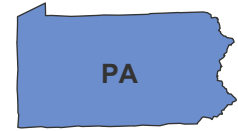




## Company Amendment Checklist

Agency Requirements



### PENNSYLVANIA DEBT MANAGEMENT SERVICES LICENSE

#### Instructions

1. Licensees are required to keep all material information on file with NMLS current and accurate. If the information contained in the application or on file with the Pennsylvania Department of Banking and Securities changes in any material respect, the licensee must notify the Department of the change within 10 days after the change.
2. There are no Department or NMLS processing fees for amendments.
3. Any change of address, change of name, or change in control person (including the qualifying individual) must also be reported on the Company and Individual application forms.
4. Contact Pennsylvania Department of Banking and Securities, Non-Depository Licensing Office staff by phone at 717-787-3717 or send your questions via email to [ra-AskLicensing@pa.gov](mailto:ra-AskLicensing@pa.gov) for additional assistance.
5. The completed checklist and the documents that are required to be submitted outside of NMLS must be received within 5 business days of the electronic submission of your application through NMLS via email to [ra-AskLicensing@pa.gov](mailto:ra-AskLicensing@pa.gov)

NMLS **Company** Unique ID Number: \_\_\_\_\_

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

FILED IN NMLS	ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Change in Business Ownership:</b> Provide certified copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>CHANGE IN BUSINESS NAME.</b> A certified copy of:</p> <ul style="list-style-type: none"> <li>• Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau               <ul style="list-style-type: none"> <li>○ <i>Upload this document in NMLS under the Document Type “Trade Name/Assumed Name Registration Certificates” in the Document Uploads section of the Company (MU1) Form.</i></li> </ul> </li> <li>• The Articles of Incorporation (if a corporation), or</li> <li>• The Articles of Organization and Operating Agreement (if a Limited Liability Company), or</li> <li>• The Partnership Agreement (if a partnership of any form)               <ul style="list-style-type: none"> <li>○ <i>Upload these documents in NMLS under the Document Type “Formation Document” in the Document Uploads section of the Company (MU1) Form.</i></li> </ul> </li> </ul> <p>See the <a href="#">Document Upload Quick Guide</a> for formatting instructions, upload instructions and document descriptions and examples.</p> <p>Questions: Contact PA Dept of State @ (888) 659-9962 or (717) 787-1057</p> <p><b>If the company structure changes, (i.e. sole prop to Inc. or LLC to Inc. etc.) a new application must be completed.</b></p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>ADDITION OR CHANGE TO DBA.</b></p> <p>A certified copy of:</p> <ul style="list-style-type: none"> <li>• Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau</li> </ul> <p>Upload this document in NMLS under the Document Type “Trade Name/Assumed Name Registration Certificates” in the <i>Document Uploads</i> section of the Company (MU1) Form. See the <a href="#">Document Upload Quick Guide</a> for formatting instructions, upload instructions and document descriptions and examples.</p> <p>Questions: Contact PA Dept of State @ (888) 659-9962 or (717) 787-1057</p>

FILED IN NMLS	ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>Change in Control Person or Qualified Individual:</b> A change in any control person or a change in any person designated as a Qualified Individual must be reported as an Amendment on the Company and Individual application forms submitted through the NMLS.</p> <p>Criminal background, credit check and tax certificate are required in most circumstances. See the new application checklists for details on the requirements of criminal history background checks, credit history checks and tax certification.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>Disclosure Questions:</b> Provide complete details of all events or proceedings for any “Yes” answer to any of the disclosure questions for any new control person, if not already disclosed to the Department. Upload a copy of any applicable orders or supporting documents (such as respective criminal or civil court documents, administrative orders, and/or related public documents) in NMLS.</p>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<p><b>Change to Books and Records Location:</b> A change in the address of business books and records to a location other than the principal place of business, when approved by the department through NMLS, is deemed an approved alternate site record keeping location for purposes of the Debt Management Services Act and will furthermore constitute as a valid change or termination of an existing alternate site record keeping location.</p>

The regulator will review the filing and all required documents and communicate with you through NMLS. To review your status or see detailed communication from the regulator, click on the Composite View tab and then click on View License/Registration in NMLS. See the [License Status Review & Definitions](#) quick guide for instructions.

**WHO TO CONTACT** – Contact the PA Department of Banking and Securities, Non-Depository licensing staff by phone at (717) 787-3717 or send your questions via e-mail to [ra-asklicensing@pa.gov](mailto:ra-asklicensing@pa.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 THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.