



COMPANY (MU1) AMENDMENTS

The Company (MU1) Form may require amendment in NMLS:

- As revisions are required by one or more regulators
- As information in your record changes
- As owners/executive officers join or leave your company
- As actions occur that require disclosure questions to be updated
- As ownership or control of your company changes

Many revisions only require updates to the appropriate section of the Company (MU1) Form in NMLS; other revisions may require Advance Change Notice (ACN) to a regulator with documentation filed through NMLS. The [State Licensing](#) Page on the NMLS Resource Center includes Amendment Checklists for each license type in NMLS, selectable by state. Find the Amendment checklist for the license type(s) you are updating to review the state agency's instructions.

ACN may be required for the categories below. The links below provide specific instructions to make respective ACN changes.

- [Company Legal Name Change \(Identifying Information section\)](#)
- [Company Main Address \(Identifying Information section\)](#)
- [Other Trade Names](#)
- [Legal Status](#)
- [Affiliates/Subsidiaries](#)
- [Direct Owners/Executive Officers](#)
- [Indirect Owners](#)
- [Qualifying Individuals](#)

Review the State Licensing Requirement Amendment checklist(s) to clarify state-specific requirements. Some states may require more or less notice for a given amendment, fees associated to the changes, and/or additional supplemental documentation. Effective Dates for changes may be entered up to 120 days in advance.

NOTE: If your state agency does not require you to report an ACN for a given change, enter the date on which a change to a licensee's NMLS information is intended to be effective as the Effective Date.

How to amend the Company (MU1) Form

Log in to your company record and follow the steps below:


The screenshot shows the NMLS website interface. At the top right, it says "Logged in as AndrewsDM | Logout | andrewsdm@lender.org | edit | Resource Center". The navigation menu includes "HOME", "FILING", "MLO TESTING & EDUCATION", "TASKS", "COMPOSITE VIEW", "RENEWALS", "ADMIN", and "REPORTS". The "FILING" tab is highlighted with a red box and the number 1. Below the navigation menu, there is a sub-menu with "Company (MU1)", "Branch (MU3)", "Individual", "Financial Statements", "MCR", "Access", and "Relationships". The "Company (MU1)" link is highlighted with a red box and the number 2. On the left side, there is a navigation panel with "You are currently:" and a "State" dropdown menu. Below that, there are two options: "Company Filing" (highlighted with a red box) and "Historical Filings". The main content area is titled "Create a Company Filing" and contains the following text: "You can manage filings for your company using the actions described below." Below this is a table with two columns: "AVAILABLE ACTIONS" and "FUNCTION". The table lists three actions: "Create New Filing", "View Latest Filing", and "Delete the pending filing, including any pending changes." The "Create New Filing" button is highlighted with a red box and the number 3. Below the table, there is a note: "NOTE: A filing cannot be submitted until you resolve any outstanding completeness checks on the Attest and Submit screen. A submitted filing will be stored as the company's record for subsequent submissions." At the bottom of the page, there is a red text box that says: "There are no pending filings. Use the button below to create a new filing."

1. Click the **Filing** tab.
2. Click the **Company (MU1)** link from the sub-menu.
3. Click the **Create New Filing** button.

NOTE: If you do not see the **Create New Filing** button, you may already have a pending filing; in this instance, click the Edit icon (✎) to continue editing the Company (MU1) filing or the Delete icon (✖) to delete the pending filing.

4. Click the sections of the form using the left navigation panel to identify the data that needs to be amended and save any changes.

NOTE: If you need to change a direct owner/executive officer, indirect owner, or qualifying individual, select that section of the form and select the Edit icon (✎) associated to the individual you wish to amend or delete. To add a new individual in that section, select "Add Individual" and enter the appropriate information.


Logged in as AndrewsDM | [Logout](#)
andrewsdm@lender.org | [edit](#) [Resource Center](#)

[HOME](#) | [FILING](#) | [MLO TESTING & EDUCATION](#) | [TASKS](#) | [COMPOSITE VIEW](#) | [RENEWALS](#) | [ADMIN](#) | [REPORTS](#)

[Company \(MU1\)](#) | [Branch \(MU3\)](#) | [Individual](#) | [Financial Statements](#) | [MCR](#) | [Access](#) | [Relationships](#)

You are currently:

★ State ▼

- Business Activities
- Request License
- License/Registration Information
- Identifying Information
- Other Trade Names
- Resident/Registered Agent
- Web Addresses
- Contact Employees
- Books and Records Information
- Approvals and Designations
- Bank Accounts
- Legal Status
- Affiliates/Subsidiaries
- Financial Institutions
- Disclosure Questions
- Disclosure Explanations
- Direct Owners and Executive Officers
- Indirect Owners
- Qualifying Individuals
- Document Uploads
- MU2 Forms
- [Attest and Submit](#) 5

Attest and Submit

Metropolitan Lenders (45427) MU1 filing created 3/24/2014 by AndrewsDM. [? HELP](#)

! Please be aware that certain information from this filing and related to your licenses/registrations will be considered public. For details on what is considered public, click here.

Completeness Checks

All completeness checks are clear. You can attest to the filing below for submission.

Subject	Fee Type	Amount
Total Charges		\$0.00

I [Dave Michael Andrews](#) of [Metropolitan Lenders \(45427\)](#) (Applicant) on this date [Monday, March 24, 2014](#) swear (or affirm) as follows, that I executed this form on behalf, and with the authority, of said Applicant and said Applicant agrees to and represents the following:

- (1) That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;
- (2) To the extent any information previously submitted is not amended, such information remains accurate and complete;
- (3) To the extent any information submitted is part of an advance change notice with a delayed effective date, such information is accurate and complete as of this submission;
- (4) That the jurisdiction(s) to which an application is being submitted may conduct any investigation into the background of the applicant, and any related individuals or entities, in accordance with all laws and regulations for purposes of making a determination on the application;
- (5) To keep the information contained in this form current and to file accurate supplementary information on a timely basis; and
- (6) To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which the applicant is applying.

If the Applicant has knowingly made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, then the foregoing application may be denied.

I verify that I am the named person above and that I am authorized to attest to and submit this filing on behalf of the Applicant.

[Attest and Submit](#)

5. Click the **Attest and Submit** link from the left navigation panel.
6. If all completeness checks pass, review the attestation language, then attest and submit.

Company Legal Name Change (Identifying Information section)

The image below highlights the sections of the Identifying Information screen that trigger an ACN.

Identifying Information

Total Charges: \$0.00

Entity name and EIN:

Entity Name: SunTrust Mortgage, Inc.

IRS Employer Identification Number: 00-1323492

Do you want to amend your legal name?

If yes, check here:

Main address:

Number & Street: 901 Semmes Avenue

City: Richmond

State: Virginia

Country / Province: United States

Postal Code: 23224

Do you want to amend your main address?

If yes, check here:

Business phone, fax and email address:

Business Phone: 804-291-0025

Toll-Free Number (for consumers):

Fax Line: 804-291-0278

Email Address: test@test.com

Mailing address:

Copy Main Address

PO Box or Number & Street: 901 Semmes Avenue

City: Richmond

State: Virginia

Country / Province: United States

Postal Code: 23224

Any other business locations?

Other than the main office does the entity conduct business with consumers through branch offices or other business locations? Yes No

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Identifying Information** link from the left navigation panel.

6. Select the checkbox, answering “yes”, to *Do you want to amend your legal name?*

Identifying Information

BaileysNewHomes (1091) MU1 filing created 5/13/2013 by BaileyW. ? HELP

Total Charges: \$0.00

Entity name and EIN: Entity Name: BaileysNewHomes

IRS Employer Identification Number: 89-6560650

Do you want to amend your legal name?
6. If yes, check here: 

7. Enter your entity’s new name.

8. Enter the change’s Effective Date.

Do you want to amend your legal name?

If yes, check here:

New legal name:

7. New Entity Name:
(sole proprietor use "Last, First, Middle")

8. Effective Date: (MM/DD/YYYY)

9. Click the **Save** button.

10. Click the **Attest and Submit** link from the left navigation panel.

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

Company Main Address Change (Identifying Information section)

The image below highlights the sections of the Identifying Information screen that trigger an ACN.

Identifying Information

Total Charges: \$0.00

Entity name and EIN:
Entity Name: SunTrust Mortgage, Inc.
IRS Employer Identification Number: 00-1323492

Do you want to amend your legal name?
If yes, check here:

Main address:
Number & Street: 901 Semmes Avenue
City: Richmond
State: Virginia
Country / Province: United States
Postal Code: 23224

Do you want to amend your main address?
If yes, check here:

Business phone, fax and email address:
Business Phone: 804-291-0025
Toll-Free Number (for consumers):
Fax Line: 804-291-0278
Email Address: test@test.com


Mailing address:
Copy Main Address
PO Box or Number & Street: 901 Semmes Avenue
City: Richmond
State: Virginia
Country / Province: United States
Postal Code: 23224

Any other business locations?
Other than the main office does the entity conduct business with consumers through branch offices or other business locations? Yes No

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Identifying Information** link from the left navigation panel.

6. Select the checkbox, answering “yes” to *Do you want to amend your main address?*

Do you want to amend your main address?

6. If yes, check here: 

7. Enter your entity’s new address.
8. Enter the change’s Effective Date.

Do you want to amend your main address?

If yes, check here:

New main address (Do not use a PO Box):

7. **New Number & Street:**

7. **New City:**

New State:

New Country / Province:

New Postal Code:

8. **Effective Date:** (MM/DD/YYYY)

9. Click the **Save** button.
10. Click the **Attest and Submit** link from the left navigation panel.
11. If all completeness checks pass, review the attestation language, then attest and submit.

Other Trade Names

The image below highlights the sections of the Other Trade Names screen that trigger an ACN.


Other Trade Names


Total Charges: \$0.00


All other trade names (i.e. business names, fictitious names, or "doing business as" names) used by your company must be identified below. Review the [state licensing requirements](#) for rules and restrictions regarding other trade names including guidelines for providing advance change notice.

AVAILABLE ACTIONS FUNCTION

Add Request a new other trade name.

 Edit an other trade name or an existing change notice.

 Undo the changes made to an other trade name.

 Delete an other trade name.

Cancel Withdraw (undo) an existing change notice.


Unsubmitted Change Notices

This table lists other trade names that have been created, modified, removed, amended, or cancelled on the current pending filing.

No unsubmitted change notices exist on this filing.

Other Trade Names

This table lists other trade names currently on record and change notices that have been submitted but are not yet effective.

Name	Industry Type(s)	State(s)	Existing Change Notice Type	Available Actions	Effective Date
 Crestar Mortgage	Mortgage	Arizona			

ACN

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Other Trade Names** link from the left navigation panel.
6. Click the **Add** button.

7. Enter your entity's new Other Trade Name.
8. Enter the change's Effective Date.
9. Select the Industry Type.
10. Select the State(s) in which the Other Trade Name will be used. If applicable, check the box under "Forced Name?" for the respective state(s).

Add Other Trade Name

BaileysNewHomes (1091) MU1 filing created 5/13/2013 by BaileyW. ?? HELP

Total Charges: \$0.00

Provide your other trade name below, including the effective date, industry type(s), and state(s) where the name is used to conduct business.

Name:

Effective Date: (MM/DD/YYYY)

9. Industry Type

- Mortgage
- Consumer Finance
- Debt
- Money Services

10. State **Forced Name?**

<input type="checkbox"/> Alabama	<input type="checkbox"/>
<input type="checkbox"/> Alaska	<input type="checkbox"/>
<input type="checkbox"/> Arizona	<input type="checkbox"/>
<input type="checkbox"/> Arkansas	<input type="checkbox"/>

11. Click the **Save** button.
12. Click the **Attest and Submit** link from the left navigation panel.
13. If all completeness checks pass, review the attestation language, then attest and submit.

Legal Status (Formation State, Formation Country/Province, Formation Date, Legal Status)

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

CMG Mortgage, Inc. (1820) MU1 filing created 5/25/2016 by GradyA4. Total Charges: \$0.00

! This filing was created more than 60 days ago. Please review the information and ensure that it is accurate before you submit.

Fiscal year end: 12/31 (MM/DD)
If publicly traded, please insert stock symbol: _____

Formation State: California
Formation Country / Province: United States
Formation Date: 07/28/1993
Legal Status: Corporation
Description: _____

Do you want to amend your legal status?
If yes, check here:

New Formation State: _____
New Formation Country / Province: _____
New Formation Date: _____ (MM/DD/YYYY)
Indicate legal status:
 Corporation
 Limited Liability Company
 General Partnership
 Limited Partnership
 Limited Liability Partnership
 Limited Liability Limited Partnership
 Not For Profit Corporation
 Sole Proprietorship
 Trust
 Other

If Legal Status is Other, then briefly describe: _____

Effective Date: _____ (MM/DD/YYYY)

Amendment
ACN

Save

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Legal Status** link from the left navigation panel.

6. Select the checkbox, answering “yes” to *Do you want to amend your legal status?*

Legal Status

BaileysNewHomes (1091) MU1 filing created 5/13/2013 by BaileyW. ?? HELP

Total Charges: \$0.00

Fiscal year end: 12/31 (MM/DD)

If publicly traded, please insert stock symbol: BNS1

Formation State: Maryland


Formation Country / Province: United States

Formation Date: 01/01/1902

Legal Status: Corporation

Description:

Do you want to amend your legal status?

6. If yes, check here: 

7. Enter your entity’s new Formation State, Formation Country/Providence, Formation Date, and/or Legal Status.

8. Enter the change’s Effective Date.

Do you want to amend your legal status?

If yes, check here: **7.**

New Formation State:

New Formation Country / Province:

New Formation Date: (MM/DD/YYYY)

Indicate legal status:

- Corporation
- Limited Liability Company
- General Partnership
- Limited Partnership
- Limited Liability Partnership
- Limited Liability Limited Partnership
- Not For Profit Corporation
- Sole Proprietorship
- Trust
- Other

If Legal Status is Other, then briefly describe:

8. Effective Date: (MM/DD/YYYY)

9. Click the **Save** button.

10. Click the **Attest and Submit** link from the left navigation panel.

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

Affiliates/Subsidiaries

The image below highlights the sections of the Modify Affiliate/Subsidiary screen that trigger an ACN.

The screenshot shows the 'Modify Affiliate/Subsidiary' form. The title 'Modify Affiliate/Subsidiary' is at the top left. A 'HELP' button is at the top right. Below the title, there is a instruction: 'Provide the updated information below for the company identified as an affiliate/subsidiary. An effective date must be provided for changes made to the control relationship.' The form is divided into several sections. The first section, highlighted in yellow, contains 'Affiliate/Subsidiary Name: SunTrust Bank' and 'Control Relationship: Affiliate (Under Common Control)'. Below this is a section titled 'Do you want to amend the Control Affiliate?' with a checked checkbox 'If yes, check here:'. This section also contains input fields for 'Affiliate/Subsidiary Name:', 'Control Relationship:' (a dropdown menu), and 'Effective Date:' (with a '(MM/DD/YYYY)' format hint). To the right of this section is a yellow button labeled 'ACN' and a blue button labeled 'Amendment'. Below these is a blue section with address and contact information: 'Number and Street: 303 Peachtree Street', 'City: Atlanta', 'State: Georgia' (dropdown), 'Country / Province: United States' (dropdown), 'Postal Code: 30308', and a 'Description:' text area. At the bottom of the form are 'Save' and 'Cancel' buttons.

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Affiliates/Subsidiaries** link from the left navigation panel.
6. Click the **Add** button.
7. To search for the company, enter the Name, NMLS # or Federal Tax ID and click the **Search** button.
8. Click the company's name.

9. Select the Control Relationship from the drop-down menu.
10. Enter the change's Effective Date.
11. Enter a Description.
12. Click the **Save** button.

Add Affiliate/Subsidiary

BaileysNewHomes (1091) MU1 filing created 5/13/2013 by BaileyW. HELP

Total Charges: \$0.00

Provide the information requested below for the company being identified as an affiliate/subsidiary.

Entity ID: 14799

Affiliate/Subsidiary Name: Rainy Days Mortgage, LLC.

Number and Street: 800 12th Avenue

City: Worcester

State: South Carolina

Country / Province: United States

Postal Code: 58692

Control Relationship: 9.

Effective Date: 10. (MM/DD/YYYY)

Description: 11.

12.

13. Click the **Attest and Submit** link from the left navigation panel.
14. If all completeness checks pass, review the attestation language, then attest and submit.

Direct Owners/Executive Officers

The image below highlights the sections of the Modify Direct Owner or Executive Officer screen that trigger an ACN.

Modify Direct Owner or Executive Officer

Provide the updated information below for the individual or company identified as a direct owner, executive officer, or control person. An effective date must

Entity ID: [REDACTED]
Full Legal Name: [REDACTED]
Title: Chief Executive Officer, Chairman, President
Percentage of Ownership: 0
Do you want to amend the Percentage of Ownership?
If yes, check here:
Percentage of Ownership: [REDACTED]
Effective Date: [REDACTED] (MM/DD/YYYY)
Individual or Company: Company Individual
ACN
Amendment
Save Cancel

1. Log in to your company NMLS account.
2. Click the Filing tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click **Direct Owners/Executive Officers** from the left navigation panel.
6. Click the **Add Individual** or **Add Company** button, as appropriate.
7. If searching for an individual, enter their Name or their NMLS ID#. If you are searching for a company, enter their Name, NMLS # or Federal Tax ID, then click the **Search** button.
8. Click the entity's name/NMLS ID.
9. Enter the entity's Title, Percentage of Ownership and Stock Symbol (only if the entity is a company).

NOTE: To remove an owner, you must first amend their Percentage of Ownership to 0% with an applicable effective date for the change. The owner may be deleted upon implementation of the change of ownership percentage.

10. Enter the change's Effective Date.

NOTE: The effective dates for adding a new owner's percentage of ownership and removing an existing owner and associated percentage must be the same in cases where the addition of a new owner and percentage will add to greater than 100% during the pending period prior to the effective date.

11. Click the **Save** button.

12. Click the **Attest and Submit** link from the left navigation panel.

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

Indirect Owners

The image below highlights the sections of the Modify Indirect Owner screen that trigger an ACN.

The screenshot shows the 'Modify Indirect Owner' form. The title is 'Modify Indirect Owner'. Below the title, there is a brown header bar. The main content area contains instructions: 'Provide the information requested below for the individual or company being identified as an indirect owner of your company. An effective date must be provided when changes are made to the Equity Owner, Percentage of Ownership, or the Control Person Selection. Ownership Type examples include: partner, trustee, indirect owner, shareholder, etc. The Equity Owner is the company in which the ownership interest is held. An MU2 form must be completed for all Individuals identified as control persons.' There are several input fields: 'Full Legal Name' (SunTrust Banks, Inc.), 'Ownership Type' (Holding Company), 'Stock Symbol' (STI), and 'SSN or EIN' (10-4509191). Below these, there are two highlighted yellow sections. The first section is titled 'Equity Owner in Which Interest is Held: SunTrust Bank' and contains 'Percentage of Ownership: 100' and 'Control Person: No'. The second section is titled 'Do you want to amend the Indirect Owner's Record?' and contains 'If yes, check here: ', 'Equity Owner in Which Interest is Held:', 'Percentage of Ownership:', 'Control Person: Yes No', and 'Effective Date: (MM/DD/YYYY)'. To the right of these sections, there are two buttons: a yellow 'ACN' button and a blue 'Amendment' button. At the bottom of the form, there are radio buttons for 'Individual or Company: Company Individual' and 'Save' and 'Cancel' buttons.

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.

5. Click the **Indirect Owners** link from the left navigation panel.
6. Click the **Add Individual** or **Add Company** button, as appropriate.
7. If searching for an individual, enter their Name or their NMLS ID#. If you searching for a company, enter their Name, NMLS # or Federal Tax ID, then click the **Search** button.
8. Click the entity's name/NMLS ID.
9. Enter the Ownership Type, Equity Owner in Which Interest is Held, Percentage of Ownership, and identify whether an individual is a Control Person.

NOTE: To remove an indirect owner, you must first amend their Percentage of Ownership to 0% with an applicable effective date for the change. The indirect owner may be deleted upon implementation of the change of ownership percentage.

10. Enter the change's Effective Date.

NOTE: The effective dates for adding a new indirect owner's percentage of ownership and removing an existing owner and associated percentage must be the same in cases where the addition of a new owner and percentage will add to greater than 100% during the pending period prior to the effective date.

11. Click the **Save** button.
12. Click the **Attest and Submit** link from the left navigation panel.
13. If all completeness checks pass, review the attestation language, then attest and submit.

Qualifying Individuals

The image below highlights the sections of the Modify Qualifying Individual screen that trigger an ACN.

Modify Qualifying Individual

Provide the information requested below for the Qualifying Individual. The current column reflects the current value, and the change column reflects the change.

Entity ID:

Full Legal Name:

Title:

Business Address:

City:

State:

Country / Province:

Postal Code:

Industry Type(s): Mortgage

State(s): California, Illinois, Indiana, Kansas, Maine, Massachusetts, Michigan, New Hampshire

Do you want to amend the Industry Type(s) or State(s)?

If yes, check here:

Current Industry Type	Effective Date (MM/DD/YYYY)
<input checked="" type="checkbox"/> Mortgage	<input type="text"/>
<input type="checkbox"/> Consumer Finance	<input type="text"/>
<input type="checkbox"/> Debt	<input type="text"/>
<input type="checkbox"/> Money Services	<input type="text"/>

Current State	Effective Date (MM/DD/YYYY)
<input type="checkbox"/> Alabama	<input type="text"/>
<input type="checkbox"/> Alaska	<input type="text"/>
<input type="checkbox"/> Arizona	<input type="text"/>
<input type="checkbox"/> Arkansas	<input type="text"/>
<input checked="" type="checkbox"/> California	<input type="text"/>
<input type="checkbox"/> Colorado	<input type="text"/>
<input type="checkbox"/> Connecticut	<input type="text"/>

ACN

Amendment

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click the **Qualifying Individuals** link from the left navigation panel.
6. Click the **Save** button.
7. To search for the individual, enter their Name or NMLS ID #, then click the **Save** button.
8. Click individual's NMLS ID # in the search results.
9. Enter the Qualifying Individual's Title and Business Address.
10. Enter the change's Effective Date.
11. Select the Industry Type.
12. Select the State(s) for which the individual will be serving as a Qualifying individual.

Add Qualifying Individual

BaileysNewHomes (1091) MU1 filing created 5/13/2013 by BaileyW. ? HELP

Total Charges: \$0.00

Provide the information requested below for the Qualifying Individual, including applicable industry type(s) and state(s). In addition an [MU2 form](#) must be completed for each Qualifying Individual.

Entity ID: 1103

Full Legal Name: Bailey, William 9.

Title:

Business Address:

City:

State:

Country / Province:

Postal Code:

Effective Date: (MM/DD/YYYY) 10.

Industry Type 11.

Mortgage

Consumer Finance

Debt

Money Services

State 12.

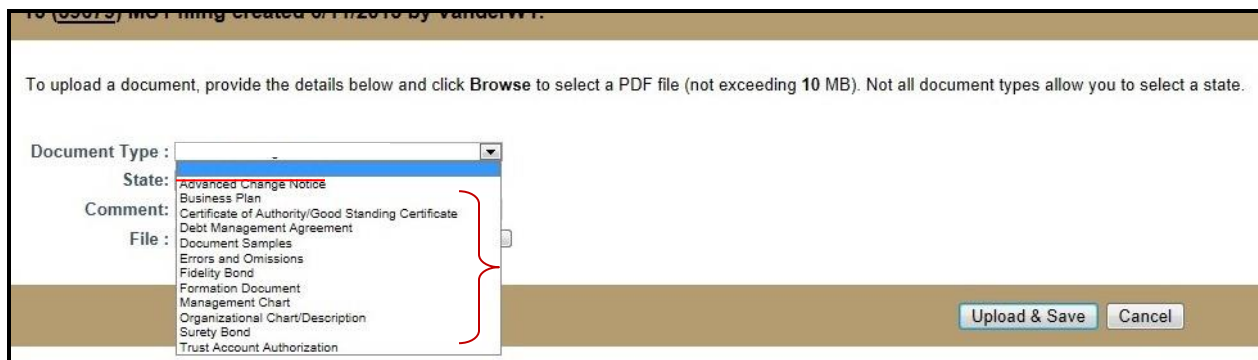
Alabama

Alaska

13. Click the **Save** button.
14. Click the **Attest and Submit** link from the left navigation panel.
15. If all completeness checks pass, review the attestation language, attest and submit.

Standard Amendment Document Uploads

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the sub-menu.
4. Click the **Create New Filing** button.
5. Click **Document Uploads** from the left navigation panel.
6. Click the **Add** button.
7. Select the Document Type.



The screenshot shows a web form for document uploads. At the top, there is a header with the text "To [63079] [63079] [63079] created 01/11/2016 by vanderw...". Below the header, a message states: "To upload a document, provide the details below and click **Browse** to select a PDF file (not exceeding 10 MB). Not all document types allow you to select a state." The form contains several fields: "Document Type:" with a dropdown menu, "State:" with a dropdown menu, "Comment:" with a text input field, and "File:" with a "Browse" button. A red bracket highlights the "Document Type" dropdown menu, which is open and shows a list of document types: "Advanced Change Notice", "Business Plan", "Certificate of Authority/Good Standing Certificate", "Debt Management Agreement", "Document Samples", "Errors and Omissions", "Fidelity Bond", "Formation Document", "Management Chart", "Organizational Chart/Description", "Surety Bond", and "Trust Account Authorization". At the bottom right of the form, there are two buttons: "Upload & Save" and "Cancel".

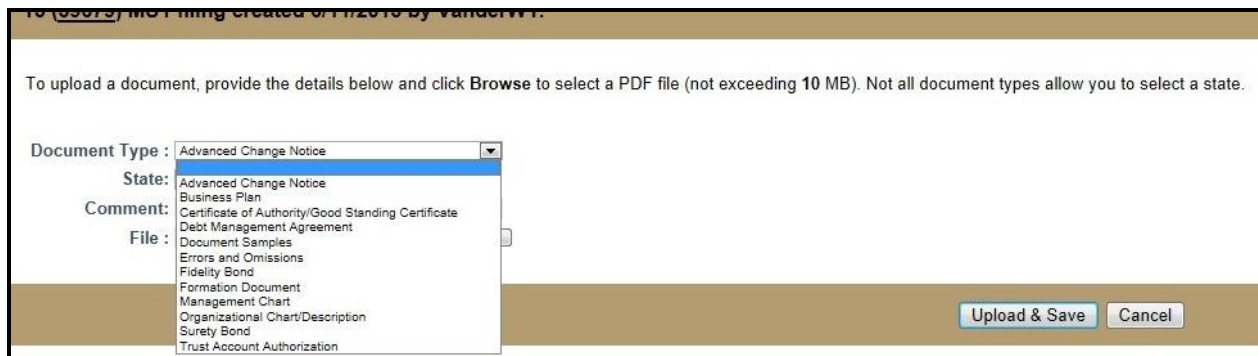
NOTE: Only select “Advance Change Notice” as the Document Type for changes requiring ACN. See below (Document Uploads for ACN Events) for further instruction.

8. Enter a Comment related to the file as needed.
9. Browse for the file and click the **Upload & Save** button.

Advance Change Notice Document Uploads

10. Log in to your company NMLS account.
11. Click the **Filing** tab.

12. Click the **Company (MU1)** link in the sub-menu.
13. Click the **Create New Filing** button.
14. Click the **Document Uploads** link on the left navigation panel.
15. Click the **Add** button.
16. Select the “Advance Change Notice” Document Type.



The screenshot shows a web form for document upload. At the top, there is a header bar with the text "To [63079] [63079] filing created 9/17/2016 by vanderw...". Below the header, a message reads: "To upload a document, provide the details below and click **Browse** to select a PDF file (not exceeding 10 MB). Not all document types allow you to select a state." The form contains several fields: "Document Type" (a dropdown menu with "Advanced Change Notice" selected), "State" (a dropdown menu with "Advanced Change Notice" selected), "Comment" (a text input field), and "File" (a text input field with a "Browse" button). A list of document types is visible in a dropdown menu, including: "Advanced Change Notice", "Business Plan", "Certificate of Authority/Good Standing Certificate", "Debt Management Agreement", "Document Samples", "Errors and Omissions", "Fidelity Bond", "Formation Document", "Management Chart", "Organizational Chart/Description", "Surety Bond", and "Trust Account Authorization". At the bottom right of the form, there are two buttons: "Upload & Save" and "Cancel".

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.

17. Enter a Comment related to the file as needed.
18. Browse for the file and click the **Upload & Save** button.