



Amendments Agency Requirements



RHODE ISLAND LOAN BROKER BRANCH CERTIFICATE LICENSE

Instructions:

When making changes to your record in NMLS, the Rhode Island Division of Banking (“Division”) requires advance notification for some changes and does not require advance notification for other changes. Licensees must make the changes in NMLS before and/or as of the effective date, except where indicated below, and submit supporting documentation as instructed in the following checklist.

Fees:

1. The Division collects amendment fees for the following changes through NMLS for each filing:
 - Change of Branch Physical Address \$25.00 per license
 - Change of Other Trade Names/Assumed Name \$25.00 per license (Name changes must be made to all locations)
 - Change of Branch Manager \$0.00 per license
2. An Advance Change Notice (“ACN”) is required for:
 - Change of Branch Physical Address
 - Change of Other Trade Names/Assumed Name
3. All fees collected through NMLS ARE NOT REFUNDABLE.

How to submit Agency Requirements:

1. If you are required to upload document(s) on NMLS for an ACN:
 - a. In the NMLS document upload section; you must select ACN for document type.
 - b. Documents required to be uploaded through ACN are considered proposed documents. You will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date.
If there isn't a document type available for a specific ACN event you must mail document(s) directly to the Rhode Island Division of Banking
2. If you are required to upload documents for an amendment that does not require an ACN please upload the information as follows but do not select “ACN” when entering the amendment in NMLS, instead:
 - Upload documents In the NMLS document upload section, selecting the applicable document type.
3. If you are required to provide document(s) outside of NMLS, You must mail the document(s) along with the checklist within 5 business days to the following address:

*For U.S. Postal Service/Overnight Delivery:
Rhode Island Department of Business Regulation
Rhode Island Division of Banking
1511 Pontiac Avenue, Building 68-1
Cranston, Rhode Island 02920*

NMLS Unique ID Number: _____

Applicant Legal Name: _____

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE/ AMENDMENT ITEMS
<input type="checkbox"/>	N/A	<input type="checkbox"/>	CHANGE OF BRANCH PHYSICAL ADDRESS: Submit an ACN for a Change of Branch Physical Address through the Branch (MU3) form in NMLS at least 30 days prior to the effective date of the amendment.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	DOCUMENTS REQUIRED FOR ACN OF CHANGE OF BRANCH PHYSICAL ADDRESS: Upload and/or submit the following documents: <ul style="list-style-type: none"> • Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: http://sos.ri.gov/ reflecting the applicable amendment; • Upload a copy of the bond rider with applicable surety’s power of attorney form to main office (MU1) filing in the appropriate document upload section AND upload the bond rider in NMLS in the applicable branch office (MU3) filing reflecting the amendment, if Licensee previously listed their branch office address on their bond, AND submit the Original Documents to the Division; and • Submit the Original License issued previously to the Division for re-issuance <u>or</u> a signed and notarized lost affidavit in Lieu of the Original License.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES/ASSUMED NAME: Submit an ACN for a Change of Trade Name and/or Assumed Name through the Branch (MU3) form through NMLS 90 days prior notice must be given for this change.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	DOCUMENTS REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S): Upload and/or submit the following documents: <ul style="list-style-type: none"> • Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: http://sos.ri.gov/ reflecting the applicable amendment; • Upload a copy of the bond rider with applicable surety’s power of attorney form to main office (MU1) filing in the appropriate document upload section AND upload the bond rider in NMLS in the applicable branch office (MU3) filing reflecting the amendment AND submit the Original Documents to the Division; and • Submit the Original License issued previously to the Licensee to the Division for re-issuance <u>or</u> a signed and notarized lost affidavit in Lieu of the Original License.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	DOCUMENTS REQUIRED FOR AN ADDITION OR MODIFICATION OF BRANCH MANAGERS: Upload copies of the following documents: <ul style="list-style-type: none"> • Request a credit report in NMLS or if individual does not have a Social Security Number, then submit a signed personal financial statement representing their respective financial position within the 90 day period immediately preceding the addition of the

			<p>person(s) in NMLS to the Division.</p> <ul style="list-style-type: none"> • Disclosure Questions that are answered affirmatively (“yes”) on NMLS must include a written explanation in NMLS and applicable legal documents supporting the explanation must be uploaded in NMLS.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>MU2 Individual FBI Criminal Background Check Requirements: When added to the Branch Form (MU3), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>Branch Managers</p> <ul style="list-style-type: none"> • All Qualifying Individuals unless licensed as a Rhode Island Mortgage Loan Originator must authorize a FBI CBC through the NMLS <p>After the authorization of the FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted.</p> <p>See the Quick Guides - Company 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>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p>CHANGES TO OPERATION/EXPENSE QUESTIONS FOR BRANCH OFFICE AND/OR BRANCH MANAGER:</p> <ul style="list-style-type: none"> • Questions answered affirmatively (“yes”) on NMLS must include a written explanation in NMLS and applicable legal documents supporting the explanation must be uploaded in NMLS.

WHO TO CONTACT – Contact *Rhode Island Division of Banking* licensing staff by phone at (401) 462-9503 or send your questions via e-mail to dbr.bankinquiry@dbr.ri.gov for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE AMENDING. THE AGENCY REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.