NMLS Release 2012.2 – Release Notes

Release Date: April 16, 2012

The purpose of this portfolio is to communicate system enhancements and fixes for Release 2012.2 of NMLS, released April 16, 2012. The major enhancements in Release 2012.2 include:

- **NMLS Expansion**: NMLS is being modified to accommodate the licensing and/or registration of non-depository, financial services beyond the mortgage industry. NMLS Company, Branch and Individual Forms will be updated to accommodate other industry requirements as well.

- **Biennial Form Version Change**: Updates to "MU Forms" as part of the NMLS biennial form review process will be made transforming the "MU Forms" to universal non-depository licensing forms (NMLS Company Form, NMLS Branch Form, and NMLS Individual Form) that can be used across a wide range of activities falling under state agency supervision. New disclosure questions have been added to both the company and individual forms.

- **Disclosure Explanations:** State-licensed companies and individuals will be required to provide explanations to 'Yes' answers to disclosure questions. Federally registered Mortgage Loan Originators will have the option of providing explanations to 'Yes' answers to disclosure questions. Individuals will also have the ability to upload documentation supporting the explanation required by their state regulator(s).

- **Document Upload**: State-licensed companies and branches will have the ability to upload supporting documentation (e.g. Articles of Incorporation, Org Chart) required by their state regulator(s) when making a company or branch filing.

- **Criminal Background Checks for Individuals listed on the NMLS Company Form and NMLS Branch Form**: NMLS will accommodate Criminal Background Checks (CBCs) for individuals listed on the Company Form and/or Branch Form for states having the legal authority and approval to perform a CBC on control persons, qualifying individuals and branch managers.

In addition, there are a number of General Enhancements and Problem Reports included in the Release.

NMLS Expansion

State Licensees

NMLS is being modified to accommodate the licensing and/or registration of non-depository, financial services beyond the mortgage industry. NMLS Company, Branch and Individual Forms will be updated to accommodate other industry requirements as well. Some of the changes are form changes being made in connection with the Biennial Form Version Change described in more detail below. In addition, in support of expansion, most jurisdiction listings in NMLS are being converted to state listings.

Biennial Form Version Change

State Licensees

Since launching NMLS in January 2008, SRR has undertaken a review of the "MU Forms" for updating and improvement on a two year cycle. For each round, the Mortgage Licensing Policy Committee creates a temporary working group to consider suggestions for updates and improvements. The first update to the forms went into effect January 2010. Each round of updates includes inviting public comment. The current round of form changes also include suggestions made by three workings groups (Money Services Business Working Group, Debt Related Company Working Group, and Consumer Finance Lending Working Group) to make NMLS more conducive to managing the licensing and registration of non-mortgage industries. The changes to the forms have been discussed with each of the three expansion working groups, on several calls with all state agencies during the summer of 2011, with the Industry Development Working Group, and with parties that submitted a comment. All changes were approved by the Mortgage Licensing Policy Committee.

Given the goal of updating and improving the forms and modifying them to accommodate expansion of NMLS, the finalized forms are intended to be universal non-depository financial services license forms. Going forward, the forms will be known as the NMLS Licensing Forms. Not all data requested on the forms must be completed by all applicants. Specific details regarding the form changes can be found in the Approved NMLS Form Changes for Implementation document on the NMLS Resource Center.

In addition, form changes include Disclosure Explanation functionality for state-licensed companies and individuals and federally registered individuals and Document Upload capability for state-licensed companies and branches, both described in further detail below.

Data Security—The following newly collected fields will be encrypted:

- Company Form, Bank Accounts section
  - Account Number
- Individual Form, Identifying Information section
  - Government-Issued Identification Number
  - Passport Number

Disclosure Explanations

State-licensed Companies and Individuals and Federally Registered Individuals

State-licensed companies and individuals will be required to provide explanations to 'Yes' answers to disclosure questions. Federally registered Mortgage Loan Originators will have the option of providing explanations to 'Yes' answers to disclosure questions.

A new Disclosure Explanations section will be added to the Company Form, Individual Form, and MU4R to allow for addition and management of Disclosure Explanations ("Explanations"). Explanations will be enforced for state-licensed companies and individuals via completeness check. Explanations will be optional for federally registered mortgage loan originators. State-licensed companies and individuals that have "yes" responses to disclosure questions as of the release date will be required to provide Explanations prior to submitting their next filing. Explanations will not be permitted for "no" responses.

A new Explanation Detail screen will be created to allow for the entry of Explanations, including the following fields:

- Brief Description of Explanation – Required text field. Ideally used to provide a short description of the Event that created the need for the Explanation.
- *State licensees only:* Disposition (Pending, On Appeal, Final, Open, Closed, Other) – Required, pre-determined set of statuses. The user will select from to represent the current status of the Event being described by the Explanation.
- *State licensees only:* Disposition Description – Permitted only if Disposition of "Other" is selected.
- Explanation Details – Required text field. Used to capture the main, detailed comment for regulators and federal institutions.
- Applicable Questions – Allows users to select one or more disclosure questions with 'Yes' responses to associate with the Explanation.
- Supporting File – Optional. Files may only be in PDF format. Only one file per Explanation is allowed.

Explanation Detail—The Disclosure Questions available to be associated to an Explanation will only include those where the Disclosure Question is answered 'Yes'. If a Disclosure response is changed to 'No' then the user will need to update the explanation(s) accordingly, including deleting Explanations that no longer apply. However, previously submitted Explanations and Supporting Files that have been deleted will still be available through Historical Filings.

Regulator Work List—A new review item will be defined for the Company Form and Individual Form alerting the relevant state regulators that an Explanation has been added, deleted, or revised. This review item will default to "on" for Work List subscription purposes.

Notifications—Notifications developed to support disclosure explanations are addressed in the New Notifications section below.

Composite View (Individual Snapshot/Historical Filings)—For individuals, a Disclosure Explanation section will be added to the Individual Snapshot and Explanations will be available through Historical Filings. Explanations for companies will be available through Historical Filings. The

Compare feature can be used with two selected historical filings, a redlined version showing the changes to Explanations between the two filings will be displayed. This will NOT include redlined versions of the contents of any uploaded files, only the fact that the file has changed. Prior versions of explanations provided in previous filings will be viewable through Historical Filings but not Composite View.

Data Security—The following information pertaining to an Explanation will be encrypted:

- Brief Description of Explanation (Disclosure Event)
- Explanation for Regulatory Authority
- PDF document

Document Upload

State-licensed Companies and Branches

The Document Upload will allow state-licensed companies and branches to provide specific types of documents to regulators via a Document Upload feature directly through NMLS. Companies can provide one or more documents of a single type through this functionality.

A new Document Upload section will be added to the Company Form and Branch Form to allow users to provide required supporting documents through NMLS.

A new Document Upload Detail screen will be created to allow for the upload of documents and related information, including the following fields:

- File Upload – Files may only be in PDF format.
- Document Type – The user will select from a pre-defined list of document types. Available Company filing document types are: Business Plan, Certificate of Authority/Good Standing Certificate, Debt Management Agreement, Document Samples, Errors and Omissions, Fidelity Bonds, Formation Document, Management Chart, Organizational Chart/Description, Surety Bond, and Trust Account Authorization. Available Branch filing document types are: Branch Written Agreement and Surety Bond.
- State – Certain document types (Certificate of Authority/Good Standing Certificate, Document Samples, Errors and Omissions, Fidelity Bond, Surety Bond, and Trust Account Authorization) require users to select the relevant state.
- Comment – Optional text field. Used to capture a detailed comment for regulators.

Composite View—Users will be able to access current and historical versions of documents for Company and Branch forms in Composite View.

Regulator Work List—A new review item will be available for the Company Form and Branch Form alerting the relevant state regulators that a document has been added, deleted or revised. This review item will default to “on” for Work List subscription purposes.

Criminal Background Check for associated Individuals

State-licensed Companies and Branches

NMLS will accommodate Criminal Background Checks (CBCs) for individuals listed on the Company Form and/or Branch Form for states having the legal authority and approval to perform a CBC on control persons, qualifying individuals and branch managers. Individuals listed on the Company Form and/or Branch Form (association types: executive officers/direct owners, indirect owners, qualifying individuals, and branch managers) will be permitted to authorize a Criminal Background Check if the individual is associated to a company and/or branch filing with at least one company/branch license type flagged as "Allow CBC". The setting for company/branch license types will be at a control level, not an association type level. A CBC will not be enforced for control persons at this time. Regulators are expected to update their state licensing requirements checklist to indicate if control persons are expected to request a criminal background check through NMLS. A completeness check will prevent a CBC request if there are no licenses associated with the filing flagged as "Allow CBC". When users visit the Criminal Background Check Authorization or Completeness Check section of an individual filing, the system will display a message if the individual is not permitted to submit a CBC Request.

New Notifications

State-Licensed Companies

1. Notification when a regulator creates or clears a license item associated to a branch license.
2. Notification when the company is associated as a respondent to a Public regulatory action.
3. Notification when a Public regulatory action the company is associated to as a respondent is updated (nightly notification).
4. Notification when an individual the company has an active company relationship with is associated as a respondent to a Public regulatory action.
5. Notification when a Public regulatory action an individual is associated to as a respondent is updated if the company has an active company relationship with the individual (nightly notification).
6. Notification when new or updated Disclosure Explanations are included in a filing submitted by an individual with an active company relationship with the company or by another company on behalf of the individual.

Based on regulatory action changes made by the regulator, Companies may receive notice 2 and 3 or notice 4 and 5 regarding the same changes to a state regulatory action.

Federally Regulated Institutions

Notification when new or updated Disclosure Explanations are included in a filing submitted by an individual with a pending or confirmed employment with the institution or by another institution on behalf of the individual.

IMPORTANT NOTE for Institutions and State Licensed Companies: Account Administrators will receive all new notifications until Notification Subscriptions are updated to identify notification contacts for the new notifications.

Individuals (State Licensed or Federally Registered)

1. Notification when the individual is associated as a respondent to a Public regulatory action.
2. Notification when a Public regulatory action the individual is associated to as a respondent is updated (nightly notification).

Based on regulatory action changes made by the regulator, Individuals may receive both notices regarding the same changes to a state regulatory action.

Reports

State Regulators and State-licensed Companies

State Regulator Reports

The following regulator reports are enhanced to allow for filtering by industry type and an industry type column was added to the report:

- Approved Applications Pending Duration
- Company Financial Statement Activity
- Company/Branch Roster
- Company/Branch Active License Items (This report will also display the Primary Company Contact information in the Contact information columns for branch locations, instead of just the branch manager.)
- Credit Report Summary
- Criminal Background Check CHRI Results
- Criminal Background Check Compliance
- Individual Active License Items
- Individual Roster
- License Status
- License Status Update
- Sponsored Individual Roster
- Transition Requests-Duration
- Transitioned Entities

The following reports are enhanced to display Qualifying Individual and Branch Manager Industry Type:

- Company/Branch Roster (Qualifying individual will display in the Branch Manager column for main office locations.)
- Credit Report Summary

State-licensed Company Reports

The following reports are enhanced to allow for filtering by industry type and an industry type column was added to the report:

- Company/Branch Roster (This report also will include qualifying individual and branch manager industry types. Qualifying individual will display in the Branch Manager column for main office locations.)
- Company/Branch Active License Items (This report will also display the Primary Company Contact information in the Contact information columns for branch locations, instead of just the branch manager.)
- Criminal Background Check Compliance

- Individual Active License Items
- Individual Roster

General Enhancements

SCR Number	SCR Title/Content	Description	Context
250544	Instructional text for Individual Filings/Pending Filings	Information about filings in an 'Unsubmitted' status will be incorporated into the instructional text on the Individual Filings page. Currently the text only refers to the Attested status.	State
252932	State Renewals: Off-season message to display on Renewals tab	The presence of the Renewals tab outside of the renewal period has caused confusion with various industry and regulator users. An "off-season" message will be displayed on the home page of the Renewals tab indicating the Renewal Period is not open and none of the functionality on the tab is available.	State
254357	Enhance Branch Search to Include Other Trade Names	This feature will allow users to perform a search using current Other Trade Names (OTNs) associated to the branch.	State
255960	MU1: Update MU1 Direct and Indirect Owners Completeness Check message	The "Invalid % Ownership" message on both the Direct and Indirect Owner pages are not intuitive. If a number with "%" is entered, the message simply says "invalid". Guidance will be provided that only a number should be entered.	State
257198	Text changes to the Test Enrollment post-submission landing page	Text amendments will be made to the Test Enrollment Cart post-submission landing page to more clearly identify next steps.	State

General Enhancements

SCR Number	SCR Title/Content	Description	Context
259120	508 Compliance Remediation	Section 508, an amendment to the United States Workforce Rehabilitation Act of 1973, is a federal law mandating that all electronic and information technology developed, procured, maintained, or used by the federal government be accessible to people with disabilities. Section 508 is limited to the federal sector only. 508 Compliance adjustments were made to the following in 2012.2: • Historical Filings pages • Direct Owners page • Indirect Owners page • MU1 - Other Trade Names	State
266424	Modify the system to enforce PE and Testing compliance for transition requests	Functionality to evaluate PE and Testing Compliance for new applications was implemented in release 2011.3. Agencies will be given the option to flag their license types to prevent submission of a transition request until the individual is compliant with PE and Testing requirements.	State
266938	Update Attestation Language	Company, Branch and Individual Attestation language in NMLS will be updated to replace the term Oath with swear (or affirm) and update display of the name to include middle name and suffix.	State
267020	Prevent Individual Licensee submission of CBC if not allowed	NMLS will be enhanced to prevent submission of a CBC request by an individual if they are not applying for a license, have a pending license application or hold an approved license that allows for submission of a CBC Request through NMLS.	State
267453	View Latest Filing Option for Company and Individual Users	A View Latest Filing button will be available on the Company Filing page (company users) and Individual Filing page (individual users) to allow users to access a view only version of their last filing submission. Many Company and Individual users have been creating pending filings to view the latest information in their record. When they return to NMLS to make updates to their record they cannot recall why the pending filing is there and aren’t sure how to proceed..	State

General Enhancements

SCR Number	SCR Title/Content	Description	Context
267934	MU2 Association Data Changes	Existing data as of the release was converted to reflect separate records for each association type that is active for a current MU2 associations and each association type that was active at the time of termination for terminated MU2 associations. Full historical information for MU2 Associations by association type prior to the release will be available through Historical Filings.	State
268253	Regulator Work List: Remove Clocks	Worklist analysis determined significant response time improvement in the removal of calculating continuous clock dates in the result. Given issues regulators have had with system performance while in the Work List, the clocks have been removed from the list page but will still display in the Work Item detail.	State
268436	Regulator Work List: Change behavior of work list when querying by Company ID	Currently, if you query by Company ID and enter an EntityType of Individual or Branch the query returns the Individuals or Branches associated with that Company. Based on regulator feedback, when the EntityID is entered, the system will ignore all other filter criteria (e.g. License Type, EntityName and EntityType). In addition when a company Entity ID is provided the search brings back related Branch and Individual work items.	State
268613	Regulator Work List: Instructional text and License type sizing	Two user interface related items will be addressed within the Work List: 1. Text on the Work List Assignment will be simplified similar to the Work List management page. 2. The License type filter dropdown on both the Work List and Work List Assignment will be sized larger to accommodate the license type values. Currently it is cutting off data rather significantly.	State
268677	Update message when an MU2 person has removed access rights	The message displayed to a user when they attempt to create an MU1 or MU3 filing where one or more of the associated MU2s have removed access rights from the Company, will be updated to more clearly identify what actions are available to the user.	State

General Enhancements

SCR Number	SCR Title/Content	Description	Context
268828	Change Company User sub-menu labels under Filing Tab	With NMLS expanding to other industries, NMLS is moving away from the MU Form references to reduce confusion. The sub-menu names for Company Users under the Filing tab are being updated as follows: MU1 → Company (MU1) MU3 → Branch (MU3) Company Access → Access Company Relationship → Relationship Eventually MU Form references will be removed entirely.	State
269607	Submit Filing License Item	A system-clearable license item is being developed for placement on Companies (and their MU2 individuals), Branches and Individuals by the system or the licensing regulator. The license item will clear upon submission of a new filing by the entity the license item is placed on. It is expected this license item will be used to request/enforce submission on the new form version being introduce with this release.	State

General Enhancements

SCR Number	SCR Title/Content	Description	Context
256617 and 269127	Evaluate Individual name used to create user account	NMLS is being modified to allow certain individual users to reconcile how their name appears on their base record and user account. When a Company user creates an individual's base record the name of the individual is required. When an individual creates their user account, again, their name is required. Since the company can create the base record and individual users create their own user account, NMLS could have two different names for the same person. Individuals would not be aware of name differences in NMLS when creating their user account since the name on their base record is not displayed when an individual creates their user account. This discrepancy can cause an issue when the individual user arrives at a testing center and wants to take their State or National Test, but the testing center has the name captured in the base record which may be different from the name reflected on the individual's identification. To address some of these cases, NMLS is being enhanced to allow individual users without a filing, test scores, education or state regulatory actions posted to their records to update their name through the User Profile. Otherwise, users will need to change their name through a filing or by contacting the NMLS Call Center.	State/ Federal
265878	Modify CBC Request page to include Section 258 language	A link to the FBI Privacy Act Statement (Section 258 language) related to information captured for fingerprinting purposes will be provided on the CBC Request page.	State/ Federal
266937	Filings-Add text to Pending Filings page header to indicate the context and instructional text on how to toggle to other context	MLOs are confused by the login page when prompted to select State or Federal and do not know how to get to the other context if one is accessed in error. New text is being added above the context drop down to more clearly indicate the context the user currently is viewing.	State/ Federal
268646	Update Regulator Website URLs	In conjunction with restructuring the NMLS Resource Center, SRR plans to move all regulator URLs that are referenced from NMLS. These links are maintained in the WebsiteURL attribute in the Regulator List table.	State/ Federal

General Enhancements

SCR Number	SCR Title/Content	Description	Context
268751	Print Filing Text update	Navigational tips will be added to the top of print filing screens to advise users how to return to the previous NMLS page. This text will not appear on the printed version.	State/ Federal
268993	CHRI Terms of Use Updated	The CHRI Terms of Use that are presented to state regulators and federally regulated institutions when they attempt to access a RAP sheet will be updated to accommodate changes to the method of accepting the terms. The checkbox has been removed and the button updated to Accept to reduce the number of clicks it takes to access a RAP sheet.	State/ Federal
269585	Industry Terms of Use Updates	The NMLS Industry Terms of Use will be updated with the release. Changes include the removal of the term “mortgage” from various sections in order to make the NMLS Industry Terms of Use applicable to a broad range of non-depository, financial services industries that state regulators will begin managing on the system. Additionally, the Consumer Financial Protection Bureau (CFPB) is identified as a federal regulatory user of NMLS; and regulatory actions posted by state regulators have been added to the list of data that can be made publicly available (Section 4F). A redlined version of the changes to the Agreement can be found at: Industry Terms of Use.	State/ Federal
269491	Payment confirmation summary re-branding needed	With the expansion of NMLS to other industries, efforts have been made to remove references to mortgage from the system. Therefore, changes have been made to make payee information common to both state and federal users. "Pay to the order of" on the payment confirmation screen will read: "NMLS". In addition, starting April 14, 2012, NMLS charges will appear on bank/credit card statements as "NMLS PMT".	State/ Federal
265088	Invoice Search is Overly Restrictive for Support Users	Support users are sometimes tasked with gathering information on invoices. Currently, the system restricts the support users search by requiring a combination of data elements—confirmation number and/or date range and the NMLS ID of the payee. In some cases the support user cannot determine the NMLS ID of the payee and therefore cannot perform a search for an invoice. NMLS will be enhanced to allow support users to perform a search solely on the confirmation number to allow support users to more easily accomplish this task.	N/A

General Enhancements

SCR Number	SCR Title/Content	Description	Context
265875	Require Individual current mailing address when creating NMLS record	Individuals will be required to provide a mailing address when creating their NMLS record. This will allow individuals to be contacted using another (more formal) means of communication when a violation of the rules of conduct occurs and an investigation is pending. . Currently, only the email address is captured.	N/A
267334	Data Analytics Effort in 2012.2	The information provided by NMLS to the Analytics database will be enhanced to improve SRR's ability to monitor compliance with MCR requirements and provide more detailed data in the Weekly Dashboard.	N/A
267452 and 267760	Consumer Access Updates to Support Expansion	Consumer Access will be enhanced to support data changes resulting from the Expansion effort. Other Trade Names will be displayed with license types based on the industry type associated to the name and the license. All branch managers will be displayed for companies that identify different branch managers by industry type.	N/A

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
268534	Branch Search	When logged in as a company user, the company instructional text is displayed which references searching on a company name. The company name is not a searchable term and company instructional text is not needed.	State
249322	Company Relationship	When a company user for a company that does not have any licenses attempts to create a Company Relationship, the 'Start Date' is displayed along with a message to select one or more registered locations for the company relationship even though there is no registered location link to select. The message that there are no licenses with sponsorable licenses is displayed and the Company Relationship fields will no longer be displayed in this scenario.	State
254359	Composite View	The Branch Search results do not allow a user to sort by the Branch Manager column.	State

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
267517	Composite View	When viewing a record in Composite (e.g., View License/Registration List) the user is required to scroll vertically to view the information when the browser is not maximized.	State
268875	Composite View – Branch	Branch records are not sorting correctly in Composite View. The records will now display in the following order: 1. Company.CompanyName, ascending 2. Company.CompanyID, ascending 3. BranchOffice.BranchCity, ascending 4. BranchOffice.BranchOfficeID, ascending	State
264762	Consumer Access	In Consumer Access, Other Trade Names (OTN) display multiple times when the OTNs are the same names, only the capitalization is different.	State
259784	Data Download	MU1 filings with changes to qualifying individual are showing up as a new record in the data download, rather than as an updated record.	State
267573	Data Download	The data downloads are including MU3 filings for branches that are not licensed in the jurisdiction.	State
266885	Form Filing - MU1	Company names with different upper/lower case values are displayed as duplicates when they are added to an MU1 filing. Each occurrence of the "duplicate name" is returned as a separate search result when performing a Company Search in NMLS and in the Other Trade Name section for the Company in Consumer Access.	State
258719	Form Filing – MU1	When an MU1 is submitted with a Company listed as a Direct/Indirect owner and the Company's Tax ID is subsequently updated (through Entitlement), the MU1 does not reflect the updated Tax ID unless the Company is removed and re-added as a Direct/Indirect Owner.	State
259388	Form Filing – MU1	While adding a company to the Direct Owner's Section on the MU1 Filing, the SSN number and Full Legal Name are displaying inside and outside the text box.	State
266391	Form Filing – MU1	On an MU1 filing, names are not aligned correctly if more than one individual is added to the Qualifying Individual, Direct Owners/Executive Officers or Indirect Owner sections. The second name added is displaying "centered" instead of left justified.	State
267469	Form Filing – MU1	Clicking on the compare filing icon from within the MU1 license wizard causes an error page to display. It was determined that the compare icons are not relevant to the license wizard section so they will be removed from the license wizard.	State

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
268796	Form Filing – MU1	When one or more individuals are removed from the latest MU1 filing submission, their name should be removed from the corresponding MU1 section. This works for Direct Owners and Qualifying Individuals. The Indirect Owners are not getting removed; the Individual's name remains in the Indirect Owners section.	State
268316	Form Filing – MU1 and MU3	The Name field on the MU1 and MU3 Other Trade Names list page is centered instead of being left justified.	State
269292	Form Filing – MU1 and MU3	When a Company user edits an existing MU1 or MU3 Filing, the Company user is not shown the names of the MU2 Individuals the Company no longer has access to.	State
268500	Form Filing – MU1, MU2 and MU3	An error occurs when a user attempts to delete an MU1 or MU3 that has an associated MU2 with Credit Reports charges.	State
267671	Form Filing – MU1, MU3 and MU4	The system doesn't display the Available Action link of 'Cancel Action' when the License Status is 'Transition Requested' and Pending Action is 'Transition Cancelled'.	State
268068	Form Filing – MU1, MU3, and MU4	When viewing a historical filing, the License list is displaying the License Name in the order the license was added rather than by the License Name.	State
268156	Form Filing – MU1, MU3, and MU4	The Transition Number Validation Error Message only displays the last error encountered rather than listing each error found. In addition, it doesn't specify the state name of the license containing the error.	State
257947	Form Filing – MU2 and MU4	Clicking on the compare filing icon from on the MU2 Refresh and MU4 Refresh pages causes an error page to display. It was determined that the compare icons are not relevant on these pages so they are being removed.	State
260831	Form Filing – MU2 and MU4	The weight field on the Criminal Background check page contains '0' the first time an MU4 Filing is created for a new individual. This causes the completeness check message "An invalid weight value was entered. Please enter a value equal to or greater than 1" to be generated even when there is no request for Criminal Background Check.	State
267308	Form Filing – MU2 and MU4	The Employment From and To Date hover message on Form MU2 and MU4 is displaying a 'Date of Birth' message rather than an 'Employment From and To Date' message.	State
249737	Form Filing – MU3	The branch name and ID are not displaying on the MU2 Form page sandbar in an MU3.	State
266161	Form Filing – MU3	An amendment to the branch address information is not being reflected in the sandbar area. The sandbar displays the previous address.	State

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
267470	Form Filing – MU3	Clicking on the compare filing icon from within the MU3 license wizard causes an error page to display. It was determined that the compare icons are not relevant to the license wizard section so they will be removed from the license wizard.	State
268553	Form Filing – MU3	There are four yes/no questions in the MU3 Operation Information section. In the print view the first question is bolded but the last three are not. Bold font was removed from the first question.	State
258802	Form Filing – MU4	When there is no data entered in the MU4 Residential History section, the completeness check displays duplicate error messages.	State
265498	Form Filing – MU4	A hyphen is missing between the words “Pre licensure” for the PE Completeness Check "Pre licensure education must be completed to satisfy requirements for the license request(s) associated to this filing prior to submission."	State
267471	Form Filing – MU4	Clicking on the compare filing icon from within the MU4 license wizard causes an error page to display. It was determined that the compare icons are not relevant to the license wizard section so they will be removed from the license wizard.	State
264013	Manage License/Registration	Selecting the License Item link on the License Details page produces an error.	State
268880	Mortgage Call Report	When the Company MCR Activity report is requested with a ‘Since Date’ of exactly 13 months, the report fails to generate.	State
259309	Notifications	The Individual License Status Change notification is incorrectly generated for new license and transition requests.	State
266737	Notifications	The subject line of the 'Attestation has been completed by’ notification does not display the individual’s name (with special characters) correctly.	State
266181	Payment Reports	An error occurs in Payments Submitted report when a large time frame (e.g. 7/1/2010 to 6/30/2011) is used. To resolve this issue, the date range time span will be limited to three months.	State
256428	Reports	The License Item Type in the Report Criteria Section of Active License Reports is blank for the following reports: - Company/Branch Active License Item Report (Regulator) - Company/Branch Active License Item Report (Company) - Individual Active License Item Report (Company)	State
265714	Reports	Approved Application - Pending Duration Report (Regulator only) shows the incorrect Number of Days when there is more than one license status change made between `Pending Incomplete' and the approval status.	State

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
267188	Reports	The ‘New Accepted Applications’ column is populated incorrectly on the License Status Update Report (Regulator). When deriving the counts, the report incorrectly omits some company license statuses due to a mapping issue with historical dates and doubles some individual license statuses when a license type change occurs.	State
267255	Reports	The License status columns are populated incorrectly on the License Status Report. When deriving the counts, the report incorrectly omits some company license statuses due to a mapping issue with historical dates and doubles some individual license statuses when a license type change occurs.	State
267534	Reports	The Transition Requests – Duration Report (Regulator) incorrectly omits some company license status due to a mapping issue with historical dates and doubles some individual license statues when a license type change occurs.	State
267535	Reports	The Transition Entities Report incorrectly omits some company license statuses due to a mapping issue with historical dates and doubles some individual license statuses when a license type change occurs.	State
267732	Reports	The Company/Branch Roster (Regulator) Report is not displaying some of the statuses correctly. Only the first and last statuses a license has been through are displaying.	State
268294	Reports	The sort order of the Entity name in the Approved Applications Pending Duration Report (Regulator) is case sensitive. This causes upper and lower case names to be sorted differently.	State
268823	Reports	The Individual Roster Report (Company) is including individuals that have had a company relationship after the Current As Of Date.	State
265236	Search	When logged in as a Regulator and searching for an Individual under Tasks, the message “Your search generated too many results” is not displaying when the number of results is greater than 250 records.	State
265545	Work List	The Regulator and Company Work List pages incorrectly sort the name column by lowercase first then upper. Capitalization should not affect the sort order.	State
250068	Work List – Regulator	The License List that is displayed for a Sponsorship Request Work item is incorrectly displaying the Deficiencies and License Items counts. These two columns will be replaced with a single column labeled ‘License Items’ which contains the Deficiency and the Jurisdiction Requirement counts. This same change was also made to the Credit Flag Change and License Requested work items.	State
265535	Work List – Regulator	When selecting an ‘Entity Type’ on the Work List Assignment page, the page is automatically reloaded without clicking on the ‘Filter’ button. In addition, the Review Item Types are not reloaded based upon the Entity Type selected.	State
268200	Administrative	Changing the capitalization on any part of the name in "Modify Individual Name" by an Application Administrator deletes the record and makes the individual unsearchable.	State and Federal
253399	Company/Institution Access	A slight wording change is needed to the ‘Remove Company Access Confirmation’ message. The message is changed to “Are you sure you want to remove company access?”	State and Federal

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
263169	Company/Institution Access	The Institution/Company access page produces an error when search results have been returned, invalid characters are entered in the ‘NMLS ID’ field and the 'Date Access granted' column has been clicked on for sorting. Now the "Institution ID must be numeric only." And "Institution ID must be greater than zero." validation messages will appear and the sort is not performed:	State and Federal
264620	Company/Institution Access	The Institution/Company access page produces an error when search results have been returned, an invalid date has been entered and a column heading has been selected to be sorted prior to the ‘Filter’ button being selected. Now the “The From and To dates must be valid dates” validation message will appear and the sort is not performed.	State and Federal
264552	Credit Reports	When multiple current residential addresses exist, the system doesn't follow the correct hierarchy when passing the address to the credit report vendor. This affects the order in which addresses are displayed by the credit report vendor. Now the newest US address is passed to the credit report vendor, when both US and non-US addresses are entered in an MU4 filing. The newest entered non-US address is passed when all the addresses are non-US.	State and Federal
263696	Form Filing	The separate window/tab has been reported to cause issues for users. Text is being incorporated into all Print filing pages to instruct the user to close the tab to return to the main page.	State and Federal
264774	Form Filing – MU4 and MU4R	When an Individual has submitted an MU2 with no demographic information and subsequently creates an MU4 or MU4R, the Weight is populated as "zero" (it should be empty). This immediately triggers a completeness check error because the weight cannot be zero.	State and Federal
263092	Form Filing.	The historical filings page produces an error when an invalid date has been entered and the user clicks on the ‘Download as CSV’ button. Now the following validation messages appear: “Processed Begin Date must be a valid date” and ”Processed End Date must be a valid date”	State and Federal
256429	General	The ‘suffix’ field produces an error when more than 10 characters are entered. The field will be limited to 10 characters.	State and Federal
263185	General	When a Company/Institution user logs into the “opposite” regulatory context (e.g., State-regulated company accessing Federal context or vice versa) and attempts to create an Individual record, an error occurs.	State and Federal
266798	General	Leading and trailing spaces are allowed when a company or institution name is entered into the system. This issue causes sorting anomalies where company or institution name is included in the sort order. The leading and trailing spaces will be trimmed when storing the company and institution names.	State and Federal
268206	General	There is a page display issue with Firefox 8.0 or higher that causes fields to be out of alignment.	State and Federal
249120	Payment Reports	The Disbursement Search results page lists disbursements sorted by Disbursement ID, descending rather than by Disbursement Date, descending.	State and Federal

Problem Reports

SCR Number	Category	Description of Problem Resolved	Context
257338	Payment Reports	The Disbursement report does not display the NMLS ID and Name of the company sponsoring the licensee.	State and Federal
249122	Payments	Payment items listed on an Invoice are currently sort by the Payment Timestamp ascending instead of descending.	State and Federal
264646	Payments	Payment pages do not force the user to enable Javascript, which is required to pay an invoice.	State and Federal
269239	Search - Invoice	When entering an 'Entity Id' on the Invoice Search screen, the filter is intended to bring back invoices that contain a charge where the specified Entity Id is in the charge subject of the invoice. However, use of the Entity Id filter is currently bringing back no invoices.	State and Federal
267076	Batch Upload	Currently the batch upload requires the values provided for the 'Payment Responsibility' column and the 'MLO Completes First' column to be capitalized. If the values are not capitalized, the rows will error out. The system will now accept the values provided regardless of case.	Federal
266395	Composite View	Federal Registration/Composite View does not indicate if a record has been suppressed in Consumer Access like on the state side of the system.	Federal
259946	Employment Management	The controls in the Employment Management List on the Manage Employment Records Pending Confirmation page are not intuitive. A column header of "Confirm/Edit" will be provided over the check box and edit record icons in the Employment Management List.	Federal
268929	Employment Management	When confirming employments on the Manage Employment Records Pending Confirmation page, the "Are you sure you want to confirm the selected employment record(s)?" message is displaying twice.	Federal
268992	Federal Registration	The federal registration history for an individual is not sorted as required in Composite View. The sort order to view federal registration history in MLO composite is by the history time stamp of the registration, descending.	Federal
269386	Form Filing – MU1R	After Filing an MU1R and after the filing has processed the Filing Submission screen is displaying information that should only display after submitting an MU4R filing.	Federal
259882	Form Filing – MU1R and MU4R	After submitting an MU4 filing, a user can experience a long wait time until the filing is processed. To provide further information, a "spinner" will be added to the top of the MU1R and MU4R post-submission landing page with a message that tells the user the filing is being processed. Once processing is complete, a message will inform the user that the filing has been processed.	Federal
264522	Form Filing - MU4R	When creating an MU4R Employment record and searching for an employer, an error is produced when more than nine characters are entered in the 'NMLS ID' field. Now, the following validation message will appear: "NMLS ID is not valid."	Federal

Problem Reports

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265044	Form Filing - MU4R	When an Employment which has not yet been confirmed is withdrawn on an MU4R filing, the historical filing does not indicate that the Employment was affected on the filing. Also, the "To Date" for the Employment remains as "PRESENT" which is not accurate. The filing should indicate that an action ("Withdrawn") was taken on the Employment in the historical filing. To correct the issue, Employments that have been rejected will show as being changed in a historical filing with a "To Date" of NULL rather than "PRESENT". In addition, employments which have been withdrawn will no longer being displayed in Composite. And.	Federal
259943	Form Filing – MU4R	When entering a non-linked current employment record, the system is not pre-populating the "Current" checkbox and graying out the "To Date".	Federal
259950	Form Filing – MU4R	The text message indentation on the MU4R Completeness Check page is not aligned correctly between the first and the second paragraph.	Federal
265417	Form Filing – MU4R	The Employment Start Date hover message on MU4Rs is displaying the date format as MM/YYYY instead of MM/DD/YYYY.	Federal
266061	Form Filing – MU4R	A user is able to enter an invalid date (e.g. 2/30/2011) in the Employment End Date field on an MU4R.	Federal
268882	Form Filing – MU4R	Institution users are not able to see all institution-submitted MU4R filings submitted by them after an MLO removes the institution's access.	Federal
268910	Form Filing – MU4R	The hover text for the View Icon on the MU4R Employment List page displays "Edit" instead of "View".	Federal
268928	Form Filing – MU4R	If a user enters an invalid date on the Terminate Employment page, the error message isn't consistent with the same error on the Employment Record pages.	Federal
268930	Form Filing – MU4R	A user shouldn't be able to remove the Termination Date when Terminating an Employment.	Federal
269370	Form Filing – MU4R	Some individuals that went through a Merger and Acquisition process may not be able to view their current employment after they create an MU4R. The issue occurs when they select the 'Confirmed' employment under the Employment History Section on the Employment Records page. The prior employment displays rather than the selected 'Confirmed' employment.	Federal
266811	Institution Tasks	The individual name order is displaying first name and then last name for Terminated Employment records Instead of last name, first name.	Federal
266440	Mergers & Acquisitions	Individuals are receiving emails to accept M&A employment transfers in cases where they have already accepted their employment transfer.	Federal
266812	Mergers & Acquisitions	The date displayed in the attestation language for an individual M&A Transfer attestation is displaying as MM/DD/YYYY when it should be Day, Month Date, YYYY.	Federal
264634	Mergers and Acquisitions	When an MLO is transferred from one Agency to another during the M&A process, the new Agency is not able to access the MLO's Personal Information.	Federal
266456	Mergers and Acquisitions	On the Processed File List and Results page in M&A, an error occurs when trying to sort on 'File ID' or the 'Invoice' column.	Federal

Problem Reports

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264255	MLO Batch Upload	The phone number validation on the MLO Batch Upload is overly restrictive. The validation should use the same rules employed by the user interface. The allowed format for phone number is: ###-###-#### with optional extension with a no length limit.	Federal
268877	Renewals - Federal	Federal Individuals with a registration status of 'Inactive Failed to Renew' who file an MU4R with a CBC request are automatically getting updated to 'Active'.	Federal
267776	Two Factor Authentication	A 'Cancel' button option is not provided when a user attempts to pay their Two Factor Credential renewal.	Federal
266695	Consumer Access	When searching for an institution, the Consumer Access search results are displaying individuals who have a rejected employment with the institution.	N/A