

Nonbank Registration Filing Instructions Guide (FIG)

Guidance on registering with the Nonbank Registry and
complying with the Nonbank Registration Regulation



Consumer Financial
Protection Bureau

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Paperwork Reduction Act

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and, notwithstanding any other provision of law, a person is not required to respond to a collection of information unless it displays a valid OMB control number. The OMB control number for this collection is 3170-0076. The obligation to respond to this collection of information is mandatory under Sections 1022(b) and (c) of the Dodd-Frank Act, 12 U.S.C. 5512, and Section 1024(b) of the Dodd-Frank Act, 12 U.S.C. 5514, as implemented by the Consumer Financial Protection Bureau's Regulation at 12 CFR part 1092. Comments regarding this collection of information, including suggestions for improving the usefulness of the information or suggestions for reducing the burden to respond to this collection, should be submitted to the Consumer Financial Protection Bureau (Attention: PRA Office), 1700 G Street NW, Washington, DC 20552, or by email to PRA@cfpb.gov.

Version Log

The CFPB updates this guide on a periodic basis. Below is a version log noting the history of this document.

Date	Version	Summary of Changes
August 2024	1.0	Original version
December 2024	2.0	Minor updates to screen flows in the order registration process. Miscellaneous administrative changes.

1. Introduction

The Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act) requires the CFPB to conduct certain market monitoring activities to fulfill the responsibilities imposed by the Act. In 2022, the CFPB proposed a rule to create a nonbank registry to assist the CFPB with market monitoring and supervision of certain nonbank covered persons.

The [Registry of Nonbank Covered Persons Subject to Certain Agency and Court Orders Final Rule \(NBR Orders Final Rule\)](#) was issued on June 3, 2024, requiring certain nonbank entities to register information about their company and certain agency or court orders, as well as submit copies of those orders, to the CFPB. The final rule, effective on September 16, 2024, provides that registration will begin as early as October 16, 2024.

The nonbank registration requirements are published in the [Nonbank Registration Regulation \(12 CFR 1092\)](#).

1.1 Purpose of this guide

The CFPB created a Nonbank Registry to accept certain types of data from covered nonbanks. This guide provides the filing instructions for registering with the Nonbank Registry, as discussed in 12 CFR § 1092.102(a) and is the definitive source of information for submitting data to the Nonbank Registry, as explained in the preamble of the NBR Orders Final Rule.

These resources may be useful for employees in a variety of roles, including compliance staff or vendors that help develop compliance systems. Some practical implementation considerations include:

- *Identifying affected institutions, products, departments, and staff.* If covered by the Nonbank Registration Regulation, entities will want to determine those affected within their entity. The effects on products, departments, or staff may vary greatly depending on institution size and the number of required registrations. This may include providing the appropriate staffing and training, as applicable.
- *Identifying changes to business processes, policies, and systems.* If covered by the Nonbank Registration Regulation, entities will want to determine what policies and procedures they must put in place to comply with the registration requirements, including identification of required registration information.

- *Identifying impacts to affiliates and business partners.* Depending on an entity's business model, entities will want to identify whether the Nonbank Registration Regulation impacts their affiliate businesses or other business partners, and how best to coordinate to comply with the Nonbank Registration Regulation.

1.2 Use of examples

This guide uses examples to illustrate some portions of the Nonbank Registration Regulation requirements or data specifications. The examples do not include all possible factual situations that could illustrate a particular provision, trigger a particular obligation, or satisfy a particular requirement or instruction. Even though an example may identify a fictitious nonbank as, for example, "Company A," the provision or obligation being illustrated in the example may apply to all nonbanks, as defined in the Nonbank Registration Regulation.

1.3 Additional resources

You can find resources to help you understand, comply, and complete registration with the Nonbank Registry on the CFPB's website here: www.consumerfinance.gov/data-research/nbr-submission/.

In addition to a link to the Nonbank Registration Regulation, you will also find links to:

- The preamble for the NBR Orders final rule which contains additional examples and explanations for the requirements, as well as explains why the CFPB issued the rule, the legal authority and reasoning behind the rule, responses to comments, and analysis of the benefits, costs, and impacts of the rule;
- Official Interpretations;
- The CFPB's Interactive Regulations tool, which provides updated versions of the regulatory text and commentary in a single location;
- Nonbank Registration of Orders Rule Executive Summary;
- The CFPB's Nonbank Registry (NBR) Portal Reference Guide, which provides system navigation assistance; and
- Other implementation support materials (including additional nonbank registration final rules, if applicable).

If after reviewing these materials, as well as the regulation and official commentary, you have a specific regulatory interpretation question or technical registration question related to Nonbank Registration, you can submit it to the CFPB at our email address, NBRHelp@cfpb.gov, or through the CFPB's NBR Portal Support Ticket function (discussed in Section 2.6, below). Please understand that the responses we provide are not official interpretations of the CFPB or legal advice, and they are not a substitute for formal legal counsel or other compliance consultation. Generally, CFPB staff is not able to respond to specific inquiries the same business day or within a particular requested timeframe. Actual response times will vary based on the number of questions CFPB staff is handling and the amount of research needed to respond to a specific question.

2. Portal instructions and data entry specifications

Nonbanks can access and upload information to the Nonbank Registry through the “CFPB’s NBR Portal.” The CFPB’s NBR Portal, as well as resources for submission, is available at www.consumerfinance.gov/data-research/nbr-submission/.

This section provides the data field entry specifications and instructions for all information required to be submitted to the CFPB’s Nonbank Registry under the Regulation. The data field entry specifications are provided in the manner presented in the CFPB’s NBR Portal.


Upon first registering a nonbank, a user must provide contact information for themselves, which will create a user account, and simultaneously provide the required Entity Registration Information. More information about the Entity Registration Information can be found in the [Nonbank Registration of Orders Final Rule Executive Summary](#). After registering the nonbank, including creating the user account, the user will receive an automated email that includes the user’s username and how the user can log in to the CFPB’s NBR Portal.


Once logged in, the user will become a returning user and will be taken to the CFPB’s NBR Portal Home page where they can manage and find:

1. Company and user information, including adding user accounts for the nonbank (Sections 2.3 and 2.4);
2. Order information to be registered (Section 2.5);
3. Notices submitted to the CFPB (Sections 2.4.2 and 2.5.3); and
4. Support and resource needs (Section 2.6).

Each of these steps and CFPB’s NBR Portal sections is discussed in turn below.

2.1 Initial account creation and registration

 An official website of the United States Government

 Consumer Financial Protection Bureau

Register Your Company

The company point of contact will use this form to register the company. If you only want to create a user account, please wait for your company point of contact to add you as a user. Once your company point of contact adds you as a user, you will receive an automated email to create a password and log in to the CFPB's Nonbank Registry portal.

Review the [CFPB's Nonbank Registration Filing Instructions Guide](#) for more information, including what information is administrative and identifying for publication purposes.

If you have an existing user account, [log into the CFPB's Nonbank Registry Portal](#).
A red (*) asterisk indicates a required field.

COMPANY POINT OF CONTACT INFORMATION

Note: After successfully registering your company you will receive an automated email with a link to create your password and log in to the NBR. As the company point of contact you will have full access to the NBR for your company including, but not limited to, the ability to create and manage additional users, update company information, and submit any required documents, such as covered orders or written statements. Review the [FIG](#) for more information.

* First Name	* Last Name
<input type="text"/>	<input type="text"/>
* Email	Title
<input type="text"/>	<input type="text"/>

COMPANY INFORMATION

* Company Legal Name

Doing Business As or Fictitious Business Names ⓘ

Select the type(s) of consumer financial products or services offered by your company

- ☐ Auto Finance Origination
- ☐ Auto Finance Servicing
- ☐ Consumer Debt Collection
- ☐ Consumer Reporting
- ☐ International Money Transfer
- ☐ Mortgage Origination
- ☐ Mortgage Servicing
- ☐ Payday Lending
- ☐ Private Education Lending
- ☐ Private Education Loan Servicing
- ☐ Other

* State/Jurisdiction of Incorporation or Organization ⓘ

State of Incorporation or Organization Not Listed ⓘ ☐

Section
2.1.1

Section
2.1.2

COMPANY PRINCIPAL PLACE OF BUSINESS ADDRESS INFORMATION

Is this address a foreign/international address? ☐

* Company Street

* Company City

* Company State

* Company Zip/Postal Code

COMPANY UNIQUE IDENTIFIERS

If your company has any of the following unique identifiers issued by a government agency or standard setting organization, you must enter that information. Once a unique identifier has been registered, it may only be changed by the CFPB. Review the [CFPB's Nonbank Registration Filing Instructions Guide](#) for more information, including what information is administrative and identifying for publication purposes.

LEI ¹

* Taxpayer ID Type ¹

Taxpayer ID # - enter EIN only ¹

NMLS ID ¹

RSSD ID ¹

EDGAR CIK ¹

HMDA ID ¹


Submit Registration

Section
2.1.3

Section
2.1.4

The account creation process is a one-time process required for the first time any nonbank registers with the Nonbank Registry to submit information to the CFPB. The nonbank must identify a designated user to become the first authorized user for the nonbank. The user will select the “Register Your Company” button on the CFPB’s NBR Portal Get Started page, which will allow the user to register the nonbank and register themselves as an authorized point of contact for the nonbank. A nonbank may only be registered once¹ with the CFPB’s Nonbank Registry, but it may have several authorized users (including multiple points of contact users) that can submit information in the CFPB’s NBR Portal on behalf of the nonbank. After a nonbank is registered with its first authorized point of contact user, all other business, including creating additional user accounts or updating the provided nonbank information, will be completed through the CFPB’s NBR Portal Home Page (see Sections 2.2, 2.3, and 2.4 below).

Registering a nonbank requires a user to provide Company Point of Contact Information, Company Information, Company Principal Place of Business Address Information, and Company Unique Identifiers. Data specifications for this



It is strongly recommended that the user obtain all the relevant and required information for the registering nonbank *prior* to creating the registration as the CFPB’s NBR Portal does not provide an option to save and exit during registration.

¹ If a nonbank was previously registered and all authorized users have since left the nonbank, the nonbank will need contact NBR Help (NBRHelp@cfpb.gov) to add new authorized users.

formation is provided below. To submit a registration, some fields are required (or required when applicable) and are designated as such by a red asterisk (*) next to the field name. Some fields are required only if certain selections are made, and do not appear unless those dependent selections are made. Additional images are provided below to identify those fields. All required fields must be completed prior to clicking “Submit Registration.”

2.1.1 Company Point of Contact Information

The Company Point of Contact Information section is where the registering nonbank’s first user enters their contact information. Additional user accounts may be created in the CFPB’s NBR Portal after the nonbank is successfully registered (see Section 2.3).

The registration form requires the point of contact to enter their first name, last name, and email address. The email address provided should be one the point of contact uses to send and receive correspondence related to the nonbank. The point of contact may also optionally provide their title.

FIELD 1: FIRST NAME (RULE SECTION: § 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the first name of the designated point of contact registering the nonbank.



EXAMPLE: If the person’s name is Jane Smith, enter “Jane”

Validations

- Must be 1 to 40 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 2: LAST NAME (RULE SECTION: § 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the last name of the designated point of contact registering the nonbank.



EXAMPLE: If the person’s name is Jane Smith, enter “Smith”

Validations

- Must be 1 to 80 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 3: EMAIL ADDRESS (RULE SECTION: § 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the email address of the point of contact creating the registration for the nonbank. This should be the email address used by the point of contact to send/receive correspondence related to the nonbank.

Edits to the email address are restricted and may only be done by CFPB staff through submission of a Support Ticket (see Section 2.6).

Validations

- Must be name@example.com format.
- Must be 3 to 80 characters in length.
- Must not contain any spaces.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), or special characters (e.g., hyphen, apostrophe).
- The domain extension (characters provided after the period in an email address, such as .com or .org) must contain at least one character and the character must be a letter (i.e., A-Z and a-z), or number (i.e., 1, 2, 3, etc.).

FIELD 4: TITLE (RULE SECTION: § 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* No
- *Instructions:* Enter, in the free form textbox, the point of contact's title as designated by the registering nonbank (e.g., Chief Compliance Officer, Vice President).

Validations

- Must be 0 to 28 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.1.2 Company Information

The Company Information section provides fields to submit the registering nonbank's identifying and administrative company information. More information about the identifying and administrative company information can be found in the [Nonbank Registration of Orders Final Rule Executive Summary](#).

FIELD 5: COMPANY LEGAL NAME (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the full legal name of the registering nonbank (including any suffixes, e.g., “Inc.” or “LLC”).

Validations

- Must be 1 to 80 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 6: DOING BUSINESS AS OR FICTITIOUS BUSINESS NAME (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable
- *Instructions:* Enter, in the free form textbox, any names other than the legal name for the registering nonbank that have been used by the nonbank since January 1, 2017. If entering multiple names, each name must be separated by a semicolon.



EXAMPLE: To provide 3 doing business as names, enter, “Company A; A Co.; Company A, Inc.”

Validations

- Must be 0 to 80 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 7: CONSUMER FINANCIAL PRODUCT OR SERVICE TYPES LIST (RULE SECTION: §§ 1092.201(A); 205(A)(2))

Instructions

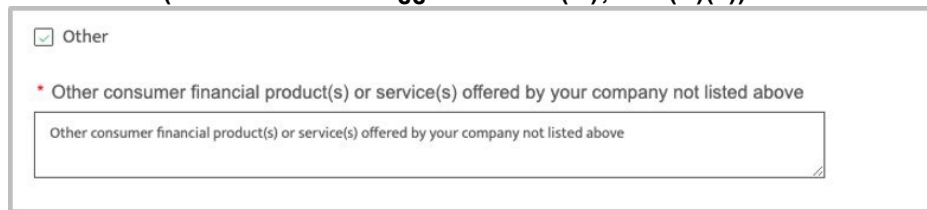
- *Information Type:* Administrative

- *Required:* No
- *Instructions:* Select all applicable type(s) of consumer financial products or services offered by the registering nonbank. If “Other” is selected, a free form textbox will appear that must be completed (see Field 7a discussion below).

Validations

- If “Other” is selected, Field 7a must be completed (“Other” Consumer Financial Product/Service Type Free Form Textbox).

FIELD 7A: “OTHER” CONSUMER FINANCIAL PRODUCT/SERVICE TYPE FREE FORM TEXTBOX (RULE SECTION: §§ 1092.201(A); 205(A)(2))



The screenshot shows a form element for Field 7A. It includes a checkbox labeled "Other" which is checked. Below the checkbox is a red asterisk followed by the text: "Other consumer financial product(s) or service(s) offered by your company not listed above". Underneath this text is a large, empty rectangular text box with a thin border and a small cursor icon at the bottom right corner.

Instructions

- *Information Type:* Administrative
- *Required:* Yes, if “Other” is selected in Field 7
- *Instructions:* Enter, in the free form textbox, the other financial products or services not available in the multi-select list in Field 7 offered by the registering nonbank. If entering more than one type of financial product or service, separate each type with a semicolon.

Validations

- Must be 1 to 1,000 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 8: STATE/JURISDICTION OF INCORPORATION LIST (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 9 is *not* checked
- *Instructions:* Select, from the drop-down list, the applicable state or jurisdiction of incorporation or organization for the registering nonbank. The drop-down list values are the two-character abbreviation for each of the 50 states, District of Columbia, and the five US territories. If the jurisdiction of incorporation or organization is not listed, leave field 8 as “—None—” and select the checkbox “Jurisdiction of Incorporation or Organization (if not listed above)” in Field 9 (below).

Validations

- Must have one value selected if Field 9 checkbox is blank.

FIELD 9: STATE OF INCORPORATION OR ORGANIZATION NOT LISTED CHECKBOX (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if there is no selection for Field 8
- *Instructions:* Select the checkbox if Field 8 is left as “—None—” because the state of incorporation or organization is not listed in Field 8.



EXAMPLE: If the jurisdiction of incorporation is Ottawa ON, Canada, select the checkbox in Field 9

Validations

- Must be selected if Field 8 is “—None—.”

FIELD 9A: JURISDICTION OF INCORPORATION OR ORGANIZATION NOT LISTED FREE FORM TEXTBOX (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 9 is checked
- *Instructions:* Enter, in the free form textbox, the jurisdiction of incorporation or organization of the registering nonbank not provided in Field 8.



EXAMPLE: If the jurisdiction of incorporation is Ottawa ON, Canada, enter “Ottawa ON Canada”

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.1.3 Company Principal Place of Business Address Information

The Company Principal Place of Business Address Information section is an additional section of required Entity Identifying Information to provide the registering nonbank's identifying principal place of business address information.

All address fields should be entered in the format required by the United States Postal Service.

FIELD 10: ADDRESS IS FOREIGN/INTERNATIONAL CHECKBOX (RULE SECTION: § 1092.201(G))

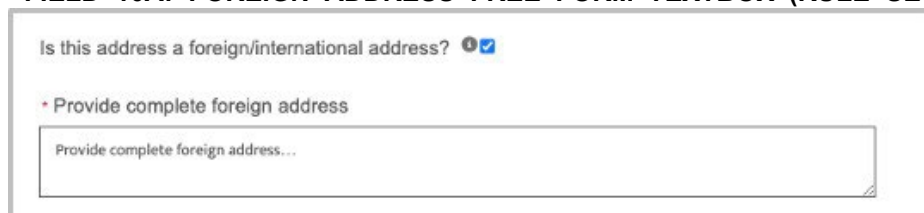
Instructions

- *Information Type:* Identifying
- *Required:* Yes, if principal place of business is a foreign/international address
- *Instructions:* Select the checkbox if the principal place of business address for the registering nonbank is located in a foreign country.

Validations

- Must not be selected if Fields 11 through 14 are completed.

FIELD 10A: FOREIGN ADDRESS FREE FORM TEXTBOX (RULE SECTION: § 1092.201(G))



Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 10 is checked
- *Instructions:* Enter, in the free form textbox, the foreign or international primary place of business address of the registering nonbank. Use United States Postal Service formatting for the address and include, as applicable, the street address, city or town name, other principal subdivision (e.g., province, state, country, etc.), postal code, and country name, in the order recommended by the United States Postal Service.



EXAMPLE: 1010 Example St, Ottawa ON K1A 0B1 Canada

Validations

- Must be 1 to 1,000 characters in length.

- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).
- Must contain characters if Field 10 is checked.
- Will only appear if Field 10 is checked.

FIELD 11: COMPANY STREET (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 10 is *not* checked
- *Instructions:* Enter, in the free form textbox, the street address of the principal place of business for the registering nonbank. Format should follow United States Postal Service requirements.



EXAMPLES: Enter “1000 Example St” or “1000 Example St, Ste 101”

Validations

- Must be 1 to 125 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).
- Will not appear if Field 10 is checked.

FIELD 12: COMPANY CITY (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 10 is *not* checked
- *Instructions:* Enter, in the free form textbox, the city of the principal place of business for the registering nonbank. Format should follow United States Postal Service requirements.

Validations

- Must be 1 to 125 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).
- Will not appear if Field 10 is checked.

FIELD 13: COMPANY STATE (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 10 is *not* checked
- *Instructions:* Select, from the list, the two-character abbreviation for the State or U.S. territory of the principal place of business for the registering nonbank.

Validations

- Only one State or U.S. territory may be selected.
- Will not appear if Field 10 is not checked.

FIELD 14: COMPANY ZIP/POSTAL CODE (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if Field 10 is *not* checked
- *Instructions:* Enter, in the free form textbox, the 5- or 9-digit zip code of the principal place of business for the registering nonbank. Format should follow United States Postal Service requirements.



EXAMPLES: “10001” or “10001-1234”

Validations

- Must be 5 or 10 characters in length (including hyphen).
- Must be a number (i.e., 1, 2, 3, etc.) or hyphen.
- Must not include uppercase and lowercase letters (i.e., A-Z and a-z), spaces, or special characters (e.g., apostrophe).
- Will not appear if Field 10 is not checked.

2.1.4 Company Unique Identifiers

The Company Unique Identifiers section requires the point of contact to submit all applicable unique identifiers obtained by or issued for the registering nonbank. If the registering nonbank has obtained or was issued any of the unique identifiers in the fields provided in the CFPB’s NBR Portal, that information must be entered. At least Taxpayer ID Type must be selected to register the nonbank.

If, at any time after completing registration of the nonbank, a unique identifier is obtained or issued that was not submitted during the initial registration, a user with the appropriate portal permissions must log into the CFPB’s NBR Portal and add the relevant unique identifiers (see

Section 2.4 for instructions on adding company information after initial account creation and registration).

Unique identifiers that have been submitted cannot be edited by users. If changes are required to previously submitted unique identifiers, an authorized user with the appropriate portal permissions must request changes through submission of a Support Ticket (see Section 2.6).

FIELD 15: LEI (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable
- *Instructions:* Enter, in the free form textbox, the 20-character alphanumeric Legal Entity Identifier (LEI) of the registering nonbank, if applicable. If a LEI has not been issued to the registering nonbank, leave this textbox blank.



EXAMPLE: “10BX939C5543TQA1144M”

Validations

- Must be 0 or 20 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.).
- May not contain any spaces or special characters (e.g., hyphen, apostrophe).
- May be left blank (e.g., if not applicable).

FIELD 16: TAXPAYER ID TYPE (RULE SECTION: §§ 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* Yes
- *Instructions:* Select, from the list, the Taxpayer ID Type used for the registering nonbank. The options available are Employer Identification Number (EIN), Social Security Number (SSN), or Individual Taxpayer Identification Number (ITIN).

FIELD 16A: TAXPAYER ID NUMBER (RULE SECTION: §§ 1092.201(A); 205(A)(2))

Instructions

- *Information Type:* Administrative
- *Required:* Yes, if Employer Identification Number (EIN) was selected for Field 16
- *Instructions:* Enter, in the free form textbox, the Employer Identification Number (EIN)

of the registering nonbank, if applicable in the ##-##### format. Social Security Numbers (SSN) or Individual Taxpayer Identification Numbers (ITIN) must not be included.



EXAMPLE: “99-99999999”

Validations

- Must be 0 or 10 characters in length (including hyphen).
- Must contain 9 numbers (i.e., 1, 2, 3, etc.) and 1 hyphen.
- May not contain any letters, spaces or special characters (e.g., apostrophe).
- May be left blank (e.g., if Social Security Number (SSN) or Individual Taxpayer Identification Number (ITIN) is selected for Field 16 (Taxpayer ID Type).

FIELD 17: NMLS ID (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable
- *Instructions:* Enter, in the free form textbox, the numeric Company Nationwide Multistate Licensing System (NMLS) ID of the registering nonbank, if applicable. If an NMLS ID has not been issued to the registering nonbank, leave this textbox blank.



EXAMPLE: “0001”

Validations

- Must be 0 to 20 characters in length.
- Must contain numbers (i.e., 1, 2, 3, etc.).
- May not contain any letters (i.e., A-Z and a-z), spaces, or special characters (e.g., hyphen, apostrophe).
- Must not be an Individual NMLS ID.
- May be left blank (e.g., if not applicable).

FIELD 18: RSSD ID (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable

- **Instructions:** Enter, in the free form textbox, the 10-character numeric RSSD ID assigned to the registering nonbank by the Federal Reserve Board, if applicable. If the RSSD ID is less than 10 characters, enter leading zeros to provide a 10-character ID. If an RSSD ID has not been issued to the registering nonbank, leave this textbox blank.



EXAMPLE: If 1, enter “0000000001”

Validations

- Must be 0 or 10 characters in length.
- Must contain numbers (i.e., 1, 2, 3, etc.).
- May not contain any letters (i.e., A-Z and a-z), spaces, or special characters (e.g., hyphen, apostrophe).
- May be left blank (e.g., if not applicable).

FIELD 19: EDGAR CIK (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable
- **Instructions:** Enter, in the free form textbox, the 10-character numeric EDGAR CIK assigned to the registering nonbank by the Securities and Exchange Commission, if applicable. If the EDGAR CIK is less than 10 characters, enter leading zeros to provide a 10-character ID. If an EDGAR CIK has not been issued to the registering nonbank, leave this textbox blank.



EXAMPLE: If 1, enter “0000000001”

Validations

- Must be 0 or 10 characters in length.
- Must contain numbers (i.e., 1, 2, 3, etc.).
- May not contain any letters (i.e., A-Z and a-z), spaces, or special characters (e.g., hyphen, apostrophe).
- May be left blank (e.g., if not applicable).

FIELD 20: HMDA ID (RULE SECTION: § 1092.201(G))

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if applicable

- **Instructions:** Enter, in the free form textbox, the 10- or 20-character alphanumeric HMDA ID assigned to the registering nonbank through the HMDA Platform, if applicable. If the HMDA ID is less than 10 characters, enter leading zeros to provide a 10-character ID. If HMDA ID has not been issued to the registering nonbank, leave this textbox blank.



EXAMPLE: If 1, enter “0000000001”

Validations

- Must be 0, 10 or 20 characters in length.
- Must contain only upper and/or lowercase letters (i.e., A-Z and a-z) or numbers (i.e., 1, 2, 3, etc.).
- May not contain any spaces or special characters (e.g., hyphen, apostrophe).
- May be left blank (e.g., if not applicable).

2.1.5 Submission of the Initial Account Creation and Registration Information


Once all required fields are completed, the point of contact may click “Submit Registration” to submit the point of contact and company registration information to the CFPB’s NBR Portal. There is no option to partially complete the form, save, and return at a later date. Refreshing or leaving the webpage before a submission is complete will erase any data entered prior to a completed submission.

If required fields for Company Point of Contact Information and Company Principal Place of Business Address Information are not completed, the user will receive an error message under the required field. If any fields for Company Unique Identifiers are incorrectly completed, the point of contact will receive an error message under the field. If no fields, other than Taxpayer ID Type, for Company Unique Identifiers are completed, the point of contact will receive an error message in a pop-up window. For example, if none of the company unique identifier fields are completed, the user will receive a “Company Unique Identifiers Validation Error” message. The point of contact must click “Cancel” and return to the submission form to complete at least one of the unique identifier fields if any are applicable. However, the point of contact may alternatively click “Ok” to confirm that the registering nonbank has not been issued any of the requested unique identifiers and return to the submission form to submit the registration.

Once submission is successfully completed, the user will receive an automated email from a CFPB email address that provides a link to log into the CFPB’s NBR Portal (and to set a password, if applicable) (see Section 2.2, below).

2.2 Logging into the CFPB's NBR Portal

This website is optimized for the following browsers: Google Chrome, Mozilla Firefox, Microsoft Edge, and Apple Safari.
An official website of the United States government

**Consumer Financial
Protection Bureau**

Nonbank Registry (NBR) Portal

Sign in to your account

When logging in, ensure your username matches the email used for registration.

[Forgot your password?](#)

Sign In

[Privacy and PRA Statements](#)

If you are the point of contact and want to register your company with the NBR, [click here](#)

The Nonbank Registry (NBR) is a system of record for the Consumer Financial Protection Bureau (CFPB or Bureau). Covered nonbanks use the NBR to register their company and submit a copy of certain final public orders or judgments.

IMPORTANT:

- Warning: You will be locked out after a few failed login attempts. You may need to reset your password using the "Forgot your password?" link. If you are unable to access your account after trying to reset your password, you may email NBRHelp@cfpb.gov for support.
- The CFPB requires users to go through a multi-factor authentication (MFA) process when logging into the user's account. Please refer to the Portal MFA Reference Guide for more information.

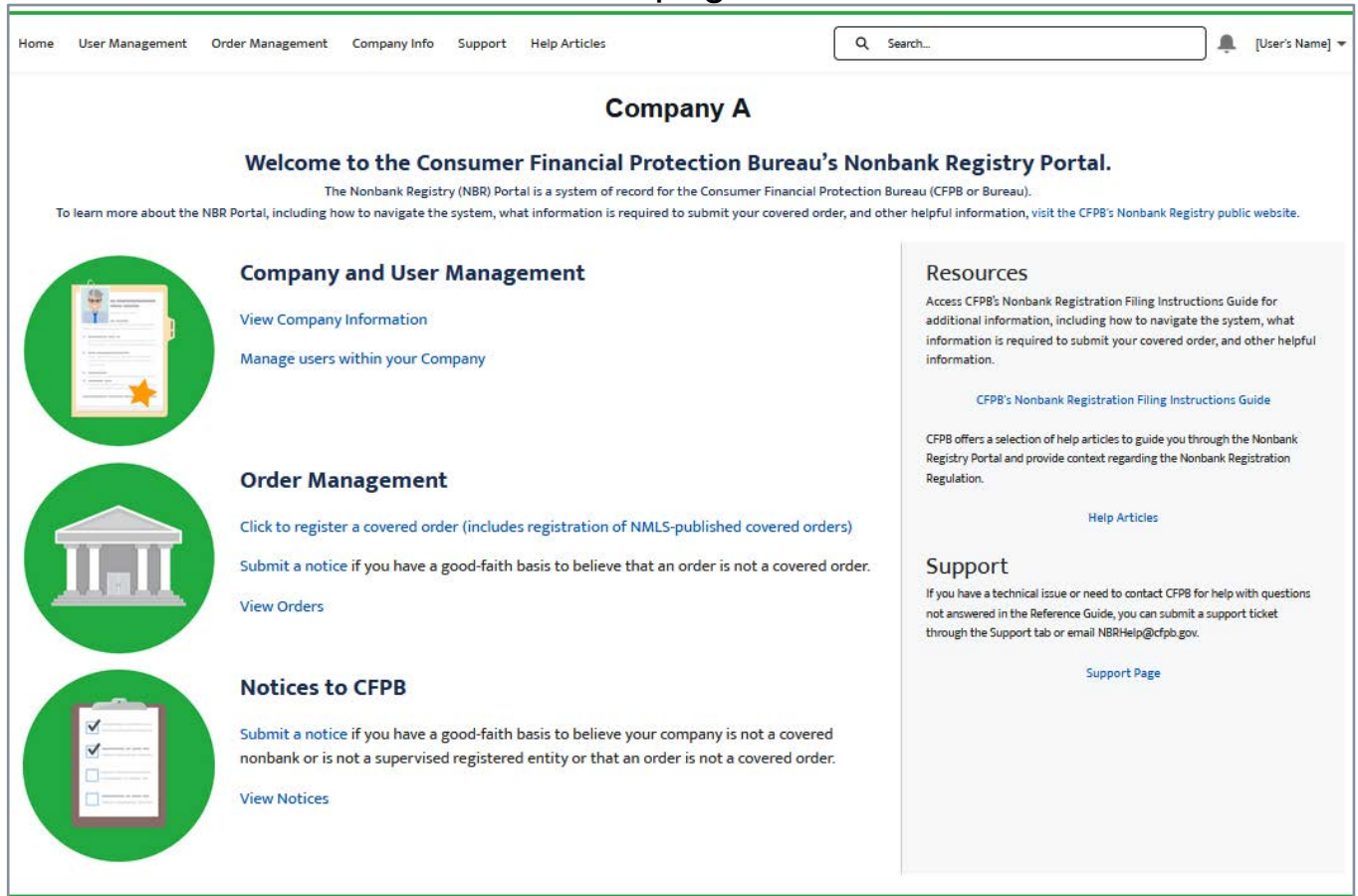
This is a Consumer Financial Protection Bureau (Bureau) information system. The Bureau is an independent agency of the United States Government. Bureau information systems are provided for the processing of official information only. Unauthorized or improper use of this system may result in administrative action, as well as civil and criminal penalties. Because this is a Bureau information system, you have no reasonable expectation of privacy regarding any communication or data transiting or stored on this information system. All data contained on Bureau information systems is owned by the Bureau and your use of the Bureau information system serves as your consent to your usage being monitored, intercepted, recorded, read, copied, captured or otherwise audited in any manner, by authorized personnel, including but not limited to employees, contractors, and/or agents of the United States Government.

After successfully completing the initial account creation and registration for a nonbank, the point of contact will receive an automated email with a link to create their user account password for the CFPB's NBR Portal (if they do not already have an account in the CFPB's NBR Portal). After creating their password, the point of contact may log into the CFPB's NBR Portal and manage the nonbank registration, such as creating additional new user accounts (Section 2.3); updating the nonbank registration information (Section 2.4); and submitting required covered order information (Section 2.5) or other submissions (Sections 2.4.2 and 2.5.3).

i Accounts are locked after a few incorrect login attempts. A user may select "Forgot Password" to reset their password (Section 2.2.1). Additional support may be provided by emailing NBRHelp@cfpb.gov to submit a Support Ticket.

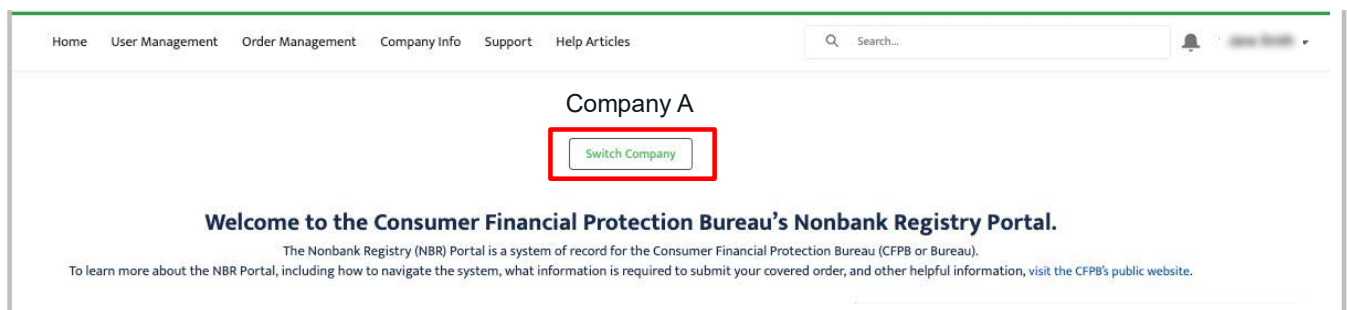
This section discusses navigation of the CFPB's NBR Portal home page and identifies how and where users can complete the tasks required or permitted by the Regulation.

2.2.1 CFPB's NBR Portal home page



Upon successful login to the CFPB's NBR Portal, a user will be automatically redirected to the CFPB's NBR Portal home page. From the home page, users can easily navigate to specific topic areas such as Company and User Management, Order Management, Notices to CFPB, as well as obtain guidance resources and support. Similar navigation is also provided in the tabs at the top of the page, permitting users to easily navigate between sections without having to return to the home page.

Users associated with multiple registered nonbanks



If a user account is associated with more than one registered nonbank, a button will appear towards the top center of the home page, under the company name, where the user can select “Switch Company” to switch to another company associated with the user’s username.

Once clicked, a pop-up window will appear with the other registered nonbanks associated with that user profile, allowing the user to switch between nonbank registration home pages.

To have multiple nonbanks associated with a user profile, the user must use the same login username for profiles associated with each nonbank.

2.2.2 Password reset

If a user has forgotten their password, they may click the “Forgot Password” link. Doing so will open a pop-up window where the user may enter their username to receive an automated email with a password reset link. The username entered must be the username associated with the CFPB’s NBR Portal user account.

Resetting a password will delete the password recorded in the CFPB’s NBR Portal and will require the user to set a new password (from the link included in the automated email) in order to log into the CFPB’s NBR Portal. Clicking “Cancel” in the password reset pop-up window will return the user to the CFPB’s NBR Portal log-in screen without requesting a password reset (or deleting the password associated with the account).

After clicking “Reset Password” the “Now check your email” message will display in the pop-up window. If the username entered is associated with an NBR user account, an automated email is sent to the user explaining how to reset the password. The email will provide a hyperlink to the CFPB’s NBR Portal’s “Reset your password?” page. The user must click the “Reset Password” button on this page and enter the new password in both the “New Password” and “Confirm New Password” textboxes. The password must meet the following criteria:

1. Must be at least 12 characters in length;
2. Must include at least one letter and at least one number;
3. Must not include any spaces;
4. Must require an entry in both of the two textboxes;
5. Must require that the password entered in both textboxes match; and
6. May be any combination of uppercase and/or lowercase letters (i.e., A-Z and a-z), numbers (i.e., 1, 2, 3, etc.), and special characters (e.g., hyphen, apostrophe).

Once completed, the user must click “Change Password” to finish resetting the password.

If the username entered in the password reset pop-up window is not associated with a user account in the CFPB's NBR Portal, an automated email is not sent.

Users that continue to have difficulty logging in or resetting their password after following the instructions above (for example because they forgot their CFPB's NBR Portal login username) may contact the CFPB by emailing NBRHelp@cfpb.gov to create a Support Ticket.

2.3 User Management tab

The User Management tab is where a registered nonbank's user with the appropriate [portal permissions](#) may create new user accounts and manage another user's portal permissions. Instructions for these tasks are discussed below.

2.3.1 Manage Company Users table

Company A

Q Search Users

Manage Company Users

+ Create User

First Name	Last Name	Email	Username	Company Access	Order Management Access	Company Point of Contact	Manage Company Users	Active	Edit
<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	<div>⌵</div>	
				Edit	Create/Edit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<div>✎</div>
				Edit	Create/Edit	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<div>✎</div>

First

Previous Page

Next Page

Last

Page 1 of 1

All users can see their own user information on the “Manage Company Users” table. Points of contact or users with Manage Company User permissions will see all user accounts associated with a registered nonbank in the “Manage Company Users” table, which is accessible through the User Management tab of the CFPB's NBR Portal. The Manage Company Users table is where a registered nonbank's user with the appropriate portal permissions may create new users and manage (i.e., edit) another user's portal permissions within the CFPB's NBR Portal.

The Manage Company Users table provides a detailed view of the nonbank's users including the user's First Name, Last Name, Email, and Username. The table also includes the user's access permission details to Company Information, Order Management, and whether or not the user is a Point of Contact, has Manage Company User permissions, and has Active status for the nonbank in the CFPB's NBR Portal.

2.3.2 User creation

Once an initial user account is created for a registered nonbank, that initial user will by default have all portal permissions available to users. As such, the initial user will be able to create and manage additional users to be associated with the registered nonbank.

Company A

Search Users

Manage Company Users + Create User

First Name	Last Name	Email	Username	Company Access	Order Management Access	Company Point of Contact	Manage Company Users	Active	Edit
[Redacted]	[Redacted]	[Redacted]	[Redacted]	Edit	Create/Edit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	

Page 1 of 1
Showing rows 1-4 out of 4

To create a new user, navigate from the CFPB’s NBR Portal home page to the User Management tab. Once there, do the following:

1. Click on the “+ Create User” button;
2. Enter the User Details;
3. Select the appropriate Portal Permissions; and
4. Click the “Save” button.

Upon creation, users have default permissions (see Section 2.3.2) to view and edit fields within the CFPB’s NBR Portal for the registered nonbank.

User detail fields

Create User

USER DETAILS

First Name

* Last Name

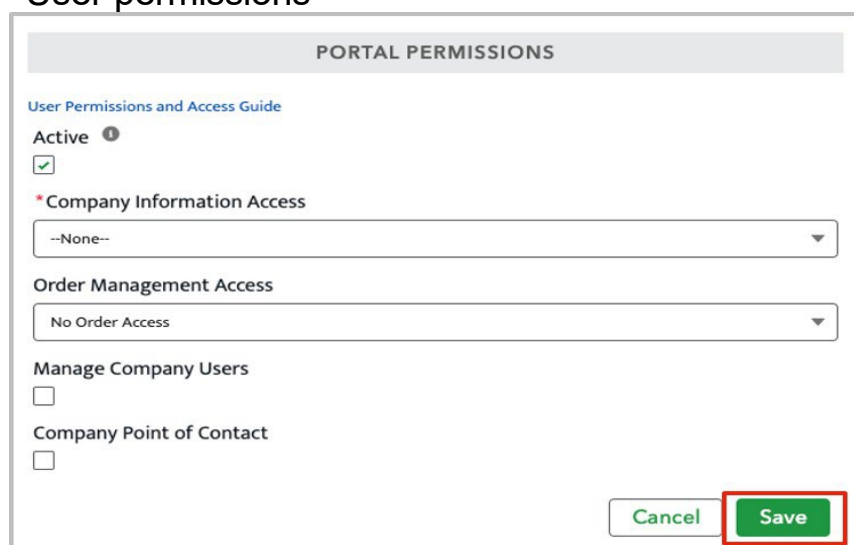
* Email

The User Details fields for user creation include the user’s first name, last name, and email address, although only a last name and email address are required to create a user account. This information is considered administrative information under the regulation.

Each user account associated with the registered nonbank must have its own distinct email address for that registered nonbank. The CFPB's NBR Portal does not permit multiple user accounts for a registered nonbank to share the same email address. For example, Company Nonbank, Inc., cannot identify the email address "admin@nonbank.com" as the email address for both Person A's and Person B's user account. Each Company Nonbank, Inc., user account must have a different email address. The CFPB's NBR Portal will always associate the provided registered email address with the first and last name provided during account creation (or those provided to the account during updates).


However, because a user account can be associated with multiple registered nonbanks, that user can use the same email address for each account. The CFPB's NBR Portal will auto correct the first name and last name fields for any additional accounts added with that email address to the first name and last name field entries submitted for the original account set-up for the email address. For example, if Person A has a user account for Company Nonbank, Inc., and Entity Nonbank, LLC, Person A's email address (admin@nonbank.com) can be the same for both of Person A's user accounts.

User permissions



PORTAL PERMISSIONS

User Permissions and Access Guide

Active 

☒

* Company Information Access

--None--

Order Management Access

No Order Access

Manage Company Users

☐

Company Point of Contact

☐

Cancel Save

Portal permissions determine what information a user is authorized to view or change for other user accounts, for orders registered, and for company information submitted. Portal permissions are initially pre-selected with "Active" status and the lowest permissions available (no Company Information Access, no Order Management Access, no Manage Company User permissions, and no designation as a Company Point of Contact). Portal permissions may be edited from the pre-selected values by a registered nonbank's user with Manage Company User or Company Point of Contact permissions. A user may not deactivate, reactivate, or change any of their own portal permissions.

The following are the available portal permissions and what they authorize within the CFPB's

NBR Portal when selected:

- **Active Status:** A checkmark in the checkbox means the user's account is active and the user has the portal permissions for the registered nonbank as indicated on their user account. No checkmark means the user's account is inactive. Inactive users are not able to access the CFPB's NBR Portal. Active status is preselected upon user creation.
- **Company Information Access:** A user's Company Information Access permission may be set at 1) Read or 2) Edit.
 - Read access means 1) the user has access to the Company Info tab, 2) the user can view the Company Information data fields and 3) the user can view the Notices to CFPB. All users must have Read access.
 - Edit access provides the same portal permissions as Read access, but also means 1) the user can edit the Company Information data fields and 2) the user can create and submit new Notices to the CFPB. A user designated as a Company Point of Contact must have Edit access.

Read access is the default permission preselected upon user creation.

- **Order Management Access:** A user's Order Management Access may be set at 1) No Order Access, 2) Read, or 3) Create/Edit.
 - No Order Access means 1) if the user selects the Order Management tab, the webpage presents the following message, "Please contact your company's Nonbank Registration Point of Contact if you believe you should have access to this page", 2) the user will not be able to view, create, edit, and/or submit any Order, and 3) the user will not be able to view, create, and/or submit an Annual Statement Filing or Final Statement Filing on any Order.
 - Read means 1) the user has access to the Order Management tab, 2) the user can view any data fields or documents related to all draft and submitted Orders, and 3) the user can view all Annual Statement Filings or Final Statement Filing related to any Order.
 - Create/Edit means 1) the user can create, edit, and/or submit any data fields or upload documents related to all draft and submitted Orders and 2) the user can create and submit an Annual Statement Filing or Final Statement Filing related to any Order.

No Order Access is the default permission preselected upon user creation.

- **Manage Company Users:** A checkmark in the checkbox means 1) the user has access

to the User Management tab and 2) the user can view all users, create new users, and assign/edit other users' portal permissions. No checkmark in the checkbox means 1) the user has access to the User Management tab and 2) the user cannot view, create, or edit other users' account information for the registered nonbank. Manage Company Users permission is not provided by default to new users upon creation with the exception of the user that completes the initial account creation and registration. A user designated as a Company Point of Contact must have Manage Company Users permission.

- **Company Point of Contact:** A checkmark means 1) the user is a company point of contact, 2) the user must have Edit for Company Access, 3) the user must have Create/Edit for Order Management Access, 4) and the user must have a checkmark for Management Company Users. No checkmark in the checkbox means the user is not the company point of contact. There is no limit to the number of user accounts that can be designated as a point of contact for a registered nonbank. Company Point of Contact is not selected by default for new users upon creation, with the exception of the user that completes the initial registration for the nonbank.

Once the appropriate portal permissions are selected for the user, clicking "Save" will finish creating the new user account or editing the existing users' portal permissions for the CFPB's NBR Portal.

2.3.3 Editing existing user information

To edit an existing user's portal permissions:

- 1) Identify the relevant user in the Managing Company Users table;
- 2) Click on the pencil icon for that row to enter edit mode;
- 3) Select the appropriate fields to edit; and
- 4) Click the "Save" button.

No users can edit their own portal permissions. A Company Point of Contact or user with Manage Company User permissions may edit another user's portal permissions. If a user wants to change their portal permissions, the user should contact their Company Point of Contact. A user's first name, last name, email address, and username may only be changed by the CFPB (i.e., by creating a Support Ticket in the CFPB's NBR Portal or emailing NBRHelp@cfpb.gov).

2.4 Company Info tab

On the Company Info tab, users with the appropriate portal permissions, can view and edit company information submitted upon initial registration (see Section 2.1). The tab provides the

same fields of information as those discussed in Sections 2.1.2 through 2.1.4 and includes additional fields where a user with the appropriate portal permissions may enter the mailing address of the nonbank. Additionally, the tab includes a section at the bottom of the page for Notices to CFPB, which contains all Good-Faith Notices submitted by the nonbank and is the starting point to submit new Good-Faith Notices.

2.4.1 Company information, unique identifiers, and address of principal place of business

Company Information			
GENERAL INFORMATION			
Doing Business As/ Fictitious Name(s)	<input type="text"/>	Type of Financial Institution	<div>Available</div> <div> Auto Finance Ori... Auto Finance Servi... Consumer Debt Co... Consumer Reporti... </div> <div>Chosen</div> <div><input type="text"/></div>
State/Jurisdiction of Incorporation	<input type="text"/>	Other Financial Institution Description	<input type="text"/>
Location of Incorporation/ Organization	<input type="text"/>	State of Incorporation Not Listed	<input type="checkbox"/>
COMPANY UNIQUE IDENTIFIERS			
Unique identifiers that have been submitted cannot be edited by users. If changes are required to previously submitted unique identifiers, submit a Support Ticket or email NBRHelp@cfpb.gov . Visit the filing instructions guide (FIG) for more information, including what information is administrative and identifying for publication purposes.			
LEI	<input type="text"/>	Taxpayer ID Type	<input type="text"/>
NMLS ID	<input type="text"/>	RSSD ID	<input type="text"/>
HMDA ID	<input type="text"/>	Taxpayer ID # - enter EIN Only	<input type="text"/>
		EDGAR CIK	<input type="text"/>
ADDRESS FIELDS			
Foreign Address?	<input type="checkbox"/>	Actual Foreign Address	<input type="text"/>
Principal Place of Business Street	<input type="text"/>	Mailing Address (Country/Territory)	<input type="text"/>
Principal Place of Business City	<input type="text"/>	Mailing Address (Street)	<input type="text"/>
Principal Place of Business State	<input type="text"/>	Mailing Address (City)	<input type="text"/>
Principal Place of Business ZIP Code	<input type="text"/>	Mailing Address (State/Province)	<input type="text"/>
Principal Place of Business Country	<input type="text"/>	Mailing Address (ZIP/ Postal Code)	<input type="text"/>


Company information is pre-populated based on the information provided at initial account creation and registration. If changes are required, a user with the appropriate portal permissions (see Section 2.3.2) must click the pencil icon (✎) to edit a field and submit a

change. For example, if the nonbank's principal place of business changes after the initial registration, an authorized user with the appropriate portal permissions may select the pencil icon and input the new address information using the same instructions provided in Section 2.1.3. As discussed in the [Nonbank Registration of Orders Final Rule Executive Summary](#), revisions must be made within 90 days of the date of the change.

Unique identifiers that have been submitted cannot be edited by users. If changes are required to previously submitted unique identifiers, an authorized user with the appropriate portal permissions must request changes through submission of a Support Ticket or by emailing NBRHelp@cfpb.gov (see Section 2.6). However, unique identifiers previously left blank can be added by users with the appropriate portal permissions.

2.4.2 Good-Faith Notices to CFPB

Under the Company Info tab, a user may review, edit, and submit Notices to the CFPB. Notices to the CFPB are the Notices of Good-Faith Non-Registration (Good-Faith Notices). More information about Good-Faith Notices can be found in the [Nonbank Registration of Orders Final Rule Executive Summary](#).

 Notices to CFPB is not a method of submitting a Support Ticket. Support Tickets requesting assistance should be submitted using the methods described in Section 2.6.

Notices to CFPB
(*) A red asterisk indicates a required field

This is where you submit a notice to the CFPB for your company under 12 CFR 1092.202(g) and/or 12 CFR 1092.204(f). [Click here](#) for more information, including how to submit different types of notices.
You can also visit the [CFPB's public website](#) for general information.

Note: this is not where you submit a question or inquiry to the CFPB. If you need support, or have a question or inquiry, please submit a Support ticket through the [NBR Portal](#) or email NBRHelp@cfpb.gov.

A company may submit one or more notices to the CFPB if:

- It has a good-faith basis to believe:
 - It is not a covered nonbank (12 CFR 1092.202(g), 12 CFR 1092.201(d)), or
 - It is not a supervised registered entity (12 CFR 1092.204(f), 12 CFR 1092.201(q)), or
 - An order in question is not a covered order (12 CFR 1092.202(g), 12 CFR 1092.204(f), 12 CFR 1092.201(e)), or
- It becomes aware of facts or circumstances that would not permit it to continue representing a good-faith belief expressed in one or more prior notices submitted to the Registry.

A nonbank may opt to submit one of the following Good-Faith Notices to the Nonbank Registry:

1. It is not a covered nonbank;
2. It is not a CFPB-Supervised Covered Nonbank, and therefore, is not required to comply with the written statement requirements (including designating an attesting executive); and/or
3. The order(s) that it is subject to is not a covered order under the Regulation.

Additionally, the nonbank may need to submit a notice identifying changes in facts or circumstances relied on for a previously submitted notice. All notices submitted to the CFPB can be viewed in the Notices to CFPB table.

Notices to CFPB				
NBR Assigned ID 	Submitted Date 	Submitter Name 	Explanation 	+ New Notice
				View Notice
First Previous Page Next Page Last				Page 1 of 1 Showing rows 1-2 out of 2

The table provides the following information:

- **NBR Assigned ID:** This field returns the Notice’s NBR Assigned ID, as assigned by the system.
- **Submitted Date:** This field identifies the date the notice was submitted to the CFPB.
- **Submitter Name:** This field identifies the name of the user who submitted the notice on behalf of the registered nonbank.
- **Explanation:** This field returns the Additional Information as entered by the user who submitted the notice.
- **View Notice:** Clicking this button returns a pop-up that displays the data entered by the nonbank’s user including any documents uploaded with the filing. Clicking the document name within that pop-up window will open the document in a new browser tab. Note: The file preview links may take up to a minute to load depending on file size and internet speed.

Existing notices previously submitted to the Nonbank Registry can be viewed and managed in the Notices to CFPB table by users with the appropriate portal permissions that are associated with a registered nonbank. See Section 2.3.2 for more information on user portal permissions.

Registered nonbanks with more than five notices will have more than one table page. To navigate to other table pages, use the “First,” “Previous Page,” “Next Page,” and “Last” buttons at the bottom left-hand corner of the table.

Creating a new notice

New Good-Faith Notices can be created and submitted from the Notices to CFPB table by selecting the “+ New Notice” button in the upper right-hand corner of the table.

To submit a new notice:

1. Click the “+ New Notice” button, which opens a pop-up window;

2. Select the type of notice you are submitting for your company;
3. Upload the file(s);
4. Enter any Additional Information in the textbox, as applicable; and
5. Click the “Save & Submit” button.

The notice and information submitted for the notice are administrative information under the regulation.

If the user clicks the “Cancel” button, and then clicks the “Proceed” button in the pop-up window, all information entered in the new notice is deleted and the user is returned to the Company Info tab.

FIELD 1: GOOD-FAITH NOTICE OR NOTICE OF CHANGE TO GOOD-FAITH NOTICE (RULE SECTION: §§ 1092.202(G); 204(F))

*** Select the type of notice you are submitting for your company (you must upload a document containing your notice [or enter the notice in the text box provided below]):**

☐ Notice indicating that the facts or circumstances related to a prior good-faith notice my company previously submitted to the Registry have changed.

☐ Notice stating that my company:

☐ Is not registering pursuant to 12 CFR 1092.202(g) because it has a good-faith basis to believe that it is not a covered nonbank or that an order in question is not a covered order.

☐ Is neither designating an attesting executive nor submitting a written statement pursuant to 12 CFR 1092.204(f) because it has a good-faith basis to believe that it is not a supervised registered entity or that an order in question is not a covered order.

Instructions

- *Information Type:* Administrative
- *Required:* Yes
- *Instructions:* Select, from the list, the applicable type of notice being submitted by the registered nonbank. Options are:
 - “Notice indicating that the facts or circumstances related to a prior good-faith notice my company previously submitted to the Registry have changed.” For example, select this option if the registered nonbank becomes aware of facts or circumstances that would not permit it to continue representing a good-faith belief expressed in one or more prior notices submitted to the Registry.
 - “Notice stating that my company:” This indicates a new Good-Faith Notice is being submitted.

Only one option may be selected.

Validations

- Must not be left blank.


- Must select one option.


FIELD 1A: TYPE OF GOOD-FAITH NOTICE (RULE SECTION: §§ 1092.202(G); 204(F))

*** Select the type of notice you are submitting for your company (you must upload a document containing your notice [or enter the notice in the text box provided below]):**

☐ Notice indicating that the facts or circumstances related to a prior good-faith notice my company previously submitted to the Registry have changed.

☒ Notice stating that my company:

 ☐ Is not registering pursuant to 12 CFR 1092.202(g) because it has a good-faith basis to believe that it is not a covered nonbank or that an order in question is not a covered order.

 ☐ Is neither designating an attesting executive nor submitting a written statement pursuant to 12 CFR 1092.204(f) because it has a good-faith basis to believe that it is not a supervised registered entity or that an order in question is not a covered order.

Instructions

- *Information Type:* Administrative
- *Required:* Yes, if “Notice stating that my company:” was selected for Field 1
- *Instructions:* Select, from the list, the applicable type of good-faith notice being submitted by the registered nonbank. Options are:
 - “Is not registering pursuant to 12 CFR 1092.202(g) because it has a good-faith basis to believe that it is not a covered nonbank or that an order in question is not a covered order.”
 - “Is neither designating an attesting executive nor submitting a written statement pursuant to 12 CFR 1092.204(f) because it has a good-faith basis to believe that it is not a supervised registered entity or that an order in question is not a covered order.”

Both notice types may be selected.


Validations

- Must leave blank if “Notice stating that my company:” was not selected for Field 1.

FIELD 2: FILE UPLOAD (RULE SECTION: §§ 1092.202(G); 204(F))

*** You must upload a file(s) or use the text box to submit a notice to the Registry under either 12 CFR 1092.202(g), 12 CFR 109.204(f), or both, as identified above:**

Upload Attachment

 Upload Files Or drop files

Upload one file at a time. PDF only. File number limit: 10; Single file size limit: 1GB

Instructions

- *Information Type:* Administrative
- *Required:* Yes, if Field 3 is left blank

- **Instructions:** Upload any files containing the nonbank’s Good-Faith Notice(s) to the CFPB.



Once submitted, documents may not be deleted.

A registered nonbank may provide its Good-Faith Notice(s) by uploading a file or by typing in Field 3: Additional Information free form textbox (or both).

Clicking “Upload Files” displays a pop-up for the user to select the file to be uploaded. After selecting the file, click the “Done” button, or the “X” at the top right corner of the pop-up window to return to the screen. Select the “X” icon to the left of the file to delete the uploaded file.

Validations

- Files must be in PDF format.
- File size is limited to 1 gigabyte per PDF file uploaded, and a total of 2 gigabytes for all files uploaded with the notice.
- Each notice may include up to 10 PDF files.
- Multiple files may be uploaded at once, not to exceed the 10-file limit per notice.

FIELD 3: ADDITIONAL INFORMATION (RULE SECTION: §§ 1092.202(G); 204(F))

Additional Information:

Instructions

- **Information Type:** Administrative
- **Required:** Yes, if a file is not uploaded for Field 2.
- **Instructions:** Enter, in the free form textbox, the nonbank’s Good-Faith Notice(s) or additional information related to the Good-Faith Notice(s).

Leave blank if not applicable.

Validations

- Must be 1 to 15,000 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.5 Order Management tab

Company A

Draft Order Registrations

Export All Orders

+ New Order

NBR Assigned ID	Identifying #	Attesting Executive	NMLS-published	Status	
NBR ORD-00			<input type="checkbox"/>	Draft	<div style="background-color: #28a745; color: white; padding: 2px 5px; margin-right: 5px;">Edit Draft</div> <div style="border: 1px solid black; padding: 2px 5px; color: gray;">✕</div>

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 Showing rows 1-3 out of 3

Orders Submitted to CFPB

Orders Submitted to CFPB

NBR Assigned ID	Identifying #	Attesting Executive	NMLS-published	Status	
NBR ORD-0			<input checked="" type="checkbox"/>	Submitted to CFPB	<div style="background-color: #28a745; color: white; padding: 2px 5px;">View</div>
NBR ORD-0			<input type="checkbox"/>	Submitted to CFPB	<div style="background-color: #28a745; color: white; padding: 2px 5px;">View</div>

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 Showing rows 1-3 out of 3

The Order Management tab is where a registered covered nonbank's (herein, nonbank or company) user with the appropriate portal permissions may view, create, edit, and/or submit the registration for a covered order(s). Company Points of Contact and users with Order Management Access "read" or "create/edit" portal permissions may view the orders on this tab. A user with the Order Management Access that is Create/Edit or with Company Point of Contact portal permissions may also export orders from the Order Management tab. Exporting orders provides the user with a Microsoft Excel .csv file with comma-separated values providing several data fields (as entered by the registered nonbank) for each order.

The Order Management tab consists of two tables, the Draft Orders table and the Orders Submitted to CFPB table. The Draft Orders table provides a list view of Order Registrations that have been created and saved but not yet submitted to the CFPB, as well as Order Registrations previously submitted to the CFPB but returned. The Orders Submitted to the CFPB table provides a list view of Order Registrations that have been completed and submitted to the CFPB. Both tables include the following information:

- **NBR Assigned ID:** Nonbank Registry (CFPB's NBR Portal) assigned identification number.
- **Identifying #:** Provides the Order's identifying number.
- **Attesting Executive:** Provides the name of the attesting executive for the order (applicable if the nonbank is a CFPB-Supervised Covered Nonbank).
- **NMLS-published indicator:** Identifies whether the order is published on the NMLS Consumer Access webpage.

- **Status:** Identifies the order’s registration status.

For the Draft Orders table, available statuses include:


- **Draft status** – An order that has not yet been submitted to the CFPB.
- **Returned status** – An order that was submitted to the CFPB but returned and repopulated in the Draft Orders table. Users receive an email with the reason for return of the order and instructions on next steps to resubmit the order, if applicable.

For the Orders Submitted to the CFPB table, available statuses include:

- **Submitted to CFPB status** – An order that was successfully submitted to the CFPB.

Both tables also contain the ability to either edit or delete draft submissions or view completed submissions.

On the Draft Orders table:

- Clicking the “Edit” button will allow an authorized user with the appropriate portal permissions to edit a draft order submission, as discussed in 5.5.1.
- Clicking the delete button (i.e.,  icon) will permit an authorized user with appropriate portal permissions to delete a draft order submission.

On the Orders Submitted to the CFPB table:

- Clicking the “View” button will allow an authorized user with the appropriate portal permissions to review details of the order submission and to complete Annual and Final Statement Filings for the order. The button will navigate authorized users to the Related Annual Statement Filings and Related Final Statement Filings tables.
- After clicking the “View” button, a user may click the “Revise Order” button which will allow a user with appropriate portal permissions to edit any data fields, delete any uploaded file(s), and/or upload additional files for a completed order.



Related Annual Statement Filings

+ Submit Annual Filing

Attesting Year

Attesting Executive

Submitted Date

View Details

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Related Final Statement Filings

+ Submit Final Filing

Reason Order is No Longer Covered

Terminated Effective Date

Submitted Date

View Details

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Showing rows 1-0 out of 0

Section 2.5.4

Section 2.5.5

The Related Annual Statement Filings table includes the following information:

- **Attesting Year:** This field identifies the year for which the annual filing covers.
- **Attesting Executive:** This field identifies the first and last name of the attesting executive for the filing.
- **Submitted Date:** This field identifies the date the annual statement filing was submitted to the CFPB.
- **View Details:** Clicking this button returns a pop-up that displays the data entered by the nonbank's user including any documents uploaded with the filing. Clicking the document name will open the document in a new browser tab. Note: The file preview links may take up to a minute to load depending on file size and internet speed.



The Related Annual Statement Filings are not editable. Any revisions (e.g., typos), will require a new filing (which should include an explanation in the Additional Information field).

The Related Final Statement Filings table includes the following information:

- **Reason Order is No Longer Covered:** This field provides the reason for the final filing.
- **Terminated Effective Date:** This field identifies the effective date this Order was terminated, abrogated, or ceased to be a covered order.
- **Submitted Date:** This field identifies the date the final filing was submitted to the CFPB.
- **View Details:** Clicking this button returns a pop-up that displays the data entered by the nonbank's user including any documents uploaded with the filing. Clicking the document name will open the document in a new browser tab. Note: The file preview links may take up to a minute to load depending on file size and internet speed.



The Related Final Statement Filings are not editable. Any revisions (e.g., typos), will require a new filing (which should include an explanation in the Additional Information field).

Registered nonbanks with more than five orders in each of these respective tables will have more than one table page for the applicable table. To navigate to other table pages, use the “First,” “Previous Page,” “Next Page,” and “Last” buttons at the bottom left-hand corner of the table.

This section discusses the required fields for registrations summarized in these tables and the process steps required for submission to the CFPB's NBR Portal for covered orders, NMLS-published orders, Annual Filings, and Final Filings. More information about these

requirements can be found in the [Nonbank Registration of Orders Final Rule Executive Summary](#).

2.5.1 Order Registration Processes

The Order Management tab is where a registered covered nonbank completes the process to register an order with the CFPB's NBR Portal. The following are the process instructions for completing order registration, including editing draft registrations and previously submitted registrations.

Creating a new order registration

The "+ New Order" button in the upper right-hand corner of the Draft Orders table will allow a registered nonbank's user with the appropriate portal permissions to create a new order registration.

To create a new registration for a covered Order:

1. Click the "+ New Order" button;
2. Click the "Proceed" button;
3. Click the radio button to select "My company is registering this covered order with the CFPB Nonbank Registry under 12 CFR 1092.202;"
4. Click the "Next" button;
5. Complete all applicable fields (see Section 2.5.2);
6. Upload fully executed, accurate, and complete copy of the Order, including any amendments and/or modifications to the Order; and
7. Click the "Save & Submit" button.

Some fields are required, some fields are required when applicable, and some fields are optional. Required fields are indicated by a "*" next to the field name. If the user is not ready to submit the Order registration to the CFPB, the user may select the "Save & Exit" button to save the information and any documents uploaded.

Editing a draft order registration

To return to, or edit, a draft registration for a covered Order:

1. Click on the Order Management tab;

2. Locate the draft Order on the Draft Orders table;
3. Click the “Edit Draft” button on the right-hand side of the order’s row;
4. Review and, if applicable, revise any selections and information previously submitted (see Section 2.5.2);
5. Upload any applicable documents (i.e., any amendments and/or modifications to the Order); and
6. Click the “Save & Submit” button.

If the user is not ready to submit the order to the CFPB, the user may select the “Save & Exit” button to save the information and any documents uploaded.

Submitting revisions to a completed order registration


If, at any time after submitting a covered order to the CFPB’s NBR Portal, the order information changes or is amended and/or modified, a registered nonbank user with the appropriate portal permissions may edit the order information and upload additional order documents within the required timeframe.

To edit the registration for a previously submitted covered order:

1. Click on the Order Management tab;
2. Locate the Order on the Orders Submitted to CFPB table;
3. Click the “View” button for the Order;
4. Click the “Revise Order” button;
5. Review and, if applicable, revise the previous selection(s) and information previously submitted (see Section 2.5.2); and
6. Click the “Submit Updates” button.

2.5.2 Order Fields

Prior to creating a new order registration, the registered covered nonbank is presented a page of information that includes guidance for determining whether the order is a “covered order.” To proceed with registration, the registered covered nonbank must select the “Proceed” button.

 Only users with Company Point of Contact permissions or Create/Edit Order Management Access permissions can complete the required order fields.

REGISTRATION IS REQUIRED ONLY FOR AN ORDER THAT IS A “COVERED ORDER”

Not all orders are covered orders as defined in the [NBR Orders rule](#). An order must be registered only if it qualifies as a “covered order” under [12 CFR § 1092.201\(e\)](#). This applies to registration and submission of covered orders under [12 CFR § 1092.202](#) and the optional one-time registration under [12 CFR § 1092.203](#) for NMLS-published covered orders.

To avoid needlessly submitting non-covered orders to the Registry, carefully review this definition.

Subject to an exception set forth in [12 CFR § 1092.201\(e\)\(2\)](#) for certain orders issued to certain motor vehicle dealers, you must register an order as a “covered order” if it is a final public order issued by an agency or court, whether or not issued upon consent, that:

- (i) Identifies your company by name as a party subject to the order;
- (ii) Was issued at least in part in any action or proceeding brought by any Federal agency, State agency, or local agency;
- (iii) Contains public provisions that impose obligations on your company to take certain actions or to refrain from taking certain actions;
- (iv) **Imposes such obligations on your company based on an alleged violation of a covered law;** and
 - As used in this definition, the term “covered law” is defined in [12 CFR § 1092.201\(c\)](#). As provided in that section, this term applies only to the extent that the violation of law found or alleged arises out of conduct in connection with the offering or provision of a consumer financial product or service, and includes:
 - For Federal laws:
 - A Federal consumer financial law;
 - Any other law as to which the CFPB may exercise enforcement authority;
 - The prohibition on unfair or deceptive acts or practices under section 5 of the Federal Trade Commission Act, 15 U.S.C. 45, or any rule or order issued for the purpose of implementing that prohibition;
 - For State law:
 - A State law prohibiting unfair, deceptive, or abusive acts or practices that is identified in [Appendix A of 12 CFR part 1092](#);
 - A State law amending or otherwise succeeding a law identified in appendix A, to the extent that such law is materially similar to its predecessor; or
 - A rule or order issued by a State agency for the purpose of implementing a prohibition on unfair, deceptive, or abusive acts or practices contained in a State law described above.
 - If an order does not impose obligations on your company based on an alleged violation of any of the covered laws listed above, then it is not a covered order.
- (v) Has an effective date on or later than January 1, 2017.

You are required to register this order only if it qualifies as a “covered order” under [12 CFR § 1092.201\(e\)](#).

As discussed, to submit an order, or edit an order registration at any stage, the registered covered nonbank must complete or review certain fields for the order.

First, a covered nonbank must identify the order being registered as a registration for a Covered Order or as an NMLS-published covered order (as discussed in Section 2.5.3). **This section discusses the fields for covered orders.**

For any covered Order that:

- 1) is published on the NMLS Consumer Access website and
 - 2) not issued or obtained by the CFPB,
- the company may select the one-time registration notice option below.

Not sure if this covered order qualifies? For more information on optional one-time registration of an NMLS-published covered order review the [Executive Summary of the Nonbank Registration of Orders Rule](#). To determine whether you have an NMLS-covered order(s) (final order published by a state agency through NMLS), [log into your NMLS account](#) or [view on the NMLS Consumer Access website](#). You can also visit the [CFPB's Nonbank Registry public page](#) for general information.

How would you like to proceed with registering this covered order?

- ☒ My company is registering this covered order with the CFPB Nonbank Registry under 12 CFR 1092.202.
- ☐ My company is selecting the option to submit a one-time registration for this NMLS-published covered order (final order published by a state agency through NMLS) under 12 CFR 1092.203.

Clicking "Next" will take you to the applicable registration form based on the response you selected above. Please have the covered order available so that you may answer the questions on the form.

See section 2.5.3 for a discussion of the required fields for the NMLS-published covered orders submitted under the NMLS Option.

A covered nonbank that is registering a covered order must follow these field instructions:

FIELD 1: ORDER IDENTIFYING NUMBER (RULE SECTION: § 1092.202(D)(2)(V))

Order registration

This is where you will register your company's covered order. If your company has more than one covered order, each covered order will require its own registration. For more information on covered orders, review the [Executive Summary of the Nonbank Registration of Orders Rule](#).

You are required to submit revised and final filings of already-registered orders. For an order that is modified and remains in effect, you are required to revise the information below within ninety (90) days of the effective date of such modification. For an order that is fully terminated or abrogated in relevant part and no longer remains in effect, or is no longer a covered order, you are required to submit a final filing. Review the [CFPB's Nonbank Registration Filing Instructions Guide \(FIG\)](#) for more information, including instructions on how to submit a revised filing or a final filing.

You will need the final public covered order (Order) to complete this registration. To upload the Order it must be in PDF format and less than one (1) GB.

A red asterisk (*) indicates a required field.

▼ Order Information

1) * Enter any docket, case, tracking, or other similar identifying number(s) assigned to this Order by the court or government agency.

The identifying number(s) may include numbers, letters, and/or other characters.

If this Order was modified, and the identifying number(s) has changed, enter the identifying number(s) following the most recent modification.

Enter the identifying number for this Order here. If there is more than one identifying number, separate with a semicolon (;)

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, any docket, case, tracking, or other similar identifying number(s) assigned to the covered order by the court or government agency. The identifying number(s) may include numbers, letters, and/or other characters.



EXAMPLES: "2023-CFPB-0999" or "2024-CFPB-099A" or "2023-CFPB-0999; 0:00-XX-00000"

Multiple identifying numbers are separated by a semicolon. If there is no identifying number, enter “None.” If the covered order was modified, and the identifying number(s) has changed, enter only the identifying number(s) following the most recent modification.

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 2: COVERED LAWS VIOLATED OR ALLEGED TO BE VIOLATED TYPE (RULE SECTION: §§ 1092.201(C); 202(D)(2)(IV))

2) * Select all of the covered laws identified in this Order as the subject of a violation or an alleged violation:

☐ State law, rule, or order

☐ Section 5 of the FTC or implementing rule or order

☐ Federal consumer financial law(s) or any other law the CFPB may enforce

Use the text box below to enter applicable covered laws for any of the following:

- If you selected Other for Federal consumer financial law(s) or any other law the CFPB may enforce, or
- If you selected Section 5 of the FTC Act or any implementing rule or order, or
- If you selected State law, rule, or order

If any covered law(s) for this Order are not found above, enter them here. If entering more than one covered law, separate with a semicolon (;) (limited to 1,500 characters). You may also add any additional information regarding the violation(s).

Review the [Nonbank Registration Regulation](#) for more information, including the definition of “covered law.”

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select all the applicable type(s) of violations or alleged violations described in the covered order. Types provided for selection are: 1) State law, rule or order; 2) Section 5 of the FTC or implementing rule or order; and/or 3) Federal consumer financial law(s) or any other law the CFPB may enforce.

Validations

- Must select at least one type.
- Must select all applicable types.

FIELD 2A: FEDERAL CONSUMER FINANCIAL LAWS/CFPB ENFORCEABLE LAWS VIOLATED OR ALLEGED TO BE VIOLATED LIST (RULE SECTION: §§ 1092.201(C); 202(D)(2)(IV))

2) * Select all of the covered laws identified in this Order as the subject of a violation or an alleged violation:

☐ State law, rule, or order

☐ Section 5 of the FTC or implementing rule or order

☒ Federal consumer financial law(s) or any other law the CFPB may enforce

*** Please specify the Federal Regulation(s):**

☐ Consumer Financial Protection Act (including 12 USC 5531 and/or 12 USC 5536)

☐ Consumer Leasing Act and/or its implementing Regulation M

☐ Electronic Fund Transfer Act and/or its implementing Regulation E, including Subpart B (known as the Remittance Rule)

☐ Equal Credit Opportunity Act and/or its implementing Regulation B

☐ Fair Credit Reporting Act and/or its implementing Regulation V

☐ Fair Debt Collection Practices Act and/or its implementing Regulation F

☐ Military Lending Act

☐ Mortgage Acts and Practices Act and/or its implementing Regulation N

☐ Real Estate Settlement Procedures Act and/or its implementing Regulation X

☐ Truth in Lending Act and/or its implementing Regulation Z

☐ Other (the covered law(s) is not found above)

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Federal consumer financial law(s) or any other law the CFPB may enforce” is selected for Field 2.
- *Instructions:* Select the applicable Federal consumer financial law(s) or other law the CFPB may enforce. The options provided are:
 - Consumer Financial Protection Act (CFPA) (including 12 USC 5531 and/or 12 USC 5536)
 - Consumer Leasing Act and/or its implementing Regulation M
 - Electronic Fund Transfer Act (EFTA) and/or its implementing Regulation E (including Subpart B known as the Remittance Rule)
 - Equal Credit Opportunity Act (ECOA) and/or its implementing Regulation B
 - Fair Credit Reporting Act (FCRA) and/or its implementing Regulation V
 - Fair Debt Collection Practices Act (FDCPA) and/or its implementing Regulation F
 - Military Lending Act (MLA)
 - Mortgage Acts and Practices Act and/or its implementing Regulation N
 - Real Estate Settlement Procedures Act (RESPA) and/or its implementing Regulation X
 - Truth in Lending Act (TILA) and/or its implementing Regulation Z

- Other (the covered law(s) is not found above). Select “Other” if the covered law(s) is not available in the multi-select list.

Validations

- Leave blank if “Federal consumer financial law(s) or any other law the CFPB may enforce” is not selected for Field 2.

FIELD 2B: COVERED LAWS VIOLATED OR ALLEGED TO BE VIOLATED – FREE FORM TEXTBOX (RULE SECTION: §§ 1092.201(C); 202(D)(2)(IV))

Use the text box below to enter applicable covered laws for any of the following:

- If you selected Other for Federal consumer financial law(s) or any other law the CFPB may enforce, or
- If you selected Section 5 of the FTC Act or any implementing rule or order, or
- If you selected State law, rule, or order

If any covered law(s) for this Order are not found above, enter them here. If entering more than one covered law, separate with a semicolon (;) (limited to 1,500 characters). You may also add any additional information regarding the violation(s).

Review the [Nonbank Registration Regulation](#) for more information, including the definition of “covered law.”

Instructions

- *Information Type:* Order
- *Required:* Yes, if either 1) “State law, rule or order” was selected for Field 2, 2) “Section 5 of the FTC or implementing rule type” was selected for Field 2 and/or 3) “Federal consumer financial law(s) or any other law the CFPB may enforce” is selected for Field 2 and “Other” was selected for Field 2a.
- *Instructions:* Enter, in the free form textbox, the covered law(s) described in the covered order. If entering more than one covered law, separate each with a semicolon.

Validations

- Must be a maximum of 1,500 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).
- Must be blank if “Federal consumer financial law(s) or any other law the CFPB may enforce” is selected for Field 2 and Other is not selected for Field 2a.

FIELD 3: WAS THE ORDER ISSUED BY A COURT (RULE SECTION: §§ 1092.201(L); 202(D)(2)(I))

✓ Court Information

3) * Was this Order issued by a court?

☐ Yes

☐ No

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select either “Yes” or “No.” Select “Yes” if this Order was issued by a court. Select “No” if this Order was issued by a Federal, State, Tribal, and/or Local government agency(ies).

Validations

- Must select only one value.

FIELD 3A: ISSUING COURT LEVEL (RULE SECTION: § 1092.202(D)(2)(I))

▼ Court Information

3) * Was this Order issued by a court?

☒ Yes

☐ No

* Select the level of court that issued this Order:

* Enter the full name of the court that issued this Order:

Enter the full name of the court here. See Example 1.

Example 1: The government entity that issued the order is typically listed at the top of the order.

UNITED STATES OF AMERICA
[NAME OF THE GOVERNMENT ENTITY THAT ISSUED THE ORDER
(e.g., federal or state court, regulator, or law enforcement agency)]

[GOVERNMENT ENTITY THAT BROUGHT THIS MATTER AND THAT RESULTED IN THIS ORDER] (e.g., federal, state, municipality, tribal, including attorneys general)

v.

[FULL LEGAL NAME OF RESPONDENT]

Docket No. [xxxxxxxx]

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3.
- *Instructions:* Select, from the list, the applicable level of the court that issued the covered order. Options are:
 - Federal
 - State
 - Tribal
 - Local

Validations

- Must select only one value.
- Must leave blank if “Yes” was not selected for Field 3.

FIELD 3B: TYPE OF FEDERAL COURT (RULE SECTION: § 1092.202(D)(2)(I))

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3 and “Federal” is selected for Field 3a
- *Instructions:* Select, from the list, the applicable type of Federal court that issued the covered order. Options are:
 - District Court
 - Circuit Court of Appeals
 - Supreme Court of the United States

Validations

- Must select only one level.
- Must leave blank if “Yes” was not selected for Field 3.
- Must leave blank if State, Tribal, or Local was selected for Field 3a.

FIELD 3C: STATE OR TERRITORY FOR THE FEDERAL COURT THAT ISSUED THE COVERED ORDER (RULE SECTION: § 1092.202(D)(2)(I))

*** Select the type of court that issued this Order.**

*** Enter the full name of the court that issued this Order.**

Enter the full name of the court here. See Example 1.

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3 and “Federal” is selected for Field 3a
- *Instructions:* Select, from the list, the two-character abbreviation for the State or U.S. territory of the court that issued the covered order.

Validations

- Must select only one state or territory.
- Must leave blank if “Yes” was not selected for Field 3.

- Must leave blank if State, Tribal, or Local was selected for Field 3a.

FIELD 3D: TYPE OF STATE COURT (RULE SECTION: § 1092.202(D)(2)(I))

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3 and “State” is selected for Field 3a
- *Instructions:* Select, from the list, the applicable type of Federal court that issued the covered order. Options are:
 - ☐ Circuit Court
 - ☐ Court of Common Pleas
 - ☐ Municipal Court
 - ☐ Magistrate Court
 - ☐ Appellate Court
 - ☐ Appeals Court
 - ☐ Court of Appeals
 - ☐ Court of Civil Appeals
 - ☐ Court of Criminal Appeals
 - ☐ Superior Court
 - ☐ Supreme Judicial Court
 - ☐ Other. Select “Other” if the State court is not available in the drop-down list.

Validations

- Must select only one type.
- Must leave blank if “Yes” was not selected for Field 3.
- Must leave blank if Federal, Tribal, or Local was selected for Field 3a.

FIELD 3E: TYPE OF STATE COURT – “OTHER” FREE FORM TEXTBOX (RULE SECTION: § 1092.202(D)(2)(I))

*** Select the type of court that issued this Order:**

Other

*** Enter the type of State court if not included above:**

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3, “State” is selected for Field 3a, and “Other” is selected for Field 3d
- *Instructions:* Enter, in the free form textbox, the type of State court not provided in the list for Field 3d.

Validations

- Must be a maximum of 255 characters in length.
- Must leave blank if “Yes” was not selected for Field 3.
- Must leave blank if Federal, Tribble, or Local was selected for Field 3a.
- Must leave blank if “Other” is not selected for Field 3d.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 3F: FULL NAME OF THE COURT THAT ISSUED THE ORDER (RULE SECTION: § 1092.202(D)(2)(I))

*** Enter the full name of the court that issued this Order:**

Enter the full name of the court here. See Example 1.

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 3
- *Instructions:* Enter, in the free form textbox, the full name of the court issuing the covered order, as it is entered on the order.



EXAMPLE: “United States District Court For The Western District Of Oklahoma”

Validations

- Must be a maximum of 255 characters in length.

- Must leave blank if “Yes” was not selected for Field 3.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 4: GOVERNMENT AGENCY(IES) THAT BROUGHT THE MATTER RESULTING IN THE COVERED ORDER (RULE SECTION: § 1092.202(D)(2)(I))

Government Agency(ies) Information

4) * Enter the full name(s) of the government agency(ies) that brought the matter resulting in this Order. (see Example 2)

Government Agency(ies)

Search Government Agencies...

☐ Check the box if one or more applicable government agency(ies) is not found above.

Example 2: The government entity(ies) that brought the matter is typically in the upper left.

UNITED STATES OF AMERICA
[NAME OF THE GOVERNMENT ENTITY THAT ISSUED THE ORDER
(e.g., federal or state court, regulator, or law enforcement agency)]

[GOVERNMENT ENTITY THAT BROUGHT THIS MATTER AND THAT RESULTED IN THIS ORDER (e.g., federal, state, municipality, tribal, including attorneys general)]

Docket No. [placeholder]

v.
[FULL LEGAL NAME OF RESPONDENT]

Instructions

- *Information Type:* Order
- *Required:* Yes, if Field 4a is left blank
- *Instructions:* Enter, in the populating textbox, the full name of the government agency that brought the matter resulting in the covered orders. As a user types, selection options will appear in a results list in the field. A user should select the appropriate option once it appears. If there is more than one government agency that brought the matter, all government agencies that brought the matter should be selected.

If the government agency name does not appear, click “Show more results” in the field and select the government agency name if it appears in that list.

If the government agency name does not appear in the “Show more results list” leave Field 4 blank.

Validations

- May select a government agency(ies) and also select the checkbox in Field 4a (e.g., if multiple government agencies brought the matter resulting in the covered order).

FIELD 4A: CHECKBOX – ONE OR MORE OF THE APPLICABLE GOVERNMENT AGENCY(IES) IS NOT FOUND (RULE SECTION: § 1092.202(D)(2)(I))

Instructions

- *Information Type:* Order
- *Required:* Yes, if Field 4 is left blank
- *Instructions:* Check the box if one or more of the applicable government agency(ies) issuing the covered order is not found in the list provided for Field 4.

Validations

- May check if Field 4 a is not blank.

FIELD 4B: GOVERNMENT AGENCY(IES) FREE FORM TEXTBOX (RULE SECTION: § 1092.202(D)(2)(I))

Government Agency(ies) Information

4) * Enter the full name(s) of the government agency(ies) that brought the matter resulting in this Order. (see Example 2)

Government Agency(ies)

Search Government Agencies...

☒ Check the box if one or more applicable government agency(ies) is not found above.

Enter the name of any applicable government agency not found above.
If entering more than one government agency, separate with a semicolon (;) (limited to 1,500 characters).

Example 2: The government entity(ies) that brought the matter is typically in the upper left.

UNITED STATES OF AMERICA
[NAME OF THE GOVERNMENT ENTITY THAT ISSUED THE ORDER
(e.g., federal or state court, regulator, or law enforcement agency)]

[GOVERNMENT ENTITY THAT BROUGHT THIS MATTER AND THAT RESULTED IN THIS ORDER (e.g., federal, state, municipality, tribal, including attorneys general)]

Docket No. [00000000]

Instructions

- *Information Type:* Order
- *Required:* Yes, if Field 4a is checked
- *Instructions:* Enter, in the free form textbox, the full name of the government agency(ies) that brought the matter that were not available in Field 4. If entering more than one government agency, separate with a semicolon.

Validations

- Must be 1 to 1,500 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 5: ORDER EFFECTIVE DATE (RULE SECTION: § 1092.202(D)(2)(II))

▼ Date Information

5) * Enter the effective date of this Order:

Select the date from the calendar icon or enter it as MMM D, YYYY. (i.e. Jan 1, 2017).

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select from the calendar tool, or manually enter, the effective date of the covered order.



EXAMPLES: “April 6, 2022” or “April 06, 2022” or “Apr 06, 2022” or “4/6/2022” or “04/06/2022”

Validations

- Must not be a future date.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 6: ORDER EXPIRATION DATE (RULE SECTION: § 1092.202(D)(2)(III))

6) * Does this Order have a date of expiration?

- ☐ Yes
☐ No

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select “Yes” or “No.” Select “Yes” if the Order has an expiration date. Select “No” if the Order does not have an expiration date.

Validations

- Must not be left blank.

FIELD 6A: ORDER EXPIRATION DATE – FREE FORM TEXTBOX (RULE SECTION: § 1092.202(D)(2)(III))

6) * Does this Order have a date of expiration?

☒ Yes
☐ No

* Enter the date of expiration for this Order:

Select the date from the calendar icon or enter it as MMM D, YYYY. (i.e. Jan 1, 2017).

Instructions

- *Information Type:* Order
- *Required:* Yes, if “Yes” is selected for Field 6.
- *Instructions:* Select from the calendar tool, or manually enter, the date of expiration of this covered order.



EXAMPLES: “April 6, 2022” or “April 06, 2022” or “Apr 06, 2022” or “4/6/2022” or “04/06/2022”

Validations

- Must not be a date before the date provided in Field 5.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 7: SUPERVISED REGISTERED ENTITY STATUS (RULE SECTION: § 1092.201(Q))

✓ Supervised Registered Entity Attesting Executive Information

7) * Is your company a supervised registered entity?

☐ Yes, my company is a supervised registered entity.
☐ No

Review the [Nonbank Registration Regulation](#) for more information, including what "supervised registered entity" means.

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select “Yes” or “No.” Select “Yes” if the registered nonbank is a supervised registered entity. Select “No” if the registered nonbank is not a supervised registered entity.

Validations

- Must not be left blank.

FIELD 7A: ORDER SUBJECT TO WRITTEN-STATEMENT REQUIREMENTS (RULE: SECTION: § 1092.204(A))

7) * Is your company a supervised registered entity?

☒ Yes, my company is a supervised registered entity.
☐ No

*** Is this order subject to the Rule's written-statement requirements?**

See [12 CFR § 1092.204\(a\)](#).

☐ Yes
☐ No

Review the [Nonbank Registration Regulation](#) for more information, including what "supervised registered entity" means.

Instructions

- *Information Type:* Order
- *Required:* Yes, if "Yes, my company is a supervised registered entity" was selected for Field 7
- *Instructions:* Select "Yes" or "No." Select "Yes" if the registered nonbank is a supervised registered entity and the order is subject to the written-statement requirements. Select "No" if the registered nonbank is a supervised entity and the order is not subject to the written-statement requirements.

Validations

- Must not be left blank.

FIELD 7B: FIRST AND LAST NAME OF THE ATTESTING EXECUTIVE FOR THE ORDER (RULE SECTION: § 1092.202(D)(3))

*** Is this order subject to the Rule's written-statement requirements?**

See [12 CFR § 1092.204\(a\)](#).

☒ Yes
☐ No

*** Enter the first and last name of the attesting executive designated with respect to this Order:**

There may only be one attesting executive designated at any one time for this Order.

Instructions

- *Information Type:* Order
- *Required:* Yes, if "Yes" was selected for Field 7a
- *Instructions:* Enter, in the free form textbox, the first name and last name of the attesting executive (as generally used by the executive for business purposes) designated for the

covered order of the CFPB-Supervised Covered Nonbank.



EXAMPLE: If the person's name is Jane Smith, enter "Jane Smith"

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 7C: TITLE OF THE ATTESTING EXECUTIVE FOR THE ORDER (RULE SECTION: § 1092.202(D)(3))

Instructions

- *Information Type:* Order
- *Required:* Yes, if "Yes" was selected for Field 7a
- *Instructions:* Enter, in the free form textbox, the official title of the attesting executive designated for the covered order of the CFPB-Supervised Covered Nonbank.



EXAMPLES: "Chief Compliance Officer" or "Vice President"

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 8: FILE UPLOAD (RULE SECTION: §§ 1092.202(D)(1); 202(B)(2)(II))

✓ Upload Documents

8) * Upload all required covered order documents. You must upload a fully executed, accurate, and complete copy of the covered order. If any amendments or modifications have been made to this covered order prior to submitting to the CFPB, upload those documents.

Note: Upload the Order and any amendments and/or modifications previously made to this Order. Before uploading documents, ensure that you redact (i.e. block out, censor, obscure) any portions that are not public and clearly mark those sections as such.

Upload Attachment



PDF only. File number limit: 10; Single file size limit: 1GB

Instructions

- *Information Type:* Order
- *Required:* Yes, for new orders. Yes, if "Yes" was selected for Field 8a for revised orders.
- *Instructions:* Upload a fully executed, accurate, and complete copy of the original covered order. Any portions of



Once submitted, documents may not be deleted; however, new documents may be uploaded.

the covered order that are not public must be clearly marked prior to submitting. Portions may be marked as not public by overwriting those portions with a black pen, cover-up tape, redaction tape, computer programs that provide pixel shift or blurring, etc.

Validations

- Files must be in PDF format.
- File size is limited to 1 gigabyte per PDF file uploaded, and a total of 2 gigabytes for all files uploaded with the notice.
- Each notice may include up to 10 PDF files. Multiple files may be uploaded at the same time or individually.

FIELD 8A: REVISED ORDERS – AMENDMENT OR MODIFICATION (RULE SECTION: § 1092.202(B)(2)(II))

8) * Are you filing an amendment or modification to this Order?
☐ Yes
☐ No

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select “Yes” or “No.” Select “Yes” if the Order was amended or modified after registering it with the CFPB. Select “No” if the Order was not amended or modified after registering it with the CFPB, and another type of revision or modification is being submitted.

Validations

- Must not be blank for revised order submissions.

FIELD 9: AFFILIATE NAMES (RULE SECTION: §§ 1092.101(A); 202(C))

▼ Company Affiliates

9) Enter the names of any of your company's affiliates that are required to register with respect to this covered order. (limited to 1,000 characters)

Instructions

- *Information Type:* Administrative

- *Required:* Yes, if applicable
- *Instructions:* Enter, in the free form textbox, the names of any affiliates of the registered nonbank that are covered nonbanks and are named parties to this covered order. If there is more than one affiliate, separate each name with a semicolon.


Validations

- Must be 0 to 1,000 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.5.3 NMLS-Published Order Submissions

If an order was published on the NMLS Consumer Access webpage, the registered covered nonbank may, at its option, comply with the NMLS-published order registration process to register the order with the CFPB's NBR Portal.

Orders that comply with this process are not part of Annual or Final Statement Filings (see Sections 2.5.4 and 2.5.5, respectively). More information about NMLS-published orders can be found in the [Nonbank Registration of Orders](#) [Final Rule Executive Summary](#). To determine eligibility for the NMLS Option for compliance, a covered nonbank can review their NMLS-published orders by logging into NMLS or by reviewing the NMLS Consumer Access Website. [Instructions](#) for accessing and reviewing orders on the NMLS website through either of these channels are available on the Resources for Filers – Covered Nonbanks section of the CFPB's NBR Portal.

 Questions about the NMLS Option, including eligibility and how to provide the required information to the CFPB's NBR Portal, should be submitted to the CFPB's Nonbank Registry by either submitting a support ticket in the portal or emailing NBRHelp@cfpb.gov, as discussed in Section 2.6. Questions about the NMLS Option **should not** be submitted to the NMLS Call Center.

To comply with the NMLS Option, a registered covered nonbank does the following:

1. Click the “+ New Order” button on the Draft Orders table on the Order Management tab;
2. Click the “Proceed” button;
3. Click the radio button to select “My company is selecting the option to submit a one-time registration for this NMLS-published covered order (final order published by a state

agency through NMLS) under 12 CFR 1092.203;”

4. Click the checkbox to select “By choosing this option my company confirms that this covered order is an NMLS-published covered order as defined at 12 CFR 1092.201(k) and is eligible for registration under 12 CFR 1092.203, including that this covered order is not issued or obtained by the CFPB;”
5. Click the “Next” button;
6. Enter the information; and
7. Click the “Submit” button.

For any covered Order that:


- 1) is published on the NMLS Consumer Access website and
- 2) not issued or obtained by the CFPB,


the company may select the one-time registration notice option below.

Not sure if this covered order qualifies? For more information on optional one-time registration of an NMLS-published covered order review the [Executive Summary of the Nonbank Registration of Orders Rule](#). To determine whether you have an NMLS-covered order(s) (final order published by a state agency through NMLS), [log into your NMLS account](#) or view on the [NMLS Consumer Access website](#). You can also visit the [CFPB's Nonbank Registry public page](#) for general information.

How would you like to proceed with registering this covered order?

☐ My company is registering this covered order with the CFPB Nonbank Registry under 12 CFR 1092.202.

 ☒ My company is selecting the option to submit a one-time registration for this NMLS-published covered order (final order published by a state agency through NMLS) under 12 CFR 1092.203.

 ☒ By choosing this option my company confirms that this covered order is an NMLS-published covered order as defined at 12 CFR 1092.201(k) and is eligible for registration under 12 CFR 1092.203, including that this covered order is not issued or obtained by the CFPB.

Clicking "Next" will take you to the applicable registration form based on the response you selected above. Please have the covered order available so that you may answer the questions on the form.

Next

FIELD 1: ORDER EFFECTIVE DATE (RULE SECTION: § 1092.203(B))

*** Enter the effective date of this Order.**

Select the date from the calendar icon or enter it in the format of MMM D, YYYY. (i.e. Jan 1, 2017)



Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select from the calendar tool, or manually enter, the effective date of the covered order.



EXAMPLES: “April 6, 2022” or “April 06, 2022” or “Apr 06, 2022” or “4/6/2022” or “04/06/2022”

Validations

- Must not be a future date.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 2: ORDER IDENTIFYING NUMBER (RULE SECTION: § 1092.203(B))

*** Enter any docket, case, tracking, or other similar identifying number(s) assigned to this Order by the applicable agency(ies) or court(s). The identifying number(s) may include numbers, letters, and/or other characters:**

Enter the identifying number for this Order here. If there is more than one identifying number, separate them with a semicolon (;).

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, any docket, case, tracking, or other similar identifying number(s) assigned to the covered order by the court or government agency. The identifying number(s) may include numbers, letters, and/or other characters. Multiple identifying numbers are separated by a semicolon. If the covered order was modified, and the identifying number(s) has changed, enter only the identifying number(s) following the most recent modification.

If no identifying number exists, enter “None.”



EXAMPLE: "0:00-XX-00000"

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 3: DOES THE INFORMATION MATCH THE NMLS CONSUMER ACCESS WEBSITE (RULE SECTION: § 1092.203(B))

* Does the information you entered above match what is published on the **NMLS Consumer Access website** for this Order?

☐ Yes

☐ No

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Select "Yes" or "No." Select "Yes" if 1) the effective date entered into the CFPB's NBR Portal matches the Date of Action published on the NMLS Consumer Access website and 2) the identifying number(s) entered into the CFPB's NBR Portal matches the Docket Number published on the NMLS Consumer Access website. If either of these two values are different from those published on the NMLS Consumer Access website, select "No."

Validations

- Must not be left blank.

FIELD 3A: DOES THE INFORMATION MATCH THE NMLS CONSUMER ACCESS WEBSITE FREE FORM TEXTBOX (RULE SECTION: § 1092.203(B))

* Does the information you entered above match what is published on the **NMLS Consumer Access website** for this Order?

☐ Yes

☒ No

* Briefly explain any differences between the information you entered for this Order and the information published on the **NMLS Consumer Access website**:

Instructions

- *Information Type:* Order
- *Required:* Yes, if “No” was selected for Field 3
- *Instructions:* Enter, in the free form textbox, an explanation for any differences between the information entered into the CFPB’s NBR Portal and the information published on the NMLS Consumer Access website.



EXAMPLE: If the registered nonbank’s Order’s identifying number is entered as 0:00-XX-00000 in the CFPB’s NBR Portal, but the Docket number on the NMLS Consumer Access website is “None”, explain this difference in the textbox (i.e., “The identifying number on this order is 0:00-XX-00000; however, it is published as “None” in the Docket Number on the NMLS Consumer Access website.”).

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.5.4 Annual Statement Filings

For each registered covered orders, a registered covered nonbank that is a CFPB-Supervised Covered Nonbank² must annually submit certain information about the order, including the written statement. See the [Nonbank Registration of Orders Final Rule Executive Summary](#) for more information.

To submit an annual statement for each covered order, the applicable registered covered nonbank does the following:

1. Click the Order Management tab;
2. Locate the applicable order on the Orders Submitted to the CFPB table;
3. Click the “View” button in the row for the applicable order on the Orders Submitted table on the Order Management tab;
4. Scroll to the bottom of the Order Details page;
5. Click the “+ Submit Annual Filing” button;

² This guide uses the term “CFPB-Supervised Covered Nonbank” interchangeably with the term “supervised registered entity” defined at 12 CFR § 1092.201(q). CFPB-Supervised Covered Nonbank includes, subject to certain exceptions, covered nonbanks that are registered or required to be registered by the regulation and that are subject to supervision and examination by the CFPB pursuant to 12 U.S.C. § 5514(a). The term includes both Larger Participant CFPB-Supervised Covered Nonbanks and Other CFPB-Supervised Covered Nonbanks, as discussed in the [Nonbank Registration of Orders Final Rule Executive Summary](#).

Related Annual Statement Filings			
Attesting Year	Attesting Executive	Submitted Date	View Details
First Previous Page Next Page Last	Page 1 of 1 Showing rows 1-0 out of 0		

+ Submit Annual Filing

6. Complete all applicable fields;

7. Upload the written statement in a PDF file. The written statement PDF must contain: (1) the handwritten or electronic signature of the applicable attesting executive for the covered order; and (2) a clearly printed copy of the first and last name (as generally used by the executive for business purposes) and official title of the attesting executive. An uploaded document may only be deleted prior to submitting the filing;

8. Enter any Additional Information in the textbox, as applicable; and

9. Click “Submit Filing.”

Once the Annual Statement Filing is submitted, no revisions can be made to the fields, nor can any uploaded document be deleted or replaced. If, at any time after submitting the filing for the attesting year, the filing requires a change (e.g., information entered on a field was incorrect, the wrong document was uploaded), a new Annual Statement Filing must be created with an explanation for the re-submission of the filing entered in the optional Additional Information field.

A user may cancel the draft Annual Statement Filing at any time. Doing so will delete all information and documents uploaded for this Annual Statement Filing and return to the Related Annual Statement Filings table. There is no option to save a partially completed filing. Additionally, refreshing the webpage will erase any data entered.

The following fields are required when submitting an Annual Statement Filing for a registered covered order.

FIELD 1: ATTESTING YEAR (RULE SECTION: § 1092.204(D))

Annual Statement

(*) A red asterisk indicates a required field

If your company is a supervised registered entity, this is where you submit an annual written statement, signed by the designated attesting executive, regarding compliance with this Order. Review the [CFPB's Nonbank Registration Filing Instructions Guide \(FIG\)](#) for more information, including annual reporting requirements for supervised registered entities. You can also visit the [CFPB's Nonbank Registry public page](#) for general information.

*** Attesting Year**

Instructions

- *Information Type:* Identifying
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the 4-character numeric year that is the attesting year (generally, the preceding calendar year) for the annual written statement for the covered order of the CFPB-Supervised Covered Nonbank.



EXAMPLE: “2030”

Validations

- Must be 4 characters in length.
- Must start with “20” and have only 2 numbers (i.e., 1, 2, 3, etc.) after.
- Must not include uppercase and lowercase letters (i.e., A-Z and a-z), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 2: ATTESTING EXECUTIVE FIRST AND LAST NAME (RULE SECTION: § 1092.204(B))

* Attesting Executive Information

* First and Last Name

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the first name and last name of the attesting executive (as generally used by the executive for business purposes) designated for the covered order of the CFPB-Supervised Covered Nonbank.



EXAMPLE: “Jane Smith”

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 3: ATTESTING EXECUTIVE TITLE (RULE SECTION: § 1092.204(B))

* Title

Instructions

- *Information Type:* Order
- *Required:* Yes
- *Instructions:* Enter, in the free form textbox, the official title of the attesting executive designated for the covered order of the CFPB-Supervised Covered Nonbank.



EXAMPLES: “Chief Compliance Officer” or “Vice President”

Validations

- Must be 1 to 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 4: FILE UPLOAD (RULE SECTION: § 1092.204(D))

* Upload the written statement signed by the attesting executive

(PDF only)

- The written statement PDF must contain: (1) the handwritten or electronic signature of the applicable attesting executive for the covered order; and (2) a clearly printed copy of the first and last name (as generally used by the executive for business purposes) and official title of the attesting executive.

Upload Attachment

Upload Files

Or drop files

Upload one file at a time. PDF only. File number limit: 10; Single file size limit: 1GB

Instructions

- *Information Type:* Confidential Supervisory Information
- *Required:* Yes
- *Instructions:* Upload the written statement signed by the attesting executive for the registered nonbank for the attesting year.



Once submitted, documents may not be deleted.

The written statement PDF must contain: 1) the handwritten or electronic signature of the applicable attesting executive for the covered order; and 2) a clearly printed copy of the first and last name (as generally used by the executive for business purposes) and official title of the attesting executive.

Clicking “Upload Files” displays a pop-up for the user to select the file to be uploaded. After selecting the file, click the “Done” button, or the “X” at the top right corner of the

pop-up window to return to the screen. Select the “X” icon to the left of the file to delete the uploaded file.

Validations

- Files must be in PDF format.
- File size is limited to 1 gigabyte per PDF file uploaded, and a total of 2 gigabytes for all files uploaded with the filing.
- Each filing may include up to 10 PDF files.
- Each file must be uploaded individually.

FIELD 5: ADDITIONAL INFORMATION (RULE SECTION: § 1092.204(B))

Additional Information (limited to 1,000 characters)

Instructions

- *Information Type:* Administrative
- *Required:* No
- *Instructions:* Enter, in the free form textbox, additional information regarding the annual written statement for the covered order of the CFPB-Supervised Covered Nonbank.

Leave blank if not applicable.

Validations

- Must be 0 to 1,000 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.5.5 Final Statement Filings

For each registered covered order, a registered covered nonbank must submit certain information about the order when it is terminated, abrogated, or ceases to be a covered order. See the [Nonbank Registration of Orders Final Rule Executive Summary](#) for more information.

To submit a Final Statement for each covered order, the applicable registered covered nonbank does the following:

1. Click the Order Management tab;
2. Locate the applicable order on the Orders Submitted to the CFPB table;
3. Click the “View” button in the row for the applicable order on the Orders Submitted table on the Order Management tab;
4. Scroll to the bottom of the Order Details page;
5. Click the “+ Submit Final Filing” button;

Related Final Statement Filings			
Reason Order is No Longer Covered	Terminated Effective Date	Submitted Date	View Details

[First](#)
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[Last](#)

Page 1 of 1
Showing rows 1-0 out of 0

6. Complete all applicable fields;
7. Upload any relevant documentation;
8. Enter any additional information in the textbox, as applicable; and
9. Click “Submit Filing.”

Once the filing is submitted, no revisions can be made to the fields, nor can any uploaded document be deleted or replaced. If, at any time after submitting the filing, the filing requires a change (e.g., information entered on a field was incorrect, the wrong document was uploaded), a new Final Statement Filing must be created with an explanation for the re-submission of the filing entered in the optional Additional Information field.

A user may cancel the draft final filing at any time. Doing so will delete all information and/or documents uploaded for this Final Statement filing and return to the Related Final Statement Filings table. There is no option to save a partially completed filing. Additionally, refreshing the webpage will erase any data entered.

The following fields are required when submitting a Final Statement Filing for a registered covered order.

FIELD 1: HOW WAS THE ORDER TERMINATED, ABROGATED, OR CEASED TO BE A COVERED ORDER (RULE SECTION: § 1092.202(F))

Final Filing

(*) A red asterisk indicates a required field

This is where you submit a final filing for this Order. This filing must be submitted within 90 days of the effective date of termination, abrogation, or expiration for this Order. [Click here](#) for more information, including how to submit a final filing. You can also visit the [CFPB's public website](#) for general information.

* How was this Order terminated, abrogated, or ceased to be a covered order?

☐ By its own terms
☐ By action of the applicable agency or court
☐ Has ceased to be a covered order for purposes of the Rule under 12 CFR 1092.202(e)
☐ Other

Instructions

- *Information Type:* Identifying
- *Required:* Yes
- *Instructions:* Select, from the list, the most applicable reason or method for how this covered order came to be terminated or abrogated, or ceased to be a covered order for purposes of the Nonbank Registration Regulation. Options are:
 - ☐ By its own terms
 - ☐ By action of the applicable agency or court
 - ☐ Has ceased to be a covered order (12 CFR 1092.202(e))
 - ☐ Other. Select “Other” if one of the three previous values do not apply.

Validations

- Must not be left blank.

FIELD 1A: METHOD OF TERMINATION, ABROGATION, OR CESSATION – “OTHER” FREE FORM TEXTBOX (RULE SECTION: § 1092.202(F))

* How was this Order terminated, abrogated, or ceased to be a covered order?

☐ By its own terms
☐ By action of the applicable agency or court
☐ Has ceased to be a covered order for purposes of the Rule under 12 CFR 1092.202(e)
☒ Other

Instructions

- *Information Type:* Identifying
- *Required:* Yes, if “Other” is selected for Field 1
- *Instructions:* Enter, in the free form textbox, how the registered covered order was terminated, abrogated, or ceased to be a covered order for purpose of the Nonbank Registration Regulation.


Validations

- Must be a maximum of 255 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).
- Must leave blank if “Other” is not selected for Field 1.

FIELD 2: EFFECTIVE DATE OF ORDER TERMINATION, ABROGATION, OR CESSATION (RULE SECTION: § 1092.202(F))

* What is the effective date that this Order was terminated, abrogated, or ceased to be a covered order?

Select the date from the calendar icon or enter it as MMM D, YYYY. (i.e. Jan 1, 2017).



Instructions

- *Information Type:* Identifying
- *Required:* Yes
- *Instructions:* Select from the calendar tool, or manually enter, the effective date of the termination, abrogation, or cessation of the registered covered order.



EXAMPLES: “April 6, 2022” or “April 06, 2022” or “Apr 06, 2022” or “4/6/2022” or “04/06/2022”


Validations

- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

FIELD 3: FILE UPLOAD (RULE SECTION: §§ 1092.202(B)(2)(II); 202(F))

* Upload any relevant documentation

Upload Attachment

 Upload Files

 Or drop files

Upload one file at a time. PDF only. File number limit: 10; Single file size limit: 1GB

Instructions

- *Information Type:* Identifying
- *Required:* Yes
- *Instructions:* Upload any documentation relevant to the termination, abrogation, or cessation of the registered covered order.



Once submitted, documents may not be deleted.

Clicking “Upload Files” displays a pop-up for the user to select the file to be uploaded. After selecting the file, click the “Done” button, or the “X” at the top right corner of the pop-up window to return to the screen. Note: The file preview links may take up to a minute to load depending on file size and internet speed. Select the “X” icon to the left of the file to delete the uploaded file.

Validations

- Files must be in PDF format.
- File size is limited to 1 gigabyte per PDF file uploaded, and a total of 2 gigabytes for all files uploaded with the filing.
- Each filing may include up to 10 PDF files.
- Each file must be uploaded individually.

FIELD 4: ADDITIONAL INFORMATION (RULE SECTION: § 1092.202(F))

Additional Information (limited to 1,000 characters)

Instructions

- *Information Type:* Identifying
- *Required:* No
- *Instructions:* Enter, in the free form textbox, additional information regarding the termination, abrogation, or cessation of the registered covered order for the registered covered nonbank.

Leave blank if not applicable.

Validations

- Must be 0 to 1,000 characters in length.
- May contain any combination of uppercase and lowercase letters (i.e., A-Z and a-z) and numbers (i.e., 1, 2, 3, etc.), spaces, or special characters (e.g., hyphen, apostrophe).

2.6 Support tab

Users can request regulatory guidance or technical support from the CFPB if they have a question but are unable to find the answer in the resources provided by the CFPB. Requests for support can be made by:

- *Submitting a Support Ticket within the CFPB’s NBR Portal:* A user that is logged into the

CFPB’s NBR Portal may request assistance from the CFPB by selecting the Support tab at the top of the CFPB’s NBR Portal and submitting a Support Ticket. The Subject and Describe the Issue textboxes are required. After clicking “Submit” a pop-up window will appear where up to 10 PDF files may be uploaded with the submission.

- *Submitting an email request:* If there is no access to the CFPB’s NBR Portal, a person may request assistance by emailing NBRHelp@cfpb.gov. The email should contain the question, as well as contact information so that the CFPB may respond to the inquiry.

2.6.1 CFPB’s NBR Portal Support Tickets

All Support Tickets submitted by all users of the registered nonbank are recorded in the Support Tickets table in the CFPB’s NBR Portal.

Support Tickets				
NBR Assigned ID	Company	User	Subject	View Details
[REDACTED]	Company A		Sample Subject Line	View
[REDACTED]	Company A		Sample Subject Line	View
First Previous Page Next Page Last				Page 1 of 1 Showing rows 1-2 out of 2

The Support Tickets table includes:

- **NBR Assigned ID:** This field identifies the Support Ticket’s NBR Assigned ID, as assigned by the system.
- **Company:** This field return the company name under which the user submitted the Support Ticket.
- **User:** This field returns the name of the user who submitted the Support Ticket.
- **Subject:** this field returns the Subject as entered by the user who submitted the Support Ticket.
- **View:** Users can view the description of the issue as entered by the Support Ticket filer and/or any file(s) uploaded with the Support Ticket, by clicking the “View” button on the Support Tickets table. Clicking this button returns a pop-up that displays the data entered by the nonbank’s user. Clicking the “View File” button within that pop-up window will open the document in a new browser tab. Note: The file preview links may take up to a minute to load depending on file size and internet speed.

This information is administrative information.

Each user has access to a Support Ticket table that contains tickets for all registered nonbanks associated to their profile so the user may view and access tickets without requiring the user to switch profiles. Users with more than five tickets will have more than one table page. To navigate to other table pages, use the “First,” “Previous Page,” “Next Page,” and “Last” buttons at the bottom left-hand corner of the table.

CFPB’s response to a Support Ticket is sent via email to the email address on the user’s account in the CFPB NBR Portal. CFPB responses are not accessible or viewable through the CFPB’s NBR Portal.

To submit a Support Ticket, a user must submit certain required information:


The screenshot shows a web form titled "NBR Portal Support". Below the title, it states: "Answers to most questions can be found in the CFPB's Nonbank Registration Filing Instructions Guide (FIG). If you have a technical issue (i.e., system access/use related) or did not find the answer to your question in the Reference Guide, complete the information below and submit a ticket." The form is pre-filled with "Company A" in the "Contact Name" field. The "Subject" field is labeled "Subject (limited to 255 characters)" and contains the placeholder text "In a few words, enter the reason you are requesting support". The "Describe the issue" field is labeled "Describe the issue (limited to 32,000 characters)" and contains the placeholder text "Do not include sensitive information (for example, home address, Social Security number, etc.)". A green "Submit" button is at the bottom right of the form.

- **Subject:** Enter a brief subject of the question or issue. For example, if a user’s email address has changed since account creation and the user requires the CFPB to update that email address for them, a user would enter “Email Address Change” as the Subject. The Subject is limited to 255 characters.
- **Issue Description:** Enter a full description of the question or issue. In the example above, a user might submit “My current email address linked to my CFPB’s NBR Portal account has changed. I would like to change it to example@nonbank.com.” Issue descriptions are limited to 32,000 characters.

Tickets are pre-populated with the name of the user logged into the CFPB’s NBR Portal. Support Ticket information submitted is administrative information.

Once a user enters the required information and clicks submit, the user will be given the opportunity to optionally upload files that may be relevant to the question or issue. Files must

be in PDF format, are limited to 1 gigabyte per file with a total of 2 gigabytes per ticket, and the user cannot upload more than 10 PDF files. Multiple files may be uploaded at the same time or individually.

Attach Files (Optional)	
FILE UPLOAD	
<div><div> Upload Files</div><div>Or drop files</div></div> <p><small>Upload one file at a time. PDF only. File number limit: 10; Single file size limit: 1GB</small></p>	
FILES	
<div>Submit</div>	

Clicking “Submit” on the Attach Files (Optional) window will submit the Support Ticket to the CFPB for review and response.