GU Mortgage Loan Originator Checklist
Amendment Checklist (Individual)

CHECKLIST SECTIONS

- General Information
- Amendments

GENERAL INFORMATION

Instructions
When making changes to your record in NMLS, review the checklist below.

Helpful Resources
- Individual (MU4) Amendments Quick Guide
- Individual Disclosure Explanations Quick Guide
- Disclosure Explanations - Document Upload Quick Guide
- Change of Employer Quick Guide

Agency Contact Information
Contact Banking and Insurance Commissioner licensing staff by phone at (671) 635-1833, 1845, 7668, 7669, 7664 or send your questions via email to alice.cruz@revtax.guam.gov AND Robert.tongson@revtax.guam.gov for additional assistance.

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

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 Employment**
  - Sponsorship Change – $50. This fee will be paid by your employing company.
  - NMLS Sponsorship Change Processing Fee: $30
    - This fee will be waived for the initial sponsorship request for a license.

- **Change of Residential Address**

- **Change of Legal Name**

- **Change of Disclosure Question(s)**

Note: There are no NMLS amendment fees for changes made to the Individual Form (MU4) in NMLS. Fees collected through NMLS ARE NOT REFUNDABLE OR TRANSFERABLE.

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>GU Mortgage Loan Originator License</th>
<th>Change of Employment Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
</table>
|          | **End Company Relationship:** End the “Relationship” with your former employer in NMLS if the company has not already done so. For instructions on completing this action, see the [Removing Access & Ending Relationships Quick Guide](#).  
**Note:** Once the current “Sponsorship” is removed, your license status will be updated to Approved-Inactive. You are not authorized to conduct business until the sponsorship request from your new employer is accepted by GU. | | NMLS |
|          | **Employment History:** Update the Employment History section of the Individual Form (MU4). | | NMLS |
|          | **Confirm Email Address:** Confirm that the email address listed in the following locations is current in NMLS:  
- Home Tab>My Account>Update User Profile  
- Filing Tab>Individual>Identifying Information section | | NMLS |
|          | **Grant Company Access:** Grant your new employer access to your NMLS record, to allow creation of new relationship/sponsorship. For instructions on completing this action, see the [Providing Access to a Company Quick Guide](#).  
**Note:** After access is granted, your new employer is required to submit a “Sponsorship” request to this agency.  
**Note:** Once the new “Sponsorship” request is accepted, your license status will be updated to Approved and you will be authorized to conduct business. You are not authorized to conduct business until the sponsorship request from your new employer is accepted by GU. | | NMLS |
|          | **Change of Sponsorship:** $50 per license  
This fee will be paid by your employing company.  
**NMLS Sponsorship Change Processing Fee:** $30  
This fee will be waived for the initial sponsorship request for a license.  
Fees collected through NMLS are NOT REFUNDABLE. | | NMLS |

<table>
<thead>
<tr>
<th>Complete</th>
<th>GU Mortgage Loan Originator License</th>
<th>Change of Residential Address Amendment Items</th>
<th>Submitted via...</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Update Residential History Section:</strong> If changing residence, you must update the Residential History section of the Individual Form (MU4) and the mailing address listed in the Identifying Information section of the Individual Form (MU4).</td>
<td></td>
<td>NMLS</td>
</tr>
<tr>
<td>Complete</td>
<td>GU Mortgage Loan Originator License Change of Legal Name Amendment Items</td>
<td>Submitted via...</td>
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<tr>
<td></td>
<td><strong>Update Identifying Information Section:</strong> If changing your legal name, you must update the <em>Identifying Information</em> section of the Individual Form (MU4).</td>
<td>NMLS</td>
<td></td>
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<tr>
<td></td>
<td><strong>Legal Documents:</strong> Provide a copy of the following legal document which supports the name change.</td>
<td>NMLS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Marriage Certificate</td>
<td></td>
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<td></td>
<td>• Divorce Decree</td>
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<td></td>
<td><strong>Return Original License:</strong> You are required to return your license to this agency.</td>
<td>Mail to GU</td>
<td></td>
</tr>
<tr>
<td>Complete</td>
<td>GU Mortgage Loan Originator License</td>
<td>Submitted via...</td>
<td></td>
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<td></td>
<td><strong>Change in Disclosure Question(s):</strong> Submit an amendment for a change to Disclosure Question response(s) through the Individual Form (MU4) in NMLS.</td>
<td>NMLS</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Changing a Response from No to Yes:</strong> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes.” See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.</td>
<td>Upload in NMLS in the Disclosure Explanations section of the Individual Form (MU4).</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Changing a Response from Yes to No:</strong> When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason. You must select “Add Explanation for “No” Responses” and provide an explanation for each response that changes from “Yes” to “No”. You must also upload a document (PDF) related to the explanation. See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.</td>
<td>NMLS</td>
<td></td>
</tr>
</tbody>
</table>