

## Real Estate Broker MLO License Endorsement Checklist

The NMLS record must match the information on file with the California Department of Real Estate (DRE). It is strongly recommended that a copy of the DRE public license printout is obtained while undergoing this process. Click on the link to obtain a DRE public license printout:  
<http://www2.dre.ca.gov/PublicASP/ppinfo.asp>.

**ALERT! DO NOT** select more than one license type per Company (MU1) form or Individual (MU4) form. If you select more than one license type, you **will** incur additional fees that will **NOT BE REFUNDED!**

### Instructions

1. You must electronically submit the Sole Proprietor - Company (MU1) form and the Individual (MU4) form through NMLS. When completing the "Company Name" on the MU1, use your last, first, and middle personal name(s) separated by commas as they appear on your DRE license record. **DO NOT** list your DBA(s) or a trade name as your company name. A sponsorship request will also need to be submitted after the MU1 and MU4 are submitted. For additional information, see [NMLS Resource Center](#).
2. If you are a broker-associate who intends to perform MLO activities under the affiliation of another broker or corporation under a broker-salesperson agreement, you must be separately authorized to conduct those activities through the NMLS by submitting the Individual (MU4) form in NMLS. After the MU4 is submitted, the responsible broker or corporation will need to create a relationship and a sponsorship request before mortgage loan activities can be conducted by the broker-associate.
3. Real estate brokers who affiliate salespersons with their license need to first have the salespersons properly affiliated with them on DRE records. Also, each salesperson who intends to perform MLO activities must file the Individual (MU4) form to obtain a MLO license endorsement. After the MU4 is filed, the responsible broker will need to create a relationship and a sponsorship request before mortgage loan activities can be conducted by the salespersons.
4. If MLO licensed activities are going to be performed at a branch office, you must have a DRE branch office license on file with the Department and submit a Branch (MU3) form through NMLS, which must be approved prior to conducting MLO activities.
5. You must be listed as the "Qualifying Individual" on the Company (MU1) form.
6. Your business address as the "Qualifying Individual" must match the address listed as the "Main Address" on Company (MU1) form and your main office address as filed with DRE.
7. You must be listed as the Resident/Registered Agent section of the Company (MU1) form, and it should reflect the information as on file with DRE.
8. If you use DBA(s) for mortgage loan origination activities, the DBA(s) must be listed on your real estate license and you must list the DBA(s) in the "Other Trade Names" section in the Company (MU1) form.

9. You must be the individual that attests to the Company (MU1) form.
10. Fees are collected through NMLS and are **NOT REFUNDABLE**. For further information regarding fees, refer to the [Real Estate MLO License Endorsement Fee Summary](#).
11. A license endorsement that is issued before October 31<sup>st</sup>, will be valid through December 31<sup>st</sup> of the same year, and will need to be renewed annually thereafter, if desired. A license endorsement which is issued on or after November 1<sup>st</sup> will be valid through December 31<sup>st</sup> of the following year.

#### Additional Help-

For questions regarding MLO license endorsement requirements, fees, which NMLS form to file, or application requirements, call the DRE Licensing Section at (877) 373-4542.

For questions regarding the electronic filing process, including navigation issues, contact the NMLS call center at (855) 665-7123.