



## INDIVIDUAL DOCUMENT UPLOADS

NMLS includes functionality that allows an individual to upload documentation required for Individual Forms (MU2/MU4) as required by your state regulator.

**To ensure you are uploading the correct document types, see the [Document Upload Descriptions and Examples](#).**

When uploading a document in NMLS:

- Only upload documents that are applicable to the type of document selected from the Document Type drop-down menu.
- If you need to upload a document for an explanation regarding bankruptcy, foreclosure actions, outstanding judgments or liens, or delinquent child support payments, these should be addressed in the *Disclosure Explanation* section of your Individual (MU2/MU4) filing and not in the *Document Upload* section.
- If you have multiple documents for one document type, combine them into one PDF and upload as one document.
- File names must adhere to the specifications provided in the [Document Upload Descriptions and Examples](#).
- See the [Individual Document Upload Relevancy Diagram](#) for more information on what regulators and company users can view in NMLS.

**NOTE:** NMLS does not provide the ability to upload all documents a state agency may require. **Do not upload documentation into NMLS that is not available for selection.** You may need to provide documentation outside NMLS as indicated on the applicable [State Licensing Checklists](#).

### [Individual Form \(MU2\) Instructions](#)

Applies to direct owner/executive officers, indirect owners (with control), qualifying individuals, and branch managers.

### [Individual Form \(MU4\) Instructions](#)

Applies to mortgage loan originators.

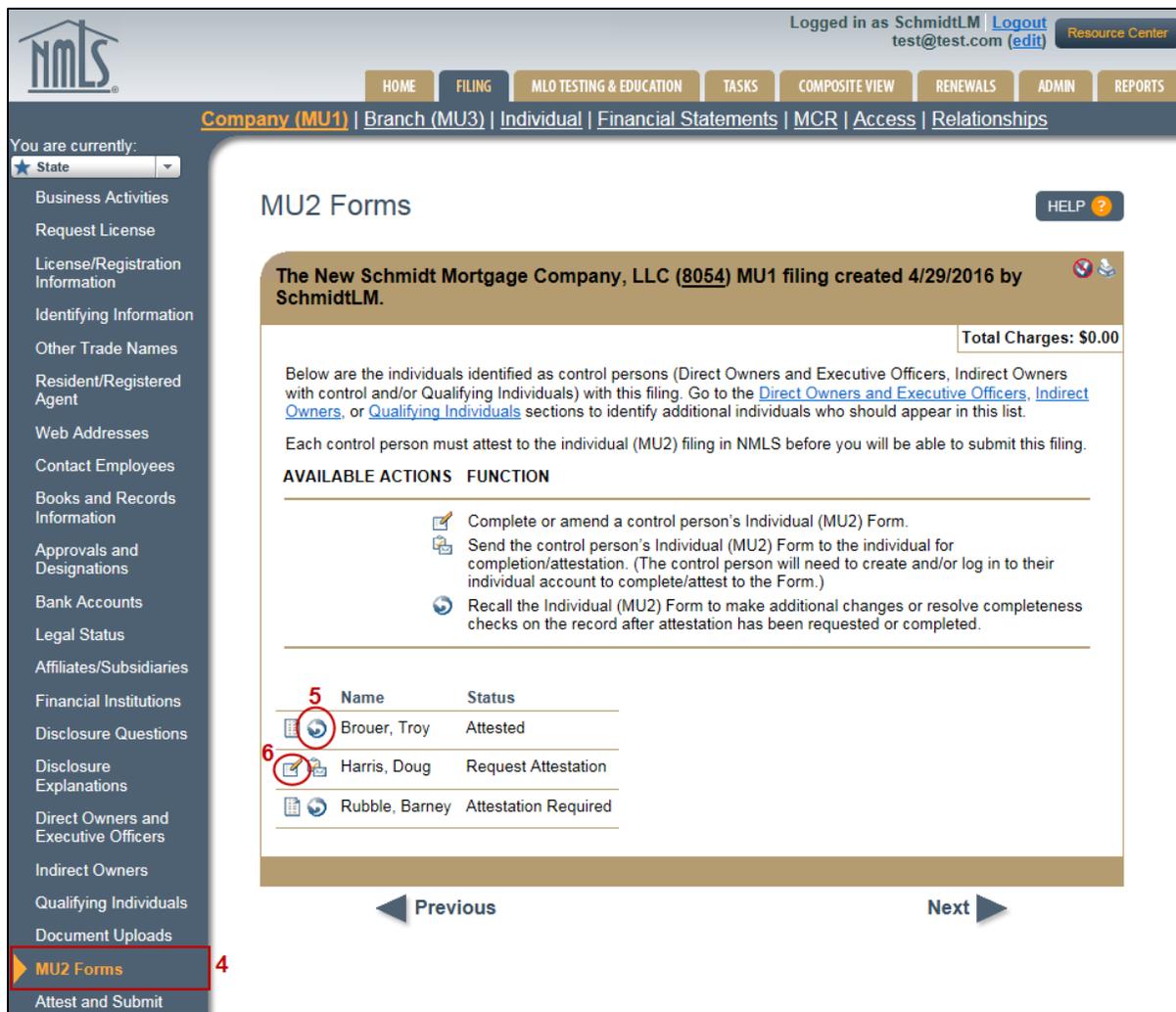
### [Deleting and Amending Uploaded Documentation](#)

## How to Upload a Document on the Individual Form (MU2)

1. Log in to your NMLS company account and click the **Filing** tab.
2. Click **Company (MU1)** or **Branch (MU3)** link on the submenu.
3. Click the **Create New Filing** button.

**NOTE:** If you already have a pending filing created, select the **Edit**  icon to continue with the pending filing.

4. Click the **MU2 Forms** link on the left navigation panel.
5. Ensure the status for the desired individual is "Request Attestation." Click the **Recall**  icon if the individual is in an alternative status.
6. Click the **Edit**  icon for the desired individual (see *Figure 1*).



Logged in as SchmidtLM | Logout test@test.com (edit) | Resource Center

HOME | FILING | MLO TESTING & EDUCATION | TASKS | COMPOSITE VIEW | RENEWALS | ADMIN | REPORTS

Company (MU1) | Branch (MU3) | Individual | Financial Statements | MCR | Access | Relationships

You are currently: State

Business Activities  
Request License  
License/Registration Information  
Identifying Information  
Other Trade Names  
Resident/Registered Agent  
Web Addresses  
Contact Employees  
Books and Records Information  
Approvals and Designations  
Bank Accounts  
Legal Status  
Affiliates/Subsidiaries  
Financial Institutions  
Disclosure Questions  
Disclosure Explanations  
Direct Owners and Executive Officers  
Indirect Owners  
Qualifying Individuals  
Document Uploads  
**MU2 Forms**  
Attest and Submit

### MU2 Forms

HELP ?

The New Schmidt Mortgage Company, LLC (8054) MU1 filing created 4/29/2016 by SchmidtLM.

Total Charges: \$0.00

Below are the individuals identified as control persons (Direct Owners and Executive Officers, Indirect Owners with control and/or Qualifying Individuals) with this filing. Go to the [Direct Owners and Executive Officers](#), [Indirect Owners](#), or [Qualifying Individuals](#) sections to identify additional individuals who should appear in this list.

Each control person must attest to the individual (MU2) filing in NMLS before you will be able to submit this filing.

AVAILABLE ACTIONS	FUNCTION
	Complete or amend a control person's Individual (MU2) Form.
	Send the control person's Individual (MU2) Form to the individual for completion/attestation. (The control person will need to create and/or log in to their individual account to complete/attest to the Form.)
	Recall the Individual (MU2) Form to make additional changes or resolve completeness checks on the record after attestation has been requested or completed.

5	Name	Status
6	Brouer, Troy	Attested
	Harris, Doug	Request Attestation
	Rubble, Barney	Attestation Required

Previous Next

Figure 1: MU2 Forms

7. Click the **Document Uploads** link on the left navigation panel.
8. Click the **Add** button (see *Figure 2*).

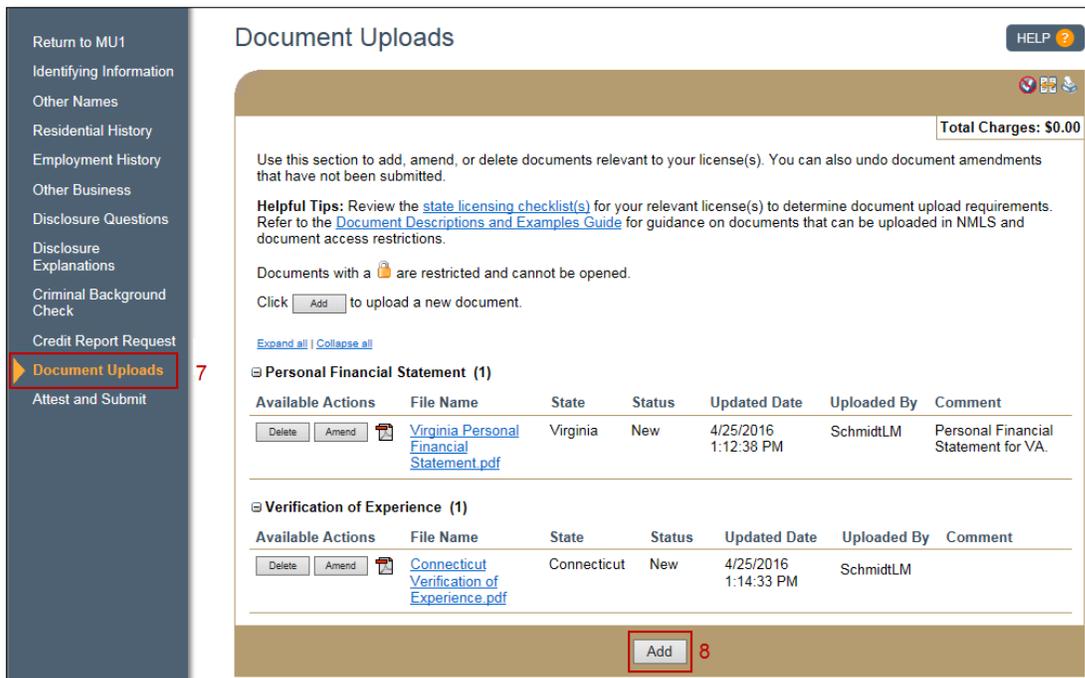


Figure 2: Add a Document

9. Select the **Document Type** from the Document Type drop-down menu.
10. Select the **State** from the State drop-down menu (if applicable).

**NOTE:** If the selected document type is a state-specific document (refer to [Document Upload Descriptions and Examples](#)), different versions of the document may be uploaded for each of the states in which the company or branch is seeking licensure.

11. Click the **Browse...** button and select the appropriate file for the document.
12. Click the **Add** button.
13. Once the filing is completed to your satisfaction, click the **Attest and Submit** link on the left navigation panel.
14. Click the **Request Attestation** button. This will electronically send the form into the individual's account. An email notification will also be sent to the individual alerting them of this action.

**NOTE:** Prior to submitting the Individual Form (MU2), the individual must review and attest to the form using their own personal NMLS username and password. For instructions on how your control person or branch manager completes a filing attestation, see the [Individual \(MU2\) Form Attestation Quick Guide](#).

## **How to Upload a Document on the Individual Form (MU4)**

1. Log in to your NMLS individual account and click the **Filing** tab.
2. Click the **Individual** link on the submenu.
3. Click the **Request New/Update** button.

**NOTE:** If you already have a pending filing created, select the **Edit**  icon to continue with the pending filing.

4. Click the **Document Uploads** link on the left navigation panel (see *Figure 2*).
5. Click the **Add** button.
6. Select the **Document Type** from the Document Type drop-down menu.

**NOTE:** If the selected document type is a state-specific document (refer to [Document Upload Descriptions and Examples](#)), different versions of the document may be uploaded for each of the states in which the company or branch is seeking licensure.

7. Click the **Browse...** button and select the appropriate file for the document.
8. Click the **Add** button.
9. Click the **Attest and Submit** link on the left navigation panel to submit the filing. A legal attestation will appear.
10. If all completeness checks pass, select the **verification checkbox**.
11. Click the **Attest and Submit** button.

## Deleting and Amending Uploaded Documentation

NMLS will store all documents that have been uploaded on your record. If you need to delete or amend a document for any reason, you can do so; however the system will still store your previously uploaded filings historically.

1. From the *Document Uploads* section, select the **Delete** or **Amend** button for the desired document (see *Figure 3*).
  - a. When amending an existing document, you must provide the “Reason for Change.”
  - b. When deleting an existing document, you must provide the “Reason for Deletion.”

Document Uploads HELP ?

Total Charges: \$0.00

Use this section to add, amend, or delete documents relevant to your license(s). You can also undo document amendments that have not been submitted.

**Helpful Tips:** Review the [state licensing checklist\(s\)](#) for your relevant license(s) to determine document upload requirements. Refer to the [Document Descriptions and Examples Guide](#) for guidance on documents that can be uploaded in NMLS and document access restrictions.

Documents with a are restricted and cannot be opened.

Click  to upload a new document.

[Expand all](#) | [Collapse all](#)

Personal Financial Statement (1)

Available Actions	File Name	State	Status	Updated Date	Uploaded By	Comment
<input type="button" value="Delete"/> <input type="button" value="Amend"/>	<a href="#">Virginia Personal Financial Statement.pdf</a>	Virginia	New	4/25/2016 1:12:38 PM	SchmidtLM	Personal Financial Statement for VA.

1

Verification of Experience (1)

Available Actions	File Name	State	Status	Updated Date	Uploaded By	Comment
<input type="button" value="Delete"/> <input type="button" value="Amend"/>	<a href="#">Connecticut Verification of Experience.pdf</a>	Connecticut	New	4/25/2016 1:14:33 PM	SchmidtLM	

Figure 3: Document Uploads

For additional information on what documentation should be submitted through NMLS, consult your state-specific checklist or state regulator. For help on system navigation, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).