



BRANCH (MU3) AMENDMENTS

Branch (MU3) Forms may require amendment in NMLS:

- As revisions are required by one or more regulators
- As information in your record changes
- As actions occur that require disclosure questions to be updated
- As branch managers are replaced

Many revisions only require updates to the appropriate section of the Branch (MU3) Form in NMLS; other revisions may require Advance Change Notice (ACN) to a regulator with documentation filed through NMLS. The [State Licensing](#) Page on the NMLS Resource Center includes Amendment Checklists for each license type in NMLS, selectable by state. Find the Amendment checklist for the license type(s) you are updating to review the state agency's instructions.

ACN may be required for the categories below. The links below provide specific instructions to make respective ACN changes.

- [Branch Main Address \(Identifying Information section\)](#)
- [Other Trade Names Addition](#)

Review the State Licensing Requirement Amendment checklist(s) to clarify state-specific requirements. Some states may require more or less notice for a given amendment, fees associated to the changes, and/or additional supplemental documentation. Effective Dates for changes may be entered up to 120 days in advance.

NOTE: If your state agency does not require you to report an ACN for a given change, enter the date on which a change to a licensee's NMLS information is intended to be effective as the Effective Date.

Changes to branch managers do not require advance notice, but instructions to make these amendments are available below.



[How to Change Branch Managers](#)

How to amend the Branch (MU3) Form

Log in to your branch record and follow the steps below:

The screenshot shows the NMLS system interface. At the top, the user is logged in as AndrewsDM. The navigation menu includes HOME, FILING (highlighted with a red box and number 1), MLO TESTING & EDUCATION, TASKS, COMPOSITE VIEW, RENEWALS, ADMIN, and REPORTS. Below the navigation menu, the breadcrumb trail shows Company (MU1), Branch (MU3) (highlighted with a red box and number 2), Individual, Financial Statements, MCR, Access, and Relationships. The main content area is titled 'Branch Filing(s)' and contains the following text:

You can manage filings for new and existing branches using the actions described below.



AVAILABLE ACTIONS	FUNCTION
Create New Filing	<ul style="list-style-type: none">Request a new license or transition an existing license.Withdraw a license application or surrender an existing license.Make amendments to your branch record or provide Advance Change Notice to the regulator of upcoming changes to your branch record.
	Complete and submit the pending filing.
	Delete the pending filing, including any pending changes.

NOTE: A filing cannot be submitted until you resolve any outstanding completeness checks on the Attest and Submit screen. A submitted filing will be stored as the branch's record for subsequent submissions.


There are no pending filings. Use the button below to create a new filing.

At the bottom of the page, a red box highlights the 'Create New Filing' button, with a red box and number 3 next to it.

1. Click the **Filing** tab.
2. Click the **Branch (MU3) Form** link on the submenu.
3. Click the **Create New Filing** button.

NOTE: If you do not see the **Create New Filing** button, you may already have a pending filing; in this instance, click the **Edit** icon () to continue editing the Branch (MU3) filing or the red () to delete the pending filing.

4. Click each section of the Form from the left navigation panel that needs to be amended and save any changes.


Logged in as AndrewsDM | [Logout](#) | [andrewsdm@lender.org](#) | [edit](#) | [Resource Center](#)

[HOME](#) | [FILING](#) | [MLO TESTING & EDUCATION](#) | [TASKS](#) | [COMPOSITE VIEW](#) | [RENEWALS](#) | [ADMIN](#) | [REPORTS](#)

[Company \(MU1\)](#) | [Branch \(MU3\)](#) | [Individual](#) | [Financial Statements](#) | [MCR](#) | [Access](#) | [Relationships](#)

You are currently:

★ State ▼

- Business Activities
- Request License
- License/Registration Information
- Identifying Information
- Other Trade Names
- Resident/Registered Agent
- Web Addresses
- Contact Employees
- Books and Records Information
- Approvals and Designations
- Bank Accounts
- Legal Status
- Affiliates/Subsidiaries
- Financial Institutions
- Disclosure Questions
- Disclosure Explanations
- Direct Owners and Executive Officers
- Indirect Owners
- Qualifying Individuals
- Document Uploads
- MU2 Forms
- [Attest and Submit](#) 5

Attest and Submit

Metropolitan Lenders (45427) MU1 filing created 3/24/2014 by AndrewsDM. [?/ HELP](#)

! Please be aware that certain information from this filing and related to your licenses/registrations will be considered public. For details on what is considered public, [click here](#).

Completeness Checks

All completeness checks are clear. You can attest to the filing below for submission.

Subject	Fee Type	Amount
Total Charges		\$0.00

I [Dave Michael Andrews](#) of [Metropolitan Lenders \(45427\)](#) (Applicant) on this date [Monday, March 24, 2014](#) swear (or affirm) as follows, that I executed this form on behalf, and with the authority, of said Applicant and said Applicant agrees to and represents the following:

- (1) That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;
- (2) To the extent any information previously submitted is not amended, such information remains accurate and complete;
- (3) To the extent any information submitted is part of an advance change notice with a delayed effective date, such information is accurate and complete as of this submission;
- (4) That the jurisdiction(s) to which an application is being submitted may conduct any investigation into the background of the applicant, and any related individuals or entities, in accordance with all laws and regulations for purposes of making a determination on the application;
- (5) To keep the information contained in this form current and to file accurate supplementary information on a timely basis; and
- (6) To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which the applicant is applying.

If the Applicant has knowingly made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, then the foregoing application may be denied.

I verify that I am the named person above and that I am authorized to attest to and submit this filing on behalf of the Applicant.

[Attest and Submit](#)

5. Click the **Attest and Submit** link from the left navigation panel.
6. If all completeness checks pass, review the attestation language, attest and submit.

Branch Main Address Change (Identifying Information section)

The image below highlights the sections of the Identifying Information screen that trigger an ACN.

Identifying Information

Main address (Do not use a PO Box):
Number & Street: 1101 Duke Street
City: Alexandria
State: Virginia
Country / Province: United States
Postal Code: 22314

Do you want to amend your main address?
If yes, check here:

New main address (Do not use a PO Box):
New Number & Street:
New City:
New State:
New Country / Province:
New Postal Code:
Effective Date: (MM/DD/YYYY)

Mailing address:
 Main Address
PO Box or Number & Street: 901 Semmes Avenue
City: Richmond
State: Virginia
Country / Province: United States
Postal Code: 23224


Business phone, fax and email address:
Business Phone: 804-291-0025
Fax Line: 804-291-0278
Email Address: test@test.com

ACN
Amendment

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Branch (MU3)** link from the submenu.

4. Click the **Create New Filing** button.
5. Click the **Identifying Information** link from the left navigation panel.
6. Select the box, answering “yes”, to *Do you want to amend your main address?*

Do you want to amend your main address?

6. If yes, check here: 

7. Enter your entity’s new address.
8. Enter the change’s Effective Date.

Do you want to amend your main address?

If yes, check here:

New main address (Do not use a PO Box):

7. New Number & Street:

New City:

New State:

New Country / Province:

New Postal Code:

8. Effective Date: (MM/DD/YYYY)

9. Click the **Save** button.
10. Click the **Attest and Submit** link from the left navigation panel.
11. If all completeness checks pass, review the attestation language, then attest and submit.

Other Trade Name(s) Addition

The image below highlights the sections of the Other Trade Names screen that trigger an ACN.


Other Trade Names


Total Charges: \$0.00


All other trade names (i.e. business names, fictitious names, or "doing business as" names) used by your company must be identified below. Review the [state licensing requirements](#) for rules and restrictions regarding other trade names including guidelines for providing advance change notice.

AVAILABLE ACTIONS FUNCTION

Add Request a new other trade name.

 Edit an other trade name or an existing change notice.

 Undo the changes made to an other trade name.

 Delete an other trade name.

Cancel Withdraw (undo) an existing change notice.


Unsubmitted Change Notices

This table lists other trade names that have been created, modified, removed, amended, or cancelled on the current pending filing.

No unsubmitted change notices exist on this filing.

Other Trade Names

This table lists other trade names currently on record and change notices that have been submitted but are not yet effective.

Name	Industry Type(s)	State(s)	Existing Change Notice Type	Available Actions	Effective Date
 Crestar Mortgage	Mortgage	Arizona			

ACN

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Branch (MU3)** link in the submenu.
4. Click the **Create New Filing** button.
5. Click the **Other Trade Names** link from the left navigation panel.
6. Click the **Add** button.
7. Enter your entity's new Other Trade Name.
8. Select the **Industry Type**.
9. Enter the change's Effective Date.
10. Select the **State(s)** in which the Other Trade Name will be used. If applicable, check the box under "Forced Name?" for the respective state(s).

Add Other Trade Name

HELP ?

MU3 filing created 7/12/2016



Total Charges: \$0.00

Provide your other trade name below, including the effective date, industry type(s) and state(s) where the name is used to conduct business.

Name:

8. Industry Type Effective Date (MM/DD/YYYY)

Mortgage

Consumer Finance

Debt

Money Services

10. State Effective Date (MM/DD/YYYY)

Alabama

Alaska

Arizona

Arkansas

California

11. Click the **Save** button.

12. Click the **Attest and Submit** link from the left navigation panel.

13. If all completeness checks pass, review the attestation language, then attest and submit.

Standard Amendment Document Uploads

1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Company (MU1)** link in the submenu.
4. Click the **Create New Filing** button.
5. Click the **Document Uploads** link on the left navigation panel.
6. Click the **Add** button.
7. Select the Document Type.



Provide the details below and click **Browse** to select a PDF file (not exceeding 10 MB). Only documents permitted by state agencies relevant to your license(s) can be uploaded. Not all document types allow a state selection.

DO NOT upload documents that are not detailed in the [Document Descriptions and Examples Guide](#).

Status: New

Document Type: **7.**

State: N/A

Comment: **8.**

9. File: No file selected.
(file name 100 chars. max)

10.

NOTE: Only select “Advance Change Notice” as the Document Type for changes requiring ACN. See below (Document Uploads for ACN Events) for further instruction.

8. Enter a Comment related to the file as needed.
9. Browse for the file.
10. Click the **Add** button.

Advance Change Notice Document Uploads

11. Log in to your company NMLS account.
12. Click the **Filing** tab.
13. Click the **Company (MU1)** link in the submenu.
14. Click the **Create New Filing** button.
15. Click the **Document Uploads** link from the left navigation panel.
16. Click the **Add** button.
17. Select the “Advance Change Notice” Document Type.

NOTE: Advance Change Notice is a new Document Type available for upload. All ACN Document Type submissions are considered proposed documents. Upon the effective date of the change, documents must be re-submitted under the appropriate Document Type (do not re-submit under Advance Change Notice as of the effective date). If the submission does not meet an existing Document Type, documents must be mailed to the agency.

18. Enter a Comment related to the file as needed.
19. Browse for the file and click the **Upload & Save** button.

How to Change Branch Managers


1. Log in to your company NMLS account.
2. Click the **Filing** tab.
3. Click the **Branch (MU3)** link in the submenu.
4. Click the **Create New Filing** button.
5. Click the **Branch Managers** link from the left navigation panel.
6. Click the **Edit** icon next to the existing branch manager.

Branch Managers

Alvarado Mortgage Co., baranco, ME Branch (14339) MU3 filing created 3/4/2014 by AlvaradP. HELP

Total Charges: \$0.00

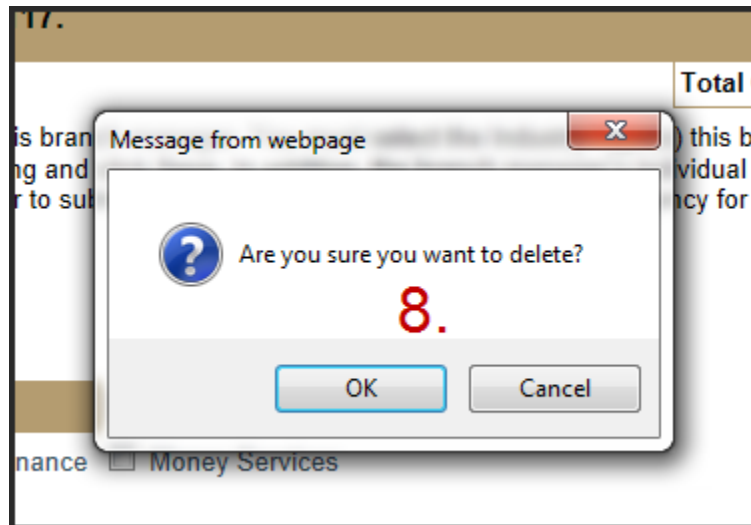
Below are branch managers identified for this branch.

Entity ID	Name	Industry Type(s)
		Mortgage (Kentucky)

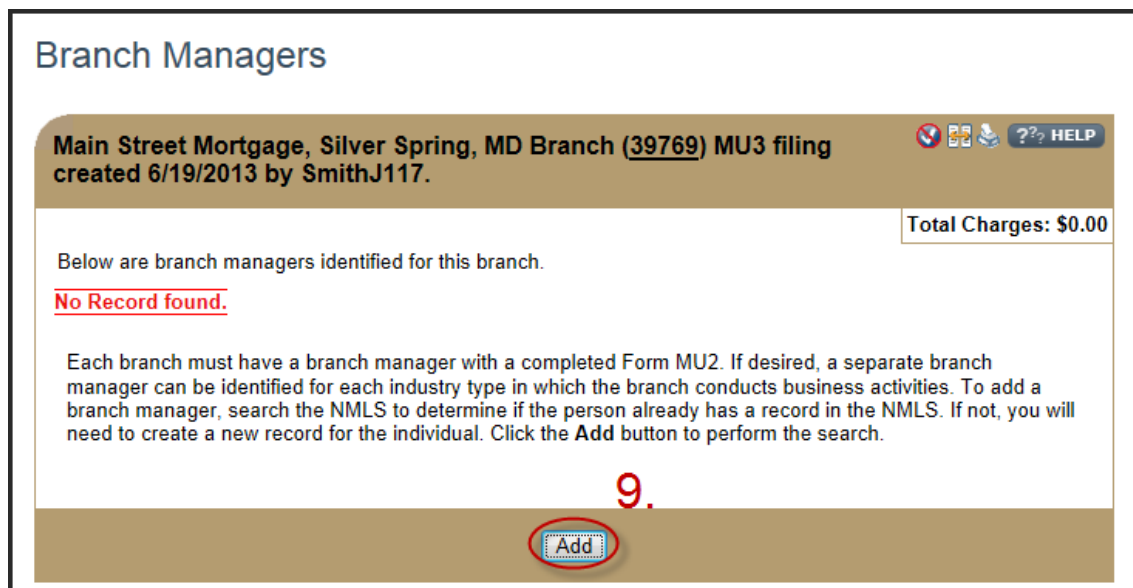
6. Each Branch must have a Branch Manager with a completed Form MU2. If desired, a separate Branch Manager can be identified for each industry type in which the Branch conducts business activities. To add a Branch Manager, search the NMLS to determine if the person already has a record in the NMLS. If not, you will need to create a new record for the individual. Click the **Add** button to perform the search.

Add

7. Click the **Delete** button.
8. Click the **OK** button to confirm you wish to delete the existing branch manager.



9. Click the **Add** button to add the new branch manager.



10. Search for the new branch manager by name or NMLS ID number.

NOTE: To add the individual as the branch manager, they must have already granted the company access to their record.

11. Click the individual's NMLS ID number next to their name.

12. Select the branch manager's industry type and state.

Alvarado Mortgage Co., baranco, ME Branch (14339) MU3 filing created 3/4/2014 by AlvaradP. HELP

Total Charges: \$0.00

A record has been established for this Branch Manager. You must select the Industry Type(s) and state(s) for which this Branch Manager is responsible and click **Save**. In addition, the Branch Manager's individual record (Form MU2) must be completed prior to submission of the branch record to a regulatory agency for licensing or registration.

Entity ID:

Name:

Industry Type(s): Mortgage

12. [Select All](#) | [Deselect All](#)

<input type="checkbox"/> Alabama	<input type="checkbox"/> Illinois	<input type="checkbox"/> Nebraska	<input type="checkbox"/> South Carolina
<input type="checkbox"/> Alaska	<input type="checkbox"/> Indiana	<input type="checkbox"/> Nevada	<input type="checkbox"/> South Dakota
<input type="checkbox"/> Arizona	<input type="checkbox"/> Iowa	<input type="checkbox"/> New Hampshire	<input type="checkbox"/> Tennessee
<input type="checkbox"/> Arkansas	<input type="checkbox"/> Kansas	<input type="checkbox"/> New Jersey	<input type="checkbox"/> Texas
<input type="checkbox"/> California	<input checked="" type="checkbox"/> Kentucky	<input type="checkbox"/> New Mexico	<input type="checkbox"/> US Virgin Islands
<input type="checkbox"/> Colorado	<input type="checkbox"/> Louisiana	<input type="checkbox"/> New York	<input type="checkbox"/> Utah
<input type="checkbox"/> Connecticut	<input type="checkbox"/> Maine	<input type="checkbox"/> North Carolina	<input type="checkbox"/> Vermont

13. Click the **Save** button.

14. Click the **MU2 Forms** link from the left navigation panel.

15. Click the **Request Attestation** icon next to the new branch manager's name. This will send the Individual (MU2) Form to the individual for their review/completion and attestation. The individual must attest to the Individual (MU2) Form before the Branch (MU3) Form can be submitted.

MU2 Forms

Main Street Mortgage, Silver Spring, MD Branch (39769) MU3 filing created 6/19/2013 by SmithJ117.






?? HELP

Total Charges: \$0.00


Below is/are the branch manager(s) that has/have been associated with this branch. Each branch manager must have a complete record (Form MU2) in NMLS and attest to this record before you will be able to submit the filing for this branch.


If a branch manager has not been identified, go to the **Branch Manager** page to identify one.

AVAILABLE ACTIONS FUNCTION

-  Complete or amend a branch manager's MU2 form.
-  Send the branch manager's MU2 form to the branch manager for completion/attestation. (The branch manager will need to log into their individual account and complete the form and attest.)
-  Recall the MU2 form to make additional changes to or resolve completeness checks on the record after attestation has been requested or completed.

15.

Name	Status
 Jordan, Jeremy	Request Attestation

16. After you are notified that the new branch manager has attested, repeat steps 1-3.
17. Click the **Edit** icon () to open your pending Branch (MU3) filing.
18. Click the **Attest and Submit** link from the left navigation panel.
19. If all completeness checks pass, attest to and submit the filing.