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Policy

The *Course Completion and Compliance Record* in NMLS is an integral part of determining if an individual is compliant with Pre-Licensure Education (PE) or annual Continuing Education (CE) requirements. The record shows CE information in blue at the top of the record, and PE information in green below it. The record defaults to display the current and the two previous years of information in an expanded view; older information is collapsed and may be viewed by scrolling down and clicking the + symbol to expand the view for that year.

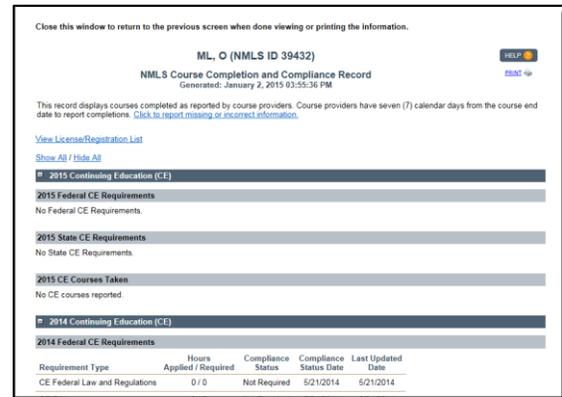


Figure 1: Course Completion Record

Only NMLS-approved courses appear on the record. NMLS-approved course providers have seven calendar days from the course end date to report (credit bank) course completions in NMLS.

Many states have PE or CE requirements that exceed the minimum federal standards as required by the SAFE Act. MLOs that become unlicensed are required to complete CE for the last year in which they held a license. Individuals are strongly encouraged to carefully review the [State-Specific Education Requirements Document](#) for additional details.

Definitions and Charts

	Description
<b>Not Required</b>	Displays if an individual applies for or holds a license that does not require education compliance. Also displays if an individual does not hold a license.
<b>Pending</b>	Displays with a yellow caution symbol when there is a requirement but less than the required hours of PE or CE for the subject requirement have not been met.
<b>Compliant</b>	Displays with a green checkmark when the required hours for the subject have been met.
<b>N/A</b>	Because this number is variable, the General Electives in the Federal Requirements Section will always display as N/A.

Figure 2: Compliance Statuses

### How to Review Pre-Licensure Education (PE) Compliance

1. Review the Hours Applied/Required and Compliance Status columns under the Federal PE Requirements section.
2. Review the State Hours Applied/Required column under the State PE Requirements section.
3. Review the Compliance Status column under the State PE Requirements section (see *Figure 3*).

Pre-Licensure Education (PE)						
Federal PE Requirements <sup>1</sup>						
Requirement Type	Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date		
PE Federal Law and Regulations	3 / 3	Compliant	10/30/2009	6/22/2013		
PE Ethics	3 / 3	Compliant	10/30/2009	6/22/2013		
PE Non-Traditional Lending	2 / 2	Compliant	10/30/2009	6/22/2013		
PE General Elective	45 / 0	N/A	N/A	6/22/2013		
<b>PE Total</b>	<b>53 / 20</b>	<b>Compliant</b>	<b>12/31/2009</b>	<b>4/24/2013</b>		
State PE Requirements						
Current Licenses <sup>2</sup>						
License Type	State Hours Applied / Required	Total Federal and State Hours Applied / Required	Compliance Status <sup>3</sup>	Compliance Status Date	Last Updated Date	
AK Mortgage Loan Originator License	0 / 0	56 / 20	Compliant	12/31/2009	6/22/2013	
AZ Loan Originator License	4 / 4	56 / 20	Compliant	5/25/2010	6/22/2013	

Figure 3: Pre-Licensure Education

### How to Review Continuing Education (CE) Compliance

1. Review the Hours Applied/Required and Compliance Status columns under the Federal PE Requirements section.
2. Review the State Hours Applied/Required column under the State PE Requirements section.
3. Review the Compliance Status column under the State PE Requirements section (see *Figure 4*).

2014 Continuing Education (CE)						
2014 Federal CE Requirements <sup>1</sup>						
Requirement Type	Hours Applied / Required	Compliance Status	Compliance Status Date	Last Updated Date		
CE Federal Law and Regulations	3 / 3	Compliant	10/22/2014	10/23/2014		
CE Ethics	2 / 2	Compliant	10/22/2014	10/23/2014		
CE Non-Traditional Lending	2 / 2	Compliant	10/22/2014	10/23/2014		
CE General Elective	11 / 0	N/A	N/A	10/23/2014		
<b>CE Total</b>	<b>18 / 8</b>	<b>Compliant</b>	<b>10/22/2014</b>	<b>10/23/2014</b>		
2014 State CE Requirements <sup>2</sup>						
License Type	State Hours Applied / Required	Total Federal and State Hours Applied / Required	Compliance Status <sup>3</sup>	Compliance Status Date	Last Updated Date	
AL Mortgage Loan Originator License	0 / 0	18 / 8	Compliant	10/22/2014	10/23/2014	
AZ Loan Originator License	1 / 1	18 / 8	Compliant	10/22/2014	10/23/2014	

Figure 4: Continuing Education (CE)

## How to Review Courses Taken

1. Review the Course ID and Course Name columns under the Courses Taken section (see *Figure 5*).

2014 CE Courses Taken									
Course ID	Course Name	Provider Name	Category	Credit Hours	Hours Applied	Completion Date	Processed Date	Instruction Type	
1234	8 Hour GA		CE Comprehensive	8	8	10/22/2014	10/23/2014	Online Self-Study	
1234	2 Hour NJ		CE Elective	2	2	10/21/2014	10/22/2014	Online Self-Study	
1234	1 Hour WV		CE Elective	1	1	10/15/2014	10/16/2014	Online Self-Study	

Figure 5: Courses Taken

## Additional Resources

- [Information Viewable in NMLS Consumer Access](#)
- [Course Completion Records](#)