



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 for filing a financial statement. The page title is "Financial Information" and the sub-header is "2018 Annual/Initial Financial Statement filing created 5". The page is divided into several sections:

- Financial Statement Details:** Includes a dropdown for "Classification", a "Period End" date field (format MM/DD/YYYY), and a "Description" field with a help icon. A note states: "Use the Description field to provide additional details of the attached financial statement. If attaching an Annual/Initial financial statement with a Period End Date that does not match your fiscal year end date, please explain the circumstances that prohibit your company from attaching an annual financial statement."
- CIK Number:** A field for the CIK Number, with a note: "The CIK Number is an optional field but should be provided if your company is publicly traded."
- Key Financial Data:** A section for "Key Financial Data provided here must correspond to the information reported in your financial statement attachment." It includes input fields for "Assets", "Liabilities", "Owners", and "Equity".

A "Save" button is located at the bottom of the form.

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

NOTE: The dollar amount reported in the *Key Financial Data* section must be to the nearest dollar and must correspond to the financial statement filed.

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).