The Course Completion and Compliance Record functionality in NMLS is an integral part of determining if an individual is compliant with Pre-Licensure Education (PE) or Continuing Education (CE) requirements. An approved course provider has seven calendar days after the end of a course (or in the case of an online self-paced course, from the time the student completes the course) to report (bank) a student's credits in NMLS.

Follow the steps below to properly view an individual's Course Completion and Compliance Record in NMLS.

1. Navigate to the **NMLS Resource Center.**

2. Click the **Log into NMLS** button in the upper right corner and log in.

3. Click the **Composite View** tab.

4. Click **View Individual** on the top sub-menu. If you are a company user attempting to access an individual's Education Record, search for the individual using their NMLS ID or first and last name.

5. Click **View Education Record** on the left navigation panel.
[Result] The NMLS Course Completion and Compliance Record will launch in a separate tab/window.

Record Layout

A. Click to report missing or incorrect information – this link will take the user to a monitored comment box on the NMLS Resource Center.
B. PRINT Use this icon to print the record.

C. <u>View License/Registration List</u> – this link will take the user to the View License/Registration List under the Composite View tab which contains pertinent licensing information for an Individual.

D. <u>Show All/Hide All</u> – this link will allow the user to expand or collapse all sections of the record. For usability purposes, the System will display Pre-Licensure Education (PE) and the last 3 years of Continuing Education (CE) expanded in the initial record view.

Throughout the education record, colors and icons are used to differentiate between PE and CE, as well as, compliant vs. non-compliant.

- **Pre-Licensure Education** information is represented by green bar(s).
- **Continuing Education** information is represented by blue bar(s).
- The following terms are used to reflect compliance statuses for PE and CE:
  - **Compliant** (✔) means the number of required hours for the requirement is completed.
  - **Pending** (⚠) means that not all of the required numbers of hours have been completed.
  - **Not Required** displays if an individual applies for or holds a license that does not require education compliance.

Continuing Education

2013 Continuing Education (CE)

2013 Federal CE Requirements

Requirement Type	Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date
CE Federal Law and Regulations	0 / 3	Pending	1/1/2013	6/18/2013
CE Ethics	0 / 2	Pending	1/1/2013	6/18/2013
CE Non-Traditional Lending	0 / 2	Pending	1/1/2013	6/18/2013
CE General Elective	0 / 0	N/A	N/A	6/18/2013
CE Total	0 / 8	⚠ Pending	1/1/2013	6/18/2013

2013 State CE Requirements

License Type	State Hours Applied / Required	Total Federal and State Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date
NV Mortgage Agent License	0 / 3	0 / 10	⚠ Pending	1/1/2013	6/18/2013
WA Mortgage Loan Originator License	0 / 1	0 / 9	⚠ Pending	1/1/2013	6/18/2013

In order to reapply for a license, many states require completion of CE in the last year the license was in an approved status.

Pre-Licensure Education

Pre-Licensure Education (PE)

Federal PE Requirements

Requirement Type	Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date
PE Federal Law and Regulations	3 / 3	Compliant	4/6/2011	6/18/2013
PE Ethics	3 / 3	Compliant	4/6/2011	6/18/2013
PE Non-Traditional Lending	2 / 2	Compliant	4/6/2011	6/18/2013
PE General Elective	26 / 0	N/A	N/A	6/18/2013
PE Total	34 / 20	✔ Compliant	4/5/2011	4/7/2011

State PE Requirements

Current Licenses

License Type	State Hours Applied / Required	Total Federal and State Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date
NV Mortgage Agent License	4 / 4	34 / 30	✔ Compliant	8/24/2011	6/18/2013
WA Mortgage Loan Originator License	4 / 2	34 / 20	✔ Compliant	4/5/2011	6/18/2013

Courses Taken (PE/CE) – represents courses banked by the course provider.

PE Courses Taken							
Course ID	Course Name	Provider Name	Category	Credit Hours	Hours Applied	Completion Date	Processed Date	Instruction Type
1843	2 Hour WA SAFE PE Online - Washington State Law		PE Elective	2	2	4/25/2012	4/25/2012	Online Instructor-Led
2200	10 Hour NV SAFE State Law and Regulations		PE Elective	10	10	8/24/2011	8/25/2011	Classroom

NOTE: State specific courses are identified by the two letter state abbreviation code in the course title e.g. CA for California, KY for Kentucky, etc.

Understanding the Data

Compliance Statuses

Not Required	Displays when individual has applied for or holds a license that does NOT require education compliance (AND in the Federal Requirements section only if there are no courses banked)
Pending	Displays when less than the required hours of PE/CE for the requirement have been banked
Compliant	Displays when the hours required for the requirement have been banked
N/A	Will always display for General Electives in the Federal Requirements Section

PE Requirement Specifics
- Compliance information will display toward the bottom of the Education Record.
- The data will be organized in the following order: Federal PE Requirements, State PE Requirements, and PE Courses Taken.
- An Individual's License-specific PE requirement in the State PE Requirements section is set at the time of license request.

CE Requirement Specifics
- Compliance information will display toward the top of the Education Record.
- The date will be organized in the following order: Federal CE Requirements, State CE Requirements, and CE Courses Taken.
- Federal and State CE requirements are set at the time of license approval and annually for each approved license held on January 1st.
- MLOs must display as "Compliant" for both Federal and State CE Requirements prior to renewal submission.

- MLOs must complete any Pending CE Requirements for the last year they held the license when reapplying for a license previously held.

Messages Received on Education Record

No education records to display. will display if the individual has not taken any courses that have been reported to NMLS and has not applied for any licenses.

Close this window to return to the previous screen when done viewing or printing the information. HELP ?

PRINT 🖶

NMLS Course Completion and Compliance Record
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This record displays courses completed as reported by course providers. Course providers have seven (7) calendar days from the course end date to report completions. Click to report missing or incorrect information.

View License/Registration List

Show All / Hide All

No education records to display.

No Federal/State CE Requirements
The (YYYY) CE section of the Education Record will display as the following when:
- Individual became Federal PE Compliant during the same year, or
- Individual did NOT hold an approved license during the year

■ **2013 Continuing Education (CE)**

2013 Federal CE Requirements

No Federal CE Requirements.

2013 State CE Requirements

No State CE Requirements.

Additional information regarding education compliance, including Education FAQs can be found on the State-Specific Education Chart found within the Professional Standards section of the NMLS Resource Center.