Company Request Form Basics

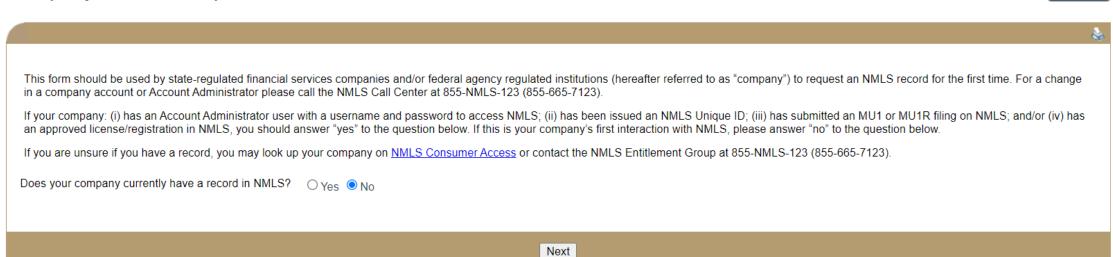




Who Should complete this form?

- A company, institution, or sole proprietor who applies for a state license/registration or federal registration must first obtain a company account in NMLS.
- If your company has an Account Administrator (AA) with a username and password to NMLS, you should <u>not</u> proceed with this request.

Company Account Request Form

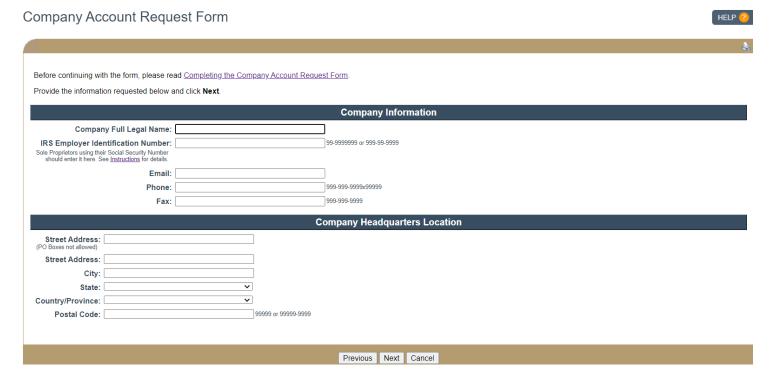


Note: To request an account the user must select "No" on this option.

Information Input - State

The following information must be listed and must match exactly, <u>including punctuation</u>, to the attached documentation:

- Company's full legal name;
- IRS Employer Identification Number (EIN);
 - If the company is a sole proprietorship, the Social Security Number (SSN) should be entered.
- State of incorporation;
- Date of incorporation; and
- Address of main corporate headquarters



Legal Name

- Companies should use the exact legal name as it appears on their Articles of Incorporation, Articles/Certificate of Organization, Partnership Agreement, or other legal document.
- Each company should not be set up by any trade name or "doing business as" (DBA).
- Using the legal name will ensure only a single record is established for each distinct company in the system.
- Sole Proprietors should use their full legal name (last, first, full middle) as the company legal name.

Company Information

Full Legal Name:

Supporting File (state account requests only)

Document Requirements

- Documents must be in a single PDF file.
- May not exceed 8MB.

IRS Documentation:

- Only the the SS-4 Letter or the 147C letter is acceptable.
- The SS-4 letter is only issued to you once when your EIN is first established by the IRS.
- The 147C letter acts as a replacement if you do not have your SS-4 letter.

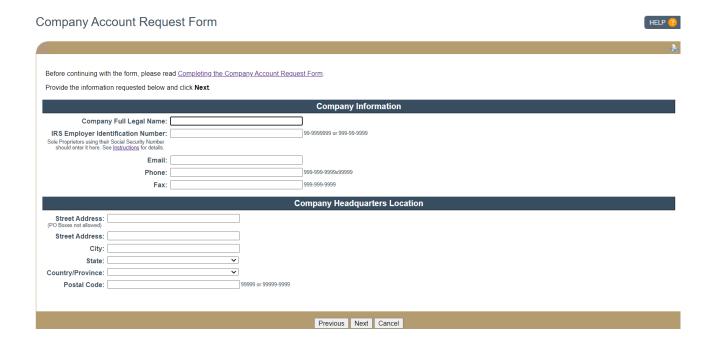
SOS Documentation

 The legal name of your business on the SOS documentation must match the legal name that is listed on the IRS documentation with the only exceptions being punctuation marks such as periods and commas.

Information Input - Federal

The following information must be listed and will be validated against the Federal Reserve System's National Information Center (NIC) Database:

- RSSD ID;
- Primary Federal Regulator; and
- RSSD ID of the parent institution if a subsidiary of a federally chartered institution



QUICK TIPS



The legal name provided must match the legal name that is listed on the IRS & SOS Documentation.



Upload the appropriate Secretary of State (SOS) and Internal Revenue Service (IRS) documentation. Punctuation is not necessary on IRS Documentation but must match on SOS documentation.



The SOS documentation can also be referred to as a **Certificate of Existence**.



To request a copy of the 147 C letter from the IRS, contact their Business & Specialty Tax Line (800-829-4933). You must contact the SOS for where you registered your business if you do not have that documentation.



Documents must be unaltered and combined into one single PDF file.



The Company Contact Person is a person within the company **authorized** to **answer questions** regarding the company's NMLS Record and may be contacted in regards

Common Rejection Reasons

- Information on request doesn't match the IRS documentation or SOS documentation. Information must match exactly as it appears on the IRS documentation (punctuation not necessary) and SOS documentation (punctuation must match).
- IRS Documentation and/or SOS Documentation not provided.
- Account Administrators not being a direct employee.
- Using a generic address, e.g., myfavoritecompany@xyz.com or an email address that belongs to a different company will result in a rejected submission. You must use an email address that is directly linked to the Account Administrators and indicates a connection to the company requested.
- Formation Date not in the correct format. It must be listed with
 a 2-digit month, 2-digit day, and 4-digit year (xx/xx/xxxx).

What to Do if the Account has been Rejected?

Review	Review the rejection email to determine the cause of the rejection.
Request	Follow the company account process to request the account again. This must be done again to request the account.
Validate	Ensure that new request resolves the errors that prevented the account from being approved with the original request.
Wait	Company Account requests take 3-5 business days to review.

Support

- To obtain information about the specific sections of the form, access the <u>Completing</u> <u>the Company/Institution Request Quick</u> <u>Guide</u> linked in the Company Account Request section in NMLS.
- To obtain information specific to policy, definitions and step-by-step instructions on how to complete the Company Request Form, access this <u>Help Document</u> for details.
- Contact the Call Center at 1-855-665-7123.

