CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions
When making changes to your record in NMLS, the 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 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 Division
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>CT Debt Adjuster Non-Profit Branch License</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Change of Branch Address Amendment Items</td>
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</tbody>
</table>

- **Change of Branch Address**: Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. **30 days’** notice must be provided for this change.

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

- **Surety Bond Rider**: Upload and mail an original surety bond rider (or new bond if applicable) that reflects the branch’s new address. The address on the bond must match exactly the address listed on the Branch Form (MU3).
  - If a new surety bond is needed, use the Surety Bond Form found [here](#).

<table>
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<tr>
<th>Complete</th>
<th>CT Debt Adjuster Non-Profit Branch License</th>
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<tbody>
<tr>
<td></td>
<td>Addition, Modification or Deletion of Other Trade Name Amendment</td>
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</table>

- **Addition, Modification, or Deletion of Other Trade Name**: Submit an ACN for the 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.

  - **Note**: **Addition of Other Trade Name Fee**: $0 per license
  - Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.

- **Surety Bond Rider**: Upload and mail an original surety bond rider (or new bond if applicable) that reflects the addition, modification, or deletion of a DBA name. The name of the principal insured on the bond must match exactly the full legal name of applicant, including all Other Trade Names.
  - If a new surety bond is needed, use the Surety Bond Form found [here](#).
  - **Note**: When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).
<table>
<thead>
<tr>
<th>Complete</th>
<th>CT Debt Adjuster Non-Profit Branch License</th>
<th>Change of Branch Manager Amendment Items</th>
<th>Submitted via...</th>
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<tbody>
<tr>
<td></td>
<td><strong>Addition or Modification of Branch Manager</strong>: Submit an amendment for a change in Branch Manager in the Branch Form (MU3) in NMLS. A Branch Manager is an individual responsible for the actions of the licensee. This change must be filed in NMLS no later than <strong>15 days</strong> after the licensee had reason to know of the change. MU2 Individuals are required to meet <strong>minimum criminal and credit background check requirements</strong>. These individuals will be required to authorize a criminal background check and credit report through NMLS.</td>
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<td>NMLS</td>
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<td><strong>Credit Report</strong>: Branch Managers 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.</td>
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<td>NMLS</td>
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<td><strong>Credit Report for MU2 Individual</strong>: $15 per person.</td>
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<td>NMLS</td>
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<td><strong>FBI Criminal Background Check Requirements</strong>: When added to the Branch Form (MU3), Branch Managers are required to authorize an FBI criminal background check (CBC) through NMLS. After authorizing an 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. See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information. <strong>Note</strong>: 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.</td>
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<td><strong>FBI Criminal Background Check for MU2 Individual</strong>: $36.25 per person.</td>
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<td>NMLS</td>
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<td><strong>Change of Disclosure Question(s)</strong>: Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) 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>
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<td>NMLS</td>
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