



# WI Adjustment Service Company Branch License Amendment Checklist (Branch)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

Wisconsin Department of Financial Institutions' (WDFI) administrative rules requires that all material information be kept current, and material changes be made in NMLS within 10 days of the change. WDFI does not require advance notice for any changes, but 30 days advance notice is recommended and appreciated.

### 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 [Document Upload Descriptions and Examples](#)

### Helpful Resources

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

### Agency Contact Information

Contact DFI's Division of Banking at 608-261-7578 or send your questions via e-mail to [nancy.schreiber@wisconsin.gov](mailto:nancy.schreiber@wisconsin.gov) for additional assistance.

#### For U.S. Postal Service:

Wisconsin Department of Financial Institutions  
Division of Banking  
PO Box 7876  
Madison, WI 53707-7876

#### For Overnight Delivery:

Wisconsin Department of Financial Institutions  
Division of Banking  
North Tower  
4822 Madison Yards Way  
Madison, WI 53705

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 Branch Address](#)
  - Change of Branch Address: \$200 per license if moving to a different city, village or town
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Branch Manager](#)
- [Change of Branch Manager 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 submission through the NMLS.

<b>NMLS ID Number</b> (Company)	
<b>NMLS ID Number</b> (Branch)	
<b>Licensee Legal Name</b>	

<b>Complete</b>	<b>WI Adjustment Service Company Branch License</b> <b>Change of Branch Address Amendment Items</b>	<b>Submitted via...</b>
<input type="checkbox"/>	<b>Change of Branch Address:</b> Submit an amendment for a change of Branch Address through the Branch Form (MU3) in NMLS.	<b>NMLS</b>
<b>Note</b>	<b>Change of Branch Address:</b> \$0 per license * Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE. *Upon review of the submitted filling, if the change of address was to a different city, village or town, WDFI will invoice the licensee \$200 through NMLS.	<b>N/A</b>
<input type="checkbox"/>	<b>Business Activity:</b> Send a statement as to whether the office or reception area is shared with any other business entity. If shared, identify each business entity and describe the nature of the business conducted. If no, state "No other business will be conducted."	<b>Email response to</b> <b>DFI_LFS@dfi.wisconsin.gov</b>

<b>Complete</b>	<b>WI Adjustment Service Company Branch License</b> <b>Addition or Modification of Other Trade Name Amendment Items</b>	<b>Submitted via...</b>
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition or change to an Other Trade Name through the Branch Form (MU3) in NMLS. <b>Note:</b> When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1). WDFI does not allow more than five of trade names.	<b>NMLS</b>
<b>Note</b>	<b>Addition of Other Trade Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<b>Surety Bond.</b> Upload and mail an original rider to the adjustment service company bond identifying the change to the Other Trade Name. This document should be named <i>WI Adjustment Service Company [Effective Date] Surety Bond Rider</i> .	<b>Upload in NMLS:</b> under <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). <b>AND</b>

Complete	WI Adjustment Service Company Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
		Mail to WDFI

Complete	WI Adjustment Service Company Branch License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS.  <b>Note:</b> If the Other Trade Name being deleted from the Branch Form (MU3) will no longer be in use by the company, it must also be deleted from the Company Form (MU1).	NMLS
<input type="checkbox"/>	<b>Surety Bond.</b> Upload and mail an original rider to the adjustment service company bond identifying the change to the Other Trade Name.  This document should be named <i>WI Adjustment Service Company [Effective Date] Surety Bond Rider</i> .	<b>Upload in NMLS:</b> under <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).  <b>AND</b>  <b>Mail to WDFI</b>

Complete	WI Adjustment Service Company Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Branch Manager:</b> Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.	NMLS
Note	<b>Change of Branch Manager Fee:</b> \$0 per license  Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A

Complete	WI Adjustment Service Company Branch License Change to Branch Manager 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 Branch Manager's Individual Form (MU2) in NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from "No" to "Yes" for the Branch Manager.  See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).
<input type="checkbox"/>	<b>Changing a Response from Yes to No:</b> When changing a Disclosure Question response from Yes to No for the Branch Manager, 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 the Branch Manager. You may also upload a document (PDF) related to the explanation.  See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.	<b>NMLS</b>