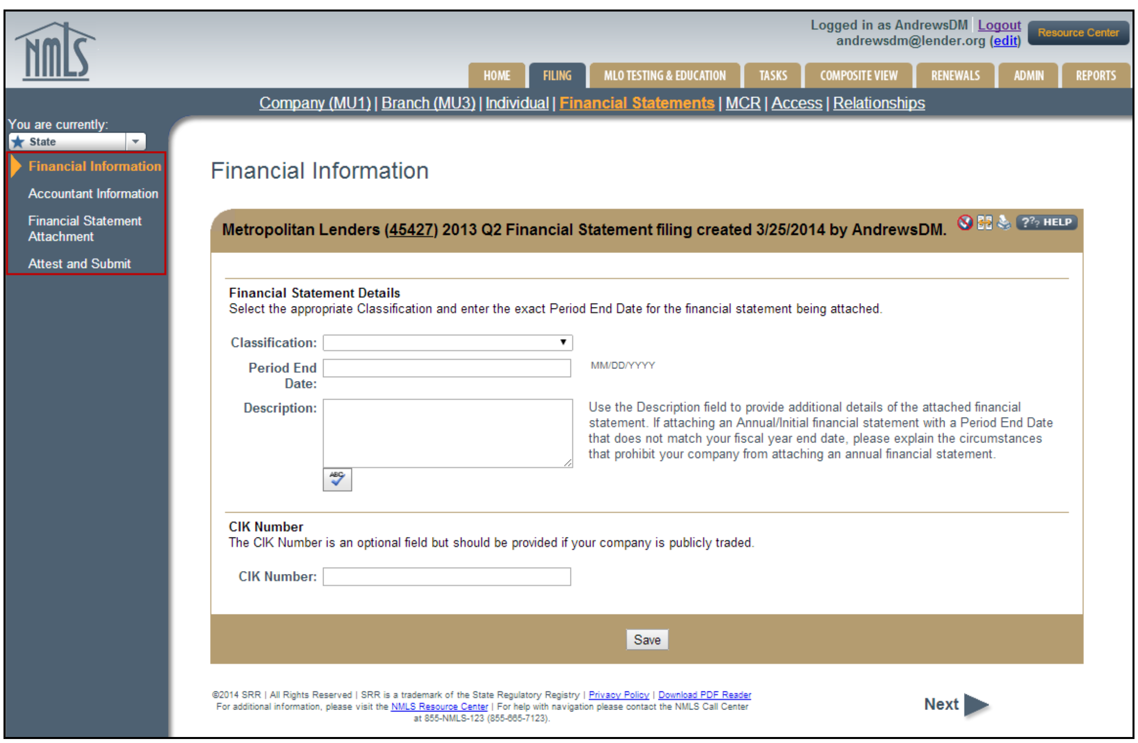
FINANCIAL STATEMENTS

To comply with financial statement requirements at initial application and within 90 days after a company's fiscal year end, the company must submit financial statements and key financial data, as applicable, through NMLS. New applicants should refer to the state-specific New Application Checklist available on the [State Licensing]() page of the NMLS Resource Center. Existing licensees should refer to the [Financial Statement Requirements Summary]() to determine which classification of financial statement needs to be submitted.

Submitting a Financial Statement

1. Navigate to the [NMLS Resource Center.]()
2. Click the **Log in to NMLS** button in the upper right corner.
3. Click the **Filing** tab.
4. Click the **Financial Statement** link from the sub-menu.
5. Click the **Create Filing** button.
6. Select the **Period Type** from the drop-down list that corresponds to the financial statement you are submitting. (Annual/Initial, Semi-Annual, Q3, Q2, Q1, Year to Date) Enter the Fiscal Year for the financial statement being attached and click the **Create** button.
7. Each section on the left navigation panel will need to be completed.



8. Complete the information requested on the Financial Information page.

9. Click the **Save** button and click **Next** to move to the next section of the filing.

10. Provide the requested Accountant Information if the financial statement being attached was prepared, audited, reviewed, or compiled by an accounting firm.

11. Click the **Save** button and click **Next** to move to the next section of the filing.

12. Click the **Add** button, and then click the **Browse** button to locate the desired financial statement file on your computer.

    NOTE: The financial statement must be in searchable PDF format and cannot exceed 8MB.

13. Select the appropriate financial statement PDF file and click the **Save** button.

14. Click **Next** to enter the **Attest and Submit** section of the filing.

15. Click the **Submit Filing** button.

Further information regarding Financial Statement filing requirements by license type and jurisdiction can be found on the NMLS Resource Center.

For further navigational assistance, please contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).

