



# OH Precious Metals Dealer Amendment Checklist (Branch)

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## CHECKLIST SECTIONS

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

### Instructions

When making changes to your record in NMLS, Ohio 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 Quick Guide](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

### Agency Contact Information

Contact a licensing staff member at (614) 644-6484 or [webdfi-cf@com.state.oh.us](mailto:webdfi-cf@com.state.oh.us).

THE REGISTRANT/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 Branch Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Addition or Modification of Qualifying Individual](#)
- [Change of Branch Manager 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.

Complete	OH Precious Metals Dealer (Branch) Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Branch Address:</b> Submit an ACN for a change of Branch Address through the Branch Form (MU3) in NMLS. <b>15 Days'</b> notice must be provided for this change.	<b>NMLS</b>
Note	<b>Change of Branch Address:</b> <ul style="list-style-type: none"> <li>• \$0 per license, unless moving outside of the municipal corporation.</li> <li>• \$500 if there is a change in municipal corporation.</li> </ul> <p><b><u>Ohio will invoice the company via NMLS for the relocation amount due. This must be paid in full prior to the license being issued. There is no fee if the address remains within the current municipal corporation.</u></b></p>	<b>NMLS (Agency Fee Invoice)</b>
<input type="checkbox"/>	<b>Municipality change:</b> Upload the <b>municipality</b> of this proposed office. <u>This document should be named <i>Municipality</i></u>	<b>Upload in NMLS:</b> under <u>Advance Change Notice</u> in the Document Uploads section of the Company Form (MU1).
<input type="checkbox"/>	<b>Books and Records Location:</b> In the “Books and Records” section of the Form MU3, update/confirm the name, title, address, and telephone number of the record custodian responsible for maintaining documents/information.	<b>NMLS</b>
<input type="checkbox"/>	<b>Document Samples:</b> Upload copies of the following sample documents used in the regular course of business in connection with this branch license transition: <ul style="list-style-type: none"> <li><input type="checkbox"/> Samples or copies of your <b>Purchase Forms/Receipt Forms</b> indicating the company name and address.</li> <li><input type="checkbox"/> The <b>days and business hours</b> of this office.</li> <li><input type="checkbox"/> A copy of the <b>local law enforcement</b> contact person and method of providing information.</li> </ul> <p>These documents should be named (<i>Branch License Number</i>) [<i>Name of Document Sample</i>].</p>	<b>Upload in NMLS:</b> under <u>Document Samples</u> in the Document Uploads section of the Company Form (MU1).

Complete	OH Precious Metals Dealer (Branch) 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 or change to an Other Trade Name through the Branch Form (MU3) in NMLS. <b>15 days'</b> notice must be provided for this change.  If operating under an “Other Trade Name”, upload <b>Ohio Secretary of State Trade Name Certificate of Registration</b> regarding ability to do business under that trade name.	<b>NMLS</b>

Complete	OH Precious Metals Dealer (Branch) Addition or Modification of Other Trade Name Amendment Items	Submitted via...
	<p>This document should be named <i>OH-Trade Name-Assumed Name</i>.</p> <p><b>Note:</b> When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</p> <p><b>Note:</b> There is no fee for an addition or modification of other trade name.</p>	
<input type="checkbox"/>	<p><b>Electronic Surety Bond:</b> If the company chooses to maintain an ESB and if the ESB is affected by the addition/modification of an Other Trade Name, Licensees must contact the surety bond producer to inform them of the change and effective date. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p>	<p><b>Electronic Surety Bond in NMLS</b></p>

Complete	OH Precious Metals Dealer (Branch) 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 Other Trade Name through the Branch Form (MU3) in NMLS. <b>15 days'</b> notice must be provided for this change.</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Electronic Surety Bond:</b> If the company chooses to maintain an ESB and if the ESB is affected by the deletion of an Other Trade Name, Licensees must contact the surety bond producer to inform them of the change and effective date. Visit the <a href="#">ESB for NMLS Licensees page</a> of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p>	<p><b>Electronic Surety Bond in NMLS</b></p>

Complete	OH Precious Metals Dealer (Branch) Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Branch Manager:</b> Submit an ACN for an addition or change in Branch Manager within the Branch Form (MU3) in NMLS. <b>30 Days'</b> notice must be provided for this change.	<b>NMLS</b>
Note	<b>Credit Report:</b> Branch Managers are NOT required to authorize a credit report.	<b>N/A</b>
Note	<b>MU2 Individual FBI Criminal Background Check:</b> Not Required Through NMLS.	<b>N/A</b>

Complete	OH Precious Metals Dealer (Branch) Change to Branch Manager 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 Branch Manager's Individual Form (MU2) 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 the Branch Manager.  See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the 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" for the Branch Manager, 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 the Branch Manager. You may also upload a document (PDF) related to the explanation.  See the <a href="#">Individual Disclosure Explanations Quick Guide</a> and the <a href="#">Disclosure Explanations - Document Upload Quick Guide</a> for instructions.	<b>NMLS</b>