





## SUBMITTING A FINANCIAL STATEMENT FILING

To comply with financial statement requirements at initial application and within 90 days of fiscal year end, the **company** must submit financial statements and key financial data, as applicable, through NMLS. New applicants should refer to the new application checklist posted on the applicable jurisdictions page in the State Licensing Resource section of the NMLS website. Existing licensees should refer to the Summary Table of Financial Statement & Net Worth Requirements by Jurisdiction found here:

[http://www.stateregulatoryregistry.org/AM/Template.cfm?Section=Financial\\_Statements&Template=/CM/ContentDisplay.cfm&ContentID=20459](http://www.stateregulatoryregistry.org/AM/Template.cfm?Section=Financial_Statements&Template=/CM/ContentDisplay.cfm&ContentID=20459)

### ***To Make a Financial Statement Filing***

1. Login to your account in NMLS.
2. In the *Welcome* screen, select the  tab in the upper right hand corner.
3. In the *Form Filing Home* screen, select the  link in the blue header below the houses. Click **Create Filing**.
4. Select the Period Type from the dropdown list that corresponds to the financial statement that will be attached.
5. Enter the Fiscal Year for the financial statement being attached and click **Create**.
6. Complete the information requested on the Financial Information page.
7. Click **Save** and select **Next** to move to the next section of the filing.
8. Provide the requested Accountant Information if the financial statement being attached was prepared, audited, reviewed, or compiled by an accounting firm.
9. Click **Save** and select **Next** to move to the next section of the filing.
10. Click **Add**, and then click **Browse** to locate the desired financial statement file on your computer.  
  
*Note:* The financial statement must be in searchable PDF format.
11. Select the appropriate financial statement PDF file and click **Save**.
12. Select **Next** to enter the Completeness Check and Submit section of the filing.

Further information regarding Financial Statement filing requirements by license type and jurisdiction can be found at:

[http://www.stateregulatoryregistry.org/AM/Template.cfm?Section=Financial\\_Statements](http://www.stateregulatoryregistry.org/AM/Template.cfm?Section=Financial_Statements)

For further assistance, please contact the NMLS Call Center at 240-386-4444.