

## View Historical Filings

### Overview/Policy

View Historical Filings contains a copy of each Individual (MU2/MU4) Form submitted through NMLS. Both licensees and regulators have access to View Historical Filings.

The Individual (MU2/MU4) Form with the most recent System Processed filing date represents an individual's current information.

Users may view a single historical filing or multiple filings in a "compare" redline mode.

### Definitions and Charts

Not applicable

### How To

#### View Historical Filings:

1. Click the **Filing tab**.
2. Click **Individual** on the top sub-menu.
3. Click **View Historical Filings** on the left navigation panel.
4. Click the **View Filing** (📄) icon of the desired filing.

To view the changes between two filings, select the checkbox next to the two filings and click **Compare**. A new browser window or tab opens with the changes in redline.

Click the words *Click to View* under the Sections Changed column to display the sections that were modified.

The screenshot shows the 'Historical Filings' page. On the left, there is a table with columns: Filing ID, System Processed, Submitter, and Sections Changed. The 'Click to View' link in the 'Sections Changed' column is highlighted. A tooltip above this link reads 'MU4 changes for Gary Alan Schmidt Jr. - Identifying Information'. On the right, a detailed view of the filing is shown, including the mailing address (123 Main, rockville, Maine, United States, 18596) and a section titled 'Has your legal name changed?' with a checked box and the following information: First Name: Gary, Full Middle Name: Alan, Last Name: Schmidt, Suffix: Jr.

Filing ID	System Processed	Submitter	Sections Changed
103513	4/10/2013 10:06:34 AM	SchmidtG	Click to View
103282	3/21/2013 11:09:14 AM	SchmidtG	Click to View
101090	11/9/2012 9:40:30 AM	SchmidtG	Click to View
101089	11/9/2012 9:36:28 AM	SchmidtG	Click to View
101034	11/8/2012 11:06:34 AM	SchmidtG	Click to View
14803	11/8/2012 10:59:46 AM	SchmidtG	Click to View

Mailing Address: 123 Main  
 City: rockville  
 State: Maine  
 Country / Province: United States  
 Postal Code: 18596

Has your legal name changed?  
 If yes, check here:   
 First Name: Gary  
 Full Middle Name: Alan  
 Last Name: Schmidt  
 Suffix: Jr.

## Helpful Hints

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1. When the View Filing icon is selected the system will open a printable version of the Individual (MU4) Form in a separate window or tab.
2. After the View icon is selected the historical filing is viewable in a pop up window. If nothing happens – disable pop up blockers. The historical filing serves as confirmation that your submission was sent through NMLS to the application state regulator(s).

## Additional Resources:

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- [State Specific Requirements.](#)
- [Information Viewable on NMLS Consumer Access.](#)

**[See Individual Help Table of Contents](#)**