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 in the checklist 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 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.
<table>
<thead>
<tr>
<th>Complete</th>
<th>Change of Legal Name Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Change of Legal Name</strong>: Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.</td>
<td>NMLS</td>
</tr>
</tbody>
</table>

**Note**

**Change of Legal Name Fee**: $0 per license  
Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.

**Surety Bond Rider**: If applicable, upload and mail an original Exempt Registrant surety bond rider (or new bond) that reflects the entity's new legal name. The effective date of the rider should reflect the actual date of the name change. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.  
If a new surety bond is needed, use the Surety Bond Form found here:  

*Bond Form*

**Formation Documents**: If a corporation, upload to NMLS the amended Corporate Charter or amended Articles of Incorporation; if a Limited Liability Company, the amended Articles of Organization and Operating Agreement; and, if a partnership of any form, the amended Partnership Agreement.

**Secretary of the State**: Amend your entity’s record with the CT Secretary of the State (if applicable).

<table>
<thead>
<tr>
<th>Complete</th>
<th>Change of Main Address Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Change of Main Address</strong>: Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.</td>
<td>NMLS</td>
</tr>
</tbody>
</table>

**Note**

**Change of Main Address**: $0 per license  
Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.

**Surety Bond Rider**: If applicable, upload and mail an original Exempt Registrant surety bond rider (or new bond) that reflects the entity’s new main address. The name address of the principal insured on the bond and the effective date of the move must match exactly.  
If a new surety bond is needed, use the Surety Bond Form found here:  

*Bond Form*
| Complete | CT Exempt Registrant  
Addition or Modification of Other Trade Name Amendment Items | Submitted via... |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td><strong>Addition or Modification of Other Trade Name:</strong> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.</td>
<td>NMLS</td>
</tr>
</tbody>
</table>
| Note     | **Addition of Other Trade Name** $0 per license.  
Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE. | N/A             |
| □        | **Surety Bond:** Upload and mail an original surety bond rider. The effective date of the rider should reflect the actual date of the name change. | Upload in NMLS: under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).  
AND  
Mail to CT Department of Banking |

| Complete | CT Exempt Registrant  
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.  
Upload complete details of all events or proceedings for each answer amended to “Yes” in response to the Disclosure Questions for the Company, each identified Control Person on NMLS Company Form and Individual Form.  
Upload copies of any applicable orders or supporting documents into appropriate Disclosure Explanations sections. Include official court documents for any judgment(s), 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            |

| Complete | CT Exempt Registrant  
Change in Surety Bond Provider | Submitted via... |
|----------|---------------------------------------------------------------|-----------------|
| □        | **Change in surety bond provider:** Upload and mail the new surety bond. This bond shall cover all mortgage loan originators sponsored by the applicant and must be provided with original signatures. | Upload in NMLS: under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1).  
AND  
Mail to CT Department of Banking |