



## Company Amendments Agency Requirements



# WEST VIRGINIA MORTGAGE BROKER LICENSE

**When making changes to your record in NMLS the West Virginia Division of Financial Institutions (WVDFI) requires Advance Change Notice (ACN) see the checklist below for details.**

For Change of Ownership and Change of Control Person when background information is not available in NMLS, contact the WVDFI licensing staff for instructions on how to enroll and set up an appointment for fingerprinting with the third-party vendor used by West Virginia.

### How to submit agency-specific documents

1. If document(s) are required for an ACN:
  - a. In the NMLS Document Uploads section, select ACN for document type.
  - b. Documents uploaded through ACN are considered proposed documents. Final documents must be uploaded to Document Uploads under the appropriate document type on the effective date.
2. For documents for an Amendment that does not require an ACN:
  - a. In the NMLS Document Uploads section, select the applicable document type.
3. Documents provided outside of NMLS can be emailed to the WVDFI licensing staff detailed at the bottom of this checklist.

### Fees

1. Change of Address \$100 per license.
2. All fees collected through NMLS ARE NOT REFUNDABLE.

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

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

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED ADVANCE CHANGE NOTICE ITEM
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL NAME:</b> Submit an ACN for a Change of Legal Name through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.
<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 must be submitted through the NMLS Electronic Surety Bond portal.</li> </ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF MAIN ADDRESS:</b> Submit an ACN for a Change of Main (Corporate) Address through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.

<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAMES:</b> Submit an ACN for an Addition, Change or Deletion of an Other Trade Name(s) through the Company (MU1) form through NMLS. <b>Thirty</b> days' notice must be provided for this change.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ACN OF ADDITION, MODIFICATION OR DELETION OF OTHER TRADE NAME(S):</b> Upload copies of the following documents: <ul style="list-style-type: none"> <li>• Certificate of Authorization or other approval from the WV Secretary of State.</li> </ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>CHANGE OF LEGAL STATUS:</b> Submit an ACN for a change of Legal Status within the Company (MU1) Form through NMLS.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ACN OF 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 must be submitted through the NMLS Electronic Surety Bond portal.</li> </ul>
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>ADDITION OR MODIFICATION OF DIRECT OWNERS/EXECUTIVE OFFICERS:</b> Submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company (MU1) Form through NMLS. <b>Sixty</b> days' notice must be given for this change. Control Persons must also be reported on the Individual (MU2) Form.  The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a criminal background check (CBC) through NMLS. <ul style="list-style-type: none"> <li>• <i>Direct Owners</i> – individuals who own 10% or more of the applicant.</li> <li>• <i>Executive Officers and Principals</i> – president, chief executive officer, regardless of title, managing partner, or other person controlling the affairs of an applicant. In general, MU2 individuals are considered principals unless the company has provided a written explanation to the contrary to the WVDFI.</li> </ul> After authorizing a CBC through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule a fingerprint appointment if new prints are required. If you can 'Use Existing Prints' to process the background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.  See the <a href="#">Criminal Background Check</a> section of the NMLS Resource Center for more information.
<input type="checkbox"/>	N/A	<input type="checkbox"/>	<b>ADDITION OR MODIFICATION OF INDIRECT OWNERS:</b> Submit an ACN for an addition or change in Indirect Owners within the Company (MU1) Form through NMLS. <b>Sixty</b> days' notice must be given of this change. Control Persons must also be reported on the Individual (MU2) Form. <ul style="list-style-type: none"> <li>• <i>Indirect Owners</i> – individuals holding 10% or greater beneficial ownership in the applicant. If ultimately held by other than a natural person, contact the WVDFI licensing staff for further information.</li> </ul> After authorizing a CBC through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule a fingerprint appointment if new prints are required. If you can 'Use Existing Prints' to

			process the background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file. See the <a href="#">Quick Guides - Company section</a> of the NMLS Resource Center for more information.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>DOCUMENT REQUIRED FOR ACN OF ADDITION OR MODIFICATION OF INDIRECT OWNERS OR OTHER PRINCIPALS SUBMITTING INFORMATION OUTSIDE NMLS:</b> Upload document(s) containing a detailed description of the change.  If the individual is not subject to background through NMLS, please contact the WVDFI licensing staff for instructions on how to enroll and set up fingerprint appointments with the third-party vendor used by West Virginia.
<input type="checkbox"/>			<b>ORGANIZATIONAL CHART/DESCRIPTION:</b> Any change in direct or indirect ownership requires an updated organizational chart to be placed in Document Uploads in NMLS depicting 100% of direct and indirect ownership. Detailed information must be provided on Indirect Owners who hold 10% or more of beneficial ownership. Indirect owners of less than 10% beneficial interest may be grouped and footnoted.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER: (For change of name/legal status)</b> - Submit the original Surety Bond Rider that reflects the name change through the NMLS Electronic Surety Bond portal.

FILED IN NMLS	ATTACHED	NOT APPLICABLE	REQUIRED AMENDMENT ITEM
<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 the company or any new Control Person or Manager. Appropriate documentation must also be uploaded to NMLS or provided outside the system as detailed above.

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

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.