



## Company Amendments Agency Requirements



### MISSOURI COMPANY LICENSE

#### Instructions: Applicable for Changes to MU1 Record of a Missouri Based Company

The changes during a licensing period listed below require the licensee to obtain approval from the Missouri Division of Finance. Each change requires the licensee to submit agency-specific documentation and to amend their MU1 record. If a change only affects a branch location, please refer to the amendment instructions for branch license and/or branch registration. Fees for change of name or address are paid through NMLS. Fees for change in officers or directors and ownership or control are payable outside NMLS.

**\*Change of Name (Legal or Other Trade Name):** \$50 fee. ACN filing and agency specific documents must be submitted at least 10 days before the proposed change becomes effective. Includes addition, revision, or removal of any legal name or other trade names. The fee for removal of a name shall be submitted to the Division with the amendment form.

**\*Change of Address:** \$50 fee. ACN filing and agency specific documents must be submitted at least 10 days before the proposed change becomes effective.

**Change of Officers or Directors:** \$50 fee per individual not to exceed \$100 per request. Agency specific documents must be received less than 30 days after the effective date of an applicable change. No ACN filing through NMLS required. \$36.26 will be added per FBI Criminal Background Check authorization.

**Change of Ownership or Control:** \$50 fee (\$100 if two or more individuals must go through background reviews). Applicable changes may also include indirect owner(s) or affiliate/subsidiary changes that affect a 10% interest or more of the licensee. If a change only involves control, please consult with the Division about your notification requirement. ACN filing and agency specific documents must be submitted at least 45 days before the proposed change becomes effective. \$36.26 will be added per FBI Criminal Background Check authorization.

Fees collected through NMLS ARE NOT REFUNDABLE.

\*These fees are collected through NMLS when the Company (MU1) Form is submitted.

#### How to submit agency-specific documents

Please refer to the [document upload quick guide](#) if you are unsure of how to upload documents through NMLS. Please be aware that any documents uploaded as part of an ACN are considered proposed and final documents must be uploaded as of the effective date.

If you provide document(s) outside of NMLS, please remit according to the following:

For U.S. Postal Service:

Missouri Division of Finance  
Mortgage Licensing Section  
PO Box 716  
Jefferson City, Missouri 65102-0716

For Overnight Delivery:

Missouri Division of Finance  
Mortgage Licensing Section  
301 W High Street, Room 630  
Jefferson City, Missouri 65101

NMLS Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

FILED IN NMLS	ATTACHED	NOT APPLICABLE	CHANGE OF NAME (LEGAL OR OTHER TRADE NAME)
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<b>SUBMIT AGENCY SPECIFIC CHANGE OF NAME FORM:</b> Submit a completed <a href="#">Change of Name Form</a> to the Missouri Division of Finance.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>UPDATE COMPANY (MU1) FORM:</b> Submit an ACN for a Change of Legal Name or Other Trade Name for the Company (MU1) form through NMLS. At least <b>10 days</b> notice must be given for this change.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>MISSOURI SECRETARY OF STATE APPROVAL:</b> If adding or revising a name, including Other Trade Name (or dba), upload or attach copies of documentation indicating you are approved to utilize the name. The Other Trade Name (dba) must be registered with Missouri Secretary of State as 100% owned by the licensee.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<b>BOND RIDER FOR LEGAL NAME CHANGE:</b> Submit a bond rider (original) with accompanying power of attorney evidencing a change of legal name to the Missouri Division of Finance or update your Electronic Surety Bond (ESB).
FILED IN NMLS	ATTACHED	NOT APPLICABLE	CHANGE OF ADDRESS
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<b>SUBMIT AGENCY SPECIFIC CHANGE OF ADDRESS FORM:</b> Submit a completed <a href="#">Change of Address Form</a> to the Missouri Division of Finance.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>UPDATE COMPANY (MU1) FORM:</b> Submit an ACN for a Change of Address for the Company (MU1) form through NMLS. At least <b>10 days</b> notice must be given for this change.
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<b>BOND RIDER:</b> If your bond on file with us contains an address (bond form used prior to January 2019) you must provide a rider evidencing your new address or update to the new bond form or ESB.
FILED IN NMLS	ATTACHED	NOT APPLICABLE	CHANGE OF OFFICERS OR DIRECTORS
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<b>SUBMIT AGENCY SPECIFIC CHANGE OF OFFICERS OR DIRECTORS FORM:</b> Submit a completed <a href="#">Change of Officers or Directors Form</a> to the Missouri Division of Finance. This form must be received less than 30 days after any change. <b>Change in Officers/Directors does not require ACN.</b>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>UPDATE COMPANY (MU1) FORM:</b> No ACN is required for a Change of Officers/Directors for the Company (MU1) form through NMLS. For a change in officers or directors please submit the proper NMLS filing, subsequent to providing agency specific documents, at the time of approval and/or scheduled change date.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>MISSOURI SECRETARY OF STATE APPROVAL:</b> If this change requires you to amend or restate any filing with the Missouri Secretary of State's Office you must upload or submit copies of documentation indicating this has been completed.

FILED IN NMLS	ATTACHED	NOT APPLICABLE	CHANGE OF OFFICERS OR DIRECTORS (CONTINUED)
<input type="checkbox"/>	N/A	N/A	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> 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.</p> <p><i>Directors &amp; Executive Officers</i></p> <ul style="list-style-type: none"> <li>Every director and each executive officer who influences management</li> </ul> <p>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.</p> <p>See the <a href="#">Quick Guides - Company section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> 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.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>Credit Report:</b> Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before the authorization is complete.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Management Chart Revision:</b> If this change affects an organizational chart currently uploaded or on file with the Missouri Division of Finance; please make the necessary revisions and resubmit.</p>
FILED IN NMLS	ATTACHED	NOT APPLICABLE	CHANGE OF OWNERSHIP OR CONTROL
N/A	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>SUBMIT AGENCY SPECIFIC CHANGE OF OWNERSHIP OR CONTROL FORM:</b> Submit a completed <a href="#">Change of Ownership or Control</a> to the Missouri Division of Finance.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>UPDATE COMPANY (MU1) FORM:</b> Submit an ACN for a Change of Ownership or Control (Direct Owners, Indirect Owners, Control Affiliates) for the Company (MU1) form through NMLS. At least <b>45 days</b> notice must be given for this change.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>SURETY BOND CONTINUANCE LETTER:</b> Submit a letter from the bonding company indicating the bond remains in force under the proposed changed in ownership or control.</p>
<input type="checkbox"/>	N/A	N/A	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> 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.</p> <p><i>Direct Owners</i></p>

			<ul style="list-style-type: none"> <li>Owns or controls 10% or more of the applicant</li> </ul> <p><i>Indirect Owners</i></p> <ul style="list-style-type: none"> <li>Owns or controls 10% or more of the applicant</li> </ul> <p>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.</p> <p>See the <a href="#">Quick Guides - Company section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> 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.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>Credit Report:</b> Individuals subject to background checks are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before the authorization is complete.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Organizational Chart/Description:</b> Upload or submit an updated organizational chart to indicate how the proposed change(s) affect organizational structure of the entity or person, subsidiaries, or affiliated entities.</p>

**WHO TO CONTACT** – Contact *Missouri Division of Finance* licensing staff by phone at [\(573\) 751-4243](tel:5737514243) or send your questions via e-mail to [becky.litfin@dof.mo.gov](mailto:becky.litfin@dof.mo.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.