

## MISCELLANEOUS STATE NOTIFICATIONS

*All applications are to be submitted by the designated controlling person via the online licensing system portal at: [https://iowapl.force.com/IPLB\\_login](https://iowapl.force.com/IPLB_login) unless otherwise noted. Reference of form is the name of the online application.*

### **Bond Change**

1. Submission of maintenance form
2. Fully completed [bond form](#) in the amount of \$25,000 (including POA portion)

### **Designated Controlling Person Change** – 30 day *advanced* notice (\$150 fee, plus \$26 background check fee)

1. Submission of maintenance form or an email/letter to the State of Iowa with the details of the anticipated change and anticipated start date
2. The new designated controlling person must create an account in the online licensing system at: [https://iowapl.force.com/IPLB\\_login](https://iowapl.force.com/IPLB_login) and submit the following online applications:
  - a. Controlling Person Change Form
  - b. Background Packet Request

### **Name or DBA Change/Addition** – within 15 days of making the change (\$25 fee)

1. Submission of maintenance form online by the Designated Controlling Person
2. Updated Bond or a Bond Rider showing new address
3. Update Iowa Secretary of State's Certificate of Authority

### **Ownership/Controlling Person Change** – 30 day *advanced* notice (\$150 fee, plus \$26 background check fee) *Any direct, or indirect owner, of the AMC who owns over 10% of the AMC or anyone who meets the definition of an owner per Iowa Code [543E.3\(11\)\(a-c\)](#)*

1. Submission of maintenance form or an email/letter to the State of Iowa with the details of the anticipated change and anticipated start date
2. The new owner must create an account in the online licensing system at: [https://iowapl.force.com/IPLB\\_login](https://iowapl.force.com/IPLB_login) and submit the following online applications:
  - a. Controlling Person Change Form
  - b. Background Packet Request

### **Principal Address Change** – within 15 days of making the change (\$25 fee)

1. Submission of maintenance form
2. Updated Bond or a Bond Rider showing new address
3. Update Iowa Secretary of State's Certificate of Authority

### **Registered Agent Change** – 30 days from date of change

- a. Submission of maintenance form

### **Significant Event** – immediately but not more than 15 days from the date of the event

*Significant events include but are not limited to: bankruptcy filings; reorganization proceedings; criminal charges on owner, officer, director, or affiliate; disciplinary action on registrant, owner, officer, director, or affiliate; etc.*

1. Submission of maintenance form with the details of the surrender per the below: Description of event
  - a. Supporting documentation, if any
  - b. Date of event
  - c. Any reason for advance notice not provided

### **Surrender of Registration**

1. Submission of maintenance form with the details of the surrender per the below:
  - a. Brief description of the reason for the surrender
  - b. Date of surrender
  - c. Address where AMC records will be maintained
  - d. Custodian name, phone, & email address