



# West Virginia Exempt Registration Amendment Checklist (Company)

## Instructions

When making changes to your record in NMLS the West Virginia Division of Financial Institutions (“WVDFI”) requires advance change notification for some changes, see checklist below for details.

### **Surety bonds**

1. Must be submitted electronically through NMLS. Surety bonds will not be accepted in paper format.
2. All changes and riders must be submitted in electronic format.

### **How to submit Agency specific documents**

1. Upload any documents for an amendment to NMLS under the appropriate category.
2. Document(s) provided outside of NMLS, along with the checklist below can be emailed to the licensing staff detailed at the bottom of this checklist.

### **Fees**

1. The WVDFI does not assess fees for exempt registrants; however, fees assessed by NMLS will apply.

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

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

FILED IN NMLS	ATTACHED	NOT APPLICABLE	AMENDMENT
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL NAME:</b> Submit via NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR CHANGE OF LEGAL NAME:</b> Upload copies of the following documents: <ul style="list-style-type: none"><li>• Certificate of Authorization or other approval from the West Virginia Secretary of State.</li><li>• Surety Bond Rider reflecting changed name.</li></ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF MAIN ADDRESS:</b> Submit via NMLS.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES:</b> Submit via NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):</b> Upload the following documents: <ul style="list-style-type: none"><li>• Certificate of Authorization or other approval from the West Virginia Secretary of State.</li></ul>

<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL STATUS:</b> Submit via NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR CHANGE OF LEGAL STATUS:</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>• Certificate of Authorization or other approval from the West Virginia Secretary of State.</li> <li>• Surety Bond Rider reflecting changed name.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER (for name change only):</b> Submit the surety bond rider reflecting name change through NMLS Electronic Surety Bond portal.
<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 the Disclosure Questions for the company or new Control Person or Manager.

**WHO TO CONTACT** – Contact the WVDFI licensing staff by phone at (304) 558-2294 or via e-mail to:

Lisa Miller at [lmiller@wvdob.org](mailto:lmiller@wvdob.org) or  
Kim Compton-Goff at [kcompton-goff@wvdob.org](mailto:kcompton-goff@wvdob.org)

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF 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.

**Helpful Resources for Companies:**

- [Company \(MU1\) Quick Guide](#)
- [Branch \(MU3\) Quick Guide](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)