



AK Deferred Deposit Advance Amendment Checklist (Company)

CHECKLIST SECTIONS

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GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Alaska Division of Banking and Securities 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 the Alaska Division of Banking and Securities licensing staff by phone at (907) 465-2521 or send your questions via email to dbs.licensing@alaska.gov for additional assistance.

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: \$300
- [Change of Main Address](#)
 - Change of Main Address: \$300
- [Addition or Modification of Other Trade Name](#)
 - Addition of Other Trade Names: \$300 per license
- [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
- [Addition or Modification of Indirect Owners](#)
 - Change of Control Person: \$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. 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	AK Deferred Deposit Advance License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Legal Name: Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.</p> <p>[AS 06.50.220]</p>	NMLS
<input type="checkbox"/>	<p>Change of Legal Name Fee: \$300</p> <p>Note: The company will be invoiced through NMLS after an ACN amendment has been filed and reviewed.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Agency Fee Invoice)
<input type="checkbox"/>	<p>Formation Documents: Formation Documents must be submitted related to this change type. 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>Sole Proprietor</p> <ul style="list-style-type: none"> • Court documentation of legal name change. <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company (“LLC”):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and • LLC resolution if authority not in operating agreement. <p>Corporation:</p> <ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status 	<p>NMLS: Upload under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	AK Deferred Deposit Advance License Change of Legal Name Amendment Items	Submitted via...
	<ul style="list-style-type: none"> ○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or ○ 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 ○ entity’s certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or ○ 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. 	
<input type="checkbox"/>	<p>Alaska Business License: Upload a current State-issued and approved Alaska Business License (Alaska Division of Corporations, Business, and Professional Licensing).</p> <ul style="list-style-type: none"> • Per AS 43.70.020(a) a business license is required for the privilege of engaging in a business in the State of Alaska. <p>All applicants and licensees are required to have a current Alaska Business License. This document should be named [AK Business License].</p>	<p>NMLS: Upload under the Document Type Certificate of Authority/Good Standing Certificate in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Surety Bond Rider: 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 ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p>	<p>Electronic Surety Bond in NMLS</p>

Complete	AK Deferred Deposit Advance License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Main Address: Submit an ACN for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.</p> <p>[AS 06.55.220]</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Change of Main Address: \$300</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Surety Bond Rider: 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 ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p>	<p>Electronic Surety Bond in NMLS</p>

Complete	AK Deferred Deposit Advance License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Alaska Business License: Upload a current State-issued and approved Alaska Business License (Alaska Division of Corporations, Business, and Professional Licensing).</p> <ul style="list-style-type: none"> Per AS 43.70.020(a) a business license is required for the privilege of engaging in a business in the State of Alaska. <p>All applicants and licensees are required to have a current Alaska Business License. This document should be named [AK Business License].</p>	<p>NMLS: Upload under the Document Type <u>Certificate of Authority/Good Standing Certificate</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	AK Deferred Deposit Advance License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<p>Note: AK Deferred Deposit Advance are prohibited from using more than one trade name, fictitious name, or DBA for each license obtained. Therefore, please be advised that applicants may only list <u>one name</u> in the <i>Other Trade Names</i> section on the Company Form (MU1) for AK.</p>		
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 15 days must be provided for this change.</p> <p>AK Deferred Deposit Advance are prohibited from using more than one trade name, fictitious name, or DBA for each license obtained.</p> <p>AK requires a separate license for each Other Trade Name added. When adding an Other Trade Name, licensee must apply for a separate AK Deferred Deposit Advance Other Trade Name # license. This new license must be requested in the <i>License/Registration</i> section of the Company Form (MU1).</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Addition of Other Trade Name \$300 per license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<p>NMLS (Filing submission)</p>
<input type="checkbox"/>	<p>Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	AK Deferred Deposit Advance License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 15 days must be provided for this change.</p> <p>AK requires a separate license for each Other Trade Name added. When deleting an Other Trade Name, licensee must request to surrender the appropriate Other Trade Name # license. This surrender must be requested in the <i>License/Registration</i> section of the Company Form (MU1).</p>	<p>NMLS</p>

Complete	AK Deferred Deposit Advance Change of Legal Status Amendment Items	Submitted via...
<p>Note: 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>Change of Legal Status: Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 15 days must be provided for this change.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Formation Documents: Formation Documents must be submitted related to this change type. 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>Sole Proprietor</p> <ul style="list-style-type: none"> • Documentation of initial filing for business licensure. <p>Unincorporated Association:</p> <ul style="list-style-type: none"> • By-Laws or constitution (including all amendments). <p>General Partnership:</p> <ul style="list-style-type: none"> • Partnership Agreement (including all amendments). <p>Limited Liability Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Partnership; and • Partnership Agreement (including all amendments). <p>Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Limited Partnership:</p> <ul style="list-style-type: none"> • Certificate of Limited Liability Limited Partnership; and • Partnership Agreement (including all amendments). <p>Limited Liability Company (“LLC”):</p> <ul style="list-style-type: none"> • Articles of Organization (including all amendments); • Operating Agreement (including all amendments); • IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and • LLC resolution if authority not in operating agreement. <p>Corporation:</p>	<p>NMLS: Upload under <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-DDYYYY)]</i>.</p>

Complete	AK Deferred Deposit Advance Change of Legal Status Amendment Items	Submitted via...
	<ul style="list-style-type: none"> • Articles of Incorporation (including all amendments); • By-laws (including all amendments), if applicable; • Shareholder Agreement (including all amendments), if applicable; • IRS Form 2553 if S-corp treatment elected; and • Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable. <p>Not for Profit Corporation</p> <ul style="list-style-type: none"> • Documents requested of a Corporation; and • Proof of nonprofit status <ul style="list-style-type: none"> ○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or ○ 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 ○ entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or ○ 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. 	

Complete	AK Deferred Deposit Advance Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Direct Owners/Executive Officers: Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.</p> <p>[AS 06.50.210]</p>	NMLS
<input type="checkbox"/>	<p>Change of Control: \$300</p> <p>Note: The company will be invoiced through NMLS after an ACN amendment has been filed and reviewed.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Agency Fee Invoice)
Note	<p>Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.</p>	N/A
Note	<p>MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Direct Owners and Executive Officers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.</p>	N/A

Complete	AK Deferred Deposit Advance Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change in Ownership Documents: Submit the follow applicable information related to the change in ownership.</p> <ul style="list-style-type: none"> • Applicable purchase and sales agreements • Merger agreements • Consent to change in ownership agreements • Detailed written description of the effect, if any, to the Alaska licensee(s) <p>This document should be named <i>ACN – Alaska - Change of Ownership</i>.</p> <p>Note: The information described above should be uploaded as one PDF document.</p>	<p>NMLS: Upload under the Document Type <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Organizational Chart/Description: Submit a revised/amended organizational structure chart.</p>	<p>NMLS: Upload under <u>Organizational Chart/Description</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p>Management Chart: Submit an updated management chart showing new control person’s role within the organization.</p>	<p>NMLS: Upload under <u>Management Chart</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	AK Deferred Deposit Advance Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Indirect Owners: Submit an ACN for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. 15 days notice must be provided for this change.</p> <p>[AS 06.50.210]</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Change of Control: \$300</p> <p>Note: The company will be invoiced through NMLS after an ACN amendment has been filed and reviewed.</p>	<p>NMLS (Agency Fee Invoice)</p>
Note	<p>Credit Report: Credit Reports and authorizations for credit report through NMLS are not required.</p>	<p>N/A</p>

Complete	AK Deferred Deposit Advance Addition or Modification of Indirect Owners Amendment Items	Submitted via...
Note	MU2 Individual FBI Criminal Background Check Not Required Through NMLS: Indirect Owners are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A
<input type="checkbox"/>	<p>Change in Ownership Documents: Submit the follow applicable information related to the change in ownership.</p> <ul style="list-style-type: none"> • Applicable purchase and sales agreements • Merger agreements • Consent to change in ownership agreements • Detailed written description of the effect, if any, to the Alaska licensee(s) <p>This document should be named <i>ACN - Alaska - Change of Ownership</i>.</p> <p>Note: The information described above should be uploaded as one PDF document.</p>	NMLS: Upload under the Document Type <u>Advance Change Notice</u> in the <u>Document Uploads</u> section of the Company Form (MU1).

Complete	AK Deferred Deposit Advance License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	<p>Changing a Response from No to Yes: 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>See the Company Disclosure Explanations Quick Guide for instructions.</p>	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	<p>Changing a Response from Yes to No: 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.</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 Company Disclosure Explanations Quick Guide for instructions.</p>	NMLS