CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions
When making changes to your record in NMLS, Connecticut Department of Banking 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 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 Quick Guide
- 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 & Overnight Delivery:

Connecticut Department of Banking
Consumer Credit
260 Constitution Plaza
Hartford, CT 06103-1800

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
- Addition, Modification, or Deletion of Other Trade Name
- Change of Branch Manager

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.
<table>
<thead>
<tr>
<th>Complete</th>
<th>Change of Branch Address Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td>□</td>
<td>Change of Branch Address: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. <strong>30 days’</strong> notice must be provided for this change.</td>
<td>NMLS</td>
</tr>
<tr>
<td>Note</td>
<td>Connecticut does not charge fees for amendments. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</td>
<td>N/A</td>
</tr>
<tr>
<td>□</td>
<td><strong>Surety Bond Rider:</strong> Upload and mail to the Department an original surety bond rider reflecting the addition of the branch address. The effective date of the rider should reflect the actual date of the move and match the effective date of the ACN. If a new surety bond is needed, use the Surety Bond Form found here: <em>Bond Form</em></td>
<td>Upload in NMLS: under the Document Type Surety Bond in the Document Uploads section of the Branch Form (MU3). <strong>AND</strong> Mail to CT Department of Banking</td>
</tr>
<tr>
<td>Complete</td>
<td>CT Mortgage Broker License Addition, Modification, or Deletion of Other Trade Name Amendment Items</td>
<td>Submitted via...</td>
</tr>
<tr>
<td>----------</td>
<td>-------------------------------------------------------------------------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td></td>
<td>Addition, Modification, or Deletion of Other Trade Name: Submit an ACN for an addition, modification, or deletion of an Other Trade Name through the branch form (MU3) in NMLS. 30 days' notice must be provided for this change.</td>
<td>NMLS</td>
</tr>
<tr>
<td>Note</td>
<td>Connecticut does not charge fees for amendments. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</td>
<td>N/A</td>
</tr>
<tr>
<td>Complete</td>
<td>CT Mortgage Broker License Change of Branch Manager Amendment Items</td>
<td>Submitted via...</td>
</tr>
<tr>
<td>----------</td>
<td>---------------------------------------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>□</td>
<td><strong>Addition or Modification of Branch Manager:</strong> Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS. Must be filed on the NMLS no later than <strong>15 days</strong> after the licensee had reason to know of the change.</td>
<td>NMLS</td>
</tr>
<tr>
<td>Note</td>
<td>Connecticut does not charge fees for amendments. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</td>
<td>N/A</td>
</tr>
<tr>
<td>Note</td>
<td>The commissioner may automatically suspend a license upon failure of the licensee to designate a branch manager who meets all requirements within thirty days of a vacancy in the position.</td>
<td>N/A</td>
</tr>
</tbody>
</table>
| □        | **Branch Manager:** A Branch Manager (on-site manager) is required to:  
  - Be licensed as a mortgage loan originator with Connecticut  
  - Hold physical employment at the branch office location  
  - Have at least three years of experience in the mortgage business, within the five years immediately preceding the application  
  - Reside within 100 miles of the branch or show capability of full-time supervision  
  A work experience form or resume must be uploaded to NMLS recognizing (at minimum) dates of employment (month/year), employer, job title, and work functions for each position held by the individual for a period of at least five years immediately preceding the date of application. [Click to download experience form](#).  
  The Branch Manager is required to meet minimum criminal and credit background check requirements. This individual will be required to authorize a criminal background check and credit report through the NMLS. | Upload in NMLS: under the Document Type Verification of Experience in the Document Uploads section of the Individual Form (MU2). |