Cannot Upgrade to the new form version

Overview/Policy

The new form version changed significantly; therefore the system cannot move changes on the pending filing to the new form version.
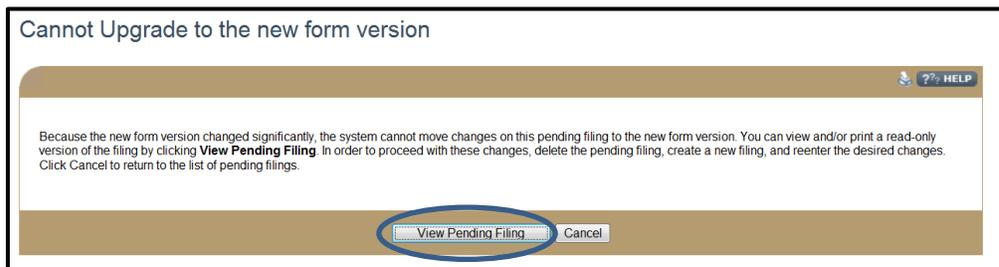
Definitions and Charts

Not applicable

How To

View Pending Filing

1. Click on **View Pending Filing**.

   Result: Another tab or window opens with the Print Filing page. Information contained within the printable filing will need to be re-entered on a new form filing.

2. Print the MU1 Filing. To return to the previous screen close that tab or window.

3. Click **Cancel**.
4. Click on the **Delete** (✗) icon.
5. Click **OK** to confirm the deletion.
6. Click **Create New Filing**.
7. **Re-enter** information contained in the deleted filing.
8. Proceed with filing.

Company Filing

You can manage filings for your company using the actions described below.

AVAILABLE ACTIONS	FUNCTION
Create New Filing	Request a new license, transition an existing license, withdraw a license application, surrender an existing license, give advance notice to the regulator of upcoming organization or structure changes, or make amendments to your company record.
	Complete and submit the pending filing.
	Delete the pending filing, including any pending changes.
View Latest Filing	Review your Company (MU1) record as it was last submitted by your company, if no pending filing exists.

NOTE: A filing cannot be submitted until you resolve any outstanding items on the Attest and Submit screen. A submitted filing will be stored as the company's record for subsequent submissions.

Available Actions	Filing ID	Created Date	Created By	Entity Name	Status
✕	4090895	1/2/2013 8:45:29 AM	TruongC3	Truong, Chris	Unsubmitted

Helpful Hints

Not applicable

Additional Resources:

- Find State-Specific requirements on the NMLS Resource Center.

See Company and Branch Help Table of Contents