Instructions

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

Fees

1. Maine collects amendment fees for the following changes through NMLS during filing:
   - Change of Address $25 per license
   - Change of Name $25 per license
   - Change of Other Trade Names $25 per license

2. Maine collects amendment fees for the following changes through a separate invoice in NMLS after review of filing:
   - Change of Ownership or Change in Control – $250

   This fee is required for any change greater than 25% in the ownership of the company. If you have questions, send a letter to the bureau explaining the change, and include a pre- and post-organizational chart detailing the extent of the change.

   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 the Maine Bureau of Consumer Credit Protection.

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:**
   Dept. of Professional & Financial Regulation  
   Bureau of Consumer Credit Protection  
   35 State House Station  
   Augusta, ME 04333

   **For Overnight Delivery:**
   Dept. of Professional & Financial Regulation  
   Bureau of Consumer Credit Protection  
   76 Northern Avenue  
   Gardiner, ME 04345

NMLS Unique ID Number: ________________
Applicant Legal Name: ______________________________________

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<tr>
<th>FILED IN NMLS</th>
<th>NOT APPLICABLE</th>
<th>REQUIRED ADVANCE CHANGE NOTICE ITEM</th>
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<tbody>
<tr>
<td>☐</td>
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<td>CHANGE OF LEGAL NAME. Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. <strong>15 days’</strong> notice must be giving for this change.</td>
</tr>
</tbody>
</table>
| ☐             | ☐              | DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME: Upload copies of the following documents:  
- New Surety Bond or Bond Rider  
- Certification from Home State of Change of Name  
- Certification from the Maine Secretary of State of Registration to do Business Under New Name  
Upload these documents as *Advance Change Notice* upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
| ☐             | ☐              | CHANGE OF MAIN ADDRESS. Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. **15 days’** notice must be giving for this change. |
| ☐             | ☐              | DOCUMENT REQUIRED FOR ACN OF CHANGE OF MAIN ADDRESS Upload copies of the following documents:  
- New Surety Bond or Bond Rider  
See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
| ☐             | ☐              | 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. **15 days’ notice** must be giving for this change. |
| DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S): | Upload copies of the following documents:  
- Authorization from Home State for Addition or Modification  
- Authorization from the Maine Secretary of State for Addition or Modification  

Upload these documents as Advance Change Notice upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
<table>
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<td>CHANGE OF LEGAL STATUS.</td>
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| DOCUMENT REQUIRED FOR ACN OF CHANGE OF LEGAL STATUS: | Upload copies of the following documents:  
- Certification from State of organization  
- Certification of Change of Status from the Maine Secretary of State  

Upload these documents as Advance Change Notice upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
| ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES. | Submit an ACN for an addition or change in Affiliates/Subsidiaries within the Company (MU1) Form through NMLS. **15 days'** notice must be given for this change. |
| DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES | Upload copies of the following documents:  
- Description of the Addition or Modification  
- Description of any Financial Effect of the Addition or Modification  
- History of Criminal, Civil or Administrative action against any Affiliate/Subsidiary Added  

Upload these documents as Advance Change Notice upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
| 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. **15 days'** notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form. |
| DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS: | Upload copies of the following documents:  
- Complete Curriculum Vitae  
- Complete History of Criminal, Civil or Administrative Actions  

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*Updated: 10/2014*
Upload these documents as *Advance Change Notice* upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions.

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<td><strong>ADDITION OR MODIFICATION OF INDIRECT OWNERS.</strong> Submit an ACN for an addition or change in Indirect Owners within the Company (MU1) Form through NMLS. <strong>15 days’</strong> notice must be given for this change. Note: Control Persons must also be reported on the Individual (MU2) Form.</td>
</tr>
</tbody>
</table>
|               |                | **DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF INDIRECT OWNERS:** Upload copies of the following documents:  
  - Description of Ownership Interest  
  - History of Criminal, Civil and Administrative Actions  
  
Upload these documents as *Advance Change Notice* upload types in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
|               |                | **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.  
  
Upload this document as a *Surety Bond* upload type in the Document upload section of the Company (MU1) Form. See the [Document Upload Descriptions and Examples Guide](#) for upload formatting instructions. |
|               |                | **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 licensing staff by phone at 207-624-8527 or send your questions via e-mail to [Mark.E.Susi@maine.gov](mailto:Mark.E.Susi@maine.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.**