



# ME Student Loan Servicer Amendment Checklist (Company)

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## CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

## GENERAL INFORMATION

### Instructions

When making changes to your record in NMLS, the Maine Bureau of Consumer Credit Protection 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 Maine Bureau of Consumer Credit Protection licensing staff by phone at (207) 624-8527 for additional assistance.

*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*

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: \$25 per license
- [Change of Main Address](#)
  - Change of Main Address: \$25 per license
- [Addition or Modification of Other Trade Name](#)
  - Addition of Other Trade Names: \$25 per license
- [Deletion of Other Trade Name](#)
  - \$0
- [Change of Legal Status](#)
  - \$25
- [Addition or Modification of Affiliates/Subsidiaries](#)
  - See notes below
- [Addition or Modification of Direct Owners/Executive Officers](#)
  - See notes below
- [Addition or Modification of Indirect Owners](#)
  - See notes below
- [Change of Disclosure Question\(s\)](#)

\*NOTE\*: Amendments to company, owners and officers: A fee of \$500 is required for any change greater than 25% in the ownership of the company. A credit report and criminal background check may be required for new owners, officers and principal employees. If you have questions, send a letter to the bureau explaining the changes, and include a pre- and post-organizational chart detailing the extent of the change.

**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	ME Student Loan Servicer Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an ACN for a change of Legal Name through the Company Form (MU1) in NMLS. 30 day notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<b>Change of Legal Name Fee:</b> \$25 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<p><b>Formation Documents:</b> Formation Documents must be submitted related to this change type.</p> <p>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><b>Sole Proprietor</b></p> <ul style="list-style-type: none"> <li>• Certificate of Sole Proprietor or Partnership evidenced by the municipality (see Maine law: MRS, Title 31, Chapter 1)</li> </ul> <p><b>Unincorporated Association:</b></p> <ul style="list-style-type: none"> <li>• By-Laws or constitution (including all amendments).</li> </ul> <p><b>General Partnership:</b></p> <ul style="list-style-type: none"> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Limited Partnership:</b></p> <ul style="list-style-type: none"> <li>• Certificate of Limited Liability Limited Partnership; and</li> <li>• Partnership Agreement (including all amendments).</li> </ul> <p><b>Limited Liability Company (“LLC”):</b></p> <ul style="list-style-type: none"> <li>• Articles of Organization (including all amendments);</li> <li>• Operating Agreement (including all amendments);</li> <li>• IRS Form 2553 or IRS Form 8832 if S-corp treatment elected; and</li> <li>• LLC resolution if authority not in operating agreement.</li> </ul> <p><b>Corporation:</b></p> <ul style="list-style-type: none"> <li>• Articles of Incorporation (including all amendments);</li> <li>• By-laws (including all amendments), if applicable;</li> <li>• Shareholder Agreement (including all amendments), if applicable;</li> <li>• IRS Form 2553 if S-corp treatment elected; and</li> <li>• Corporate resolution if authority to complete application not in By-Laws or Shareholder Agreement, as amended, as applicable.</li> </ul> <p><b>Not for Profit Corporation</b></p> <ul style="list-style-type: none"> <li>• Documents requested of a Corporation; and</li> <li>• Proof of nonprofit status <ul style="list-style-type: none"> <li>○ Internal Revenue Service (“IRS”) 501(c)(3) designation letter; or</li> <li>○ statement from a State taxing body or the State attorney general certifying that: (i) the entity is a nonprofit organization operating</li> </ul> </li> </ul>	<p><b>Upload in NMLS:</b> under the Document Type <u>Formation Document</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	ME Student Loan Servicer Change of Legal Name Amendment Items	Submitted via...
	<p>within the State; and (ii) no part of the entity's net earnings may lawfully benefit any private shareholder or individual; or</p> <ul style="list-style-type: none"> <li>○ entity's certificate of incorporation or similar document if it clearly establishes the nonprofit status of the applicant; or</li> <li>○ 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.</li> </ul> <p><b>Trust (Statutory)</b></p> <ul style="list-style-type: none"> <li>• Certificate of Trust; and</li> <li>• Governing instrument (all amendments).</li> </ul>	

Complete	ME Student Loan Servicer 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. 30 day notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<b>Change of Main Address:</b> \$25 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>NMLS</b>

Complete	ME Student Loan Servicer License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an ACN for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. 30 day notice must be provided for this change.	<b>NMLS</b>
<input type="checkbox"/>	<b>Addition of Other Trade Name</b> \$25 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.	<b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i>

<b>Complete</b>	<b>ME Student Loan Servicer License</b> <b>Addition or Modification of Other Trade Name Amendment Items</b>	<b>Submitted via...</b>
		section of the Company Form (MU1).

<b>Complete</b>	<b>ME Student Loan Servicer</b> <b>Deletion of Other Trade Name Amendment Items</b>	<b>Submitted via...</b>
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an ACN for a deletion an Other Trade Name through the Company Form (MU1) in NMLS. 30 day notice must be provided for this change.	<b>NMLS</b>

<b>Complete</b>	<b>ME Student Loan Servicer</b> <b>Change of Legal Status Amendment Items</b>	<b>Submitted via...</b>
<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).		
<input type="checkbox"/>	<b>Change of Legal Status:</b> Submit an ACN for a change of Legal Status within the Company Form (MU1) in NMLS. 30 day notice must be provided for this change.	<b>NMLS</b>

<b>Complete</b>	<b>ME Student Loan Servicer</b> <b>Addition or Modification of Affiliates/Subsidiaries Amendment Items</b>	<b>Submitted via...</b>
<input type="checkbox"/>	<b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an ACN for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS. 30 day notice must be provided for this change.	<b>NMLS</b>

<b>Complete</b>	<b>ME Student Loan Servicer</b> <b>Addition or Modification of Direct Owners/Executive Officers Amendment Items</b>	<b>Submitted via...</b>
<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. 30 day notice must be provided for this change.	<b>NMLS</b>

Complete	ME Student Loan Servicer Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Credit Report for Control Persons:</b> \$15 per control person.	<b>NMLS (Filing submission)</b>
<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.	<b>NMLS</b>
<input type="checkbox"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> When added to the Company Form (MU1), the following Individuals, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <ul style="list-style-type: none"> <li>• <i>Direct Owners</i></li> <li>• <i>Executive Officers</i></li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	<b>NMLS</b>

Complete	ME Student Loan Servicer License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<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. 30 day notice must be provided for this change.	<b>NMLS</b>
<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.	<b>NMLS</b>

Complete	ME Student Loan Servicer License Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<b>FBI Criminal Background Check for MU2 Individual:</b> \$36.25 per person.	<b>NMLS (Filing submission)</b>
<input type="checkbox"/>	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> When added to the Company Form (MU1), Indirect Owners, as specified below, are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to ‘Use Existing Prints’ to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	<b>NMLS</b>

Complete	ME Student Loan Servicer Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<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.	<b>NMLS</b>
<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>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<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 associated Disclosure Explanation and provide an Amendment Reason.</p> <p>You may 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 may also upload a document (PDF) related to the explanation.</p> <p>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions.</p>	<b>NMLS</b>