

# Uniform Authorized Agent Reporting Through NMLS

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# What is the UAAR?

- The *NMLS Uniform Authorized Agent Reporting (UAAR)* process allows licensed money service businesses to file a single, uniform report of their authorized agent (also known as authorized delegates) locations through NMLS to all participating state agencies.
- Regulators then have access to review the authorized agent/delegates reported.

# How does the UAAR work for licensees?

## Initial Upload

- Upon license approval in NMLS (after the Company Form (MU1) is submitted), companies will complete their initial upload of their authorized agents/delegates in a single file.

## Ongoing Updates

- At the beginning of each calendar quarter, NMLS will place a license item instructing the company to file any updates.
- At that time, companies will provide the following information in NMLS...
  - New authorized agents
  - Changes to existing authorized agents
  - Termination dates of any authorized agents that the company has ceased using since the last upload
  - Indication that the company has no changes to report

# UAAR License Item

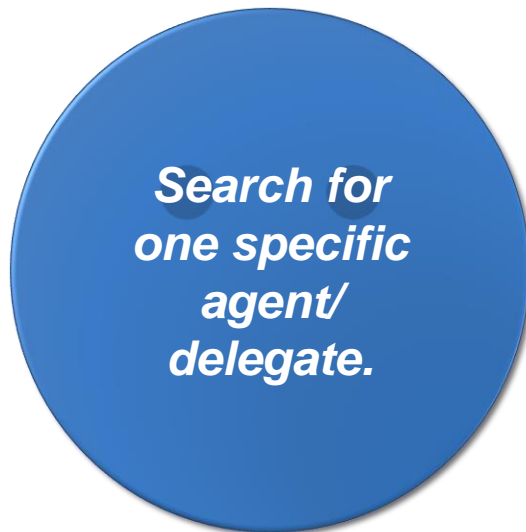
- If the UAAR setting is turned on....
- System places a license item on Money Transmitter's license at the beginning of each calendar quarter instructing the company to file any updates.

Entity ID	Entity Name	License Item Type	Title	Created Date	Created By	Cleared Date	Cleared By	External Note
43997		<a href="#">Agent File Upload Required</a>	Agent File Upload Required	1/1/2017	System	3/31/2017	SchultzDA	

- Once they report the agents, the license item is cleared by the system automatically.
- To report the agents, licensees can either uploaded the changes to the agent list or select the option to report *No Changes* for that quarter.

# How does the UAAR work for regulators?

- After the companies have submitted their agents/delegates in NMLS, regulators have the ability to view all the information provided about the agent/delete.
- Regulators can access this information in one two ways...



# UAAR Upload Process

## **Validation Level 1 – NMLS System**

When a licensee uploads their agent file, it is processed by the system to ensure the data format is correct and the addresses are valid.

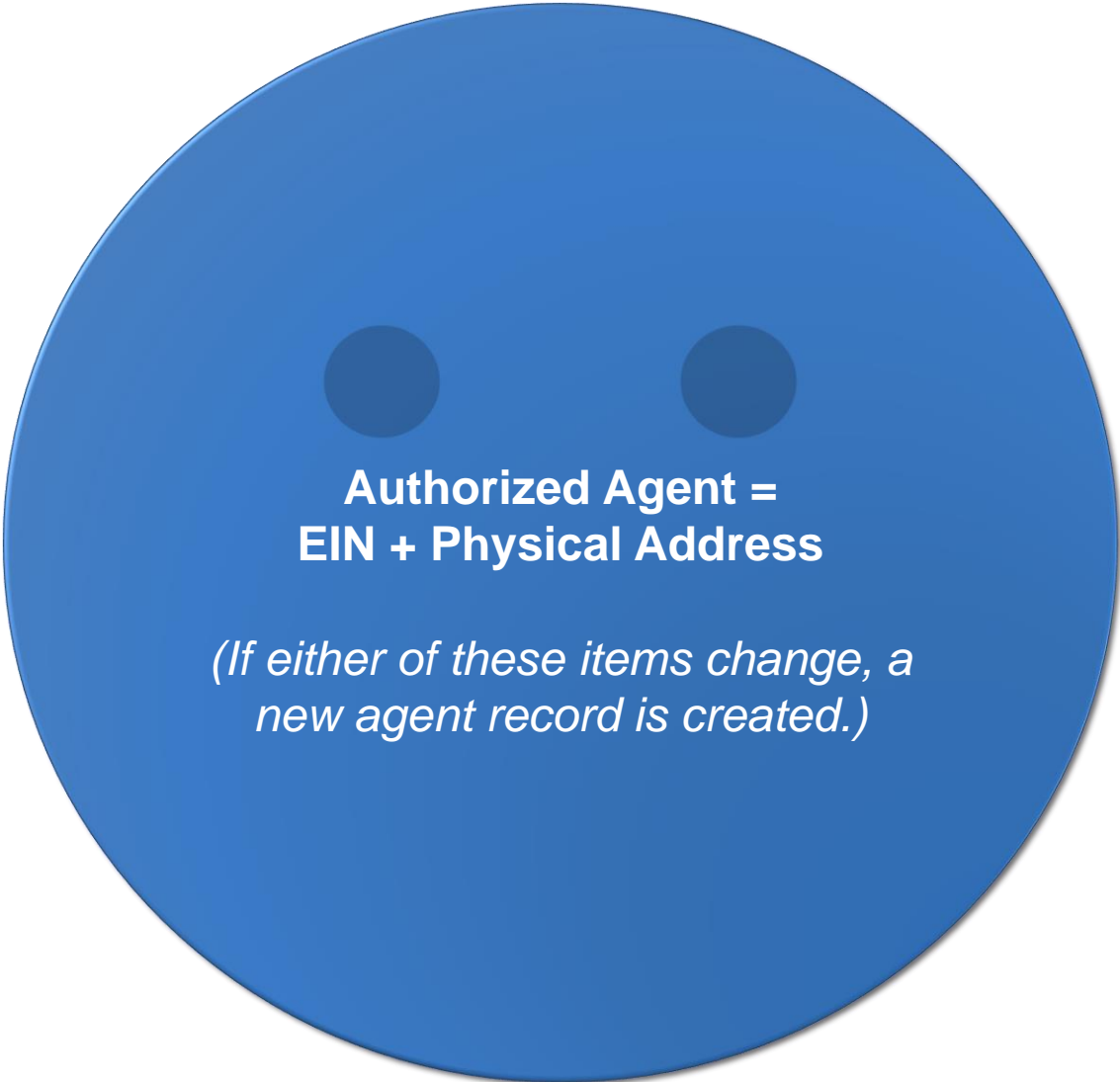
If the file passes Validation Level 1, it is then attested to by the licensee prior to submission to the regulator.

## **Validation Level 2 – Melissa Data**

Before the file to be sent to the regulator, all physical addresses are submitted through an external Address Validation Service (Melissa Data) for verification and standardization.

Once the file has been successfully uploaded, the licensee is notified via email.

# How does NMLS define an agent?



**Authorized Agent =  
EIN + Physical Address**

*(If either of these items change, a  
new agent record is created.)*

# Searching for One Specific Agent/Delegate

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# Searching for One Specific Agent/Delegate

Tasks

```
graph TD; A[Tasks] --> B[View Authorized Agent]; B --> C[Authorized Agent Search];
```

- After logging into NMLS, click the *Tasks* tab.

View Authorized Agent

- Then click *View Authorized Agent* in the sub-menu bar.

Authorized Agent Search

- You will be brought the *Authorized Agent Search*.

# Authorized Agent Search

HELP ?



To search authorized agent location records, use the following options:

## Agent General Information:

Agent ID:

Agent EIN:

Agent Legal Name:

Starts With  Contains  Soundex

Date Modified on or After:

Restrict Search by State

Conducts Business in Other States

## Agent Physical Address:

Country:  ▼

Street:

City:

Search by Soundex

State/Province:  ▼ (Country must be selected)

Zip/Postal Code:

## Reporting Principal (Licensee) Information:

Licensee NMLS ID:

Licensee Name:

Starts With  Contains  Soundex

# Authorized Agent Search

HELP ?

To search authorized agent location records, use the following options:

## Agent General Information:

Agent ID:

Agent EIN:

Agent Legal Name:

Starts With  Contains  Soundex

Date Modified on or After:  

Restrict Search by State

Conducts Business in Other States

## Agent Physical Address:

Country:  ▼

Street:

City:

Search by Soundex

State/Province:  ▼ (Country must be selected)

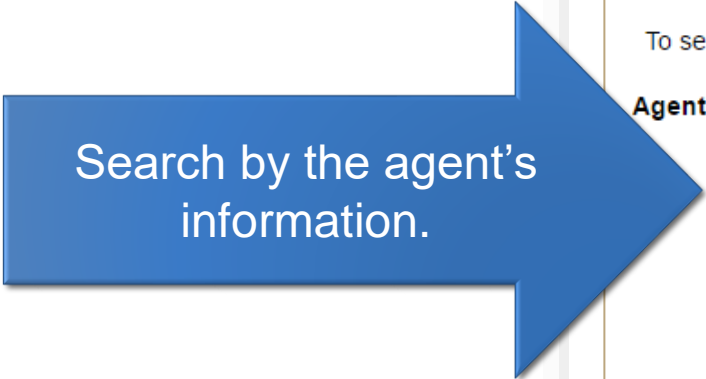
Zip/Postal Code:

## Reporting Principal (Licensee) Information:

Licensee NMLS ID:

Licensee Name:

Starts With  Contains  Soundex



Search by the agent's information.

# Authorized Agent Search

HELP ?

To search authorized agent location records, use the following options:

## Agent General Information:

Agent ID:

Agent EIN:

Agent Legal Name:

Starts With  Contains  S

Date Modified on or After:

Restrict Search by State

Conducts Business in Other States

## Agent Physical Address:

Country:

Street:

City:

Search by Soundex

State/Province:

Zip/Postal Code:

## Reporting Principal (Licensee) Information:

Licensee NMLS ID:

Licensee Name:

Starts With  Contains  Soundex

If you search the Zip Code, the search results will return all the agents in that area.

If you search by the street address, you will be able to see different agents reported at the same location.

Search by Agent Physical Address.

# Authorized Agent Search

HELP ?

To search authorized agent location records, use the following options:

### Agent General Information:

Agent ID:

Agent EIN:

Agent Legal Name:

Starts With  Contains  Soundex

Date Modified on or After:

Restrict Search by State

Conducts Business

### Agent Physical Address:

Country:

Street:

City:

Search by Soundex

State/Province:  (Country must be selected)

Zip/Postal Code:

### Reporting Principal (Licensee) Information:

Licensee NMLS ID:

Licensee Name:

Starts With  Contains  Soundex

If you search by the licensee's information, you will be able to see all the agents that company has reported through the UAAR,

Search by the Licensee's information.

**Note:** Reporting Principal refers to the Money Transmitter Licensee or company that reported the agent relationship.

Click the Agent ID to view that agent's information.


HELP ?

Below are the results of your search criteria. To view additional information for a specific location, including current and historical relationships with companies, click the Agent ID.

Agent ID	Agent Legal Name	Physical Street Address	City	State/Province	Zip/Postal Code	Country	Address Deliverable	Address Exception
<a href="#">1110000008</a>	07-5267917 7 Eleven	824 Baltimore Rd	Rockville	MD	20851	US	Yes	No

New Search Cancel



Below is the most recent information reported by licensees that currently have or previously had a relationship with this authorized agent location. Click  to view additional historical information reported by each licensee.

**Agent ID:** 1110000008

**Created Date:** 3/5/2013

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes

**Physical Address Exception:** No

Agent Legal Name	Contact Information	Mailing Address	Multiple States?	Reporting Principal	Status	Uploaded Date	Modified Date
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )	Active	10/28/2014	10/28/2014
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
 7 Eleven	Steve, Lantzas 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Loan Max USA ( <a href="#">38689</a> )	Active	4/22/2016	4/22/2016
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Alvarado Mortgage Co. ( <a href="#">1132</a> )	Active	1/27/2014	3/12/2013
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Amber's Company ( <a href="#">39672</a> )	Active	5/28/2013	5/28/2013
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	RachelState Company ( <a href="#">39673</a> )	Active	5/28/2013	5/28/2013
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Money Launderers ( <a href="#">39674</a> )	Active	5/28/2013	5/28/2013
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Johnny State Company ( <a href="#">39617</a> )	Active	5/28/2013	5/28/2013
 7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Missouri Mortgage Co ( <a href="#">46145</a> )	Active	11/14/2014	11/14/2014

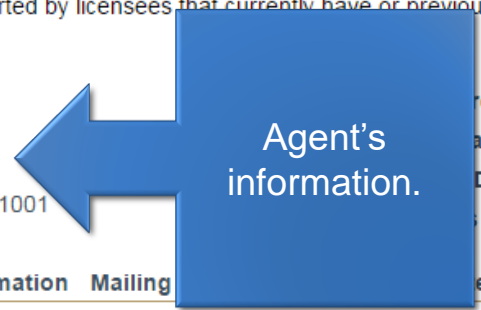


Below is the most recent information reported by licensees that currently have or previously had a relationship with this authorized agent location. Click to view additional historical information reported by each licensee.

**Agent ID:** 1110000008  
**Agent EIN:** 07-5267917

**Physical Address:** 824 Baltimore Rd  
 Rockville, MD 20851-1001

**Created Date:** 3/5/2013  
**Any Record:** No  
**Deliverable:** Yes  
**Exception:** No



Agent Legal Name	Contact Information	Mailing	es?	Reporting Principal	Status	Uploaded Date	Modified Date
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )	Active	10/28/2014	10/28/2014
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
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7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Amber's Company ( <a href="#">39672</a> )	Active	5/28/2013	5/28/2013
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	RachelState Company ( <a href="#">39673</a> )	Active	5/28/2013	5/28/2013
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7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Johnny State Company ( <a href="#">39617</a> )	Active	5/28/2013	5/28/2013
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Below is the most recent information reported by licensees that currently have or previously had a relationship with this authorized agent. Information is reported by each licensee.

**Agent ID:** 1110000008

**Created Date:** 3/5/2014

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes

**Physical Address Exception:** No

Identities if there is an NMLS company record associated with the agent's EIN. If yes, you are able to link to the company record and see what license types the company currently hold through NMLS.



Agent Legal Name	Contact Information	Mailing Address	Multiple States?	Reporting Principal			
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )	Active	10/28/2014	10/28/2014
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
7 Eleven	Steve, Lantzas 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Loan Max USA ( <a href="#">38689</a> )	Active	4/22/2016	4/22/2016
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Alvarado Mortgage Co. ( <a href="#">1132</a> )	Active	1/27/2014	3/12/2013
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Amber's Company ( <a href="#">39672</a> )	Active	5/28/2013	5/28/2013
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**Agent ID:** 1110000008

**Created Date:** 3/5/2013

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes

**Physical Address Exception:** No

Identities if the agent has an address that the USPS deemed "deliverable."

Agent Legal Name	Contact Information	Mailing Address	Multiple States?	Reporting Principal	Status	Uploaded Date	Modified Date
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )	Active	10/28/2014	10/28/2014
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
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**Agent ID:** 1110000008

**Created Date:** 3/5/2013

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes

**Physical Address Exception:** No

Identities if the agent was processed and added to the system through the UAAR Address Exception Process.

Agent Legal Name	Contact Information	Mailing Address	Multiple States?	Reporting Principal			
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )	Active	10/28/2014	10/28/2014
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
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**Agent ID:** 1110000008

**Created Date:** 3/5/2013

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001


**Physical Address Deliverable:** Yes

**Physical Address Exception:** No

Identifies if the agent is conducting online business. This field is self-reported by the licensees as Yes or No.

Agent Legal Name	Contact Information	Mailing Address	Multiple States?				
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Maine Company ( <a href="#">50142</a> )			
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
7 Eleven	Steve, Lantzas 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Loan Max USA ( <a href="#">38689</a> )	Active	4/22/2016	4/22/2016
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**Created Date:** 3/5/2013

**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes


**Physical Address Exception:** No

Agent Legal Name	Contact Information	Mailing Address	Multiple States?	Reporting Principal	Status	Uploaded Date	Modified Date
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7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
7 Eleven	Steve, Lantzas 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Loan Max USA ( <a href="#">38689</a> )	Active	4/22/2016	4/22/2016
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Alvarado Mortgage Co. ( <a href="#">1132</a> )	Active	1/27/2014	3/12/2013
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Amber's Company ( <a href="#">39672</a> )	Active	5/28/2013	5/28/2013
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7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Missouri Mortgage Co ( <a href="#">46145</a> )	Active	11/14/2014	11/14/2014

Displays the different relationships the agent has with the reporting principals/licensees.





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**Agent ID:** 1110000008

**Created Date:** 3/5/2013

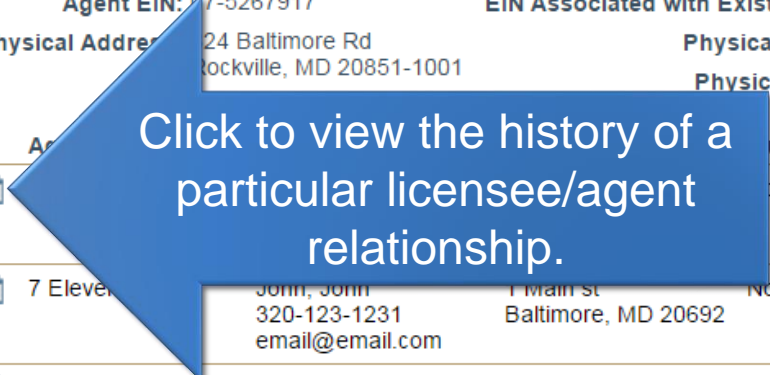
**Agent EIN:** 07-5267917

**EIN Associated with Existing Company Record:** No

**Physical Address:** 24 Baltimore Rd  
Rockville, MD 20851-1001

**Physical Address Deliverable:** Yes

**Physical Address Exception:** No



Agent	Reporting Principal	Multiple States?	Status	Uploaded Date	Modified Date		
	Maine Company ( <a href="#">50142</a> )		Active	10/28/2014	10/28/2014		
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Mortgage State Company LL ( <a href="#">39431</a> )	Active	4/4/2013	3/5/2013
7 Eleven	Steve, Lantzas 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	No	Loan Max USA ( <a href="#">38689</a> )	Active	4/22/2016	4/22/2016
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## Authorized Agent Location Relationship History

Below is a history of all submissions made by the reporting licensee for this authorized agent location.

**Agent Legal Name:** 7 Eleven (1110000008)

**Agent EIN:** 07-5267917

**Physical Address:** 824 Baltimore Rd  
Rockville, MD 20851-1001

**Reporting Licensee:** M

**Current Licensee:** Active

**Physical Address Duplicate:** Yes

**Physical Address Exception:** No

Only display uploads where the agent record was modified

Historical Legal Name	Contact Information	Mailing Address	Start Date	End Date	Multiple States?	Uploaded Date	Modified Date
7 Eleven	John, John 320-123-1231 email@email.com	1 Main st Baltimore, MD 20692	12/12/2001		No	3/5/2013	3/5/2013

[New Search](#) [Cancel](#)

This option is checked by default because sometimes licensees upload their entire agent roster during the quarterly updates. This option filters out the instances where the agent was uploaded with the same information and only displays when changes may have occurred.

Review the *Authorized Agent Roster Report* to Review Multiple Agents/Delegates.

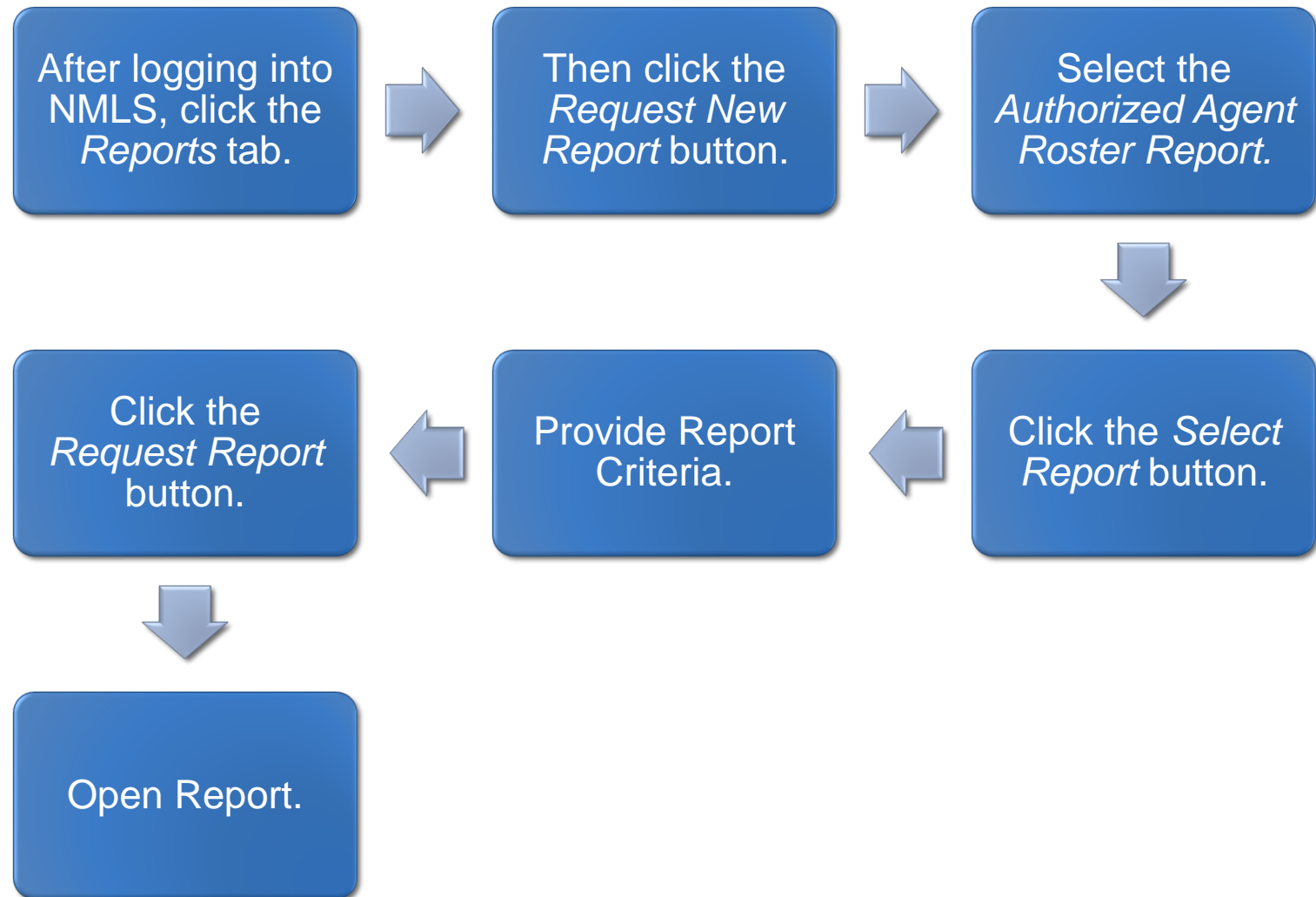
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# Pulling the Authorized Agent Roster



# Report Criteria: Authorized Agent Roster

## Available Report Criteria:

- Filter by licensees/ companies.
- Filter by Date.
- Include ONLY agent relationships in your states.
- Include or do not include terminate agent relationships.
- Include ONLY agents who conduct business in other states.

### Provide Report Criteria

HELP ?

Report Name: Authorized Agent Roster Report (Regulator)

Company ID:

Since Date:

Include only authorized agent locations in your state

Include terminated authorized agent relationships

Include only authorized agents who conduct business in other states

Reports are updated nightly and contain information that reflects the previous business day.

# Report Criteria: Authorized Agent Roster

## Default Criteria:

- All licensees/ companies that have submitted agents.
- No time limitation.
- Only authorized agent location in your state.

### Provide Report Criteria

HELP ?

Report Name: Authorized Agent Roster Report (Regulator)

Company ID:

Since Date:

Include only authorized agent locations in your state

Include terminated authorized agent relationships

Include only authorized agents who conduct business in other states

Reports are updated nightly and contain information that reflects the previous business day.

Request Report Cancel

# Authorized Agent Roster Report



## Licensee/Company

- Company NMLS ID
- Company Name
- Company EIN



## Authorized Agent

- Principal Provided ID
- System Generated ID
- Legal Name
- EIN
- Doing Business As
- Conducts Business in Other States
- Physical Address
- Passed Delivery Point Validation
- Address Exception
- Mailing Address
- Primary Contact and their information. (Name, Email, Phone)
- Associated with Multiple Companies
- MU1 Exists



## Relationship Information

- Authorized Agent Initial Upload Date
- Authorized Agent Last Modified Date
- Relationship Start Date
- Relationship End Date

# Authorized Agent Roster Report

Conducts  
Business  
in Other  
States

- *Identifies if the agent is conducting online business.*
- *This field is self-reported by the licensees as Yes or No.*

Associated  
with  
Multiple  
Companies

- *Identifies if the agent was reported by multiple money transmitter licensees.*
- *This field is determined by NMLS.*

MU1 Exists

- *Identifies if the agent has a Company record in NMLS.*
- *This field is determined by NMLS.*

# UAAAR Review Items

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# UAAR Work Items

- If subscribed to, the UAAR Work Item is only generated on the Worklist when an agent upload has information relevant to your state.
- The Work Item will identify if “*No Authorized Agent changes, additions, or deletions were reported*” by the company or there are agent that were “*Added, Adjusted or Terminated.*”



# Regulator Work Item

HELP ?

Schultz Industries (43997)



Work

Work Item

After accessing the Review Item from the Work List, click here to see the changes reported by the licensee.

Internal Notes:

Save and Return Save and Remain

Active Li

License

Money T

Mortgag

	Date	License Items	Prevent Renewal	Continuous	Reset	Pause
to Renew	1/1/2017	3	No			
to	2/5/2015	0	No	0	0	0

[Add](#) [Cancelled](#)

⊖ Pending

No Pending

⊖ Processed AC (days)

Review Items:

[Authorized Agent\(s\) Added, Adjusted, or Terminated](#)

Review Item Assignment:

Review Complete?

Review Date:

Internal Notes:

Save and Return Save and Remain

Displays agents added, adjusted, or terminated by the licensee.

Authorized Agent Search

## Authorized Agent Search Results

**1** Agent(s) added, adjusted, or terminated by Schultz Industries(43997) on or after 3/30/2015.

Below are authorized agent locations that meet your search criteria. To view additional information for a specific location, including current and historical relationships with companies, click the Agent ID below.

Agent ID	Agent EIN	Agent Legal Name	Physical Street Address	City	State/Province	Zip/Postal Code	Country	Address Deliverable	Address Exception
<a href="#">1110006297</a>	32-6974539	ACHEA, INC.	218 Hannaford Dr	South Burlington	VT	05403	US	Yes	No
<a href="#">1110006298</a>	55-5959270	ACE POSTAL CENTER	218 Hannaford Dr	South Burlington	VT	05403	US	Yes	No
<a href="#">1110002771</a>	91-5776260	Walgreens	7 Prince Ln	Bristol	VT	05443	US	Yes	No
<a href="#">1110002772</a>	91-5776260	Walgreens	84 Pine St	Burlington	VT	05401	US	Yes	No
<a href="#">1110002782</a>	91-5776260	Walgreens	5T Lake Morey Rd	Fairlee	VT	05045	US	No	No
<a href="#">1110002775</a>	91-5776260	Walgreens	29 Middle Rd	Milton	VT	05468	US	Yes	No
<a href="#">1110002770</a>	91-5776260	Walgreens	2 Main St	Montpelier	VT	05602	US	No	No
<a href="#">1110002783</a>	91-5776260	Walgreens	80 Fairgrounds Plz	Morrisville	VT	05661	US	Yes	No
<a href="#">1110002778</a>	91-5776260	Walgreens	108 N Main St	Northfield	VT	05663	US	Yes	No
<a href="#">1110002776</a>	91-5776260	Walgreens	105 VT Route 12 S	Randolph	VT	05060	US	No	No
<a href="#">1110002774</a>	91-5776260	Walgreens	260 N Main St	Rutland	VT	05701	US	No	No
<a href="#">1110002780</a>	91-5776260	Walgreens	3141 Cold River Rd	Rutland	VT	05701	US	Yes	No
<a href="#">1110002779</a>	91-5776260	Walgreens	340 Dorset St	South Burlington	VT	05403	US	Yes	No
<a href="#">1110002769</a>	91-5776260	Walgreens	115 Monkton Rd	Vergennes	VT	05491	US	Yes	No
<a href="#">1110002781</a>	91-5776260	Walgreens	164 Route 100	West Dover	VT	05356	US	No	No
<a href="#">1110002777</a>	91-5776260	Walgreens	31 Business Ctr Rd	Williamstown	VT	05679	US	Yes	No
<a href="#">1110002773</a>	91-5776260	Walgreens	2466 St George Rd	Williston	VT	05495	US	Yes	No

[New Search](#) [Cancel](#)

Link to the  
Authorized  
Agent  
Location  
Relationship

### Results

...ted, or terminated by Schultz Industries(43997) on or after 3/30/2015.

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New Search Cancel

# UAAAR Annual Processing Fee

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# UAAR Annual Processing Fee

- An annual fee of twenty-five cents (\$0.25) for each active authorized agent/delegate location reported through NMLS is invoiced on November 1st. This fee is paid by the licensee.
- There is no fee for the first 100 active agents reported (Companies with 100 agents or less are not subject to the UAAR Processing Fee).
- The fee is capped at \$25,000 per licensee in any one year.
- The invoiced amount is based on the number of active agents in the system as of August 16th, (day after third quarter reporting deadline).
- See the [Uniform Authorized Agent Reporting Processing Fee Fact Sheet](#) for more information.

# UAAR Resources

- [Quarterly Money Services Business Fact Sheet](#)
- [Uniform Authorized Agent Reporting Page for Industry](#)
- [Utilizing the Authorized Agent Report Guide for Regulators](#)

# QUESTIONS?

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