



## 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](#).**

**NOTE:** Images in this document reflect the MU1 Document Upload process. While the instructions are accurate for uploading a document for both MU1 and MU3 filings, the screens may differ slightly.

### 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.

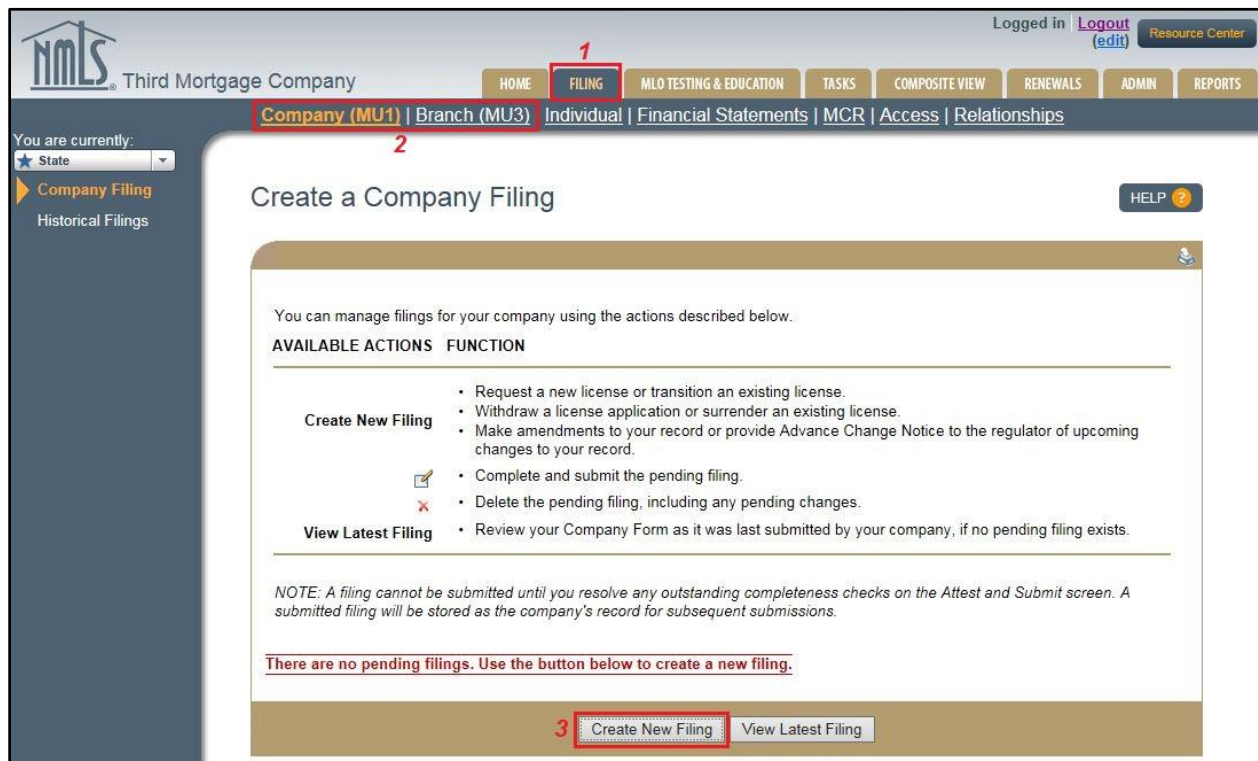


Figure 1: Create New Filing

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

**NOTE:** For documents pertaining to an MU1:

- To update a document that has already been uploaded in NMLS, click the **Amend** button next to the desired document.
- To delete a document that has been uploaded in NMLS, click the **Delete** button next to the document.

The screenshot displays the 'Document Uploads' page for a 'Third Mortgage Company (50813) MU1 filing created 10/1/2015'. The page includes a sidebar with various navigation options, a main content area with instructions and tips, and two tables of existing documents. The 'Add' button is highlighted with a red box and a red '5' above it.

**Third Mortgage Company (50813) MU1 filing created 10/1/2015** HELP ?

Total Charges: \$0.00

Use this section to add, amend, or delete documents related to this filing. You can also undo document amendments that have not been submitted.

**Helpful Tips:** Review the [state licensing checklist\(s\)](#) for your license(s) to determine document upload requirements. Refer to the [Document Descriptions and Examples Guide](#) for guidance on documents that can be uploaded in NMLS.

Documents related to this filing are listed below.

Click  to upload a new document.

[Expand all](#) | [Collapse all](#)

**Organizational Chart/Description (1)**

Available Actions	File Name	State	Status	Updated Date	Comment
<input type="button" value="Delete"/> <input type="button" value="Amend"/> <input type="button" value="Add"/>	<a href="#">Sample_Doc_Organizational_Chart.pdf</a>	N/A	Existing	3/9/2015 9:13:34 AM	

**Surety Bond (1)**

Available Actions	File Name	State	Status	Updated Date	Comment
<input type="button" value="Delete"/> <input type="button" value="Amend"/> <input type="button" value="Add"/>	<a href="#">Sample_Doc_Surety_Bond.pdf</a>	Massachusetts	Existing	3/9/2015 9:10:56 AM	

**5**

Next

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](#) 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 **Browse...** button and select the appropriate file for the document.

8. Click the **Add** button (see *Figure 3*).

**Add Document** HELP ?

**Third Mortgage Company (50813) MU1 filing created 10/1/2015** Total Charges: \$0.00

Provide the details below and click **Browse** to select a PDF file (not exceeding 10 MB). Not all document types allow a state selection.

DO NOT upload documents that are not detailed in the [Document Descriptions and Examples Guide](#).

Status: New

Document:

Document Type:

State: N/A

Comment:

File:  Browse... 7

6 Add Cancel 8

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).

**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, \_\_\_\_\_ of **Third Mortgage Company (50813)** (Applicant) on this date **Thursday, October 1, 2015** 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.

**11**

**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.**

Attest and Submit 12

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.) See the [Document Upload Descriptions and Examples](#) for more information.
- 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).