



Company Contact Employees

Overview/Policy

Individual(s) listed as the primary company contact employees must be authorized to receive ALL compliance and licensing information, communications, and mailings regarding the entity, officers, directors, and individuals. They must also be responsible for disseminating it within the applicant or licensee's organization. The Contact Employee is for regulator use. Applicants and licensees are required to submit a primary company contact as well as a primary consumer complaint contact. If allowed by a state, this can be the same person. Applicants and licensees also have the ability to submit additional, non-primary, contacts. For non-primary contacts, you must also list the applicable industry type(s), area(s) of responsibility, and state(s). The Contact Employee may or may not be the "Resident/Registered Agent" for service of process, as is required in certain states.

Definitions and Charts

Not Applicable

How To

Add Contact Employees:

- 1. From the Contact Employees screen, click Add.
- 2. Complete all **required fields** on the **top section only for <u>primary</u> <u>contacts</u>.**
- 3. Complete all required fields and **the bottom section for** <u>non-primary</u> <u>contacts</u>.
- 4. Click Save.





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Repeat steps to add an additional contact or click the Edit icon to edit or delete a contact employee.

Helpful Hints

- 1. Clicking the Copy button will insert the company's mailing address as it is listed in the Identifying Information section.
- 2. The same person can be identified as the primary contact and primary consumer complaint contact if allowed by the regulator.
- 3. The primary contact represents the company at a corporate level therefore industry(s) and state(s) do not have to be indicated.

Additional Resources:

- Find State-Specific requirements on the <u>NMLS Resource Center</u>.
- Details regarding information available on NMLS Consumer Access can be found within <u>Information Viewable on NMLS Consumer Access.</u>
- Quick Guides:
 - o <u>Submitting Company Form (MU1)</u>





See Company and Branch Help Table of Contents