Company Books and Records

Overview/Policy
Applicants and Licensees should list the company name and address of the location where books and records are stored. They should also list the name of the individual at this location that should be contacted with inquiries about or to gain access to the storage location. Please consult state licensing requirements to see if any states have further requirements for this section.

Definitions and Charts
Not Applicable

How To

Add Books and Records:
1. From the Books and Records Information screen, click Add.
2. Complete all required fields.
3. Check the corresponding Industry Type(s).
4. Check the corresponding State(s).
5. Click Save.
Repeat steps to add an additional Books and Records or click the Edit icon to edit or delete a record custodian.

Helpful Hints

1. Clicking the Copy button will insert the main address as it is listed in the Main address section on the Identifying Information screen.
2. Multiple contacts for record retention are allowed in the system and you must specify contact by industry type(s) and state(s). You can use the comments field to specify the types of records being retained by your company at that location.

Additional Resources:

- Find State-Specific requirements on the NMLS Resource Center.
- Details regarding information available on NMLS Consumer Access can be found within Information Viewable on NMLS Consumer Access.
- Quick Guides:
  - Submitting Company Form (MU1)

See Company and Branch Help Table of Contents