CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Wyoming Collection Agency Board requires advance notification for some changes. See the checklist below for details.

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 doesn't require ACN, select the applicable document type in the NMLS Document Uploads section.

Note: Use the recommended filing naming convention found on the <u>Document Upload Descriptions and Examples</u>.

Helpful Resources

- Amendments & Advance Change Notice
- Document Uploads Quick Guide
- Document Upload Descriptions and Examples

Agency Contact Information

Contact <u>Wyoming Division of Banking</u> licensing staff by phone at <u>(307) 777-3497</u> or send your questions via email to <u>wycollectionagencyboard@wyo.gov</u> for additional assistance.

For U.S. Postal Service and Overnight Delivery:

Wyoming Department of Audit Collection Agency Board 2300 Capitol Avenue, 2nd Floor Cheyenne, WY 82002

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.

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AMENDMENTS

- Change of Legal Name
- Change of Main Address
- Addition or Modification of Other Trade Name
- Deletion of Other Trade Name
- Change of Legal Status
- Addition or Modification of Affiliates/Subsidiaries
- Addition or Modification of Direct Owners/Executive Officers
- Addition or Modification of Indirect Owners
- Change of Disclosure Question(s)

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.

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NMLS ID Number	
Licensee Legal Name	

Complete	WY Collection Agency License	Submitted via
	Change of Legal Name Amendment Items	
	Change of Legal Name: Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
Note	Change of Legal Name Fee: \$0 per license	N/A
	Surety Bond Rider: Licensees may submit their surety bond to Wyoming in one of the ways listed below.	Electronic Surety Bond in NMLS
	1. For the Electronic Surety Bond, 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 ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.	Or; Upload in NMLS: under the Document Type Surety Bond – Alternate Security Device in the
	 For the Surety Bond – Alternate Security Device, contact the Wyoming State Treasurer's office to inform them of the change and effective date so they can update their records. This document should be uploaded in NMLS under the Document Type – Surety Bond – Alternate Security Device in the Document Uploads section of the Company Form (MU1). This document should be named [License Type] Security Device. 	Document Uploads section of the Company Form (MU1).
Note	Certificate of Authority/Good Standing Certificate: The Wyoming Secretary of State's Office must also be notified of this change.	N/A
	Formation Documents: Formation Documents must be submitted related to this change type. Determine classification of applicant's legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments, thereto including a list of any name changes.	Upload in NMLS: under the Document Type Formation Document in the Document Uploads section of the Company Form (MU1).
	Sole Proprietor Unincorporated Association: By-Laws or constitution (including all amendments). General Partnership: Partnership Agreement (including all amendments). Limited Liability Partnership: Certificate of Limited Liability Partnership; and Partnership Agreement (including all amendments). Limited Partnership: Certificate of Limited Partnership; and Partnership Agreement (including all amendments).	

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Complete	WY Collection Agency License	Submitted via
	Change of Legal Name Amendment Items	
	Limited Liability Limited Partnership: Certificate of Limited Liability Limited Partnership; and Partnership Agreement (including all amendments). Limited Liability Company ("LLC"): Articles of Organization (including all amendments); Operating Agreement (including all amendments); IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and LLC resolution if authority not in operating agreement. Corporation: Articles of Incorporation (including all amendments); By-laws (including all amendments), if applicable; Shareholder Agreement (including all amendments), if applicable; IRS Form 2553 if S-corp treatment elected; and Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. Not for Profit Corporation Documents requested of a Corporation; and Proof of nonprofit status Internal Revenue Service ("IRS") 501(c)(3) designation letter; or statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating within the State; and (ii) no part of the entity's net earnings may lawfully benefit any private shareholder or individual; or entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate. Trust (Statutory)	
	Certificate of Trust; andGoverning instrument (all amendments).	
	Return Original License: Company is required to return its license to this	Mail to Wyoming
	agency.	Division of Banking

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Complete	WY Collection Agency License Change of Main Address Amendment Items	Submitted via
	Change of Main Address: Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
Note	Change of Main Address: \$0 per license	N/A
Note	Certificate of Authority/Good Standing Certificate: The Wyoming Secretary of State's Office must also be notified of this change.	N/A

Complete	WY Collection Agency License Addition or Modification of Other Trade Name Amendment Items	Submitted via
	Addition or Modification of Other Trade Name: Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days' must be provided for this change.	NMLS
Note	Addition of Other Trade Name \$0 per license.	N/A
	 Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type. Registration Certificate is the Certificate of Authority for each dba from the Wyoming Secretary of State. 	Upload in NMLS: under the Document Type Trade Name/Assumed Name Registration Certificates in the Document Uploads section of the Company Form (MU1).

Complete	WY Collection Agency License Deletion of Other Trade Name Amendment Items	Submitted via
	Deletion of Other Trade Name: Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days' must be provided for this change.	NMLS

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Complete	WY Collection Agency License Change of Legal Status Amendment Items	Submitted via
Note: In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).		
	Change of Legal Status: Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 60 Days' must be provided for this change.	NMLS
Note	Certificate of Authority/Good Standing Certificate: The Wyoming Secretary of State's Office must also be notified of the legal status change.	N/A

Complete	WY Collection Agency License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via
	Addition or Modification of Affiliates/Subsidiaries: Submit an ACN for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS. 60 Days' notice must be provided for this change.	NMLS

Complete	WY Collection Agency License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via
	Addition or Modification of Direct Owners/Executive Officers: Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. 60 Days' notice must be provided for this change.	NMLS
	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
	Credit Report: Individuals in a position of <u>control</u> are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.	NMLS

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Complete	WY Collection Agency License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via
	FBI Criminal Background Check for MU2 Individual: \$36.25 per person.	NMLS (Filing submission)
	MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS. Direct Owners	NMLS
	Any person occupying this position would be a control person for the company and would be required to submit a CBC. Executive Officers	
	 Any person occupying this position would be a control person for the company and would be required to submit a CBC. 	
	After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.	
	See the <u>Criminal Background Check section</u> of the NMLS Resource Center for more information.	
	Note: If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.	

Complete	WY Collection Agency License Addition or Modification of Indirect Owners Amendment Items	Submitted via
	Addition or Modification of Indirect Owners: Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 60 Days' notice must be provided for this change.	NMLS
	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
	Credit Report: Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.	NMLS

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Complete	WY Collection Agency License Addition or Modification of Indirect Owners Amendment Items	Submitted via
	FBI Criminal Background Check for MU2 Individual: \$36.25 per person.	NMLS (Filing submission)
	MU2 Individual FBI Criminal Background Check Requirements: When added to the Company Form (MU1), Indirect Owners, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.	NMLS
	Indirect Owners	
	 Any person occupying this position would be a control person for the company and would be required to submit a CBC. 	
	After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.	
	See the <u>Criminal Background Check section</u> of the NMLS Resource Center for more information.	
	Note: If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.	

Complete	WY Collection Agency License Change of Disclosure Question(s) Amendment Items	Submitted via
	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
	Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from "No" to "Yes" for company or each control person. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the Disclosure Explanations section of the Company Form (MU1) or Individual Form (MU2).
	Changing a Response from Yes to No: When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason. You must select "Add Explanation for "No" Responses" and provide an explanation for each response that changes from "Yes" to "No" for company or each control person. You must also upload a document (PDF) related to the explanation. See the Company Disclosure Explanations Quick Guide for instructions.	NMLS

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