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 | _\$ | |
| This section of NMLS allows you to see the con includes access to License/Registration List, Hi | 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 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. | |
| | | |
| | | |
| ©2024 SRR All Rights Reserved SRR is a trademark of the State Reg | latory Registry | CSBS Privacy Notice CFPB Privacy Po |

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.

| Γ | State | e F | Regulato | ry Ac | tions | | | | | HELP ? |
|---|-------------|-----------|------------------|--------------|------------------|--------------------------|---------------|----------------------|--------------------|--------|
| | Morte | gag | je State Con | npany L | L (39431) | | | | | & |
| | State | Re | gulatory Actio | ns | | | | | | |
| | Actio ID | n | Docket Number | Posted By | Action Type | Multi-state Action ID | Privacy Level | Last Updated Date | Last Updated By | |
| 1 | <u>1013</u> | <u>25</u> | MSR-2 | ID | Cease and Desist | Μ | 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 en la companya de |
| Action ID: 10 | Last Updated Date: 04/14/2015 |
| Privacy Level: Public | Last Updated By: SrrIDReg |
| 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 | Туре |
| 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 | SrrIDReg 4/14/2015 SrrIDReg |
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| | |

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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|--|--|--|---|---|---|---|--|
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| | S.A.W. Mortgage, LLC | | | | | | |
| NMLS ID: | Street Address: Indianapolis, IN 462 Mailing Address: Indianapolis, IN 462 | 27 Toll-Free | Phone: Number: Not prov Fax: Not prov | ided Ided | Website: Not p Email: comp | rovided liance@ | |
| Other Trac | le Names ? : None | | | | | | |
| Prior Other Trac | le Names 🖹 : None | | | | | | |
| Sponsor | ed MLOs 🖹 : 2 | | | | | | |
| | | | | | | | |
| Fiscal Year End | 12/31 Formed in: Indiana, United States | Date Formed: 2 | 09/25/2020 S | itock Symbol: No | Business | Structure: Limited Li | ability Company |
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Figure 9: Company Record on NMLS Consumer Access that displays Regulatory Actions