



## Amendments Jurisdiction-Specific Requirements



### MAINE LOAN BROKER LICENSE

#### Pre-Notification:

Loan Brokers are not required to pre-notify the Bureau of Consumer Credit Protection of amendments to company or individual records prior to making changes through the NMLS.

#### Instructions

1. Amendments to your record must be made through NMLS and are detailed in the checklist below. All documentation supporting these changes must be submitted to the Bureau of Consumer Credit Protection within 5 business days of the date the amendments are submitted to NMLS.
2. You will be prompted to pay for any changes to your record that includes an amendment fee. The fields that generate an amendment fee through NMLS are noted below.
3. The Bureau of Consumer Credit Protection charges amendment fees for the fields listed below, however the fees cannot be collected through NMLS but must be paid by sending a check to the bureau made payable to "Treasurer, State of Maine" together with a copy of this checklist. (Check all that apply):
  - Change of Ownership – \$300 (This fee is required for any change greater than 25% in the ownership of the company.) If you have questions, send a letter to the bureau explaining the change, and including a pre- and post-change organizational chart detailing the extent of the change.
4. For the following categories, amendment fees will be assessed directly through the NMLS at the time the changes are made to the records (check all that apply):
  - Change of Address: \$25 per license
  - Change of Licensee Name: \$25 per license
  - Change of Other Trade Names: \$25 per license
5. All fees collected through the NMLS ARE NOT REFUNDABLE.
6. Any change in Control Persons must also be reported on Form MU2.
7. Supporting documentation as noted in the checklist must be provided, together with a copy of this checklist, at either of the following address:

For U.S. Postal Service:  
Dept. of Professional & Financial Regulation  
Bureau of Consumer Credit Protection  
35 State House Station  
Augusta, ME 04333

For Overnight Delivery:  
Dept. of Professional & Financial Regulation  
Bureau of Consumer Credit Protection  
76 Northern Avenue  
Gardiner, ME 04345

NMLS Company ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER. (For change of address or change of name only) -</b> Submit the Surety Bond Rider (Amendment) reflecting the change of address or change of name, whichever is applicable.
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGES TO THE COMPANY NAME: SECRETARY OF STATE/MUNICIPALITY DOCUMENTATION REQUIRED.</b> a. Corporations: provide a Certificate of Good Standing issued by the Secretary of State, Corporations Division. b. Limited liability company: provide a copy of a Certificate of Good Standing or a Certificate of Registration issued by the Secretary of State, Corporations Division. c. Limited partnership: provide a Certificate of Good Standing for the Limited Partnership from the Secretary of State, Corporations Division. d. General partnership: provide a Certificate of Good Standing for the General Partnership from the City or Town in which the partnership is registered.
<input type="checkbox"/>	<input type="checkbox"/>	<b>DISCLOSURE QUESTIONS.</b> Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Control Person or any new Manager.

**WHO TO CONTACT** – Contact licensing staff by phone at 207-624-8527 or send your questions via e-mail to [LoanOfficerReg@maine.gov](mailto:LoanOfficerReg@maine.gov) for additional assistance.

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