Company Amendments
Agency Requirements

GU RESIDENTIAL MORTGAGE LENDER LICENSE

Instructions

Guam does not require advance notice, make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

Fees
1. Guam collects amendment fees for the following changes through NMLS during filing:
   - Change of Address: $100 per license
   - Change of Name: $100 per license
   - Change of Other Trade Names: $100 per license
   - Change of Qualifying Individual: $100 per license

2. Send check directly to Guam for the following amendments:
   - Change of Ownership: $100.00
   - Change of Control Person: $100.00
   - Amended articles of incorporation: $50.00
   - Articles of merger or share exchange: $100.00

3. All fees collected through NMLS ARE NOT REFUNDABLE.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an Advance Change Notice:
   a. In the NMLS document upload section; you must select Advance Change Notice for document type.
   b. Documents required to be uploaded through Advance Change Notice are considered proposed documents. You will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date. If there isn’t a document type available for a specific Advance Change Notice event you must mail document(s) directly to Department of Revenue and Taxation, Office of Banking and Insurance Commissioner.

2. If you are required to upload documents for an amendment that doesn’t require Advance Change Notice:
   a. In the NMLS document upload section, select the applicable document type.

3. If you are required to provide document(s) outside of NMLS:
   a. You must mail the document(s) along with the checklist within 5 business days to the following address:

   For U.S. Postal Service:
   Banking and Insurance Commissioner
   Insurance, Securities, Banking and Real Estate Branch
   P O Box 23607 GMF
   Barrigada, Guam 96921

   For Overnight Delivery:
   Banking and Insurance Commissioner
   Insurance, Securities, Banking and Real Estate Branch
   1240 Army Drive
   Barrigada, Guam 96913
<table>
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<tr>
<th>FILED IN NMLS</th>
<th>ATTACHED</th>
<th>NOT APPLICABLE</th>
<th>REQUIRED ADVANCE CHANGE NOTICE ITEM</th>
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<td><strong>CHANGE OF LEGAL NAME.</strong> Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. <strong>20 Days</strong> notice must be giving for this change.</td>
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|               | N/A      |                | **DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME:** Upload copies of the following documents:  
  - Marriage Certificate  
  - Court order |
|               | N/A      |                | **CHANGE OF LEGAL NAME - SURETY BOND RIDER:** Licensees may submit their surety bond to Guam in one of the ways listed below.  
  1. **If you HAVE converted to the Electronic Surety Bond,** 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](#) of the NMLS Resource Center for more information about the Electronic Surety Bond process.  
  **Note:** Pursuant to the adoption of the Electronic Surety Bond (ESB) on June 1, 2017, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by September 1, 2017. See the [ESB Adoption Table](#) and the [ESB for NMLS Licensees page](#) of the NMLS Recourse Center for more information.  
  2. **If you have NOT converted to the Electronic Surety Bond,** upload the Surety Bond Rider that reflects the change of name in NMLS under the Document Type Surety Bond in the Document Uploads section of the Company Form (MU1) AND mail the original copy to the address listed above. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names. |
|               | N/A      |                | **CHANGE OF MAIN ADDRESS.** Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. **20 Days** notice must be giving for this change. |
|               | N/A      |                | **CHANGE OF MAIN ADDRESS - SURETY BOND RIDER:** Licensees may submit their surety bond to Guam in one of the ways listed below.  
  1. **If you HAVE converted to the Electronic Surety Bond,** no further action is required to process this change.  
  2. **If you have NOT converted to the Electronic Surety Bond,** upload the Surety Bond Rider that reflects the change of
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<td>**address in NMLS under the Document Type Surety Bond in the <em>Document Uploads</em> section of the Company Form (MU1) ** AND mail the original copy to the address listed above.</td>
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**Note:** Pursuant to the adoption of the Electronic Surety Bond (ESB) on June 1, 2017, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by September 1, 2017. See the *ESB Adoption Table* and the *ESB for NMLS Licensees page* of the NMLS Recourse Center for more information.

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<td><strong>ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES.</strong> Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. <strong>20 Days</strong> must be giving for this change.</td>
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<td><strong>DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):</strong> Upload copies of the following documents:</td>
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- Registration of trade name
- Abandonment of trade name

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<td><strong>CHANGE OF LEGAL STATUS.</strong> Submit an ACN for a change of Legal Status within the Company (MU1) Form through NMLS. <strong>20 Days’</strong> notice must be given for this change.</td>
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<td><strong>DOCUMENT REQUIRED FOR ACN OF CHANGE OF LEGAL STATUS:</strong> Upload copies of the following documents:</td>
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- Article of Incorporation, OR
- Association Filed with the State of Domicile

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<td><strong>ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES.</strong> Submit an ACN for an addition or change in Affiliates/Subsidiaries within the Company (MU1) Form through NMLS. <strong>20 Days’</strong> notice must be given for this change.</td>
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<td><strong>DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES</strong> Upload copies of the following documents:</td>
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- Articles of merger or share exchange
- Holding company organization chart

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<td><strong>ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS.</strong> Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company (MU1) Form through NMLS. <strong>20 Days’</strong> notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.</td>
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**WHO TO CONTACT** – Contact Banking and Insurance Commissioner licensing staff by phone at 671 635 1833,1845,7664,7668,7669 or send your questions via e-mail to alice.cruz@revtax.guam.gov AND robert.tongson@revtax.guam.gov for additional assistance.

**THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE AMENDING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.**