



Alaska Mortgage Broker/Lender License Amendment Checklist (Company)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Alaska Division of Banking & Securities 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 [Document Upload Descriptions and Examples](#).

Helpful Resources

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

Agency Contact Information

Contact [Alaska Division of Banking & Securities](#) licensing staff by phone at [\(907\) 465-6339](tel:9074656339) or send your questions via email to mortgagelending@alaska.gov for additional assistance.

For U.S. Postal Service:

*State of Alaska, Department of Commerce,
Community & Economic Development
Division of Banking & Securities
P.O. Box 110807
Juneau, Alaska 99811-0807*

For Overnight Delivery:

*State of Alaska, Department of Commerce,
Community & Economic Development
Division of Banking & Securities
333 Willoughby Avenue, 9th Floor
State Office Building
Juneau, Alaska 99801*

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 Legal Name: \$100 per license
- [Change of Main Address](#)
 - Change of Main Address: \$50 per license
- [Modification of Other Trade Name](#)
 - Addition of Other Trade Names: \$50 per license
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
 - Change of Control Person: \$300 per control person added
 - Change of Ownership: \$300 per license
 - FBI Criminal Background Check for MU2 Individual: \$36.25 per person.
- [Addition or Modification of Indirect Owners](#)
 - Change of Indirect Ownership (10% interest or more): \$300
 - FBI Criminal Background Check for MU2 Individual: \$36.25 per person.
- [Addition or Modification of Qualifying Individuals](#)
- [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.

Complete	Alaska Mortgage Broker/Lender License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	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
<input type="checkbox"/>	Change of Legal Name Fee: \$100 per license AS 06.60.130(b); 3 AAC 14.920(c) Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Filing submission)
<input type="checkbox"/>	Surety Bond Rider: 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 for more information. Note: Changes in other trade names could affect the amount required for the surety bond. If there are changes in the company's other trade names, contact the surety bond producer to update the surety bond rider.	Electronic Surety Bond in NMLS
<input type="checkbox"/>	Secretary of State/Municipality Documentation: Corporations; provide a Certificate of Good Standing dated not more than 30 days from the filing of this application issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing. Filed name must match the domicile state name change documents, amended NMLS Company Form and the surety bond rider. <ul style="list-style-type: none"> a. Limited liability company; provide a copy of a Certificate of Good Standing or a Certificate of Registration dated not more than 30 days from the filing of this application issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing. b. Limited partnership; provide a Certificate of Good Standing for the Limited Partnership from the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing. c. General partnership; provide a valid Business License for the General Partnership from the State of Alaska. 	Upload in NMLS: under the Document Type <u>Certificate of Authority/Good Standing Certificate</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	Corporate or Organization Legal Documents: Submit certified copies of the corporate or organizational legal documents authorizing the change in legal name that has been filed in the entity's domicile state.	Upload in NMLS: under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	Alaska Mortgage Broker/Lender License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	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
<input type="checkbox"/>	Change of Main Address: \$50 per license AS 06.60.115; 3 AC 14.920(a)(b) Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
Note: Alaska Mortgage Broker/Lender Licensees are prohibited from using more than one trade name, fictitious name, or DBA for each license obtained. Therefore, please be advised that applicants may only list <u>one name</u> in the <i>Other Trade Names</i> section on the Company Form (MU1) for each license obtained for Alaska.		
<input type="checkbox"/>	Addition of Other Trade Name: Submit an ACN for an addition of an Other Trade Name through the Company Form (MU1) in NMLS. 30 days must be provided for this change. Alaska does not accept modifications to Other Trade Names, and requires an additional Other Trade Name license for each new trade name. Please refer to the Alaska Mortgage Broker/Lender License New Application Checklist for instructions. Note: Alaska requires a separate license for each Other Trade Name added. When adding an Other Trade Name, licensee must apply for a separate Alaska Mortgage Broker/Lender License-Other Trade Name # license. This new license must be requested in the <i>License/Registration</i> section of the Company Form (MU1).	NMLS
<input type="checkbox"/>	Addition of Other Trade Name \$50 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Filing submission)
<input type="checkbox"/>	Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type. Submit a file-stamped copy of the Certificate of Assumed Business name issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing.	Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	Corporate or Organization Legal Documents: Submit certified copies of the corporate or organization legal documents authorizing the change of assumed business name/other trade name.	Upload in NMLS: under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
Note	<p>Electronic Surety Bond: Please note, other trade names/dba's are NOT required to be listed on the ESB.</p> <p>However, changes in other trade names could affect your bond requirements.</p> <p>Electronic Surety Bond via NMLS in the amount of \$75,000 furnished and submitted by a surety company authorized to conduct business in Alaska for each Alaska Mortgage Broker/Lender License, including any Alaska Mortgage Broker/Lender License-Other Trade Name #. See the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p>	N/A

Complete	Alaska Mortgage Broker/Lender License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Alaska requires a separate license for each Other Trade Name added. When deleting an Other Trade Name, licensee must request to surrender the appropriate Alaska Mortgage Broker/Lender License-Other Trade Name # license. This surrender must be requested in the <i>License/Registration</i> section of the Company Form (MU1).</p>	NMLS

Complete	Alaska Mortgage Broker/Lender License Change of Legal Status Amendment Items	Submitted via...
<p>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).</p>		
<input type="checkbox"/>	<p>Change of Legal Status: Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 30 days' notice must be provided for this change.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Secretary of State/Municipality Documentation: Corporations; provide a Certificate of Good Standing dated not more than 30 days from the filing of this application issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing. Filed name must match the domicile state name change documents, amended NMLS Company Form and the surety bond rider.</p> <p>d. Limited liability company; provide a copy of a Certificate of Good Standing or a Certificate of Registration dated not more than 30 days from the filing of this application issued by the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing.</p> <p>e. Limited partnership; provide a Certificate of Good Standing for the Limited Partnership from the State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing.</p> <p>f. General partnership; provide a valid Business License for the General Partnership from the State of Alaska.</p>	<p>Upload in NMLS: under the Document Type <u>Certificate of Authority/Good Standing Certificate</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Corporate or Organization Legal Documents: Submit certified copies of the corporate or organizational legal documents authorizing the change in legal name that has been filed in the entity's domicile state.</p>	<p>Upload in NMLS: under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</p>	<p>NMLS</p>

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	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. 30 days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Change of Ownership: \$300 per license AS 06.60.130; 06.60.990 (3)(B); 3 AAC 14.434 Note: The company will be invoiced through NMLS after a 30-day Advanced Change Notice amendment has been filed and reviewed. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	Change of Control Person: \$300 per control person added AS 06.60.130; 06.60.990 (3)(4); 3 AAC 14.434 Note: The company will be invoiced through NMLS after a 30-day Advanced Change Notice amendment has been filed and reviewed. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	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
<input type="checkbox"/>	Credit Report Explanations: Submit a line by line, detailed letter of explanation of all derogatory credit accounts along with proof of payoffs, payment arrangements and evidence of payments made, or evidence of any formal dispute filed (documents must be dated). Accounts to address include, but are not limited to: collections items, charge offs, accounts currently past due, accounts with serious delinquencies in the last 3 years, repossessions, loan modifications, etc. Note: Items regarding bankruptcy, foreclosure actions, outstanding judgments or liens, or delinquent child support payments should be addressed in the <i>Disclosure Explanations</i> section of your Individual Form (MU2). This document should be named <i>Credit Report Explanations – Sub Name – Document Creation Date</i> .	Upload in NMLS: under the Document Type Credit Report Explanations in the <i>Document Uploads</i> section of the Individual Form (MU2).
<input type="checkbox"/>	Change in Ownership Documents: Submit the follow applicable information related to the change in ownership. <ul style="list-style-type: none">• Applicable purchase and sales agreements• Merger agreements• Consent to change in ownership agreements• Detailed written description of the effect, if any, to the Alaska licensee(s)	Upload in NMLS: under Advance Change Notice in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
	<p>This document should be named <i>ACN – Alaska – Change of Ownership</i>.</p> <p>Note: The information described above should be uploaded as one PDF document.</p>	
<input type="checkbox"/>	<p>Organizational Chart/Description: Submit a revised/amended organizational structure chart.</p>	<p>Upload in NMLS: under <u>Organizational Chart/Description</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p>	<p>NMLS (Filing submission)</p>
<input type="checkbox"/>	<p>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.</p> <p><i>Direct Owners</i></p> <ul style="list-style-type: none"> The definition can be found in AS 06.60.990 (3) (4). 10% ownership or over are required to submit CBC. Those under 10% ownership are not required. <p><i>Executive Officers</i></p> <ul style="list-style-type: none"> —The definition can be found in AS 06.60.990 (3)(A), (4) where certain positions are required to submit CSC. <p>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.</p> <p>See the Criminal Background Check section of the NMLS Resource Center for more information.</p> <p>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.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Management Chart: Submit an updated management chart showing new control person’s role within the organization.</p>	<p>Upload in NMLS: under <u>Management Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Indirect Owners: Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 30 days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Change of Ownership (10% Interest or More): \$300 per license AS 06.60.130; 06.60.990 (3)(B); 3 AAC 14.434 Note: The company will be invoiced through NMLS after a 30-day Advanced Change Notice amendment has been filed and reviewed. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	Change in Ownership Documents: Submit the follow applicable information related to the change in ownership. <ul style="list-style-type: none"> • Applicable purchase and sales agreements • Merger agreements • Consent to change in ownership agreements • Detailed written description of the effect, if any, to the Alaska licensee(s) This document should be named <i>ACN – Alaska – Change of Ownership</i> . Note: The information described above should be uploaded as one PDF document.	Upload in NMLS: under <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	Change of Control Person (10% Interest or More): \$300 per control person added AS 06.60.130; 06.60.990 (3)(B); 3 AAC 14.434 Note: The company will be invoiced through NMLS after a 30-day Advanced Change Notice amendment has been filed and reviewed. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	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
<input type="checkbox"/>	Credit Report Explanations: Submit a line by line, detailed letter of explanation of all derogatory credit accounts along with proof of payoffs, payment arrangements and evidence of payments made, or evidence of any formal dispute filed (documents must be dated). Accounts to address include, but are not limited to: collections items, charge offs, accounts currently past due, accounts with serious delinquencies in the last 3 years, repossessions, loan modifications, etc. Note: Items regarding bankruptcy, foreclosure actions, outstanding judgments or liens, or delinquent child support payments should be addressed in the	Upload in NMLS: under the Document Type <u>Credit Report Explanations</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<p><i>Disclosure Explanations</i> section of your Individual Form (MU2).</p> <p>This document should be named <i>Credit Report Explanations – Sub Name – Document Creation Date</i>.</p>	
<input type="checkbox"/>	<p>FBI Criminal Background Check for MU2 Individual: \$36.25 per person.</p>	<p>NMLS (Filing submission)</p>
<input type="checkbox"/>	<p>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.</p> <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> The definition can be found in AS 06.60.990 (3) (4). 10% ownership or over are required to submit CBC. Those under 10% ownership are not required. <p>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.</p> <p>See the Quick Guides - Company section of the NMLS Resource Center for more information.</p> <p>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.</p>	<p>NMLS</p>

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Qualifying Individual: Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.</p>	<p>NMLS</p>
<p>Note</p>	<p>Change of Qualifying Individual: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<p>N/A</p>
<p>Note</p>	<p>Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.</p>	<p>N/A</p>

Complete	Alaska Mortgage Broker/Lender License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<p>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.</p> <p>You must provide an explanation for each “Yes” answer to a disclosure question. You must also upload official document (PDF) related to the explanation.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<p>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.</p> <p>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.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p>	NMLS