



## **Federal Registry Institution Reports**

### **Field Definitions**

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Conference of State Bank Supervisors  
1300 I St. NW, Suite 700 East  
Washington, D.C. 20005

# Federal Institution Reports Field Definitions

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This document provides field definitions for the standard reports available to federally registered institutions through the Reports tab in NMLS. The information contained in the report is for entities that are relevant to the institution who is requesting the report.

Except for minor adjustments to account for holidays, the following rules apply regarding the availability of data for Reports within NMLS:

**'As of Date' Reports:** Reports with an 'As Of' date that falls on Monday through Thursday will include data current as of the previous day. Reports with a 'As Of' date that falls on Friday through Sunday will include data current as of the preceding Thursday.

**'Since Date' Reports:** Reports requested on Monday through Thursday will include data up to and including the previous day. Reports requested on Friday through Sunday will include data up to and including the previous Thursday.

The document contains:

- a. A brief description of the report
- b. The report criteria filter options available
- c. The fields contained in the report with field definitions.

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# Federal Registry Institution Reports

## Field Definitions

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### Federal Individual Roster (Institution)

This report provides a list of MLOs associated with the institution and their current NMLS registration status (pending, active and/or inactive) as well as the current CBC request status.

Criteria for the report can be filtered by:

- Employment Status Category (Active Employments, Inactive Employments, Pending Employments)

| Report Field                      | Description   |   |
|-----------------------------------|---|---|
| Individual NMLS ID                | Identifies the unique NMLS ID of the individual.  |   |
| Individual Last Name              | Last name of the individual.  |   |
| Individual First Name             | First name of the individual.   |   |
| Individual Middle Name            | Middle name of the individual.  |   |
| Individual Suffix                 | Individual suffix.  |   |
| Individual Email                  | Individual's email address.   |   |
| Registration Status               | Indicates the status of the registration associated to the Federal Agency that regulates the institution. |   |
|                                   | Pending   | Filing has been submitted, but requirements for active registration not met.                                      |
|                                   | Active  | Filing has been submitted, and requirements for active registration have been met.                                |
|                                   | Inactive  | Previously Active registration, but MLO no longer meets requirements for active registration.                     |
|                                   | Inactive Failed to Renew  | Previously Active registration that failed to renew and MLO no longer meets requirements for active registration. |
| Registration Status Date          | System date and time when the registration status was last updated.                                       |   |
| Work Location Street1 and Street2 | Individual's current work location street address (Street 1, Street 2).                                   |   |
| Work Location City                | City of the work location address.  |   |
| Work Location State               | State Code of the work location address.  |   |
| Work Location Country             | Country of the work location address.   |   |
| Work Location Postal Code         | Postal (zip) code of the work location address.   |   |

| Report Field                      | Description   |   |
|-----------------------------------|---|---|
| Employment Status                 | Indicates the status of the employment record with the Institution.   |   |
|                                   | Confirmed   | Indicates that the employment has been confirmed by the Institution.  |
|                                   | Correction Requested  | Indicates that the Institution has requested a correction to the employment.  |
|                                   | Pending Confirmation  | Indicates that the employment has not yet been acted upon by the Institution, after the individual responds to correction requested.  |
|                                   | Terminated  | Indicates the employment has been terminated by the Institution or the Individual.  |
| Employment Status Date            | System date and time when the employment status was updated.  |   |
| Employment Confirmed Date         | System date and time when the employment record was confirmed.  |   |
| Employment Start Date             | The MLO's employment start date with the Institution.   |   |
| Employment End Date               | The MLO's employment end date with the Institution.   |   |
| Disciplinary Actions Exist?       | Displays as 'Y' if at least one Disciplinary Action exists on the most recently processed MU4R Filing for the individual.           |   |
| Most Recent CBC Completed On Date | Date the CBC had a result returned, was returned illegible, or rejected. This field is only presented for non-terminal employments. |   |
| Current CBC Request Status        | The current status of the criminal background check request, if the employment is not terminated.                                   |   |
|                                   | Closed – Results Received   | Criminal background check has been completed successfully and has resulted in a result being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received. |
|                                   | Expired   | No fingerprint record was associated to the request within the allotted timeframe.  |
|                                   | Pending Fingerprint   | An individual submitted an authorization to conduct a criminal background check and a CBC request has been created in the system.   |
|                                   | Processing Fingerprint  | An individual background check is being performed using the fingerprints provided by the individual.  |
|                                   | Processing Name Check   | An individual background check is being performed by "Name Check" for the individual.   |

| Report Field                    | Description  |
|---------------------------------|--|
| Current CBC Request Status Date | Date on which the corresponding CBC Request Status was set. Not shown for terminated employment records. |
| Report Generated Time           | System date and time when the report was generated.  |

## MU4R Detail Report (Institution)

This report provides a list of MLOs with a pending and/or active employment with the institution and detailed information from the most recently submitted MU4R filing.

Criteria for the report can be filtered by:

- Employment Status Category (Active Employments, Pending Employments)

| Report Field              | Description   |
|---------------------------|---|
| NMLS ID                   | Identifies the unique NMLS ID of the individual.  |
| Last Name                 | Last name of the individual.  |
| First Name                | First name of the individual.   |
| Middle Name               | Middle name of the individual.  |
| Suffix                    | Individual suffix.  |
| Gender                    | Gender of the individual.   |
| State of Birth            | Individual's state of birth.  |
| Country/Province of Birth | Individual's country/province of birth.   |
| Other Names Exist?        | Displays a Yes or a No to indicate if other names exist for the individual.   |
| Business Phone            | Individual's business phone number.   |
| Extension                 | Business phone number extension.  |
| Home Phone                | Individual's home phone number.   |
| Cell Phone                | Individual's cell phone number.   |
| Fax Line                  | Individual's fax number.  |
| Email Address             | Individual's email address.   |
| Address                   | Individual's current residential street address (Street 1, Street 2).   |
| City                      | City of the current residential address.  |
| State                     | State Code of the current residential address.  |
| Country/Province          | Country of the current residential address.   |
| Postal Code               | Postal (zip) code of the current residential address.   |
| Employer                  | Name of current employer, pending or confirmed, listed on the MU4R (name of the institution requesting the report).           |
| NMLS ID                   | NMLS ID of the current employer, pending or confirmed, listed on the MU4R (NMLS ID of the institution requesting the report). |
| Employed From             | Current employment start date (start date of the current employment if the institution requesting the report).                |
| Work Location             | Current work location street address (Street 1, Street 2).  |
| City                      | City of the current work location address.  |
| State                     | State Code of the current work location address.  |

| Report Field                          | Description   |   |
|---------------------------------------|---|---|
| Country/Province                      | Country of the current work location address.   |   |
| Postal Code                           | Postal (zip) code of the current work location address.   |   |
| Status                                | Indicates the status of the employment record with the Institution.   |   |
|                                       | Confirmed   | Indicates that the employment has been confirmed by the Institution.  |
|                                       | Correction Requested  | Indicates that the Institution has requested a correction to the employment.  |
|                                       | Pending Confirmation  | Indicates that the employment has not yet been acted upon by the Institution.   |
| Status Date                           | System date and time when the employment status was updated.  |   |
| Status Updated By                     | Username of the user who last affected the individual's registration status (e.g. System or an institution user).                                       |   |
| Employment Confirmation Date          | System date and time when the employment record was confirmed.  |   |
| Employment Confirmed By               | Username of the user who confirmed the employment, when applicable (e.g. System or an institution user).  |   |
| Other Current Employments?            | Displays a Yes or a No to indicate if the individual has other current employments.   |   |
| Disclosure Questions "Yes" Responses? | Displays a Yes or a No to indicate if the individual has answered "Yes" to one or more disclosure questions on the most recently processed MU4R filing. |   |
| Disciplinary Actions Exist?           | Displays a Yes or a No to indicate if the individual has a Disciplinary Action in the most recently processed MU4R filing.                              |   |
| CBC Status                            | Current status of the criminal background check request on the most recently processed MU4R filing.   |   |
|                                       | Closed  | Criminal background check has been completed successfully and has resulted in a result being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received. |
|                                       | Expired   | No fingerprint record was associated to the request within the allotted timeframe.  |
|                                       | Pending Fingerprint   | An individual submitted an authorization to conduct a criminal background check and a CBC request has been created in the system.   |
|                                       | Processing Fingerprint  | An individual background check is being performed using the fingerprints provided by the individual.  |
|                                       | Processing Name Check   | An individual background check is being performed by "Name Check" for the individual.   |
| CBC Closed - Reason                   | If Status is Closed, this indicates if the CBC request was closed because a result was received, or if prints were returned as illegible or rejected.   |   |
| CBC Status Date                       | Date on which the corresponding CBC Request Status was set.   |   |
| CBC Method                            | Indicates the CBC Method selected on the most recently processed MU4R filing.   |   |
|                                       | NAME  | Name Check  |
|                                       | SUBMITNEW   | Submit New Prints   |
|                                       | USEAUTH   | Use Existing Prints   |
| Fingerprints Taken Date               | Date the current fingerprints were taken.   |   |

| Report Field                     | Description  |
|----------------------------------|--|
| Institution Regulated By         | Name of the federal agency that regulates the employing institution.   |
| Registration Status              | Indicates the status of the registration associated to the Federal Agency that regulates the institution.              |
|                                  | Pending Filing has been submitted, but requirements for active registration not met.                                   |
|                                  | Active Filing has been submitted, and requirements for active registration have been met.                              |
| Registration Status Date         | System date and time when the registration status was last updated.  |
| Initial Active Registration Date | System date and time when the registration status first became active.   |
| Filing Submitted By              | Username of the user who created the most recently processed MU4R filing (e.g. an institution user or the individual). |
| Filing Submission Date           | System date and time the most recently processed filing was submitted.   |
| Report Generated Timestamp       | System date and time when the report was generated.  |

## Federal Criminal Background Check Report (Institution)

This report displays the current CBC for MLOs pending confirmation of employment with an institution.

| Report Field                      | Description  |
|-----------------------------------|--|
| Individual NMLS ID                | Identifies the unique NMLS ID of the individual.   |
| Individual Last Name              | Last name of the individual.   |
| Individual First Name             | First name of the individual.  |
| Individual Middle Name            | Middle name of the individual.   |
| Individual Suffix                 | Individual suffix.   |
| Individual Email                  | Individual's Email Address.  |
| Registration Status               | Indicates the status of the registration associated to the Institution.  |
|                                   | Pending Filing has been submitted, but requirements for active registration not met.   |
|                                   | Active Filing has been submitted, and requirements for active registration have been met.  |
|                                   | Inactive Previously Active registration, but MLO no longer meets requirements for active registration.                                     |
|                                   | Inactive Failed to Renew Previously Active registration that failed to renew and MLO no longer meets requirements for active registration. |
| Registration Status Date          | System date and time when the registration status was updated.   |
| Work Location Street1 and Street2 | Current work location street address.  |
| Work Location City                | City of the work location address.   |
| Work Location State               | State Code of the work location address.   |



| Report Field                    | Description  |
|---------------------------------|--|
| Work Location Country           | Country of the work location address.  |
| Work Location Postal Code       | Postal (zip) code of the work location address.  |
| Employment Start Date           | Current employment start date.   |
| Employment Status               | Indicates the status of the employment record with the Institution.  |
|                                 | Confirmed Indicates that the employment has been confirmed by the Institution.   |
|                                 | Correction Requested Indicates that the Institution has requested a correction to the employment.  |
|                                 | Pending Confirmation Indicates that the employment has not yet been acted upon by the Institution, after the individual responds to correction requested.  |
|                                 | Terminated Indicates the employment has been terminated by the Institution or the Individual.  |
| Employment Status Date          | System date and time when the employment status was updated.   |
| Employment Creation Date        | The date the employment was initially created in NMLS.   |
| Current CBC Request Status      | The current workflow status of the criminal background check request.  |
|                                 | Closed Criminal background check has been completed successfully and has resulted in a result being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received. |
|                                 | Expired No fingerprint record was associated to the request within the allotted timeframe.   |
|                                 | Pending Fingerprint An individual submitted an authorization to conduct a criminal background check, and a CBC request has been created in the system.   |
|                                 | Processing Fingerprint An individual background check is being performed using the fingerprints provided by the individual.  |
|                                 | Processing Name Check An individual background check is being performed by "Name Check" for the individual.  |
| Current CBC Request Status Date | Date on which the corresponding CBC Request Status was set.  |
| New Request Required?           | Y if prints were returned illegible/rejected or if the CBC request has expired without submission of prints. Otherwise, N.   |
| Payment for CBC Required?       | Y if open CBC Request exists but requires payment by an Institution.<br>N if payment for open CBC Request has been submitted.  |
| Payment responsibility          | If Payment is required: column will display the username associated to the payment if the Institution viewing the report must submit payment or "Another company" if an Institution other than the one viewing the report must submit payment.                         |
| Report Generated Time           | System date and time when the report was generated.  |