Branch Control Person (MU2) Forms

Overview/Policy

The Control Person Form collects biographical, employment, and disclosure information for certain individuals listed on the Company or Branch.

Control Persons must attest before the corresponding Company or Branch can be successfully filed.

Definitions and Charts

Not Applicable

How To

Edit Individual Form (MU2):

1. From the MU2 Form screen, click the Edit Filing icon.
   NOTE: If the individual will be completing the entire MU2 form, select the Request attestation icon to send the form to the individual to complete.
2. Complete the information on the MU2 Form.
3. Select Attest & Submit to request attestation.

The individual must attest to the individual filing before the company filing can be submitted. An email notification will be sent to the individual instructing them to attest to the filing. Once the filing has been attested to by the individual, the company will receive notification that the action has been complete and they can submit the filing.
Helpful Hints

1. Individuals acting as an Individual (MU2) person must grant a company access to their record.
2. Individuals acting as an Individual (MU2) person can either create their own record or the company can help initiate the process in NMLS.
3. MU2 Statuses:
   a. *Request Attestation* indicates that you must send the MU2 to the individual for their attestation.
   b. *Attestation Required* indicated that the individual’s attestation has been request and must be completed by the individual.
   c. *Submission Required* indicates that the individual’s attestation on the MU2 form has been completed.

Additional Resources:

- Find State-Specific requirements on the [NMLS Resource Center](#).
- Details regarding information available on NMLS Consumer Access can be found within [Information Viewable on NMLS Consumer Access](#).
- Quick Guides:
  - [Submitting Branch Form (MU3)](#)
  - [Individual Account Creation](#)
  - [Attestation](#)

See Company and Branch Help [Table of Contents](#)