Instructions

When making changes to your record in NMLS Kentucky requires advance notification for some changes, see checklist below for details.

Fees
1. Kentucky does not collect amendment fees for changes through NMLS.
2. 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 Kentucky Department of Financial Institutions.
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 and Overnight Delivery Service:
   Kentucky Department of Financial Institutions
   Division of Non-Depository Institutions
   Mail Stop 2 SW 19
   500 Mero St.
   Frankfort, KY 40601
NMLS Unique ID Number: ____________________
Applicant Legal Name: ____________________

<table>
<thead>
<tr>
<th>FILED IN NMLS</th>
<th>ATTACHED</th>
<th>NOT APPLICABLE</th>
<th>REQUIRED ADVANCE CHANGE NOTICE ITEM</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N/A</td>
<td></td>
<td><strong>CHANGE OF LEGAL NAME.</strong> Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. <strong>10 Days</strong> notice must be giving for this change.</td>
</tr>
</tbody>
</table>
|               | N/A      |                | **DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME:** Upload copies of the following documents:  
- KY Secretary of State Certificate of Authority  
- Bond Rider |
|               | N/A      |                | **CHANGE OF MAIN ADDRESS.** Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. **10 Days** notice must be giving for this change. |
|               | N/A      |                | **DOCUMENT REQUIRED FOR ACN OF CHANGE OF MAIN ADDRESS**  
Upload copies of the following documents:  
- Bond Rider |
|               | N/A      |                | **ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES.** Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. **10 Days** must be giving for this change. |
|               | N/A      |                | **DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):** Upload copies of the following documents:  
- KY Secretary of State Assumed Name Certificate |
|               | N/A      |                | **ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS.** Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company (MU1) Form through NMLS. **10 Days** notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form. |
|               | N/A      |                | **ADDITION OR MODIFICATION OF INDIRECT OWNERS.** Submit an ACN for an addition or change in Indirect Owners within the Company (MU1) Form through NMLS. **10 Days** notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form. |

FILED IN NMLS | ATTACHED | NOT APPLICABLE | REQUIRED AMENDMENT ITEM
| □ | □ | □ | SURETY BOND RIDER. (For change of address or change of name only) - Submit the Surety Bond Rider that reflects the change of address or change of name, whichever is applicable. |
|---|---|---|
| N/A | □ | □ | ORIGINAL LICENSE. (For change of address or change of name only) - Return the original license as issued by the Kentucky Department of Financial Institutions. |
| □ | N/A | □ | DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any “Yes” answer to any of the Disclosure questions for company or any new Control Person or any new Manager. |

**WHO TO CONTACT** – Contact KY Department of Financial Institutions licensing staff by phone at (800) 223-2579 ext. 255 or send your questions via e-mail to Fitzgerald.Pam@KY.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.