Company Control Person (MU2) Forms

Overview/Policy

Sections completed throughout the Company (MU1) Form assist in the completion of the Individual (MU2) Form. The Individual (MU2) Form filing(s) are created based on the designated Control Persons and Qualifying Individuals. The individuals must attest to the Individual (MU2) Form prior to submitting the Company (MU1) Form.

Definitions and Charts

Not Applicable

How To

Edit Individual Form (MU2 Filing):

1. From the MU2 Form screen, click the Edit Filing icon. Note: If the individual will be completing the entire MU2 form themselves, select the Request Attestation icon ( ) to send the form to the individual to complete.

2. Complete the information on the Individual Form (MU2).

3. Click the Attest & Submit section and click the Request Attestation button to request the individual’s attestation.

The individual must attest to the individual filing before the company filing can be submitted. An email notification will be sent to the individual instructing them to attest to the filing. Once the filing has been attested to by the individual, the company will receive notification that the action has been complete and they can submit the filing.
Helpful Hints

1. An Individual Form (MU2) is created when one of the following records is created: Direct Owners and Executive Officers, Indirect Owners as a control person, and /or Qualifying Individuals.
2. The individual must attest to the Individual Form (MU2) before the company can submit the Company Form (MU1).

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)
  - Individual Account Creation
  - Attestation

See Company and Branch Help Table of Contents