



IN-SOS Principal Manager License Amendment Checklist (Individual)

CHECKLIST SECTIONS

- [General Information](#)
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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 *Indiana Secretary of State, Securities Division* licensing staff by phone at [317-232-6681](tel:317-232-6681) or send your questions via email to arsmock@sos.in.gov for additional assistance.

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](#)
 - 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.

| Complete | IN-SOS Principal Manager License Change of Employment Amendment Items | Submitted via... |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <input type="checkbox"/> | <p>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.</p> <p>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 IN-SOS.</p> | NMLS |
| <input type="checkbox"/> | <p>Employment History: Update the Employment History section of the Individual Form (MU4).</p> <p>The current employer needs to match the current sponsorship company.</p> | NMLS |
| <input type="checkbox"/> | <p>Confirm Email Address: Confirm that the email address listed in the following locations is current in NMLS:</p> <ul style="list-style-type: none"> • Home Tab>My Account>Update User Profile • Filing Tab>Individual>Identifying Information section | NMLS |
| <input type="checkbox"/> | <p>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.</p> <p>Note: After access is granted, your new employer is required to submit a “Sponsorship” request to this agency.</p> <p>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 IN-SOS.</p> | NMLS |
| Note | <p>Change of Sponsorship: \$0 per license</p> <p>This fee will be paid by your employing company.</p> <p>NMLS Sponsorship Change Processing Fee: \$30 This fee will be waived for the initial sponsorship request for a license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE.</p> | N/A |

| Complete | IN-SOS Principal Manager License Change of Residential Address Amendment Items | Submitted via... |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <input type="checkbox"/> | Update Residential History Section: If changing residence, you must update the <i>Residential History</i> section of the Individual Form (MU4) and the mailing address listed in the Identifying Information section of the Individual Form (MU4). | NMLS |

| Complete | IN-SOS Principal Manager License Change of Legal Name Amendment Items | Submitted via... |
|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| <input type="checkbox"/> | Update Identifying Information Section: If changing your legal name, you must update the <i>Identifying Information</i> section of the Individual Form (MU4). | NMLS |

| Complete | IN-SOS Principal Manager License Change in Disclosure Question(s) Amendment Items | Submitted via... |
|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | Change in Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Individual Form (MU4) in NMLS. | NMLS |
| <input type="checkbox"/> | Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes.” See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions. | Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU4). |
| <input type="checkbox"/> | Changing a Response from Yes to No: 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 may also upload a document (PDF) related to the explanation. See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions. | NMLS |