



NJ Exempt Company Registration Amendment Checklist (Company)

CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, the New Jersey Department of Banking and Insurance 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 *the New Jersey Department of Banking and Insurance* licensing staff by phone at *(609)292-7272, then option 3, then option 2, then option 1* or send your questions via email to bliconline@dobi.nj.gov for additional assistance.

For U.S. Postal Service:

*New Jersey Department of Banking & Insurance
Licensing Services Bureau, Banking
P.O. Box 473
Trenton, NJ 08625*

For Overnight Delivery:

*New Jersey Department of Banking &
Insurance
Licensing Services Bureau, Banking
20 West State Street, 8th Floor
Trenton, NJ 08608*

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 Legal Name:
- [Change of Main Address](#)
 - Change of Main Address
- [Addition or Modification of Other Trade Name](#)
 - Addition of Other Trade Names
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Addition or Modification of Qualifying Individuals](#)
- [Change of Disclosure Question\(s\)](#)

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	NJ Exempt Company Registration Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Legal Name: 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.</p>	NMLS
<input type="checkbox"/>	<p>Surety Bond Rider: Upload and mail an original NJ Exempt Company Registration surety bond rider (or new bond if applicable) that reflects the entity's new legal name. The name of the principal insured on the bond must match exactly the full legal name of applicant, including any Other Trade Names.</p>	<p>Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> <p>AND</p> <p>Mail to the New Jersey Department of Banking and Insurance</p>
<input type="checkbox"/>	<p>Formation Documents: Formation Documents must be submitted related to this change type.</p> <p>Determine classification of applicant's legal status and submit a State certified copy of the requested applicable documentation detailed below. Original formation documents and all subsequent amendments, thereto including a list of any name changes.</p> <p>Sole Proprietor</p> <ul style="list-style-type: none"> • County Recording Documentation <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company ("LLC"):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and • LLC resolution if authority not in operating agreement. <p>Corporation:</p>	<p>Upload in NMLS: under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	NJ Exempt Company Registration Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status <ul style="list-style-type: none"> ○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or ○ statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating within the State; and (ii) no part of the entity’s net earnings may lawfully benefit any private shareholder or individual; or ○ entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or ○ Any of the three preceding items described, if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate. <p>Trust (Statutory)</p> <ul style="list-style-type: none"> • Certificate of Trust; and • Governing instrument (all amendments). 	

NMLS ID Number	
Licensee Legal Name	

Complete	NJ Exempt Company Registration Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Main Address: 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
<input type="checkbox"/>	Surety Bond Rider: Upload and mail an original an NJ Exempt Company Registration surety bond rider (or new bond if applicable) that reflects the entity's new main address. The name address of the principal insured on the bond must match exactly.	Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). AND Mail to the New Jersey Department of Banking and Insurance
<input type="checkbox"/>	Certificate of Office Suitability: Provide a certification, as prescribed by the commissioner, of office suitability outside of the NMLS. There is a certification of office suitability for offices located in New Jersey and a second certification form for offices to be located outside of New Jersey. The forms may be found at: In-State: http://www.state.nj.us/dobi/banklicensing/rmla/officesuit_nj.pdf Out of State: http://www.state.nj.us/dobi/banklicensing/rmla/officesuit_notnj.pdf	Mail to the New Jersey Department of Banking and Insurance

NMLS ID Number	
Licensee Legal Name	

Complete	NJ Exempt Company Registration Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Other Trade Name: Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type. Show evidence of filing the trade name with the New Jersey Division of Revenue and Enterprise Services or the county recording office (for sole proprietors only).	Upload in NMLS: 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"/>	Surety Bond Rider: Upload and mail an original an NJ Exempt Company Registration surety bond rider (or new bond if applicable) that reflects the entity's new main address. The name address of the principal insured on the bond must match exactly.	Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). AND Mail to the New Jersey Department of Banking and Insurance

NMLS ID Number	
Licensee Legal Name	

Complete	NJ Exempt Company Registration Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Deletion of Other Trade Name: Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Surety Bond Rider: Upload and mail an original an NJ Exempt Company Registration surety bond rider (or new bond if applicable) that reflects the entity's new main address. The name address of the principal insured on the bond must match exactly.	Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). AND Mail to the New Jersey Department of Banking and Insurance

NMLS ID Number	
Licensee Legal Name	

Complete	NJ Exempt Company Registration Change of Legal Status Amendment Items	Submitted via...
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Note: 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).

<input type="checkbox"/>	Change of Legal Status: Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 30 Days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type. Show evidence of filing the trade name with the New Jersey Division of Revenue and Enterprise Services or the county recording office (for sole proprietors only).	Upload in NMLS: 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"/>	Surety Bond Rider: Upload and mail an original an NJ Exempt Company Registration surety bond rider (or new bond if applicable) that reflects the entity's new main address. The name address of the principal insured on the bond must match exactly.	Upload in NMLS: under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1). AND Mail to the New Jersey Department of Banking and Insurance

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

Complete	NJ Exempt Company Registration Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Direct Owners/Executive Officers: 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.	NMLS
<input type="checkbox"/>	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	Credit Report: 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 a license request for your company can be filed through NMLS.	NMLS
Note	MU2 Individual FBI Criminal Background Check Not Required Through NMLS: are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A
<input type="checkbox"/>	Addition or Modification of Direct Owners/Executive Officers: Upload copies of the following documents (where appropriate): <ul style="list-style-type: none"> • Upload a corporate resolution or amended LLC operating agreement appointing new executive officers • Upload a copy of stock purchase agreement or membership interest purchase agreement evidencing proposed ownership changes. Fully executed document required upon transaction closing if not available before. • Upload organizational charts pre- and post-transaction closing. 	Upload in NMLS: under the Document Type <u>Advanced Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	NJ Exempt Company Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
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Complete	NJ Exempt Company Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Indirect Owners: 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"/>	Credit Report for Control Persons: \$15 per control person.	NMLS (Filing submission)
<input type="checkbox"/>	Credit Report: 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 a license request for your company can be filed through NMLS.	NMLS
Note	MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A
<input type="checkbox"/>	Addition or Modification of Indirect Owners: Upload copies of the following documents (where appropriate): <ul style="list-style-type: none"> • Upload a copy of stock purchase agreement or membership interest purchase agreement evidencing proposed ownership changes. Fully executed document required upon transaction closing if not available before. • Upload organizational charts pre- and post-transaction closing. 	Upload in NMLS: under the Document Type <u>Advanced Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	NJ Exempt Company Registration Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) 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" for company or each control person. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<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 may select "Add Explanation for "No" Responses" and provide an explanation for each response that changes from "Yes" to "No" for company or	NMLS

Complete	NJ Exempt Company Registration Change of Disclosure Question(s) Amendment Items	Submitted via...
	<p>each control person. You may also upload a document (PDF) related to the explanation.</p> <p>See the Company Disclosure Explanations Quick Guide for instructions.</p>	