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Policy

Applicants and licensees can submit documents, such as a branch written agreement as required in the state licensing requirements, upload additional documents of a specific type to supplement existing documents, or replace an existing document with an updated document.

The document types that can be uploaded in connection with a Branch (MU3) Form are listed below. Only documents that are available for selection should be provided through NMLS; all other documentation required by the state regulator must be mailed outside NMLS.

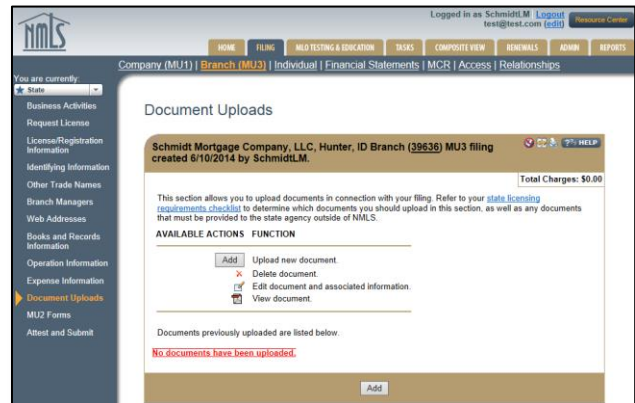


Figure 1: Screenshot of Document Upload Page

A previously provided document upload can be replaced with an updated document; the system maintains a historical record of all uploaded documents under the Composite View tab.

Definitions and Charts

Document Types	Definition
<b>Advance Change Notice</b>	Documents related to an ACN. These documents are for pre-notification purposes only and once the transaction has processed, the final versions must be uploaded under the non-ACN related category and removed from the ACN category.
<b>Branch Written Agreement</b>	<p><u>Branch Manager Document:</u> A copy of the signed contract between the branch manager and the licensee.</p> <p><u>Leasing Agreement Documents:</u> A copy of the signed leasing agreement between the property owner and the branch authorizing it to work out of the physical location.</p>
<b>Designation of Qualified Employee</b>	Designation of Qualified Employee for the Branch location. This may be a separate individual from the Branch Manager identified in NMLS. Must include signature from company officer stating the individual has an MU2 association with the entity.

Document Types	Definition
<i>Surety Bond</i>	<p><u>Copy of Surety Bond:</u> Copy of original surety bond. That includes the full legal name of applicant and trade name (if applicable), and address of the location covered by the bond.</p> <p><u>Copy of Surety Bond Rider:</u> Copy of original surety bond rider.</p> <p><u>Continuation Certificates:</u> Continuation Certificates (only if required by a specific state).</p> <p><u>Verification Certificate:</u> Verification Certificate (only if required by a specific state).</p>

Figure 2: Document Upload Types

## How to Upload a Document

1. Click the **Add** button (see *Figure 2*).
2. Select a Document Type from the drop-down menu.
3. Enter a State (if applicable).
4. Enter a comment. (Optional)
5. Click the **Browse** button.
6. Select the PDF file and click the **Open** button.
7. Click the **Upload & Save** button.

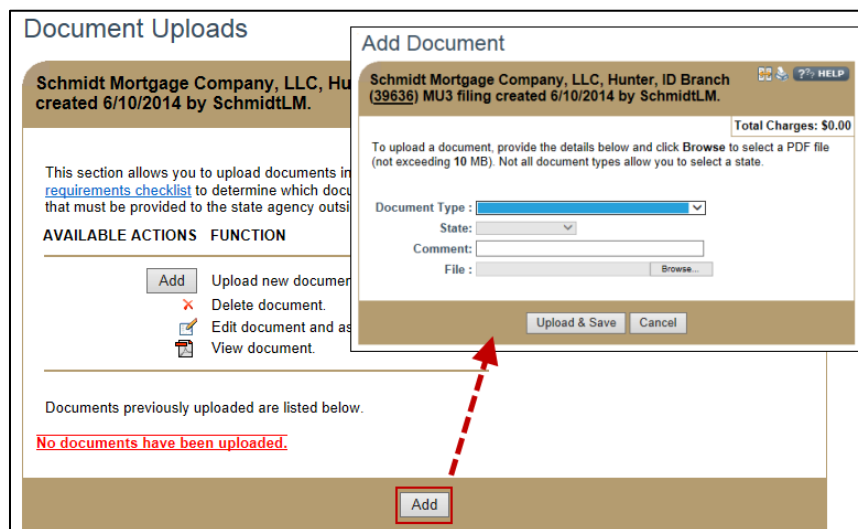


Figure 2: Adding a Document

## Additional Resources

- [Information Viewable in NMLS Consumer Access](#)
- [Branch \(MU3\) Form Filing](#)
- [State Licensing Checklists](#)