



# VA Mortgage Broker License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Virginia 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](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact the [Virginia Bureau of Financial Institutions’ Administration and Licensing Section](#) staff by phone at (804) 371-9690 or send your questions via email to [mortgagelicensing@scc.virginia.gov](mailto:mortgagelicensing@scc.virginia.gov).

#### For U.S. Postal Service:

Bureau of Financial Institutions  
Administration and Licensing Section  
PO Box 640  
Richmond, VA 23218-0640

#### For Overnight Delivery:

Bureau of Financial Institutions  
Administration and Licensing Section  
1300 E. Main Street, Suite 800  
Richmond, VA 23219

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](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Main Address](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Addition or Modification of Qualifying Individuals](#)
- [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	VA Mortgage Broker License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. At least 30 days' advance notice should be provided for this change. <b>Regardless of the amount of advance notice given, licensees cannot begin conducting Virginia business under the new name until the name has been authorized by the Commission, as evidenced by the amended license certificate(s).</b>	<b>NMLS</b>
Note	<b>Change of Legal Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Upload and mail an original company surety bond rider (or new bond if applicable) that reflects the entity's new legal name. The name of the principal on the bond must reflect the full legal name of company as registered with the Virginia State Corporation Commission, including any trade names.  If a new surety bond is needed, use Surety Bond Form ( <a href="#">CCB-8813</a> ).	<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).  <b>AND</b> <b>Mail to Virginia</b>
<input type="checkbox"/>	<b>Document(s) required for change of legal name:</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>The name change document from the Clerk of the Virginia State Corporation Commission, if a corporation, limited liability company, or limited partnership</li> <li>If the licensee is a General Partnership, provide a Certificate of Good Standing for the General Partnership from the city or county in which the partnership is registered</li> <li>If a sole proprietorship, provide a copy of legal documents which support the name change (e.g.: marriage certificate, divorce decree)</li> </ul>	<b>Upload in NMLS:</b> under the Document Type <u>ACN</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Return Original License:</b> The licensee should return its original license certificate(s) to the Virginia Bureau of Financial Institutions upon receiving the amended license certificate(s) reflecting the new legal name.	<b>Mail to Virginia</b>

NMLS ID Number	
Licensee Legal Name	

Complete	VA Mortgage Broker License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Other Trade Name:</b> Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. At least 30 days' advance notice should be provided for this change. <b>Regardless of the amount of advance notice given, licensees cannot begin conducting Virginia business under the new or modified trade name until the name has been authorized by the Commission, as evidenced by the amended license certificate(s).</b></p>	NMLS
Note	<p><b>Addition of Other Trade Name</b> \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p><b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type. Upload copies of the assumed name certificate attested by the clerk of the circuit court in which the original is on file for each trade name to be used in Virginia. An individual located outside Virginia must register the trade name in accordance with the laws of the state where the business is located. In addition, provide the original rider to the surety bond indicating the addition of the new trade name.</p>	<p><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).</p>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload and mail an original company surety bond rider (or new bond if applicable) that reflects the entity's new trade name If a new surety bond is needed, use Surety Bond Form (<a href="#">CCB-8813</a>).</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). <b>AND</b> <b>Mail to Virginia</b></p>
<input type="checkbox"/>	<p><b>Return Original License:</b> The licensee should return its original license certificate(s) to the Virginia Bureau of Financial Institutions upon receiving the amended license certificate(s) reflecting the new trade name.</p>	<b>Mail to Virginia</b>

Complete	VA Mortgage Broker License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. At least 30 days' advance notice should be provided for this change.	NMLS

Complete	VA Mortgage Broker License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Report any changes to an approved main office address through the Company Form (MU1) in NMLS within five days of taking effect.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
Note	<b>Surety Bond Rider:</b> Virginia's mortgage broker surety bonds do not contain the licensee's address. Therefore, no bond rider is needed for an address change.	N/A

Complete	VA Mortgage Broker License 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 ACN for a change of Legal Status within the Company Form (MU1) in NMLS. At least 30 days' advance notice should be provided for this change.	NMLS
<input type="checkbox"/>	<b>Document required for ACN of change of Legal Status:</b> Submit a letter describing, in detail, the change of legal status. The letter must cite the applicable law section(s) under which the change in legal status is permitted.	<b>Upload in NMLS:</b> under the Document Type <u>ACN</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	VA Mortgage Broker License 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.	NMLS

NMLS ID Number	
Licensee Legal Name	

Complete	VA Mortgage Broker License 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 ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. At least 60 days' advance notice should be provided for acquisitions of 25 percent or more of the licensee. There is no minimum required advance notice for other additions or modifications to the licensee's Direct Owners/Executive Officers.	<b>NMLS</b>
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit reports through NMLS are not required for new direct owners or executive officers of existing licensees.	<b>N/A</b>
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Direct Owners and Executive Officers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	<b>N/A</b>
<input type="checkbox"/>	<b>Change in Direct Ownership of 25 Percent or More:</b> Any person or entity seeking to directly acquire twenty-five percent or more of the voting shares of a corporation or a twenty-five percent or more ownership interest in any other type of licensee must complete an application to acquire control of the licensee on form <a href="#">CCB-8808</a> . Virginia must approve the application prior to the transaction taking place. <b>A complete application should be submitted at least 60 days prior to the proposed ownership change.</b>	<b>Mail to Virginia</b>

NMLS ID Number	
Licensee Legal Name	

Complete	VA Mortgage Broker License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. At least 60 days' advance notice should be provided for indirect acquisitions of 25 percent or more of the licensee. There is no minimum required advance notice for other additions or modifications to the licensee's indirect owners.	NMLS
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit reports through NMLS are not required for new indirect owners of existing licensees.	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
<input type="checkbox"/>	<b>Change in Indirect Ownership of 25 Percent or More:</b> Any person or entity seeking to indirectly acquire twenty-five percent or more of the voting shares of a corporation or a twenty-five percent or more ownership interest in any other type of licensee must complete an application to acquire control of the licensee on form <a href="#">CCB-8808</a> . Virginia must approve the application prior to the transaction taking place. <b>A complete application should be submitted at least 60 days prior to the proposed ownership change.</b>	Mail to Virginia

Complete	VA Mortgage Broker License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Qualifying Individual:</b> Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Qualifying Individual:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Qualifying Individuals are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit reports through NMLS are not required.	N/A

Complete	VA Mortgage Broker License 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 detailed explanation for each Disclosure Questionnaire response that changes from “No” to “Yes” on the Company Form (MU1) or Individual Form (MU2). 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