

How to View Regulatory Action Details in NMLS

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

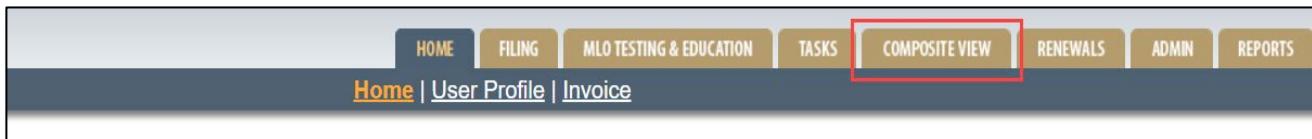


Figure 1: View of Tabs in NMLS

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

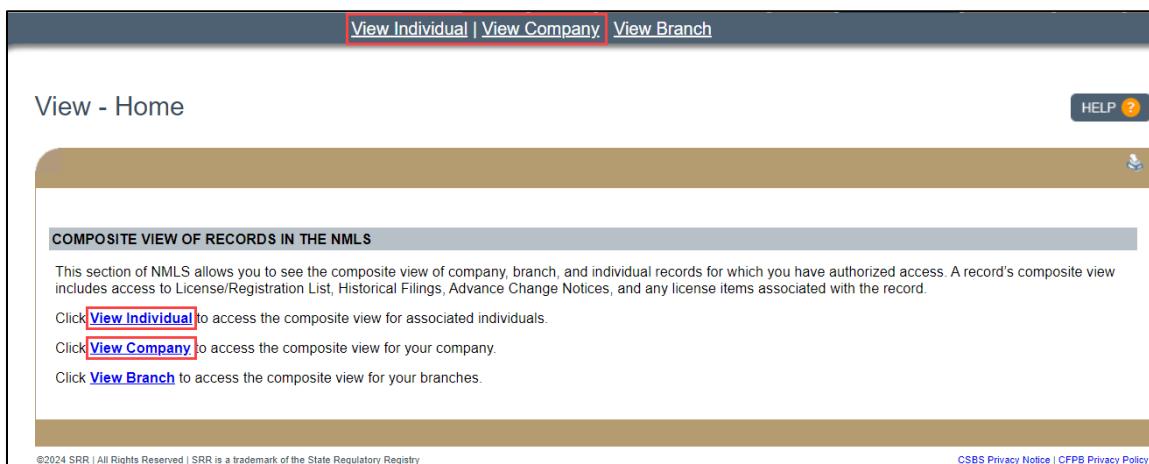


Figure 2: Composite View Tab in NMLS

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



Figure 3: Regulatory Actions Page in the Left Navigation Panel

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

State Regulatory Actions							HELP ?
Mortgage State Company LL (39431)							
State Regulatory Actions							
Action ID	Docket Number	Posted By	Action Type	Multi-state Action ID	Privacy Level	Last Updated Date	Last Updated By
1 101325	MSR-2: [REDACTED] ID		Cease and Desist	M [REDACTED]	Public	4/14/2015	SrlDReg

Figure 4: State Regulatory Actions – Details

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

State Regulatory Action Detail							HELP ?												
<p>Action ID: 10 [REDACTED] Privacy Level: Public Posted By Regulator: ID Multi-state Action: Yes Multi-state Action ID: M [REDACTED] Docket Number: MSR- [REDACTED] Posted on Behalf of: Date of Action: 02/11/2009 Action Type: Cease and Desist Description of Action: Fine/Penalty Amount: Restitution Amount: External Notes:</p>							Last Updated Date: 04/14/2015 Last Updated By: SrlDReg												
Respondents																			
<table><thead><tr><th>Name and ID</th><th>Entity Type</th></tr></thead><tbody><tr><td>[REDACTED]</td><td>Company LL ([REDACTED]) Company</td></tr></tbody></table>							Name and ID	Entity Type	[REDACTED]	Company LL ([REDACTED]) Company									
Name and ID	Entity Type																		
[REDACTED]	Company LL ([REDACTED]) Company																		
Artifacts																			
<table><thead><tr><th>Type</th><th>Privacy Level</th><th>Added Date</th><th>Added By</th><th>Last Updated Date</th><th>Last Updated By</th></tr></thead><tbody><tr><td>Initial Order</td><td>Public</td><td>4/9/2015</td><td>SrlDReg</td><td>4/14/2015</td><td>SrlDReg</td></tr></tbody></table>							Type	Privacy Level	Added Date	Added By	Last Updated Date	Last Updated By	Initial Order	Public	4/9/2015	SrlDReg	4/14/2015	SrlDReg	
Type	Privacy Level	Added Date	Added By	Last Updated Date	Last Updated By														
Initial Order	Public	4/9/2015	SrlDReg	4/14/2015	SrlDReg														

Figure 5: State Regulatory Actions – Details

How to View Regulatory Actions on NMLS Consumer Access

Follow the steps below to view regulatory actions marked as public on NMLS Consumer Access. For more details about what is found in NMLS Consumer Access, consult the [Information Viewable in NMLS Consumer Access](#) resource.

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

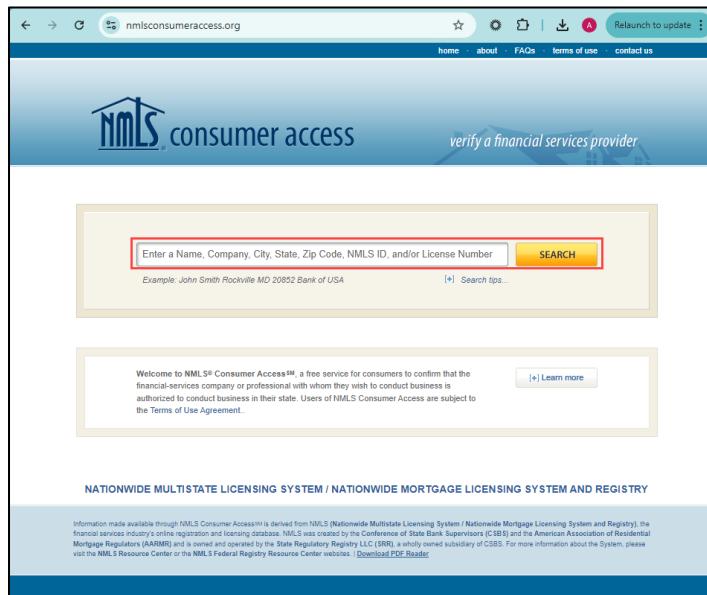


Figure 6: NMLS Consumer Access Homepage

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

Figure 7: Terms and Conditions and Captcha Security Page

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

The screenshot shows the NMLS Consumer Access website. At the top, there is a search bar with 'Mortgage, LLC' typed in. Below the search bar, it says '1 match found!' and there are filter options: 'Individual', 'Company', and 'Any Regulator'. The search result is displayed in a box with a red border, showing the company name 'Mortgage, LLC...', NMLS ID (redacted), Address (redacted), and 'Wichita Falls, TX'. Below the result, there is a note about the source of the information.

Figure 8: Search Results on NMLS Consumer Access

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

The screenshot shows the detailed company record for 'S.A.W. Mortgage, LLC'. It includes sections for basic company info, branch locations, state licenses, and regulatory actions. The 'Regulatory Actions' section is highlighted with a red box. It lists three actions:

Regulator	Action Type	Date of Action	Multi-state	Action ID	Docket Number	Associated Document(s)
Alabama	Order - Settlement Agreement and Order	11/19/2021				Settlement Agreement and Order
Mississippi	Order - Agreed Order	09/22/2021		M104		Settlement Agreement and Order
Washington	Order - Settlement Agreement and Order	08/ 04/11/20				Settlement Agreement and Order

Information at the bottom of the page notes that some state and federal agencies may add actions taken in previous years against a licensee; the majority are adding only new actions from 2012 or later. To view complete information regarding regulatory actions posted by the agency, click any regulator link.

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