



# Alaska Mortgage Broker/Lender License Amendment Checklist (Company)

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## CHECKLIST SECTIONS

[General Information](#)

[Amendments](#)

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, Alaska Division of Banking & Securities requires advance notification for some, but not all changes. See the checklist below for details.

Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE

### Uploading Agency-Specific Documents

If you are required to upload documents to NMLS, 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 *Alaska Division of Banking & Securities* licensing staff via email at [dbs.licensing@alaska.gov](mailto:dbs.licensing@alaska.gov) or by phone at (907) 465-2521

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 Legal Name: \$100 per license
- [Change of Main Address](#)
  - Change of Main Address: \$50 per license
- [Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
  - Change of Control Person: \$300 per added control person
  - Change of Ownership: \$300 per license
- [Addition or Modification of Indirect Owners](#)
  - Change of Indirect Ownership (10% interest or more): \$300
- [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.

Complete	Alaska Mortgage Broker/Lender License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> <a href="#">3 AAC 14.920(c)</a> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<b>Change of Legal Name Fee:</b> \$100 per license <a href="#">[3 AAC 14.920(c)]</a>	NMLS (Filing submission)
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the <a href="#">ESB for NMLS Licensees page</a> for more information.	Electronic Surety Bond in NMLS
<input type="checkbox"/>	<b>Secretary of State/Municipality Documentation:</b> Per the appropriate entity (Corporation/Limited Liability Company/General Partnership); the name filed with the Alaska Division of Corporations, Business and Professional Licensing must match the domicile state name change documents, amended NMLS Company Form and the surety bond rider. These documents are to be uploaded to NMLS within 30 days of the effective date of the Name Change. <ul style="list-style-type: none"> <li>a. Provide a copy of a Certificate of Good Standing or a Certificate of Registration dated not more than 30 days from the filing of this application issued by the <a href="#">State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing</a>.</li> <li>b. Provide a valid Alaska Business License in the new Legal Name</li> </ul>	<b>Upload in NMLS:</b> Document Type <a href="#">Certificate of Authority/Good Standing Certificate</a> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Corporate or Organization Formation Legal Change Documents:</b> Submit certified copies of the corporate or organizational legal documents authorizing the change in legal name that has been filed in the entity's domicile state.	<b>Upload in NMLS:</b> Document Type <a href="#">Formation Documents</a> in the <i>Document Uploads</i> section of the Company Form (MU1).
Complete	Alaska Mortgage Broker/Lender License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. ACN must be 10 days prior to the effective date of the change of main address, failure to do so will result in the rejection of the Advance Change Notice and possible suspension of the license.	NMLS
<input type="checkbox"/>	<b>Change of Main Address:</b> \$50 per license <a href="#">AS 06.60.115</a>	NMLS

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Modification of Other Trade Name:</b> Alaska does not accept modifications to Other Trade Names and requires an additional Other Trade Name license for each new trade name. Please refer to the Alaska Mortgage Broker/Lender License New Application Checklist for instructions.</p> <p><a href="#">[3 AAC 14.059]</a></p>	NMLS
<input type="checkbox"/>	<p><b>Trade Name/Business Name Registration Certificates:</b> Trade Name/Business Name Registration Certificates must be submitted related to this change type. Submit a copy of the Certificate of Business Name Registration issued by the <a href="#">State of Alaska Department of Commerce, Community and Economic Development, Division of Corporations, Business and Professional Licensing</a>.</p>	<p><b>Upload in NMLS:</b> Document Type <a href="#">Trade Name/Assumed Name Registration Certificates</a> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p><b>Corporate or Organization Legal Documents:</b> Submit certified copies of the corporate or organization legal documents authorizing the change of assumed business name/other trade name.</p>	<p><b>Upload in NMLS:</b> Document Type <a href="#">Formation Documents</a> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
Complete	Alaska Mortgage Broker/Lender License 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>		
Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p><b>Organizational Chart/Description:</b> Submit a revised/amended organizational structure chart.</p>	<p><b>Upload in NMLS:</b> under <a href="#">Organizational Chart/Description</a> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<b>NOTE</b>	<b>Removal of Direct Owners/Executive Officers:</b> Advance Change Notices for the <b>removal</b> of Direct Owners/Executive Officers may be submitted at any time. The 30 days prior requirement <b>is for on-boarding</b> new Direct Owners/Executive Officers.	N/A
<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. <a href="#">[3 AAC 14.434]</a>	NMLS
<input type="checkbox"/>	<b>Change of Ownership (10% Interest or More):</b> \$300 per license <b>Note:</b> An Agency Fee Invoice will be put in place in NMLS after the 30-day Advanced Change Notice amendment has been filed. <a href="#">[AS 06.60.130; 3 AAC 14.434]</a>	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	<b>Control Person (MU2) Attestation:</b> Complete the Individual Form (MU2) in NMLS. This form must be attested to by the applicable control person before it is able to be submitted along with the Company Form (MU1). <b>NOTE:</b> Foreign nationals, individuals who do not reside in the US, or individuals who have lived outside the US in the past 10 years must submit criminal background check for all countries the individual has lived in, translated into English, <b>prior</b> to applying for licensure or submitting a Change of Control Advance Change Notice.	NMLS
<input type="checkbox"/>	<b>Change of Control Person:</b> \$300 per control person added <b>Note:</b> An Agency Fee Invoice will be put in place in NMLS after the 30-day Advanced Change Notice amendment has been filed. <a href="#">[AS 06.60.130; 3 AAC 14.434]</a>	NMLS (Agency Fee Invoice)
<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. <a href="#">[3 AAC 14.055]</a>	NMLS
<input type="checkbox"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person. <a href="#">[AS 06.60.027(b)]</a>	NMLS (Filing submission)

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change in Ownership Documents:</b> Submit the follow applicable information related to the change in ownership.</p> <ul style="list-style-type: none"> <li>• Applicable purchase and sales agreements</li> <li>• Merger agreements</li> <li>• Consent to change in ownership agreements</li> <li>• Detailed written description of the effect, if any, to the Alaska licensee(s)</li> </ul> <p>This document should be named <i>ACN – Alaska – Change of Ownership</i>.</p>	<p><b>Upload in NMLS:</b> under <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p><b>Management Chart:</b> Submit an updated management chart showing new control person’s role within the organization.</p>	<p><b>Upload in NMLS:</b> under <u>Management Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
Complete	Alaska Mortgage Broker/Lender License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p><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. <a href="#">[3 AAC 14.434]</a></p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Change of Ownership (10% Interest or More):</b> \$300 per license <b>Note:</b> An Agency Fee Invoice will be put in place in NMLS after the 30-day Advanced Change Notice amendment has been filed. <a href="#">[AS 06.60.130; 3 AAC 14.434]</a></p>	<p><b>NMLS (Agency Fee Invoice)</b></p>
<input type="checkbox"/>	<p><b>Control Person (MU2) Attestation:</b> Complete the Individual Form (MU2) in NMLS. This form must be attested to by the applicable control person before it is able to be submitted along with the Company Form (MU1). <b>NOTE:</b> Foreign nationals, individuals who do not reside in the US, or individuals who have lived outside the US in the past 10 years must submit criminal background check for all countries the individual has lived in, translated into English, <b>prior</b> to applying for licensure or submitting a Change of Control Advance Change Notice.</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Change of Control Person:</b> \$300 per control person added <b>Note:</b> An Agency Fee Invoice will be put in place in NMLS after the 30-day Advanced Change Notice amendment has been filed. <a href="#">[AS 06.60.130; 3 AAC 14.434]</a></p>	<p><b>NMLS (Agency Fee Invoice)</b></p>

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><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.</p> <p><a href="#">[3 AAC 14.055]</a></p>	NMLS
<input type="checkbox"/>	<p><b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.</p> <p><a href="#">[AS 06.60.027(b)]</a></p>	NMLS (Filing submission)
<input type="checkbox"/>	<p><b>Change in Ownership Documents:</b> Submit the follow applicable information related to the change in ownership.</p> <ul style="list-style-type: none"> <li>• Applicable purchase and sales agreements</li> <li>• Merger agreements</li> <li>• Consent to change in ownership agreements</li> <li>• Detailed written description of the effect, if any, to the Alaska licensee(s)</li> </ul> <p>This document should be named <i>ACN – Alaska – Change of Ownership</i>.</p>	<p><b>Upload in NMLS:</b> under <a href="#">Advance Change Notice</a> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p><b>Organizational Chart/Description:</b> Submit a revised/amended organizational structure chart.</p>	<p><b>Upload in NMLS:</b> under <a href="#">Organizational Chart/Description</a> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
Complete	Alaska Mortgage Broker/Lender License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p><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.</p>	NMLS
<input type="checkbox"/>	<p><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.</p> <p>You must provide an explanation for each “Yes” answer to a disclosure question. You must also upload official document (PDF) related to the explanation.</p> <p>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	<p><b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).</p>
<input type="checkbox"/>	<p><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</p>	NMLS

Complete	Alaska Mortgage Broker/Lender License Modification of Other Trade Name Amendment Items	Submitted via...
	<p>associated Disclosure Explanation and provide an Amendment Reason.</p> <p>You must 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 must also upload a document (PDF) related to the explanation.</p> <p>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	