At-A-Glance: Nonbank Order Registration Form

This document provides an at-a-glance view of the form for registering a covered order with the CFPB Nonbank Registry.

Consumer Financial
Protection Bureau

Table of contents

1. Register a Covered Order

Note: Detailed instructions for completing this form, including data entry specifications, can be found in the [Filing Instructions Guide (FIG)](#) located on the [Nonbank Registry Page](#).

The user is first presented with a screen where a choice is made to complete the form for covered order registration with the CFPB or the form for an NMLS-published covered order.

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? Click here for more information on optional one-time registration of an NMLS-published covered order. 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, click here. You can also visit the CFPB's public website 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.

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

2. Covered Order Registration Form (full view)

Sections 2.1 – 2.2 shown below. Sections 2.3 – 2.7 can be found on the next page.

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. Visit the CFPB's public website for more information, including what is a covered order.

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. Click here 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 (;)

[   ]

2) * Select all of the covered laws identified in this Order as 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

Section 2.1

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 (;). You may also add any additional information regarding the violation(s).

[   ]

Visit the CFPB's public website for more information, including the definition of "covered law."

∨ Court Information

3) * Was this Order issued by a court?

○ Yes
○ No

Section 2.2

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)]   Docket No. [##########]

v.

[FULL LEGAL NAME OF RESPONDENT]

Section 2.3

⌄ 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. [#########]

v.

[FULL LEGAL NAME OF
RESPONDENT]

Section 2.4

⌄ 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).

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

○ Yes
○ No

Section 2.5

⌄ Supervised Registered Entity Attesting Executive Information

7) * Is your company a supervised registered entity?

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

Visit the CFPB's public website for more information, including what "supervised registered entity" means.

Section 2.6

⌄ 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

⬆ Upload Files	Or drop files

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

Section 2.7

⌄ Company Affiliates

9) Enter the names of any of your company's affiliates that are required to register with respect to this covered order.

Cancel   💾 Save & Exit   Save & Submit ➤

2.1 Order Information (section view)

∨ 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 (;)

[   ]

2) * Select all of the covered laws identified in this Order as 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 (. You may also add any additional information regarding the violation(s).

[   ]

Visit the CFPB's public website for more information, including the definition of "covered law."

2.2 Court Information (section view)

This section contains radio buttons for the user to select. If "Yes" is selected, additional fields appear.

Court Information

3) * Was this Order issued by a court?

○ Yes
○ No

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)]   Docket No. [#########]

v.

[FULL LEGAL NAME OF RESPONDENT]

2.2.1 Court Level (section view)

Court Information

3) * Was this Order issued by a court?

◉ Yes
○ No

* Select the level of court that issued this Order:

[▲▼]

* Select the type of court that issued this Order:

[▲▼]

* Select the State or territory for the 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)]   Docket No. [#########]

v.

[FULL LEGAL NAME OF RESPONDENT]

2.3　Government Agency(ies) Information (section view)

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 (;).

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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. [#########]

v.

[FULL LEGAL NAME OF RESPONDENT]

2.4　Date Information (section view)

This section contains radio buttons for the user to select. If "Yes" is selected, an additional date field appears.

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).

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

◯ Yes
◯ No

2.5　Supervised Registered Entity Attesting Executive Information (section view)

This section contains radio buttons for the user to select. If "Yes" is selected, additional fields appear.

⌄ Supervised Registered Entity Attesting Executive Information

7) * Is your company a supervised registered entity?

◉ Yes, my company is a supervised registered entity.
◯ 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.

_____

Enter the title of the attesting executive for this Order:

_____

Visit the CFPB's public website for more information, including what "supervised registered entity" means.

2.6   Upload Documents (section view)

⌄ 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

⬆ Upload Files | Or drop files

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

2.7   Company Affiliates (section view)

⌄ Company Affiliates

9) Enter the names of any of your company's affiliates that are required to register with respect to this covered order.

3. NMLS-published Covered Order Registration Form (full view)

NBR: Order Submission

* 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)

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[📅]

Section 3.1

* 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 (;).

[   ]

Section 3.2

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

○ Yes
○ No

Previous   **Submit**

3.1   Order Submission (section view)

NBR: Order Submission

* 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)

ⓘ

[📅]

* 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 (;).

[   ]

3.2 NMLS Consumer Access Website Information Match (section view)

This section contains radio buttons for the user to select. If "No" is selected, an additional field appears.

* 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: