



CA-DFPI Student Loan Servicing Branch License Amendment Checklist (Branch)

CHECKLIST SECTIONS

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

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, California Department of Financial Protection and Innovation(CA-DFPI) 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 Quick Guide](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

Agency Contact Information

Please refer to the Department of Financial Protection and Innovation website at www.dfpi.ca.gov or contact Department of Financial Protection and Innovation by phone at 866-275-2677 for additional assistance.

Physical Address:

*California Department of Financial Protection and Innovation
Student Loan Servicing Program
2101 Arena Boulevard
Sacramento, CA 95834*

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL 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](#)
- [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.

Complete	CA-DFPI Student Loan Servicing Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Branch Address: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. 10 days notice must be provided for this change.</p> <p>Note: The commissioner shall notify the licensee within 10 days if the commissioner disapproves the change, and if the commissioner does not notify the licensee of disapproval within 10 days, the change in address shall be deemed approved.</p>	<p>NMLS</p>

Complete	CA-DFPI Student Loan Servicing Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an amendment for an addition or change to an Other Trade Name through the Branch Form (MU3) in NMLS. Notice must be provided not later than 10 business days after the change.</p> <p>Note: When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Other Trade Names: If this branch is operating under a name that is different from the applicant's legal name, that name ("Trade Name", "Assumed Name" or "DBA") must be listed under the <i>Other Trade Names</i> section of both the Branch Form (MU3) and the Company Form (MU1). CA-DFPI does not limit the number of other trade names.</p> <p>If operating under an "Other Trade Name", upload a file endorsed copy of the fictitious business name statement filed in accordance with Chapter 5, commencing with Section 17900, of the California Business and Professions Code for each trade name or dba that the applicant intends to use in California.</p> <p>This document should be named <i>Student Loan Servicer Trade Name – Assumed Name</i>.</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <u>Document Uploads</u> section of the Branch Form (MU3).</p>

Complete	CA-DFPI Student Loan Servicing Branch License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS. Notice must be provided not later than 10 business days after the change.</p> <p>Note: 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).</p>	NMLS
<input type="checkbox"/>	<p>Trade Name Dissolution: Upload copy of any document evidencing elimination of deletion of Other Trade Name if applicable.</p> <p>This document should be named <i>ACN – CA-DFPI – Trade Name Dissolution</i>.</p>	<p>Upload in NMLS: under the Document Type <u>Advance Change Notice</u></p> <p>in the <i>Document Uploads</i> section of the Branch Form (MU3)</p>

Complete	CA-DFPI Student Loan Servicing Branch License Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS not later than 10 business days after the occurrence of the event that results in the information becoming inaccurate or incomplete.</p>	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 the Branch Manager.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).
<input type="checkbox"/>	<p>Changing a Response from Yes to No: 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.</p> <p>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 must also upload a document (PDF) related to the explanation if applicable.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p>	NMLS

Complete	CA-DFPI Student Loan Servicing Branch License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS. Notice must be provided not later than 10 business days after the change.	NMLS
<input type="checkbox"/>	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	Credit Report: Branch Managers 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. This authorization is made when the Individual Form (MU2) is submitted as part of the Branch Form (MU3).	NMLS
<input type="checkbox"/>	<p>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.</p> <p>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).</p> <p>This document should be named <i>Credit Report Explanations – Sub Name – Document Creation Date</i>.</p>	Upload in NMLS: under the Document Type <u>Credit Report Explanations</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).
<input type="checkbox"/>	<p>Legal Name/Status Documentation: Upload documentation of all legal names used within the ten years prior to the date of this application. Also, upload documentation showing applicant’s legal status, and authorization to work in the United States. This may be certified copies of divorce decree, marriage certificate, copy of driver’s license, passports, etc.</p> <p>This document should be named <i>[Document Name]</i> (E.g., Driver’s License, Marriage Certificate, etc.).</p>	Upload in NMLS: under the Document Type <u>Legal Name/Status Documentation</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).
Note	<p>MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Branch Managers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>Note: A CBC is required outside NMLS for this license.</p> <p>California Department of Justice Fingerprinting: All applicants must submit fingerprints through the California Department of Justice. Instructions for obtaining fingerprints will be emailed once the Advance Change Notice request is submitted to NMLS.</p>	N/A