

Individual Filing(s)

Overview/Policy

There are two different sections within the Individual Filing(s) screen.

The *TO ATTEST* section contains any Individual (MU2/MU4) Forms that have been created by a company which requires your attestation. After the attestation is completed, it is the responsibility of the company to submit the Form to the appropriate state regulator and remit payment (if necessary).

The *TO CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING* section can be used to apply for an individual license. Each individual has the ability to complete the Individual (MU4) Form on their own and remit payment. It is important to consult with your company to determine who is responsible for the submission and payment of the Individual (MU4) Form. If an initial Form has already been submitted, this section can also be used to complete an amendment and update the Form.

Each time an individual (or their employing company) submits a completed filing, that filing will be stored in the individual's record for subsequent filings. Please note that some of the information provided in the filing, as well as certain license/registration details, will be made viewable to the public.

Definitions and Charts

Term	Definition
Filing	After the NMLS Form is completed, attestation is required and then the Form is submitted to the applicable state regulators. This process is called a Filing in NMLS. Anytime information is completed, updated or changed on a Form, it is not viewable by a state regulator until it is submitted or filed through NMLS.

How To

Attest to an Individual (MU4/MU2) Form (Company has created or updated the Individual (MU4/MU2) Form on behalf of the individual and will submit the Form)

1. Click the **Filing** tab.
2. Click **Individual** on the top sub-menu.
3. In the *To ATTEST* section of the Individual Filing(s) page, click the **Review and Attest** button.

Individual Filing(s)

TO ATTEST

Click **Review and Attest** to review the filing(s) created by your employer and attest to the information.

Available Actions	Form Type	Entity Created By	Creation Date	Filing Status
Review and Attest	MU4	Alvarado Mortgage Co. (1132)	3/6/2014 8:57:09 AM	Attestation Required

TO CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING

Click **Request New/Update** to:

- Submit a license application/transition request
- Update your existing record
- Surrender/withdraw a license

If a filing has not yet been submitted, you can edit and submit the filing below.

[Request New/Update](#)

NOTE: Each time you submit, or a company submits on your behalf, the filing will be stored as your record for subsequent submissions. Please consult your company before creating and submitting a filing in NMLS. **The party that creates and submits a filing must pay any associated fees.**

4. **Review** all sections of the Form on the left navigation panel and amend any information that is not accurate.
5. Click **Attest and Submit** on the left navigation panel.
6. Correct any errors or incomplete sections of the Individual (MU4/MU2) Form (if necessary).
7. Return to the **Attest and Submit** section and click the **Attest** button.

Create or Update an Individual (MU4) Form (Individual will submit their own Form)

1. Select the **Filing** tab.
2. Click **Individual** on the sub-menu.
3. In the TO CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING section of the Individual Filing(s) page, click the **Request New/Update** button.
4. Click **Continue**

Individual Filing(s)

TO ATTEST

Click **Review and Attest** to review the filing(s) created by your employer and attest to the information.

An attestation request has not been submitted by your company.

TO CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING

Click **Request New/Update** to:

- Submit a license application/transition request
- Update your existing record
- Surrender/withdraw a license

If a filing has not yet been submitted, you can edit and submit the filing below.

[Request New/Update](#)

NOTE: Each time you submit, or a company submits on your behalf, the filing will be stored as your record for subsequent submissions. Please consult your company before creating and submitting a filing in NMLS. **The party that creates and submits a filing is the party that pays any fees associated with the filing.**

If the **Request New/Update** button is not available, there may already be an unsubmitted Individual (MU4) Form. To continue working on the filing, select the **Edit** button. To delete the filing, select the **Delete** button.

TO CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING

Click **Request New/Update** to:

- Submit a license application/transition request
- Update your existing record
- Surrender/withdraw a license

If a filing has not yet been submitted, you can edit and submit the filing below.

Available Actions	Created Date	Filing Status
<input type="button" value="Delete"/> <input type="button" value="Edit"/>	3/28/2014 3:01:36 PM	Submission Required

NOTE: Each time you submit, or a company submits on your behalf, the filing will be stored as your record for subsequent submissions. Please consult your company before creating and submitting a filing in NMLS. **The party that creates and submits a filing must pay any associated fees.**

Helpful Hints

1. Consult with your employing company as to who will be submitting the Individual (MU4) Form, if applicable. Do not begin to complete the Form if the employer plans to submit, an email notification will be sent once your employer is ready for you to take action in the system.
2. In order to determine if your Individual Form has been submitted to one or more regulators, check Historical Filings under the Composite View tab.

Additional Resources:

- [State Specific Requirements.](#)
- [Information Viewable on NMLS Consumer Access.](#)
- Quick Guide:
 - [MU4 Filing Instructions](#)
 - [Amendments \(MU4\)](#)
 - [Attestation](#)

[See Individual Help Table of Contents](#)