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Policy

Uniform Authorized Agent Reporting (UAAR) assists regulators with the supervision and monitoring of money services businesses and their authorized agent locations. Money services businesses submit periodic reports regarding authorized agents by uploading an authorized agent file via an excel template file for their company, upload changes to current authorized agent locations, or report that there are no changes to current authorized agent locations.

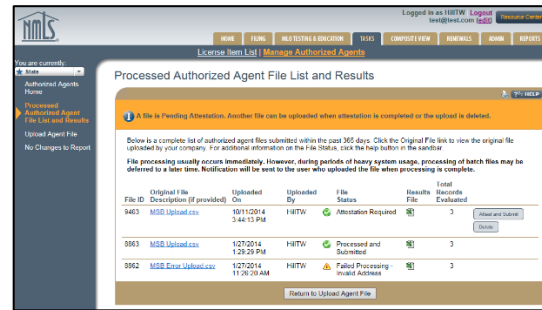


Figure 1: Screenshot of Processed Authorized Agent File List and Results

The *Processed Authorized Agent File List and Results* page provides a complete list of authorized agent files submitted within the past 365 days. Users may view the original file uploaded and the results file.

Definitions and Charts

Term	Definition
Authorized Agent	An entity designated by a licensee to provide money services on behalf of the licensee. This may include company owned branch locations. This relationship is often formalized through an agreement/contract between the licensee and agent.
Level 1 Validation	If any errors are encountered during this level, records in the file will not be processed and will need to be corrected. An example of possible errors received include: upload file exceeds maximum amount of rows, upload file is not saved as a .csv file, etc. Reference the Upload File Specifications and Validation Errors document for a complete list of error messages.
Level 2 Validation	At this phase of processing, the system checks that all required data elements are provided in the expected format, and also performs the Address Validation process. Any error(s) found must be corrected and the entire file re-uploaded.
Address Validation	To determine Physical Address validity, NMLS uses an external address validation service to verify the Physical Addresses against the United States Postal Services (USPS) database.

Figure 2: Key Terms



How to Understand the Processed Files and Results

1. Review the following columns: (see Figures 3 and 4 below).

Column Header	Definition
File ID	A system-generated number specific to the uploaded file (only used for system tracking purposes).
Original File, Description (if provided)	The original file name and any description, if provided.
Uploaded On	Indicates the date and timestamp of the uploaded file.
Uploaded By	The user who uploaded and submitted the file.
File Status	Provides an icon and status of the uploaded file.
Results File	An Excel icon displays after the file has been uploaded (if still processing, no Excel icon displays).
Total Records Evaluated	The number of records evaluated in the uploaded file (if still processing, no number displays).
Attest and Submit button	Once a file is uploaded and passes all validations, the file must be attested to using this button
Delete button	In an instance where a mistake is made, the user can choose to delete the uploaded file using this button.

Figure 3: Column Header Terms

Processed Authorized Agent File List and Results

1 A file is Pending Attestation. Another file can be uploaded when attestation is completed or the upload is deleted.

Below is a complete list of authorized agent files submitted within the past 365 days. Click the Original File link to view the original file uploaded by your company. For additional information on the File Status, click the help button in the sandbar.

File processing usually occurs immediately. However, during periods of heavy system usage, processing of batch files may be deferred to a later time. Notification will be sent to the user who uploaded the file when processing is complete.

File ID	Original File Description (if provided)	Uploaded On	Uploaded By	File Status	Results File	Total Records Evaluated
9463	MSB Upload.csv	10/11/2014 3:44:13 PM	HillTW	Attestation Required		3
8863	MSB Upload.csv	1/27/2014 1:29:29 PM	HillTW	Processed and Submitted		3
8862	MSB Error Upload.csv	1/27/2014 11:26:20 AM	HillTW	Failed Processing - Invalid Address		3

Attest and Submit
Delete
Return to Upload Agent File

Figure 4: Processed Authorized Agent File List and Results Page



How to View Original Uploaded File

1. Click the Original File name link.
2. The original upload file open in a CSV format. Review the file.

How to View Processed Results File

1. Click the **Excel** (📄) icon for the corresponding results file for review.
2. The results file opens in CSV format. Review the file and take note of any changes made to the Physical Address due to the standardization of addresses in relation to the USPS database.

How to Review and Correct a Failed File

1. Click the **Excel** (📄) icon for the corresponding results file for review.
2. Scroll all the way to the right of the file to review the Error Description column (Column Z).
3. Errors need to be corrected prior to re-uploading the entire file.
NOTE: For assistance with understanding and correcting error descriptions, refer to the [Upload File Specifications and Validation Errors](#) document.
4. Delete the Error Description column (column Z).
5. Save the file and then re-upload the entire file, including records that did not have an Error Description.
6. Once File is fully validated by the system and address validation service, it can then be attested to for submission.

How to Attest and Submit

1. From the *Processed Authorized Agent File List and Results* page, click the **Attest and Submit** button (see Figure 5)

NOTE: A user is also given the option to attest from the Authorized Agents Home page.

2. After reviewing the attestation language, select the checkbox to verify you are the named person above and are authorized to attest and submit on behalf of the company.
3. Click the **Attest and Submit** button.

File ID	Original File Description (if provided)	Uploaded On	Uploaded By	File Status	Results File	Total Records Evaluated	
9463	MSB Upload.csv	10/11/2014 3:44:13 PM	HillTW	Attestation Required		3	<input type="button" value="Attest and Submit"/> <input type="button" value="Delete"/>

Figure 5: Example of Attest and Submit button

Additional Resources

- [Upload File Specifications and Validation Errors](#)
- [Uniform Authorized Agent/Delegate Reporting Page on NMLS Resource Center](#)
- [Uniform Authorized Agent Reporting \(UAAR\) FAQs](#)
- [Authorized Agent Quick Guide](#)
- [Agent Upload File Template](#)