Instructions

1. Licensees are required to keep all material information on file with NMLS current and accurate. If the information contained in the application or on file with the Pennsylvania Department of Banking and Securities changes in any material respect, the licensee must notify the Department of the change within 10 days after the change.

2. There are no Department or NMLS processing fees for amendments.

3. Any change of address, change of name, or change in control person (including the Qualifying Individual, must also be reported on the applicable Form MU1 and Form MU2.

4. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

   **For U.S. Postal Service:**
   The Pennsylvania  
   Department of Banking and Securities  
   Non-Depository Licensing Division  
   17 N 2nd Street  
   Ste 1300  
   Harrisburg, PA 17101-2290

   **For Overnight Delivery:**
   The Pennsylvania  
   Department of Banking and Securities  
   Non-Depository Licensing Division  
   17 N 2nd Street  
   Ste 1300  
   Harrisburg, PA 17101-2290
NMLS Unique ID Number: __________________________
Applicant Legal Name: ______________________________________

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<td>CHANGE IN BUSINESS OWNERSHIP. Provide certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.</td>
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| ☐     | N/A      | ☐              | CHANGE IN BUSINESS NAME. A certified copy of:  
  - Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau  
    - *Upload this document in NMLS under the Document Type “Trade Name/Assumed Name Registration Certificates” in the Document Uploads section of the Company (MU1) Form.*  
  - The Articles of Incorporation (if a corporation), or  
  - The Articles of Organization and Operating Agreement (if a Limited Liability Company), or  
  - The Partnership Agreement (if a partnership of any form)  
    - *Upload these documents in NMLS under the Document Type “Formation Document” in the Document Uploads section of the Company (MU1) Form.*  
  
  See the Document Upload Quick Guide for formatting instructions, upload instructions and document descriptions and examples.  

  Questions: Contact PA Dept of State @ (888) 659-9962 or (717) 787-1057  

  **If the company structure changes, (i.e. sole prop to Inc. or LLC to Inc. etc.) a new application must be completed.**  

| ☐     | N/A      | ☐              | ADDITION OR CHANGE TO DBA. A certified copy of:  
  - Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau  
  Upload this document in NMLS under the Document Type “Trade Name/Assumed Name Registration Certificates” in the Document Uploads section of the Company (MU1) Form. See the Document Upload Quick Guide for formatting instructions, upload instructions and document descriptions and examples.  

  Questions: Contact PA Dept of State @ (888) 659-9962 or (717) 787-1057 |
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<td><strong>CHANGE IN CONTROL PERSON OR QUALIFIED INDIVIDUAL.</strong></td>
<td>A change in any control person or a change in any person designated as a qualified individual or branch manager of a licensed office must be reported as an Amendment on the Company (MU1) Form filing with a new Individual (MU2) Form submitted through the NMLS. Criminal background, credit check and tax certificate are required in most circumstances. See the new application checklists for details on the requirements of criminal history background checks, credit history checks and tax certification.</td>
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<td><strong>DISCLOSURE QUESTIONS.</strong></td>
<td>Provide complete details of all events or proceedings for any “Yes” answer to any of the Disclosure questions for company or any new control person or branch manager, if not already disclosed to the Department. Include copies of the respective criminal or civil court documents, administrative orders and/or other related public documents.</td>
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<td><strong>CHANGE TO BOOKS AND RECORDS LOCATION.</strong></td>
<td>A change in the address of business books and records to a location other than the principal place of business, when approved by the department through NMLS, is deemed an approved alternate site record keeping location for purposes of the Mortgage Act and will furthermore constitute as a valid change or termination of an existing alternate site record keeping order.</td>
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**WHO TO CONTACT** – Contact the PA Department of Banking and Securities, Non-Depository licensing staff by phone at (717) 787-3717 or send your questions via e-mail to ra-asklicensing@pa.gov for additional assistance.

**THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING.** THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.