Attest and Submit

Overview/Policy

An individual must attest to the Individual (MU4) Form before the Form can be submitted. An attested Form can be submitted by an individual or their employing company. Individuals must confirm that all information is complete and accurate before attesting.

The Attestation must include the name of a natural person after the “I”. The applicant or licensee’s name should appear after the “of”.

When clicking the “Attest” or “Submit Filing” button, applicants and licensees are making a legal attestation to all states in which they are applying for or maintaining a license through NMLS.

Definitions and Charts

Not applicable

How To

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

1. Select 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.
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) Form (if necessary).
7. Return to the Attest and Submit section.
8. Select the checkbox to verify the attestation and click the Attest button.
Attest and Submit to an Individual (MU4) Form

1. Select the Filing tab.
2. Click Individual on the top sub-menu.
3. In the To CREATE, UPDATE, OR SUBMIT AN INDIVIDUAL FILING section of the Individual Filing(s) page, click the Edit button.
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) Form (if necessary).
7. Return to the Attest and Submit section.
8. Select the checkbox to verify the attestation.
9. Select Submit Filing button and remit any payment required.
Correct Completeness Check Errors
1. Click on the blue link under Section.
2. Read the message in the yellow box and correct the Completeness Check error.
3. Click Save.
4. Proceed to the Attest and Submit section again to attempt to submit the filing.
5. Repeat steps 1 through 4 until all errors have been resolved.

Helpful Hints
1. Each individual must have an account with their own user name and password to be able to attest to their filing in NMLS.
2. A company must have access to an individual’s record before they can assist with a filing.
3. A company must establish an active relationship with an individual prior to submitting an Individual (MU4) Form on behalf of the individual.
4. A company can complete as many or as few fields on the Individual (MU4) Form as they wish before sending to the individual to complete and attest.
Additional Resources

- [State Specific Requirements](#).
  - Quick Guide:
    - [Creating a Company Relationship and Sponsorship](#)
    - [MU4 Filing Instructions](#)
    - [Providing Company Access](#)
    - [How to Amend an MU4](#)
    - [Instructions For Attestation Quick Guide](#)

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