



DEPARTMENT OF FINANCIAL INSTITUTIONS

Before Submitting a Service Request

The following must be completed prior to the submission of an online service request, otherwise the request will be incomplete and will not be processed.

[NAME CHANGE](#)

[CHANGE OF CONTROL / OWNERSHIP](#)

[OFFICER CHANGES](#)

[REQUIRED REPORTS](#)

NAME CHANGE

To change your name as a [Corporation](#), [Foreign Corporation](#), or [Limited Liability Company](#) you must **File**, receive **Approval**, and be in **Good Standing** with the [Arizona State Corporation Commission](#) with your new name.

To change your name as a [Limited Partnership](#), [Foreign Limited Partnership](#), [Limited Liability Limited Partnership](#) or add a DBA/Trade Name to your license, you must **File, and have an Active Registration** with the [Arizona Secretary of State](#) with your new name or DBA/Trade Name.

A New Bond or a Bond Rider is required for the following license types if a name change occurs or if a DBA/Trade Name is added to a license.

Debt Management [ARS 6-704](#)

Company Escrow Agent [ARS 6-814](#)



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[ACTIVE MANAGER OR RESPONSIBLE INDIVIDUAL CHANGE](#)

[REQUIRED REPORTS](#)

CHANGE OF CONTROL / OWNERSHIP

You must receive prior written approval from the director before a change of control may occur. Submit a Service Request through the Portal with a detailed outline of the change of control. The following documents are required **BEFORE** the department has provided written approval of the change of control:

- Copy of Purchase Agreement
- Copy of Stock Certificates & Stock Ledger
- Flow Chart of New Ownership
- "Minutes or Corporate Resolution" Substantiating approval of the change in ownership percentages.
- Company Financial Statement (*Unaudited Balance Sheet & Profit and Loss Statement*)
- Personal Financial Statement (*Individual Acquisition*)

Each Officer, Director, Partner, Employee or Controlling Person with an ownership share above 20% equity interest is required to complete a background check. Upload a [biographical statement](#) for each individual who meets this criteria.



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OFFICER CHANGE

Each Officer, Director, Partner, Employee, or Controlling Person with at least 20% equity interest, and KEY employees are required to complete a background check. Upload a [biographical statement](#) for each individual who meets this criteria. In addition, you must upload an updated management chart and organizational chart.



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Required Reports

The following must be submitted as an online service request, otherwise the request will be incomplete and will not be processed:

Collection Agency	<u>Fictitious Names Report</u> <i>Due on July 1 and December 31 each year</i>
Consumer Lender	<u>Annual Report & Standard Rate of Charge Report</u> <i>Due on October 1 annually</i>
Debt Management Company	<u>Annual Report</u> <i>Due on August 15 annually</i>
Escrow Agent	<u>Semiannual Financial & Escrow Report</u> <i>Due on or before August 15 and February 14 annually</i>
Premium Finance Company	<u>Annual Report</u> <i>Due on February 1 annually</i>