Company Amendments
Jurisdiction-Specific Requirements

ILLINOIS RESIDENTIAL MORTGAGE LICENSE

1. Amendment fees paid through NMLS are:
   - Change of Address - $50.00 per license or branch certificate
   - Change of Name - $50.00 per license
   - FBI Criminal Background Check Authorization Fee: $36.25 per control person.

Amendment fees paid by certified check, cashier’s check or money order to IDFPR are:

   - Change of Officer/Director (Manager/Control Person) - $50.00 (Flat fee for one or more officer/director changes made PER MB LICENSE NUMBER)
   - Change of Ownership/Control – $500.00
   - Change of Activity – $50.00

Change of Address and Change of Name amendment fees are to be paid through NMLS. All other Amendment fees (Change Officer/Director, Change of Ownership and Change of Activity) are paid directly to the Illinois Department of Financial and Professional Regulation by COMPANY CHECK, CERTIFIED CHECK, CASHIER’S CHECK OR MONEY ORDER and mailed to the address below. Indicate the company name, MB license number, NMLS number and type of amendment (i.e., change of address, name, officer/director, ownership or activity) on the check to ensure it is properly posted to the correct account. Checks without identifying information will be returned.

2. All fees collected are NOT REFUNDABLE.

3. Any Change of Address for main office or branch, Change of Name, Change of Officer/Director, Change of Activity, or Change of Ownership/Control must also be reported on the applicable Form MU1 and Form MU2.

4. The regulator will review the filing and all required documents and communicate with you through NMLS. To review your status or see detailed communication from the regulator, click on the Composite View tab and then click on View License/Registration in NMLS.

For U.S. Postal Service or Overnight Delivery:
Illinois Department of Financial and Professional Regulation
Division of Banking
320 West Washington Street, 5th Floor
Springfield, IL 62786

Updated: 3/22/2017
STATE OF ILLINOIS - AMENDMENT - MAIN OFFICE

NMLS Unique ID Number: ______________________

Mortgage Banking License Number: _______________________________

(Include Branch Extension, i.e., -001, -002, -003, if applicable)

Applicant Legal Name: ______________________________________

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<tr>
<th>ITEM</th>
<th>FILED IN NMLS</th>
<th>EMAILED TO IDFPR</th>
<th>MAILED TO IDFPR</th>
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</thead>
<tbody>
<tr>
<td>INFORMATION FILED IN NMLS</td>
<td>N/A</td>
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**Business Activities:** Change in Business Activities must be filed in NMLS.

**Change in Owner/Control Person or Manager:** A change in any Control person or a change in any person designated as a manager of a licensed office must be reported as an Amendment on the **Company (MU1) Form** filing with a new **Individual (MU2) Form** submitted through the NMLS with employment history completed.

**Credit Check:** Individuals in a position of control are required to authorize a credit report through NMLS for an officer, director or branch manager. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before the license or amendment request for your company can be filed through NMLS by using the applicable form MU1 and MU2 (filing tab).

**MU2 Individual FBI Criminal Background Check Requirements:** When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS. $36.26 FBI Criminal Background Check fee will be charged per FBI CBC authorization.

**Direct Owners/Executive Officers**

- Those who directly own or control 10% or more of any stock class, or directly fund in an amount equal to or more than 10% of the net worth, or directly control 25% or more of the members of the board, are required to submit a CBC.

**Indirect Owners**

- Those who indirectly own or control 10% or more of any stock class or indirectly fund in an amount equal to or more than 10% of the net worth, or indirectly control 25% or more of the members of the board, are required to submit a CBC.

After authorizing a 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 Quick Guides - Company section of the NMLS Resource Center for
Note: 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.

**DOCUMENTS UPLOADED IN NMLS**

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<tr>
<th>Document Type</th>
<th>Upload Required</th>
<th>Document Details</th>
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</table>
| IL Secretary of State (For Change of Name only): | N/A | Upload an Amended Articles of Incorporation/Organization, if changing legal name.  
This document in NMLS under the Document Type “Certificate of Authority/Good Standing Certificate” in the Document Uploads section of the Company (MU1) Form. The document should be named ‘ILLINOIS-ArticlesorAgreement’. |
| Surety Bond New/Rider, If Changing Legal Name (For Change of Name only): | N/A | Contact the surety bond producer to inform them of the legal name change and effective date, so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page for more information. |
| Fidelity Bond New/Rider, If Applicable, If Changing Legal Name (For Change of Name only): | N/A | Upload the Fidelity Bond Rider that reflects the Change of Name. This document in NMLS under the Document Type “Fidelity Bond” in the Document Uploads section of the Company (MU1) Form. The document should be named ‘ILLINOIS-Fidelity Bond’. |
| Interim Financial Statement(S) Of Licensee, Upon Request (For Change of Ownership/Control only): | N/A | Provide Audited Financial Statements for mortgage bankers and mortgage brokers prepared in accordance with Generally Accepted Accounting Principles dated within (60) days of the date of the application showing all assets, liabilities and net worth, and fully reflective of all financial changes within the company as a result of the change. The financial statements should include a Statement of Financial Condition (Balance Sheet) and a year-to-date Statement of Income and Expenses (Income Statement), Notes to the Financial Statements, and Statement of Cash flow. Note: Financial statements are uploaded separately under Financial Statement section of the Filing tab. See the Financial Statement Quick Guide for instructions. |
| Executed Purchase, Sales or Stock Agreement (For Change of Ownership/Control only): | N/A | Upload certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, stock agreements or consent to change in ownership agreements. Upload the document in NMLS under the in the document type ACN Related Documents in the documents upload section of the form (MU1) Form. The document should be named purchase and sales agreements, merger agreements, stock agreements or consent to change in ownership agreements. |
WHO TO CONTACT – Contact Mortgage Banking Regulation licensing 1-844-768-1713 for additional assistance.

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