



# PA Mortgage Broker Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

Pennsylvania does not require advanced notice for any changes; make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.

### 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 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.

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 through NMLS via email to [ra-AskLicensing@pa.gov](mailto:ra-AskLicensing@pa.gov).

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL 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 Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Addition or Modification of Qualifying Individuals](#)
- [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 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	PA Mortgage Broker Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS. 7 Pa.C.S. § 6131(a)(1), (b); 6136(a)</p>	NMLS
Note	<p><b>Change of Legal Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload Mortgage Broker surety bond rider (or new bond if applicable) that reflects the entity's new legal name. The name of the principal insured on the bond must match exactly the full legal name of company as listed on the Company (MU1) Form. <a href="#">If a new surety bond is needed, use the Surety Bond Form found here.</a> 7 Pa.C.S. § 6131(k)(4)</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>
<input type="checkbox"/>	<p><b>Certificate of Authority/Foreign Registration Statement:</b> Upload proof of registration of the full legal business name with the Pennsylvania Department of State, Corporations Bureau and approved document with the assigned Pennsylvania business entity number that demonstrates authorization to do business in Pennsylvania. This document should be named <i>Pennsylvania Certificate of Authority OR Pennsylvania Foreign Registration Statement</i>. 7 Pa.C.S. § 6121(2); 6131(i)(1)</p>	<p><b>Upload in NMLS:</b> 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>
<input type="checkbox"/>	<p><b>Formation Documents:</b> Formation Documents must be submitted related to this change type. Upload amendment(s) reflecting the company name change.</p> <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>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	PA Mortgage Broker Change of Legal Name Amendment Items	Submitted via...
	<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 within the State; and (ii) no part of the entity’s net earnings may lawfully benefit any private shareholder or individual; or</li> <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> </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> <p>7 Pa.C.S. § 6121(2); 6131(a)(1)</p>	

Complete	PA Mortgage Broker Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS. 7 Pa.C.S. § 6131(a)(1), (b)</p>	<b>NMLS</b>
Note	<p><b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<b>N/A</b>
<input type="checkbox"/>	<p><b>Surety Bond Rider:</b> Upload Mortgage Broker surety bond rider (or new bond if applicable) that reflects the entity’s new main address. The address of the principal insured on the bond must match exactly the address of the company as listed on the Company (MU1) Form. <a href="#">If a new surety bond is needed, use the Surety Bond Form found here.</a> 7 Pa.C.S. § 6131(k)(4)</p>	<b>Upload in NMLS:</b> under the Document Type <u>Surety Bond</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<p><b>Books and Records:</b> A change in the books and records address to a location other than the principal place of business, when approved by the Department through NMLS, is deemed an approved alternate site recordkeeping location for the purposes of the Mortgage Licensing Act and will furthermore constitute as a valid change or termination of an existing alternate site recordkeeping order. Records stored at an alternate location must be electronically available. Only one books and records location is allowed for Pennsylvania. 7 Pa.C.S. § 6135(a)(2)</p>	<b>NMLS</b>

Complete	PA Mortgage Broker Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Other Trade Name:</b></p> <p>Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.</p> <p>7 Pa.C.S. § 6131(a)(1), (b)</p>	NMLS
Note	<p><b>Addition of Other Trade Name</b> \$0 per license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p><b>Trade Name/Assumed Name Registration Certificates:</b> Upload proof of registration of the trade name / assumed name with the Pennsylvania Department of State, Corporations Bureau and approved document with the assigned Pennsylvania business entity number that demonstrates authorization to do business Pennsylvania.</p> <p>This document should be named <i>Pennsylvania Trade Name – Assumed Name</i>.</p> <p>7 Pa.C.S. § 6121(2); 6131(i)(1)</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <u>Document Uploads</u> section of the Company Form (MU1).</p>

Complete	PA Mortgage Broker Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.</p> <p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p> <p>7 Pa.C.S. § 6131(a)(1), (b)</p>	NMLS

Complete	PA Mortgage Broker Change of Legal Status Amendment Items	Submitted via...
<p><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) and license request.</p>		
<input type="checkbox"/>	<p><b>Change of Legal Status:</b> Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS. 7 Pa.C.S. § 6131(a)(1), (b)</p>	<p><b>NMLS</b></p>

NMLS ID Number	
Licensee Legal Name	

Complete	PA Mortgage Broker Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Direct Owners/Executive Officers:</b></p> <p>Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.</p> <p>7 Pa.C.S. § 6131(a)(1), (b)</p>	NMLS
<input type="checkbox"/>	<p><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.</p> <p><b>Credit Report for Control Persons:</b> \$15 per control person.</p> <p>7 Pa.C.S. § 6133(e)(5); 6138(a)(3)</p>	NMLS
<input type="checkbox"/>	<p><b>Memorandum of Tax Certification:</b> Each control person named in the Direct Owners / Executive Officers section and the Qualifying Individual listed on the Company (MU1) form must provide a certified memorandum indicating all tax obligations to the State have been paid or that a payment plan (if applicable) is in place.</p> <p><a href="#">Click here to access the form.</a></p> <p>7 Pa.C.S. § 6133(e)(4)</p>	Email to: <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a>
<input type="checkbox"/>	<p><b>Pennsylvania Criminal Background History Check:</b> Each control person named in the Direct Owners / Executive Officers section and the Qualifying Individual listed on the Company (MU1) form must complete a Pennsylvania State Police (PSP) criminal background check by using the Pennsylvania Access to Criminal History (PATCH) website.</p> <p>Please follow the directions on the form carefully. <b><u>Results will not be accepted more than 30 days prior to the application submission date.</u></b></p> <p><b>Pennsylvania State Police Criminal History Background Check:</b> \$22.00 for each request and is payable through PATCH by credit card.</p> <p><a href="#">Click to download PA State Police Criminal Background History Instructions.</a></p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	Email to: <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a>



Complete	PA Mortgage Broker Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Criminal Background Check:</b> Authorization for an FBI criminal history background check for each control person (including the qualifying individual) to be completed in NMLS. 7 Pa.C.S. § 6138(a)(3).</p> <p>After you authorize the FBI criminal history background check through the Individual Form (MU2), you must schedule an appointment to be fingerprinted.</p> <p>See the <a href="#">Completing the Criminal Background Check Process Quick Guide</a> for information.</p> <p><b>Note:</b> If you are able to ‘Use Existing Prints’ to process the FBI criminal history background check, you DO NOT have to schedule an appointment. NMLS will submit the fingerprints already on file and the background check will begin to process automatically.</p> <p><b>MU2 Individual FBI Criminal Background Checks: \$36.25</b></p> <p>As determined by each state agency, Control Persons, Direct Owners, Indirect Owners, Executive Officers, Branch Managers, and Qualifying Individuals are required to submit a CBC through NMLS.</p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Third Party Investigatory Background Checks:</b> In addition to the Pennsylvania and Federal Criminal Background Checks, a control person and/or Qualifying Individual <i>who does not or has not resided in the US for at least 5 years</i> must provide an investigative background report. The report must be prepared by an acceptable search firm and submitted directly to the Department in addition to other background information required in the application.</p> <p><b><u>Results will not be accepted more than 30 days prior to the application submission date.</u></b></p> <p>At a minimum, the report must contain the following:</p> <ul style="list-style-type: none"> <li>• A comprehensive credit report/history</li> <li>• Civil court and bankruptcy court records for the past 5 years, including a search of the court data in the country(ies), states, towns where the individual resided and worked and in contiguous areas.</li> <li>• Criminal records for the past 5 years, including felonies, misdemeanors and violations including a search of court data in the countries, states, towns where the individual resided and worked and in contiguous areas.</li> </ul> <p><a href="#">Click to download Third-Party Investigatory Background Check Instructions.</a></p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p><b>Email to:</b> <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a></p>

NMLS ID Number	
Licensee Legal Name	

Complete	PA Mortgage Broker Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Qualifying Individual:</b> Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS.</p> <p>7 Pa.C.S. § 6131(a)(1), (b)</p>	NMLS
Note	<p><b>Change of Qualifying Individual:</b> \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p><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.</p> <p><b>Credit Report for Control Persons:</b> \$15 per control person.</p> <p>7 Pa.C.S. § 6133(e)(5); 6138(a)(3)</p>	NMLS
<input type="checkbox"/>	<p><b>Memorandum of Tax Certification:</b> Each control person named in the Direct Owners / Executive Officers section and the Qualifying Individual listed on the Company (MU1) form must provide a certified memorandum indicating all tax obligations to the State have been paid or that a payment plan (if applicable) is in place.</p> <p><a href="#">Click here to access the form.</a></p> <p>7 Pa.C.S. § 6133(e)(4)</p>	Email to: <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a>
<input type="checkbox"/>	<p><b>Pennsylvania Criminal Background History Check:</b> Each control person named in the Direct Owners / Executive Officers section and the Qualifying Individual listed on the Company (MU1) form must complete a Pennsylvania State Police (PSP) criminal background check by using the Pennsylvania Access to Criminal History (PATCH) website.</p> <p>Please follow the directions on the form carefully. <b><u>Results will not be accepted more than 30 days prior to the application submission date.</u></b></p> <p><b>Pennsylvania State Police Criminal History Background Check:</b> \$22.00 for each request and is payable through PATCH by credit card.</p> <p><a href="#">Click to download PA State Police Criminal Background History Instructions.</a></p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	Email to: <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a>

Complete	PA Mortgage Broker Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Criminal Background Check:</b> Authorization for an FBI criminal history background check for each control person (including the qualifying individual) to be completed in NMLS. 7 Pa.C.S. § 6138(a)(3).</p> <p>After you authorize the FBI criminal history background check through the Individual Form (MU2), you must schedule an appointment to be fingerprinted.</p> <p>See the <a href="#">Completing the Criminal Background Check Process Quick Guide</a> for information.</p> <p><b>Note:</b> If you are able to ‘Use Existing Prints’ to process the FBI criminal history background check, you DO NOT have to schedule an appointment. NMLS will submit the fingerprints already on file and the background check will begin to process automatically.</p> <p><b>MU2 Individual FBI Criminal Background Checks:</b> \$36.25</p> <p>As determined by each state agency, Control Persons, Direct Owners, Indirect Owners, Executive Officers, Branch Managers, and Qualifying Individuals are required to submit a CBC through NMLS.</p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Third Party Investigatory Background Checks:</b> In addition to the Pennsylvania and Federal Criminal Background Checks, a control person and/or Qualifying Individual <i>who does not or has not resided in the US for at least 5 years</i> must provide an investigative background report. The report must be prepared by an acceptable search firm and submitted directly to the Department in addition to other background information required in the application.</p> <p><b><u>Results will not be accepted more than 30 days prior to the application submission date.</u></b></p> <p>At a minimum, the report must contain the following:</p> <ul style="list-style-type: none"> <li>• A comprehensive credit report/history</li> <li>• Civil court and bankruptcy court records for the past 5 years, including a search of the court data in the country(ies), states, towns where the individual resided and worked and in contiguous areas.</li> <li>• Criminal records for the past 5 years, including felonies, misdemeanors and violations including a search of court data in the countries, states, towns where the individual resided and worked and in contiguous areas.</li> </ul> <p><a href="#">Click to download Third-Party Investigatory Background Check Instructions.</a></p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p><b>Email to:</b> <a href="mailto:ra-asklicensing@pa.gov">ra-asklicensing@pa.gov</a></p>

Complete	PA Mortgage Broker Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p><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.</p> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	<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> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Disclosure Explanations</u> in the <i>Document Uploads</i> section of the Company Form (MU1) or Individual Form (MU2).</p>
<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 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 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> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Disclosure Explanations</u> in the <i>Document Uploads</i> section of the Company Form (MU1) or Individual Form (MU2)</p>