View Historical Filings

Overview/Policy

View Historical Filings contains a copy of each Individual (MU2/MU4) Form submitted through NMLS. Both licensees and regulators have access to View Historical Filings.

The Individual (MU2/MU4) Form with the most recent System Processed filing date represents an individual’s current information.

Users may view a single historical filing or multiple filings in a “compare” redline mode.

Definitions and Charts

Not applicable

How To

View Historical Filings:
1. Click the Filing tab.
2. Click Individual on the top sub-menu.
3. Click View Historical Filings on the left navigation panel.
4. Click the View Filing ( ) icon of the desired filing.

To view the changes between two filings, select the checkbox next to the two filings and click Compare. A new browser window or tab opens with the changes in redline.

Click the words Click to View under the Sections Changed column to display the sections that were modified.
Helpful Hints

1. When the View Filing icon is selected the system will open a printable version of the Individual (MU4) Form in a separate window or tab.
2. After the View icon is selected the historical filing is viewable in a pop up window. If nothing happens – disable pop up blockers. The historical filing serves as confirmation that your submission was sent through NMLS to the application state regulator(s).

Additional Resources:

- State Specific Requirements.
- Information Viewable on NMLS Consumer Access.

See Individual Help Table of Contents