



Amendments/Transfers Jurisdiction-Specific Requirements



INDIANA-SOS PRINCIPAL MANAGER REGISTRATION

Instructions

1. The following amendments require instructions or items sent outside the NMLS:

- Change of Address
- Change of Name
- Change of Disclosure Question Answer
- Transfer

(Check all of the above that apply)

2. Any Change of Address or change of name must also be reported on the applicable Form MU4 and/or Form MU2.
3. Any transfer must also include the termination of the sponsorship with the old employer and the creation of a new sponsorship with the new employer through the NMLS.
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"/> | CHANGE OF NAME. Provide supporting documentation. |
| <input type="checkbox"/> | <input type="checkbox"/> | DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure Questions. |

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* 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.