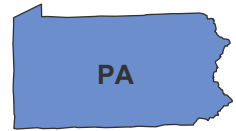




Company Amendments  
Agency Requirements



**PENNSYLVANIA PAWN BROKER LICENSE**

**Instructions**

**When making changes to your record in NMLS Pennsylvania does not require advanced notice, make the changes in NMLS as of the effective date and submit supporting documentation as instructed in the checklist below.**

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. Agency specific requirements marked **attached** on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

**How to submit Agency specific documents**

1. If you are required to upload documents for an amendment that doesn't require Advance Change Notice:
  - a. In the NMLS document upload section, select the applicable document type.
2. If you are required to provide document(s) outside of NMLS:
  - a. You must mail the document(s) along with the checklist within 5 business days to the following address:

For U.S. Postal Service:

*The Pennsylvania Department of Banking and Securities  
Non-Depository Licensing Division  
17 N 2<sup>nd</sup> St, Ste 1300  
Harrisburg, PA 17101-2290*

For Overnight Delivery:

*The Pennsylvania Department of Banking and Securities  
Non-Depository Licensing Division  
17 N 2<sup>nd</sup> St, Ste 1300  
Harrisburg, PA 17101-2290*

/  
 NMLS Unique ID Number: \_\_\_\_\_

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

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<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.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Change in Business Name:</b> A certified copy of: <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> <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)</li> </ul> Questions: Contact the PA Department of State @ (888)659-9962 or (717)787-1057 <b>If the company structure changes, (i.e. sole prop to Inc. or LLC to Inc., etc.) a new application must be completed.</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Addition or Change to DBA:</b> Provide a certified copy of: Registration of the full legal name, including all trade names, with the Pennsylvania Department of State, Corporations Bureau Questions: Contact the PA Department of State @ (888)659-9962 or (717)787-1057
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<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. 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.
<input type="checkbox"/>	N/A	<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 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.

<input type="checkbox"/>	N/A	<input type="checkbox"/>	<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 Pawnbroker Act and will furthermore constitute as a valid change or termination of an existing alternate site record keeping location.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Designated Pennsylvania Agent (for out of state applicants only):</b> Submit a "Service of Process Consent" form designating any change to the authorized <b>Pennsylvania</b> agent for service of process. <a href="#">Click to download Service of Process form.</a>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>Change of Address:</b> A licensee who changes its place of business within the same city, borough, or township must be reported as an Amendment on the Company forms submitted through the NMLS.  <b>If the change of address is outside the original city, borough, or township, a new application must be completed.</b>
<input type="checkbox"/>	<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 that reflects the change of address or change of name, whichever is applicable.

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 ([License Status Quick Guide](#)) for instruction.

**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 THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE AMENDING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE AMENDMENT REQUEST THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.