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Policy

The *Document Uploads* screen allows users to upload and submit PDF documents to regulators. Types of documents that can be submitted include: the formation document required in the state licensing requirements, additional documents of a specific type to supplement existing documents, or documents used to replace existing documents.

The [Document Upload Descriptions & Examples](#) document describes the types of documents that can be uploaded in connection with a company record. Only documents that are available for selection should be provided through NMLS; all other documentation required by the state regulator must be submitted outside NMLS. For more information, refer to the [state-specific checklists](#).

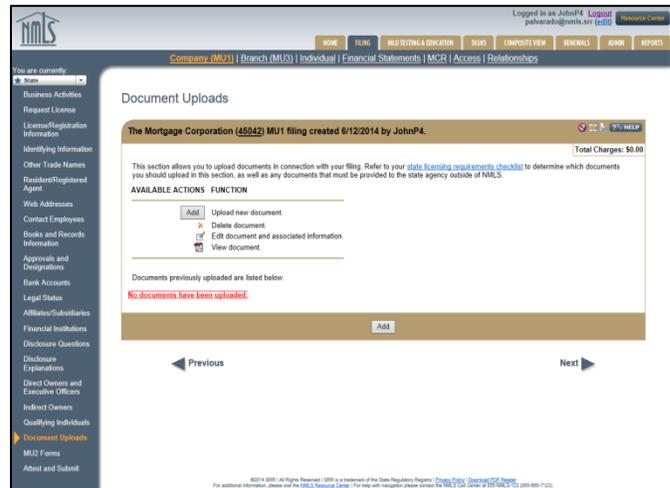


Figure 1: Document Uploads Page

Only the applicable document for the Document Type selected should be uploaded in NMLS (e.g., when selecting to upload a business plan, only business plan documents related to the company should be provided). If you have multiple documents for one Document Type for a specific state, they should be combined into one PDF and uploaded as a single document. If you have different versions of the same Document Type that are specific to different states (e.g., Certificate of Good Standing for each state in which you operate), upload each state-specific version separately, indicating to which state that document is relevant.

File Name

The file name of the document should indicate the type of document being uploaded. (e.g., when uploading a business plan, the file name should reference “Business Plan As of mm/dd/yy” or “Articles of Incorporation” when uploading your articles of incorporation.)

Advance Change Notice Document Type

Documentation submitted in support of the Advance Change Notice is considered proposed. Upon the effective date of the change, documents must be re-submitted under the appropriate Document Type (do not re-submit as Advance Change Notice). If the submission does not meet an existing Document Type, documents must be mailed directly to the state agency; see the state Amendment Checklist for the appropriate license for details.

Deletion of Uploaded Documentation

NMLS will store all documents that have been uploaded on your record. If you need to delete a document for any reason, you can do so; however, the system will still store your previously uploaded filings historically. If a state is not satisfied with the documentation that was provided, they may request you to provide new documentation.

Definitions and Charts

[Document Upload Descriptions & Examples](#)

How to Upload a Document

1. From the *Document Uploads* screen, click the **Add** button.
2. Select a **document type** from the drop-down menu.
3. Select a **state** from the drop-down menu (if applicable).

NOTE: A comment is optional.

4. Click the **Browse** button.
5. Select the **PDF file** and click the **Open** button.
6. Click the **Upload & Save** button (see *Figure 2*).

Figure 2: Add Document

How to Update a Document

- From the *Document Uploads* screen, click the **Edit**  icon next to the document you want to update (see *Figure 3*).



Figure 3: Updating a Document Upload

- Click the **Choose File** button and select the desired replacement file.
- Click the **Save** button.
- A confirmation window appears. Click the **OK** button (see *Figure 4*).

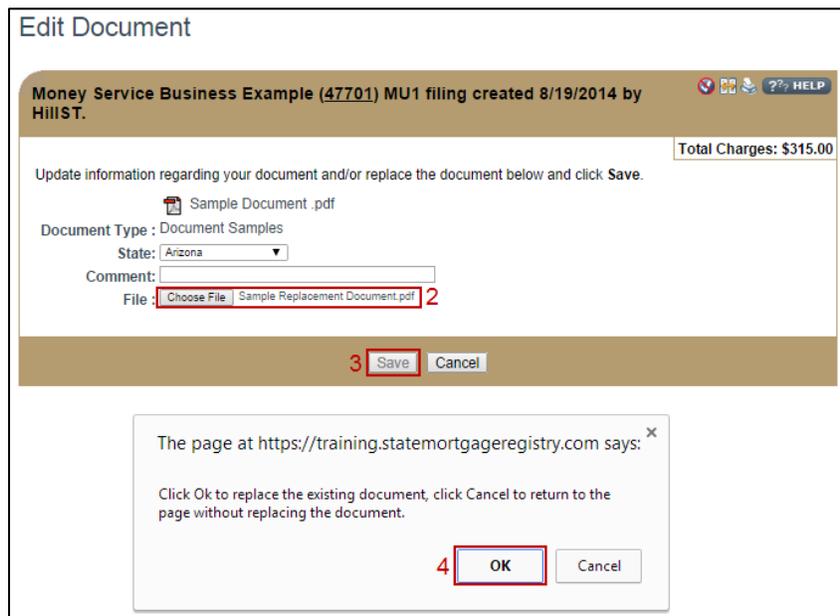


Figure 4: Selecting a File

- Verify that the replacement document now displays on the *Document Uploads* screen (see *Figure 5*).

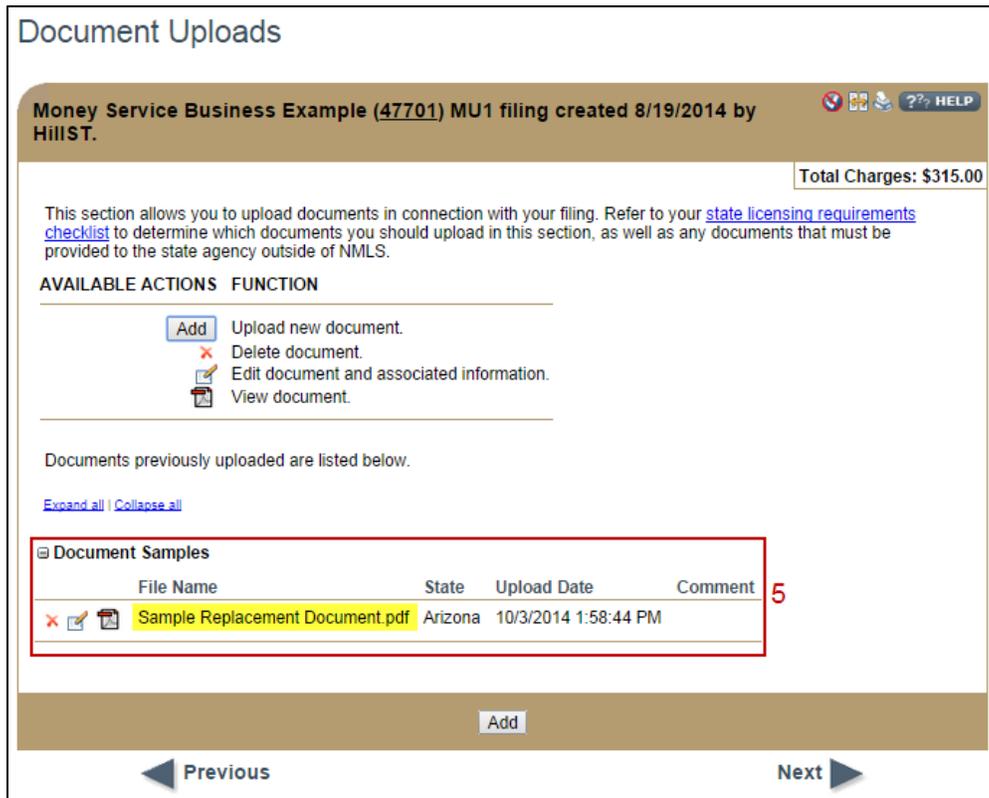


Figure 5: Verifying Replacement Document

Additional Resources

- [Information Viewable on NMLS Consumer Access](#)
- [Company \(MU1\) Form Filing](#)
- [Company \(MU1\) Amendments](#)
- [Document Uploads](#)