

ComplianceOne manager

June 2013

This publication was written for the ComplianceOne Solution ComplianceOne manager interface.

Publication Information / Version

ComplianceOne Solution Interface Operations Guide

ComplianceOne Solution Version 2010.2 and higher

ComplianceOne manager Interface Operations Guide Version 2013 q1

Document Release Date July 2013

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Overview

This manual describes the use of the ComplianceOne manager, Inc (ComplianceOne® manager) business-to-business (B2B) interface from the Wolters Kluwer Financial Services ComplianceOne® Solution (ComplianceOne). ComplianceOne manager is browser-based lending management software emphasizing early compliance and performance tracking. ComplianceOne manager provides pre-close loan management and reporting.

The interface supports bi-directional information transfer:

- From ComplianceOne manager to ComplianceOne
- From ComplianceOne to ComplianceOne manager

The interface does not support:

- Batch transfers from ComplianceOne manager to ComplianceOne
- Transfers of deposit or CIF data only

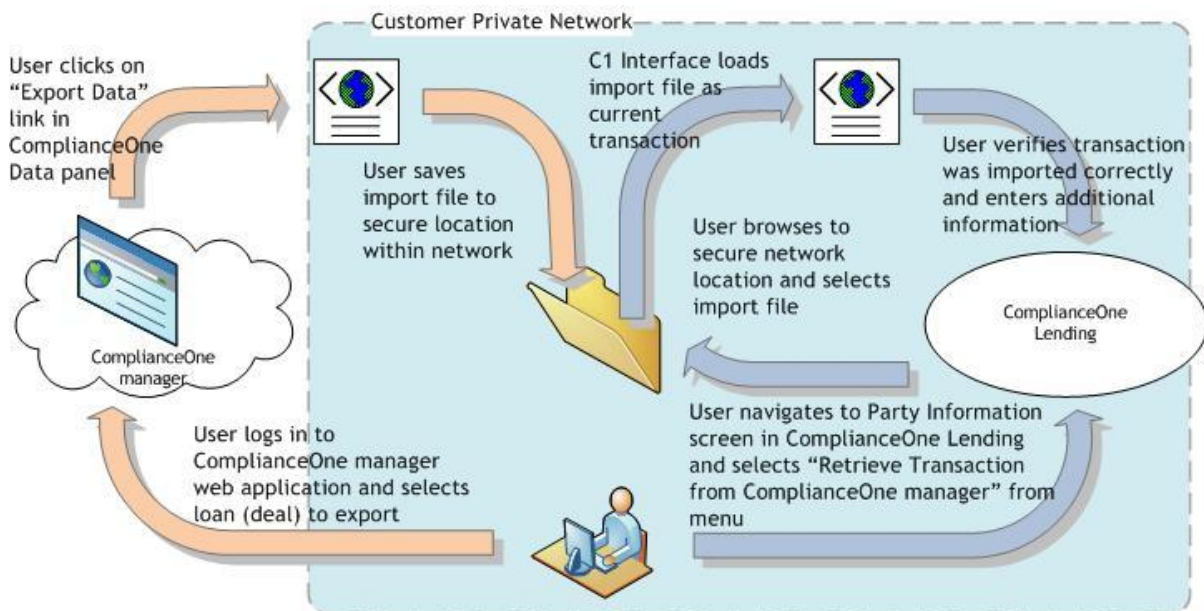
Details about the specific transaction information transferred from ComplianceOne manager can be found in the [Mapping Table](#) section of this document.

How ComplianceOne Communicates with ComplianceOne manager

The communication is bi-directional - passing transaction data between ComplianceOne manager and ComplianceOne. You will need to interact with both ComplianceOne manager and ComplianceOne to achieve the data transfer.

From ComplianceOne manager to ComplianceOne

ComplianceOne manager will generate an XML file from the transaction which is then read by ComplianceOne.

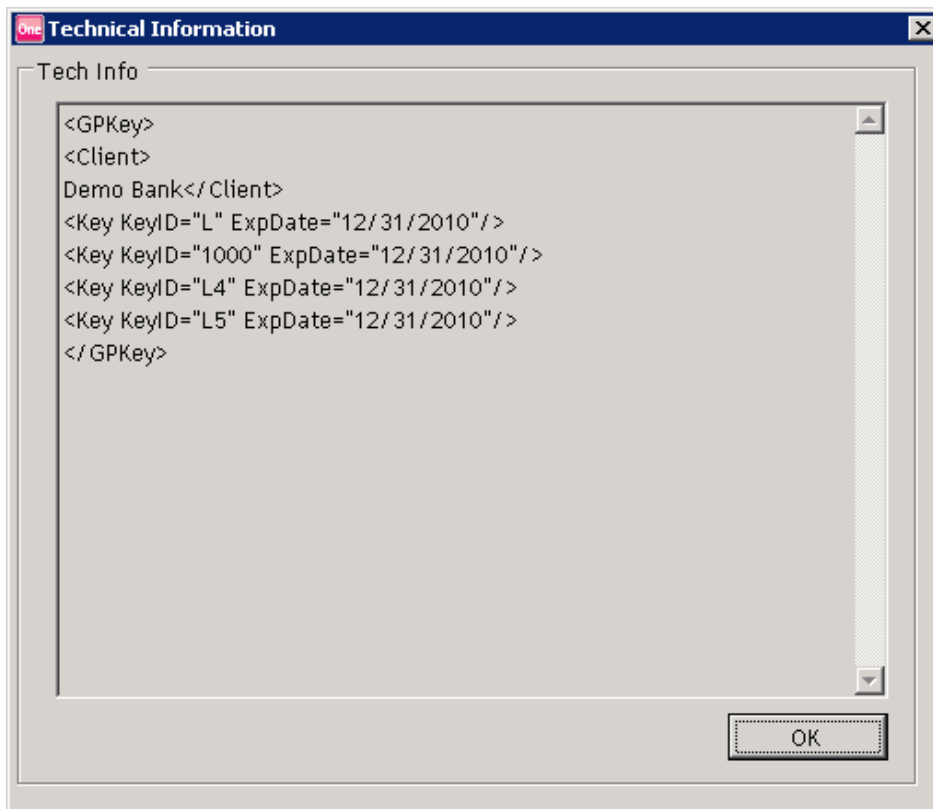


Installation and Setup

ComplianceOne Prerequisites

When you purchase the interface from Wolters Kluwer Financial Services you will be given a key code, L5, and instructions for installing the key code. Installation of key code will activate the ComplianceOne manager interface in ComplianceOne.

To verify that the key code has been added, log on to ComplianceOne administration and choose **View, Tech Info** from the top menu. The key code L5 should be present on the list.



No interface setup or configuration is required in administration. However, each ComplianceOne user importing ComplianceOne manager deals must have the **Download** permission checkbox selected in their user profile. If a user does not, an insufficient permission message will display when importing and the import process will exit. The **Download** permission checkbox is available in administration, Setup tab, Users. Double-click a username to view the permissions on the first page of user data.

ComplianceOne manager Setup

Contact ComplianceOne manager and indicate that you require data exchange capability with ComplianceOne as part of the ComplianceOne manager package.

In ComplianceOne manager, interface permissions will be tailored for individual roles. You will be able to assign different levels of export functionality to different roles within ComplianceOne manager. Your bank administrator should be able to set permissions for any given role setup in ComplianceOne manager. The different levels of functionality include:

- Export Authority
- No export to ComplianceOne

Note that these different levels of functionality assigned in ComplianceOne manager have no relevance to the user roles or permissions assigned in the ComplianceOne application.

You will find instructions as to how to assign this functionality either by contacting ComplianceOne manager or as shown in their user guide.

Setting Up the Directory for the Export File

Before exporting to ComplianceOne you will need to set up a folder in which to save the .LCC files exported from ComplianceOne manager. The folder must be accessible by your ComplianceOne installation, that is, you must be able to browse to it from within your ComplianceOne application.

The folder can be anywhere and you can use any reasonable name for the folder. This folder may already be set up as part of your ComplianceOne manager installation.

Using ComplianceOne manager

Exporting from ComplianceOne to ComplianceOne manager

Users can use this functionality to export files by selecting **File/ ComplianceOne manager Export**.



Prerequisites

- Users must have the loan or application transaction you want to export currently loaded and completed through the Loan Definition.
- A payment structure must also be selected, but the Calculation screen does not have to be completed.
- This menu item will be visible and enabled only when the L5 key is present.
- If the C1 user does not have the **Upload** permission box checked in C1 Admin, they will receive an insufficient permission message and the export process will exit.
- If no existing transaction is active when selecting the menu item, or if the transaction does not have the required data entry completed, the user will be prompted to continue entering data until the requirements have been met.

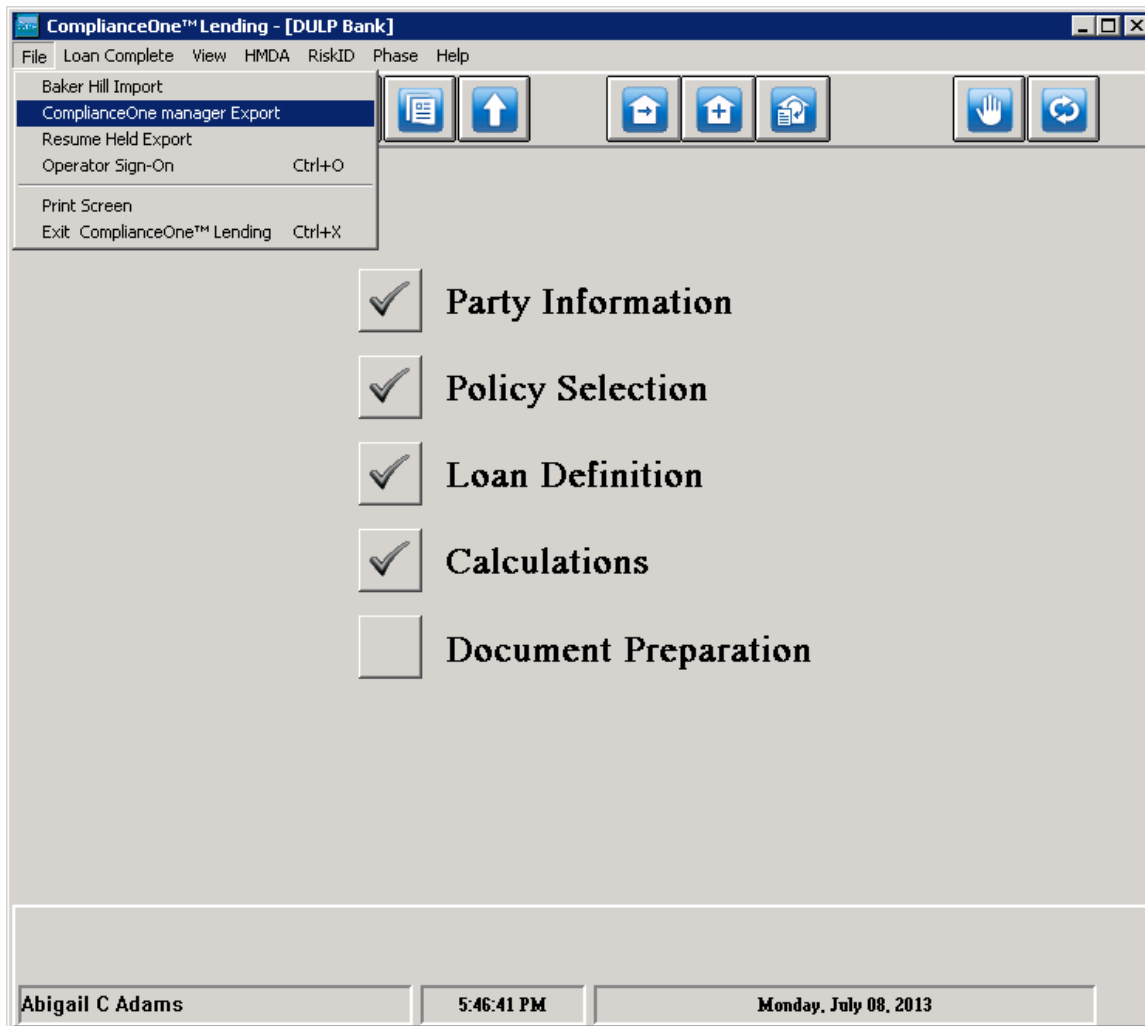
Export as XML from Compliance One

NOTE: No configuration of administrative settings is required in the ComplianceOne manager setup interface. Users simply contact their ComplianceOne manager support representative and the export/import functionality is activated remotely. Before first use of the data exchange, a ComplianceOne manager representative will instruct you how and where to temporarily store the exchange XML files.

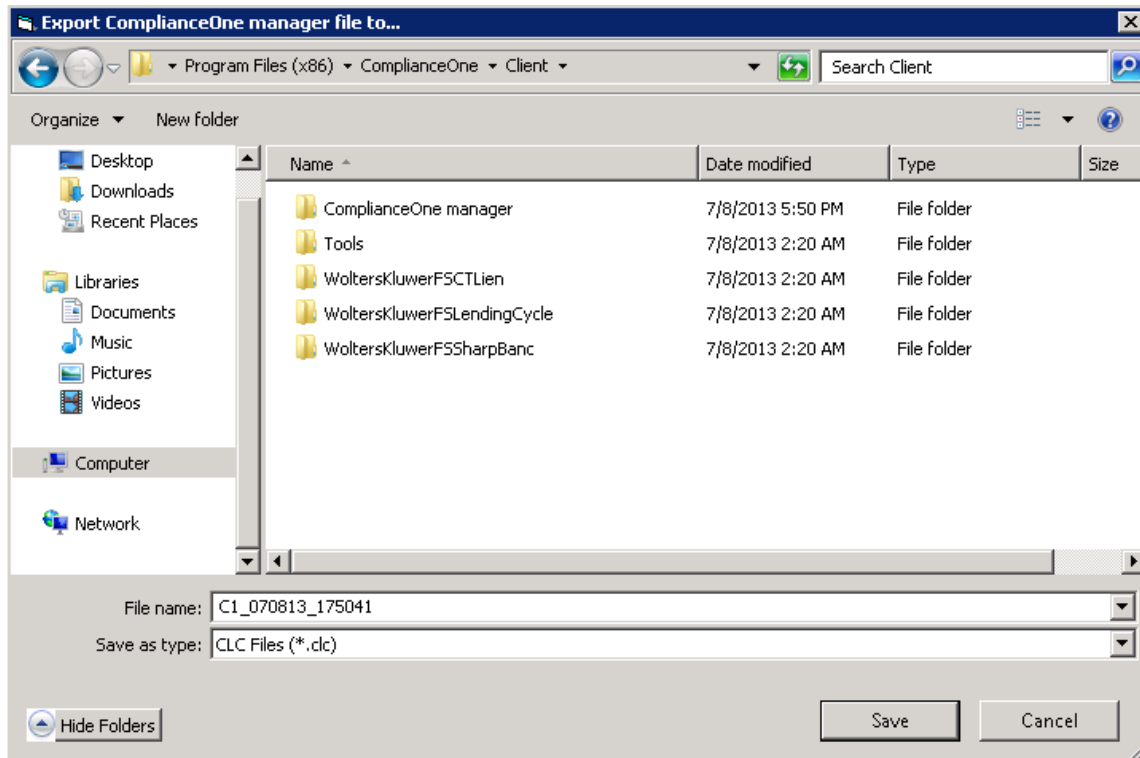
Exporting

1. After logging into ComplianceOne, click the **Party Information** select to start a new transaction; the **Party** screen appears.
2. Click the forward button  to advance through the **Party Information** screens.
3. Click the **Policy Selection** button to select policies that apply to the transaction. Complete all fields necessary to the **Policy Selection** screen.
4. Click the **Loan Definition** button to enter information necessary to the transaction. Click the forward button  to advance through the **Loan Definition** screens.

5. Click the **Calculations** button. On the *Calculations Definition* screen, enter the following:
 - **Payment Structure**
 - **Period**
 - **Method**
 - **Rate**
 - Determine if either a **Late Charge** or **Prepay Penalty** applies enter paymentContinue through the *Calculations* screen.
6. Select **ComplianceOne manager Export** from the file menu.

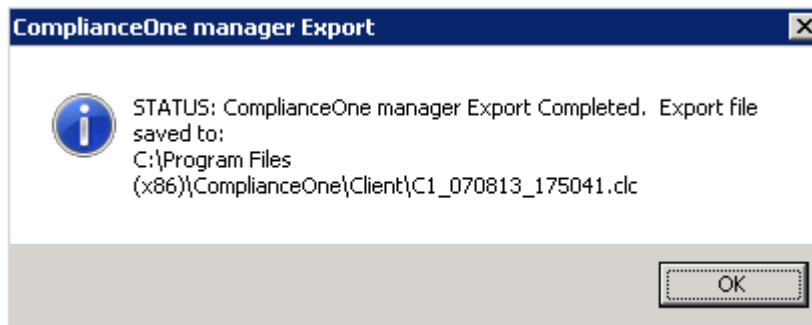


7. The **Export ComplianceOne manager file to...** dialog appears. Navigate to the desired location to save the file; click **Save**.



The following message appears:

■ **ComplianceOne manager Export Completed**



NOTE: If you do not have this functionality within ComplianceOne manager but desire it, contact ComplianceOne manager for configuration or purchase information.

XML File Specifications

When using XML files, users should adhere to the following formatting specifications:

■ The naming convention of the file will appear as the following:

- The user can change the file name by deleting the default name and keying in a different name. C1_" + {Primary Borrower Last Name} + "_" + {YYYYMMDD_HHMMSS} + ".clc"

An example of this naming convention would be **C1_Smith_20100720_162608.clc**

- XML files should have a proprietary extension that is readable by the ComplianceOne interface. The proprietary extension is *.CLC

Importing into ComplianceOne

NOTE: This procedure applies to **new transactions only**.

WARNING! Do not change the .LCC filename extension or ComplianceOne will not be able to find the file.

Once you have exported at least one file from ComplianceOne manager, you can pick it up from ComplianceOne at any time. You have a number of choices as to how you would like to import the file into ComplianceOne (**new transactions only**):

- Import as a new loan application but no template
- Import as a loan application using a template
- Import as a loan but no template
- Import as a loan using a template

Once the .LCC file is imported successfully into ComplianceOne, it will be deleted.

NOTE: When importing transactions that already exist in ComplianceOne, the transaction's existing settings are used. You cannot apply a template when importing an existing transaction

For identification purposes the XML file will use a proprietary extension, readable by the ComplianceOne interface. That extension is .LCC. The file naming convention used by ComplianceOne manager is: Date/timestamp_DealName.LCC. For example, 1005051512_DealName.LCC.

Notes


- Users can set fields in ComplianceOne templates to read-only, for instance, a fee. Information imported from ComplianceOne manager will overwrite the template field, for instance, a pre-set fee, and you will not be able to change the fee value in ComplianceOne. Data being imported from ComplianceOne manager will override any value specified in the template. Please make sure that the information in the ComplianceOne manager deal you wish to import makes sense with your selected ComplianceOne template before importing ComplianceOne manager deals.
- If you use a template that creates default collateral and one or more template collateral items of the same type already exist, the first collateral item will be updated with the description contained in the ComplianceOne manager import file. This will overwrite any default description created by the template. Again, make sure your ComplianceOne manager deal

collateral description is similar or the same as your ComplianceOne description if you are using a template in this situation.

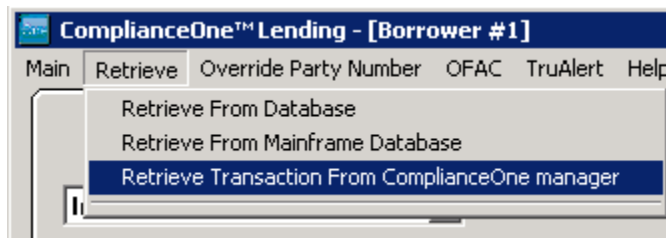
- For new transactions only; existing transactions do not update or change collateral.

Import as Loan Application but no Template

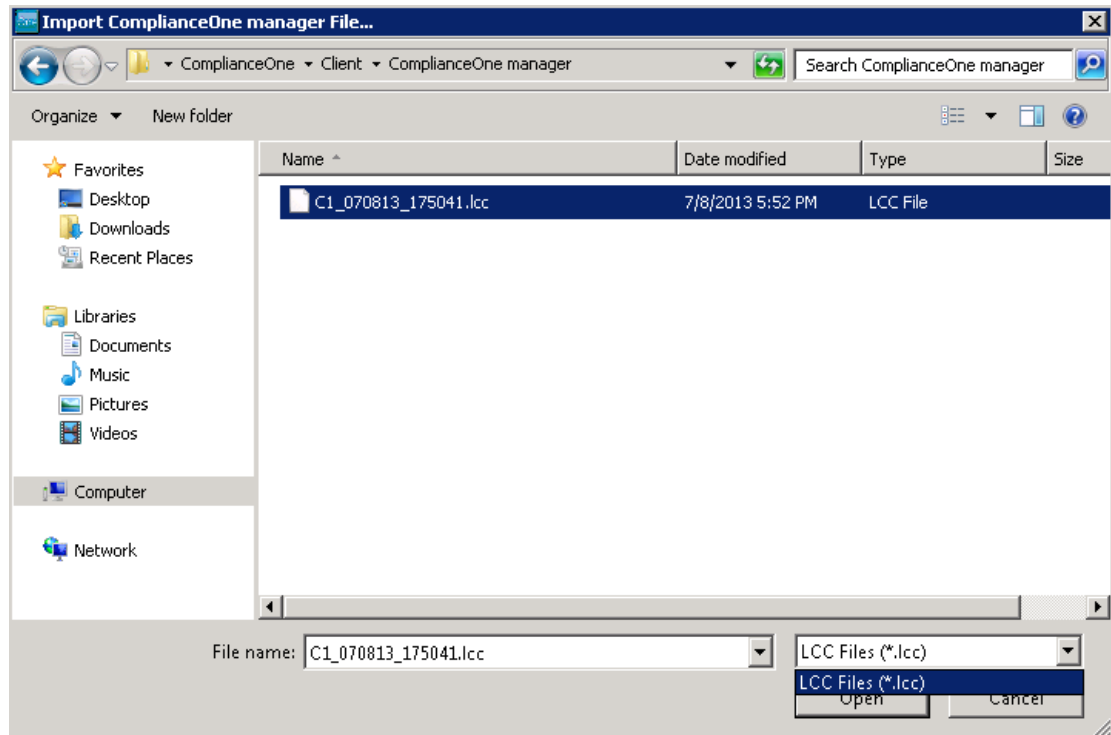
To import the ComplianceOne manager deal into ComplianceOne as a loan application but without applying a ComplianceOne template:

1. Log into ComplianceOne.
2. Click the **Application** button from the main window if you are not in the application side of Lending.
3. Click **Party Information** to begin a new application and click the forward button  to the **Party** window.
4. From the top menu choose **Retrieve/Retrieve Transaction From ComplianceOne manager**.

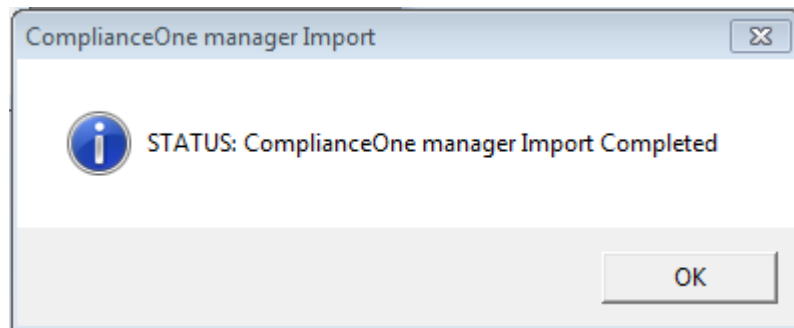
NOTE: The **ComplianceOne manager** menu option will be available in any and all of the *Party Information* screens and tabs, including co-signers and guarantors. If the imported ComplianceOne manager deal does not have a corresponding party, the current party screen will be cleared, and clicking the back button returns you to the next imported party.



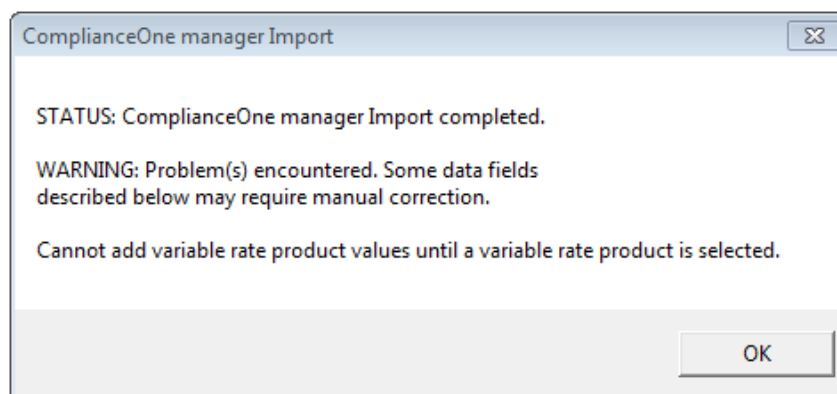
5. Browse to the folder containing the .LCC file, select the transaction file to import, and click **Open**. Note that you can only select one file.



6. If the import is successful you will receive the following message:




If an error occurs, the following message appears outlining the specific error:



You can proceed as you would with any loan application in ComplianceOne.

NOTE: See [Appendix A: Troubleshooting](#) for more information on error handling.

Additional Information

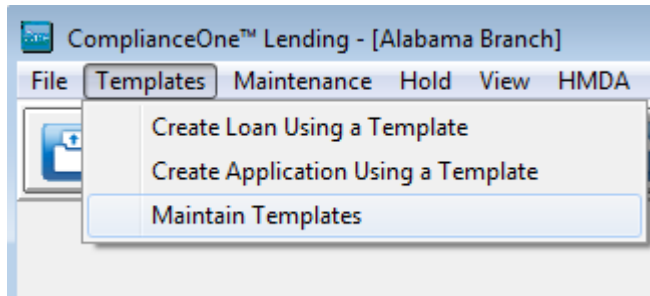
- Users must progress a new loan or template loan into the **Party Information** section from the main screen to access the menu item. It will be visible and enabled only when the L5 key is present. If the C1 user does not have the **Download** permission box checked in the ComplianceOne Admin module, an insufficient permission message will appear, and the import process will exit.
- If an active partial or completed loan exists when selecting the menu item, the user will be prompted to put the loan on hold, clear the transaction, or cancel the retrieve process.
- The ComplianceOne manager menu option will be available in any and all of the Party Information screens and tabs, including co-signers and guarantors. If the imported loan does not have a corresponding party, the current party screen will be cleared, and clicking the back button  will jump to the next imported party.

Import as a Loan Application Using a Template

NOTE: This procedure applies to **new transactions only**.

To import the ComplianceOne manager deal into ComplianceOne as a loan application but with a ComplianceOne template:


1. Log into ComplianceOne.
2. From the top menu, select **Templates, Create Application Using a Template**.



3. Select the template which you want to apply to the transaction.
4. Click **Party Information** to go to the first Party detail window.
5. Select **Retrieve, Retrieve Transaction from ComplianceOne manager** from the top menu. Browse to the folder containing the .LCC file and select the deal file to import.
6. The ComplianceOne Party window will now be populated with deal information and you can proceed as you would with any loan application.

Import as a Loan but no Template

To import the ComplianceOne manager deal into ComplianceOne as a loan but without applying a ComplianceOne template:

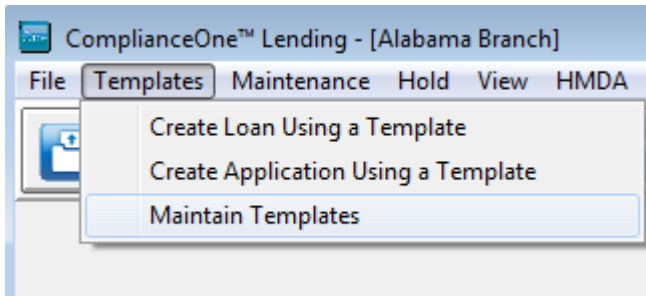
1. Log into ComplianceOne and verify that you are in Loan mode.
2. Click the **Convert Application to Loan** button from the main window if you are not in the loan side of Lending.
3. Click **Party Information** from the main window to begin a new transaction; click the forward button  to the Party window.
4. Select **Retrieve, Retrieve Transaction from ComplianceOne manager** from the top menu. Browse to the folder containing the .LCC file and select the deal file to import.
5. The ComplianceOne Party window will now be populated with deal information and you can proceed as you would with any loan.

Import as a Loan using a Template

NOTE: This procedure applies to **new transactions only**.

To import the ComplianceOne manager deal into ComplianceOne as a loan but with a ComplianceOne template:

1. Log into ComplianceOne.
2. From the top menu, select **Templates/Create Loan Using a Template**.



3. Select the template which you want to apply to the transaction.
4. Click **Party Information** to go to the first Party detail window.
5. Select **Retrieve, Retrieve Transaction from ComplianceOne manager** from the top menu. Browse to the folder containing the .LCC file and select the deal file to import.
6. The **ComplianceOne Party** window will now be populated with deal information and you can proceed as you would with any loan.

Setting up an open-end line-of-credit loan between ComplianceOne manager and ComplianceOne

This section explains how to set up an open-end line of credit loan within ComplianceOne manager and ComplianceOne. Typically, the user will create the deal in ComplianceOne manager; creating an open-end loan will involve performing additional set up in the **Loan Definition** and **Calculations** sections of Compliance one.

In ComplianceOne manager

1. From the ComplianceOne manager application, create a new deal.
2. From the **Edit/Update Deal:** screen, select the **Structure** dropdown.
3. From the dropdown, click **Line of Credit**.

The screenshot shows the 'Edit/Update Deal' interface in ComplianceOne manager. The 'Structure' dropdown menu is open, and 'Line Of Credit' is selected and highlighted in green. The form contains various fields for loan details, including LTV (%), Quoted Payment (\$), New or Renewal, New/Initial Money (\$), Type, Sub-Type, HMDA Applicability, Escrow, Deal Term (MO), Amortization (MO), Rate Type, Rate Index, Rate Floor (%), Rate Ceiling (%), Rate Change Fq. Memo, Customer Status, Deal Account No., Date Deal Started, Deal Status, Orig. Application Date, Is Deal Consumer Purpose Residential, Date Deal Approved, App. Source, Date to Processing, Loan Origin, Processing Completed, Referral Source, and Estimated Close.

4. Click **Continue**: Click here to finish your edit of this Deal.

NOTE: Users with administrator rights can default recommended ComplianceOne templates in the administrative setup area of ComplianceOne manager; consult your ComplianceOne manager Administrator for more information.

Exporting ComplianceOne manager data to ComplianceOne

1. To export your ComplianceOne manager loan/deal to ComplianceOne, click the **Export Data** button at the bottom left-hand of the screen.

Deal Creation Date: Fri, Aug 27, 10
 Deal Created By: Jeff Kremers
 Last Modified Date: Mon, Feb 07, 11
 Last Modified By: Penny Processor

Deal Comments/Issues:

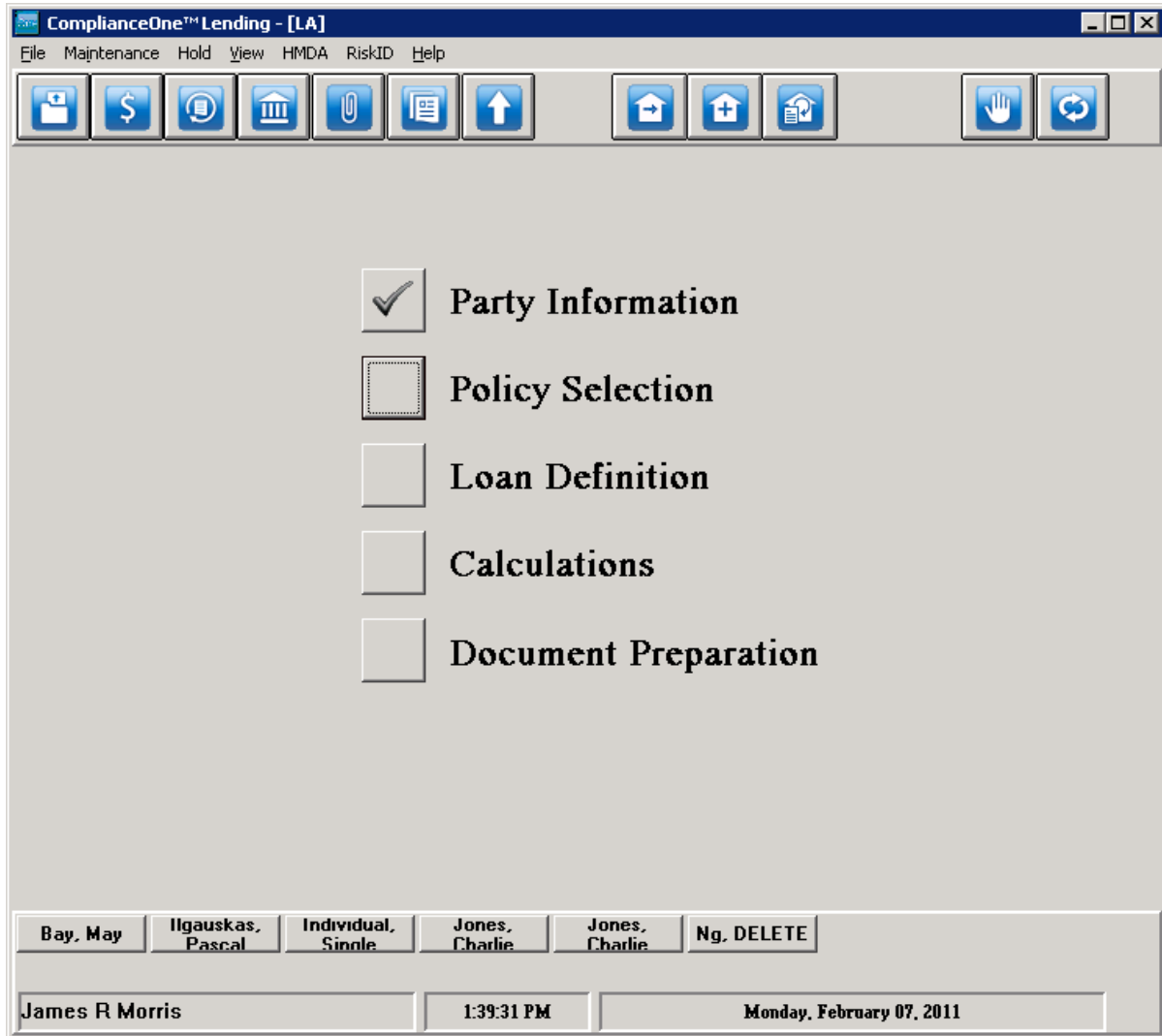
ComplianceOne Data
 Recommended Template: HELOC - LOC

- Export Data
 - Ex: 07-Feb-11

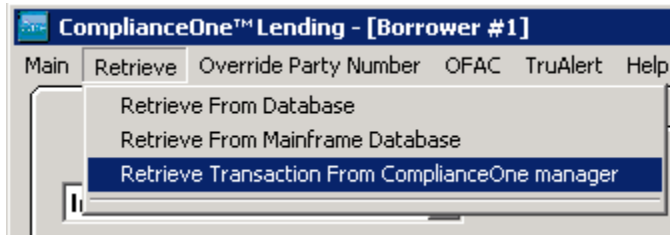
2. A subsequent **Export Data** message will appear; click the **Click here to export** button.



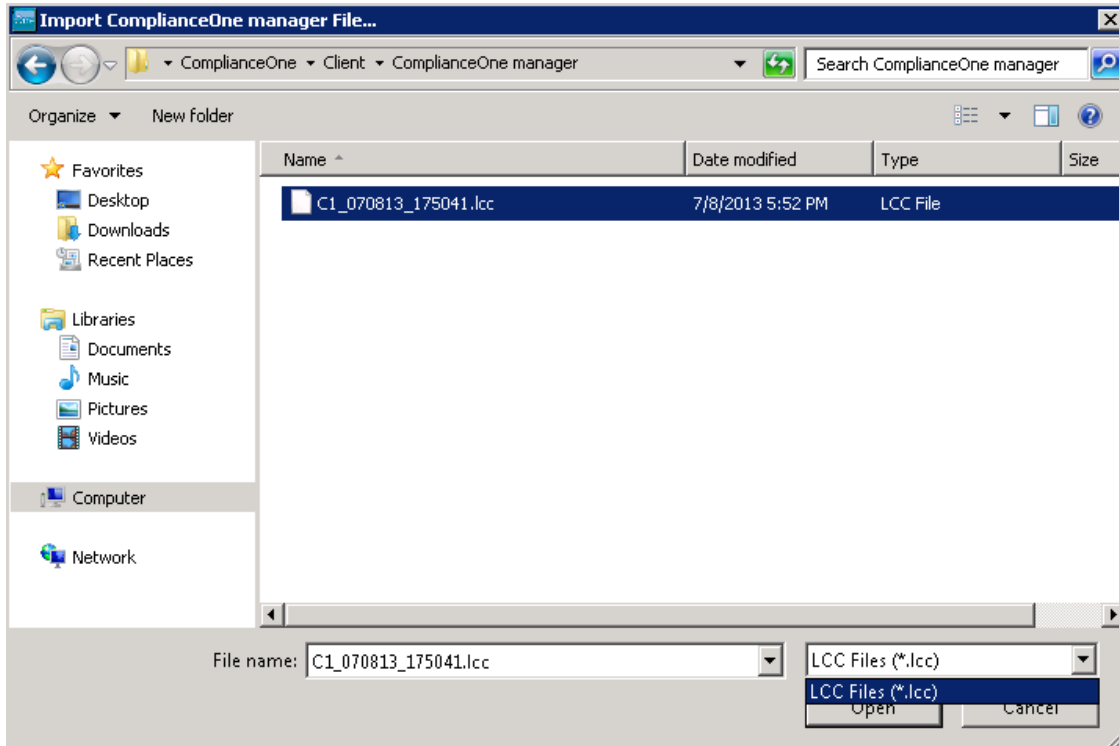
3. A **File Download** message will appear; click **Save**.
4. Open ComplianceOne. On the main screen, click the **Party Information** button.



5. Click the **Forward** button to advance to the **Borrower** page. Select **Retrieve/Retrieve Transaction** from **ComplianceOne manager**.




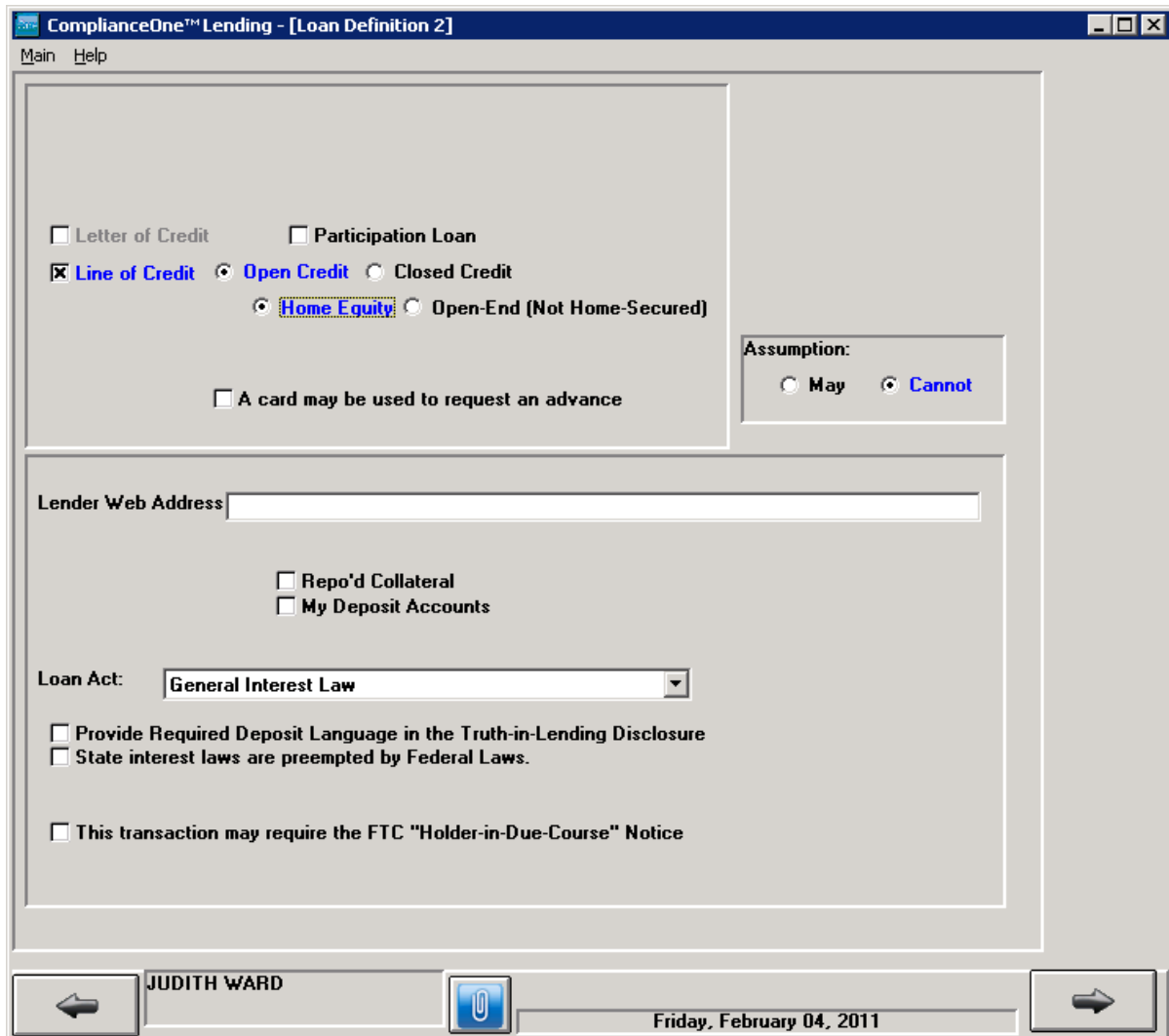
6. In the **Import ComplianceOne manager File...** dialog box, click **Open** to select the file you exported in **ComplianceOne manager**.



NOTE: A ComplianceOne manager Import message may appear warning you that problems have been encountered. You may need to take the necessary steps to resolve these problems before completing the transaction.

In ComplianceOne

1. Select the **Loan Definition** option on the main screen.
2. Select the **Home Equity** option button if not already selected.
3. Click the **Forward** button  to advance through the **Loan Definition** pages.



ComplianceOne™ Lending - [Loan Definition 2]

Main Help

☐ Letter of Credit ☐ Participation Loan

☒ Line of Credit ☒ Open Credit ☐ Closed Credit

☒ Home Equity ☐ Open-End (Not Home-Secured)

☐ A card may be used to request an advance

Assumption:
☐ May ☒ Cannot


Lender Web Address

☐ Repo'd Collateral
☐ My Deposit Accounts

Loan Act:

☐ Provide Required Deposit Language in the Truth-in-Lending Disclosure
☐ State interest laws are preempted by Federal Laws.

☐ This transaction may require the FTC "Holder-in-Due-Course" Notice

← JUDITH WARD  Friday, February 04, 2011 →

4. In the **Calculations** section, verify that the **Open End LOC** option button is selected on the **Calculation Definitions** page.

ComplianceOne™ Lending - [Calculation Definitions]

Main Help

Payment Structure

☒ Open End LOC

Period

☒ Actual Day/365
☐ Actual Day/360
☐ 30/360 Day

Method

☐ Actuarial
☒ U.S. Rule

Home Equity Fixed Rate Product

Rate

☒ Simple

Late Charge ☐ Late Charge Applies

Prepay Penalty ☐ Prepayment Penalty Applies

← JUDITH WARD →

Friday, February 04, 2011

- Click the **Forward** button to advance to the next **Calculation Details** screen. Enter a value in the **Number of Payments** field.

NOTES:

- Verify that you have entered a value in the **Number of Payments** field. You may have entered a value in ComplianceOne manager; however, this field **will not populate** automatically in ComplianceOne.
- Click the **Proceeds and Fees** button to enter any additional fees and advances

ComplianceOne™ Lending - [Open End Line of Credit]

Main Print Options HOEPA VR Options Help

Annual Percentage Rate **6.750 %** e Finance Charge e Amount Financed Total of Payments e

Draw Period
Number of Payments **Repay Methods**

Repay Period
Number of Payments **Repay Methods**

PAYMENTS
☒ Number of Payments

Frequency
Funding Date
Days to 1st Payment
Date of 1st Payment
Date of Last Payment
Billing Frequency

INTEREST
Index Rate
Margin

Total Prepaid Fin Chgs

PRINCIPAL
Proceeds and Fees
Total Proceeds
Total Fees

Credit Life Insurance

Total Principal

Display Open-End Calculations
Finance Charge/Interest Charge Computed

Market Periodic Rate Initial Periodic Rate
Market APR Initial APR

John J HELOC Thursday, February 03, 2011

Mapping Table

The following table lists the possible information passed on a field-by-field basis. This information may be useful for troubleshooting or to determine if a particular piece of information is passed. Columns include:

- ComplianceOne manager Name - The ComplianceOne manager field name.
- XML Schema Name - The schema element name holding this information. The schema is used to generate the intermediate .LCC file for passing deals from ComplianceOne manager into ComplianceOne.
- ComplianceOne Destination - The ComplianceOne field or location where the imported information will be added.

Note that the transaction information is also grouped by subjects, each with its own header.

ComplianceOne manager and ComplianceOne Field and Element Names		
Transport Schema Destination	ComplianceOne Destination	ComplianceOne manager Destination
Document Metadata		Document Info
GeneratedDate		
GeneratedTime		
GeneratedByAppName		Application Name
GeneratedByUserName		User
Loan Information		Deal
ComplianceOneUniqueLoanID		
LoanNumber	Loan Number	Deal Name
AmountRequested	Proceeds and Fees: Amount Requested	Deal Amount
PaymentStructure	Payment Structure radio button selection	Structure
ApplicationDate	Loan Definition: Date of Application	Orig. Application Date
FundingDate	Calculation: Funding Date	Funding Date
ExecutionDate	Loan Definition: Date of Execution	Estimated Close
RateType	Loan Definition radio button	Rate Type
FixedRate	Calculation: Interest Rate	Rate Type = Fixed
LoanPurposeCategory	Loan Purpose (radio buttons)	Purpose Category
LoanPurpose	Loan Purpose Explanation	State Purpose
SecuredBy	Secured by the following prior security instruments	Secured By
NumberOfPayments	Number of Payments	Number of Payments
DateOfFirstPayment	Date of First Payment	First Payment Date
Ceiling	VR: Ceiling	Rate Ceiling: %
Floor	VR: Floor	Rate Floor: %
RateMargin	Calculation: Rate Margin	Margin

ComplianceOne manager and ComplianceOne Field and Element Names		
Transport Schema Destination	ComplianceOne Destination	ComplianceOne manager Destination
NewOrRenewal	5 radio buttons	New or Renewal
CollateralItems		Collateral Items
CollateralItem		Collateral Info per item
CollateralType	Checkbox - Collateral Selection	Type
Description	Collateral Description	Description
Street	Street	
City	City	
State	State	
FiveDigitZipCode	Zip	
ZipCodeplus4ext	Zip	
Borrowers		Parties
OrganizationType	Organization Type	Edit BusinessStructure
BorrowerType	Borrower Type	
PartnerUniqueCIFKey		
Individual		Individuals
First	First Name	First Name
MiddleInitial	Middle Name	Middle Initial
Last	Last Name	Last Name
DBA	DBA	Organization DBA
Business		Organizations
BusinessName	Name	Client
Type	Type	Tax ID
Value	Value	Tax ID
Address		Home Address
StreetAddress	Present Address	Street01/Street02
City	City	City
State	State	State
FiveDigitZipcode	Zip	Zip
ZipCodeplus4zip	Zip	State
Mailing Address		Other Address
StreetAddress	Mailing Address	Street02
City	City	City
State	State	State
FiveDigitZipCode	Zip	Edit
ZipCodeplus4	Zip	Edit
Personal Data		Financial Strength
BirthDate	Birth Date	Birth Date
Type	EIN	Tax ID Type
Value	SSN	Social Security Number
Individual Contact Info		Quick Contact Information
Work Phone		
AreaCode	Work Phone Area Code	Daytime Phone
Number	Work Phone	Daytime Phone

ComplianceOne manager and ComplianceOne Field and Element Names		
Transport Schema Destination	ComplianceOne Destination	ComplianceOne manager Destination
Extension	Work Phone Ext.	Ext.
Home Phone		
AreaCode	Home Phone Area Code	Home Phone
Number	Home Phone	Home Phone
Mobile Phone		
AreaCode	Mobile Phone Area Code	Mobile Phone
Number	Mobile Phone	Mobile Phone
EmailAddress	Email	eMail
Sole Proprietor Contact Info		Organizations
Business Phone		Quick Contact Information
AreaCode	Business Phone	Primary Phone
Number	Business Phone	Phone
Cell Phone		
AreaCode	Cell Phone	Other Phone
Number	Cell Phone	Other Phone
Address		Corporate Address
StreetAddress	Present Address	Street01/Street02
City	City	City
State	State	State
FiveDigitZipcode	Zip	Zip
ZipCodeplus4zip	Zip	State
Mailing Address		Other Address
StreetAddress	Mailing Address	Street02
City	City	City
State	State	State
FiveDigitZipCode	Zip	Edit
ZipCodeplus4	Zip	Edit
Signers		Signers
First	Authorized Signers Name and Title	Signer First Name
MiddleInitial	Authorized Signers Name and Title	Signer Middle Initial
Last	Authorized Signers Name and Title	Signer Last Name
Title	Authorized Signers Name and Title	Signer Title
Employers		Edit/Update Information: Other Information
Name	Employer Tab: Current Employer #1 Name	Primary Employer
YearsInProfession	Years in Profession	Number of years in profession
Income	Monthly Income	Monthly Gross Salary
JobTitle	Org. Department/Function:	
StartDate	Started Current Job	
Correspondent	Insider 3 radio buttons	

How to Contact Us

E-Mail

E-mail questions or issues to: InterfaceSupport@wolterskluwer.com.

Phone

Telephone Wolters Kluwer SupportLine at 1-800-274-2711, ext. 121211. Support staff is available Monday through Friday, 7 A.M. to 7 P.M. CST. Voice mail is available after hours and on weekends.

To help us answer your question quickly, please have the following information available when you call:

- Product name and version number.
- Customer number.
- Operating system type and version number, as well as the service pack numbers for those service packs you have installed.

Appendix A: Troubleshooting

NOTE: Users should consult their internal IT personnel when diagnosing and resolving errors.

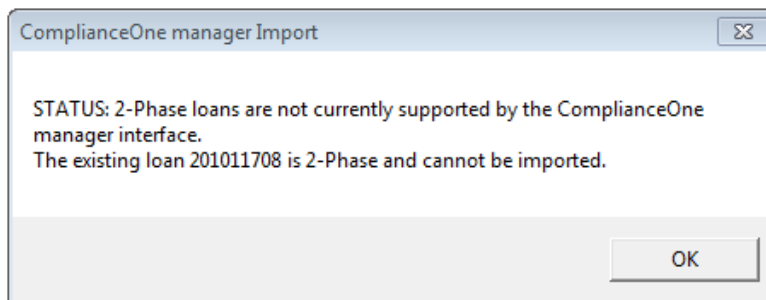
Two-phase loans with differing variables

The ComplianceOne manager -C1 2010.2 interface does not support two-phase loans.

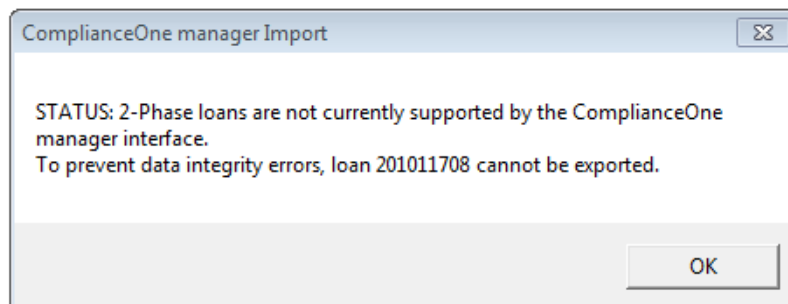
This interface is bidirectional: ComplianceOne manager sends ComplianceOne loan and CIF information created using templates on the ComplianceOne manager side.

Users should not attempt to force multiple payment structures going in either direction through this interface. If attempted, ComplianceOne will display either of the two error messages:

When C1 detects two phases upon import from ComplianceOne manager to ComplianceOne



When C1 detects two phases upon export from ComplianceOne to ComplianceOne manager



No workaround exists at this time.

Error Handling

Information pertaining to errors appears as part of the status message. Two kinds of errors exist:

- Those that prevent the import from completing
- Those that allow the import/export to complete, but should be checked by the user after the import is done

NOTE: More detailed information about problems can be found in the application section of the Windows Event log.

Any errors that occur in ComplianceOne manager are logged to the ComplianceOne manager support team.

Debug Logging

Download/Import Debug Mode

The Download/Import debug mode can be turned on/off through either of the following methods.

- Set the LENDINGCYCLEDBUG = setting to either Yes or No
- Omit the key word in the LendingCycle.ini file to turn off import bugging.

NOTE: In debug mode, the .lcc file that is imported will not be deleted at the end of the process. A warning appears stating that the debug mode is on and the file still exists.

Upload/Export Debug Mode

The Upload/Export debug mode can be turned on by placing following in the LendingCycle.ini file:

- LENDINGCYCLE_EXPORT_DEBUG=YES
- LENDINGCYCLE_DEBUG_FILE={C:\Example Folder\LendingCycle Export Log Example.xml}

NOTES:

- If either of these setting key words are absent or blank, upload logging will not be done.
- The {C:\Example Folder\LendingCycle Export Log Example.xml} value should be replaced by a valid directory path and file name for each bank.
- “.xml” or “.txt” are the recommended file extensions.



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