



MANAGING ASSOCIATIONS - SURETY COMPANY QUICK GUIDE

A surety company initiates the association request to surety bond producers. To facilitate this process, NMLS enables the surety company to complete the following actions:

- [Search and view existing surety bond producers](#) and their NMLS record including:
 - Surety bond producer company information, state authorizations, and representatives.
- [Manually create associations with surety bond producers.](#)
- [Revise an current association with a surety bond producer.](#)
- [Submit revisions to bond limits.](#)
- [Remove inactive associations with surety bond producers.](#)
- [Create associations with surety bond producers in bulk](#) using a batch upload process.

How to Search for Surety Bond Producers

1. Navigate to the [NMLS Resource Center](#).
2. Click the **Log in to NMLS** button in the upper right corner.
3. To view an existing surety bond producer and their company information within NMLS, click the **Composite View** tab.
4. Click the *View Surety Bond Entity* link on the submenu.
5. Next provide the NPN and/or name of the surety bond producer in the search fields.
6. Click the **Search** button (see *Figure 1*).

NOTE: Once a NPN or Name has been provided, the search can further be filtered by approved state authorizations.

The screenshot displays the NMLS Surety Bond Producer Search interface. At the top, it shows the user is logged in as 'RamirezA90' and provides a 'Logout' link. The user's company information, 'AR Surety Company (NAIC 1122334)', is displayed. A navigation menu includes 'HOME', 'TASKS', 'COMPOSITE VIEW', and 'ADMIN'. The 'COMPOSITE VIEW' tab is highlighted with a red arrow and labeled '4'. Below the navigation, there is a link 'View Surety Bond Entity' highlighted with a red arrow and labeled '5'. The main content area is titled 'Surety Bond Producer Search' and contains a search form. The form has a 'HELP' button and a search area with the text 'Search for existing surety bond producer records.' The search fields include 'NPN:', 'Name: Surety', and 'Restrict Search by Approved State:'. The 'Name' field has radio buttons for 'Starts With', 'Contains', and 'Soundex'. The search button is highlighted with a red box and labeled '7'. The search form is labeled '6'.

Figure 1: How to Search for Surety Bond Producers in NMLS

- Click the NPN provided as a link beside the surety bond producer name to view the surety bond producer's NMLS record.
- Click the links on the left navigation panel to view each section of the NMLS surety bond producer record. This includes the surety bond producer company information, state authorizations, representatives, and the active surety company associations existing between the searching company and the surety bond producer (see *Figure 2*).

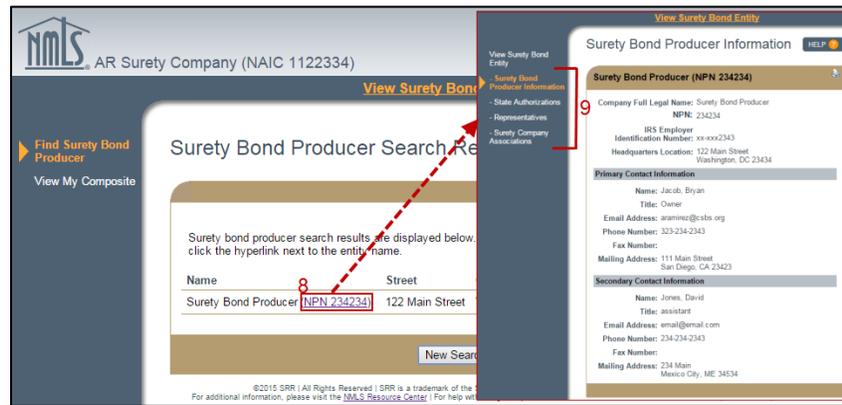


Figure 2: How to View a Surety Bond Producer Record in NMLS

How to Create an Association Request with a Surety Bond Producer

- To create an association with an existing surety bond producer, click the **Tasks** tab.
- Click the *Company Associations* link on the submenu.
- Provide the NPN and/or name of the surety bond producer.
- Click the **Search** button (see *Figure 3*).

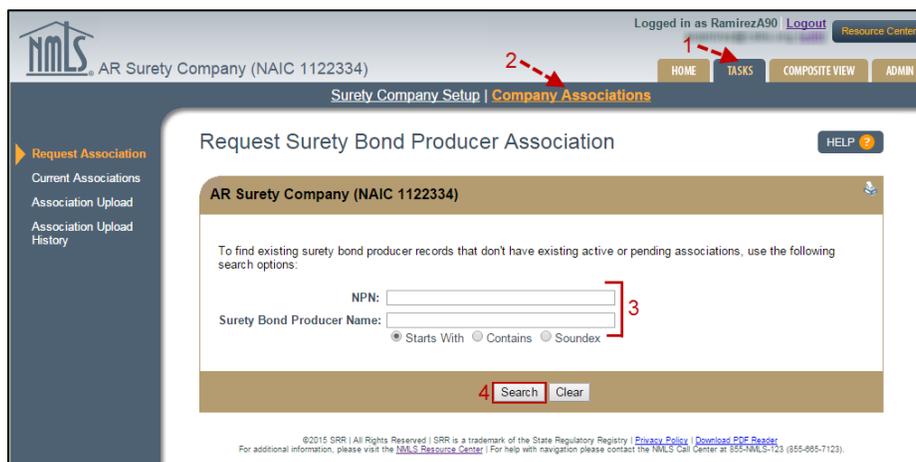


Figure 3: How to Select a Surety Bond Producer to Initiate an Association

5. Select the radio button for the applicable surety bond producer.
6. Click the **Next** button. Select the yes or no radio buttons for the “Will the surety bond producer have execution authority?” question and then click the Next button (see Figure 4).

NOTE: NMLS currently does not support the creation of Associations without execution authority.

7. On the next screen click the radio button for the underwriting company from the list provided and then click the **Next** button.

The screenshot shows a web form for requesting a surety bond producer association. The form is titled "Request Surety Bond Producer Association" and "CBA Demo Surety Company (NAIC 887766)". It contains a table with two columns: "Surety Bond Producer" and "States". The first row is selected, with a red box around the "Next" button. A red arrow points from the "Next" button to the "Will the surety bond producer have execution authority?" question, which has "Yes" and "No" radio buttons. Another red box is around the "Next" button at the bottom of the form.

Surety Bond Producer	States
5 <input checked="" type="radio"/> Skip Demo Surety Bond Producer (NPN 234234)	Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Washington, West Virginia, Wisconsin, Wyoming

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Figure 4: How to Initiate the Association Request

8. Select all states where the surety bond producer will be authorized to execute bonds on behalf of the surety company or underwriting company and indicate the bond limit. Then click the **Next** button (see Figure 5).

NOTE: Only states in which both the surety company and the surety bond producer are authorized to execute bonds will appear in the selection.

Request Surety Bond Producer Association HELP ?

CBA Demo Surety Company (NAIC 887766)

Select all states where this surety bond producer will be authorized to execute bonds on behalf of the surety company and indicate at what bond limit.

Surety Bond Producer: Surety Bond Producer ([NPN 234234](#))

State	Bond Limit (\$)
<input type="checkbox"/> Alabama	<input type="text"/>
<input type="checkbox"/> Arizona	<input type="text"/>
<input type="checkbox"/> California	<input type="text"/>
<input type="checkbox"/> Delaware	<input type="text"/>
<input type="checkbox"/> Florida	<input type="text"/>
<input type="checkbox"/> Vermont	<input type="text"/>
<input type="checkbox"/> West Virginia	<input type="text"/>
<input type="checkbox"/> Wyoming	<input type="text"/>
<input type="checkbox"/> Colorado	<input type="text"/>
<input type="checkbox"/> North Carolina	<input type="text"/>
<input type="checkbox"/> Virginia	<input type="text"/>

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Figure 5: State Authorizations and Bond Limits

9. Select the representatives who will be authorized to execute bonds on behalf of the surety company or underwriting company for the states previously indicated and their bond limits. Then click the **Next** button (see Figure 6).

Request Surety Bond Producer Association HELP ?

CBA Demo Surety Company (NAIC 887766)

Select all representatives who will be authorized to execute bonds on behalf of the surety company for the states previously indicated.

Surety Bond Producer: Surety Bond Producer ([NPN 234234](#))

Name	Bond Limit (\$)
<input checked="" type="checkbox"/> Jacob, Bryan (NPN 654321)	<input type="text" value="300,000"/>
<input checked="" type="checkbox"/> Smith, Jeff (NPN 223344)	<input type="text" value="350,000"/>

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Figure 6: Representatives and Bond Limits

10. Review the information provided and the attestation, check the available box, and then click the **Request Association** button.

How to Revise a Current Association

1. To revise a current association, click the **Tasks** tab.
2. Click the *Company Associations* link on the submenu.
3. Click the *Current Associations* link in the left navigation panel and then click the **Manage** button beside the association to be revised.
4. Click the **Update** button at the bottom of the page to make changes to the information provided (see *Figure 7*).

The screenshot shows the NMLS AR Surety Company interface. The main content area is titled 'Manage Surety Bond Producer Associations'. It lists three active associations for AR Surety Company (NAIC 1122334). The third association, 'Surety Bond Producer (NPN: 234234)', is highlighted with a red box and a red arrow labeled '3'. To the right, the 'Association Details' panel for this association is shown, with a red arrow labeled '4' pointing to the 'Update' button at the bottom. The interface includes a left navigation menu with 'Current Associations' selected, and a top header with the NMLS logo and company name.

Figure 7: How to Initiate the Revision Process for an Existing Association

NOTE: While an association request is pending review by the surety bond producer, removing the association request is the only available action. Updates cannot be made unless the association has been accepted by the surety bond producer.

5. The following screen should be used to make changes to the states authorizations between the surety company and the surety bond producer. Once changes have been made, click the **Next** button (see *Figure 8*).
 - a. To remove a state from the association, uncheck the box beside the applicable state under the *Curent States for the Association* section.
 - b. To change the bond limit for current states in the association, enter the new bond limit in the *Revised Bond Limit* field.

- c. To add a new state to the association, select the state from the *Available States for the Association* section and provide the bond limit.

Update Surety Bond Producer Association HELP ?

AR Surety Company (NAIC 1122334)

This page displays the details for the current association. To remove a state from this association, uncheck the appropriate check box. To change the bond limit, enter the new bond limit in the **Revised Bond Limit** field. To add a new state, select the state from the **Available States for the Association** list.

Click **Next** after completing the changes.

Surety Bond Producer: Surety Bond Producer ([NPN 234234](#))

Will the surety bond producer have execution authority? Yes No

Current States For the Association

State	Current Bond Limit	Revised Bond Limit (\$)
<input checked="" type="checkbox"/> Alabama	\$400,000	<input type="text"/>
<input checked="" type="checkbox"/> Florida	\$400,000	<input type="text"/>
<input checked="" type="checkbox"/> Louisiana	\$350,000	<input type="text"/>
<input checked="" type="checkbox"/> Nebraska	\$300,000	<input type="text"/>

Available States For the Association

State	Bond Limit (\$)
<input type="checkbox"/> Arizona	<input type="text"/>
<input type="checkbox"/> California	<input type="text"/>
<input type="checkbox"/> Colorado	<input type="text"/>
<input type="checkbox"/> West Virginia	<input type="text"/>
<input type="checkbox"/> Wyoming	<input type="text"/>

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Figure 8: Revision to the State Authorizations of an Existing Association

6. The following screen should be used to make changes to the current representatives for the association. Once changes have been made, click the **Next** button (see *Figure 9*).
- To remove a representative from the association, uncheck the box beside the applicable representative under the *Current Representatives For the Association* section.
 - To change the bond limit for current representatives in the association, enter the new bond limit in the *Revised Bond Limit* field.
 - To add a new representative to the association, select the representative from the *Available Representatives For the Association* and provide their bond limit.

Update Surety Bond Producer Association HELP ?

AR Surety Company (NAIC 1122334)

This page displays the representative designated for the current association. To remove a representative from this association, uncheck the appropriate check box. To change the bond limit, enter the new bond limit in the **Revised Bond Limit** field. To add a new representative, select the state from the **Available Representatives for the Association** list.

Click **Next** after completing the changes.

Surety Bond Producer: Surety Bond Producer (NPN 234234)

Current Representatives For the Association

Name	Current Bond Limit	Revised Bond Limit (\$)
<input checked="" type="checkbox"/> Jacob, Bryan (NPN 654321)	\$300,000	<input type="text"/>
<input checked="" type="checkbox"/> Smith, Jeff (NPN 223344)	\$350,000	<input type="text"/>

Available Representatives For the Association

Name	Bond Limit (\$)
<input type="checkbox"/> Riley, Joe (NPN 332244)	<input type="text"/>

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Figure 9: Revision to the Representatives of an Existing Association

- Review the changes and the attestation, check the available box, and then click the **Submit Update** button to complete the revision process.

How to Remove a Current Association

- To remove a current association, click the **Tasks** tab.
- Click the *Company Associations* link on the submenu.
- Click the *Current Associations* link in the left navigation panel.
- Then click the **Manage** button beside the association to be revised (see Figure 10).

Logged in as RamirezA90 | [Logout](#) [Resource Center](#)

AR Surety Company (NAIC 1122334) HOME TASKS COMPOSITE VIEW ADMIN

Surety Company Setup | **Company Associations**

Manage Surety Bond Producer Associations HELP ?

AR Surety Company (NAIC 1122334)

Below is a list of active surety associations. To update an association, click **Manage**.

Manage	Surety Bond Producer	Underwriting Company	States	Status	Updated Date
Manage	Auto Surety Adam Opel GmbH Company (NPN 97679281)		Colorado	Requested	12/1/2015
Manage	Bobby Flay's Bond Producer (NPN 321321326)		Colorado, Virginia	Approved	12/6/2015
Manage	Surety Bond Producer (NPN 234234)		Alabama, Florida, Louisiana, Nebraska	Approved	12/7/2015

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Figure 10: How Initiate the Removal of an Existing Association

5. Click the **Remove** button at the bottom of the page.
6. To complete the removal process, enter a comment in the note field (required) and click the **Remove Association** button. This action will result in the surety bond producer no longer being able to issue bonds on behalf of the surety company or underwriting company in the designated states (see *Figure 11*).

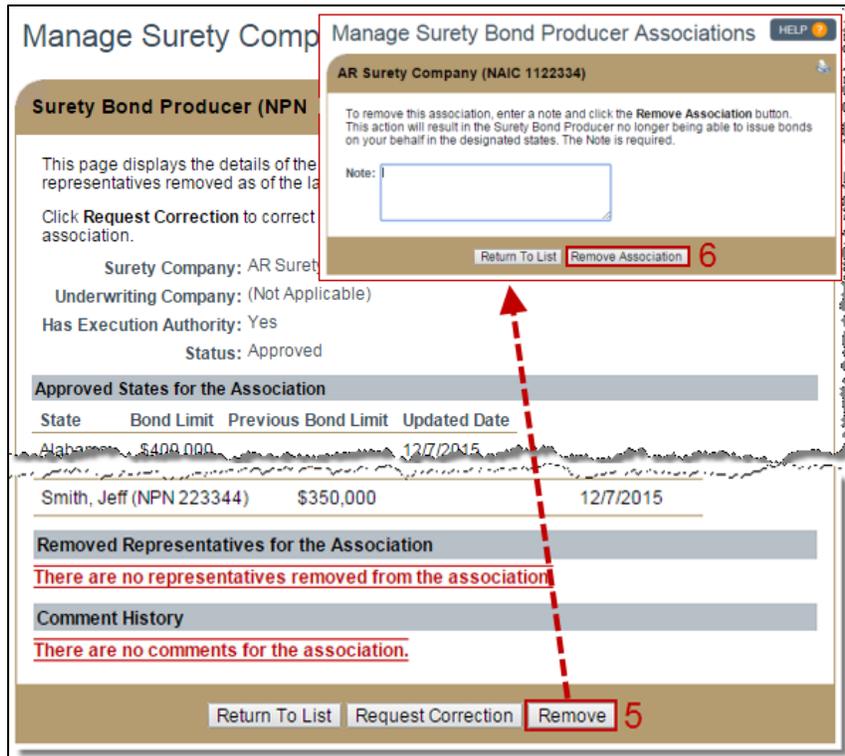


Figure 11: How to Complete the Removal of an Existing Association

How to Submit a Batch Association Upload

NMLS provides surety company users with the ability to request associations either through manual data entry within NMLS or through an upload of a properly formatted XML file to NMLS. The batch association upload feature provides a streamline option for creating associations for those companies that are able to extract association information from their internal systems.

The [Surety Company Association Upload XML Specification](#) document provides detailed information about the file, including the XML schema.

How to Upload an Association Batch File

1. Click the **Tasks** tab.
2. Click the *Surety Company Associations* link on the submenu.
3. Click the *Association Upload* link in the left navigation panel.

4. Click the **Choose File** button.
5. Browse for your xml file and then click the **Open** button.
6. Review the attestation and confirm the statement by selecting the check box.
7. To complete the upload process, click the **Upload** button (see *Figure 12*).

NOTE: If the file does not conform to a valid Surety Association Upload schema, a red error message will display with detailed specifics regarding the invalid format.

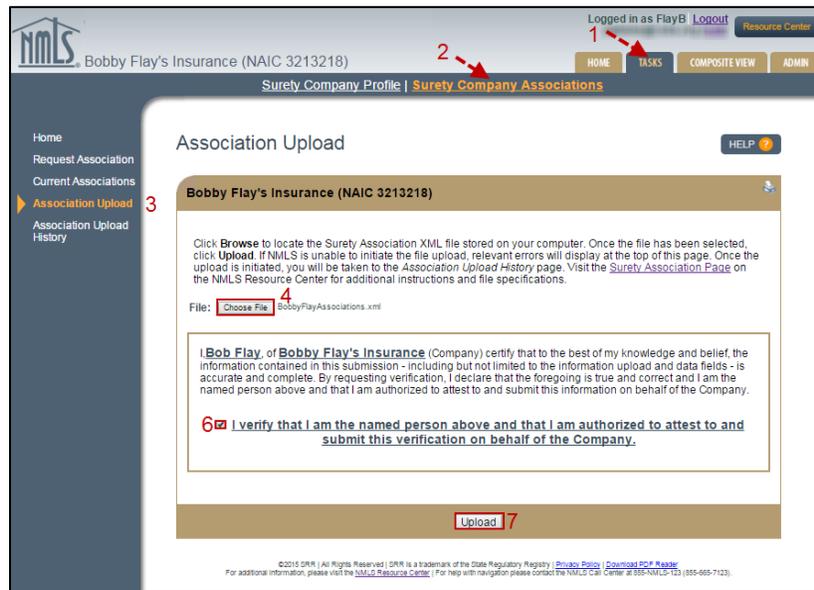


Figure 12: Association Upload Process

Viewing Association Upload History and Results

1. Click the **Tasks** tab.
2. Click the *Company Associations* link on the submenu.
3. Click the *Association Upload History* link in the left navigation panel, which will display batch files and processing results
4. To view the successfully completed records, click the hyperlinked number under the  column.
5. To view the rejected records, click on the hyperlinked number under the  column.
 - a. The original batch file will display in XML format with an Error message containing an explanation of why each record was rejected beside the respective record.

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