



# WI Adjustment Service Company Registration (Main Office - No Activity) Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

Wisconsin Department of Financial Institutions (WDFI) does not require advance notice for any changes, but 30 days advance notice is recommended; 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 DFI’s Division of Banking at 608-261-7578 or send your questions via e-mail to [nancy.schreiber@wisconsin.gov](mailto:nancy.schreiber@wisconsin.gov) for additional assistance.

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

*Wisconsin Department of Financial Institutions  
Division of Banking  
PO Box 7876  
Madison, WI 53707-7876*

#### *For Overnight Delivery:*

*Wisconsin Department of Financial Institutions  
Division of Banking  
North Tower  
4822 Madison Yards Way  
Madison, WI 53705*

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](#)
- [Addition or Modification of Executive Officers](#)
- [Addition or Modification of Direct Owners](#)
- [Addition or Modification of Indirect Owners](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [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	WI Adjustment Service Company Registration (Main Office - No Activity) Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	<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 rider to the adjustment service company bond identifying the change to the legal name. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.  This document should be named <i>WI Adjustment Service Company [Effective Date] Surety Bond Rider</i> .  <a href="#">Use the surety bond form found at the WDFI website.</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 WDFI</b>
<input type="checkbox"/>	<b>Formation Documents:</b> Upload amendment documentation from state of origin amending the legal name.	<b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	<b>WI Adjustment Service Company Registration (Main Office - No Activity)</b> <b>Change of Main Address Amendment Items</b>	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>
<b>Note</b>	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>

NMLS ID Number	
Licensee Legal Name	

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) 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. WDFI does not allow more than five of trade names.	<b>NMLS</b>
Note	<b>Addition of Other Trade Name</b> \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<b>Surety Bond.</b> Upload and mail an original rider to the adjustment service company bond identifying the change to the Other Trade Name. This document should be named <i>WI Adjustment Service Company [Effective Date] Surety Bond Rider</i> . <a href="#">Use the surety bond form found at the WDFI website.</a>	<b>Upload in NMLS:</b> under <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). <b>AND</b> <b>Mail to WDFI</b>

NMLS ID Number	
Licensee Legal Name	

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p>	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Surety Bond.</b> Upload and mail an original rider to the adjustment service company bond identifying the change to the Other Trade Name.</p> <p>This document should be named <i>WI Adjustment Service Company [Effective Date] Surety Bond Rider</i>.</p> <p><a href="#">Use the surety bond form found at the WDFI website.</a></p>	<p><b>Upload in NMLS:</b> under <u>Surety Bond</u> in the <u>Document Uploads</u> section of the Company Form (MU1).</p> <p><b>AND</b></p> <p><b>Mail to WDFI</b></p>

NMLS ID Number	
Licensee Legal Name	

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) Addition or Modification of Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Executive Officers:</b> Submit an amendment for an addition or change in Executive Officers within the Company Form (MU1) in NMLS.	<b>NMLS</b>
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	<b>N/A</b>
<input type="checkbox"/>	<b>Criminal History Report:</b> Mail a criminal history report dated within the previous 90 days for each new key officer. Key officers include chief executive officer, chief operating officer, chief financial officer, president, executive or senior vice president (submit the highest level vice president if there is no EVP or SVP), secretary and treasurer. The criminal history report must be obtained from the State Police/Department of Justice located in the officer's state of residence. Reports obtained from third-party providers will not be accepted.	<b>Mail to WDFI</b>

NMLS ID Number	
Licensee Legal Name	

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) Addition or Modification of Direct Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Direct Owners:</b> Submit an amendment for an addition or change in Direct 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
<input type="checkbox"/>	<b>Financial Statements:</b> Upload an internally prepared balance sheet and income statement prepared in accordance with Generally Accepted Accounting Principles dated within 30 days after the change in ownership.  A minimum tangible net worth of \$6,000 and positive working capital is required.  <b>Note:</b> Financial statements are uploaded separately under the Filing tab and <i>Financial Statement</i> submenu link. See the <a href="#">Financial Statements Quick Guide</a> for instructions.	NMLS
<input type="checkbox"/>	<b>Criminal History Report:</b> Mail a criminal history report dated within the previous 90 days for each new direct owner. The criminal history report must be obtained from the State Police/Department of Justice located in the owner's/member's/partner's state of residence. Reports obtained from third-party providers will not be accepted.	Mail to WDFI
<input type="checkbox"/>	<b>Legal Documents:</b> Send copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sale agreements, merger agreements or consent to change in ownership agreements.	Mail to WDFI
<input type="checkbox"/>	<b>Notification of Surety Company:</b> Send documentation from the insurance company that issued the licensee's surety bond that verifies they have been notified of the change in ownership and confirms that the bond remains in force.	Mail to WDFI



Complete	WI Adjustment Service Company Registration (Main Office - No Activity) 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.	<b>NMLS</b>
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	<b>N/A</b>

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) 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> Contact the WDFI prior to filing an amendment for a change in Legal Status within the Company (MU1) form in NMLS.	<b>Contact WDFI</b>
<input type="checkbox"/>	<b>Change of Legal Status:</b> After contacting WDFI, submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	<b>NMLS</b>

Complete	WI Adjustment Service Company Registration (Main Office - No Activity) 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	<b>WI Adjustment Service Company Registration (Main Office - No Activity)</b> <b>Change of Disclosure Question(s) Amendment Items</b>	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.	<b>NMLS</b>
<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 must 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.	<b>NMLS</b>