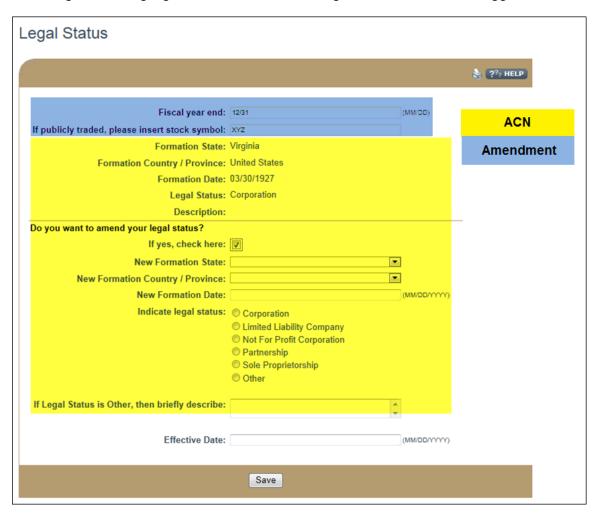


ACN - Legal Status

Advance Change Notice (ACN) may be required for a change in Legal Status within the Company (MU1) Form. Review the <u>State Licensing Requirements</u> Amendment Checklist(s) for the respective state agency's ACN requirements.

The image below highlights the sections of the Legal Status screen that trigger an ACN.



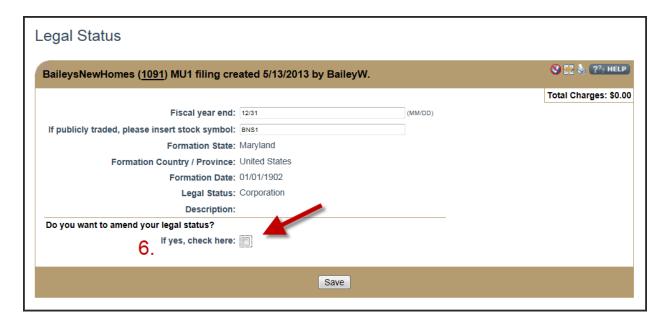
The following instructions include steps to complete the below actions in NMLS.

- How to submit an ACN for Legal Status
- How to modify a pending ACN for Legal Status
- How to cancel a pending ACN for Legal Status
- Advance Change Notice Document Upload

How to submit an ACN for Legal Status

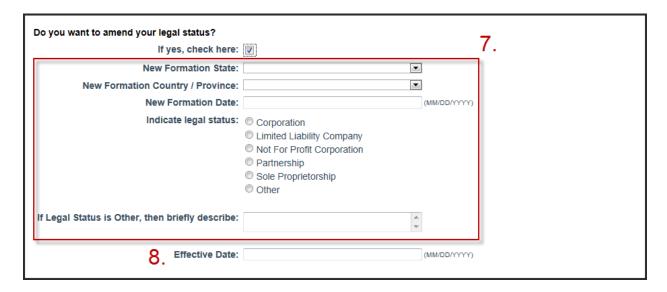
1. Log in to your company NMLS account.

- 2. Click FILING
- 3. Click Company (MU1) in the sub-menu.
- 4. Click Create New Filing
- 5. Click **Legal Status** on the left Navigation Panel.
- 6. Check the box, answering "yes", to Do you want to amend your legal status?



- 7. Enter your entity's updated Formation State, Formation Country/Providence, Formation Date, and/or Legal Status.
- 8. Review the State Agency Checklist applicable to the state and license being changed for instructions on documentation required as part of this change.

Note: If your state agency does not require you to report an ACN for this change, enter the date on which a change to a licensee's NMLS information is intended to be effective as the Effective Date. If your state agency does require you to report an ACN for this change, enter the appropriate future date as the change's Effective Date. The Effective Date must be a current or future date of up to 120 days. Review the Amendment Checklist for the state and license type for ACN requirements.



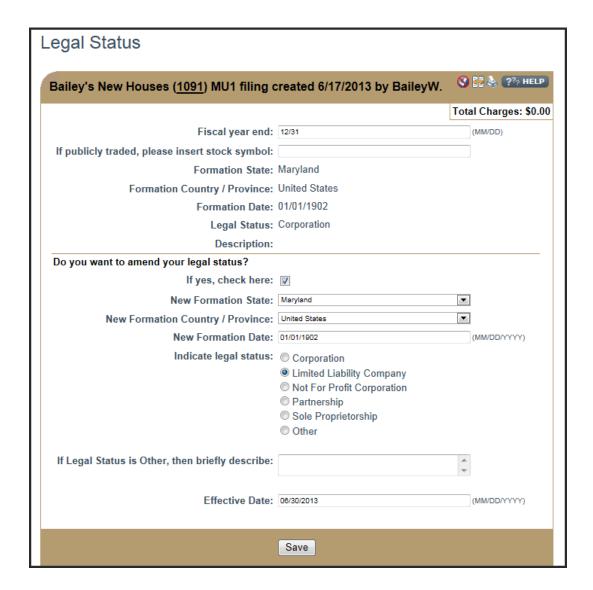
- 9. Click Save
- 10. Proceed to the Attest and Submit section.

Note: Some agencies charge an amendment fee when certain information changes. The respective state's Amendment Checklist(s) will provide a complete list of fees.

11. If all completeness checks pass, review the attestation language, attest and submit.

How to modify a pending ACN for Legal Status

- 1. Log in to your company NMLS account.
- 2. Click FILING
- 3. Click Company (MU1) in the sub-menu.
- 4. Click Create New Filing
- 5. Click **Legal Status** on the left Navigation Panel.
- Modify the Formation State, Formation Country/Providence, Formation Date, and/or Legal Status as applicable.
- 7. Click Save



Note: This action will change the "Pending Change Notice Type" to **Amend Creation** and place it in the **Unsubmitted Change Notices** list. To undo the amendment click the undo icon ().

- 8. Proceed to the Attest and Submit section.
- 9. If all completeness checks pass, review the attestation language, attest and submit.

How to cancel a pending ACN for Legal Status

- 1. Log in to your company NMLS account.
- 2. Click FILING

Update: 6/18/2013

3. Click Company (MU1) in the sub-menu.

- 4. Click Create New Filing
- 5. Click Legal Status on the left Navigation Panel.
- 6. Uncheck the box, answering "no", to **Do you want to amend your legal status?**
- 7. Click Save

Do you want to amend your legal status?

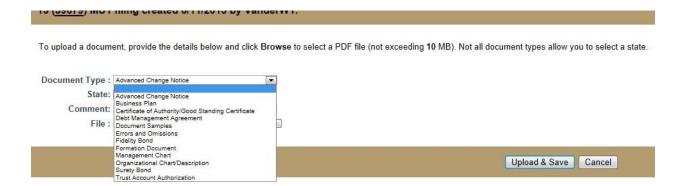
If yes, check here:

Note: This action will cancel the ACN and place it in the **Unsubmitted Change Notices** list. The **Pending Change Notice Type** will change to **Cancel Creation.** To undo the cancellation click the undo icon ().

- 8. Proceed to the Attest and Submit section.
- 9. If all completeness checks pass, review the attestation language, attest and submit.

Advance Change Notice Document Uploads

- 1. Log in to your company NMLS account.
- 2. Click FILING
- 3. Click Company (MU1) in the sub-menu.
- 4. Click Create New Filing
- Click **Document Uploads** on the left Navigation Panel.
- 6. Click Add
- 7. Select the "Advance Change Notice" Document Type.



Note: Advance Change Notice is a new Document Type available for upload. All ACN Document Type submissions are considered proposed documents. Upon the effective date of the change, documents must be re-submitted under the appropriate Document Type (do not re-submit under Advance Change Notice as of the effective date). If the submission does not meet an existing Document Type, documents must be mailed to the agency.

- 8. Enter a Comment related to the file as needed.
- 9. Browse for the file and select Upload & Save