

**Testing & Education Investigation Summary
March 2016 – March 2017**

Violations of the Rules of Conduct (ROC) by Test Takers

Type of Violation	Outcome of Investigation
A test candidate accessed his/her locker and notes during the test.	The candidate's test result was invalidated in NMLS and all state mortgage regulators were notified of the violation.
A test candidate took a long unscheduled break and left the test center.	All state mortgage regulators were notified of the violation.
A test candidate attempted to access notes written on his/her arms during the candidate's test session.	All state mortgage regulators were notified of the violation.
A test candidate presented a fraudulent score report to NMLS.	All state mortgage regulators were notified of the violation.
A test candidate accessed notes written on his/her arms and legs during his/her test.	The candidate's test result was invalidated in NMLS and all state mortgage regulators were notified of the violation.
A test candidate presented a fraudulent score report to a prospective employer.	All state mortgage regulators were notified of the violation.

Violations of the Rules of Conduct (ROC) by Education Students

Type of Violation	Outcome of Investigation
No Violations to Report	

Violations of the Standards of Conduct (SOC) by Course Providers

Type of Violation	Outcome of Investigation
A course provider improperly administered an education course to a mortgage company.	For a period of one year, the provider is required to inform SRR of all classroom education courses it intends to deliver, facilitate access to any course being delivered, and reimburse SRR for all travel-related expenses associated with classroom education course audits. Additionally, the provider's instructors will maintain a log of the start/end times of each course, course module and all breaks.