



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.

The screenshot shows the NMLS web interface. At the top, it says 'Logged in as AndrewsDM' with 'Logout' and 'andrewsdm@lender.org (edit)' links. A navigation bar includes 'HOME', 'FILING', 'MLO TESTING & EDUCATION', 'TASKS', 'COMPOSITE VIEW', 'RENEWALS', 'ADMIN', and 'REPORTS'. Below this, a breadcrumb trail reads 'Company (MU1) | Branch (MU3) | Individual | Financial Statements | MCR | Access | Relationships'. The left sidebar shows 'You are currently: State' and a menu with 'Financial Information' (highlighted), 'Accountant Information', 'Financial Statement Attachment', and 'Attest and Submit'. The main content area is titled 'Financial Information' and shows a form for 'Metropolitan Lenders (45427) 2013 Q2 Financial Statement filing created 3/25/2014 by AndrewsDM.' The form has a 'Financial Statement Details' section with instructions: 'Select the appropriate Classification and enter the exact Period End Date for the financial statement being attached.' It includes a 'Classification' dropdown, a 'Period End Date' field (format MM/DD/YYYY), and a 'Description' text area with a 'HELP' icon. Below this is a 'CIK Number' section with instructions: 'The CIK Number is an optional field but should be provided if your company is publicly traded.' and a 'CIK Number' input field. A 'Save' button is at the bottom of the form. The footer contains copyright information: '©2014 SRR | All Rights Reserved | SRR is a trademark of the State Regulatory Registry | Privacy Policy | Download PDF Reader' and 'For additional information, please visit the NMLS Resource Center | For help with navigation please contact the NMLS Call Center at 855-NMLS-123 (855-665-7123)'. A 'Next' button is also present.

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).