



# Nebraska Mortgage Banker Registration Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
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## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Nebraska requires advance notification for some changes. See the checklist below for details.

### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS Document Uploads section. If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS Document Uploads section.

**Note:** Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

### Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact [Nebraska Department of Banking and Finance](#) licensing staff by phone at [\(402\) 471-2171](#) or send your questions via email to [dob.mortgage@nebraska.gov](mailto:dob.mortgage@nebraska.gov) for additional assistance.

#### *For Delivery of Documents:*

*For Electronic Delivery*

[dob.mortgage@nebraska.gov](mailto:dob.mortgage@nebraska.gov)

Include applicant name and  
NMLS # in the subject line.

*For U.S. Postal Service:*

Nebraska Department of  
Banking and Finance  
P.O. Box 95006  
Lincoln, NE 68509

*For Overnight Delivery:*

Nebraska Department of  
Banking and Finance  
1526 K Street, Suite 300  
Lincoln, NE 68508

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 Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
  - Change of Ownership: \$200
  - Change of Control person: \$200 (for additions only)
- [Addition or Modification of Indirect Owners](#)
  - Change of Ownership: \$200
  - Change of Control person: \$200 (for additions only)
- [Change of Disclosure Question\(s\)](#)
- [Miscellaneous Amendment Items](#)

**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 filing through NMLS.

NMLS ID Number	
Licensee Legal Name	

Complete	NE Mortgage Banker Registration Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
Note	<b>Change of Legal Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees must convert to an Electronic Surety Bond in Nebraska.</p> <ol style="list-style-type: none"> <li><b>If you HAVE converted to the Electronic Surety Bond,</b> no further action is required to process this change.</li> <li><b>If you have NOT converted to the Electronic Surety Bond,</b> upload the Surety Bond Rider that reflects the name change and effective date in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above.</li> </ol> <p><b>Note:</b> Pursuant to the Department's adoption of the ESB effective February 1, 2019, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by January 31, 2020. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information.</p>	<b>Electronic Surety Bond in NMLS</b>
<input type="checkbox"/>	<b>Acknowledgement of Filing:</b> Upload a file stamped copy of the Acknowledgement of Filing received from the Nebraska Secretary of State. This document must include the Nebraska Secretary of State filing stamp.	<b>Upload in NMLS:</b> under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	NE Mortgage Banker Registration Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Licensees must convert to an Electronic Surety Bond in Nebraska.</p> <p><b>3. If you HAVE converted to the Electronic Surety Bond,</b> no further action is required to process this change.</p> <p><b>4. If you have NOT converted to the Electronic Surety Bond,</b> upload the Surety Bond Rider that reflects the change of address and effective date in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above.</p> <p><b>Note:</b> Pursuant to the Department's adoption of the ESB effective February 1, 2019, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by January 31, 2020. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information.</p>	Electronic Surety Bond in NMLS

Complete	NE Mortgage Banker Registration Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days must be provided for this change.	NMLS
Note	<b>Addition of Other Trade Name</b> \$0 per license.	N/A
<input type="checkbox"/>	<b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.  Upload a file-stamped copy of the Registration of Trade Name Filing received from the Nebraska Secretary of State.	<b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Licensees must convert to an Electronic Surety Bond in Nebraska.  <ol style="list-style-type: none"> <li><b><i>If you HAVE converted to the Electronic Surety Bond,</i></b> no further action is required to process this change.</li> <li><b><i>If you have NOT converted to the Electronic Surety Bond,</i></b> upload the Surety Bond Rider that reflects the trade name and effective date in NMLS under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1) AND mail the original copy to the address listed above.</li> </ol> <p><b>Note:</b> Pursuant to the Department’s adoption of the ESB effective February 1, 2019, you will be required to convert your existing paper Surety Bond to NMLS via the submission of an ESB by January 31, 2020. See the <a href="#">ESB Adoption Table</a> and the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Recourse Center for more information.</p>	<b>Electronic Surety Bond in NMLS</b>

Complete	NE Mortgage Banker Registration Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name:</b> Submit an ACN for a deletion of an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days must be provided for this change.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p>	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Acknowledgement of Filing:</b> Upload a file stamped copy of the Acknowledgement of Filing received from the Nebraska Secretary of State.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	NE Mortgage Banker Registration Change of Legal Status Amendment Items	Submitted via...
<p><b>Note:</b> In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).</p>		
<input type="checkbox"/>	<p><b>Change of Legal Status:</b> Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 30 Days must be provided for this change.</p>	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Legal Status Documentation:</b> Upload copies of documentation showing the change of legal status.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Formation Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	NE Mortgage Banker Registration Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</p>	<b>NMLS</b>

Complete	NE Mortgage Banker Registration Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Direct Owners/Executive Officers:</b> Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.</p> <p><b>Note:</b> Control Persons must also be reported on the Individual (MU2) Form.</p>	NMLS
<input type="checkbox"/>	<b>Change of Ownership:</b> \$200	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	<p><b>Change of Control Person:</b> \$200. This fee is only collected for the addition of a control person.</p>	NMLS (Agency Fee Invoice)
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required for mortgage banker company registration.	N/A
<input type="checkbox"/>	<b>Change of Control Documentation:</b> If the change of control involves the transfer of ownership interest, upload a narrative describing the nature of the change of ownership and copies of all legal documents associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.	<b>Upload in NMLS:</b> under the Document Type <u>ACN Related Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Management Chart:</b> Upload a post-transaction management chart	<b>Upload in NMLS:</b> under the Document Type <u>Management Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	NE Mortgage Banker Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Indirect Owners:</b> Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	<b>Change of Ownership:</b> \$200	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	<b>Change of Control Person:</b> \$200. This fee is only collected for the addition of a control person.	NMLS (Agency Fee Invoice)
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A
<input type="checkbox"/>	<b>Criminal Background Check:</b> All Officers/Directors are required to authorize the pull of a current criminal background check through the NMLS. The CBC for new officers/directors should be pulled at the time of, or slightly prior to, the Advance Change Notice submission through the NMLS. When pulling the CBC, the MU2 will need to give Nebraska authorization to view the record.	NMLS
<input type="checkbox"/>	<b>Change of Control Documentation:</b> If the change of control involves the transfer of ownership interest, upload a narrative describing the nature of the change of ownership and copies of all legal documents associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements	<b>Upload in NMLS:</b> under the Document Type <u>ACN Related Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Organizational Chart:</b> Upload a post transaction organizational chart	<b>Upload in NMLS:</b> under the Document Type <u>Organizational Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1).



Complete	NE Mortgage Banker Registration Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Disclosure Question(s):</b> Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Changing a Response from No to Yes:</b> Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<b>Changing a Response from Yes to No:</b> 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” for company or each control person. You may also upload a document (PDF) related to the explanation. See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.	<b>NMLS</b>

Complete	NE Mortgage Banker Registration Miscellaneous Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Registered Agent Designation and Consent Form:</b> The Department requires the written consent of the registered agent. Mail an original new Registered Agent Designation and Consent Form if you are changing your registered agent. Name document <i>Nebraska Registered Agent Form</i> and upload in NMLS under <u>Management Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1). <a href="#">Click to download form.</a>	<b>Mail to Nebraska</b>
<input type="checkbox"/>	<b>Revisions to MCR or FC filings:</b> If a revision is being made to a previously submitted Mortgage Call Report or Financial Condition filing, provide an explanation for the changes. Include your company name and NMLS ID# in the subject line.	<b>Email to Nebraska:</b> <a href="mailto:dob.mortgage@nebraska.gov">dob.mortgage@nebraska.gov</a>