



# WV Fintech Regulatory Sandbox Registration Amendment Checklist (Company)

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## CHECKLIST SECTIONS

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

## GENERAL INFORMATION

### Instructions

Amendments involving change of ownership, management, West Virginia representative or other principal should be submitted 90 days in advance of the effective date so that a timely notification of additional requirements may be made, if necessary.

Otherwise, please 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 the West Virginia Division of Financial Institutions with questions relating to the Fintech Regulatory Sandbox via e-mail at [fintech@wvdob.org](mailto:fintech@wvdob.org)

*For U.S. Postal Service & Overnight Delivery:  
West Virginia Division of Financial Institutions  
900 Pennsylvania Avenue, Suite 306  
Charleston, WV 25302-3542*

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE 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 Legal Name: \$0 per license
- [Change of Main Address](#)
  - Change of Main Address: \$0 per license
- [Addition or Modification of Other Trade Name](#)
  - Addition of Other Trade Names: \$0 per license
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [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 or mailed 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	WV Fintech Regulatory Sandbox Registration Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Legal Name:</b> Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Legal Name Fee:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Through the NMLS Electron Surety Bond portal upload company 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 applicant, including any Other Trade Names.	NMLS Electronic Surety Bond
<input type="checkbox"/>	<b>Certificate of Authorization:</b> Upload a Certificate of Authorization or other approval from the West Virginia Secretary of State.	<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).

Complete	WV Fintech Regulatory Sandbox Registration Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<b>Change of Main Address:</b> Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.	NMLS
Note	<b>Change of Main Address:</b> \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Upload a company surety bond rider (or new bond if applicable) that reflects the entity's new main address. The name address of the principal insured on the bond must match exactly.	NMLS Electronic Surety Bond

Complete	<b>WV Fintech Regulatory Sandbox Registration</b> <b>Addition or Modification of Other Trade Name Amendment Items</b>	Submitted via...
<input type="checkbox"/>	<b>Addition or Modification of Other Trade Name:</b> Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	<b>NMLS</b>
Note	<b>Addition of Other Trade Name</b> \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	<b>N/A</b>
<input type="checkbox"/>	<b>Trade Name/Assumed Name Registration Certificates:</b> Trade Name/Assumed Name Registration Certificates from the West Virginia Secretary of State must be submitted related to this change type.	<b>Upload in NMLS:</b> under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Upload a company surety bond rider (or new bond if applicable) that reflects the entity's change in trade names.	<b>NMLS Electronic Surety Bond</b>

Complete	<b>WV Fintech Regulatory Sandbox Registration</b> <b>Deletion of Other Trade Name Amendment Items</b>	Submitted via...
<input type="checkbox"/>	<b>Deletion of Other Trade Name:</b> Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Surety Bond Rider:</b> Upload a company surety bond rider (or new bond if applicable) that reflects the entity's change in trade names.	<b>NMLS Electronic Surety Bond</b>

Complete	WV Fintech Regulatory Sandbox Registration 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).</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.</p>	<p><b>NMLS</b></p>
<input type="checkbox"/>	<p><b>Certificate of Authority/Good Standing Certificate:</b> Upload a copy of a Certificate of Authorization or a Certificate of Good Standing, issued by the West Virginia Secretary of State, dated not more than 60 days prior to the filing of the application through NMLS that demonstrates authorization to do business in West Virginia.</p> <p>This document should be named <i>[[State prefix] Certificate of Authority OR [State prefix] Certificate of Good Standing]</i>.</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>Surety Bond Rider:</b> Upload a company surety bond rider (or new bond if applicable) that reflects the entity's change in legal status.</p>	<p><b>NMLS Electronic Surety Bond</b></p>

Complete	WV Fintech Regulatory Sandbox Registration Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Affiliates/Subsidiaries:</b> Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.</p>	<p><b>NMLS</b></p>

Complete	WV Fintech Regulatory Sandbox Registration 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> Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.</p>	<p><b>NMLS</b></p>
<p>Note</p>	<p><b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.</p>	<p><b>N/A</b></p>

Complete	WV Fintech Regulatory Sandbox Registration Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
Note	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p><i>Direct Owners, Executive Officers, Indirect Owners</i></p> <ul style="list-style-type: none"> <li>Please contact the WV DFI to determine which direct owners, if any, must complete the CBC process.</li> </ul> <p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	NMLS
<input type="checkbox"/>	<p><b>Detailed Description of the Change:</b> Upload a detailed description of the change in Direct Owner/Executive Officer. Once reviewed, the WVDFI may request additional information.</p> <p>This document should be named <i>ACN – [State Prefix] – [Document Type]</i></p>	<b>Upload in NMLS:</b> under the Document Type <u>ACN Related Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	WV Fintech Regulatory Sandbox Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p><b>Addition or Modification of Indirect Owners:</b> Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.</p>	NMLS
Note	<p><b>Credit Report:</b> Credit Reports and authorizations for credit report through NMLS are not required.</p>	N/A
Note	<p><b>MU2 Individual FBI Criminal Background Check Requirements:</b> The following Individuals, as specified below, on the Company Form (MU1) are required to authorize a FBI criminal background check (CBC) through NMLS.</p> <p><i>Direct Owners, Executive Officers, Indirect Owners</i></p> <ul style="list-style-type: none"> <li>Please contact the WV DFI to determine which direct owners, if any, must complete the CBC process.</li> </ul>	NMLS

Complete	WV Fintech Regulatory Sandbox Registration Addition or Modification of Indirect Owners Amendment Items	Submitted via...
	<p>After authorizing a FBI criminal background check through the submission of the Company Form (MU1) and Individual Form (MU2), you must schedule an appointment to be fingerprinted if new prints are required.</p> <p>See the <a href="#">Criminal Background Check section</a> of the NMLS Resource Center for more information.</p> <p><b>Note:</b> If you are able to 'Use Existing Prints' to process the FBI criminal background check, you DO NOT have to schedule an appointment. NMLS will automatically submit the fingerprints on file.</p>	
<input type="checkbox"/>	<p><b>Detailed Description of the Change:</b> Upload a detailed description of the change in Indirect Owner. Once reviewed, the WVDFI may request additional information.</p> <p>This document should be named <i>ACN – [State Prefix] – [Document Type]</i></p>	<p><b>Upload in NMLS:</b> under the Document Type <u>ACN Related Documents</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

Complete	WV Fintech Regulatory Sandbox Registration 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><b>NMLS</b></p>
<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><b>Upload in NMLS</b> in the <i>Disclosure Explanations</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><b>NMLS</b></p>