

Branch Filing

Overview/Policy

The Branch (MU3) Form is the branch office information tied to a company's record. The branch filings may only be submitted after a company submits a Company (MU1) Form. Applicants and licensees are not considered authorized to conduct licensed activities from branch locations in a participating state unless they have an approved license tied to the Branch (MU3) Form. Only one Branch (MU3) Form is allowed to be filed per physical location. Regulators and SRR will periodically monitor compliance with this requirement.

NMLS functionality treats all branch locations within a state equally. Given that the Company (MU1) Form filing's *Main Address* will be the company's corporate headquarters location, if a regulator wishes an applicant or licensee to identify a "main" in-state location, the regulator should create two different license types for Branch (MU3) Form- one signifying the "main" in-state location and a second for one or more other in-state locations.

The address information listed here must be for the branch location. This information should not match the information contained in any other Branch (MU3) Form for the company. Only one Branch (MU3) Form is allowed per physical address. Regulators and SRR will periodically monitor compliance with this requirement. A branch's authorization to conduct business will be reflected in NMLS Consumer Access.

A Branch (MU3) Form is also completed to maintain, amend, renew, withdraw and/or surrender a branch license. Companies can also add or remove a branch manager associated with a branch office. Companies must have a Company (MU1) Form on file in order to submit Branch (MU3) Form. Please note some of the information provided in your filing, as well as certain license/registration details, will be made viewable to the public. Regulators will not consider a filing complete until any documents required to be filed outside NMLS are submitted. Each state agency checklist found on the [NMLS Resource Center](#) will identify these documents.

Definitions and Charts

Term	Definition
Filing	A filing in NMLS is the act of attesting to the accuracy of the information on a form, paying any fees, and submitting the form to one or more regulators. Until a form is filed, the regulator(s) does not receive the application nor are notified of changes to your record.

How To

Create a Branch (MU3) Form:

1. Click **Create New Filing**.
2. Enter either a *Branch ID, License Number, City, State* and/or *Country*.
3. Click **Search**.
4. If there is a branch that meets your search click on the **Branch ID** number.
5. If there are no branches that meet your search, click **Create Branch**.
6. Enter all required fields.
7. Click **Create**.

NOTE: The most recent filing submitted by the company can be viewed by selecting the **View Latest Filing** button.

If the **Create New Filing** button is not available, there may already be a pending filing created. Select the **Edit** () icon to edit the pending filing.

Branch Filing(s)

You can manage filings for new and existing branches using the actions described below.

AVAILABLE ACTIONS	FUNCTION
	<ul style="list-style-type: none"> Request a new license or transition an existing license. Withdraw a license application or surrender an existing license. Make amendments to your branch record or provide Advance Change Notice to the regulator of upcoming changes to your branch record.
	<ul style="list-style-type: none"> Complete and submit the pending filing.
	<ul style="list-style-type: none"> Delete the pending filing, including any pending changes.

NOTE: A filing cannot be submitted until you resolve any outstanding completeness checks on the Attest and Submit screen. A submitted filing will be stored as the branch's record for subsequent submissions.

Available Actions	Filing ID	Created Date	Created By	Branch ID	Full Address	Filing Status
	130354	3/4/2014 2:45:51 PM	AlvaradP	14339	98 sanborja baranco, ME 20850	MU2 Attestation Required
	128536	1/16/2014 10:45:59 AM	AlvaradP	1495	10 Gunther Street Rockville, KY 20904	Request MU2 Attestation

[Create New Filing](#)

Helpful Hints

1. A search must be performed to avoid duplicates in the system. For a complete listing of all branches associated with a company, leave all fields blank and click search.
2. There can be multiple Branch (MU3) Form filings at a time for different locations.
3. Click on the **Completeness Check** icon (from  to ) on the top sandbar to ensure all required fields are complete.

Additional Resources:

- Find state-specific requirements on the [NMLS Resource Center](#).
- Details regarding information available in NMLS Consumer Access can be found within [Information Viewable on NMLS Consumer Access](#).
- Quick Guides:
 - [Submitting Branch Form \(MU3\)](#)
 - [Surrender or Withdraw Requests](#)

See Company and Branch Help [Table of Contents](#)