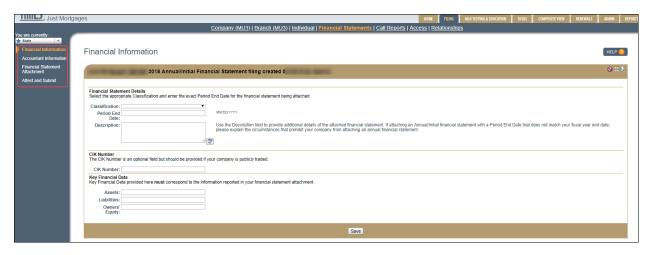
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## FINANCIAL STATEMENTS

To comply with financial statement requirements at initial application and within 90 days after a company's fiscal year end, the company must submit financial statements and key financial data, as applicable, through NMLS. New applicants should refer to the state-specific New Application Checklist available on the <a href="State Licensing">State Licensing</a> page of the NMLS Resource Center. Existing licensees should refer to the <a href="Financial Statement Requirements Summary">Financial Statement Requirements Summary</a> to determine which classification of financial statement needs to be submitted.

## **Submitting a Financial Statement**

- 1. Navigate to the NMLS Resource Center.
- 2. Click the **Log in to NMLS** button in the upper right corner.
- 3. Click the **Filing** tab.
- 4. Click the **Financial Statement** link from the sub-menu.
- 5. Click the Create Filing button.
- 6. Select the **Period Type** from the drop-down list that corresponds to the financial statement you are submitting. (Annual/Initial, Semi-Annual, Q3, Q2, Q1, Year to Date) Enter the Fiscal Year for the financial statement being attached and click the **Create** button.
- 7. Each section on the left navigation panel will need to be completed.



8. Complete the information requested on the Financial Information page.

**NOTE**: The dollar amount reported in the *Key Financial Data* section must be to the nearest dollar and must correspond to the financial statement filed.

- 9. Click the **Save** button and click **Next** to move to the next section of the filing.
- 10. Provide the requested Accountant Information if the financial statement being attached was prepared, audited, reviewed, or compiled by an accounting firm.

- 11. Click the Save button and click Next to move to the next section of the filing.
- 12. Click the **Add** button, and then click the **Browse** button to locate the desired financial statement file on your computer.

**NOTE:** The financial statement must be in searchable PDF format and cannot exceed 8MB.

- 13. Select the appropriate financial statement PDF file and click the **Save** button.
- 14. Click **Next** to enter the **Attest and Submit** section of the filing.
- 15. Click the **Submit Filing** button.

Further information regarding Financial Statement filing requirements by license type and jurisdiction can be found on the <u>NMLS Resource Center</u>.

For further navigational assistance, please contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).