



# AZ Collection Agency Branch License Transition Checklist (Branch)

---

## CHECKLIST SECTIONS

- [General Information](#)
- [License Fees](#)
- [Requirements Completed in NMLS](#)
- [Requirements/Documents Uploaded in NMLS](#)
- [Requirements Submitted Outside of NMLS](#)

## GENERAL INFORMATION

### Transition to NMLS

Companies holding the Arizona Department of Financial Institutions (AZ-DFI) Collection Agency Branch License are able to submit a license transition request through NMLS by filing a Branch Form (MU3) and an Individual Form (MU2) for each of their branch managers. The AZ-DFI Collection Agency Branch Licensee will be available in NMLS to submit the transition request starting Monday, January 2<sup>nd</sup>, 2017. The transition to NMLS for this license is *optional*.

Before the Branch Form (MU3) can be submitted, companies must complete and submit the Company Form (MU1) through for the AZ-DFI Collection Agency License main location.

**Note:** If you already have a record in NMLS and have submitted these forms in the past, you do not need to re-enter your company information into NMLS. You will only need to identify the business activities your company conducts and the states in which the various activities are conducted. Then, you will select the appropriate license in AZ, and complete a few state-specific fields.

It is important that current licensees have the appropriate transition number available when completing and submitting their Branch Form (MU3), so they are not charged a new application fee. (The transition number is your 7 digit AzDFI branch license number. This is found on the top of your AzDFI branch license after the letters "CABR -".)

Any licensee that needs to amend or surrender a license (or execute any other action previously completed in paper form must complete these actions within NMLS from January 2<sup>nd</sup>, 2017 onward. Paper forms will not be accepted after January 2<sup>nd</sup>, 2017. AZ-DFI encourages current licensees to update their information with AZ-DFI by December 15, 2016, so there will be no pending changes to submit at the time of transition.

Arizona Revised Statutes Title 32, Chapter 9 – Collection Agencies

## Document Uploads Guidance

Documents that must be uploaded to the *Document Uploads* section of the Branch Form (MU3) in NMLS are indicated in the checklist below. When uploading documents:

- Follow the guidance in [Document Upload Descriptions and Examples](#).
- Only upload documents relevant to the company application.
- Only upload documents where there is a selectable document category. If inappropriate documents are uploaded that should not be, you will be contacted by your regulator and asked to remove them from NMLS.
- Do not upload the same company documents multiple times. Generally, unless the document is state-specific, if the document has already been uploaded for another state, a new upload is not required unless changes have been made.
- If a document previously uploaded has been revised, delete the old document and replace it with the new document (history of the old document will remain in NMLS).
- For state-specific documents (e.g., Surety Bonds), be sure to indicate the applicable state.

## Helpful Resources

- [Transitioning an Existing Branch License](#)
- [Document Upload Descriptions and Examples](#)
- [Payment Options Quick Guide](#)
- [License Status Definitions Quick Guide](#)

## Agency Contact Information

Contact *Arizona Department of Financial Institutions* licensing staff by phone at **(602) 771-2800** or send your questions via email to [licensing@azdfi.gov](mailto:licensing@azdfi.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.

**LICENSE FEES** - Fees collected through NMLS are not REFUNDABLE or TRANSFERABLE.

Complete	AZ Collection Agency Branch License	Submitted via...
Note	<b>AZ License/Registration Transition Fee: \$0</b> <b>NMLS Transition Processing Fee: \$0</b>	N/A

**REQUIREMENTS COMPLETED IN NMLS**

Complete	AZ Collection Agency Branch License	Submitted via...
<input type="checkbox"/>	<p><b>Submission of Branch Form (MU3):</b> Complete and submit the Branch Form (MU3) in NMLS. This form serves as the transition request for the license/registration through NMLS.</p> <p>See the <a href="#">Transitioning an Existing Branch License Quick Guide</a> for instructions on how to submit the transition request.</p> <p><b>When selecting your license in the Branch Form (MU3), you will be asked to enter your existing license number. Be sure to enter the 7 digit AZ-DFI branch license number.</b></p> <p><b>Note:</b> If your company holds additional Collection Agency Branch Licenses related to the use of other trade names at the location, you must also submit a transition request for the appropriate <i>Arizona Collection Agency Branch License – Other Trade Name #</i> via the Branch Form (MU3).</p> <p><b>R20-4-1519. Licensee Names and Control</b></p> <p><b>C.</b> A collection agency shall not use a collection agency license to do business under more than one name. Each collection agency shall apply for and obtain a separate license for each business name it intends to use in Arizona.</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Other Trade Names:</b> If this branch is operating under a name that is different from the licensee’s legal name, that name (“Trade Name”, “Assumed Name” or “DBA”) must be listed under the <i>Other Trade Names</i> section of both the Branch Form (MU3) and the Company Form (MU1). AZ-DFI does not allow more than one (1) other trade name.</p> <p>If operating under an “Other Trade Name”, upload your Trade Name Certificate from the Arizona Secretary of State regarding ability to do business under that trade name.</p> <p>This document should be named <i>[State-License Type] Trade Name – Assumed Name</i>.</p> <p><b>R20-4-1519. Licensee Names and Control</b></p> <p><b>C.</b> A collection agency shall not use a collection agency license to do business under more than one name. Each collection agency shall apply for and obtain a separate license for each business name it intends to use in Arizona.</p>	<p><b>NMLS</b></p> <p><b>Upload in NMLS:</b> 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	AZ Collection Agency Branch License	Submitted via...
<input type="checkbox"/>	<b>Branch Manager:</b> A Branch Manager must be designated for each licensed location. A Branch Manager is defined as an individual whose principal office is physically located in, who is in charge of, and who is responsible for the business operations of a branch office.	NMLS
<input type="checkbox"/>	<b>Branch Manager (MU2) Attestation:</b> Complete the Individual Form (MU2) in NMLS. This form must be attested to by the applicable branch manager before it is able to be submitted along with the Branch Form (MU3).	NMLS
Note	<b>Credit Report:</b> Branch Managers are NOT required to authorize a credit report through NMLS.	N/A
Note	<b>MU2 Individual FBI Criminal Background Check Not Required Through NMLS:</b> Branch Managers are NOT required to authorize a FBI criminal background check (CBC) through NMLS.	N/A

REQUIREMENTS/DOCUMENTS UPLOADED IN NMLS		
Complete	AZ Collection Agency Branch License	Submitted via...
No branch documents are required to be uploaded into NMLS for this license/registration at this time.		
INDIVIDUAL (MU2) DOCUMENTS UPLOADED IN NMLS		
No individual (MU2) documents are required to be uploaded into NMLS for this license/registration at this time.		

REQUIREMENTS SUBMITTED OUTSIDE OF NMLS		
Complete	AZ Collection Agency Branch License	Submitted via...
No items are required to be submitted outside of NMLS for this license/registration at this time.		