Nationwide Mortgage Licensing System & Registry

MU4R Filing and Processes
Welcome to the Nationwide Mortgage Licensing System & Registry!

The Nationwide Mortgage Licensing System & Registry (NMLS) allows for the creation and maintenance of a single record (Form MU4R) for your institution. Your institution also can create and submit mortgage loan originator (MLO) filings (Form MU4R) and manage employment records for MLOs associated with your institution.

Below please find a list of actions available by tab. Available actions vary based on user role assigned.

**FILING**
Choose this tab to complete, amend and/or submit MU4R filings for your institution or any Federal MLO Registration filings (Form MU4R) for MLOs associated with your institution. You also can view a list of MLO records your institution has access to.

**TASKS**
Choose this tab to perform an MLO Batch Upload, view previous MLO Batch Upload files, including information regarding their disposition, or manage Employment Records. Users with the Financial Admin role should choose this tab to access and pay outstanding invoices for MU4R fees.

**COMPOSITE VIEW**
Choose this tab to view your institution record or the record of any MLO associated with your institution.

**ADMIN**
Choose this tab to perform administrative functions for your institution’s system users (e.g. resetting passwords, managing user roles and assigning system notifications).

**REPORTS**
Choose this tab to request available reports.

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**On this page:**
- Select **My Account** above to change your NMLS user settings.
- Select **Invoice** above to rekey failed invoices or view payment history.

Access the [Federal Registration page](#) of the NMLS Resource Center for information regarding the registration process that can assist you in using NMLS to create and maintain institution and MLO records to meet federal registration requirements.

**NOTE:** NMLS is the system of record for all information contained within it. Any actions you take on NMLS are governed by the User Agreement and your legal obligations to the regulatory agencies participating in NMLS.
MU4R Filing and processes

Form Filing Home

This section of NMLS allows you to complete, amend and/or submit your Institution's record (Form MU4R) and mortgage loan originator (MLO) records (Form MU4R). Below is a list of actions available by sub-menu. Available actions/sub-menu items vary based on user roles assigned.

MU4R
Select this link above to complete, amend and/or submit a filing of your Institution's record.

MLO
Select this link above to complete, amend and/or submit a filing of an MLO record.

Institution Access
Select this link above to view a list of MLO records your Institution has access to.

PRIVACY ACT STATEMENT: The information you provide will be used to register you as a residential mortgage loan originator employed by an institution regulated by the Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the National Credit Union Administration or the Farm Credit Administration (the "Agencies"). In order to do this, we may disclose your information consistent with the routine uses listed in the respective Privacy Act Notices for the BGFRS, FDIC, OTS, NCUA, and FCA, including for enforcement, statutory and regulatory purposes; to another federal agency or Reserve Bank; to a Member of Congress; to the Department of Justice, a court, an adjudicative body or administrative tribunal, or a party in litigation; to Federal, state and local and professional licensing boards, to contractors, agents, and others; and whose security or confidentiality has been compromised. Specified information may also be shared with members of the public, other banking regulatory agencies, the National Mortgage Licensing System and Registry call center, the Financial Institution Regulatory Authority, state credit union regulators and state mortgage regulators. We are authorized to collect your information by the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. In accordance with Executive Order 9397, the Agencies collect your Social Security Number to ensure that records are accurate because other people may have the same name and birth date. In addition, the Agencies use your Social Security Number when we make requests for information about you from law enforcement. Furnishing the information requested is voluntary, however, your failure to provide any of the information requested may result in the Agencies' inability to register you as a residential mortgage loan originator. You may be subject to a fine or imprisonment under 18 U.S.C. § 1001 for any false statements you make in connection with any information you provide concerning a registration.

OFFICE OF THE COMPTROLLER OF THE CURRENCY: STAMENT REGARDING SOLICITATION OF SOCIAL SECURITY ACCOUNT NUMBERS

As authorized by Executive Order 9397, the Office of the Comptroller of the Currency ("OCC") requests your Social Security Number to assist in the maintenance of accurate records in circumstances where other people may have the same names and birth dates. Your Social security number may also be used by the OCC when it seeks information about you from other agencies or persons. Furnishing your social security number is voluntary. However, your failure to provide this information may result in the inability of the OCC to register you as a residential mortgage loan originator, a registration that is required under regulations implementing the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. Additionally, if the social security number or other information you provide concerning your registration is false, you may be subject to a fine or imprisonment under 18 U.S.C. § 1001.
MU4R Filing and processes

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each MU4 filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

Available Actions | Filing ID | Creation Date | Created By | Applicant Name | Status | Group Name
--- | --- | --- | --- | --- | --- | ---
× | 74453 | 1/27/2011 10:53:27 PM | BinghamR | Terminate, One Rapp (30127) | Unsubmitted | Term
× | 74452 | 1/27/2011 10:53:27 PM | BinghamR | Reject, Two (30126) | Unsubmitted | Reject
× | 74434 | 1/27/2011 10:53:27 PM | BinghamR | Terminate, Two (30126) | Unsubmitted | Term
× | 74429 | 1/27/2011 10:53:25 PM | BinghamR | Reject, One Rapp (30125) | Unsubmitted | Reject
× | 74426 | 1/27/2011 10:53:25 PM | BinghamR | Confirm, One Auto (30120) | Unsubmitted | Confirm
× | 74427 | 1/27/2011 10:53:25 PM | BinghamR | Confirm, Two Rapp (30121) | Unsubmitted | Confirm
× | 74236 | 1/25/2011 2:34:37 PM | BinghamR | Greene, Howard Smith (30006) | Unsubmitted | Non-MU4
Other Names

Howard Smith Grates (30048) MU4R filing created 1/28/2011 by BinghamR.

Other than your legal name, list all name(s) you are using or have used since the age of 18. Examples include nicknames, aliases, and names used before or after marriage.

- Smith Grates

Total Charges: $3.00

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MU4R Filing and processes

Employment Records

Howard Smith Grates (33046) MU4R filing created 1/28/2011 by Bingham R.

You must provide information for any financial services-related employment you have held over the past ten years. To provide information regarding a current job, click Add Current. To provide information regarding a previous job, click Add Prior.

Pending Employment Actions

Current employment records associated with an institution in NMLS with pending actions are listed below. Click to edit or delete the record or click to undo the pending action.

From | To | Employer Name | Employer NMLS ID | Status | Work Location | Pending Action
--- | --- | --- | --- | --- | --- | ---
01/2011 | Present | Road Warrior Mortgage Company | 29706 | , | Add

Employment History

Employment records created previously or that are not associated with an institution in NMLS are listed below. Click to edit, delete, withdraw or terminate the record, as applicable. Click to view a record not available for editing.

From | To | Employer Name | Employer NMLS ID | Status | Work Location
--- | --- | --- | --- | --- | ---
02/2006 | 04/2010 | Lexington Mortgage | , | Lexington, KY |
## Disclosure Questions

**Howard Smith Grates (30046) MU4R filing created 1/26/2011 by BinghamR.**

### Criminal Disclosure

- Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes  
  - No

- Based upon the activities that occurred while you exercised control over an organization, has any such organization ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes  
  - No

### Civil Judicial Disclosure

- Has any domestic or foreign court ever:
  1. enjoined you, or taken other action against you, in connection with any financial services-related activity?
  - Yes  
  - No
  2. found that you were involved in a violation of any financial services-related statute(s) or regulation(s)?
  - Yes  
  - No
  3. dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against you by a State, federal, or foreign financial regulatory authority?
  - Yes  
  - No

### Regulatory Action

- Has any State or federal regulatory agency or foreign financial regulatory authority ever:
  1. found you to have made a false statement or omission or been dishonest, unfair or unethical?
  - Yes  
  - No
  2. found you to have been involved in a violation of a financial services-related business regulation(s) or statute(s)?
  - Yes  
  - No
  3. found you to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?
  - Yes  
  - No
  4. entered an order against you in connection with a financial services-related activity?
  - Yes  
  - No
  5. denied, suspended or revoked your registration or license to engage in a financial services-related activity, disciplined you, or otherwise by order, prevented you from associating with a financial services-related business or restricted your activities?
  - Yes  
  - No
  6. barred you from association with an entity or its officers regulated by such agency or foreign financial regulatory authority or from engaging in a financial services-related business?
  - Yes  
  - No
  7. issued a final order against you based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?
  - Yes  
  - No
  8. Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?
  - Yes  
  - No

### Customer Arbitration/Civil Litigation Disclosure

- Have you ever been named as a respondent/defendant in a financial services-related consumer initiated arbitration or civil litigation which:
  1. resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action; or
  - Yes  
  - No
  2. was settled for any amount?
  - Yes  
  - No

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Section 8-9
MU4R Filing and processes

Criminal Background Check

Howard Smith Grates (30046) MU4R filing created 1/26/2011 by BinghamR.

To request a federal criminal background check with this filing, you must mark the checkbox requesting a background check, confirm the method and provide demographic information below. If a previous request is still pending, a criminal background check cannot be requested. You can access Composite View to view the status of previous requests.

I am requesting a Federal Criminal Background Check.

Confirm background check method:
- Submit New Prints

Demographics

The FBI requires the following information to be provided:

Eye color: [ ] Green  [ ] Brown  [ ] Blue  [ ] Hazel  [ ] Other
Hair color: [ ] Black  [ ] Brown  [ ] Black Hair (includes Red and Black)
Height: [ ] 5'0" - [ ] 6'11"
Weight: [ ] 100 lbs - [ ] 250 lbs

Date of Birth is included with the demographic information provided to the FBI and can be verified against your record in Composite View.
MU4R Filing and processes

Completeness Check

Howard Smith Grates (39045) MU4R filing created 1/26/2011 by BinghamR.

WARNING: You should not submit any information through NMLS until you receive authorization from your employer to make the submission. Any Institution identified as a new current employer in this filing will be granted access to your NMLS record, including criminal background check results, upon submission of this filing.

Your filing cannot be submitted until the actions detailed below have been taken. Click on the section name to access the section of the filing and complete the listed action. Certain action items may require you to access other functions under the Filing Tab by clicking a link provided in the Action Required section. After completing all required actions, a Submit Filing button will appear.

<table>
<thead>
<tr>
<th>Section</th>
<th>Action Required</th>
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</thead>
<tbody>
<tr>
<td>MU4R</td>
<td>This filing must be attested by individual.</td>
</tr>
</tbody>
</table>

Subject | Fee Type | Amount
---|---|---
Federal MLO Registration | NMLS Processing Fee | $3.00
Criminal Background Check (Grates, Howard Smith) | OCC Processing Fee | $3.90

Total Charges $6.90

Request Attestation
MU4R Filing and processes

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each MU4 filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

<table>
<thead>
<tr>
<th>Available Actions</th>
<th>Filing ID</th>
<th>Creation Date</th>
<th>Created By</th>
<th>Applicant Name</th>
<th>Status</th>
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</table>

Create New Filing
Switching From Institution View to MLO View

Attestation Requested Filings
All unsubmitted MU4R filings initiated by an Institution with access to your record are listed below. Before the Institution can submit your MU4R filing, you must review it for accuracy and attest to the information contained within. Select to view, edit, and attest to a filing for which the status is “Attestation Requested”. Filings displaying an “Attested” or “Unsubmitted” status require no action by you.

Available Actions | Filing ID | Form Type | Applicant Name | Created By | Creation Date | Status
---|---|---|---|---|---|---
| | 74298 | MU4R | Road Warrior Mortgage Company (29706) | BinghamR | 1/26/2011 2:04:37 PM | Attestation Requested

My MU4R Filings
If you have an MU4R filing created by you or your employer that has not been submitted, it is listed below. You may have only one pending filing at a time. Click to complete and submit the filing. Select to delete a pending filing without submitting the information to NMLS. Click Create New Filing to create your first MU4R filing or make amendments to a previously submitted MU4R if no pending filings are listed below.

NOTE: Each time you submit a filing it is stored as your current record and will be the source of information for the next filing. Please consult your employer before completing and submitting any information to NMLS.

There is no pending filing.

Create New Filing
MU4R Filing and processes

Completeness Check

Howard Smith Grates (380446) MU4R filing created 1/28/2011 by BinghamR - Road Warrior Mortgage Company.

WARNING: You should not submit any information through NMLS until you receive authorization from your employer to make the submission. Any Institution identified as a new current employer in this filing will be granted access to your NMLS record, including criminal background check results, upon submission of this filing.

All completeness checks pass for this filing.

I, Howard Smith Grates (Registrant), on this date Friday, January 28, 2011, certify that:

1. The information and statements contained herein, whether submitted by me or by a Federal agency-regulated institution on my behalf, are current, true, accurate and complete as of Friday, January 28, 2011.
2. To the extent any information previously submitted is not amended, such information and statements remain current, true, accurate and complete as of Friday, January 28, 2011.
3. I understand that any misrepresentation or omission of a material fact may subject me to legal sanctions provided by 18 USC 1001 and may be grounds for other administrative and/or criminal action against me and/or the Federal Agency-regulated institution.
4. The Registry and any employing Federal agency-regulated financial institution(s) are authorized to obtain information related to sanctions or findings in any administrative, civil or criminal action, to which I am a party, made by any governmental jurisdiction.
5. I will keep the information contained in this form current and will file accurate supplementary information on a timely basis, pursuant to applicable law; and
6. The Registry may make available to the public information submitted on this filing pursuant to Federal regulations implementing the SAFE Act.

I certify that I am the named person above and that I agree to the above.

Attest

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Switching From MLO View to Institution View

Pending Filings - MU4R

Below is a list of unsubmitted MU4R filings your Institution has created. Click the applicable icon under Available Actions to take action on each MLO filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

<table>
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<tr>
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Completeness Check

Howard Smith Grates (30045) MU4R filing created 1/26/2011 by BinghamR.

WARNING: You should not submit any information through NMLS until you receive authorization from your employer to make the submission. Any institution identified as a new current employer in this filing will be granted access to your NMLS record, including criminal background check results, upon submission of this filing.

All completeness checks pass for this filing.

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<th>Subject</th>
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<td></td>
<td>Federal MLO Registration</td>
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<tr>
<td>Criminal Background Check (Grates, Howard Smith)</td>
<td>CBC Processing Fee</td>
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<tr>
<td></td>
<td>Federal Criminal Background Check</td>
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<tr>
<td>Total Charges</td>
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I, Ryan Bingham, of Road Warrior Mortgage Company (Federal agency-regulated institution), on this date Friday, January 28, 2011, certify that I executed this form on behalf, and with the authority, of said Federal agency-regulated institution and that:

1. To the best of my knowledge and belief, information on whether Howard Smith Grates is no longer employed by said Federal agency-regulated institution listed above is current, true, accurate and complete as of Friday, January 28, 2011.
2. I understand that any misrepresentation or omission of a material fact may subject me to legal sanctions provided by 18 USC 1001 and may be grounds for other administrative and/or criminal action against me and/or the Federal agency-regulated institution; and
3. Said Federal agency-regulated institution will notify the Registry of the date the Registrant ceases employment with the said Federal agency-regulated institution listed above, pursuant to applicable law.

I certify that I am the named person above and that I agree to the above.
Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each ML0 filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

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<td>GIates, Howard Smith (30046)</td>
<td>Submitted</td>
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</table>
One Time Payment

Payment Confirmation

Thank you, your payment was successfully processed. Payment details are below. Please print a copy for your records.

Pay to the order of Nationwide Mortgage Licensing System & Registry

User Id: BinghamR
Payment Method: Credit Card
Payment Date: 01/28/2011
Amount: $6.50

Your Payment Confirmation Number is V7542E106EDC.

Print this page for your records. Your bank or credit card statement will read "Mortgage License or Registration - NMLS" for this transaction. To view full invoice details, access the Invoice option from your Home tab and enter the Payment Confirmation Number provided above as your search criteria.

Print Finish
Nationwide Mortgage Licensing System & Registry

MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

MLO receives notification.

From: NMLS_NotificationsQC@statemortgagergistry.com
To: Eradie, Yvette
Cc: 
Subject: An MU4R filing has been created for you

Mega Bank (389343) has created an MU4R filing on your behalf. The Institution is requesting that you complete, attest to and submit your MU4R. Use the ‘Log into NMLS’ button in the upper right corner of the NMLS Resource Center to login, complete and submit your MU4R.

Access Quick Guides for tips on completing and submitting your MU4R filing. Please contact your employer if you need more information.

THIS COMMUNICATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND CONTAINS OR MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL OR EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. If the reader of this communication is not the intended recipient (or the employee or agent responsible for delivering to the intended recipient), you are hereby notified that any dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please disregard and delete this communication, and do not disseminate or retain any copy of this communication.
MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

Change Password Question and Answer

You have not yet set your password question and answer, which you can use to reset your password if you forget it in the future. You must provide the question and answer before you continue.

If you forget your password and need to have it reset, you will use this password question and answer to confirm your identity.

Password: ********
Password Question: What is a good place to eat?
Password Answer: Boston

Change Password Question and Answer
MLO Completes Fingerprint Process

Welcome to the Nationwide Mortgage Licensing System & Registry!

The Nationwide Mortgage Licensing System & Registry (NMLS) creates a single record (NMLR) for each MLO required to submit information to obtain a Federal MLO Registration.

**FILING**
Choose this tab if you would like to:
- Complete your record,
- Amend your record,
- Attach to your record,
- Grant or remove access to your record,
- Submit a filing of your record, or
- Terminate an employment record.

**COMPOSITE VIEW**
Choose this tab to view your complete record, including your Federal MLO Registration status and/or employment record.

On this page...
- Select My Account above to change your NMLS user settings.
- Select Invoice above to pay outstanding invoices or view payment history.

Access the Federal Registration page of the NMLS Resource Center for information regarding the registration process that can assist you in using NMLS to create and maintain your individual record to meet Federal MLO Registration requirements.

**NOTE:** An MLO record (Form MLOR) can be completed by an authorized representative from an institution with access to your record. In all cases, you must personally attest to the accuracy of your record before it can be submitted. Any actions you take on NMLS are governed by the User Agreement and your legal obligations to the regulatory agencies participating in NMLS.
MLO Completes Fingerprint Process

This section of NMLS allows you to complete, amend and/or submit your record (Form MUAR) to comply with Federal MLO Registration requirements. Below is a list of actions available by sub-menu item.

MUAR
Select this link above to complete or amend your record, submit a filing, or attest to your record for a filing to be submitted on your behalf.

Institution Access
Select this link above to grant an institution access to your record, terminate an institution’s access to your record, or view a list of institutions that currently have access to your record.

PRIVACY ACT STATEMENT: The information you provide will be used to register you as a residential mortgage loan originator employed by an institution regulated by the Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the National Credit Union Administration or the Farm Credit Administration (the "Agencies"). In order to do this, we may disclose your information consistent with the routine uses listed in the respective Privacy Act Notices for the BGFRS, FDIC, OTS, NCUA, and FCA, including for enforcement, statutory and regulatory purposes; to another federal agency or Reserve Bank; to a Member of Congress; to the Department of Justice, a court, an adjudicative body or administrative tribunal, or a party in litigation; to Federal, state and local and professional licensing boards, to contractors, agents, and others; and where security or confidentiality has been compromised. Specified information may also be shared with members of the public, other banking regulatory agencies, the National Mortgage Licensing System and Registry call center, the Financial Institution Regulatory Authority, state credit union regulators and state mortgage regulators. We are authorized to collect your information by the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. In accordance with Executive Order 9397, the Agencies collect your Social Security Number to ensure that your records are accurate because other people may have the same name and birth date. In addition, the Agencies use your Social Security Number when we make requests for information about you from law enforcement. Furnishing the information requested is voluntary; however, your failure to provide any of the information requested may result in the Agencies’ inability to register you as a residential mortgage loan originator. You may be subject to a fine or imprisonment under 18 U.S.C. § 1001 for any false statements you make in connection with any information you provide concerning a registration.

OFFICE OF THE COMPTROLLER OF THE CURRENCY: STATEMENT REGARDING SOLICITATION OF SOCIAL SECURITY ACCOUNT NUMBERS

As authorized by Executive Order 9397, the Office of the Comptroller of the Currency ("OCC") requests your Social Security Number to assist in the maintenance of accurate records in circumstances where other people may have the same names and birth dates. Your social security number may also be used by the OCC when it seeks information about you from other agencies or persons. Furnishing your social security number is voluntary. However, your failure to provide this information may result in the inability of the OCC to register you as a residential mortgage loan originator. A registration that is required under regulations implementing the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. Additionally, if the social security number or other information you provide concerning your registration is false, you may be subject to a fine or imprisonment under 18 U.S.C. § 1001.
MLO Completes Fingerprint Process

Pending Filings

**Attestation Requested Filings**
All unsubmitted MU4R filings initiated by an Institution with access to your record are listed below. Before the Institution can submit your MU4R filing, you must review it for accuracy and attest to the information contained within. Select **Edit** to view, edit, and attest to a filing for which the status is “Attestation Requested”. Filings displaying an “Submitted” or “Unsubmitted” status require no action by you.

<table>
<thead>
<tr>
<th>Available Actions</th>
<th>Filing ID</th>
<th>Form Type</th>
<th>Applicant Name</th>
<th>Created By</th>
<th>Creation Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>148812</td>
<td>MU4R</td>
<td>Mega Bank (369343)</td>
<td>MegaY</td>
<td>1/31/2011 10:49:05 PM</td>
<td>Attestation Requested</td>
</tr>
</tbody>
</table>

**My MU4R Filings**
If you have a MU4R filing created by you or your employer that has not been submitted, it is listed below. You may have only one pending filing at a time. Click **Edit** to complete and submit the filing. Select **Delete** to delete a pending filing without submitting the information to NMLS. Click **Create New Filing** to create your first MU4R filing or make amendments to a previously submitted MU4R if no pending filings are listed below.

NOTE: Each time you submit a filing it is stored as your current record and will be the source of information for the next filing. Please consult your employer before completing and submitting any information to NMLS.

There is no pending filing.

Create New Filing
MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

Other Names

Mike Rapp Confirm (405391) MU4R filing created 1/31/2011 by Mega Y - Mega Bank.

Other than your legal name, list all name(s) you are using or have used since the age of 18. Examples include nicknames, aliases, and names used before or after marriage.

No Record found.

Add

Previous Next
MLO Completes Fingerprint Process

Employment Records

Mike Rapp Confirm (405391) MU4R filing created 1/31/2011 by MegaY - Mega Bank.

You must provide information for any financial services-related employment you have held over the past ten years. To provide information regarding a current job, click Add Current. To provide information regarding a previous job, click Add Prior.

Pending Employment Actions

Current employment records associated with an Institution in NMILS with pending actions are listed below. Click to edit or delete the record or click to undo the pending action.

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Employer Name</th>
<th>NMLS ID</th>
<th>Status</th>
<th>Work Location</th>
<th>Pending Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/2010</td>
<td>Present</td>
<td>Mega Bank</td>
<td>389343</td>
<td></td>
<td></td>
<td>Add</td>
</tr>
</tbody>
</table>

Employment History

Employment records created previously or that are not associated with an Institution in NMILS are listed below. Click to edit, delete, withdraw or terminate the record, as applicable. Click to view a record not available for editing.

There are no existing employment records.
MLO Completes Fingerprint Process

Employment Record

Mike Rapp Confirm (495391) MU4R filing created 1/31/2011 by MegaY - Mega Bank.

The following completeness check issues exist on this page:
- The employment address is required for current employments. Street, city, postal code and country must be provided.

If you are creating a new employment record, access to your NMLS record will be granted to the employer listed below upon submission. Once access is granted, your employer will be able to view your criminal background check results.

Employer NMLS ID: 389343
Employer (company name): Mega Bank
From: 1/1/2011
Is this your current employer?
Status:
Work Location
Address: 123 Main Street
City: Pensacola
State: Maryland
Country / Province: United States
Postal Code: 20550
Is the employment financial services-related? Yes No

Save Delete Cancel
MLO Completes Fingerprint Process

Current Residence

Mike Rapp Confirm (495391) MU4R filing created 1/31/2011 by MegaY - Mega Bank.

The following completeness check issues exist on this page:
- The current residence address is required. Street, city, postal code and country must be provided.

Provide the street address for your current primary residence below:

- **Street Address:**
- **City:**
- **State:**
- **Country / Province:**
- **Postal Code:**

Save

Previous

Next
### Disclosure Questions

Mike Rapp Confirm (405391) MU4R filing created 1/31/2011 by MegaY - Mega Bank.

The following completeness check issues exist on this page:
- All disclosure questions must be answered yes or no.

#### Criminal Disclosure

- [A] Have you ever been convicted of or pleaded guilty to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes
  - No

- [B] Based upon the activities that occurred while you exercised control over an organization, has any such organization ever been convicted of or pleaded guilty to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes
  - No

#### Civil Judicial Disclosure

- [C] Has any domestic or foreign court ever:
  1. enjoined you, or taken other action against you, in connection with any financial services-related activity?
  - Yes
  - No
  2. found that you were involved in a violation of any financial services-related statute(s) or regulation(s)?
  - Yes
  - No
  3. dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against you by a State, federal, or foreign financial regulatory authority?
  - Yes
  - No

#### Regulatory Action

- [D] Has any State or federal regulatory agency or foreign financial regulatory authority ever:
  1. found you to have made a false statement or omission or been dishonest, unfair or unethical?
  - Yes
  - No
  2. found you to have been involved in a violation of a financial services-related business regulation(s) or statute(s)?
  - Yes
  - No
  3. found you to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?
  - Yes
  - No
  4. entered an order against you in connection with a financial services-related activity?
  - Yes
  - No
  5. denied, suspended or revoked your registration or license to engage in a financial services-related activity, disciplined you, or otherwise by order, prevented you from associating with a financial services-related business or restricted your activities?
  - Yes
  - No
  6. barred you from association with an entity or its officers regulated by such agency or foreign financial regulatory authority or from engaging in a financial services-related business?
  - Yes
  - No
  7. issued a final order against you based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?
  - Yes
  - No

#### Customer Arbitration/Civil Litigation Disclosure

- [E] Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?
  - Yes
  - No

- [F] Have you ever been named as a respondent/defendant in a financial services-related consumer-initiated arbitration or civil litigation which:
  1. resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action; or
  - Yes
  - No
  2. was settled for any amount?
  - Yes
  - No

---

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Section 9-14
MLO Completes Fingerprint Process

Criminal Background Check

Mike Rapp Confirm (485391) MU4R filing created 1/31/2011 by MegaY - Mega Bank.

To request a federal criminal background check with this filing, you must mark the checkbox requesting a background check, confirm the method and provide demographic information below. If a previous request is still pending, a criminal background check cannot be requested. You can access Composite View to view the status of previous requests.

☐ I am requesting a Federal Criminal Background Check.

Confirm background check method:

Submit New Prints

Demographics

The FBI requires the following information to be provided:

- Eye color: [ ] Brown
- Hair color: [ ] Brown
- Height: [ ] ft [ ] in
- Weight: [ ] lbs
- Race: [ ] White (includes Mexican and Latino)

Date of Birth is included with the demographic information provided to the FBI and can be verified against your record in Composite View.

Save
MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

Institution receives notification, then submits filing and pays for fees.

From: NMLS_NotificationsQC@statemortgageregistry.com
To: Bradley Yette
Cc: 
Subject: Attestation has been completed by Mike Confirm (405391)

Mike Confirm (405391) has attested to their MU4R with Filing ID 148812 for Mega Bank (389343).

THIS COMMUNICATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND CONTAINS OR MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL, OR EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. If the reader of this communication is not the intended recipient (or the employee or agent responsible for delivering to the intended recipient), you are hereby notified that any dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please disregard and delete this communication, and do not disseminate or retain any copy of this communication.
MLO Completes Fingerprint Process

The Institution receives another notification that fees were paid.

From: NMLS NotificationsQC@emailmortgageregistry.com
To: Bradley, Yvette
Cc: 
Subject: Your MU4R invoice has been successfully processed

Your MU4R invoice has been successfully processed.

Invoice Details:
Invoice ID: 89933
Invoice Created By: Yvette Mega corresponding to MegaY
Paid By: Yvette Mega corresponding to MegaY
Date: 2/1/2011

THIS COMMUNICATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND CONTAINS OR MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL OR EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS COMMUNICATION IS NOT THE INTENDED RECIPIENT (OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE INTENDED RECIPIENT), YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE DISREGARD AND DELETE THIS COMMUNICATION, AND DO NOT DISSEMINATE OR RETAIN ANY COPY OF THIS COMMUNICATION.
MLO Completes Fingerprint Process

MLO receives notification that an MU4R has been processed.

From: NMLS_Notifications@statemortgageregistry.com
To: Bradle, Yvette
Cc: 
Subject: An MU4R filing was processed for you by NMLS

An MU4R filing has been processed for you by NMLS.

Filing Details:
Filing ID: 146912
Filing Date: 2/1/2011
Submitting Entity: Mega Bank (389343)

THIS COMMUNICATION IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED AND CONTAINS OR MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL OR EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS COMMUNICATION IS NOT THE INTENDED RECIPIENT (OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING TO THE INTENDED RECIPIENT), YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION, OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE DISREGARD AND DELETE THIS COMMUNICATION, AND DO NOT DISSEMINATE OR RETAIN ANY COPY OF THIS COMMUNICATION.
What communication does the MLO get to know the
MLO Completes Fingerprint Process

View - Home

Viewing Individual Records

This section allows you to view your own record, including historical filings, the status of your federal registration(s), and information regarding employment records linked to Institutions in NMLS.

To view your record, select View Individual above.
To amend your record, select the FILING tab above.
You are fully accountable for information contained in your record in NMLS each time you attest to a filing.
MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

Fieldprint

MMLS Fingerprint Scheduling

You must create a Fieldprint account before you can schedule an appointment. The account will be good for the collection of one set of fingerprints and will be deleted upon the successful submission of your fingerprints to the MMLS.

Note that you must have a valid, unexpired government-issued photo identification in order to continue scheduling your appointment.

Your MMLS Resource Center log-in information will not automatically transfer.

If at any point you experience an issue with this website, please contact customer service at 877-614-4361 for assistance.

New Users | Sign Up

If you are a new user, please register with Fieldprint in order to schedule your fingerprinting appointment. Begin the registration process by entering your e-mail address below:

Email address: 

Sign Up

Existing Users | Sign In

If you already have an account, please log in below to:

- Check your appointment status
- Re-schedule your appointment
- View and print your receipt

Email address: 
Password: 

Sign In

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MLO Completes Fingerprint Process
MLO Completes Fingerprint Process

Find a Fingerprinting Location

Please enter your home, work, or other convenient address below and click the Find button.

9513 Key West Avenue

Locations

Once an appointment is made, you may not make a change or cancel less than 24 hours before the appointment time without incurring a charge.

The following locations host Fieldprint fingerprinting units. Please click the Schedule Appointment button related to the desired location to begin scheduling your appointment or click Find to search for locations near a different address.

<table>
<thead>
<tr>
<th>Location Name</th>
<th>Distance</th>
<th>Hours of Operation</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>NMLS Test Site</td>
<td>0.2 mi</td>
<td>M,T,U,W,Th,Sa 07:00 AM - 07:00 PM</td>
<td>No Additional Fee</td>
</tr>
</tbody>
</table>

Schedule Appointment

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MLO Completes Fingerprint Process

Confirmation

Appointment # 201173 for Mike Confirm is scheduled for:

February 4, 2011 at 3:00 PM

You must print this appointment confirmation and bring it with you to your appointment.

Your appointment information will also be emailed to you for additional reference. If an email is not received within one hour, please contact Fieldprint at 877-614-4361.

Your Appointment Location

NMLS - Test Site
9009 Key West Ave.
Rockville, MD 20850-3551

Please note: Once an appointment is made, you may not make a change or cancel less than 24 hours before the appointment time without incurring a charge.

Please call us at 866-739-1067 to reschedule your fingerprint collection experience. We would appreciate feedback on your appointment and our site.

If you decide to reschedule your fingerprinting appointment in the future, please return to acceptance.fieldprint.com, sign in as an existing user, and click on the red Reschedule link to make a new appointment.

What identification to bring?

You must print this appointment confirmation and bring it with you to your appointment.

You must bring two forms of identification. At least one form has to be a picture ID from the Picture ID list below and the second has to be from the Secondary ID list.

Picture ID:
- State-issued drivers license
- State-issued non-driver identity
- U.S. passport
- Military Identification Card
- Passport to U.S. Passport
- Foreign Passport

Secondary ID:
- State-issued drivers license
- State-issued non-driver identity
- U.S. passport
- Military Identification Card
- Passport to U.S. Passport
- Birth Certificate
- U.S. Social Security
- Credit Card
- Marriage Certificate
- Vehicle Registration
- State Government Issued Certificate of Birth
- Foreign Passport
- Federal Government Personal Identify Verification
- Alien Certificate
- Certificate of Naturalization
- INS I-551 Resident Card
- INS I-688 Temporary Resident Identification Card

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MLO receives appointment confirmation.

Greetings Mike Confirm:

Your fingerprinting appointment has been scheduled for:
Appointment Date/Time: 02/04/2011 @ 3:00 PM Registration #: 201770

Appointment location:
NMLS - Test Site
9599 Key West Ave.
Rockville, MD 20850

Please be mindful of the following important items:
- You must present two forms of identification (one must be government issued and contain a photo).
- You will not be required to provide any paperwork or forms to the fingerprint technician.
- Prior to arriving for your appointment, please remove all jewelry (rings and bracelets) from your hands and wrists. Please be advised that Fieldprint is not responsible for your personal belongings.
- You will not be required to make any payment for your appointment.

Please print this email and bring it with you to your fingerprinting appointment so that you may refer to it as needed. To complete the fingerprint process, please call our Fieldprint Post-Collection Survey line at 888-799-1067 to rate your fingerprint collection experience. We would appreciate feedback on your appointment and our site. Please feel free to call us at any time if you have any questions or difficulty at the collection site. Please also note that you may not make a change or cancel your appointment less than 24 hours before the appointment time without incurring a charge.

Thank you for your cooperation.
Fieldprint Services Team
877-614-4361

This e-mail, including attachments, may include confidential and/or proprietary information, and may be used only by the person or entity to which it is addressed. If the reader of this e-mail is not the intended recipient or his or her authorized agent, the reader is hereby notified that any dissemination, distribution or copying of this e-mail is prohibited. If you have received this e-mail in error, please notify the sender by replying to this message and delete this e-mail immediately.

SECURITY WARNING: Sending e-mail that contains private personal information poses a security and privacy risk and we request that you not do so.
Nationwide Mortgage Licensing System & Registry

Submit MU4R
Pay Fees
Request Prints
Submit MU4R and Pay Fees

Welcome to the Nationwide Mortgage Licensing System & Registry!

The Nationwide Mortgage Licensing System & Registry (NMLS) allows for the creation and maintenance of a single record (Form MU4R) for your institution. Your institution also can create and submit mortgage loan originator (MLO) filings (Form MU4R) and manage employment records for MLOs associated with your institution.

Below please find a list of actions available by tab. Available actions/tabs vary based on user roles assigned.

FILING
Choose this tab to complete, amend and/or submit MU4R filings for your institution or any Federal MLO Registration filings (Form MU4R) for MLOs associated to your institution. You also can view a list of MLO records your institution has access to.

TASKS
Choose this tab to perform an MLO Batch Upload, view previous MLO Batch Upload files, including information regarding their disposition, or manage Employment Records. Users with the Financial Admin role should choose this tab to access and pay outstanding invoices for MU4R fees.

COMPOSITE VIEW
Choose this tab to view your institution record or the record of any MLO associated with your institution.

ADMIN
Choose this tab to perform administrative functions for your institution’s system users (e.g., resetting passwords, managing user roles and assigning system notifications).

REPORTS
Choose this tab to request available reports.

On this page...
- Select My Account above to change your NMLS user settings.
- Select Invoice above to view failed invoices or view payment history.

Access the Federal Registration page of the NMLS Resource Center for information regarding the registration process that can assist you in using NMLS to create and maintain institution and MLO records to meet federal registration requirements.

NOTE: NMLS is the system of record for all information contained within it. Any actions you take on NMLS are governed by the User Agreement and your legal obligations to the regulatory agencies participating in NMLS.
Submit MU4R and Pay Fees

Form Filing Home

This section of NMLS allows you to complete, amend and/or submit your Institution's record (Form MU4R) and mortgage loan originator (MLO) records (Form MU4R). Below is a list of actions available by sub-menu. Available actions/sub-menu items vary based on user roles assigned.

MU4R
Select this link above to complete, amend and/or submit a filing of your institution's record.

MLOR
Select this link above to complete, amend and/or submit a filing of an MLO record.

Institution Access
Select this link above to view a list of MLO records your institution has access to.

PRIVACY ACT STATEMENT: The information you provide will be used to register you as a residential mortgage loan originator employed by an institution regulated by the Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the National Credit Union Administration or the Farm Credit Administration (the "Agencies"). In order to do this, we may disclose your information consistent with the routine uses listed in the respective Privacy Act Notices for the BOGFRS, FDIC, OTS, NCUA, and FCA, including for enforcement, statutory and regulatory purposes; to another federal agency or Reserve Bank; to a Member of Congress; to the Department of Justice; a court, an adjudicative body or administrative tribunal; or a party in litigation; to Federal, state and local and professional licensing boards; to contractors, agents, and others; and where security or confidentiality has been compromised. Specified information may also be shared with members of the public, other banking regulatory agencies, the National Mortgage Licensing System and Registry call center, the Financial Institution Regulatory Authority, state credit union regulators and state mortgage regulators. We are authorized to collect your information by the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5105. In accordance with Executive Order 9397, the Agencies collect your Social Security Number to ensure that their records are accurate because other people may have the same name and birth date. In addition, the Agencies use your Social Security Number when we make requests for information about you from law enforcement. Furnishing the information requested is voluntary; however, your failure to provide any of the information requested may result in the Agencies' inability to register you as a residential mortgage loan originator. You may be subject to a fine or imprisonment under 18 U.S.C § 1001 for any false statements you make in connection with any information you provide concerning your registration.

OFFICE OF THE COMPTROLLER OF THE CURRENCY STATEMENT REGARDING SOLICITATION OF SOCIAL SECURITY ACCOUNT NUMBERS

As authorized by Executive Order 9397, the Office of the Comptroller of the Currency ("OCC") requests your Social Security Number to assist in the maintenance of accurate records in circumstances where other people may have the same names and birth dates. Your social security number may also be used by the OCC when it seeks information about you from other agencies or persons. Furnishing your social security number is voluntary. However, your failure to provide this information may result in the inability of the OCC to register you as a residential mortgage loan originator. a registration that is required under regulations implementing the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5105. Additionally, if the social security number or other information you provide concerning your registration is false, you may be subject to a fine or imprisonment under 18 U.S.C. § 1001.
Submit MU4R and Pay Fees

Pending Filings - MU4R

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each MLO filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

Available Actions | Filing ID | Creation Date | Created By | Applicant Name | Status | Group Name
--- | --- | --- | --- | --- | --- | ---
[ ] | 148819 | 1/31/2011 10:49:09 PM | MegaY | Terminete, Jim (405396) | Unsubmitted | Term
[ ] | 148817 | 1/31/2011 10:49:06 PM | MegaY | Reject, Daniel (405956) | Unsubmitted | Reject
[ ] | 148816 | 1/31/2011 10:49:07 PM | MegaY | Reject, Tim Rapp (405395) | Unsubmitted | Reject
[ ] | 148812 | 1/31/2011 10:49:05 PM | MegaY | Confirm, Mike Rapp (405391) | Attested | Confirm
[ ] | 148811 | 1/31/2011 10:49:02 PM | MegaY | Confirm, Joe Auto (405390) | Unsubmitted | Confirm

Create New Filing
Submit MU4R and Pay Fees

Filing opens in a separate window.

Identifying Information

Individual's Identifying Information.
- Full Name: Mia Rome Conlin
- Gender: Male
- State of Birth: Montana
- Country / Province of Birth: United States

Do you want to amend your legal name?
- [ ] Check here to signify a name change:
  - Last Name:
  - First Name:
  - Full Middle Name:
  - Suffix:

Business phone, home phone, cell, fax and email address:
- Business Phone: 555-555-5555
- Home Phone: 555-555-5555
- Cell Phone:
- Fax Line:
- Email Address: patte.bradle@ftwa.org

Other Names

No Record found.

Employment History

Item 1 of 1:
- Employer NMLS ID: 399343
- From: 11/01/2010
- To:
- Employer (company name): Mega Bank
- Address: 333 Main Street
- City: Rockville
- State: Maryland
- Country / Province: United States
- Postal Code: 20850
- Is the employment financial services-related? True

Current Residence

- Street Address: 555 Home Street
- City: Rockville
- State: Maryland
- Country / Province: United States
- Postal Code: 20850
Submit MU4R and Pay Fees

Pending Filings - MU4R

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icons under Available Actions to take action on each MLO filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

Filtering Options

<table>
<thead>
<tr>
<th>Available Actions</th>
<th>Filing ID</th>
<th>Creation Date</th>
<th>Created By</th>
<th>Applicant Name</th>
<th>Status</th>
<th>Group Name</th>
</tr>
</thead>
</table>

Create New Filing
Submit MU4R and Pay Fees

Completeness Check

One Auto Confirm (30120) MU4R filing created 1/27/2011 by BinghamR.

WARNING: You should not submit any information through NMLS until you receive authorization from your employer to make the submission. Any institution identified as a new current employer in this filing will be granted access to your NMLS record, including criminal background check results, upon submission of this filing.

All completeness checks pass for this filing.

<table>
<thead>
<tr>
<th>Subject</th>
<th>Fee Type</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal MLO Registration</td>
<td>NMLS Processing Fee</td>
<td>$6.00</td>
</tr>
<tr>
<td></td>
<td>Federal MLO Registration</td>
<td></td>
</tr>
<tr>
<td>Criminal Background Check (Conf, One Auto)</td>
<td>CBC Processing Fee</td>
<td>$3.90</td>
</tr>
<tr>
<td></td>
<td>Federal Criminal Background Check</td>
<td></td>
</tr>
<tr>
<td><strong>Total Charges</strong></td>
<td></td>
<td><strong>$9.90</strong></td>
</tr>
</tbody>
</table>

I, Ryan Bingham of Road Warrior Mortgage Company (Federal agency-regulated institution), on this date Sunday, January 30, 2011, certify that I executed this form on behalf, and with the authority, of said Federal agency-regulated institution and that:

1. The information on whether One Auto Confirm is no longer employed by said Federal agency-regulated institution listed above is current, true, accurate and complete as of Sunday, January 30, 2011.
2. I understand that any misrepresentation or omission of a material fact may subject me to legal sanctions provided by 18 USC 1601 and may be grounds for other administrative and/or criminal action against me and/or the Federal agency-regulated institution.
3. Said Federal agency-regulated institution will notify the Registry of the date the Registrant ceases employment with the said Federal agency-regulated institution listed above, pursuant to applicable law.

☐ I certify that I am the named person above and that I agree to the above.
Submit MU4R and Pay Fees

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each MU4R filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

<table>
<thead>
<tr>
<th>Available Actions</th>
<th>Filing ID</th>
<th>Creation Date</th>
<th>Created By</th>
<th>Applicant Name</th>
<th>Status</th>
<th>Group Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>74434</td>
<td>1/27/2011 10:53:27 PM</td>
<td>BinghamR</td>
<td>Terminate, Two (30126)</td>
<td>Unsubmitted</td>
<td>Term</td>
</tr>
<tr>
<td>X</td>
<td>74492</td>
<td>1/27/2011 10:53:27 PM</td>
<td>BinghamR</td>
<td>Reject, Two (30126)</td>
<td>Unsubmitted</td>
<td>Null</td>
</tr>
<tr>
<td>X</td>
<td>74493</td>
<td>1/27/2011 10:53:27 PM</td>
<td>BinghamR</td>
<td>Terminate, One Rapp (39127)</td>
<td>Unsubmitted</td>
<td>Term</td>
</tr>
<tr>
<td>X</td>
<td>74491</td>
<td>1/27/2011 10:53:26 PM</td>
<td>BinghamR</td>
<td>Reject, One Rapp (30125)</td>
<td>Unsubmitted</td>
<td>Reject</td>
</tr>
<tr>
<td></td>
<td>74486</td>
<td>1/27/2011 10:53:25 PM</td>
<td>BinghamR</td>
<td>Confirm, One Auto (30120)</td>
<td>Submitted</td>
<td>Confirm</td>
</tr>
<tr>
<td></td>
<td>74487</td>
<td>1/27/2011 10:53:25 PM</td>
<td>BinghamR</td>
<td>Confirm, Two Rapp (36121)</td>
<td>Unsubmitted</td>
<td>Confirm</td>
</tr>
</tbody>
</table>
Submit MU4R and Pay Fees
Submit MU4R and Pay Fees

<table>
<thead>
<tr>
<th>Individual</th>
<th>Subject</th>
<th>Charge Name</th>
<th>Amount</th>
<th>Filing ID</th>
<th>Processed On</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confirm, One Auto</td>
<td>Federal MLO Registration</td>
<td>NMLS Processing Fee</td>
<td>$6.00</td>
<td>74486</td>
<td>1/30/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Federal MLO Registration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Confirm, One Auto</td>
<td>Criminal Background Check</td>
<td>OBC Processing Fee</td>
<td>$3.96</td>
<td>74486</td>
<td>1/30/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Federal Criminal Background Check</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td></td>
<td>Total Charges</td>
<td>$9.96</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Submit MU4R and Pay Fees
Submit MU4R and Pay Fees

One Time Payment

Payment Confirmation

Thank you, your payment was successfully processed. Payment details are below. Please print a copy for your records.

Pay to the order of: Nationwide Mortgage Licensing System & Registry

User Id: BinghamR
Payment Method: Credit Card
Payment Date: 01/30/2011
Amount: $9.90

Your Payment Confirmation Number is: V14A9F5ZFD187

Print this page for your records. Your bank or credit card statement will read "Mortgage License or Registration - NMLS" for this transaction. To view full invoice details, access the Invoice option from your Home tab and enter the Payment Confirmation Number provided above as your search criteria.

Print Finish
Submit MU4R and Pay Fees
Submit MU4R and Pay Fees

Unpaid MU4R Invoices

The list below displays all institution users that have unpaid MU4R invoices. Click the hyperlink on the User Name to access the invoice.

Oldest Unpaid

<table>
<thead>
<tr>
<th>User Name</th>
<th>Full Name</th>
<th># of Filings</th>
<th>Fee Dated</th>
<th>Total Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bingham</td>
<td>Ryan Bingham</td>
<td>3</td>
<td>1/30/2011</td>
<td>$29.70</td>
</tr>
</tbody>
</table>

© 2011 SRR, LLC
Submit MU4R and Pay Fees

### Unpaid MU4R Invoices

The list below displays all institution users that have unpaid MU4R invoices. Click the hyperlink on the User Name to access the Invoice.

<table>
<thead>
<tr>
<th>User Name</th>
<th>Full Name</th>
<th># of Filings</th>
<th>Oldest Unpaid Fee Dated</th>
<th>Total Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>BrighamR</td>
<td>Ryan Brigham</td>
<td>3</td>
<td>1/10/2011</td>
<td>$23.70</td>
</tr>
</tbody>
</table>
Submit MU4R and Pay Fees

<table>
<thead>
<tr>
<th>Individual</th>
<th>Subject</th>
<th>Charge Name</th>
<th>Amount</th>
<th>Filing ID</th>
<th>Processed On</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reject, One Rapp (39125)</td>
<td>Federal MLO Registration</td>
<td>NNLS Processing Fee</td>
<td>$6.00</td>
<td>74491</td>
<td>1/31/2011</td>
</tr>
<tr>
<td>Reject, One Rapp (39125)</td>
<td>Criminal Background Check (Reject, One Rapp)</td>
<td>CBC Processing Fee</td>
<td>$3.90</td>
<td>74491</td>
<td>1/31/2011</td>
</tr>
<tr>
<td>Reject, Two (30126)</td>
<td>Federal MLO Registration</td>
<td>NNLS Processing Fee</td>
<td>$6.00</td>
<td>74492</td>
<td>1/31/2011</td>
</tr>
<tr>
<td>Reject, Two (30126)</td>
<td>Criminal Background Check (Reject, Two)</td>
<td>CBC Processing Fee</td>
<td>$3.90</td>
<td>74492</td>
<td>1/31/2011</td>
</tr>
<tr>
<td>Terminate, One Rapp (30127)</td>
<td>Federal MLO Registration</td>
<td>NNLS Processing Fee</td>
<td>$6.00</td>
<td>74493</td>
<td>1/31/2011</td>
</tr>
<tr>
<td>Terminate, One Rapp (30127)</td>
<td>Criminal Background Check (Terminate, One Rapp)</td>
<td>CBC Processing Fee</td>
<td>$3.90</td>
<td>74493</td>
<td>1/31/2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Total Charges</td>
<td>$29.70</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Submit MU4R and Pay Fees

One Time Payment

PAYMENT TERMS AND CONDITIONS

Thank you for using the Nationwide Mortgage Licensing System & Registry (NMLS) for your mortgage licensing or registration needs. Licensing and registration payment services on this web site are provided by the State Regulatory Registry LLC ("SRR"), and are subject to these payment terms and conditions (these "Payment Terms"). To the extent that you use the Payment Site, these Payment Terms supplement, and are incorporated into, the user agreement (Agreement Agreement or Agency Agreement) applicable to you for your use of NMLS. It is important that you read carefully and understand these Payment Terms. You must agree to these Payment Terms prior to using the Payment Site to make payments to register for SAFE Mortgage Loan Originator Test Components, to apply for, amend or renew a license or registration, or for subscription fees. If you do not agree to these Payment Terms, please do not check "I agree" and do not use the Payment Site to make any payments. We reserve the right at any time to change these Payment Terms. Any changes we make will be effective immediately.

No Refunds or Changes. All fees paid through NMLS are non-refundable, non-changeable and non-transferable.

Making Payments. The Payment Site is solely provided to allow you and other users to make payments to register for SAFE Mortgage Loan Originator Test Components, to apply for, amend or renew a license or registration for personal use or for use by others for whom you are legally authorized to act, or for subscription fees, and for no other purpose.

You agree that the total amount of your invoice will be charged to the credit card or bank account number that you supply to us. The total amount that you must pay to us will be disclosed to you prior to payment. You are responsible for all applicable taxes. You are responsible for any fees or charges incurred to access the Payment Site through an Internet access provider or otherwise.

Disputes.

Any disputes regarding NMLS Processing, Subscription, Test Enrollment, CBC Processing and Credit Report Processing fees must be resolved directly with the SRR Dispute Resolution Representative at Accounting@ccbs.org.

Any disputes regarding State fees, including application, licensing and amendment fees, must be resolved between you and the regulatory agency(ies) that grant(s) the license(s).

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Submit MU4R and Pay Fees
Submit MU4R and Pay Fees

Pending Filings - MU4R

Below is a list of unsubmitted MU4R filings your institution has created. Click the applicable icon under Available Actions to take action on each MLD filing. Payment is not submitted with each filing. A user with the appropriate role must submit payment.

Total Fees: 0.00

Create New Filing
Submit MU4R and Pay Fees

The institution receives payment notification.

From: NMLS_NotificationsQC@statemortgageregistry.com
To: Brade, Yvette
Cc: 
Subject: Your MU4R invoice has been successfully processed

Your MU4R invoice has been successfully processed.

Invoice Details:
Invoice ID: 88933
Invoice Created By: Yvette Mega corresponding to MegaY
Paid By: Yvette Mega corresponding to MegaY
Date: 2/1/2011

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________________________________________

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Nationwide Mortgage Licensing System & Registry

MLO Completes MU4R and Pays
Log in as MLO and complete Attestation

Logging In:
- Your user name and password were sent to you from NMLS_NotificationsTraining@statemortgageregistry.com when your user account was created.
- If you are not able to locate your user name and password and you are a company/institution or regulator/agency user, contact your organization’s account administrator.
- If you are an individual user and need assistance, contact the NMLS Entitlement Group at (240) 386-4444.
MLO Completes MU4R and Pays
MLO Completes MU4R and Pays
MLO Completes MU4R and Pays
Welcome to the Nationwide Mortgage Licensing System & Registry!

The Nationwide Mortgage Licensing System & Registry (NMLS) creates a single record (MU4R) for each MLO required to submit information to obtain a Federal MLO Registration.

FILING
Choose this tab if you would like to:
- Complete your record,
- Amend your record,
- Affidavit to your record,
- Grant or remove access to your record,
- Submit a filing of your record, or
- Terminate an employment record.

COMPOSITE VIEW
Choose this tab to view your complete record, including your Federal MLO Registration status and/or employment record.

On this page...
- Select My Account above to change your NMLS user settings,
- Select invoice above to pay outstanding invoices or view payment history.

Access the Filing page of the NMLS Resource Center for information regarding the registration process that can assist you in using NMLS to create and maintain your individual record to meet Federal MLO Registration requirements.

NOTE: An MLO record (Form MU4R) can be completed by an authorized representative from an institution with access to your record. In all cases, you must personally attest to the accuracy of your record before it can be submitted. Any actions you take on NMLS are governed by the User Agreement and your legal obligations to the regulatory agencies participating in NMLS.
Form Filing Home

This section of NMLS allows you to complete, amend and/or submit your record (Form MU4R) to comply with Federal MLO Registration requirements. Below is a list of actions available by sub-menu item.

MU4R
Select this link above to complete or amend your record, submit a filing, or add to your record for a filing to be submitted on your behalf.

Institution Access
Select this link above to grant an institution access to your record, terminate an institution’s access to your record, or view a list of institutions that currently have access to your record.

PRIVACY ACT STATEMENT: The information you provide will be used to register you as a residential mortgage loan originator employed by an institution regulated by the Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the National Credit Union Administration or the Farm Credit Administration (the “Agencies”). In order to do this, we may disclose your information consistent with the routine uses listed in the respective Privacy Act Notices for the FDIC, FRB, OTS, NCUA, and FSLIC, as well as to federal agencies or Reserve Bank, to a Member of Congress, to the Department of Justice, an administrative tribunal, or a party in litigation. If information is shared with members of the public, other banking regulatory agencies, the National Mortgage Licensing System and Registry call center, the Financial Institution Regulatory Authority, state credit union regulators and state mortgage regulators. We are authorized to collect your information by the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. In accordance with Executive Order 9397, the Agencies collect your Social Security Number to ensure that their records are accurate because other people may have the same name and birthdate. In addition, the Agencies use your Social Security Number when we make requests for information about you from law enforcement. Furnishing the information requested is voluntary; however, your failure to provide any of the information requested may result in the Agencies’ inability to register you as a residential mortgage loan originator. You may be subject to a fine or imprisonment under 18 U.S.C. § 1001 for any false statements you make in connection with any information you provide concerning a registration.

OFFICE OF THE COMPTROLLER OF THE CURRENCY: STATEMENT REGARDING SOLICITATION OF SOCIAL SECURITY ACCOUNT NUMBERS

As authorized by Executive Order 9397, the Office of the Comptroller of the Currency (“OCC”) requests your Social Security Number to assist in the maintenance of accurate records in circumstances where other people may have the same names and birthdates. Your social security number may also be used by the OCC when it indicates information about you from other agencies or persons. Furnishing your social security number is voluntary. However, your failure to provide this information may result in the inability of the OCC to register you as a residential mortgage loan originator, a registration that is required under regulations implementing the Secure and Fair Enforcement for Mortgage Licensing Act of 2008, 12 U.S.C. § 5106. Additionally, if the social security number or other information you provide concerning your registration is false, you may be subject to a fine or imprisonment under 18 U.S.C. § 1001.
MLO Completes MU4R and Pays

Pending Filings

Attestation Requested Filings
All unsubmitted MU4R filings initiated by an institution with access to your record are listed below. Before the Institution can submit your MU4R filing, you must review it for accuracy and attest to the information contained within. Select to view, edit, and attest to a filing for which the status is “Attestation Requested”. Filings displaying an “Attested” or “Unsubmitted” status require no action by you.

There are no filings requiring attestation.

My MU4R Filings
If you have an MU4R filing created by you or your employer that has not been submitted, it is listed below. You may have only one pending filing at a time. Click to complete and submit the filing. Select to delete a pending filing without submitting the information to IMLS. Click Create New Filing to create your first MU4R filing or make amendments to a previously submitted MU4R if no pending filings are listed below.

NOTE: Each time you submit a filing it is stored as your current record and will be the source of information for the next filing. Please consult your employer before completing and submitting any information to IMLS.

<table>
<thead>
<tr>
<th>Available Actions</th>
<th>Filing ID</th>
<th>Creation Date</th>
<th>Created By</th>
<th>Applicant Name</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>74489</td>
<td>1/27/2011 10:53:26 PM</td>
<td>BighamR</td>
<td>Confim, Four Rapp (36123)</td>
<td>Unsubmitted</td>
</tr>
</tbody>
</table>
MLO Completes MU4R and Pays

![MU4R and Other Names](image-url)

Other Names

Four Rapp Confirm (30123) MU4R filing created 1/27/2011 by BinghamR.

Other than your legal name, list all name(s) you are using or have used since the age of 18. Examples include nicknames, aliases, and names used before or after marriage.

No Record found.

Next

Previous

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MLO Completes MU4R and Pays
MLO Completes MU4R and Pays
Employment Record

Four Rapp Confirm (30123) MU4R filing created 1/27/2011 by BinghamR.

If you are creating a new employment record, access to your NMLS record will be granted to the employer listed below upon submission. Once access is granted, your employer will be able to view your criminal background check results.

Employer NMLS ID: 29706
Employer (company name): RateSetter Mortgage Company
From: 1/2/2011
Start Date (MM/DD/YYYY)

Status:
Work Location
Address: 22 Main Street
City: Rosedale
State: Maryland
Country / Province: United States
Postal Code: 21231

Is the employment financial services related? Yes ☐ No ☐

Save Delete Cancel
MLO Completes MU4R and Pays
MLO Completes MU4R and Pays

 Disclosure Questions

<table>
<thead>
<tr>
<th>Four Rapp Confirm (30123) MU4R filing created 1/27/2011 by BinghamR.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Charges: $6.00</td>
</tr>
</tbody>
</table>

**Criminal Disclosure**

- Have you ever been convicted of or pled guilty or no contest "(no contest)" in a domestic, foreign, or military court to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes
  - No

- Based upon the activity that occurred while you exercised control over an organization, has any such organization ever been convicted of or pled guilty or no contest "(no contest)" in a domestic, foreign, or military court to any criminal offense involving dishonesty, breach of trust, or money laundering or agreed to enter into a pretrial diversion or similar program in connection with the prosecution of such offense(s)?
  - Yes
  - No

**Civil Judicial Disclosure**

- Has any domestic or foreign court ever:
  1. Enjoined you, or taken other action against you, in connection with any financial services-related activity?
  - Yes
  - No
  2. Found that you were involved in a violation of any financial services-related statute(s) or regulation(s)?
  - Yes
  - No
  3. Dismissed, pursuant to a settlement agreement, a financial services-related civil action brought against you by a State, federal, or foreign financial regulatory authority?
  - Yes
  - No

**Regulatory Action**

- Has any State or federal regulatory agency or foreign financial regulatory authority ever:
  1. Found you to have made a false statement or omission or been dishonest, unfair, or unethical?
  - Yes
  - No
  2. Found you to have been involved in a violation of a financial services-related business regulation(s) or statute(s)?
  - Yes
  - No
  3. Found you to have been a cause of a financial services-related business having its authorization to do business denied, suspended, revoked or restricted?
  - Yes
  - No
  4. Entered an order against you in connection with a financial services-related activity?
  - Yes
  - No
  5. Denied, suspended or revoked your registration or license to engage in a financial services-related activity, disciplined you, or otherwise by order, prevented you from associating with a financial services-related business or restricted your activities?
  - Yes
  - No
  6. Barred you from association with an entity or its officers regulated by such agency or foreign financial regulatory authority or from engaging in a financial services-related business?
  - Yes
  - No
  7. Issued a final order against you based on violations of any law or regulations that prohibit fraudulent, manipulative, or deceptive conduct?
  - Yes
  - No
  8. Have you ever had an authorization to act as an attorney, accountant, or State or federal contractor that was revoked or suspended?
  - Yes
  - No

**Customer Arbitration/Civil Litigation Disclosure**

- Have you ever been named as a respondent/defendant in a financial services-related consumer-initiated arbitration or civil litigation which:
  1. resulted in an arbitration award or civil judgment against you, regardless of amount, or that required corrective action; or
  - Yes
  - No
  2. was settled for any amount?
  - Yes
  - No

Previous   Next
Criminal Background Check

Four Rapp Confirm (30123) MU4R filing created 1/27/2011 by BinghamR.

To request a federal criminal background check with this filing, you must mark the checkbox requesting a background check, confirm the method and provide demographic information below. If a previous request is still pending, a criminal background check cannot be requested. You can access Composite View to view the status of previous requests.

- I am requesting a Federal Criminal Background Check.
  - Confirm background check method:
    - Submit New Prints

Demographics

- The FBI requires the following information to be provided:
  - Eye color: [ ] Brown
  - Hair color: [ ] Brown
  - Height: [ ] 6’0” [ ] 6’1” [ ] 6’2” in
  - Weight: 175 lbs
  - Race: [ ] White [ ] Hispanic [ ] Latino

Date of Birth is included with the demographic information provided to the FBI and can be verified against your record in Composite View.

Save

Previous

Next
MLO Completes MU4R and Pays
MLO Completes MU4R and Pays

One Time Payment
ALL NMLS SYSTEM PROCESSING FEES ARE NON-REFUNDABLE.

Invoice Details
Payment Amount: $9.90  Payment Date: 01/31/2011  User ID: ConfirmFR

Payment Type
Credit Card

Bank Account

Credit Card Information
Indicates a mandatory field where applicable.

Credit Card Type: MasterCard
Credit Card Number: 5555444
Credit Card Expiration: Month: 10  Year: 2011
Card Security ID Number: 123
Name on Credit Card: Yvette Brade
Billing Address: 123 Main Street
City: Rockville
State: MD
Zip Code: 20855

Save this payment information for future payments (Note: Information is saved for 12 months only)

WARNING: Once you click Confirm and Submit, your payment will be submitted. You will not have another chance to confirm payment.

Important note about browser compatibility
This site is only certified for the following web browsers: Internet Explorer version 5.0 and above, plus Mozilla Firefox 3 and above.

Cancel  Confirm and Submit
MLO Completes MU4R and Pays

One Time Payment

Payment Confirmation

Thank you, your payment was successfully processed. Payment details are below. Please print a copy for your records.

Pay to the order of Nationwide Mortgage Licensing System & Registry

User ID: ConfirmFR
Payment Method: Credit Card
Payment Date: 04/30/2011
Amount: 5.90

Your Payment Confirmation Number is V75A2E2BD995

Print this page for your records. Your bank or credit card statement will read "Mortgage License or Registration - NMLS" for this transaction. To view full invoice details, access the Invoice option from your Home tab and enter the Payment Confirmation Number provided above as your search criteria.

Print Finish
MLO Completes MU4R and Pays

Filing Submission

Thank you for your submission. Your filing is being processed. WAIT on this page to access your Criminal Background Check Certificate if you requested a Criminal Background Check with this filing.
MLO Completes MU4R and Pays
MLO Completes MU4R and Pays

### Invoice

- **User Name:** ConfirmT
- **Invoice Id:** 41576
- **Invoice Source:** Filing
- **Invoice Amount:** $3.90
- **Invoice Date:** 1/31/2011
- **Invoice Status:** Paid
- **Invoice Status Date:** 1/31/2011
- **Filing Id:** 74480

<table>
<thead>
<tr>
<th>Entity</th>
<th>Subject</th>
<th>Charge Name</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confirm, Theo (30132)</td>
<td>Criminal Background Check (Confirm, Theo)</td>
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View - Home

VIEWING INDIVIDUAL RECORDS

This section allows you to view your own record, including historical filings, the status of your federal registration(s), and information regarding employment records linked to institutions in NMLS.

To view your record, select View Individual above.
To amend your record, select the FILING tab above.
You are fully accountable for information contained in your record in NMLS each time you attest to a filing.

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Criminal Background Check Certificate

Full Legal Name: Three Confirm
NMLS ID: 30122
PIN: 3313
Expiration Date: 07/20/2011

You are required to have your fingerprints taken by an authorized NMLS Fingerprint Vendor. To schedule an appointment, you must provide the full legal name, NMLS ID and PIN reflected on this certificate. SCHEDULE YOUR APPOINTMENT NOW.

Criminal background check fees are non-transferable and non-refundable. If you fail to submit fingerprints prior to the expiration date, you must request and pay for a new criminal background check. For more information on the fingerprinting process, access the NMLS Resource Center.