



## CT Exempt Registration Amendment Checklist (Company)

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**Section 36a-486** of the Connecticut General Statutes requires activity subject to licensure to be conducted at an office in a state, as defined in section 36a-2. State means any state of the United States, the District of Columbia, any territory of the United States, Puerto Rico, Guam, American Samoa, the trust territory of the Pacific Islands, the Virgin Islands and the Northern Mariana Islands.

### CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

### GENERAL INFORMATION

#### Instructions

The CT Department of Banking does not require advance notice for any changes for Exempt Registrants. Make the changes in NMLS as of the effective date and submit supporting documentation as instructed below.

#### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS Document Uploads section. If you are required to upload documents for an amendment that does not require ACN, select the applicable document type in the NMLS Document Uploads section.

**Note:** Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

#### Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

#### Agency Contact Information

Contact Consumer Credit licensing staff by phone at (860) 240-8225 or send your questions via email to [dob.ccl@ct.gov](mailto:dob.ccl@ct.gov) for additional assistance.

#### *For U.S. Postal Service and Overnight Delivery:*

*CT Department of Banking  
Consumer Credit Division  
260 Constitution Plaza  
Hartford, CT 06103*

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

## AMENDMENTS

- [Change of Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Change of Disclosure Question\(s\)](#)
- [Change in Surety Bond Provider](#)

**Note:** Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

Complete	CT Exempt Registrant Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.	Electronic Surety Bond in NMLS
<input type="checkbox"/>	<b>Formation Documents:</b> <ul style="list-style-type: none"> <li>If a corporation, upload to NMLS the amended Corporate Charter or amended Articles of Incorporation</li> <li>If a Limited Liability Company, the amended Articles of Organization and Operating Agreement; and</li> <li>If a partnership of any form, the amended Partnership Agreement.</li> </ul>	<b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Secretary of the State:</b> Amend your entity's record with the Connecticut Secretary of the State (if applicable).	N/A
Complete	CT Exempt Registration Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an amendment for a change of Main Address through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Secretary of the State:</b> Amend your entity's record with the Connecticut Secretary of the State (if applicable).	N/A
Complete	CT Exempt Registrant Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
Complete	CT Exempt Registrant Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.  Upload complete details of all events or proceedings for each answer amended to "Yes" in response to the Disclosure Questions for the Company on NMLS Company Form. Upload copies of any applicable orders or supporting documents into appropriate Disclosure Explanations sections. Include official court documents for any felony or misdemeanor conviction(s) and all related documents for any outstanding judgment(s) or lien(s) including evidence of payment. For situations in which a disclosure question response is being amended from "Yes" to "No", a brief explanation for the amendment should be submitted directly to the Department.	NMLS