



# Nationwide Mortgage Licensing System & Registry

## Batch Upload Process Overview

# Batch Upload Process Overview

Institution  
Account Request

Institution  
Completes MU1R  
Filing

Institution  
Identification of  
MLOs

Identify  
Groupings  
(Optional)

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Determine Who Will Pay for  
MU4R Filing  
(Institution or MLO)

Determine Who Will Initially  
Control the MU4R Filing  
(Institution or MLO)

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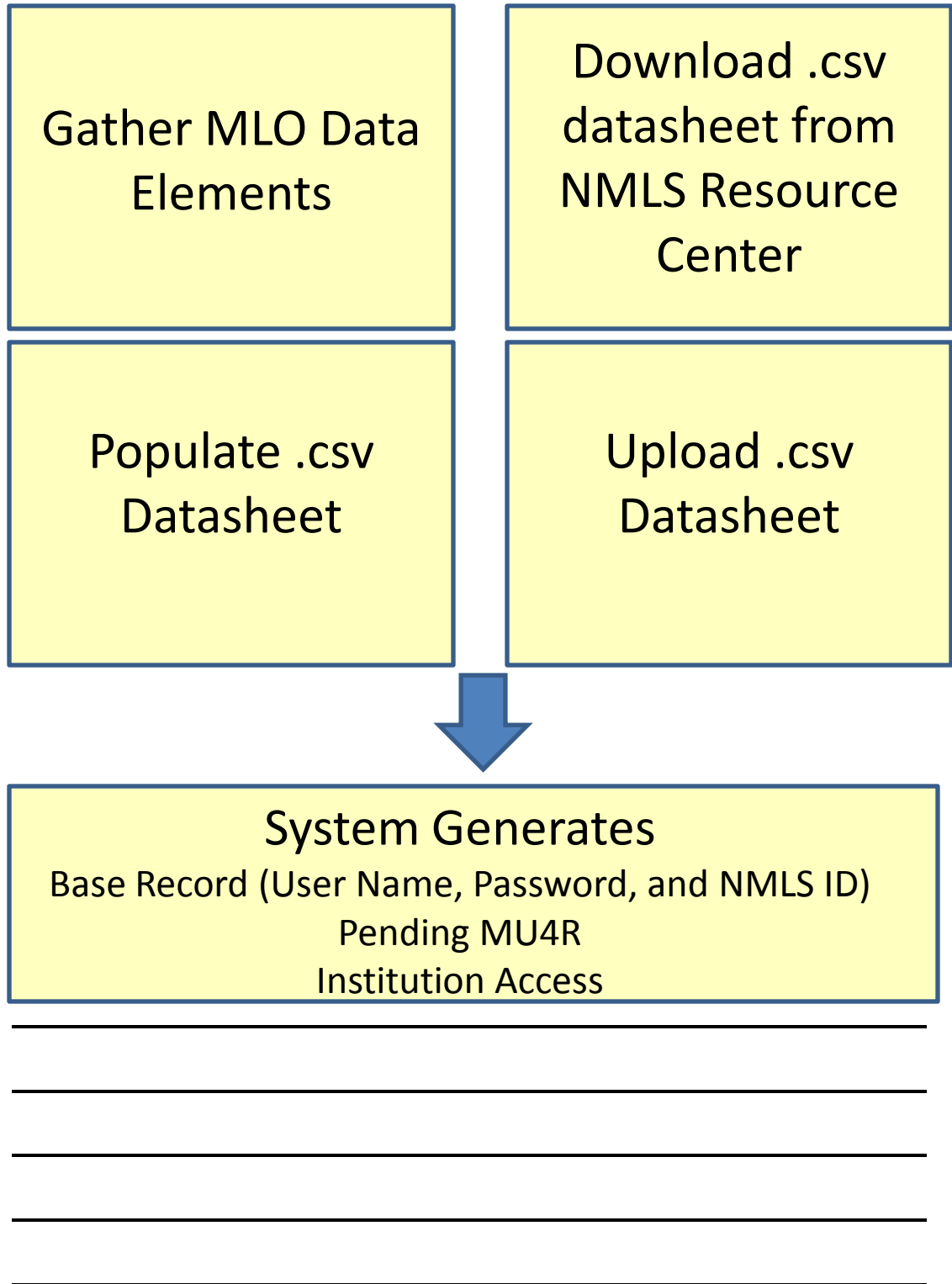
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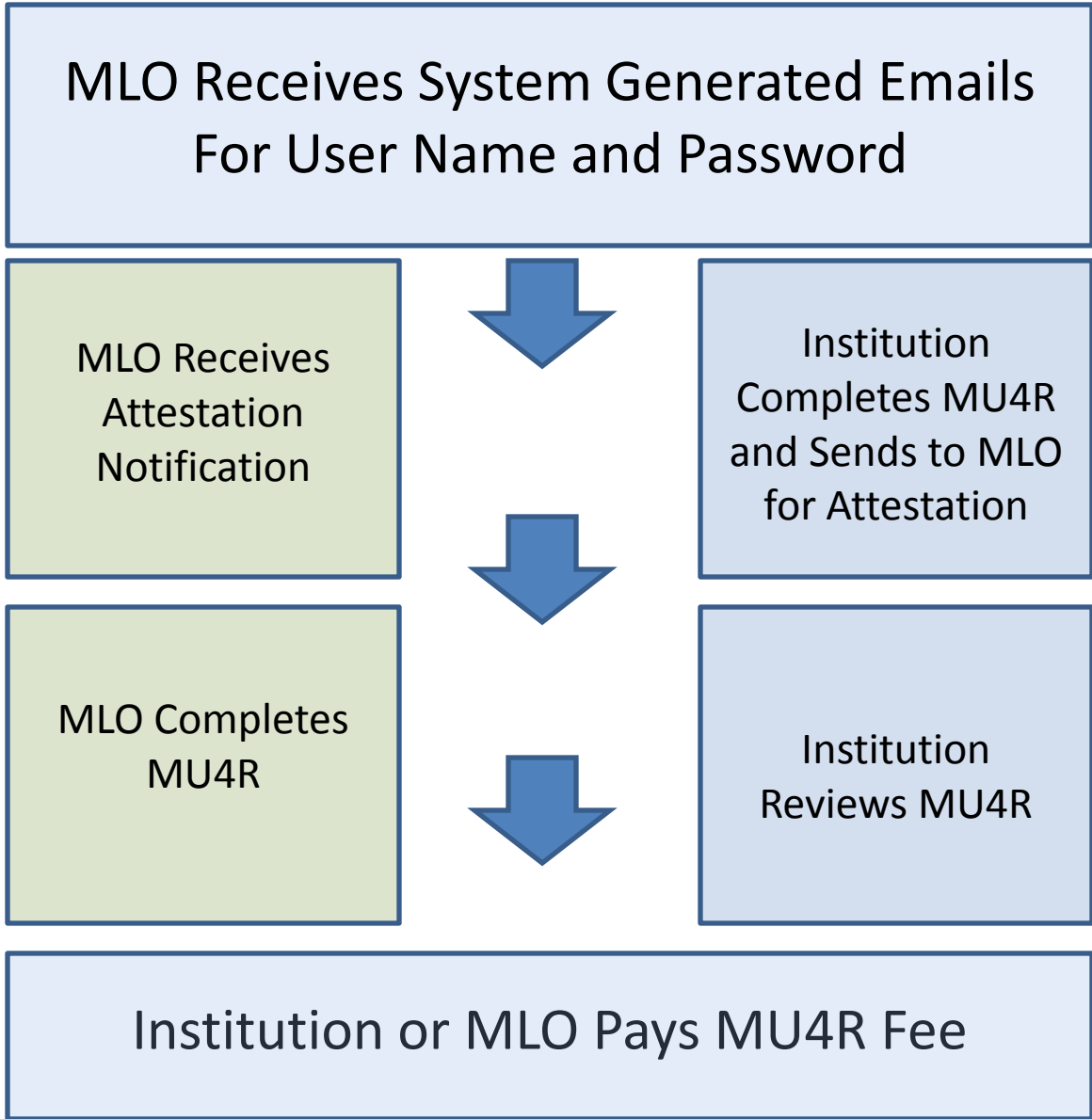
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## Batch Upload Process Overview



# Batch Upload Process Overview



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## Batch Upload Process Overview

Submit Filing  
(Institution or MLO)



Pay For Filing  
(Institution or MLO)



MLO Submits Fingerprints For  
Criminal Background Check (CBC)

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# Batch Upload Process Overview

Institution Reviews Results of  
Criminal Background Check



Institution Confirms Employment



**ACTIVE REGISTRATION**

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# Nationwide Mortgage Licensing System & Registry

## Batch Upload



http://mortgage.nationwidelicensingsystem.org

http://mortgage.nationwidelicensingsystem.org/Pages/default.aspx - Microsoft Internet Explorer provided by FINRA

http://mortgage.nationwidelicensingsystem.org/Pages/default.aspx

File Edit View Favorites Tools Help

http://mortgage.nationwidelicensingsystem.org/Page...

About NMLS | Contact Us | Got Feedback? | Regulator Sign In

**NMLS** NMLS Resource Center Log into NMLS

Home News & Events State Licensing Federal Registration Professional Standards Course Providers

**Welcome to the NMLS Resource Center**

The NMLS Resource Center is the official gateway for users of the National Mortgage Licensing System & Registry (NMLS) and provides users with tools, tips, news and updates.

Getting Started  
Company or Institution

Getting Started  
Mortgage Loan Originator

Federal Agency Contacts  
Getting Started: Institutions  
Getting Started: Mortgage Loan Originator  
Resources & Support  
Training  
Submitting Fingerprints

**Popular Links**

[SAFE Compliance Blog](#)  
[MLO SAFE Requirements & Deadlines](#)  
[Mortgage Call Report](#)  
[Federal Registration](#)

**Annual License Renewal**

**NMLS** consumer access

**Orlando 2011**  
February 7-10  
User Conference & Training

**NMLS News & Events**

**System Upgrade on January 29**  
NMLS will undergo maintenance on Saturday, January 29, for the release of system enhancements. The system will be unavailable until the upgrade is complete. A majority of the changes are for the implementation of the NMLS Federal Registry, which will allow federal-agency regulated institutions to register their mortgage loan originators in NMLS in accordance with the Final Rule published by the Federal Banking Agencies along with the Farm Credit Administration. For details about the changes see [Release Summary](#) | [Full Release Notes](#) | [Federal Registry Launch Summary](#).

**NMLS Updating Applicant/Licensee Agreement and Privacy Policy**  
The NMLS Applicant/Licensee Agreement (Industry Terms of Use or Agreement) will be updated on January 31, 2011 to accommodate the anticipated participation of mortgage loan originators to be registered under the final rule.

**Agency News**

**NMLS Begins Federal Registration**  
The federal agencies have issued a [joint press release](#) announcing the opening of the NMLS Federal Registry. NMLS is now accepting registration filings from institutions and mortgage loan originators covered by the federal agencies' [Final Rule](#). Institutions can refer to [Getting Started: Institutions](#) for instructions. For more information, see [Federal Registration](#).

**VA Adds Company and Branch Licenses**  
Virginia is now receiving applications for Lender, Broker and Branch Licenses in NMLS. For details see [Virginia License Descriptions and Checklists](#).

**Florida Extends SAFE Deadline**  
All current Florida licensees must file a new license application in NMLS by December 31, 2010. Individuals and businesses holding an active license can continue to work

# Batch Upload

Determine which employees within your institution meet the definition of mortgage loan originator according to the [Final Rules](#) and review the registration information required from each individual on Form MU4R (see [Form MU4R Requirements](#)).

## Step 7: Choose a workflow

The registration process can be accomplished several different ways. Three sample workflows have been developed to help institutions develop a process that suits their needs. **Review the following sample workflows and choose the one, or a variation of one, that is best.**

- [Workflow 1: MLO Completes MU4R, Institution Pays Fees](#)
- [Workflow 2: Institution Completes MU4R and Pays Fees](#)
- [Workflow 3: MLO Completes MU4R and Pays Fees](#)

## Step 8: Gather the necessary data from your MLOs to create their accounts

NMLS allows institutions to batch upload MLO information in bulk in order to create their accounts on the system. The batch upload process requires that you compile basic identifying and contact information on each MLO. The documents below will help you gather the necessary information required.

- [Batch Upload Specifications](#)
- [Batch Upload Template \(CSV\)](#)

Collect the necessary information on your MLOs and build the batch upload file.

## Step 9: Begin registering your MLOs

The Account Administrators for your institution will receive email confirmation of a successful Form MU1R registration. Once successfully registered, an institution may begin to register mortgage loan originators. Follow the steps of the workflow you have chosen.

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**NMLS FEDERAL REGISTRY**

Home | My Account | Invoice

Logged in as BinghamR | Logout

Portal

## Welcome to the Nationwide Mortgage Licensing System & Registry!

The Nationwide Mortgage Licensing System & Registry (NMLS) allows for the creation and maintenance of a single record (Form MU1R) for your Institution. Your Institution also can create and submit mortgage loan originator (MLO) filings (Form MU4R) and manage employment records for MLOs associated with your Institution.

Below please find a list of actions available by tab. Available actions/tabs vary based on user roles assigned.

**FILING**  
Choose this tab to *complete, amend and/or submit* MU1R filings for your Institution or any Federal MLO Registration filings (Form MU4R) for MLOs associated to your Institution. You also can view a list of MLO records your Institution has access to.

**TASKS**  
Choose this tab to *perform* an MLO Batch Upload, *view* previous MLO Batch Upload files, including information regarding their disposition, or *manage* Employment Records. Users with the Financial Admin role should choose this tab to *access and pay* outstanding Invoices for MU4R fees.

**COMPOSITE VIEW**  
Choose this tab to *view* your Institution record or the record of any MLO associated with your Institution.

**ADMIN**  
Choose this tab to *perform administrative functions* for your Institution's system users (e.g. resetting passwords, managing user roles and assigning system notifications).

**REPORTS**  
Choose this tab to *request* available reports.

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On this page...

- Select **My Account** above to *change* your NMLS user settings.
- Select **Invoice** above to *repay* failed invoices or view payment history.

Access the [Federal Registration page](#) of the NMLS Resource Center for information regarding the registration process that can assist you in using NMLS to create and maintain Institution and MLO records to meet federal registration requirements.

**NOTE:** NMLS is the system of record for all information contained within it. Any actions you take on NMLS are governed by the User Agreement and your legal obligations to the regulatory agencies participating in NMLS.

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# Batch Upload

**NMLS FEDERAL REGISTRY**

FILING TASKS COMPOSITE VIEW ADMIN REPORTS HOME

MLO Batch Upload | Employment Management | MU4R Payment

Logged in as BinghamR | Logout

Federal

Tasks Home

### Tasks Home

This section of NMLS allows you to submit MLO batch files, manage employment records and pay MU4R invoices. Below is a list of actions available by sub-menu. Available actions/sub-menu items vary based on user roles assigned.

**MLO Batch Upload**  
Select this link above to view previously submitted MLO batch files or *submit* a new batch file.

**Employment Management**  
Select this link above to confirm, reject, request correction to or terminate employment records.

**MU4R Payment**  
Select this link above to submit payment for unpaid MU4R Invoices for any of your Institution's system users.

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# Batch Upload

**NMLS FEDERAL REGISTRY**

FILING TASKS COMPOSITE VIEW ADMIN REPORTS HOME

MLO Batch Upload | Employment Management | MU4R Payment

Logged in as BinghamR | Logout

Federal

Processed File List and Results

Upload New Batch File

## Processed File List and Results

Below is a list of uploaded MLO Batch Files. Select to access a copy of the file uploaded. Once processing is complete, you can select the hyperlink under to view a list of completed records or select the hyperlink under to view a list of rejected records. Click on the sidebar above to access the Navigation Guide for instructions on reviewing result files.

**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.

No batch files have been uploaded.

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# Batch Upload

The screenshot shows the NMLS Federal Registry interface for uploading a batch file. The header includes the NMLS logo and 'FEDERAL REGISTRY'. Navigation tabs include 'FILING', 'TASKS', 'COMPOSITE VIEW', 'ADMIN', 'REPORTS', and 'HOME'. The user is logged in as 'BinghamR'. The main content area is titled 'Upload New Batch File' and contains instructions: 'Click the **Browse** button to locate a MLO Batch File stored on your computer. The file must be in CSV (Comma Separated Values) format and may not contain more than 10,000 records. Once the file has been selected and description provided (optional), click the **Upload** button. Click on the sidebar above to access the Navigation Guide for additional instructions and file specifications.'

Form fields include:  
File:    
Description:  (100 chars. max, optional)

Below the form is a note: 'To view previously uploaded files, select **Processed File List and Results** on the left panel.'

At the bottom of the form are two buttons: 'Upload' and 'Cancel'. The 'Upload' button is circled in red.

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# Batch Upload

**FEDERAL REGISTRY**

FILING TASKS COMPOSITE VIEW ADMIN REPORTS HOME

MLO Batch Upload | Employment Management | MU4R Payment

Logged in as BinghamR | Logout

Federal

Processed File List and Results

Upload New Batch File

## Upload New Batch File

**i** Your file Random Batch.csv was uploaded successfully.

Click the **Browse** button to locate a MLO Batch File stored on your computer. The file must be in CSV (Comma Separated Values) format and may not contain more than 10,000 records. Once the file has been selected and description provided (optional), click the **Upload** button. Click on the sandbar above to access the Navigation Guide for additional instructions and file specifications.

File:

Description:  (100 chars. max, optional)

To view previously uploaded files, select **Processed File List and Results** on the left panel.

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# Batch Upload

**From:** [NMLS\\_NotificationsTraining@statemortgageregistry.com](mailto:NMLS_NotificationsTraining@statemortgageregistry.com) [mailto:[NMLS\\_NotificationsTraining@statemortgageregistry.com](mailto:NMLS_NotificationsTraining@statemortgageregistry.com)]  
**Sent:** Wednesday, January 26, 2011 2:05 PM  
**To:** Grimm, Sarah  
**Subject:** An MLO Batch Upload File has been processed

NMLS has completed the processing of the following MLO Batch Upload File and results are now available in NMLS.

**File ID:** 1264  
**File Name:** BatchUpload\_5.csv  
**Description:** Northwest Branch Upload One  
**Uploaded On:** 1/26/2011  
**Completed Records:** 1  
**Rejected Records:** 3

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# Batch Upload

The screenshot shows the NMLS Federal Registry interface for MLO Batch Upload. The page title is "Processed File List and Results". Below the title, there is a text block explaining the list of uploaded MLO Batch Files and the processing status. A table lists the upload details for a file named "BatchUpload\_5.csv". The table has columns for File ID, File Name, Description, Uploaded On, Uploaded By, and Total Records. The row shows File ID 1264, File Name BatchUpload\_5.csv, Description Northwest Branch Upload One, Uploaded On 1/26/2011 2:04:06 PM, Uploaded By BinghamR, and Total Records 4. A circled "1" in the Total Records column is highlighted with an arrow and the text "Successful Uploads".

Below is a list of uploaded MLO Batch Files. Select to access a copy of the file uploaded. Once processing is complete, you can select the hyperlink under to view a list of completed records or select the hyperlink under to view a list of rejected records. Click on the sidebar above to access the Navigation Guide for instructions on reviewing result files.

**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	File Name	Description	Uploaded On	Uploaded By	Total Records		
1264	BatchUpload_5.csv	Northwest Branch Upload One	1/26/2011 2:04:06 PM	BinghamR	4	1	

Batch File 1 - 1 of 1

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# Batch Upload

**FEDERAL REGISTRY**

MLO Batch Upload | Employment Management | MU4R Payment

Logged in as BinghamR | Logout

Processed File List and Results

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File ID	File Name	Description	Uploaded On	Uploaded By	Total Records		
1264	BatchUpload_5.csv	Northwest Branch Upload One	1/26/2011 2:04:06 PM	BinghamR	4	1	3

Batch File 1 - 1 of 1

Rejected Uploads

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