NMLS Release 2016.3 Release Portfolio
Scheduled for Release: September 12, 2016

The purpose of this portfolio is to communicate system enhancements targeted for Release 2016.3. Targeted system enhancements and updates listed in this portfolio are committed to Release 2016.3. However, as development proceeds, it is possible that changes will be made to the approach to some enhancements or that some of the enhancements may be removed from the release.

Roadmap enhancements targeted for Release 2016.3 include:

- **Biennial Licensing Form Changes** – Updates to licensing forms pursuant to public comment. Approved form changes include updates to business activities and legal statuses, enhanced advance change notice functionality, and attestation language changes. See: Company Form (MU1) Changes, Branch Form (MU3) Changes, and Individual Form (MU2/MU4) Changes.
- **Individual Document Upload** – This enhancement introduces document upload capability for state individual filings (MU2 and MU4). Documents for specified document types can be uploaded to an individual filing only if the individual is applying for an active license or is associated to an active company or branch license that permits or requires submission of the document type. NMLS will limit access to documents that may contain sensitive information.
- **Criminal Background Check (CBC) for MU2 Individuals** – CBC for MU2 Individuals enables states to indicate if they allow or require CBC for those individuals. The new functionality will require companies to request the CBC authorization and individuals to approve the authorization and the release of CBC results to regulators.
- **Surety Bond Tracking** – NMLS will deploy Electronic Surety Bond Tracking for company licenses in selected states.

[View General Enhancement Descriptions]
**Biennial Licensing Form Changes**

**SUMMARY:** Updates to licensing forms pursuant to public comment. Approved form changes include updates to business activities and legal statuses, enhanced advance change notice functionality, and attestation language changes. See below for more details: Company Form (MU1) Changes, Branch Form (MU3) Changes, and Individual Form (MU2/MU4) Changes.

### Company Form (MU1) Changes

<table>
<thead>
<tr>
<th>SCR Number</th>
<th>Title</th>
<th>Description</th>
<th>Context</th>
</tr>
</thead>
<tbody>
<tr>
<td>31812, 32134, 32135, 32673</td>
<td>Advance Change Notice (ACN) – Allow ACNs for removal of DO/EO, IO, and QI</td>
<td>Companies will be able to utilize Advance Change Notice (ACN) functionality to remove Direct Owners and Executive Officers, Indirect Owners, and Qualifying Individuals effective at a later date.</td>
<td>State</td>
</tr>
<tr>
<td>31704</td>
<td>Expansion of Business Activities – Company Filing</td>
<td>The business activities on the Company filing will be expanded to include: Reverse mortgage lending, Reverse mortgage brokering, Reverse mortgage servicing. The existing business activity, “reverse mortgage activities,” will be retired. Company users will be required to remove the retired “reverse mortgage activities” from the company filing, if selected, prior to submitting the first filing on the updated form.</td>
<td>State</td>
</tr>
<tr>
<td>31817, 32284, 32285</td>
<td>Updates to Legal Status Section of Company Filing</td>
<td>Due to market growth of Limited/General Partnerships and Trusts, additional options will be added to the Legal Status section of the Company filing. The Partnership legal status option will be retired and the following options added: General Partnership, Limited Partnership, Limited Liability Partnership, Limited Liability Limited Partnership, Trust. In connection with the release, companies with the Partnership legal status will be required to select one of the new partnership legal status options; whereas companies with the Other legal status will be permitted to select Trust or remain as Other.</td>
<td>State</td>
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<tr>
<td>SCR Number</td>
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<td>Description</td>
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<tr>
<td>31816</td>
<td>Annual/Call Report Contact Employee</td>
<td>The designated primary contact individual on the Company filing may not be the appropriate contact for Annual Report or Call Report related communications. Therefore, Annual/Call Report will be added as an option in the Area(s) of Responsibility section of the Contact Employee Information page.</td>
<td>State</td>
</tr>
<tr>
<td>32594</td>
<td>Create a new Company Filing Role</td>
<td>A new company filing role will be created: Create and Edit MU1/MU2 Filings. At the time of the release, all existing users (except account administrators) with the Create and Submit MU1/MU2 Filings role will be assigned to this new role. In companies that have assigned the create and edit role to individuals other than the account administrator, the administrator will have to re-assign the Create and Submit MU1/MU2 Filings role to users authorized to submit a company filing on the company’s behalf. Only users with the Create and Submit MU1/MU2 Filings role will be able to submit payment for the filing after attestation.</td>
<td>State</td>
</tr>
<tr>
<td>32573</td>
<td>Attestation Language Updates – Company Filing</td>
<td>Company filing attestation language will be updated and will include the Title/Position of the user completing the attestation.</td>
<td>State</td>
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</tbody>
</table>
## Branch Form (MU3) Changes

<table>
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<tr>
<th>SCR Number</th>
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<th>Context</th>
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</table>
| 32283      | Expansion of Business Activities – Branch Filing | The business activities on the Branch filing will be expanded to include: Reverse mortgage lending  
Reverse mortgage brokering  
Reverse mortgage servicing  
The existing business activity, “reverse mortgage activities,” will be retired. Company users will be required to remove the retired “reverse mortgage activities” from each branch filing where it has been selected prior to submitting the first filing on the updated form. | State   |
<p>| 32595      | Create a new Branch Filing Role            | A new branch filing role will be created: Create and Edit MU3/MU2 Filings. At the time of the release, all existing users with the Create and Submit MU3/MU2 Filings role will be assigned to this new role. A company account administrator must then re-assign the Create and Submit MU3/MU2 Filings role only to users authorized to submit a branch filing on the company’s behalf. Only users with the Create and Submit MU3/MU2 Filings role will be able to submit payment for the filing after attestation. | State   |
| 32139      | Attestation Language Updates – Branch Filing | Branch filing attestation language will be updated and will include the Title/Position of the user completing the attestation.                                                                                                                                 | State   |</p>
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<tbody>
<tr>
<td>19394</td>
<td>Individual Criminal Disclosure – MTEB Investigations</td>
<td>NMLS or SRR Testing Rules of Conduct Disclosure questions are no longer necessary, due to new functionality within NMLS that allows authorized SRR staff to place a flag on an individual record to notify regulators of a pending or complete investigation into a potential violation of the Rules of Conduct for Test Takers and Education Students. These disclosure questions and related disclosure explanations will be removed from individual state filings. Previous responses to these questions will be viewable in historical filings.</td>
<td>State</td>
</tr>
<tr>
<td>31813</td>
<td>Attestation Language Updates – Individual Filing</td>
<td>Individual filing attestation language will be updated.</td>
<td>State</td>
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</tbody>
</table>
Document Upload Capability for Individual Filings

**SUMMARY:** This enhancement introduces document upload capability for state individual filings (MU2 and MU4). Specified document types can be uploaded to an individual filing only if the individual is applying for an active license or is associated to an active company or branch license that permits or requires submission of the document type. NMLS will limit access to documents that may contain sensitive information.

The following document types, if the license permits submission, will be available on individual fillings (MU2 and MU4).
- Credit Report Explanations
- Legal Name/Status Documentation
- Memorandum of Tax Certification
- Verification of Experience

In addition to the documents above, Direct Owners/Executive Officers, Indirect Owners, Qualifying Individuals, and Branch Managers will also be able to upload, if the license permits or requires submission, the following document types on the individual filing (MU2).
- Personal Financial Statement
- State Background Check Authorization

Individual Document Upload functionality will only be available on individual filings in the State Context. Once documents are submitted, users with the appropriate roles will be able to view document uploads in Historical Filings and Composite View. With the exception of strict access controls for documents with sensitive information, individual document uploads will function similar to company and branch document uploads.

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<tbody>
<tr>
<td>33046</td>
<td>TEXT-Demo Feedback-Update individual doc upload form filing text</td>
<td>31928</td>
<td>Individual Doc Uploads: (UD5B) Company User - add a NEW document based on PERMITTED doc types per Company and Branch License Type</td>
</tr>
<tr>
<td>32460</td>
<td>Doc Uploads (Composite/Form filing) - Changes to composite doc list, history pages + doc desc (Demo Feedback)</td>
<td>22119</td>
<td>Individual Doc Uploads: (CM4) Regulator - View a LIST of CURRENT Doc Records &amp; PDF Docs (incl. Docs with Restrictions)</td>
</tr>
<tr>
<td>32444</td>
<td>Individual Doc Uploads: (CM5) Federal Agency - View a LIST of CURRENT Doc Records &amp; PDF Docs (incl. Docs with Restrictions)</td>
<td>22118</td>
<td>Individual Doc Uploads: (RW1) Regulator - Generate REVIEW ITEM / Manage subscription based on a document action</td>
</tr>
<tr>
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<tr>
<td>32378</td>
<td>Individual Doc Uploads: (UD5A) MU4 Submitter - add a NEW document based on PERMITTED doc types per Individual License Type</td>
<td>22117</td>
<td>Individual Doc Uploads: (PF2) Company, Support - View a LIST of Doc Records &amp; PDF Docs (incl. Docs with Restrictions)</td>
</tr>
<tr>
<td>32295</td>
<td>Individual Doc Uploads: (UD5C) MU4 Submitter - add a NEW document based on MANDATORY doc types per Individual License Type</td>
<td>22113</td>
<td>Individual Doc Uploads: (PF3) Regulator - View a LIST of Doc Records &amp; PDF Docs (incl. Docs with Restrictions)</td>
</tr>
<tr>
<td>32294</td>
<td>Individual Doc Uploads: (RW2) Regulator - Suppress Review item generation when doc type is not permitted / required by the viewing regulator</td>
<td>22110</td>
<td>Individual Doc Uploads: (PF1) Individual, Company, Regulator, Support - View a LIST of Doc Records &amp; PDF Docs (incl. Deleted)</td>
</tr>
<tr>
<td>32289</td>
<td>Individual Doc Uploads: (GUI-TXT) Instructional Text Changes</td>
<td>22109</td>
<td>Individual Doc Uploads: (UD6) Company Submitter - DISALLOW viewing of sensitive/confidential docs</td>
</tr>
<tr>
<td>31938</td>
<td>Individual Doc Uploads: (FF2) TEST only - UPGRADE Pending MU2/MU4 Filing to the Latest Form Version</td>
<td>22100</td>
<td>Individual Doc Uploads: (UD2) MU2/MU4 Submitter - AMEND a document record</td>
</tr>
<tr>
<td>31937</td>
<td>Individual Doc Uploads: (FF1) CREATE MU2/MU4 Filing in the New Form Version</td>
<td>22099</td>
<td>Individual Doc Uploads: (UD3) MU2/MU4 Submitter - DELETE a document record</td>
</tr>
<tr>
<td>31929</td>
<td>---- Individual Doc Uploads: (UD10) MU4 Submitter - Provide REQUIRED docs for new Individual license APP (license type settings)</td>
<td>22098</td>
<td>Individual Doc Uploads: (UD4) MU2/MU4 Submitter - view a LIST of doc records and PDF docs</td>
</tr>
<tr>
<td>22097</td>
<td>Individual Doc Uploads: (UD1) MU2/MU4 Submitter - Add a NEW document</td>
<td>33066</td>
<td>Individual Doc Uploads: Masking Reason for Change and Comment</td>
</tr>
</tbody>
</table>
CBC for MU2 Individuals

SUMMARY: Congress recently amended the SAFE Act to authorize NMLS to process background checks for non-mortgage loan originator license applicants. States can now allow or require MU2 individuals to submit a criminal background check (CBC) through NMLS, if permitted by applicable state law.

Regulators will be able to indicate whether they allow or require a CBC by license type for Direct Owners/Executive Officers, Indirect Owners, Qualifying Individuals, or Branch Managers.

Company users will be able to request authorization for the CBC and for a state to view the results directly in NMLS through the creation of the MU2 filing when creating the company form (MU1) filing. An individual must approve the authorization and release of the results to the appropriate regulator as part of their MU2 filing. Individuals may also authorize a CBC and release of the results for additional states not requested by the company as part of the MU2 filing.

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<tr>
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<tbody>
<tr>
<td>34459</td>
<td>Reports: CBC Compliance Report (Company)- Filter and Pending MU2s</td>
<td>33607</td>
<td>CBC: Process CHRI Result (Clear License Items)</td>
</tr>
<tr>
<td>33587</td>
<td>CBC: Allow CBC Request for BM</td>
<td>33608</td>
<td>CBC: Process CHRI Result (Send Notifications)</td>
</tr>
<tr>
<td>33588</td>
<td>CBC: Allow CBC Request for QI</td>
<td>33609</td>
<td>CBC: Add CHRI Regulator Access</td>
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<tr>
<td>33589</td>
<td>CBC: Allow CBC Request for DO/EO</td>
<td>33611</td>
<td>CBC: Generate CHRI Regulator Access for Existing CHRI Records</td>
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<tr>
<td>33590</td>
<td>CBC: Allow CBC Request for IO</td>
<td>33612</td>
<td>CBC: Remove CHRI Regulator Access</td>
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<tr>
<td>33591</td>
<td>CBC: Prevent CBC Request for BM</td>
<td>33613</td>
<td>CBC: View Individual Composite</td>
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<tr>
<td>33593</td>
<td>CBC: Prevent CBC Request for QI</td>
<td>33614</td>
<td>CBC: Reports: CBC Compliance Report (Regulator Users)</td>
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<td>33594</td>
<td>CBC: Prevent CBC Request for DO/EO</td>
<td>33615</td>
<td>CBC: Reports: CBC Compliance Report with Results (Regulator Users)</td>
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<td>33595</td>
<td>CBC: Prevent CBC Request for IO</td>
<td>33616</td>
<td>CBC: Reports: CBC Compliance Report (Company Users)</td>
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<tr>
<td>33596</td>
<td>CBC: Require CBC for BM</td>
<td>33618</td>
<td>CBC: Email/Notification Impacts for MU2 CBC (Regulator)</td>
</tr>
<tr>
<td>33597</td>
<td>CBC: Require CBC for QI</td>
<td>33619</td>
<td>CBC: Email/Notification Impacts for MU2 CBC (Company)</td>
</tr>
<tr>
<td>33598</td>
<td>CBC: Require CBC for DO/EO</td>
<td>33628</td>
<td>CBC: Display Warning Message When CBC is Optionally Selected for a BM</td>
</tr>
<tr>
<td>33599</td>
<td>CBC: Require CBC for IO</td>
<td>33629</td>
<td>CBC: Evaluate MU1/MU3 CBC completeness check impacts on &quot;copied&quot; MU2 filings</td>
</tr>
<tr>
<td>33600</td>
<td>Test Only CBC: Limit CBC Method of Namecheck for MU2s with a Medical Waiver</td>
<td>33660</td>
<td>CBC: Display Warning Message When CBC is Optionally Selected for a QI</td>
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<tr>
<td>33601</td>
<td>CBC: BM - Prevent CBC Request for MU2 with Open CBC Authorization</td>
<td>33739</td>
<td>MU2 CBC-Suppress &quot;prevent CBC&quot; Comp Check for BM when &quot;open CBC auth&quot; Comp Check is fired.</td>
</tr>
<tr>
<td>33602</td>
<td>CBC: Warn User When Outstanding CBC Required License Item Exists for an MU2</td>
<td>33838</td>
<td>CBC-GUI-TEXT for CBC MU2 implementation</td>
</tr>
<tr>
<td>33603</td>
<td>CBC: MU1-Generate License Items when a Required CBC Auth is created.</td>
<td>33942</td>
<td>CBC: Display Warning Message When CBC is Optionally Selected for a DO</td>
</tr>
<tr>
<td>33604</td>
<td>CBC: MU3-Generate License Items when a Required CBC Auth is created.</td>
<td>34453</td>
<td>Reports: CBC Compliance Report (Regulators)- Update Filter Criteria</td>
</tr>
<tr>
<td>33605</td>
<td>CBC: View and Manage License Settings for MU2 CBC (User Interface)</td>
<td>34458</td>
<td>Reports: CBC Compliance Report with Results (Regulators)- Update Filter Criteria</td>
</tr>
<tr>
<td>33606</td>
<td>CBC: View License Settings for MU2 CBC (CSV Extract)</td>
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</table>
SUMMARY: Surety Bonds Tracking launches the creation of electronic surety bonds in NMLS, as well as the ability to generate riders and cancel bonds. Licensees will be able to grant a surety bond producer access to create bonds on their behalf. The ability to change a broker of record will also be available. See http://mortgage.nationwidelicensingsystem.org/Pages/esbt.aspx for information on state adoption of electronic surety bonds.

Bond Creation
Surety bond producers and surety companies will be able to create a bond for a company to which they have access for a specific license. The bond will be routed to the company for signature by the appropriate party, either a company user or a designated MU2 individual. The company will then be able to send it to the relevant regulator. The bond will be viewable by the surety bond producer, surety company, company, and relevant regulator. NMLS will enforce state-specific minimum bond amounts upon bond creation and will enforce these minimums throughout the maintenance of the bond in NMLS.

Bond Rider Issuance
Surety bond producers and surety companies will be able to create a rider to apply changes to an existing bond for a company’s license. The rider will be routed to the company for signature by the appropriate party, either a company user or designated MU2 individual. The company will then be able to send the rider to the relevant regulator. Rider changes will be applied to the bond and each version of the rider will be viewable by the surety bond producer, surety company, company, and relevant regulator.

Bond Cancellation
Surety companies will be able to cancel a bond. The cancellation will have to comply with individual state regulations for advance notice if the state allows cancellation. All parties, surety bond producer, company, and regulator will be informed of the cancellation. Surety companies will also be able to rescind the cancellation.

Surety Bond License Settings
Regulators will be able to set license type settings to allow electronic surety bonds, to allow/not allow cancellations, set advance notice requirements for cancellations, and set minimum bond amounts that NMLS will enforce.

Notifications
Notifications are being developed for the following events:
- Bond requires signature
- Bond rider requires signature
- Bond Cancellation
Surety Bond Tracking

Reports
Reports are being planned for all parties in the surety bond process.

- Regulator Surety Bond Roster Report
- Surety Company Bond Event Report
- Surety Bond Producer Event Report
- Company Bond Roster Report

Bond/Rider View
Companies and regulators will be able to view bonds and rider details associated to a license in Composite. Surety bond producers and surety companies will view bonds from their work lists.

<table>
<thead>
<tr>
<th>SCR Number</th>
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</tr>
</thead>
<tbody>
<tr>
<td>34857</td>
<td>Surety Bonds: Inform Surety entities of Licensee Address Changes</td>
<td>33776</td>
<td>Surety Bonds: Incorporate Cancelled bonds into existing Bond lists</td>
</tr>
<tr>
<td>22474</td>
<td>Modify SuretyStateAuthorizationApproval control to use Control State instead of View State</td>
<td>33777</td>
<td>Surety Bonds: Worklist subscription and assignment setup</td>
</tr>
<tr>
<td>32223</td>
<td>Surety Bonds: Company Authorizes SBP to issue a bond</td>
<td>33800</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32224</td>
<td>Surety Bonds: SBP Collects Data and Creates Bond (in simple format)</td>
<td>33801</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32225</td>
<td>Surety Bonds: Company accepts SBP issued bond</td>
<td>33802</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32243</td>
<td>Surety Bonds: Send Notification to SBP when licensee has granted access</td>
<td>33803</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32245</td>
<td>Surety Bonds: Company licensee views a list of Surety Bond Producers with access</td>
<td>33804</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32246</td>
<td>Surety Bonds: Surety Bond Producer views a list of Company licensees with access</td>
<td>33805</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32249</td>
<td>Surety Bonds: SBP representative reviews and signs bond</td>
<td>33806</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32250</td>
<td>Surety Bonds: Company is notified that a bond is ready for review</td>
<td>33807</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32366</td>
<td>Surety Bonds: Generate Template for WI-Banker-Bond with SBP Rep view</td>
<td>33808</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32367</td>
<td>Surety Bonds: Bond Form Template Framework extension (Field capture customizations)</td>
<td>33809</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32368</td>
<td>Surety Bonds: Company Licensee declines SBP-issued Bond</td>
<td>33810</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32389</td>
<td>Surety Bonds: Latest Company Name must be in bond for execution</td>
<td>33812</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32391</td>
<td>Surety Bonds: Enforce non-tiered requirements for new Company license application</td>
<td>33814</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32393</td>
<td>Surety Bonds: SC Collects Data and Creates Bond</td>
<td>33815</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32405</td>
<td>Surety Bonds: TEST ONLY-Company accepts SC-issued bond</td>
<td>33816</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32406</td>
<td>Surety Bonds: TEST ONLY-Company licensee declines or Request Correction SC-issued bond</td>
<td>33818</td>
<td>Surety Bonds: Create State Bond Form</td>
</tr>
<tr>
<td>32407</td>
<td>Surety Bonds: TEST ONLY-SC user reviews and signs the bond</td>
<td>33819</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32408</td>
<td>Surety Bonds: SC needs to authorize a bond written by associated SBP without Execution Authority</td>
<td>33820</td>
<td>Surety Bonds: Create State Bond Form</td>
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<tr>
<td>32409</td>
<td>Surety Bonds: OTNs to be incorporated into Bond</td>
<td>33821</td>
<td>Surety Bonds: Prevent a Rider on an Expired Bond</td>
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<tr>
<td>32410</td>
<td>Surety Bonds: Company designates specific MU2 Individual to sign a bond</td>
<td>33830</td>
<td>Surety Bonds: Prevent a Rider on an Expired Bond</td>
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<tr>
<td>32411</td>
<td>Surety Bonds: Import of Bond information for bond creation</td>
<td>33839</td>
<td>Surety Bonds: Licensee Removes SC Access</td>
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<tr>
<td>32412</td>
<td>Surety Bonds: SBP Creates Bond Rider</td>
<td>33841</td>
<td>Surety Bonds: Provide SBP ability to delete a pending bond or rider</td>
</tr>
<tr>
<td>32413</td>
<td>Surety Bonds: SC Generates Bond Rider on behalf of SBP</td>
<td>33842</td>
<td>Surety Bonds: Text for Bond Cancellation notice to Licensee</td>
</tr>
<tr>
<td>32423</td>
<td>Surety Bonds: Inform State Regulator of bond or bond rider execution</td>
<td>33859</td>
<td>Surety Bonds: SBP/SC needs ability to view bonds after Company access terminated</td>
</tr>
<tr>
<td>32425</td>
<td>Surety Bonds: SC Executed Bond Report</td>
<td>33862</td>
<td>Surety Bonds: SC Bulk Cancellation of Bonds</td>
</tr>
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### General Enhancements

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<tr>
<td>31429, 32319, 32321, 32322, 32323, 32320, 32325, 32326, 32327</td>
<td>Document Upload Enhancements for Branch Form (MU3) Filings</td>
<td>Branch document upload functionality for pending and historical/print filings will be enhanced to allow users to identify and review documents that have been added, amended, or deleted (will conform to company filing changes made in Release 2015.4). Document records will be assigned one of the following statuses which will display on the list page: • Amended – Description: amended description without an amended document • Amended – Document: amended document provided regardless of whether description has been amended • Deleted: document removed from the filing • Existing: document submitted on a previous filing and no changes made • New: added to the current filing The following actions will be available to company users based on Document Status: • Amended – Description: Undo, Amend • Amended – Document: Undo, Amend • Deleted: Undo, Amend (Reason for Deletion only) • Existing: Amend, Delete • New: Amend, Delete For each document record, the document file name length will be limited to 100 characters (existing documents will not be impacted by this new requirement). Company users will be required to provide a Reason for Change/Deletion for document records amended or deleted on the current filing. The Upload Date will be replaced with the Date Updated which will reflect the date of the most recent action by a company user to add, amend, or delete the document record.</td>
<td></td>
</tr>
</tbody>
</table>

**Filing Refresh**

This enhancement requires a branch form version change. Users will be required to refresh any un-submitted branch filing created prior to the release. In connection with this refresh, any un-submitted branch document upload change on the filing will be discarded. Branch users will be able to view the pending branch filing prior to the refresh. Users without pending filings will not be forced to resubmit previously submitted branch filings.
### General Enhancements

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<tr>
<td></td>
<td>Document Upload Enhancements for Branch Form (MU3) Filings (cont’d)</td>
<td><strong>Historical/Print Filing</strong>&lt;br&gt;The Document Uploads section will be updated to display documents grouped by document type listed in alphabetical order. The display will default to collapsed, however users will have the ability to expand document type groupings including at least one document record in an Amended - Description, Amended Document, Deleted, and/or New status will be marked as Modified. Document records in an Amended - Description, Amended Document, Deleted, and/or New status will be highlighted in the display.&lt;br&gt;&lt;br&gt;The following new information will be displayed for each document record:&lt;br&gt;• Submission Date (replacing Uploaded Date - to be updated only for document records with an amended document or deleted)&lt;br&gt;• Reason for Change/Deletion&lt;br&gt;• Document Status&lt;br&gt;&lt;br&gt;Users attempting to open a document that was deleted on a filing will be required to acknowledge a warning that the document has been deleted prior to opening the document.&lt;br&gt;&lt;br&gt;Links to View Document Uploads page in Composite View and to the redline view between the current filing and the most recent previously submitted filing will be available at the top of the section.&lt;br&gt;&lt;br&gt;State-specific documents associated to a logged-in regulator will display at the top of the list of documents for the document type.&lt;br&gt;&lt;br&gt;<strong>Composite View</strong>&lt;br&gt;The Processed Date currently displayed in Composite View on the Document Uploads and Document Uploads History pages will be updated to display the Submission Date.</td>
</tr>
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</table>
### General Enhancements

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<tr>
<td>21820, 33027, 32084, 32805, 32806, 32807, 32963, 32964, 32965, 33026</td>
<td>Refactor Direct Owner/Executive Officer, Indirect Owner, Qualifying Individual, and/or Branch Manager Individual Filing Creation/Update Rules</td>
<td>NMLS is being enhanced to eliminate the need for a direct owner/executive officer, indirect owner, qualifying individual, and/or branch manager to attest to a new individual filing associated to the company or branch filing if all of the following are true: • The attestation does not need to be recalled to make updates to the information on the filing; • No credit report or criminal background check requests need to be submitted; • The last processed individual state filing for the individual was submitted in the last significant form version; and • The last processed individual filing for the individual is a state filing. In addition, if a pending individual filing associated to the company or branch filing has a more recent attestation than the attestation on the last processed individual filing, the new attestation can be retained provided conditions 1 – 3 above are met.</td>
<td>State</td>
</tr>
<tr>
<td>31882, 32132, 32131, 32130</td>
<td>ACN Effective Date for Each Industry/State for Create OTN/QI</td>
<td>This enhancement to Advance Change Notice (ACN) functionality will allow company users to provide a separate effective date for each state and each industry when adding a new qualifying individual (QI) to a company filing or creating a new other trade name (OTN) on a company or branch filing.</td>
<td>State</td>
</tr>
<tr>
<td>22377</td>
<td>Filing: Prevent upgrade and re-attestation on Company-created MU4 filings for specific form versions</td>
<td>Newly implemented form versions without significant changes, will no longer require form version upgrade and re-attestation, for MU4 filings in an attested status when the new form version is released. This means a company will be able to submit most company-initiated MU4 filings that were attested to prior to the release even though a new form version will be implemented with the release.</td>
<td>State</td>
</tr>
<tr>
<td>32572</td>
<td>Filing: Prevent upgrade and re-attestation on Institution-created MU4R filings for specific form versions</td>
<td>Newly implemented form versions without significant changes, will no longer require form version upgrade and re-attestation, for MU4R filings in an attested status when the new form version is released. This means an institution will be able to submit most institution-initiated MU4R filings that were attested to prior to the release even though a new form version will be implemented with the release.</td>
<td>Federal</td>
</tr>
<tr>
<td>33067</td>
<td>Document Upload - Associate Reason for Change to Replaced Document for Display in History</td>
<td>Reason for Change/Deletion will be associated to the document that has been replaced or deleted in order to display Reason for Change in Document History for company, branch, and individual document uploads.</td>
<td>State</td>
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<tr>
<td>33069</td>
<td>Manage Review Item Triggers for Form Version Updates</td>
<td>At state regulators’ request, review items will be suppressed when company users replace the old reverse mortgage activity with one or more new reverse mortgage activities on the first company or branch filing submitted after the form updates are made.</td>
<td>State</td>
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### General Enhancements

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<tr>
<td>31804, 32286</td>
<td>Update User Profile to Include Title/Position</td>
<td>In support of attestation language changes on the Company and Branch filings requiring display of the title/position of the user completing the attestation, organizational users associated to a company/institution record in NMLS will need to provide their Title/Position as part of their User Profile.</td>
<td>State and Federal</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Existing organization users at the time of the release will be prompted to provide their Title/Position via the User Profile Update. Organization users associated to a company in the state context will be prompted to update their profile when they first log in after the release. Organization users associated to an institution in the federal context will be prompted to provide their Title/Position with the first quarterly update after the release.</td>
<td></td>
</tr>
</tbody>
</table>