



## Amendments Jurisdiction-Specific Requirements



### CALIFORNIA FINANCE LENDERS LAW LICENSE

#### Instructions

1. The following amendments require instructions or items sent outside the NMLS:
2. CA-DBO does not charge amendment fees for the fields listed below (Check all that apply):
  - Change of Name
  - Change of Ownership
  - Change of Control Person
  - Change of License Authority

CA-DBO charges fees for the fields listed below that cannot be collected through NMLS and must be paid by sending a check made payable to *Department of Business Oversight* along with this checklist or Change of Address form. (Check all that apply):

- Change of Address – 10 days pre-notification of a change of address is required. If notification to the Department of Business Oversight is more than 10 days after the date relocated, then a \$500 penalty is required. In order to facilitate this requirement, it will be necessary to submit a separate Change of Address form directly to the Department prior to the relocation date and the date you are able to reflect the change on NMLS. The required form is available on our website at the following link: [http://www.dbo.ca.gov/Licensees/Finance\\_Lenders/pdf/CFLChangeOfAddress.pdf](http://www.dbo.ca.gov/Licensees/Finance_Lenders/pdf/CFLChangeOfAddress.pdf). See checklist for additional information.
  - Fingerprint Fees – \$20 for livescan processing or \$86 for fingerprint cards.
3. All fees collected through the NMLS ARE NOT REFUNDABLE
  4. Any change of address, change of name or change in control person or manager must also be reported on the applicable Form MU1, Form MU2 and MU3.
  5. The person attesting to the filing of the amendment request must be an authorized individual of the applicant who has submitted a MU2 form. All jurisdiction-specific documents requiring a signature must also be signed by an authorized individual who has submitted a MU2 form.
  6. 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 address:

For U.S. Postal Service:

Department of Business Oversight  
NMLS Licensing Unit  
320 West 4th Street, Suite 750

Los Angeles, CA 90013

For Overnight Delivery:

Department of Business Oversight  
NMLS Licensing Unit  
320 West 4th Street, Suite 750

Los Angeles, CA 90013

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

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

**CALIFORNIA FINANCE LENDERS LAW LICENSE  
AMENDMENTS CHECKLIST**

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<b>SURETY BOND RIDER. (For change of address or change of legal name only) -</b> Submit the surety bond rider that reflects the change of address for the main office location or change of legal name, whichever is applicable.
<input type="checkbox"/>	<input type="checkbox"/>	<b>SECRETARY OF STATE/MUNCIPALITY DOCUMENTATION. (For change of name) -</b> a. If a corporation, provide an original Certificate of Good Standing dated not more than sixty (60) days from the filing of this application <b>issued by the California Secretary of State.</b> b. If a limited liability company, provide an original of a Certificate of Good Standing dated not more than sixty (60) days from the filing of this application <b>issued by the California Secretary of State.</b> c. If a limited partnerships provide an original Certificate of Good Standing for the Limited Partnership from the California Secretary of State D. If a foreign entity (outside California), provide an original Certificate of Good Standing dated not more than sixty (60) days from the filing of this application issued by the Secretary of State of the state of incorporation or formation.
<input type="checkbox"/>	<input type="checkbox"/>	<b>OTHER TRADE NAMES. (For change of name) –</b> If the licensee wants to add one or more fictitious business names, provide a file-stamped copy of the Certificate of Filing from the County Clerk in California where the fictitious business name was filed. <b>In California, a company is not authorized to use a fictitious business name if an assumed name is issued by the California Secretary of State.</b>
<input type="checkbox"/>	<input type="checkbox"/>	<b>CUSTOMER AUTHORIZATION FOR DISCLOSURE OF FINANCIAL RECORDS. (For change of name) –</b> Provide the completed form. If executed outside the State of California, the signature must be notarized. <a href="#">Click to download form.</a>
<input type="checkbox"/>	<input type="checkbox"/>	<b>PLAN OF BUSINESS. (For all amendments) -</b> If there has been a change in your plan of business, describe in sufficient detail the business to be conducted under this license on the form provided. <a href="#">Click to download plan of business form.</a>
<input type="checkbox"/>	<input type="checkbox"/>	<b>CHANGE IN OWNERSHIP LEGAL DOCUMENTS -</b> Provide copies of all legal documents executed and associated with the change in ownership, including any applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.

<input type="checkbox"/>	<input type="checkbox"/>	<p><b>FORM MU2 FOR ANY CHANGE IN CONTROL PERSON OR OFFICERS, DIRECTORS, TRUSTEES, MEMBERS, MANAGERS, ETC.</b></p> <ul style="list-style-type: none"> <li>• A change in any control person or a change in any officers, directors, managers, members or principal officers, etc. must be reported as an Amendment on the <b>Form MU1</b> filing with a new <b>Form MU2</b> submitted through the NMLS.</li> <li>• A copy of the completed Request for Livescan for each individual. The Request for Livescan must contain the information completed by the Livescan Transmitting Agency. Livescan Form number BC 8018 <b>CFLL</b> must be used when applying under the California Finance Lenders Law. Please refer to the DBO website at <a href="http://www.dbo.ca.gov/Licensees/Finance_Lenders/pdf/BC8018CFLL.pdf">http://www.dbo.ca.gov/Licensees/Finance_Lenders/pdf/BC8018CFLL.pdf</a></li> <li>• If the individual resides and works outside the State of California, a fingerprint card and Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement in lieu of the Request for Livescan noted above. The Request for Exemption can be found at <a href="http://www.ag.ca.gov/publications/bcii9004.pdf">http://www.ag.ca.gov/publications/bcii9004.pdf</a>. Fingerprint cards may be obtained from the Department of Business Oversight.</li> <li>• Payment of \$20.00 for processing of each Livescan or \$86.00 for processing of each fingerprint card.</li> </ul>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE OF LICENSE AUTHORITY</b> - To add finance lender or broker authority to an existing license, provide a plan of business for that activity. See above for plan of business requirements.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE OF ADDRESS.</b> The California Finance Lenders License Change of Address Form must be submitted directly to the Department of Business Oversight at least 10 days prior to the date of your move. The form is available at the following link: <a href="http://www.dbo.ca.gov/Licensees/Finance_Lenders/pdf/CFLChangeOfAddress.pdf">http://www.dbo.ca.gov/Licensees/Finance_Lenders/pdf/CFLChangeOfAddress.pdf</a></p> <p>If at least 10 days notice is not provided an administrative penalty of \$500 must be submitted along with the form.</p> <p>The form should be mailed to the following address: Department of Business Oversight Attn: CFL Licensing Specialist 320 W. 4<sup>th</sup> Street, Suite 750 Los Angeles, CA 90013</p> <p>If the change of address is for your principal or main location, you must submit a rider from your surety bond company reflecting the new location. Your request cannot be processed without the submission of the bond rider.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><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.</p>

**WHO TO CONTACT** – Contact Department of Business Oversight by phone at 1-866-275-2677 or visit our website at [www.dbo.ca.gov](http://www.dbo.ca.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.