



PA Mortgage Broker Amendment Checklist (Branch)

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 Quick Guide](#)
- [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 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.

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 Branch Address](#)
 - Change of Branch Address: \$0 per license
- [Addition or Modification of Other Trade Name](#)
 - Addition of Other Trade Names: \$0 per license
- [Change of Branch Manager](#)
 - Change of Branch Manager: \$0 per license
- [Change of Branch Manager 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 submission through the NMLS.

Complete	PA Mortgage Broker Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Branch Address: Submit an amendment for a change of Branch Address through the Branch Form (MU3) in NMLS.</p> <p>7 Pa.C.S. § 6131(a)(1), (a.1), (b)</p>	NMLS
Note	<p>Change of Branch Address: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A

Complete	PA Mortgage Broker Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an amendment for an addition or change to an Other Trade Name through the Branch Form (MU3) in NMLS.</p> <p>Note: When adding an Other Trade Name to a Branch Form (MU3), it must also be added to the Company Form (MU1).</p>	NMLS
Note	<p>Addition of Other Trade Name Fee: \$0 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Trade Name/Assumed Name Registration Certificates: Trade Name/Assumed Name Registration Certificates must be submitted related to this change type.</p> <p>Provide a certified copy of: Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau.</p> <p>Questions: Contact the PA Department of State @ (888)659-9962 or (717)787-1057</p> <p>7 Pa.C.S. § 6121(2); 6131(i)(1)</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <u>Document Uploads</u> section of the Branch Form (MU3).</p>

NMLS ID Number (Company)	
NMLS ID Number (Branch)	
Branch Manager Legal Name	

Complete	PA Mortgage Broker Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS. 7 Pa.C.S. § 6131(k)(5)</p>	NMLS
Note	<p>Change of Branch Manager Fee: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	N/A
<input type="checkbox"/>	<p>Credit Report: The Branch Manager listed on the Branch (MU3) form is 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. Credit Report for Control Persons: \$15 per control person. 7 Pa.C.S. § 6133(e)(5); 6138(a)(3)</p>	NMLS
<input type="checkbox"/>	<p>Memorandum of Tax Certification: Provide a certified memorandum indicating all tax obligations to the State have been paid or that a payment plan (if applicable) is in place. Click here to access the form. 7 Pa.C.S. § 6133(e)(4)</p>	Email to: ra-asklicensing@pa.gov
<input type="checkbox"/>	<p>Pennsylvania Criminal Background History Check: The Branch Manager listed on the Branch (MU3) form must complete a Pennsylvania State Police (PSP) criminal background check by using the Pennsylvania Access to Criminal History (PATCH) website. Please follow the directions on the form carefully. <u>Results will not be accepted more than 30 days prior to the application submission date.</u> Pennsylvania State Police Criminal History Background Check: \$22.00 for each request and is payable through PATCH by credit card. Click to download PA State Police Criminal Background History Instructions. 7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	Email to: ra-asklicensing@pa.gov

Complete	PA Mortgage Broker Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Criminal Background Check: Authorization for an FBI criminal history background check to be completed for all branch managers in NMLS.</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 Completing the Criminal Background Check Process Quick Guide for information.</p> <p>Note: 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>MU2 Individual FBI Criminal Background Checks: \$36.25</p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Third Party Investigatory Background Checks: In addition to the Pennsylvania and Federal Criminal Background Checks, a branch manager who does not or has not resided in the US for at least 5 years 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><u>Results will not be accepted more than 30 days prior to the application submission date.</u></p> <p>At a minimum, the report must contain the following:</p> <ul style="list-style-type: none"> • A comprehensive credit report/history • 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. • 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. <p>Click to download Third-Party Investigatory Background Check Instructions.</p> <p>7 Pa.C.S. § 6133(d); 6138(a)(3)</p>	<p>Email to: ra-asklicensing@pa.gov</p>

Complete	PA Mortgage Broker Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.</p> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	NMLS
<input type="checkbox"/>	<p>Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for the Branch Manager.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	<p>Upload in NMLS: under the Document Type <u>Disclosure Explanations</u> in the <i>Document Uploads</i> section of the Individual Form (MU2).</p>
<input type="checkbox"/>	<p>Changing a Response from Yes to No: When changing a Disclosure Question response from Yes to No for the Branch Manager, 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 the Branch Manager. You may also upload a document (PDF) related to the explanation.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p> <p>7 Pa.C.S. § 6131(a)(1)(iv); 6133(d, e)</p>	<p>Upload in NMLS: under the Document Type <u>Disclosure Explanations</u> in the <i>Document Uploads</i> section of the Individual Form (MU2)</p>