



## Company Amendments Agency Requirements



# WEST VIRGINIA MORTGAGE BROKER LICENSE

### Instructions

**When making changes to your record in NMLS the West Virginia Division of Financial Institutions (“WVDFI”) requires advance notification for some changes, see checklist below for details.**

### Fees

1. WVDFI collects amendment fees for the following changes through NMLS during filing:
  - Change of Address \$100 per license
2. WVDFI collects amendment fees related to the background investigation of principals for the following when the background information is not available in NMLS. Please send check directly to the WVDFI, along with the checklist and relevant forms, for the following amendment:
  - Change of Ownership – \$60 for each individual submitting fingerprint forms outside NMLS.
  - Change of Control Person – \$60 for each individual submitting fingerprint forms outside NMLS.
3. All fees collected through NMLS ARE NOT REFUNDABLE.

### How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice:
  - a. In the NMLS document upload section; you must select Advance Change Notice for document type.
  - b. Documents required to be uploaded through Advance Change Notice 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 Advance Change Notice event you must mail document(s) directly to WVDFI.
2. If you are required to upload documents for an amendment that doesn't require Advance Change Notice:
  - a. In the NMLS document upload section, select the applicable document type.
3. If you are required to provide document(s) outside of NMLS:
  - a. You must mail the document(s) along with the checklist within 5 business days to the following address:

For U.S. Postal Service:

West Virginia Division of Financial Institutions  
900 Pennsylvania Avenue, Suite 306  
Charleston, WV 25302-3542

For Overnight Delivery:

West Virginia Division of Financial Institutions  
900 Pennsylvania Avenue, Suite 306  
Charleston, WV 25302-3542

NMLS Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL NAME.</b> Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME:</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>• Certificate of Authorization or other approval from the West Virginia Secretary of State]</li> </ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF MAIN ADDRESS.</b> Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES.</b> Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>• Certificate of Authorization or other approval from the West Virginia Secretary of State.</li> </ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL STATUS.</b> Submit an ACN for a change of Legal Status within the Company (MU1) Form through NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ACN OF CHANGE OF LEGAL STATUS:</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>• Certificate of Authorization or other approval from the West Virginia Secretary of State.</li> </ul>
<input type="checkbox"/>	N/A	<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 (MU1) Form through NMLS. <b>Sixty</b> days' notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.  The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a FBI criminal background check (CBC) through NMLS. <i>Direct Owners</i> <ul style="list-style-type: none"> <li>• Individuals who own 10% or more of the applicant.</li> </ul> <i>Executive Officers and Principals</i> <ul style="list-style-type: none"> <li>• President, chief executive officer, regardless of title, managing partner if a partnership, or other person controlling the conduct of</li> </ul>

			<p>the affairs of an applicant. In general, MU2 individuals are considered to be principals unless the company has provided a written explanation to the Division of Financial Institutions as to why the individual is not a principal.</p> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> 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><b>ADDITION OR MODIFICATION OF INDIRECT OWNERS.</b> Submit an ACN for an addition or change in Indirect Owners within the Company (MU1) Form through NMLS. <b>Sixty</b> days' notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.</p> <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> <li>Individuals holding 10% or greater beneficial ownership in the applicant. If ultimately held by other than a natural person, contact the Division of Financial Institutions for further information.</li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Quick Guides - Company section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> 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"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF INDIRECT OWNERS OR OTHER PRINCIPALS SUBMITTING INFORMATION OUTSIDE NMLS</b></p> <p>For criminal and credit investigations. Must be provided for each MU2 individual submitting fingerprint cards outside NMLS. The fee for fingerprints to be sent to directly to WVDFI is \$60.00. Fingerprints must be submitted through NMLS unless advised by the Division of Financial Institutions that fingerprints should be submitted directly to WVDFI <a href="#">Click to download form.</a></p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>ADDITION OR MODIFICATION OF QUALIFYING INDIVIDUALS.</b> Submit an ACN for an addition or change in Qualifying Individuals within the Company (MU1) Form through NMLS. Note: Control Persons must also be reported on the Individual (MU2) Form. Authorization to view criminal background and credit reports must be provided through NMLS.</p>



FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER. (For change of address or change of name only)</b> - Submit the original Surety Bond Rider that reflects the change of address or change of name, whichever is applicable.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>DISCLOSURE QUESTIONS.</b> Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Control Person or any new Manager.

**WHO TO CONTACT** – Contact West Virginia Division of Financial Institutions licensing staff by phone at (304) 558-2294 or send your questions via e-mail to:

Lisa Miller at [lmiller@wvDOB.org](mailto:lmiller@wvDOB.org)  
 Terri Shock at [tshock@wvDOB.org](mailto:tshock@wvDOB.org) or  
 Tracy Hudson at [thudson@wvDOB.org](mailto:thudson@wvDOB.org)

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