMLS ID Number	
Licensee Legal Name	

Complete	OR Debt Management Service Provider Registration Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.</p>	<b>NMLS</b>
Note	<p><b>Change of Legal Name Fee:</b> \$0 per registration Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<b>N/A</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees may submit their surety bond to OR in one of the ways listed below.</p> <ol style="list-style-type: none"> <li><b>If you HAVE converted to the Electronic Surety Bond,</b> contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process. <ul style="list-style-type: none"> <li><b>Note:</b> Pursuant to the adoption of the Electronic Surety Bond (ESB) on April 15<sup>th</sup>, 2017, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by December 31<sup>st</sup>, 2018. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information.</li> </ul> </li> <li><b>If you have NOT converted to the Electronic Surety Bond,</b> upload the Surety Bond Rider that reflects the change of name in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.</li> </ol>	<p style="text-align: center;"><b>Electronic Surety Bond in NMLS</b></p> <p style="text-align: center;"><b>Or;</b></p> <p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). This document should be named <i>OR DMSP Bond</i>.</p> <p style="text-align: center;"><b>AND</b></p> <p><b>Mail to the Division of Financial Regulation</b></p>
<input type="checkbox"/>	<p><b>Debt Management Agreement:</b> The OR Debt Management Agreement must be submitted related to this change type. The Agreement must be updated to reflect the new legal name of the company.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>OR Debt Management Agreement</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Continued on the next page.

Complete	OR Debt Management Service Provider Registration Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Document Samples:</b> The OR Document Sample must be submitted related to this change type.</p> <p>The document samples must be updated to reflect the new legal name of the company.</p> <ul style="list-style-type: none"> <li>• Disclosures to be signed by consumer that lists the maximum amount the debt management service provider may charge for services performed for the client. (The form must contain a space for the client to sign, indicating that the client has read and understands the information disclosed on the form.)</li> </ul>	<p><b>Upload in NMLS:</b> under the Document Type <u>OR Debt Management Agreement</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

NMLS ID Number	
Licensee Legal Name	

Complete	OR Debt Management Service Provider Registration Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.	<b>NMLS</b>
Note	<b>Change of Main Address:</b> \$0 per registration Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees may submit their surety bond to OR in one of the ways listed below.</p> <ol style="list-style-type: none"> <li><b>If you HAVE converted to the Electronic Surety Bond</b>, no further action is required to process this change.</li> <li><b>If you have NOT converted to the Electronic Surety Bond</b>, upload the Surety Bond Rider that reflects the change of address in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above.</li> </ol> <p><b>Note:</b> Pursuant to the adoption of the Electronic Surety Bond (ESB) on April 15<sup>th</sup>, 2017, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by December 31<sup>st</sup>, 2018. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). This document should be named <i>OR DMSP Bond</i>.</p> <p><b>AND</b></p> <p><b>Mail to the Division of Financial Regulation</b></p>

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

Complete	OR Debt Management Service Provider Registration Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.	<b>NMLS</b>

Complete	OR Debt Management Service Provider Registration Change of Legal Status Amendment Items	Submitted via...
<b>Note:</b> 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).		
<input type="checkbox"/>	<b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	<b>NMLS</b>

Complete	OR Debt Management Service Provider Registration Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	<b>NMLS</b>

Complete	OR Debt Management Service Provider Registration Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Credit Report for Control Persons:</b> \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	<b>Credit Report:</b> Individuals in a position of <a href="#">control</a> 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
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A
<input type="checkbox"/>	<p><b>State Background Check Authorization:</b> The following individuals, as specified below, on the Company Form (MU1) are required to upload a state background check authorization. <a href="#">Click here to access the form.</a></p> <p><b>Note:</b> This is separate from the NMLS federal background check for the submission of the Individual Form (MU4).</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> <li>• 10% or more</li> </ul> <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> <li>• All</li> </ul> <p>This document should be named <i>OR – BC Authorization</i>.</p>	<b>Upload in NMLS:</b> under the Document Type <u>State Background Check Authorization</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).

Complete	OR Debt Management Service Provider Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.	NMLS
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A

Complete	OR Debt Management Service Provider Registration Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Changing a Response from No to Yes:</b> 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.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<b>Changing a Response from Yes to No:</b> 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 may 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.	NMLS