

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*).

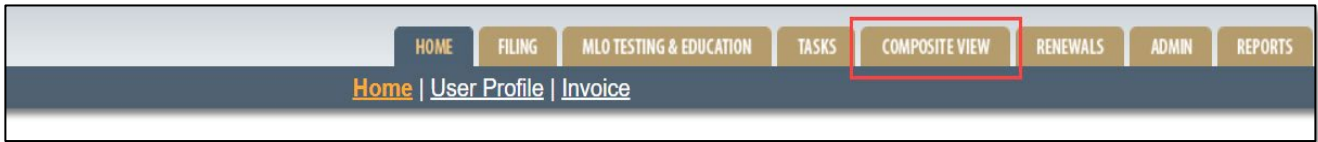


Figure 1: View of Tabs in NMLS

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

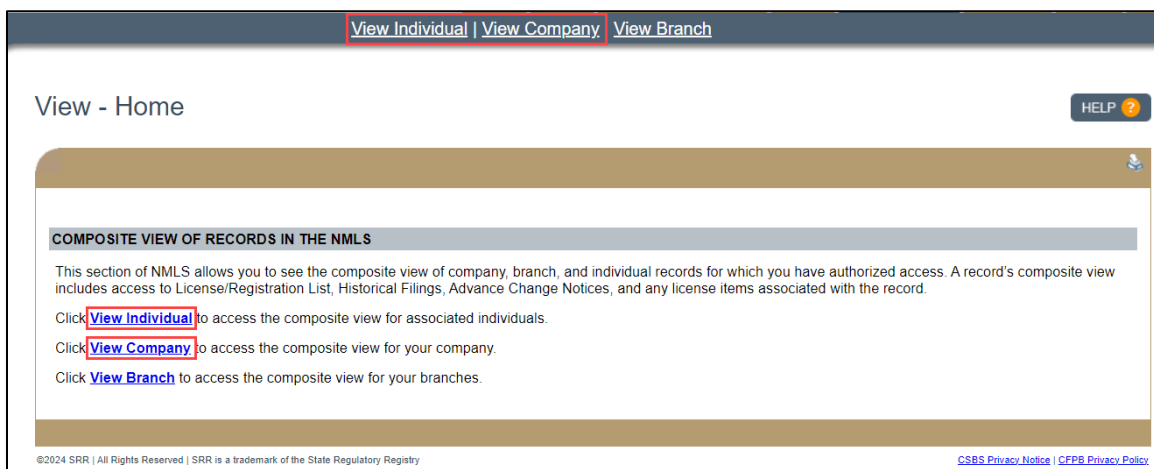


Figure 2: Composite View Tab in NMLS

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.

Action ID	Docket Number	Posted By	Action Type	Multi-state Action ID	Privacy Level	Last Updated Date	Last Updated By
101325	MSR-2-██████	ID	Cease and Desist	M-██████	Public	4/14/2015	SrIDReg

Figure 4: State Regulatory Actions – Details

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

Action ID: 101325 Last Updated Date: 04/14/2015
Privacy Level: Public Last Updated By: SrIDReg
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:

Type	Privacy Level	Added Date	Added By	Last Updated Date	Last Updated By
Initial Order	Public	4/9/2015	SrIDReg	4/14/2015	SrIDReg

Figure 5: State Regulatory Actions – Details

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 [Information Viewable in NMLS Consumer Access](#) resource.

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

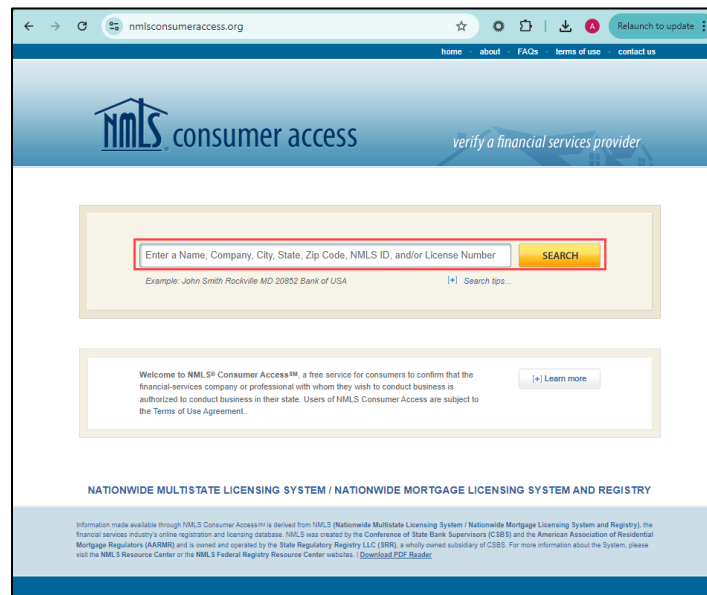


Figure 6: NMLS Consumer Access Homepage

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*).

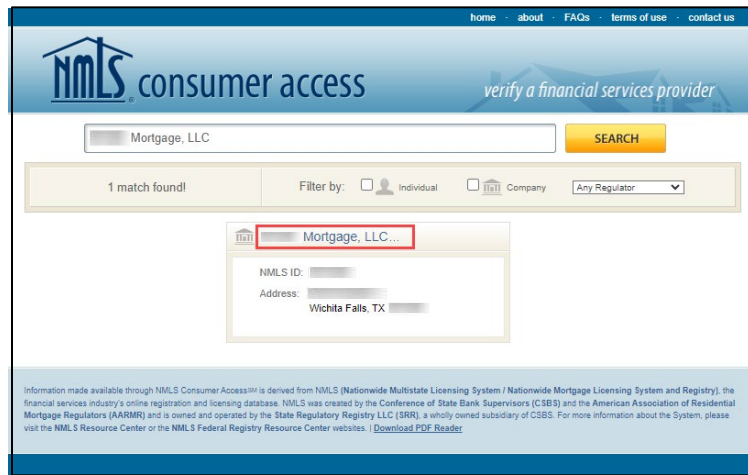


Figure 8: Search Results on NMLS Consumer Access

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.

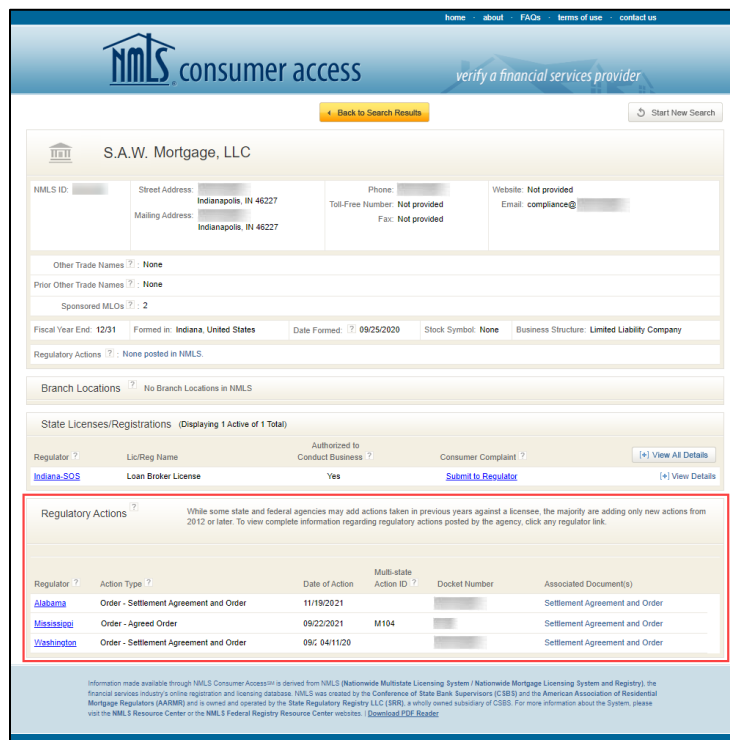


Figure 9: Company Record on NMLS Consumer Access that displays Regulatory Actions