



# OH Residential Mortgage Lending Act Letter of Exemption Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## 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](#)
- [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 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](#)
  - Change of Main Address: \$15 per license
- [Change of Legal Status](#)
- [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.

Complete	OH Residential Mortgage Lending Act Letter of Exemption 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. <b>30 Days</b> notice must be provided for this change.	<b>NMLS</b>
Note	<b>Change of Legal Name Fee:</b> \$0 per license	<b>N/A</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload 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>If a new surety bond is needed, use the Surety Bond Form found <a href="#">here</a>.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> <p>This document should be named <i>Surety Bond (or Surety Bond Rider) [effective date]</i>.</p>
<input type="checkbox"/>	<p><b>Formation Documents:</b> 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><b>Unincorporated Association:</b></p> <ul style="list-style-type: none"> <li>• By-Laws or constitution (including all amendments).</li> </ul> <p><b>General Partnership:</b></p> <ul style="list-style-type: none"> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Company (“LLC”):</b></p> <ul style="list-style-type: none"> <li>• Articles of Organization (including all amendments);</li> <li>• Operating Agreement (including all amendments);</li> <li>• IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and</li> <li>• LLC resolution if authority not in operating agreement.</li> </ul> <p><b>Corporation:</b></p> <ul style="list-style-type: none"> <li>• Articles of Incorporation (including all amendments);</li> <li>• By-laws (including all amendments), if applicable;</li> <li>• Shareholder Agreement (including all amendments), if applicable;</li> <li>• IRS Form 2553 if S-corp treatment elected; and</li> </ul>	<p><b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p> <p>This document should be named <i>Formation Documentation [Date of Creation (MM-DD-YYYY)]</i>.</p>

Complete	OH Residential Mortgage Lending Act Letter of Exemption Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> <li>• Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable.</li> </ul> <p><b>not for Profit Corporation</b></p> <ul style="list-style-type: none"> <li>• Documents requested of a Corporation; and</li> <li>• Proof of nonprofit status <ul style="list-style-type: none"> <li>○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or</li> <li>○ 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</li> <li>○ entity’s certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or</li> <li>○ 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.</li> </ul> </li> </ul> <p><b>Trust (Statutory)</b></p> <ul style="list-style-type: none"> <li>• Certificate of Trust; and</li> <li>• Governing instrument (all amendments).</li> </ul>	

Complete	OH Residential Mortgage Lending Act Letter of Exemption 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. <b>10 Days</b> must be provided for this change.</p>	<p><b>NMLS</b></p>

Complete	Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<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. <b>10 Days</b> notice must be provided for this change.	NMLS
<input type="checkbox"/>	<b>Credit Report:</b> Individuals in a position of <a href="#">control</a> 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
<input type="checkbox"/>	<b>Credit Report for Control Persons:</b> \$15 per control person.	NMLS (Filing submission)
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A

Complete	OH Residential Mortgage Lending Act Letter of Exemption 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. <b>30 Days</b> notice must be provided for this change.	NMLS
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A

Complete	Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Qualifying Individual:</b> Submit an ACN for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS. <b>30 Days</b> notice must be provided for this change.	NMLS
Note	<b>Change of Qualifying Individual:</b> \$0 per license	N/A

Complete	Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
Note	<b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.	N/A
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Qualifying Individuals are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A

Complete	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.	NMLS
<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 may 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.	NMLS