



Uniform Authorized Agent Reporting FAQ

How does Uniform Authorized Agent Reporting work?

Companies using Uniform Authorized Agent Reporting will initially upload, in a single file, the complete set of information for all authorized agents (also known as authorized delegates) in adopting states. At the beginning of each calendar quarter, NMLS will place a license item instructing the company to file any updates. At that time, the company need only upload information regarding new authorized agents, changes to existing authorized agents, and/or the termination dates of any authorized agents that the company has ceased using since the last upload. The complete roster of agents does not need to be uploaded with each subsequent report.

What do I do if my company is licensed in one of the adopting states?

If your company is licensed in one of the adopting states, the relevant state regulator will contact you about the new process. The UAAR Pilot Program will include a number of resources for industry to help guide you through the transition and initial upload of authorized agent information, including webinars, conference calls and one-on-one assistance.

How can I validate the physical address of my authorized agent locations?

While not necessary, some licensees may want to validate an Agent's address as part of the onboarding process. There are a number of commercially available tools to assist companies ensure that the physical addresses of authorized agent locations are valid and recognized by the U.S. Postal Service. Companies can also visit the U.S. Postal Service's [website](#) to check individual addresses.

If my company has no Agent locations, how do I report this through NMLS?

A company that has no locations to report to regulators should select the tasks tab, click the "Manage Agents" button then click the "No Agents to Report" button. Quarterly reporting must also be completed. If there are no additions, the company should click "No Change to Report" and attest. State agencies need to know which licensees use Agent locations and which do not. Reporting through NMLS should take the place of reporting outside NMLS.

My company uses an authorized agent that has multiple locations. Do I report just the agent's corporate headquarters, or each location of the agent?

Companies are expected to report the physical location of each authorized agent through which they offer services. If you have a contract with an authorized agent that operates multiple locations (e.g., a chain of stores) each location that offers your company's services and products must be reported separately.

I am having trouble uploading Physical Addresses with a “zero” as the first number of the zip code. What should I do?

Excel often eliminates a leading zero when the cell is formatted for numbers (the default setting). Making the Zip Code cells formatted as “Text” will retain the leading zeroes in Zip Codes and allow it to be validated by NMLS.

How do I report agent changes as part of my quarterly update?

On the tasks tab click the “Manage Agents” button and then upload a list of the agent adjustments. You only have to upload the agents that are changing (additions, closings, information adjustments). This will overwrite the information for those specific agents and the regulator will be notified.

The standard NMLS requirement to submit agent updates is on a quarterly basis. These quarterly updates must be submitted within 45 days of the end of the calendar quarter. States with more frequent reporting frequencies or deadlines will indicate this on their NMLS Licensing Requirements Checklist available on the [NMLS Resource Center](#).

How do I notify my regulator if I have no changes to report for my quarterly update?

On the tasks tab click the “Manage Agents” button and then click the “No Changes to Report” button and attest. This will notify the regulator that no changes to your agent list has been made since you last submitted an upload.

What date should I enter in the start date field?

The date the physical location started operation should be listed in the Start Date field. Please note this may be different than the contract or agreement start date you have with a particular agent.

Are there any fees for this process?

NMLS Processing Fees will be assessed according to the following fee structure:

- Licensees will be assessed an annual processing fee of 25 cents per active authorized agent.
- The annual processing fee for a licensee will be capped at \$25,000.
- No licensee will pay an annual processing fee on the first 100 active authorized agents.