



UT-DFI Residential First Mortgage Notification Amendment Checklist (Company)

CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

GENERAL INFORMATION

Instructions

Please make any amendments as of the effective date and submit supporting documentation as instructed in the checklist below.

Note: The Utah Department of Financial Institutions (DFI) does not approve or deny Advance Change Notices (ACNs) because our law does not give us authority to do so. Instead, the DFI will leave your ACN in “new” status. You may interpret this as a non-objection from the Utah DFI.

Uploading Agency-Specific Documents

If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS Document Uploads section.

Note: Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

Agency Contact Information

Contact the Utah Department of Financial Institutions licensing staff by phone at (801) 538-8830 or email your questions to Andrea Staheli at astaheli@utah.gov.

For U.S. Postal Service:

Utah Department of Financial Institutions
P O Box 146800
Salt Lake City, UT 84114-6800

For Overnight Delivery:

Utah Department of Financial Institutions
324 S State Street, Suite 201
Salt Lake City, UT 84111

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS.

AMENDMENTS

- [Change of Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
- [Addition or Modification of Direct Owners/Executive Officers](#)
- [Addition or Modification of Indirect Owners](#)
- [Change of Disclosure Question\(s\)](#)

Note: Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

Complete	UT-DFI Residential First Mortgage Notification Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.	NMLS
Note	Change of Legal Name Fee: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	UT-DFI Residential First Mortgage Notification Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for a change of Main (Corporate) Address through the Company Form (MU1) in NMLS.	NMLS
Note	Change of Main Address: \$0 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	UT-DFI Residential First Mortgage Notification Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	If adding a new Other Trade Name, this name must be listed under the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS
Note	Addition of Other Trade Name \$0 per license. Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	N/A

Complete	UT-DFI Residential First Mortgage Notification Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS

Complete	UT-DFI Residential First Mortgage Notification Change of Legal Status Amendment Items	Submitted via...
Note: In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).		
<input type="checkbox"/>	Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.	NMLS

Complete	UT-DFI Residential First Mortgage Notification Addition or Modification of Affiliates/Subsidiaries Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Affiliates/Subsidiaries: Submit an amendment for an addition or change in Affiliates/Subsidiaries within the Company Form (MU1) in NMLS.	NMLS

Complete	UT-DFI Residential First Mortgage Notification Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Direct Owners/Executive Officers: Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.	NMLS
Note	Credit Report: Credit Reports and authorizations for credit reports through NMLS are NOT required.	N/A

Complete	UT-DFI Residential First Mortgage Notification Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Indirect Owners: Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS.	NMLS
Note	Credit Report: Credit Reports and authorizations for credit reports through NMLS are NOT required.	N/A

Complete	UT-DFI Residential First Mortgage Notification Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	Changing a Response from Yes to No: Provide a complete and detailed explanation and document upload for each response that changes from “Yes” to “No” for company. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).