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:

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.
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.

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?*

7. Enter your entity’s new name.

8. Enter the change’s Effective Date.

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.

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?

7. Enter your entity’s new address.

8. Enter the change’s Effective Date.

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.

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).

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.

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](image1)

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

8. Enter the change’s Effective Date.

![Effective Date](image2)

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.

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.

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.

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.

![Modify Indirect Owner](image)

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.
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.
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.

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.

17. Enter a Comment related to the file as needed.

18. Browse for the file and click the **Upload & Save** button.

**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 resubmitted 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.