



## NMLS Release 2015.4 Release Portfolio

Scheduled for Release: October 5<sup>th</sup> 2015

The purpose of this portfolio is to communicate system enhancements targeted for Release 2015.4. Targeted system enhancements and updates listed in this portfolio are committed to Release 2015.4. However, as development proceeds, it is possible changes will be made to the approach to some enhancements or some of the enhancements may be removed from the release.

### Renewals

**SUMMARY:** Enhancements to the 2015 Renewals Process include the following changes:

- Allow a state agency to specify if past due Agency Fee Invoices will prevent renewal submission or prevent auto-renewal of a renewal request.
- Add notifications to companies confirming submission of company license and branch license renewal submissions.
- Add renewal information to the Individual Dashboard to allow individuals to monitor the status of their renewals.
- Allow federally registered individuals (MU4R) to review their filing information prior to renewal and allow them the opportunity to update their filing information then return to the renewal process.

SCR Number	Title
22355	Agency Fee Invoice to Prevent Renewal Submission/Auto-Renewal
22353	Company/Branch Renewal Submitted Notification
16770	Individual Dashboard Renewals Component
22350	MU4R Review in Renewals

# General Enhancements

SCR Number	Title	Description	Context
22031	Composite – Add a Pending ACN Indicator and Filter to Branch Search Results	The branch search will be enhanced to allow users to restrict search results to branches with pending Advance Change Notices (ACNs). Branch search results will display a count of pending ACNs for the branch that will link to the View Advance Change Notices page in Composite View.	State
21019	Composite View – View License Items Placed by Other States	Regulator users will have the ability to view license item details placed by other states. However, regulators will be able to see only the external notes for such license items where they are associated to entities that have an active license or an MU2 Association with an entity that is actively licensed with the state. External notes marked Private for Individual license items will not be viewable by other state regulators.	State
31097	Document Upload – Company Filing Enhancements	The document upload user interface and historical/print filing functionality on company filings will be updated to allow users to identify and review documents that have been added, amended, or deleted on a filing.	State
21569	Regulator Workflow – Show All for License Item Dashboard	The Regulator License Item Dashboard will be enhanced to include a drop-down to view a dashboard that contains all license items (agency-wide).	State
17465	State Industry Dashboard – Include Pending ACNs	<p>A new Pending Advance Change Notices (ACNs) section will be added to the Upcoming Events component of the Company dashboard. This component will provide counts of pending ACNs for the company and its branches based on the effective date. Links from the counts will allow company users to navigate quickly to the View Advance Change Notices page in Composite View.</p> <p>Counts will be provided for ACNs effective in:</p> <ul style="list-style-type: none"> <li>• 15 days or less,</li> <li>• 16 – 30 days, and</li> <li>• 31 days or more.</li> </ul>	State
18229	Work Item – MU2 Association – Add logic to List Industries QI will be Covering in a Regulator's State for Pending ACNs	Current Industries will be included for all Qualifying Individual (QIs) listed in the Pending Advance Change Notices (ACNs) section of the Qualifying Individual Association Removal work item. This will allow regulators to determine the industries an existing QI will be responsible for in their state when another QI is removed.	State