




DOCUMENT UPLOADS

NMLS includes functionality that allows a company to upload documentation required for Company (MU1) and Branch (MU3) applications as required by your state regulator.



To ensure that you are uploading the correct document types, see the [Document Upload Descriptions and Examples](#) document.

How to Upload a Document

1. Log into your NMLS company account and click the **Filing** tab.
2. Click **Company (MU1)** or **Branch (MU3)** link on the submenu.
3. Click the **Create New Filing** button (see *Figure 1*).

NOTE: If you already have a pending filing created, select the **Edit**  icon to continue with the pending filing.

The screenshot shows the NMLS web application interface. At the top, the NMLS logo is on the left, and the user is logged in as 'StateR' with a 'Logout' link and 'test@nmls.org (edit)' email address. A 'Resource Center' link is also present. The main navigation menu includes 'HOME', 'FILING' (highlighted with a red box and '1'), 'MLO TESTING & EDUCATION', 'TASKS', 'COMPOSITE VIEW', 'RENEWALS', 'ADMIN', and 'REPORTS'. Below this, a submenu is visible with 'Company (MU1)' and 'Branch (MU3)' highlighted (2). The main content area is titled 'Create a Company Filing' and contains a table of available actions:

AVAILABLE ACTIONS	FUNCTION
Create New Filing	<ul style="list-style-type: none">Request a new license or transition an existing license.Withdraw a license application or surrender an existing license.Make amendments to your record or provide Advance Change Notice to the regulator of upcoming changes to your record.
 Edit	Complete and submit the pending filing.
 Delete	Delete the pending filing, including any pending changes.
View Latest Filing	Review your Company Form as it was last submitted by your company, if no pending filing exists.

Below the table, a note states: 'NOTE: A filing cannot be submitted until you resolve any outstanding completeness checks on the Attest and Submit screen. A submitted filing will be stored as the company's record for subsequent submissions.' A red text box indicates: 'There are no pending filings. Use the button below to create a new filing.' At the bottom, the 'Create New Filing' button is highlighted with a red box and '3', along with a 'View Latest Filing' button.

Figure 1: Create New Filing

4. Click the **Document Uploads** link on the left navigation panel.
5. Click the **Add** button (see *Figure 2*).

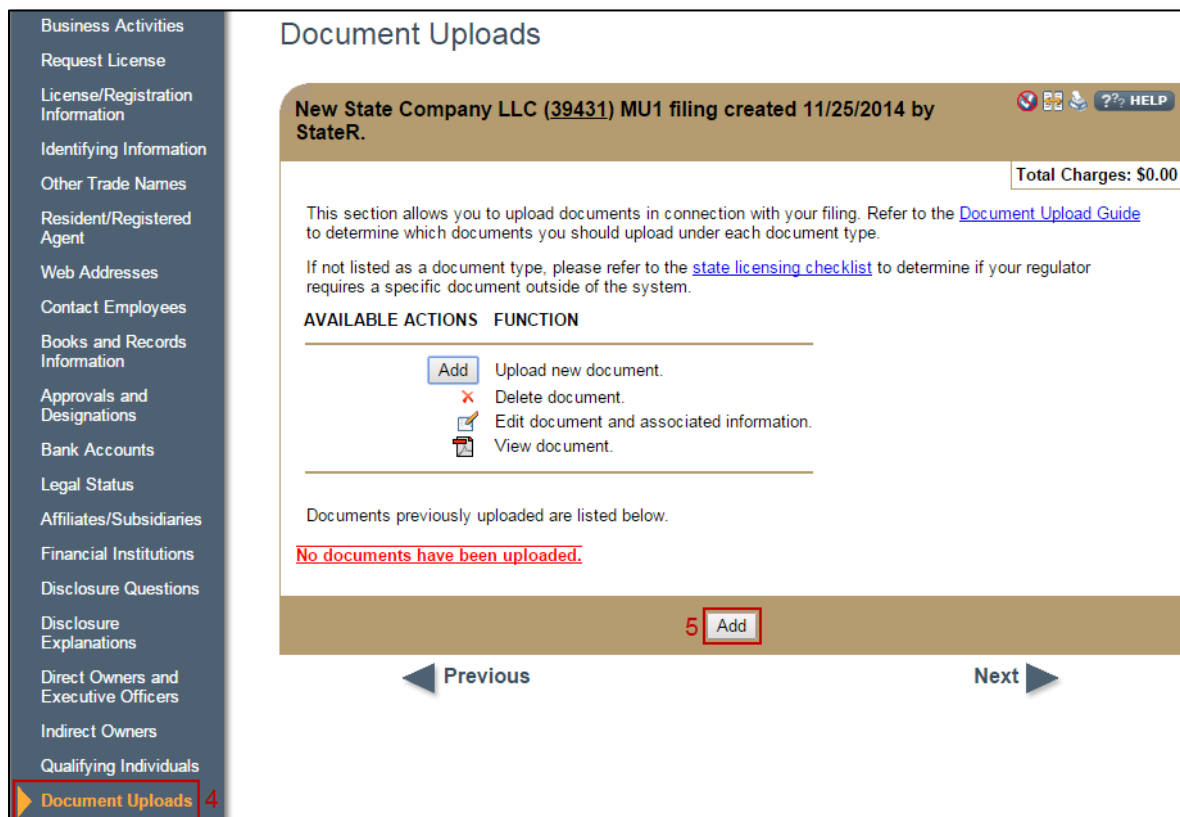


Figure 2: Add a Document

6. Select the **Document Type** from the Document Type drop-down menu.

NOTE:

- See the [Document Upload Descriptions and Examples](#) below for more information on the documents available for upload.
 - If the selected document type is a state-specific document, different versions of the document may be uploaded for each of the states in which the company or branch is seeking licensure. Select the **State** from the State drop-down menu.
 - Advance Change Notice documents are considered proposed documents to supplement a change requiring advance notice to a state agency. Final documents must be re-submitted as of the effective date as another Document Type.
 - Comments are optional.
7. Click the **Choose File** button and select the appropriate file for the document.
 8. Click the **Upload & Save** button (see *Figure 3*).

Add Document

New State Company LLC (39431) MU1 filing created 11/25/2014 by StateR. HELP

Total Charges: \$0.00

To upload a document, provide the details below and click **Browse** to select a PDF file (not exceeding 10 MB).
Not all document types allow you to select a state.

DO NOT upload documents that are not specifically detailed in the [Document Upload Guide](#).

Document Type :

State:

Comment:

File : No file chosen

Figure 3: Uploading a Document

9. Review/complete the remainder of your filing.
10. Click the **Attest and Submit** link on the left navigation panel.
11. If all completeness checks pass, select the **verification checkbox**.

NOTE: If completeness check errors exist, select the hyperlink for the section that requires attention and make the correction. Return to the **Attest and Submit** section to submit the filing.

12. Click the **Attest and Submit** button (see *Figure 3*).

Attest and Submit 10

Completeness Checks

All completeness checks are clear. You can attest to the filing below for submission.

Subject	Fee Type	Amount
Total Charges		\$0.00

I User State of New State Company LLC (39431) (Applicant) on this date Tuesday, November 25, 2014 swear (or affirm) as follows, that I executed this form on behalf, and with the authority, of said Applicant and said Applicant agrees to and represents the following:

- (1) That the information and statements contained herein, including exhibits attached hereto, and other information filed herewith, all of which are made a part of this application, are current, true and complete and are made under the penalty of perjury, or un-sworn falsification to authorities, or similar provisions as provided by law;
- (2) To the extent any information previously submitted is not amended, such information remains accurate and complete;
- (3) To the extent any information submitted is part of an advance change notice with a delayed effective date, such information is accurate and complete as of this submission;
- (4) That the jurisdiction(s) to which an application is being submitted may conduct any investigation into the background of the applicant, and any related individuals or entities, in accordance with all laws and regulations for purposes of making a determination on the application;
- (5) To keep the information contained in this form current and to file accurate supplementary information on a timely basis; and
- (6) To comply with the provisions of law, including the maintenance of accurate books and records, pertaining to the conduct of business for which the applicant is applying.

If the Applicant has knowingly made a false statement of a material fact in this application or in any documentation provided to support the foregoing application, then the foregoing application may be denied.

I verify that I am the named person above and that I am authorized to attest to and submit this filing on behalf of the Applicant. 11

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Figure 4: Attest and Submit

When uploading a document in NMLS:

- Only upload documents that are applicable to the type of documents you selected from the Document Type drop down (If you select to upload a Business Plan, the only document type provided should be a specific business plan for your company.)
- If you have multiple documents for one document type, they should be combined into one PDF and uploaded as one document
- The File name of the document should indicate the type of document being uploaded. (Ex. When uploading a business plan, the file name should reference “business plan as of mm/dd/yy” or “Articles of Incorporation” when uploading your articles of incorporation.)
- Provide comments if you need to explain anything about the documents being provided.

NOTE: NMLS does not currently provide the ability to upload all documents a state agency may require. **You should not upload documentation into NMLS that is not available for selection.** You may still need to provide documentation outside NMLS as indicated on the applicable [State Checklist found on the NMLS Resource Center](#).

Deletion of Uploaded Documentation

NMLS will store all documents that have been uploaded on your record. If you need to delete a document for any reason, you can do so; however the system will still store your previously uploaded filings historically.

If a state is not satisfied with the documentation that was provided, they may request you to provide new documentation.

For additional information on what documentation should be submitted through NMLS, consult your state specific checklist or state regulator. For help on system navigation, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).