Federal Registry Institution Reports Field Definitions

Last Updated: July 06, 2015
Conference of State Bank Supervisors
1129 20th Street NW, Ninth Floor
Washington, D.C. 20036

Institution Reports Field Definitions

This document provides field definitions for the standard reports available to federally registered institutions through the Reports tab in NMLS. The information contained in the report is for entities that are relevant to the institution who is requesting the report.

Except for minor adjustments to account for holidays, the following rules apply regarding the availability of data for Reports within NMLS:

'As of Date' Reports: Reports with an 'As Of' date that falls on Monday through Thursday will include data current as of the previous day. Reports with an 'As Of' date that falls on Friday through Sunday will include data current as of the preceding Thursday.

'Since Date' Reports: Reports requested on Monday through Thursday will include data up to and including the previous day. Reports requested on Friday through Sunday will include data up to and including the previous Thursday.

The document contains:
   a. A brief description of the report
   b. The report criteria filter options available
   c. The fields contained in the report with field definitions.

Contents

Federal Individual Roster (Institution)

This report provides a list of MLOs associated with the institution and their current NMLS registration status (pending, active and/or inactive) as well as the current CBC request status.

Criteria for the report can be filtered by:
- Employment Status Category (Active Employments, Inactive Employments, Pending Employments)

Report Field	Description		
Individual NMLS ID	Identifies the unique NMLS ID of the individual.		
Individual Last Name	Last name of the individual.		
Individual First Name	First name of the individual.		
Individual Middle Name	Middle name of the individual.		
Individual Suffix	Individual suffix.		
Individual Email	Individual's email address.		
Registration Status	Indicates the status of the registration associated to the Federal Agency that regulates the institution.		
	Pending	Filing has been submitted, but requirements for active registration not met.	
	Active	Filing has been submitted, and requirements for active registration have been met.	
	Inactive	Previously Active registration, but MLO no longer meets requirements for active registration.	
Registration Status Date	System date and time when the registration status was last updated.		
Work Location Street1 and Street2	Individual's current residential street address (Street 1, Street 2).		
Work Location City	City of the work location address.		
Work Location State	State Code of the work location address.		
Work Location Country	Country of the work location address.		
Work Location Postal Code	Postal (zip) code of the work location address.		
Employment Status	Indicates the status of the employment record with the Institution.		
	Confirmed	Indicates that the employment has been confirmed by the Institution.	
	Correction Requested	Indicates that the Institution has requested a correction to the employment.	
	Pending Confirmation	Indicates that the employment has not yet been acted upon by the Institution, after the individual responds to correction requested.	
	Terminated	Indicates the employment has been terminated by the Institution or the Individual.	

Report Field	Description		
Employment Status Date	System date and time when the employment status was updated.		
Employment Confirmed Date	System date and time when the employment record was confirmed.		
Employment Start Date	The MLO's employment start date with the Institution.		
Employment End Date	The MLO's employment end date with the Institution.		
Most Recent CBC Completed On Date	Date the CBC had a result returned, was returned illegible, or rejected. This field is only presented for non-terminal employments.		
Current CBC Request Status	The current status of the criminal background check request, if the employment is not terminated.		
		Closed	Criminal background check has been completed successfully and has resulted in a results being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received.
		Expired	No fingerprint record was associated to the request within the allotted timeframe.
		Pending Fingerprint	An individual submitted an authorization to conduct a criminal background check and a CBC request has been created in the system.
		Processing Fingerprint	An individual background check is being performed using the fingerprints provided by the individual.
		Processing Name Check	An individual background check is being performed by "Name Check" for the individual.
Current CBC Request Status Date	Date on which the corresponding CBC Request Status was set. Not shown for terminated employment records.		
Report Generated Time	System date and time when the report was generated.		

MU4R Detail Report (Institution)

This report provides a list of MLOs with a pending and/or active employment with the institution and detailed information from the most recently submitted MU4R filing.

Criteria for the report can be filtered by:
- Employment Status Category (Active Employments, Pending Employments)

Report Field	Description
Individual's Identifying Information	
NMLS ID	Identifies the unique NMLS ID of the individual.
Last Name	Last name of the individual.
First Name	First name of the individual.
Middle Name	Middle name of the individual.
Suffix	Individual suffix.
Gender	Gender of the individual.
State of Birth	Individual's state of birth.
Country/Province of Birth	Individual's country/province of birth.
Other Names Exist?	Displays a Yes or a No to indicate if other names exist for the individual.
Contact Information	
Business Phone	Individual's business phone number.
Extension	Business phone number extension.
Home Phone	Individual's home phone number.
Cell Phone	Individual's cell phone number.
Fax Line	Individual's fax number.
Email Address	Individual's email address.
Current Residential Address	
Address	Individual's current residential street address (Street 1, Street 2)
City	City of the current residential address.
State	State Code of the current residential address.
Country/Province	Country of the current residential address.
Postal Code	Postal (zip) code of the current residential address.
Employment History	
Employer	Name of current employer, pending or confirmed, listed on the MU4R (name of the institution requesting the report).
NMLS ID	NMLS ID of the current employer, pending or confirmed, listed on the MU4R (NMLS ID of the institution requesting the report).
Employed From	Current employment start date (start date of the current employment if the institution requesting the report).
Work Location	Current work location street address (Street 1, Street 2)
City	City of the current work location address.
State	State Code of the current work location address.
Country/Province	Country of the current work location address.
Postal Code	Postal (zip) code of the current work location address.

Report Field	Description

Employment Status Information

Status	Indicates the status of the employment record with the Institution.

	Confirmed	Indicates that the employment has been confirmed by the Institution.
	Correction Requested	Indicates that the Institution has requested a correction to the employment.
	Pending Confirmation	Indicates that the employment has not yet been acted upon by the Institution.

Status Date	System date and time when the employment status was updated.
Status Updated By	User name of the user who last affected the individual's registration status (e.g. System or an institution user).
Employment Confirmation Date	System date and time when the employment record was confirmed.
Employment Confirmed By	User name of the user who confirmed the employment, when applicable (e.g. System or an institution user).
Other Current Employments?	Displays a Yes or a No to indicate if the individual has other current employments.

Disclosures Information

Disclosure Questions "Yes" Responses?	Displays a Yes or a No to indicate if the individual has answered "Yes" to one or more disclosure questions on the most recently processed MU4R filing.
Disciplinary Actions Exist?	Displays a Yes or a No to indicate if the individual has a Disciplinary Action in the most recently processed MU4R filing.

Criminal Background Check (CBC) Request

CBC Status	Current status of the criminal background check request on the most recently processed MU4R filing.

	Closed	Criminal background check has been completed successfully and has resulted in a results being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received.
	Expired	No fingerprint record was associated to the request within the allotted timeframe.
	Pending Fingerprint	An individual submitted an authorization to conduct a criminal background check and a CBC request has been created in the system.
	Processing Fingerprint	An individual background check is being performed using the fingerprints provided by the individual.
	Processing Name Check	An individual background check is being performed by "Name Check" for the individual.

CBC Closed - Reason	If Status is Closed, this indicates if the CBC request was closed because a result was received, or if prints were returned as illegible or rejected.

Report Field	Description
CBC Status Date	Date on which the corresponding CBC Request Status was set.
CBC Method	Indicates the CBC Method selected on the most recently processed MU4R filing.<table><tr><td>NAME</td><td>Name Check</td></tr><tr><td>SUBMITNEW</td><td>Submit New Prints</td></tr><tr><td>USEAUTH</td><td>Use Existing Prints</td></tr></table>
Fingerprints Taken Date	Date the current fingerprints were taken.
MLO Registration	
Institution Regulated By	Name of the federal agency that regulates the employing institution.
Registration Status	Indicates the status of the registration associated to the Federal Agency that regulates the institution.<table><tr><td>Pending</td><td>Filing has been submitted, but requirements for active registration not met.</td></tr><tr><td>Active</td><td>Filing has been submitted, and requirements for active registration have been met.</td></tr></table>
Registration Status Date	System date and time when the registration status was last updated.
Initial Active Registration Date	System date and time when the registration status first became active.
Filing Information	
Filing Created By	User name of the user who created the most recently processed MU4R filing (e.g. an institution user or the individual).
Filing Submission Date	System data and time the most recently processed filing was submitted.
Report as of Timestamp	System date and time the information was last updated in the reporting system (prior business day).
Report Generated Timestamp	System date and time when the report was generated.

Federal Criminal Background Check Report (Institution)

This report displays the current CBC for MLOs pending confirmation of employment with an institution.

Report Field	Description
Individual NMLS ID	Identifies the unique NMLS ID of the individual.
Individual Last Name	Last name of the individual.
Individual First Name	First name of the individual.
Individual Middle Name	Middle name of the individual.
Individual Suffix	Individual suffix.
Individual Email	Individual's Email Address.
Registration Status	Indicates the status of the registration associated to the Institution. <table><tr><td>Pending</td><td>Filing has been submitted, but requirements for active registration not met.</td></tr><tr><td>Active</td><td>Filing has been submitted, and requirements for active registration have been met.</td></tr><tr><td>Inactive</td><td>Previously Active registration, but MLO no longer meets requirements for active registration.</td></tr></table>
Registration Status Date	System date and time when the registration status was updated.
Work Location Street1 and Street2	Current work location street address.
Work Location City	City of the work location address.
Work Location State	State Code of the work location address.
Work Location Country	Country of the work location address.
Work Location Postal Code	Postal (zip) code of the work location address.
Employment Start Date	Current employment start date.
Employment Status	Indicates the status of the employment record with the Institution. <table><tr><td>Confirmed</td><td>Indicates that the employment has been confirmed by the Institution.</td></tr><tr><td>Correction Requested</td><td>Indicates that the Institution has requested a correction to the employment.</td></tr><tr><td>Pending Confirmation</td><td>Indicates that the employment has not yet been acted upon by the Institution, after the individual responds to correction requested.</td></tr><tr><td>Terminated</td><td>Indicates the employment has been terminated by the Institution or the Individual.</td></tr></table>
Employment Status Date	System date and time when the employment status was updated.
Employment Creation Date	The date the employment was initially created in NMLS.

Report Field	Description		
Current CBC Request Status	The current workflow status of the criminal background check request.		
		Closed	Criminal background check has been completed successfully and has resulted in a results being returned or the prints were returned as illegible or rejected. If closed, closed reason will also be displayed. Example, Closed-Illegible or Closed-CHRI Received.
		Expired	No fingerprint record was associated to the request within the allotted timeframe.
		Pending Fingerprint	An individual submitted an authorization to conduct a criminal background check and a CBC request has been created in the system.
		Processing Fingerprint	An individual background check is being performed using the fingerprints provided by the individual.
		Processing Name Check	An individual background check is being performed by "Name Check" for the individual.
Current CBC Request Status Date	Date on which the corresponding CBC Request Status was set.		
New Request Required?	Y if prints were returned illegible/rejected or if the CBC request has expired without submission of prints. Otherwise, N.		
Payment for CBC Required?	Y if open CBC Request exists but requires payment by an Institution. N if payment for open CBC Request has been submitted.		
Payment responsibility	If Payment is required: column will display the username associated to the payment if the Institution viewing the report must submit payment or "Another company" if an Institution other than the one viewing the report must submit payment.		
Report Generated Time	System date and time when the report was generated.		