



## COMPANY – INDIVIDUAL (MU4) FORM FILING

To submit a license request for an individual MLO through NMLS, follow the steps below. An Individual (MU4) Form must be submitted to each state regulator through NMLS. The state regulator will review the request, update the license status and set license items for additional information (if applicable) through NMLS. The [NMLS Policy Guidebook](#) is also available on the NMLS Resource Center if you have questions on how to complete any section of the Individual (MU4) Form.

Begin by consulting the license descriptions and requirements in the [State Licensing](#) section of the NMLS Resource Center. Any questions related to the type of license you wish to apply for should be directed to the appropriate state agency. The New Application Checklist will help you understand your regulator's requirements for completing the Individual (MU4) Form in NMLS. The checklist also includes information your regulator may require outside NMLS in order to complete your application.

**NOTE:** There are state agencies that require a passing score on the National UST and State Components of the SAFE MLO Test, as well as completion of Pre-licensure Education prior to submitting the Individual (MU4) application for licensure through NMLS. Visit the [Professional Standards](#) page of the NMLS Resource Center for details on completing these requirements.

### Individual (MU4) Form

The Individual (MU4) Form can be submitted from the company account or the individual's account. The steps below will walk you through initiating and ultimately submitting the Individual (MU4) Form from the Company account.

1. Navigate to the [NMLS Resource Center](#).
2. Click the **Log into NMLS** button in the upper right corner.
3. Click the **Filing** tab.
4. Click **Individual** in the sub-menu.
5. Click the **Create New Filing** button.
6. Search for an individual by NMLS ID or first and last name and select the appropriate individual from the search results.


**NOTE:** If no search results are returned, the individual does not yet have a record in NMLS, click **Create Individual** button and enter the required information. After this action is completed, an individual account needs to be created. For assistance in creating an individual account, reference the [Individual Account Creation Quick Guide](#).

7. From the *License Registration Information* screen click **ADD** and complete the pages of the License Wizard in order to add a license onto the Individual (MU4) Form.

**NOTE:** If you are applying for a new license, leave the license number field blank.

8. Confirm the license type you wish to apply for and click the **Finish** button.
9. Each section on the left navigation panel will need to be completed. The company has the option of completing the Individual (MU4) Form data fields or sending the Individual (MU4) Form to the individual immediately for attestation.
10. Once a portion or all data fields have been completed and you are ready to send the file to the individual, click **Attest and Submit** from the left navigation panel.
11. Click the **Request Attestation** button.

If the individual does not have an NMLS individual account, they will need to create one (see note above for quick guide). The individual will then need to log in to their NMLS account to complete and attest to the Individual (MU4) Form. For instructions to provide to the individual, see the [Attestation Quick Guide](#).

12. Once the Individual (MU4) Form has been attested to, the company will receive an email notification which lets them know this action has been completed. The company will then have the ability to submit the Individual (MU4) Form from the *Pending Filings* screen by selecting the Submit  icon.

Available Actions	Filing ID	Created Date	Created By	Individual Name (NMLS ID)	Filing Status
    	131723	3/26/2014 8:25:53 AM	AndrewsDM	Andrews, Dave Michael (45432)	Submission Required

**NOTE:** A relationship must first be established before the company can submit the Individual (MU4) Form on behalf of the individual. See the [Creating Relationships & Sponsorships Quick Guide](#) for steps on how to establish a company relationship.

The state in which you are applying for licensure may require a sponsorship to be established with the individual. See the [Creating Relationships & Sponsorships Quick Guide](#) for instructions on completing this step in NMLS.

### Next Steps

The regulator will communicate with your MLO through NMLS by placing a license item(s) on their record. License items are typically set due to missing requirements and/or documentation. An email notification will be sent to the individual each time a license item(s) is set and/or the license status has changed. The company has the ability to review an individual's record using the Composite View tab in NMLS.

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