Instructions:

When making changes to your record in NMLS the RI Division of Banking ("Division") requires advance notification for some changes, see checklist below for details.

Fees:

1. The Division does not require fees for any amendment entered on NMLS but there may be a NMLS process associated with some changes.

2. Advance Change Notification ("ACN") is required for the following amendments:
   - Change of Address
   - Change of Name
   - Change of Ownership
   - Change of Control Person (Ex. Officers, Directors, Qualifying Individual etc.)

Note: Please submit the ACN on NMLS at least 90 days prior to the effective date of the actual event. The NMLS setting for ACN’s for the Division is set at 90 days but if the change will occur earlier than 90 days and the Division takes issue with the insufficient notification, the Division will post a deficiency on your filing asking for further information as to the reason for the insufficient notification if the Division deems it necessary.

How to submit Agency specific documents

1. If you are required to upload document(s) on NMLS for an ACN:
   a. In the NMLS document upload section; you must select ACN type.
   b. Documents required to be uploaded through ACN section are considered proposed documents. Therefore, you will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date. If there isn’t a document type available for a specific ACN event you must mail document(s) directly to the Division.

2. If you are required to upload documents for an amendment that doesn’t require ACN:
   a. In the NMLS document upload section, select the applicable document type.

3. If you are required to provide document(s) outside of NMLS the Division will notify you by posting a deficiency or requirement on your NMLS filing. If you are requested to mail in any documentation or you wish to send correspondence to the Division please use the following address:

   RI Department of Business
   Regulation
   Division of Banking
   1511 Pontiac Avenue,
   Building 68-1
   Cranston, RI 02920
### NMLS Unique ID Number: __________________

### Applicant Legal Name: ______________________________________

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<th>FILED IN NMLS</th>
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<th>NOT APPLICABLE</th>
<th>REQUIRED ADVANCE CHANGE NOTICE ITEM</th>
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<td><strong>CHANGE OF LEGAL NAME:</strong> Submit an ACN for a Change of Legal Name through the Company (MU1) form in NMLS at least 90 days prior to the effective date of the amendment.</td>
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|               |          |                | **DOCUMENTS REQUIRED FOR CHANGE OF LEGAL NAME:** Upload and/or submit the following documents:  
  - Upload a copy of the executed amendment to legal formation documents in NMLS;  
  - Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: [http://sos.ri.gov/](http://sos.ri.gov/) reflecting the applicable amendment;  
  - Upload a copy of the bond rider with applicable surety’s power of attorney form reflecting the amendment in NMLS AND submit the Original Document to the Division. |
|               | N/A      |                | **CHANGE OF MAIN ADDRESS:** Submit an ACN for a Change of (Corporate) Main Address through the Company (MU1) form in NMLS at least 90 days prior to the effective date of the amendment. |
|               |          |                | **DOCUMENTS REQUIRED FOR ACN OF CHANGE OF MAIN ADDRESS:** Upload and/or submit the following documents:  
  - Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: [http://sos.ri.gov/](http://sos.ri.gov/) reflecting the applicable amendment;  
  - Upload a copy of the bond rider with applicable surety’s power of attorney form reflecting the amendment in NMLS AND submit the Original Document to the Division. |
|               | N/A      |                | **ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES/ASSUMED NAME:** Submit an ACN for a Change of Trade Name and/or Assumed Name through the Company (MU1) form through NMLS 90 days prior notice must be given for this change. |
|               |          |                | **DOCUMENTS REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):** Upload and/or submit the following documents:  
  - Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: [http://sos.ri.gov/](http://sos.ri.gov/) reflecting the applicable amendment;  
  - Upload a copy of the bond rider with applicable surety’s power of attorney form reflecting the amendment in NMLS AND submit the Original Documents to the Division; and |
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<th>Topic</th>
<th>Details</th>
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<td><strong>CHANGE OF LEGAL STATUS.</strong></td>
<td>Submit an ACN for a Change of Legal Status through the Company (MU1) form in NMLS at least 90 days prior to the effective date of the amendment.</td>
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| **DOCUMENTS REQUIRED FOR ACN OF CHANGE OF LEGAL STATUS:** | Upload copies of the following documents:  
- Upload a copy of the executed amendment to legal formation documents in NMLS;  
- Upload the print out of the Licensee’s filing with the RI Secretary of State from their website: [http://sos.ri.gov/](http://sos.ri.gov/) reflecting the applicable amendment;  
- Upload a copy of the bond rider with applicable surety’s power of attorney form reflecting the amendment in NMLS AND submit the Original Documents to the Division. |
| **ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES.** | Upload the change in Affiliates/Subsidiaries within the Company (MU1) Form through NMLS within 24 hours of the effective date of the amendment. |
| **DOCUMENTS REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF AFFILIATES/SUBSIDIARIES** | Upload copies of the following documents:  
- Upload an updated organizational chart in the applicable documents upload section of the (Company) MU1 filing. |
| **ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS/DIRECTORS AND OTHER CONTROL PERSONS.** | Submit an ACN for a Change of Control person(s) listed above through the Company (MU1) form in NMLS at least 90 days prior to the effective date of the amendment.  
Note: Control Persons must also be reported on the Individual (MU2) Form. |
| **DOCUMENTS REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS/OTHER CONTROL PERSONS:** | Upload copies of the following documents:  
- Request a credit report in NMLS or if individual does not have a Social Security Number, then submit a signed personal financial statement representing their respective financial position within the 90 day period immediately preceding the addition of the person(s) in NMLS to the Division.  
- Disclosure Questions that are answered affirmatively (“yes”) on NMLS must include a written explanation in NMLS and applicable legal documents supporting the explanation must be uploaded in NMLS. |
<p>| <strong>ADDITION OR MODIFICATION OF INDIRECT OWNERS.</strong> | Upload the change in indirect owners within the Company (MU1) Form through NMLS within 24 hours of the effective date of the amendment. |
| <strong>DOCUMENTS REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF INDIRECT OWNERS:</strong> | Upload copies of the following documents: |</p>
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- Upload an updated organizational chart in the applicable documents upload section of the (Company) MU1 filing.

**ADDITION OR MODIFICATION OF QUALIFYING INDIVIDUALS:**
Submit an ACN for a Change of Qualifying Individual through the Company (MU1) form in NMLS at least 90 days prior to the effective date of the amendment. Note: Qualifying Individuals must also be reported on the Individual (MU2) Form as they are considered control persons.

**DOCUMENTS REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF QUALIFYING INDIVIDUALS:**
Upload copies of the following documents:
- Request a credit report in NMLS or if individual does not have a Social Security Number, then submit a signed personal financial statement representing their respective financial position within the 90 day period immediately preceding the addition of the person(s) in NMLS to the Division.
- Disclosure Questions that are answered affirmatively (“yes”) on NMLS must include a written explanation in NMLS and applicable legal documents supporting the explanation must be uploaded in NMLS.

**MU2 Individual FBI Criminal Background Check Requirements:** When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.

**Direct Owners**
- Natural Persons who directly or indirectly, own 10% or more of the applicant.

**Executive Officers**
- Executive Officers (CEO, President, Executive Vice President, Treasurer, Secretary, CFO, COO, CIO, CCO) or those serving similar functions, and any others required by the Director of Department of Business Regulation.

**Indirect Owners**
- Natural persons who own 10% or more of a direct or indirect owner of the applicant.

**Qualifying Individuals**
- All Qualifying Individuals, unless licensed as a Rhode Island Mortgage Loan Originator.

After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.

See the Quick Guides - Company section of the NMLS Resource Center for more information.

**Note:** If you are able to ‘Use Existing Prints’ to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.
CHANGES TO DISCLOSURE QUESTIONS FOR COMPANY:
Disclosure Questions that are answered affirmatively ("yes") on NMLS must include a written explanation in NMLS and applicable legal documents supporting the explanation must be uploaded in NMLS.

WHO TO CONTACT – Contact licensing staff by phone at (401) 462-9503 or send your questions via e-mail to dbr.bankinquiry@dbr.ri.gov for additional assistance.

THE REGISTRANT IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE AMENDING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.