Help Document

How to View Regulatory Action Details in NMLS

- 1. Log in to your account.
- 2. From the home page select the Composite View Tab (see *Figure 1*).

HOME	FILING	MLO TESTING & EDUCATION	TASKS	COMPOSITE VIEW	RENEWALS	ADMIN	REPORTS
Home User	Profile	<u>Invoice</u>					



3. Select the user type (View Company or View Individual) to view (see Figure 2).

	/iew Individual <u>View Company</u> View B	ranch
View - Home		
		8
COMPOSITE VIEW OF RECORDS IN THE NM	_\$	
	posite view of company, branch, and individual re torical Filings, Advance Change Notices, and any	cords for which you have authorized access. A record's composite view r license items associated with the record.
Click View Individual to access the composite	view for associated individuals.	
Click <mark>View Company t</mark> o access the composite	iew for your company.	
Click View Branch to access the composite vie	v for your branches.	
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Figure 2: Composite View Tab in NMLS

4. Select Regulatory Actions from the left side navigation panel (see *Figure 3*).



Figure 3: Regulatory Actions Page in the Left Navigation Panel

5. To view action details, select the Action ID link (see *Figure 4*). Details will open in a new window or tab.

S	State	Regulato	ry Ac	tions					HELP ?
	Mortga	ge State Cor	npany l	L (39431)					\$
	State Re	egulatory Actio	ns						
	Action ID	Docket Number	Posted By	Action Type	Multi-state Action ID	Privacy Level	Last Updated Date	Last Updated By	
1	<u>101325</u>	MSR-2	ID	Cease and Desist	М	Public	4/14/2015	SrrIDReg	

Figure 4: State Regulatory Actions – Details

6. Select the Type link to view associated Artifacts (see *Figure 5*).

State Regulatory Action D	etail HELP 🤪
	se e e e e e e e e e e e e e e e e e e
Action ID: 10	Last Updated Date: 04/14/2015
Privacy Level: Public	Last Updated By: StrlDReg
Posted By Regulator: ID	
Multi-state Action: Yes	
Multi-state Action ID: M	
Docket Number: MSR-	
Posted on Behalf of:	
Date of Action: 02/11/2009	
Action Type: Cease and Desist	
Description of Action:	
Fine/Penalty Amount:	
Restitution Amount:	
External Notes:	
Respondents	
Name and ID Entity	
Company LL () Comp	any
Artifacts	
Type Privacy Level Added Date	Added By Last Updated Date Last Updated By
2 Initial Order Public 4/9/2015	SrrlDReg 4/14/2015 SrrlDReg

Figure 5: State Regulatory Actions – Details

MS Help Document

How to View Regulatory Actions on NMLS Consumer Access

Follow the steps below to view regulatory actions marked as public on NMLS Consumer Access. For more details about what is found in NMLS Consumer Access, consult the <u>Information Viewable in NMLS Consumer</u> <u>Access</u> resource.

1. Navigate to <u>nmlsconsumeraccess.org</u> and search for the licensee. (see *Figure 6*).



Figure 6: NMLS Consumer Access Homepage

2. Check the box to agree to the website Terms and Conditions, enter the captcha code, and select the Continue button (see *Figure 7*).



Figure 7: Terms and Conditions and Captcha Security Page

3. Select the linked name from the available results (see *Figure 8*).



Figure 8: Search Results on NMLS Consumer Access

4. Scroll down to view the Regulatory Actions section of the record (see *Figure 11*). To view the details of each action, select the link provided in the Associated Documents column.

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		4 Dack	to Search Results				J Start New Sear
Î	S.A.W. Mortgage, LLC						
NMLS ID:	Street Address: Indianapolis, IN 4622 Mailing Address: Indianapolis, IN 4622	101-1100	Phone: Ph		Website: N Email: co	ot provided mpliance@	
Other Trac	de Names ? : None						
Prior Other Trac	de Names 🔃 : None						
Sponso	red MLOs ?: 2						
Fiscal Year End	12/31 Formed in: Indiana, United States	Date Formed: 2	09/25/2020	Stock Symbol: N	one Busir	ess Structure: Limited L	iability Company
Regulatory Acti	12/31 Formed in: Indiana, United States ans [7] : None posted in NMLS. Cations [7] No Branch Locations in NMLS	Date Formed: ?	09/25/2020	Stock Symbol: N	one Busir	iess Structure: Limited L	iability Company
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Figure 9: Company Record on NMLS Consumer Access that displays Regulatory Actions