



NMLS Release 2015.4 – Release Notes

Release Date: October 5, 2015

The purpose of these release notes is to provide a summary of system enhancements included in NMLS Release 2015.4

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 <i>View Advance Change Notices</i> page in Composite View.	State

General Enhancements

SCR Number	Title	Description	Context
16770	State Industry Dashboard: Incorporate Renewals-related activity	<p>NMLS will display a Renewals dashboard component for individuals during the renewals period that includes information on licenses and license renewal statuses.</p> <p>The Licenses section provides the following information:</p> <ol style="list-style-type: none"> 1. Licenses Eligible to be Renewed - A count of the individual's licenses that are eligible to be renewed. This count does not include licenses prevented from renewal and licenses in a Do Not Renew status or licenses that are not required to be renewed. 2. Licenses Prevented from Renewal - A count of the individual's licenses that are prevented from renewal. 3. Not Renewing or Not Required to be Renewed - A count of licenses that are in a status of not renewing or that are not required to renew. <p>The License Renewal Status section includes the following information:</p> <ol style="list-style-type: none"> 1. Attestation Required - A count of the individual's licenses which are eligible for renewal and for which renewal attestation has not yet been completed. 2. Employer Payment Pending - A count of the individual's licenses which are eligible for renewal and attested to but the employer/company (if company is making payment) has not submitted and paid for renewal. 3. Renewal Submitted - A count of the individual's licenses for which the renewal status is 'Requested'. 4. Renewal Approved - A count of the individual's licenses for which the renewal status is 'Approved'. 5. Renewal Rejected - A count of the individual's licenses for which the renewal status is 'Rejected'. 	State
22350	MU4R Review During Renewal	NMLS will display a print view of a registered individual's federal filing for review during the renewal attestation process. If the individual needs to update the filing, they will be able to navigate to the filing, make necessary updates, then return to the registration renewal.	Federal
22353	Company/Branch Renewal Request Submitted Notification (Renewals)	NMLS will send a nightly notification confirming the submission of company and branch license renewal submissions.	State

General Enhancements

SCR Number	Title	Description	Context
22355	Allow State Agencies to Block Auto-Renewal for Unpaid Agency Fee Invoices (Renewals)	<p>A new setting in NMLS will allow regulatory agencies to determine if past due Agency Fee Invoices (AFIs) will prevent renewal submission or auto-renewal. If the agency sets the prevent renewal setting to yes, then an entity cannot submit a renewal request until past due AFIs are paid.</p> <p>If the agency participates in auto-renewal and sets the prevent auto-renewal setting to yes, then the entity can still submit a renewal request, but the renewal request will not be eligible for automatic renewal. A regulator will be able to review and approve/deny the renewal request.</p>	State
21019	View License Items Placed by Other States	Regulator users will have the ability to view license item details for license items placed by other states. However, regulators will be able to see the external notes for such license items only if the entity has an active license or an MU2 association with an entity that has an active license with the state. External notes marked 'Private for Individual' license items will not be viewable by other state regulators.	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 <i>View Advance Change Notices</i> page in Composite View.</p> <p>Counts will be provided for ACNs effective in the following aging categories:</p> <ul style="list-style-type: none"> • 15 days or less • 16 – 30 days • 31 days or more 	State
18229	Work Item-MU2-Add logic to list industries QI covering	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. The Current Industries column will be blank for new QIs.	State

General Enhancements

SCR Number	Title	Description	Context
21569	"Show All" for License Item Dashboard	An option will be added to view a dashboard that contains all license items in order to provide regulators with an agency-wide view of the License Item Dashboard. This enhancement will make it easier for regulators to view all items in one dashboard.	State

<p>31097</p>	<p>Document Upload: Company Enhancements</p>	<p>Company 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.</p> <p>Document records will be assigned one of the following statuses which will display on the list page:</p> <ul style="list-style-type: none"> • 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 • New - added on the current filing <p>The following actions will be available to company users based on Document Status:</p> <p>Amended – Description -> Undo, Amend Amended – Document -> Undo, Amend Deleted -> Undo, Amend (Reason for Deletion only) Existing -> Amend, Delete New -> Amend, Delete</p> <p>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 replace 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.</p> <p>Filing Refresh</p> <p>This enhancement requires a company form version change. Users will be required to refresh any un-submitted company filing created prior to the release. In connection with this refresh, any un-submitted company document upload change on the filing will be discarded. Company users will be able to view the pending filing prior to the refresh.</p>	<p>State</p>
---------------------	--	--	--------------

General Enhancements

SCR Number	Title	Description	Context
31097	Document Upload: Company Enhancements	<p>Historical/Print Filing</p> <p>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.</p> <p>The following new information will displayed for each document record: Submission Date (replacing Uploaded Date - to be updated only for document records with an amended document or deleted); Reason for Change/Deletion; and Document Status. 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.</p> <p>Links to <i>View Document Uploads</i> 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.</p> <p>State-specific documents associated to a logged-in regulator will display at the top of the list of documents for the document type.</p> <p>Composite View</p> <p>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.</p>	State

System Maintenance Updates

SCR Number	Category	Description	Context
NMLS-11143	State Renewals: Individual Renewals Attestation List and Renewal Attestation History	The sort order on the <i>State Renewals Attestation History</i> screen will be updated to sort by Regulator Name ascending then Attestation Date descending.	State

System Maintenance Updates

	pages should default alphabetically by Regulator name		
NMLS-12227	State Renewals: Renewal Request listed twice in Renewal History	The <i>State Renewals History</i> screen is displaying duplicate rows in some cases. The display will be modified to only display one record when Renewals Status, Renewals Status date, Renewals Year are the same.	State
NMLS-15440	State Renewals: License Status Code being displayed instead of Description in Recall list	The Individual Renewals Recall List is displaying the Status Code rather than the Status Description on the License Status Column. The License Status Column will be updated to display the License Status Description.	State
NMLS-17593	State Renewals: Regulator Renewal Request and On Hold Renewals Lists not sorting alphabetical due to capitalization	The Regulator Renewal Request list is incorrectly sorting the names column by uppercase first then lower case. Capitalization should not affect the sort order.	State
NMLS-20334	Federal Renewals: Attestation oath Name does not contain Middle Name Baseline	The Individual Middle Name is not include in the Oath Name on the Federal Renewal Attestation. The Oath Name will be updated to include the Individual's Middle Name.	Federal
NMLS-13441	Notifications: Branch Renewal Rejected notification - Difference between text and requirements	The Branch Renewal Rejected Notification text will be updated to include the missing word 'Branch'.	State
NMLS-20376	Search: Branch Search Results displays row multiple times when an Individual is a Branch manager for more than One Industry Baseline	When an individual is a branch manager for more than one industry, the View - Branch Search Results display multiple rows. The first row contains the correct information. The other rows contain only the branch manager name and ID and the other columns are blank. The system will be updated to only display the first row in this case.	State
NMLS-22337	Filings:MU1-DO/EO page on a historical filing with an Individual added has hyperlink displayed on multiple lines in IE11	The View Individual Snapshot hyperlink on the <i>Direct Owners and Executive Officers</i> page is displaying on multiple lines when using various versions of Internet Explorer (IE). The display will be updated to display on one line for all supported versions of IE.	State

System Maintenance Updates

NMLS-22521	Composite: Sort on the Month and Day of Birth column of the Individual Search for State Regulatory Actions results not sorting by MM/DD	The Month and Day of Birth column on the Individual Search for State Regulatory Actions screen is not sorting by the month and day (mm/dd) values. The sort will be updated to sort this column appropriately.	State
NMLS-22544	Filing: Federal Individual Search on MU4R Create Filing does not display sub menu or left navigation	The sub menus and the left navigation are not displaying on the <i>MU4R Create Filing Individual Search</i> screen. The navigational display will be added and the menu tab will be highlighted when selected.	Federal
NMLS-22919	Payments: Message for Outstanding Invoices when access is restricted is incorrect	If a Company or Individual has restricted access due to an outstanding invoice, they are seeing the restricted access message on the <i>One Time Payment</i> screen even after the outstanding invoice has been paid. The system will be updated to not display a restricted message once the payment is made.	State
NMLS-31791	Work Item: QI Association Removal Work Item throws a GSE	Regulator users receive an error when accessing a Qualified Individual/Branch Manager (QI/BM) Association Removal review item for a company that has a pending create ACN but the event is not relevant to the regulator. The system will be corrected to prevent an error when this scenario occurs.	State

Browsers Used for Testing NMLS

Manual Testing : Firefox 32 / IE9 / IE 11 for functional testing

Automation : Firefox 19 and IE9 (ad-hoc basis)

Sauce Labs is used occasionally for specific OS / Browser Combination in QC environment.