



## Amendments Jurisdiction-Specific Requirements



### INDIANA-SOS LOAN BROKER LICENSE

#### Instructions

1. The following amendments require instructions or items sent outside the NMLS:
  - Change of Address
  - Change of Name
  - Change of Control Person
  - Change of Disclosure Question Answer
  - Change of Ownership – \$132.25 per new Ultimate Equitable Owner defined as any owner with 10% or greater ownership; this is paid to the Indiana Secretary of State.

**(Check all of the above that apply)**

2. All fees ARE NOT REFUNDABLE.
3. Any Change of Address, Change of Name or change in Control Person or Manager (Control person) must also be reported on the applicable Form MU1 and Form MU2.
4. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

*For U.S. Postal Service or Overnight Delivery:*

*Indiana Secretary of State  
Securities Division  
302 W. Washington St.  
Room E-111  
Indianapolis, IN 46204*

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

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

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER. (For change of address or change of name only) -</b> Submit an original Surety Bond Rider that reflects the change of address or change of name, whichever is applicable and a power of attorney.
<input type="checkbox"/>	<input type="checkbox"/>	<b>SECRETARY OF STATE/MUNCIPALITY DOCUMENTATION. (For all amendments) -</b> a. If a corporation, provide a Certificate of Good Standing dated not more than sixty (60) days from the filing of this application issued by the <i>Indiana Secretary of State Business Services Division</i> . b. If a limited liability company, provide a copy of a Certificate of Good Standing or a Certificate of Registration dated not more than sixty (60) days from the filing of this application issued by the <i>Indiana Secretary of State Business Services Division</i> . c. If a limited partnerships provide a Certificate of Good Standing for the Limited Partnership from the <i>Indiana Secretary of State Business Services Division</i> .
<input type="checkbox"/>	<input type="checkbox"/>	<b>ULTIMATE EQUITABLE OWNER(S).</b> \$132.25 for each ultimate equitable owner. This includes \$32.25 for an FBI background check. Checks are made payable to the Secretary of State. Ultimate Equitable Owners who are also registering as originators or principal managers are only required to pay the \$32.25 fee for the FBI background check one time.
<input type="checkbox"/>	<input type="checkbox"/>	<b>FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR MANAGER.</b> A change in any Control person or a change in any person designated as a manager of a licensed office must be reported as an Amendment on the <b>Form MU1</b> filing with a new <b>Form MU2</b> submitted through the NMLS.
<input type="checkbox"/>	<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 company or any new Control Person or any new Manager.

**WHO TO CONTACT** – Contact *Indiana Secretary of State, Securities Division* licensing staff by phone at 317-232-6681 or send your questions via e-mail to [ejwise@sos.in.gov](mailto:ejwise@sos.in.gov) for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.