Company Other Trade Names

Overview/Policy

*Other Trade Names* must include all names other than the legal name found in the *Identifying Information* section the company uses. These include: other business names, fictitious names, forced dba’s “doing business as”, etc.

Check the state licensing requirement checklist(s) to determine if a state requires other trade names to hold a separate license.

Many states require currently approved companies to provide the regulator with advance notice before making changes to their other trade name(s). An advance notification allows the regulator to review the change prior to its effective date and indicate to the licensee whether or not the proposed change is acceptable.

Not all states require an Advance Change Notice. Review the [Advance Change Notice Requirement Chart](#) and [Amendment Checklist](#) prior to submitting a change to other trade name(s).

Definitions and Charts

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Advance Change Notice</td>
<td>A notification regarding certain changes to a licensee’s company or branch information in advance of the effective date.</td>
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<tr>
<td>Effective Date</td>
<td>The date on which a change will be applied within the record.</td>
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How To

**Add an Other Trade Name:**

1. From the *Other Trade Names* screen, click **Add**.
2. Enter the *Other Trade Name*.
3. Enter the *Effective Date* for the addition (MM/DD/YYYY).
4. Select the *Industry Type(s)*.
5. Select the *State(s)* where the name is used.
6. Click **Save**.
Edit an Other Trade Name from the Unsubmitted Change Notice Section (first gray bar):

1. From the Other Trade Names screen, click the Edit icon.
2. Complete necessary updates and click Save.
Edit Other Trade Names Previously Submitted on the Company (MU1) Form (second gray bar):

1. From the Other Trade Names screen, click the Edit icon.
2. Complete necessary updates and populate the Effective Date for the change. Note: Only Industry Type, State, and Forced Name? can be modified from this screen. See below for further instruction on how to modify Name.

Edit Other Trade "Name" from Previously Submitted Company (MU1) Form:
The Other Trade Name (highlighted in visual above) cannot be modified by selecting the Edit icon. The Name must be removed by selecting the Delete (X) icon, and then added by following the Add an Other Trade Name instructions above.

Action:
Result:

![Table of Other Trade Names Modified on this Filing]

Cancel a Pending Advance Change Notice:
1. From the Other Trade Names screen, click the Cancel button.

![Table of Other Trade Names]

Helpful Hints
1. Licensees should not include “dba” in front of their Other Trade Name. The Name entered should be exactly how they use it in advertising, documents, etc.
2. Any restrictions to the usage of Other Trade Names will be indicated on the state-specific requirement checklist(s).
3. A forced “dba” is one that is required to be used because the state’s Secretary of State or other agency will not allow the company to use its legal name. This may be due to a number of reasons, including the company’s legal name is already used by another company in that state.

Additional Resources:
- Find state-specific requirements on the NMLS Resource Center.
- Quick Guides:
  - Submitting Company Form (MU1)
  - Company (MU1) Form – ACN Other Trade Names

See Company and Branch Help Table of Contents