

Governance, Risk & Compliance

Installation Instructions for Updates

ComplianceOne® Solution

Governance, Risk & Compliance

Installation Instructions for Updates

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Table of Contents

Introduction	6
TLS and Native Client – 2018.3 Important Update	7
Microsoft .NET 4.0 Patch	7
Proxy Server/Firewall Requirements	7
Server Installation Prerequisites - .NET 3.5, .NET 4 and ASP.NET MVC3	7
System Hardware and Operating System Requirements	8
Minimum ComplianceOne Release Number	8
File Replication	8
New or Update Client Installation Prerequisites	9
Set Compatibility Mode in Internet Explorer for HMDA	9
Add Your ComplianceOne Server to Trusted Sites	10
Port 80	10
Update Installation May Fail with Compressed Databases	11
Database on a Different Machine	11
Interfaces: Business-to-Business and Core	11
SQL Server 2012/2014/2016	12
Installing SQL Server 2012/2014/2016 Standard/Enterprise	12
Finding Your SQL Password	13
Backup SQL Databases	14
Permissions	14
Final Steps	14
Application Installation	16
Server or Standalone Installation	16
ComplianceOne Database Installation	20
Web Services Installation	23
ComplianceOne Server Installation	24
Automated Interface Installation	27
Client Update Installation	28
New Client, Client Update or Terminal Server Installation	32
Installation of the Client onto a Terminal Server	32
New or Update Client Installation	32
Post-Installation Setup	38
Publish Your Organizations	38
Re-Enable User Logon	38
Update your Index Rate Histories	40
Troubleshooting Your Installation	40
Incomplete Installation	40
Installation Errors Table	41
Log Files	46
Wolters Kluwer Financial Services Flood Determination Services Users	46
Error Logging and Windows 2008 Server	46
Uninstall	47
Configuring .NET 4 on Windows Server 2008, 2012 and 2016	49
Appendix B: Installing ASP.NET MVC3	51
Appendix C: Configuring IIS v7.0 or Higher	52
Appendix D: User Security: Import ComplianceOne Users	53
About Creating a Domain Windows Group	53

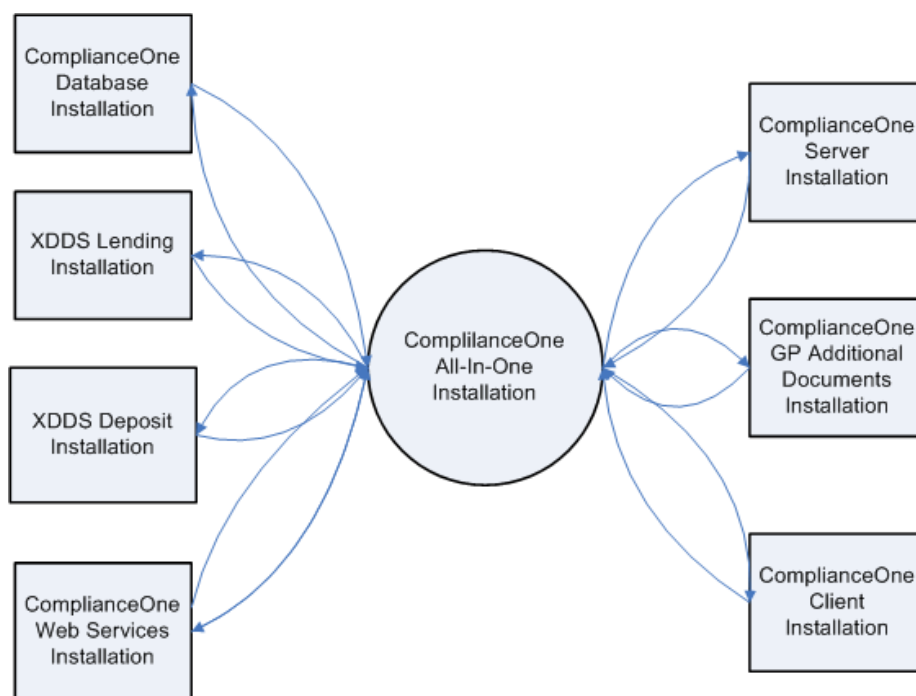
Importing Users into ComplianceOne	53
Windows Authentication: Administration Settings	54
Appendix E: Proxy Server/Firewall Exceptions	57
How to Contact Us	59
Support Web Site	59
Downloading	59
E-Mail	59
Phone	59
Fax	59

Introduction

Welcome to the instructions for the update of your existing Release 2018.4 ComplianceOne® Solution (ComplianceOne) installation to Release 2018.4

Note: These instructions are not usable for brand new installations of ComplianceOne except for installation of the client. Please [contact SupportLine](#) for assistance with a new installation. Also contact SupportLine if your ComplianceOne installation is at a release earlier than 2018.3. **This update will not work with releases earlier than 2018.3.**

The All-In-One installation will sequentially update all the components in your existing ComplianceOne installation, interacting with each component to read existing settings and update them accordingly.



These update installation instructions support all ComplianceOne® implementations including:

- Standalone
- Single Server and Multiple Clients
- Network: Separate Application and Database Servers and Multiple Clients
- Network: Terminal Services with Single Server
- Network: Terminal Services with Separate Application and Database Servers

Below are a number of items to review before you update your installation of ComplianceOne.

TLS and Native Client – 2018.4 Important Update

Important: Do not disable TLS (Transport Layer Security) 1.0 before upgrading to this 2018.4 release. The 2018.4 ComplianceOne installation has been updated to add entries to the registry to support TLS 1.1 and 1.2.

Important: MS SQL Server 2012 Native Client version 11.4.7001.0 or newer is required for the server and all clients prior to updating to 2018.4. To confirm which version of Native Client is installed, open Control Panel, Programs and Features and the line entry will list the Native Client version number on the far right.

Microsoft SQL Server 2012 Native Client	Microsoft Corporation	5/2/2018	7.22 MB	11.4.7001.0
---	-----------------------	----------	---------	-------------

If you have an earlier version, you can download an updated Native Client at <https://www.microsoft.com/en-us/download/details.aspx?id=50402>.

Microsoft .NET 4.0 Patch

The requirement for this patch was introduced in an earlier release. If you installed it at that release, there are no other required actions with this 2018.4 release and you can skip the remainder of this topic.

If you did not install it or are unsure, use the following link to locate the patch and download the relevant patch for your operating system:

<http://support.microsoft.com/kb/2580188/en-us>

Some machines will not require this .NET 4.0 upgrade, but there is not a clearly identifiable way to determine which machines will require the patch. Therefore, we suggest all users install this on both their server and client machines. The installer will determine if the patch is not necessary; if so, the following message will display:

KB2580188 does not apply or is blocked by another condition on your computer.

Proxy Server/Firewall Requirements

Many ComplianceOne interfaces require proxy server and firewall exceptions for function properly.

Refer to Appendix F for a list of URLs that you may wish to add to an exception list.

Server Installation Prerequisites - .NET 3.5, .NET 4 and ASP.NET MVC3

Windows Server 2008, 2012 and 2016 require Microsoft .NET Framework 3.5 installed and configured prior to upgrading them to ComplianceOne 2018.4. If it is not installed Server 2008 .NET 3.5 is available from Program Features, Add/Remove Windows Components.

Windows Server 2008 must have Microsoft .NET Framework 4 and ASP.NET MVC3 installed and configured prior to upgrading to ComplianceOne 2018.4. Customers were notified of the new requirement for .NET Framework 4 prior to the release of 2013.2 ComplianceOne® Solution (ComplianceOne) so you likely already have it installed. Both applications can be found in your ComplianceOne material source on the product download site. Installation and configuration instructions for .NET Framework 4 can be found in [Appendix A](#). Installation instructions for ASP.NET MVC3 can be found in [Appendix B](#). No configuration is needed for ASP.NET MVC3.

System Hardware and Operating System Requirements

The latest hardware requirements and list of supported Windows operating systems for each implementation of ComplianceOne can be found on the SupportLine web site, <http://www.wolterskluwerfs.com/support/>. Other required software is also listed.

Minimum ComplianceOne Release Number

This update installation only supports the update of ComplianceOne Release 2018.3 to Release 2018.4. To determine the ComplianceOne release you have installed, launch administration and note the version number in the lower right corner of the logon window.

File Replication

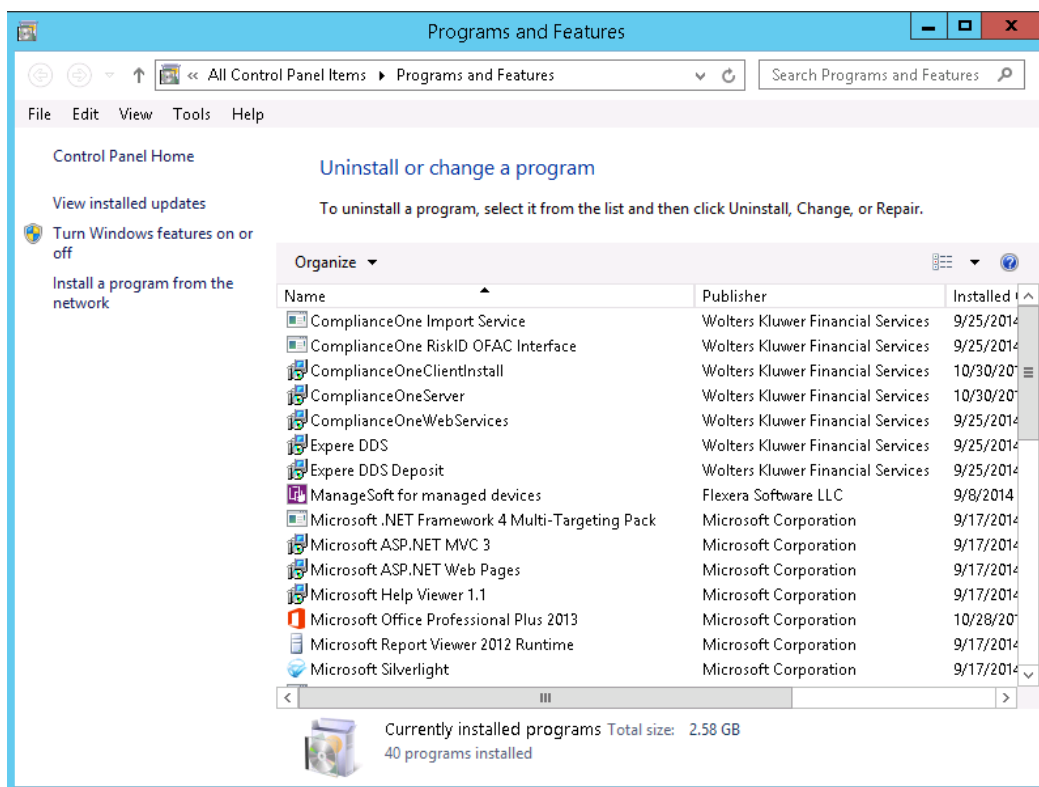
If you have file replication enabled on any of your ComplianceOne servers, you will need to disable the file replication before performing the update to this release. Once the update has successfully completed, you can re-enable file replication.

New or Update Client Installation Prerequisites

All computers selected for new or update client installation must have the following prerequisite software installed before installing the update:

- SOAP 3.0
- Microsoft .NET Framework 2.0
- Microsoft .NET Framework 3.5
- Microsoft .NET Framework 4 Client Profile
- Microsoft .NET Framework 4 Extended Components

To determine if you have these applications installed, open Control Panel and select **Add or Remove Programs**. The applications should be listed.



Note: As noted above, if any of the required applications are not listed, you will need to install them before installing or updating the ComplianceOne client. These applications can be found in your ComplianceOne material source on the product download site, and installation instructions are available in [Appendix A](#) (.NET Framework 4) and [Appendix B](#) (ASP.NET MVC3).

Set Compatibility Mode in Internet Explorer for HMDA

Note: As of July 1, 2017, ComplianceOne supports ONLY Internet Explorer version 11.

The HMDA Wiz interface uses the version of Internet Explorer installed on your client. If that is version 10 or 11, the HMDA web site will appear to not accept your username and password. This is a result of the web site not being compatible with IE11. You can avoid the error by placing your browser into compatibility mode before using HMDA Wiz:

1. Open Internet Explorer 11.
2. Navigate to the HMDA web site. You can find the address in ComplianceOne in administration, Setup, Organizations, Partners, HMDA Wiz.
3. To the right of the address bar is the compatibility icon. Click it to activate backward compatibility.

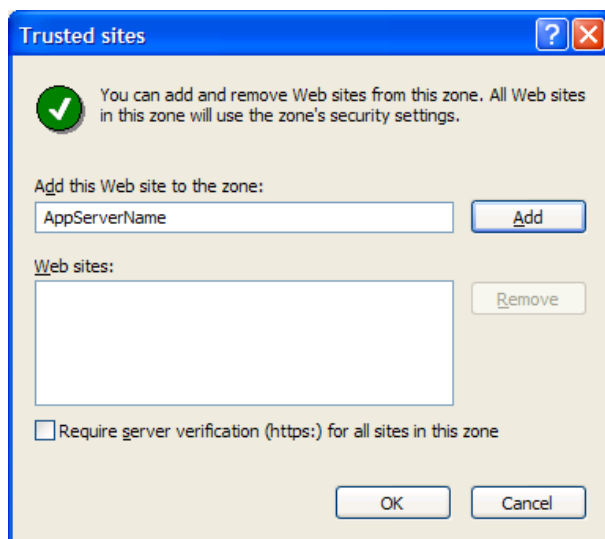


4. Alternatively, choose Tools, Compatibility View settings from the browser menu. You may need to press the **Alt** button to display the menu bar. Add the HMDA Wiz site to the compatibility list.

Add Your ComplianceOne Server to Trusted Sites

You will need to add your ComplianceOne application server's name and IP address into Trusted Sites in Internet Explorer:

1. From the menu, select **Tools, Internet Options**.
2. On the Security tab, choose **Trusted Sites** and click the **Sites** button.
3. Type the computer name of your ComplianceOne server into the **Add this Web site to the zone** field and click **Add**.



4. Repeat to also add the IP address of your ComplianceOne server.
5. Click **OK** until you return to your browser.

This should only have to be done on servers and workstations where the ComplianceOne client is used. Note that this is a per user setting, so it has to be added per user or with a Domain Policy.

Port 80

Web sites deployed on the same server as ComplianceOne and using port 80 will not function properly and also interfere with the functioning of the Expere DDS web service portion of ComplianceOne. As such, we do not

currently support deploying ComplianceOne onto web servers where other sites are configured to use port 80. We also do not currently support deploying ComplianceOne onto web servers that are running Microsoft SharePoint.

Update Installation May Fail with Compressed Databases

The update installation of ComplianceOne will fail at the database installation step if you have compressed any or all of the earlier ComplianceOne databases present on your ComplianceOne or database server. Earlier databases include those from several releases past, such as Release 2.0.3.

You will receive the following error if you have compressed, earlier databases:

InstallShield Wizard Completed. The wizard was interrupted before ComplianceOneDatabase could be completely installed. Your system has not been modified. To complete installation at another time, please run setup again.

When you click **Finish**, you get the generic 1722 error.

You will need to decompress your earlier databases and repeat the update installation.

Database on a Different Machine

If your institution hosts your ComplianceOne databases on an SQL server separate from the one containing your ComplianceOne application, the databases must be functioning correctly with the previous ComplianceOne release before applying this update. Note that when you apply this update you will need to do two installations: first, an installation at your database server to update your databases and a second installation at your ComplianceOne application server. Each time you will choose the Custom option as detailed later in these instructions.

Important: The database server update must be performed first before updating the ComplianceOne application server. All updates must be done machine-side to prevent any unforeseen issues; do not do installations remotely.

If you currently have your ComplianceOne application and databases installed to the same server machine and you want to change your configuration to host your databases on a separate server, the databases must be moved prior to updating your ComplianceOne installation. Please contact SupportLine at 1-800-274-2711, X1123660 for help with this major configuration change. This is particularly important if you move databases that interface to external, third party Web services.

If you move the databases, you should test your reconfigured installation for full functionality before proceeding with this update.

Interfaces: Business-to-Business and Core

If you are using any business-to-business, B2B, or core interfaces on your current ComplianceOne installation, do not change the installation path for the application during installation. If the path is changed your B2B and core interfaces will no longer function.

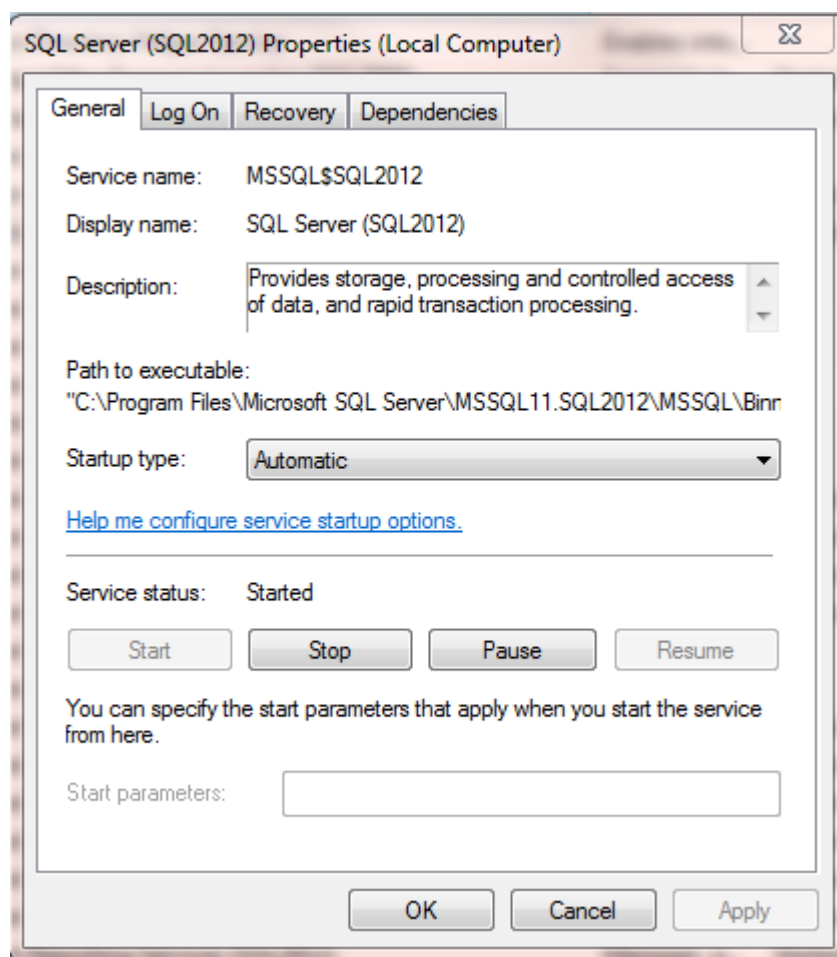
The installation path and setup information for interfaces are contained in the configuration file, Gulfpak.ini. It is important that you leave this file in place and do not move it between update installations without contacting SupportLine. You no longer need to save a copy of Gulfpak.ini or restore customized settings when you install ComplianceOne updates. The installation program automatically retrieves, and updates customized interface settings in Gulfpak.ini. This configuration file needs to remain in its expected location.

SQL Server 2012/2014/2016

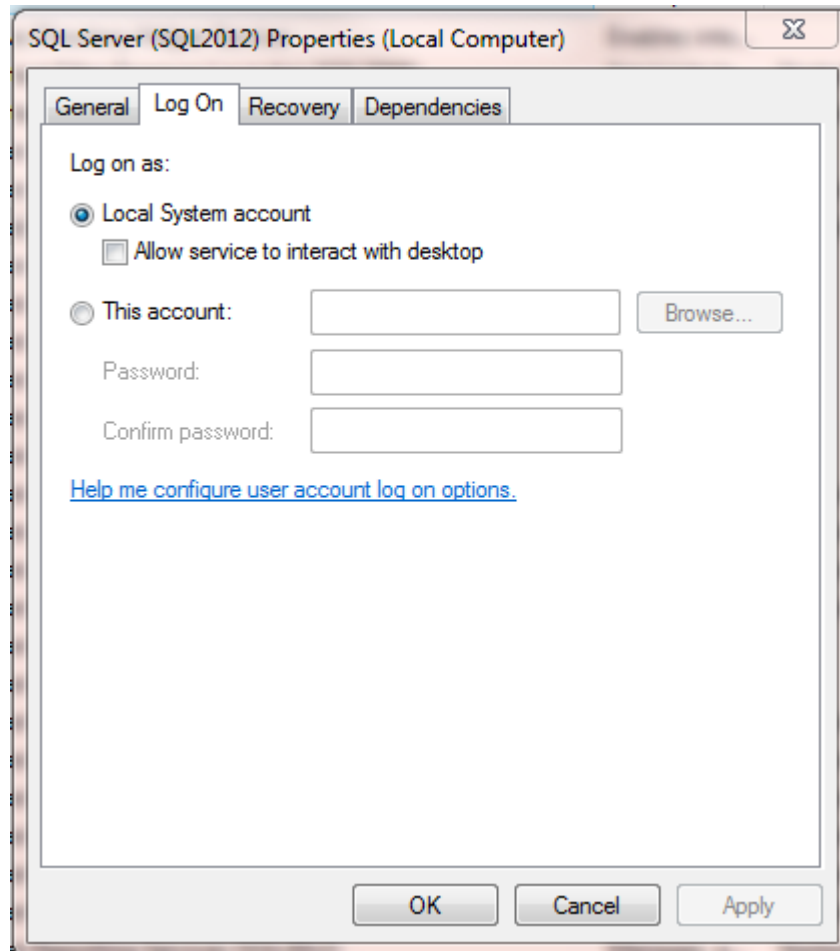
Installing SQL Server 2012/2014/2016 Standard/Enterprise

If you are using SQL Server 2012/2014/2016 Standard/Enterprise, note that the following steps must be completed to install ComplianceOne with SQL 2012/2014/2016. These steps use the local system account to run the database engine. This permission is not available by default and must be established in order to use SQL Server 2012/2014/2016.

1. Open the Control Panel in Windows.
2. Double-click Administrative Tools.
3. Double click **Services**.
4. Scroll down in the list and find the entry **SQL Server (Instance Name)**.
5. Right-click and select **Properties**.



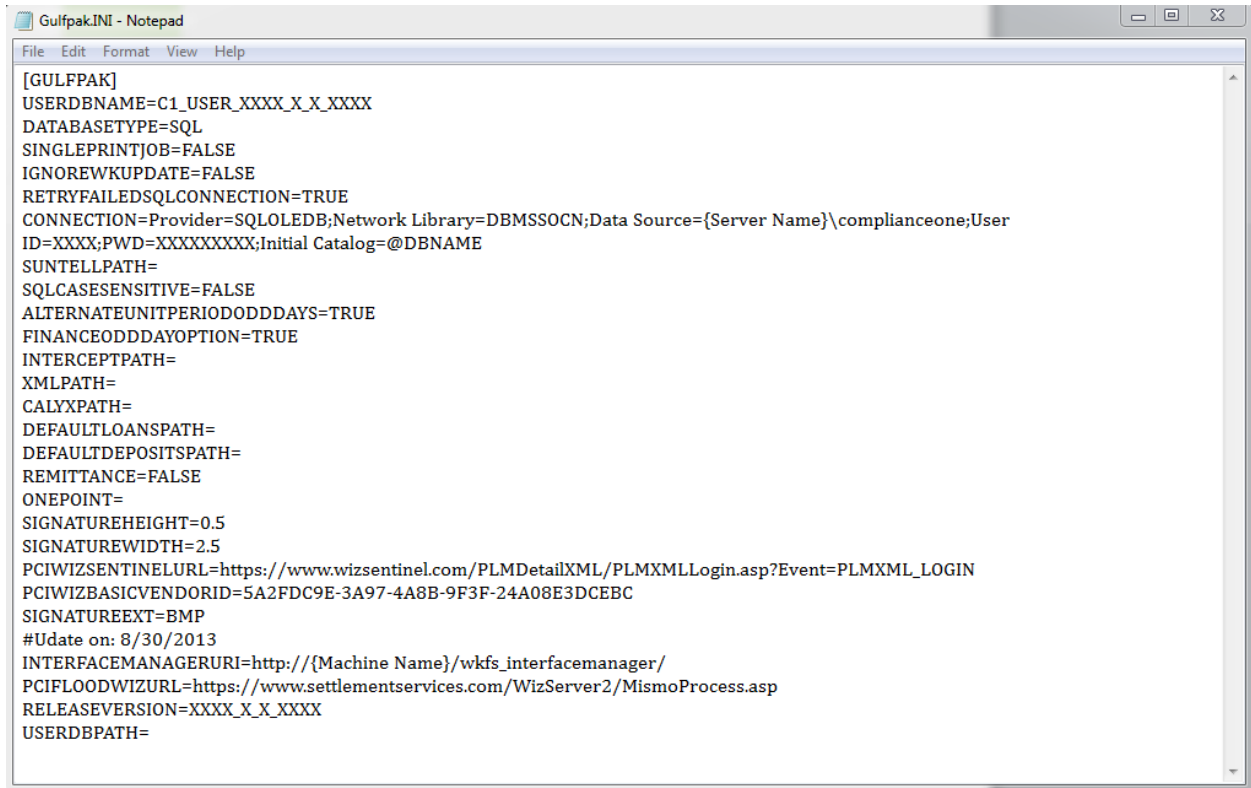
6. Click the **Log On** tab at the top of the SQL Server Properties window.



7. On the Log On tab, select the **Local System account** option.
8. Click either the **Apply** or **OK** button to return to the service pane.
9. Restart the SQL Server (Instance Name) service by right clicking on the entry and selecting **Restart** from the popup menu.

Finding Your SQL Password

In order to install this release, you will need to know the SQL login name and password being used to run ComplianceOne. Prior to this release, when SupportLine performed your installation, an SQL login name and password was chosen for your ComplianceOne SQL instance. This information can be found in the **gulfpak.ini** file, located in the root of your ComplianceOne directory. The login name and password are located in the line titled Data Source=. The user name is located after User ID= and the password is located after PWD=.



```
[GULFPAK]
USERDBNAME=C1_USER_XXXX_X_X_XXXX
DATATYPE=SQL
SINGLEPRINTJOB=FALSE
IGNOREWKUPDATE=FALSE
RETRYFAILEDSQLCONNECTION=TRUE
CONNECTION=Provider=SQLOLEDB;Network Library=DBMSSOCN;Data Source={Server Name}\complianceone;User
ID=XXXX;PWD=XXXXXXXXXX;Initial Catalog=@DBNAME
SUNTELLPATH=
SQLCASESENSITIVE=FALSE
ALTERNATEUNITPERIODODDDAYS=TRUE
FINANCEODDDAYOPTION=TRUE
INTERCEPTPATH=
XMLPATH=
CALYXPATH=
DEFAULTLOANSPATH=
DEFAULTDEPOSITSPATH=
REMITTANCE=FALSE
ONEPOINT=
SIGNATUREHEIGHT=0.5
SIGNATUREWIDTH=2.5
PCIWIZSENTINELURL=https://www.wizensentinel.com/PLMDetailXML/PLMXMLLogin.asp?Event=PLMXML_LOGIN
PCIWIZBASICVENDORID=5A2FDC9E-3A97-4A8B-9F3F-24A08E3DCEBC
SIGNATUREEXT=BMP
#Udate on: 8/30/2013
INTERFACEMANAGERURI=http://{Machine Name}/wkfs_interfacemanager/
PCIFLOODWIZURL=https://www.settlementservices.com/WizServer2/MismoProcess.asp
RELEASEVERSION=XXXX_X_X_XXXX
USERDBPATH=
```

Before you upgrade, you can change the password which was assigned to the login if you would like to do so.

Warning! Changing the password at any time other than immediately before you perform the upgrade will result in your current ComplianceOne installation not functioning properly.

Backup SQL Databases

Even though the installation is designed to leave your existing databases intact, we highly recommend that you backup your existing ComplianceOne databases before you install this update.

Note: The online books for SQL Server 2012 and SQL Server 2012 Express are available at [https://technet.microsoft.com/en-us/library/ms130214\(v=sql.110\).aspx](https://technet.microsoft.com/en-us/library/ms130214(v=sql.110).aspx). Links to books for later SQL Server releases are also available at this location.

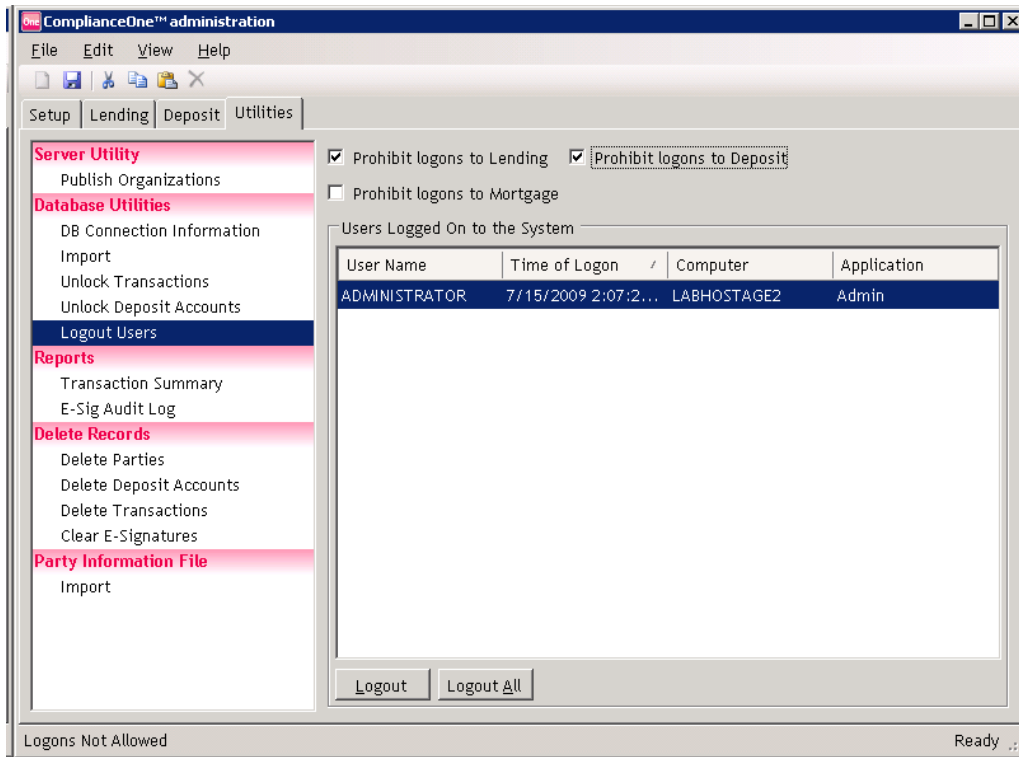
A brief set of instructions for locating and using the backup functionality in SQL Server or SQL Server Express is in the *Backup and Restoration Guide* available on the [Wolters Kluwer Financial Services Support Web site](#). Please consult the procedures and standard operating procedures in place at your financial institution for backing up databases before proceeding.

Permissions

You will require administrative rights to any machine receiving all or any part of this update to complete the install.

Final Steps

No one should be using ComplianceOne during the update installation. You can ensure this by opening **administration, Utilities, Logout Users**. Select the **Prohibit logons** check box for Lending, Deposit, and Mortgage. Make sure all users are logged out.



Before beginning the update disable your anti-virus application.

Application Installation

Note that there is not a separate installation for a standalone or workstation configuration for ComplianceOne. If you wish to use ComplianceOne in a standalone configuration, select the **Complete** installation and use the machine as a workstation. The client install is included when you do a **Complete** installation. (See [Server or Standalone Installation](#).)

If you are hosting your ComplianceOne databases on a separate server from the application, you must run the database installation on the database server machine first. (See [ComplianceOne Database Installation](#).) All other components must then be installed onto the ComplianceOne server after the completion of the database installation.

For a Terminal Services installation, we recommend that you install only the client onto the Terminal Services server. Proceed to the [New or Update Client or Terminal Server Installation](#) if you are installing to a Terminal Services server.

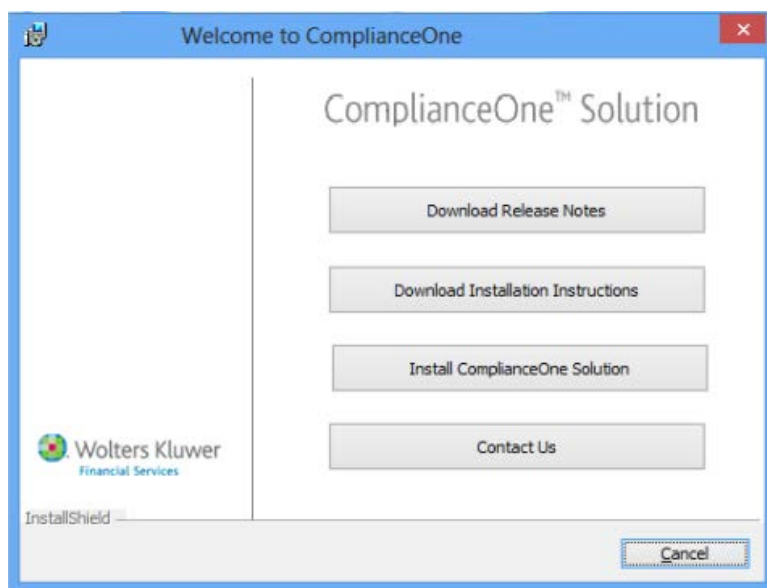
Note: If you currently have a complete ComplianceOne installation on your terminal server that you wish to update to 2018.4, follow the instructions for a complete install of the ComplianceOne application rather than doing a client-only install.

Server or Standalone Installation

After completing the pre-installation instructions, you can begin the installation of the Release 2018.4 ComplianceOne update. Instructions are also included if you are hosting your ComplianceOne databases on a separate SQL server.

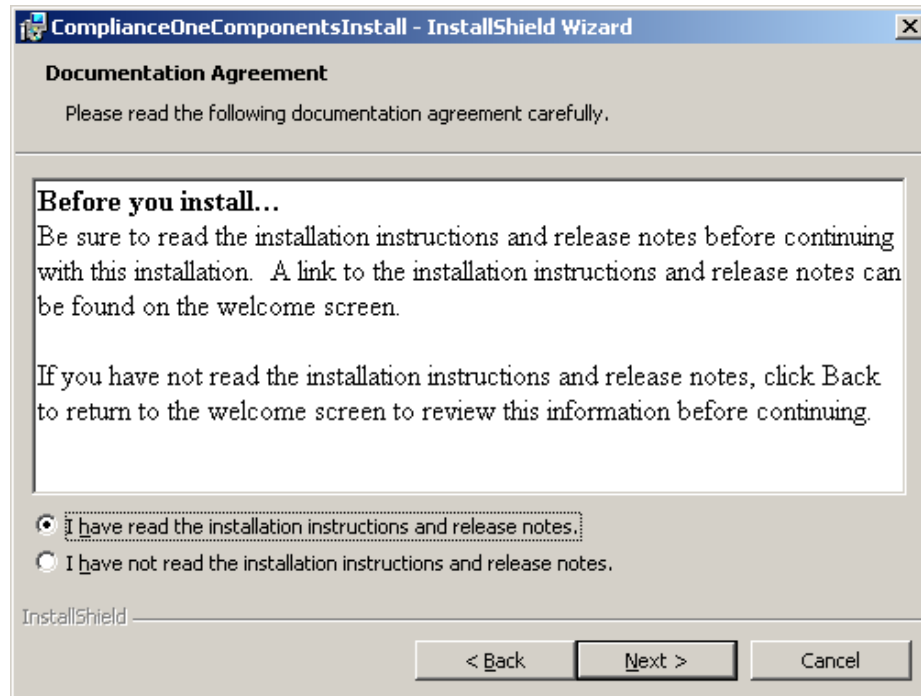
Note: This installation must be completed machine-side and cannot be done remotely.

1. The **ComplianceOneComponentsInstall** window will display followed shortly by the installation **Welcome** window. Note that the **ComplianceOneComponentsInstall** window will stay open in the background through the entire installation update.

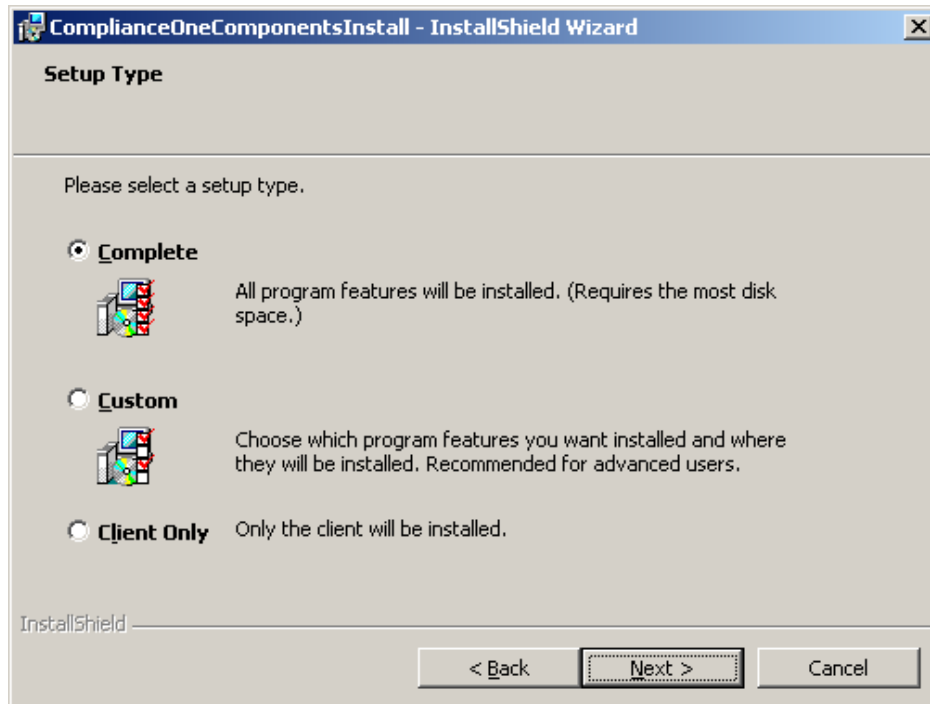


The installation instructions and the release notes are both linked from this screen. Please open and read each document before proceeding with the installation. If you have any questions at this point, you can click **Contact Us** for mailing, phone, fax, and Web-based contact options. When you are ready to continue the installation, click **Install ComplianceOne Solution**.

2. To proceed with the installation, you must agree to the **Documentation Agreement** that you have read the release documents.

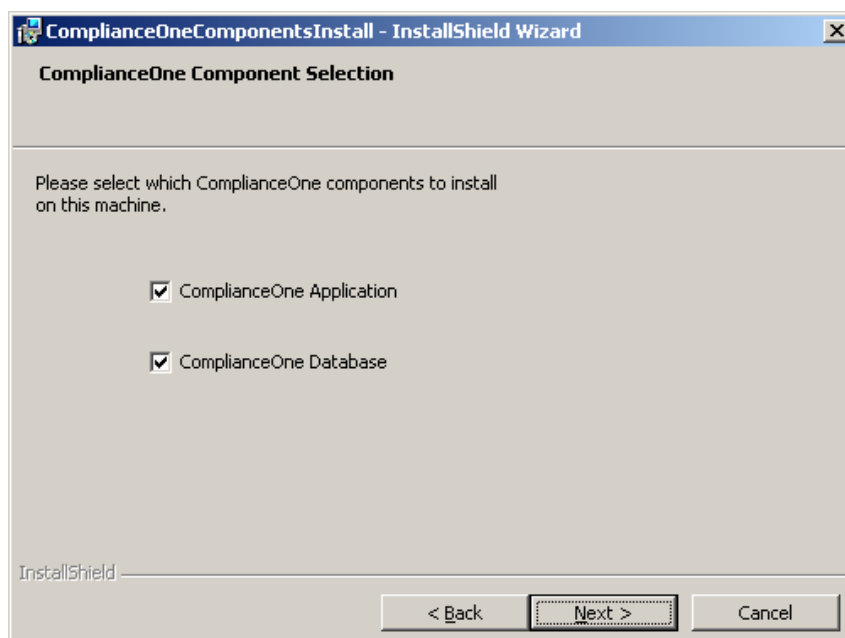


3. If you have not read the Release Notes or these installation instructions, please stop and do so. Select **I have not read the installation instructions and release notes**. Click **Next**.
4. Select the **Setup Type** for your installation.



Each selection will give you a different installation path:

- **Complete.** This choice will update all of the ComplianceOne components for either a server or standalone installation onto your computer. This is the recommended choice.
- **Custom.** The most common use for this choice will be if your institution hosts the ComplianceOne application on one server and the ComplianceOne databases on another. If you choose Custom, you will have the option to update the application only or the database only on their respective machines. Note that will need to perform the installation from the material source twice, first on the database server and again, to the application server. Both times you will use the Custom choice but clear different checkboxes.



If you select **ComplianceOne Database**, only the ComplianceOne databases will be installed as described in the [Database installation section](#) in this document.

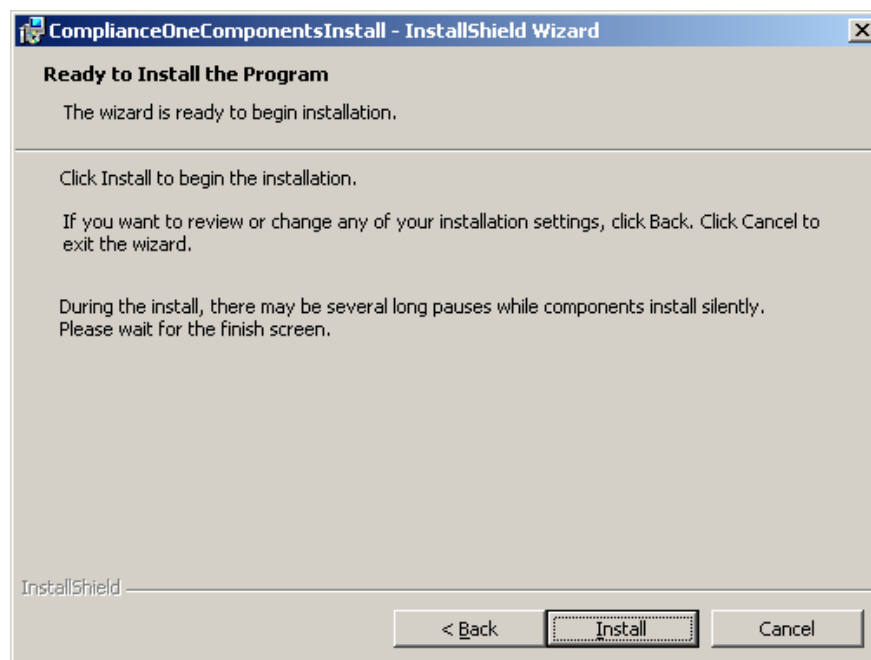
Important: You must update your database server first before updating your application server.

If you select **ComplianceOne Application**, everything except the ComplianceOne databases will be installed.

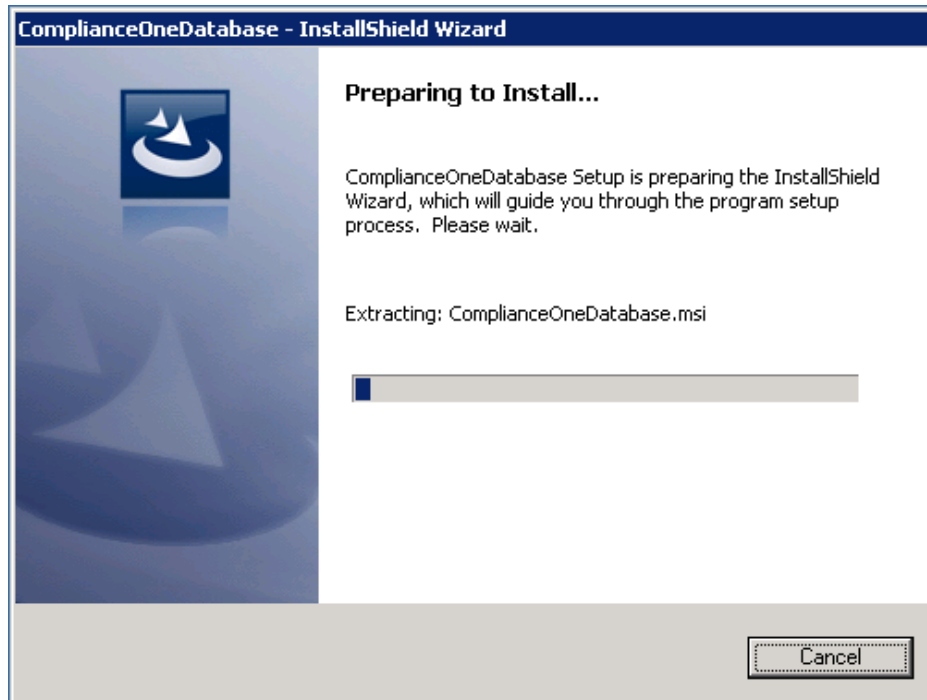
- **Client.** This option lets you install the client only to machines other than the server when you are using ComplianceOne in a server/client implementation. You will need to install the client on each machine you wish to use to access the ComplianceOne server. Also use the client installation when you are installing ComplianceOne onto a Terminal Server. Detailed instructions for installing the client can be found in the [New or Update Client or Terminal Server Installation](#) section of these instructions. This installation choice can be used to update an existing client or to install the client on a new machine.

Note: The remainder of the steps below follows the **Complete** installation pathway with a few notes for those performing the **Custom** installation.

5. After selecting **Complete** and clicking **Next**, you are ready to update your installation of ComplianceOne.



6. Click **Install** to begin the installation process. At the beginning and throughout the installation, you will be able to follow progress using the installation status screens.



Components will be installed in the following order:

- ComplianceOne databases and any interface databases that are applicable for your organization
- Web services including Expere DDS Lending, Expere DDS Deposit and ComplianceOne Web Services
- ComplianceOne Server and the interfaces to web services that are applicable for your organization (Automated Interface Installation)
- Client Update

ComplianceOne Database Installation

Note: If you are doing a Custom install to update a separate database server, that is, only the **ComplianceOne Database** checkbox has been selected, your installation will begin here.

The Complete installation continues from the previous **Preparing to Install** window.

7. The database installation begins with a **Welcome** window. Click **Next**.
8. Since this is an update installation, the name and location of the database server will default to the instance used in the last release. The dropdown option will display all available SQL database instances on your local machine. Choose whether to connect via **Windows authentication** or **Server authentication**. If you choose **Server authentication**, enter your SQL login credentials. The SQL login **CONE** will default into the **Login ID** box.

Note: Using localhost is not an acceptable address for your database server. Please choose a computer name or use an IP address.

ComplianceOneDatabase - InstallShield Wizard

Database Server

Select database server and authentication method

Database server that you are installing to:

NOTE: The database server location must contain the computer name of the database server and can not contain (local). Example: computername\complianceone

Connect using:

☐ Windows authentication credentials of current user

☒ Server authentication using the Login ID and password below

Login ID:

Password:

InstallShield

< Back Next > Cancel

ComplianceOneDatabase - InstallShield Wizard

Database Server

Select database server and authentication method

Database server that you are installing to:

NOTE: The database server location must contain the computer name of the database server and can not contain (local). Example: computername\complianceone

Connect using:

☐ Windows authentication credentials of current user

☒ Server authentication using the Login ID and password below

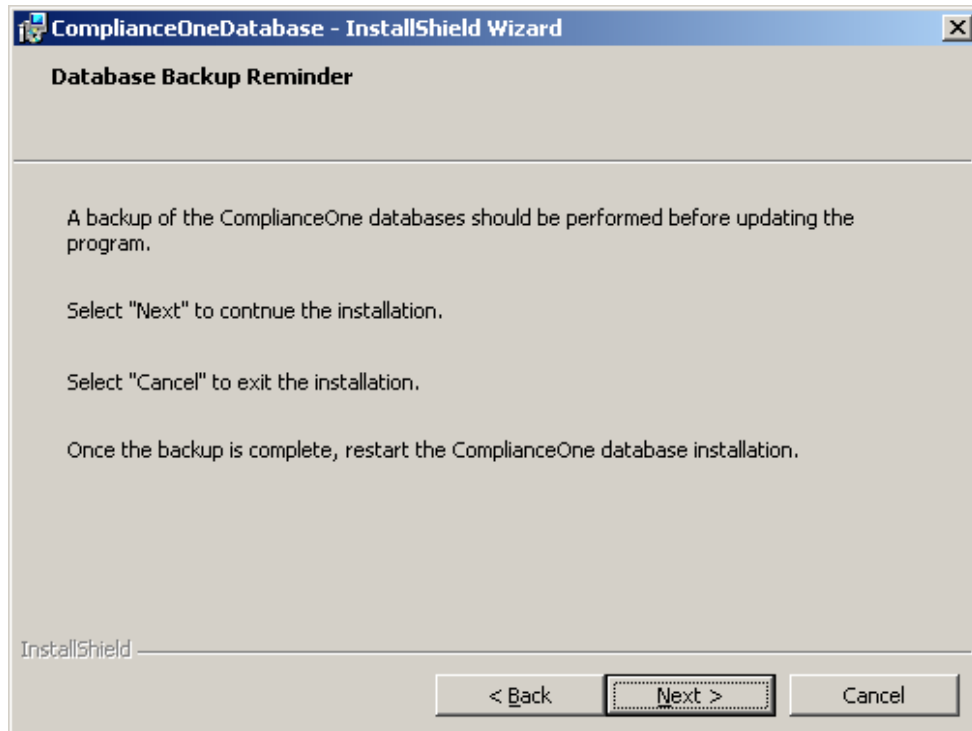
Login ID:

Password:

InstallShield

< Back Next > Cancel

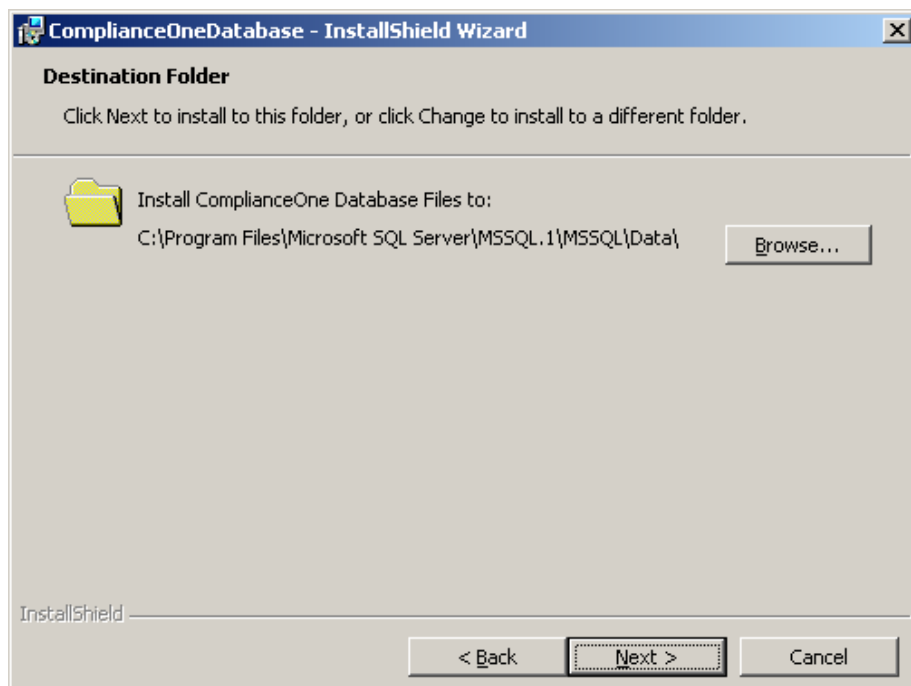
9. When you click **Next**, the installation will verify your database location and login credentials. If any of the verifications fail you will receive an error notification. If you receive an error you can find more detail in the [error table](#) later in this document.
10. If all verifications are successful, before proceeding with the install, you will be prompted to backup your ComplianceOne databases.



If you have not already backed up your databases, you can do so now without exiting the ComplianceOne installation. A brief set of instructions for locating and using the backup functionality in SQL Server or SQL Server Express is located in the *Backup and Restoration Guide* available on the [Wolters Kluwer Financial Services Support Web site](#).

Once your database is backed up, you may return to this window and click **Next** to proceed with your ComplianceOne update installation.

11. The ComplianceOne database file location will default to the value from your previous release.



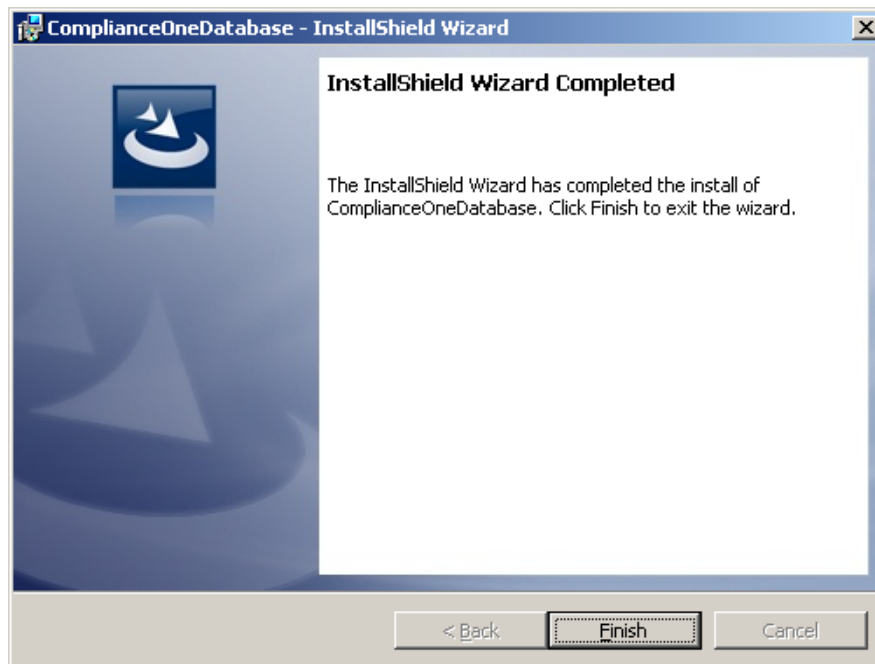
Note: Please note that when using the default SQL installation, Windows automatically installs the database files to the Program Files(x86) folder when installing ComplianceOne on a 64-bit operating system

12. Click **Next**.

13. You are now ready to begin the database installation. Click **Install** to continue. Progress bars will keep you abreast of the status of the update.

During the migration process the database update will extract the data from each of your existing ComplianceOne databases and place it into a new ComplianceOne database. Your existing databases from the previous release will remain in place as they had prior to executing the current database update.

14. You will be notified when the database update is complete.



15. Click **Finish** to continue to the Web services installation phase of your ComplianceOne update.

Note: If you are doing a Custom install to update a separate database server, your database update is completed here. From your ComplianceOne material source, proceed to your ComplianceOne application server and begin the installation once more at that machine. Choose the Custom install, that is, only the **ComplianceOne Application** checkbox has been selected. Your installation will begin with the Web services update as detailed next.

Web Services Installation

Three components are installed for Web services:

- Expere DDS Deposit
- Expere DDS
- Web services

Expere DDS Deposit is installed first, followed by Expere DDS Lending, and finally by Web services.

Note: During the installation process Microsoft Internet Information Services (IIS) will be stopped and restarted automatically. This might impact any other application using IIS during the upgrade process.

16. The update installation will first verify the Web services installation from your previous release. If any of the verifications fail you will receive an error notification. You can find more detail about each error type in the [error table](#) later in this document.
17. You will be Welcomed to the Web services installation and then the Web services update will immediately begin with the installation of Expere DDS Deposit.
18. Expere DDS is installed next. Expere DDS is the name of the Web services used by ComplianceOne to publish documents and is a critical part of the ComplianceOne installation and must always be installed.

Note: The installation must uninstall the current version of Expere DDS before installing the updated version.

19. The Web services installation completes silently. The product update install will next proceed to the ComplianceOne server update portion of the installation.

ComplianceOne Server Installation

20. The update installation will first verify the server installation from your previous release. If any of the verifications fail you will receive an error notification. You can find more detail about each error type in the [error table](#) later in this document.
21. If the correct server version is detected, you will be Welcomed to the server installation. Click **Next** to begin the server update. Note that there may be a short pause while the install initializes.
22. The database server location will default to the SQL instance you used for the previous release. The dropdown listbox will list all SQL instances available on your local machine.

Note: Using localhost or any value with 'local' in its name is not an acceptable address for your database server. Use a computer name or an IP address.

ComplianceOne Database Server Location
Select database server and authentication method

Please select the database Server where ComplianceOne database is installed:
NOTE: The database server location must contain the computer name of the database server and can not contain (local). Example: computername\ComplianceOne

APPServer\COMPLIANCEONE

Connect using:

☒ Server authentication using the Login ID and password below

Login ID: CONE

Password:

InstallShield

< Back Next > Cancel

23. Enter your SQL login credentials. Click **Next**.
24. The installation will try to connect to the ComplianceOne SQL server instance. If it is unsuccessful, an error message will be returned. Details on errors can be found in the database section of the [error table](#).
25. If the SQL connection was successful, the server installation will next display the address of your ComplianceOne Web services server, again, defaulting to the server name or IP address you used for the previous release. If necessary, edit this information to state the installation computer name.

ComplianceOne Web Services Location

Please enter the computer name or IP address of the ComplianceOne Web Services computer.

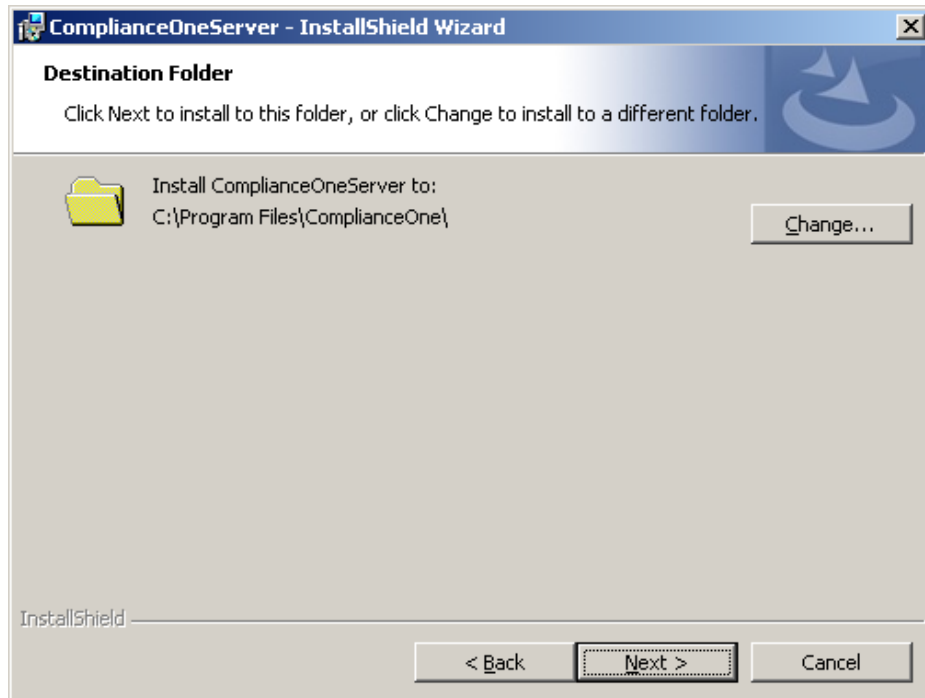
NOTE: Do not enter (localhost) into the field below. If entered, ComplianceOne will not function correctly.

APPServer

InstallShield

< Back Next > Cancel

26. Click **Next**.
27. The installation will verify the address of your Web services. If any difficulties are encountered, you may see one of the errors in the [error table](#).
28. Once the Web services location has been verified, the destination path for your ComplianceOne server installation will default from your earlier release.

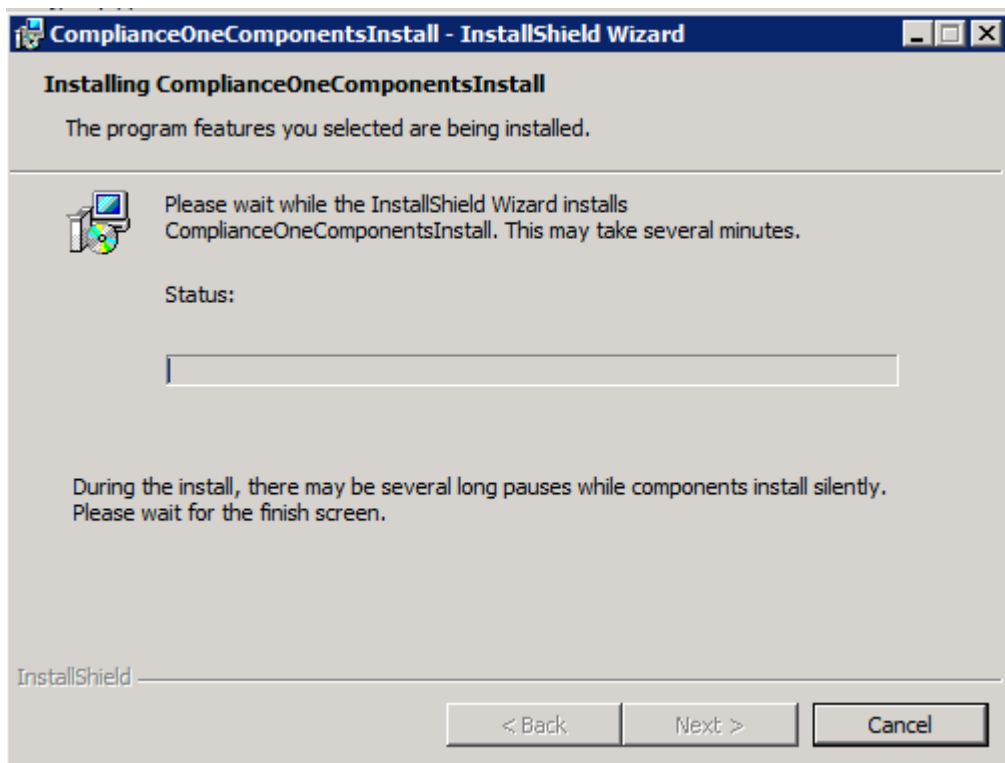


Note: Do not use **Change** to browse to a new installation path. Any business-to-business or core interfaces that you use will no longer work. Also, if you use any custom forms purchased from us, they will need to be reinstalled.

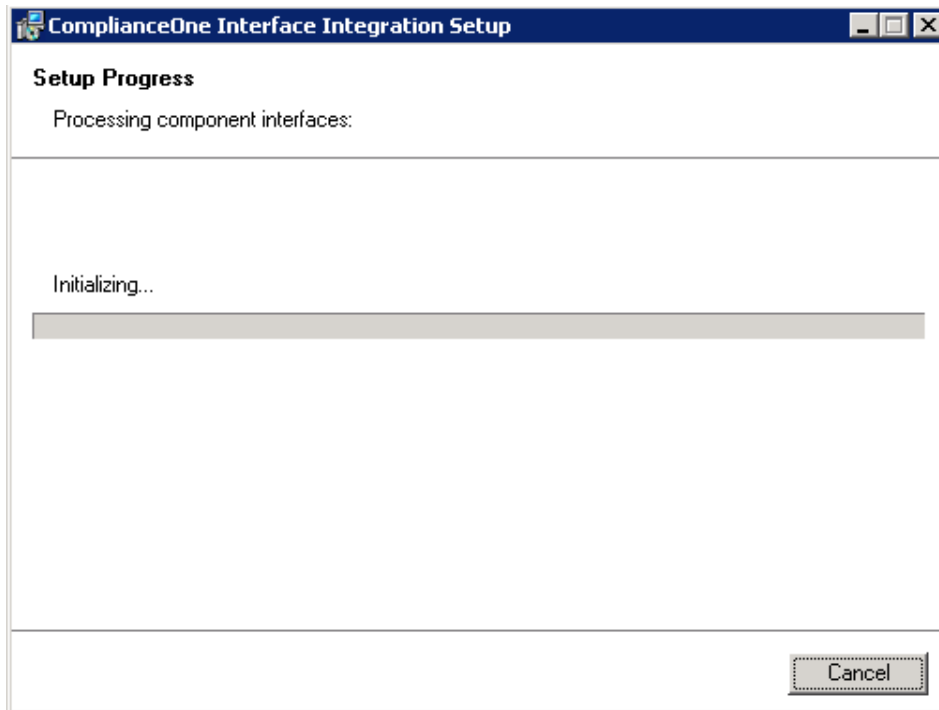
29. Click **Next** to continue.
30. Your server is now ready to install. Click **Install** to proceed.
31. Click **Finish** after the server install to proceed to the client installation.

Automated Interface Installation

The ComplianceOne update installation program includes an automated interface management program that runs after the ComplianceOne server installation. The interface manager collects, tests, and updates setup information about the interface connections specific to your organization. This process runs “silently”; that is, it does not require user input in order to complete successfully.



An additional installer runs and installs various interface web services. The following setup page displays. Each installed or updated interface displays a message and progress bar as it installs.



The process may be interrupted if an error has occurred. For a list of possible error messages, see [Automated Interface Installation Errors](#). In each instance, the configuration of ComplianceOne interfaces could not be completed. Note the error message or keep it open and contact SupportLine with the error information.

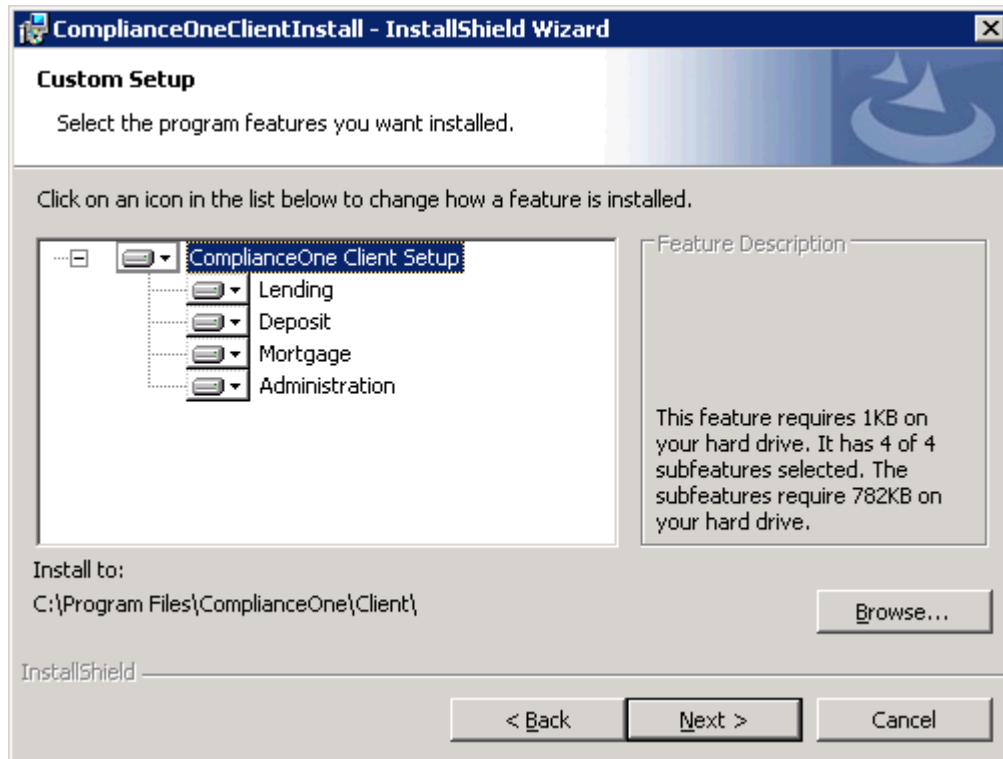
32. Click **Finish** after the interface install and proceed to the client installation.

Client Update Installation

Note: If you are doing a new client installation, that is installing a client on a machine that has not received a client installation before, or if you are installing the client onto a Terminal Server, please see the [New Client, Client Update or Terminal Server Installation](#) section of this guide.

To continue with the client update installation portion of the Complete install on the application server:

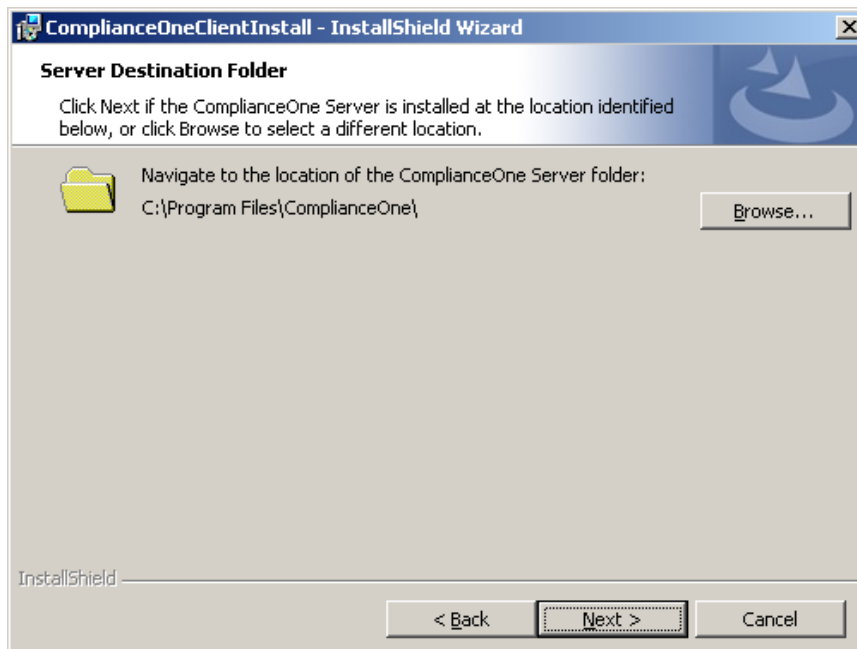
33. The installation will first determine the status of any client currently installed on your system. If any of the verifications fail you will receive an error notification. You can find more detail about each error type in the [error table](#) later in this document.
34. When the system check is successful, you will begin the client installation at the **Welcome** window. Click **Next**.
35. Select one or more client features to install. All features you selected for the previous release are selected by default. If you do not want to install a particular client feature, click the down arrow next to the name and choose **This feature will not be available**.



Note: Only select features for which you have purchased a license. Installing an unlicensed feature places an icon on the desktop that will cause an error message when clicked.

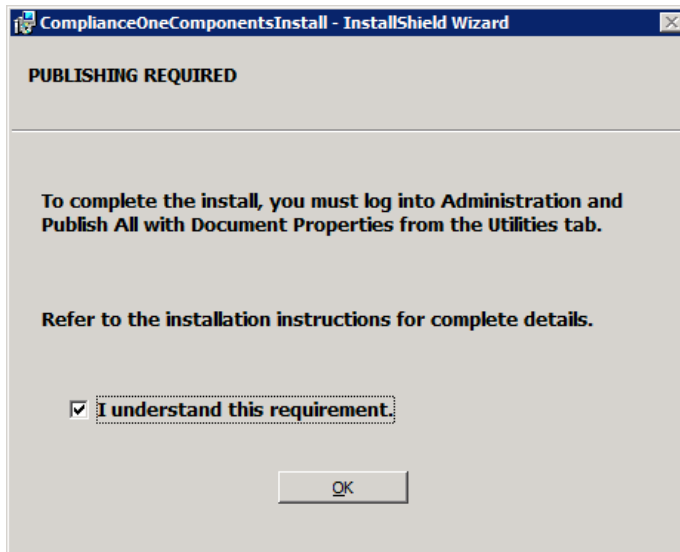
The install path will default from the previous release and is the recommended install path. Click **Next** to continue.

36. The path listed for the ComplianceOne server location will be the path you selected in the previous release.



Click **Next** to continue.

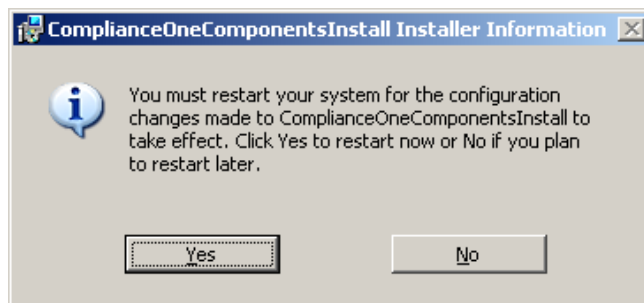
37. The installer will confirm the location of the server before continuing. If any difficulties are encountered, you may see a server error listed in the [error table](#).
38. If no difficulties are encountered, you will see the **Client Ready to Install** window. Click **Install** to begin the installation of the client.
39. Progress of the installation can be followed on your screen.
40. When the client installations have completed, you will see the Publishing Required window. This window serves to remind you that an Administrator must log into Administration and Publish All with Document Properties, found on the Utilities tab. This step is crucial after installing the update.



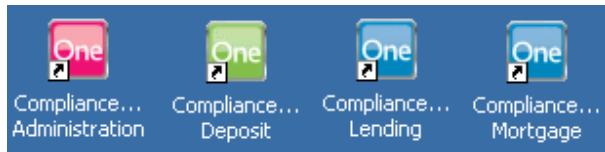
Check the **I understand this requirement** checkbox and click **OK**.

Note: If organizations are not published after installing the update, you will receive a warning message when attempting to open Lending, Mortgage, or Deposit until publishing has completed.

41. When the **Installation Completed** window displays, click **Finish** twice, once to end the client installation and again to complete the All-in-One Component installation.
42. You will be notified that your machine must be rebooted before ComplianceOne can be used. Click **Yes** to restart your machine. If you click **No**, the installation will end but do not use ComplianceOne without a reboot.



43. After reboot, note the text of the icons on your desktop has changed:



New Client, Client Update or Terminal Server Installation

Use these instructions when you are installing the ComplianceOne client onto a Terminal Server, when you update an existing client, or when you are installing a new client.

Installation of the Client onto a Terminal Server

If you are installing to a Terminal Server, after insuring the server is not in use, you will first need to set the server into Install Mode before installing the client.

1. From your Terminal Server select **Start, Run** and type **CMD** then click **OK**.

44. At the command prompt, type the following:

```
Change User /Install
```

45. Press **Enter**.

Proceed with the new or update client installation instructions. When the installation is complete, restart the server. After the restart Terminal Server will be in Execute mode.

New or Update Client Installation

All computers selected for new or update client installation must have the following prerequisite software installed prior to the client installation: SOAP 3.0, Microsoft .NET Framework 2.0, .NET Framework 3.5, and .NET Framework 4. These applications, if installed, are listed in Control Panel, Add or Remove Programs. You can find more detail in the [New or Update Client Installation Prerequisites](#) section of this document if you are uncertain how to check for the presence of these applications before proceeding with the client new or update installation.

If you are installing a client on a new machine or updating an existing client:

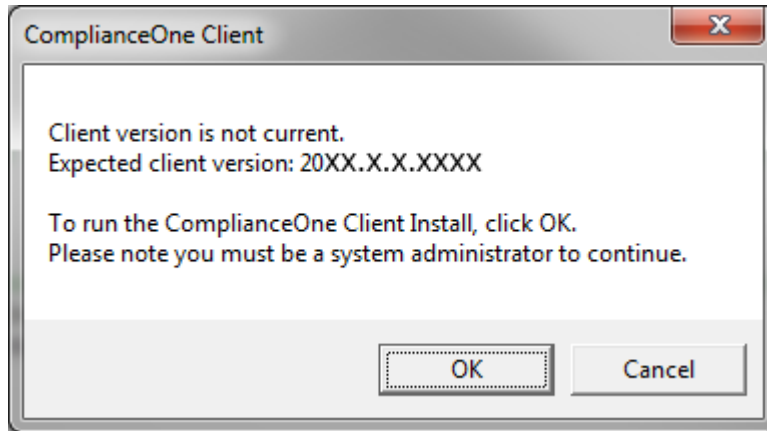
1. Browse to the ComplianceOne material source.
This installation cannot be done remotely but must be completed machine-side.

Note: The client installation can be performed in one of the two following ways as well:

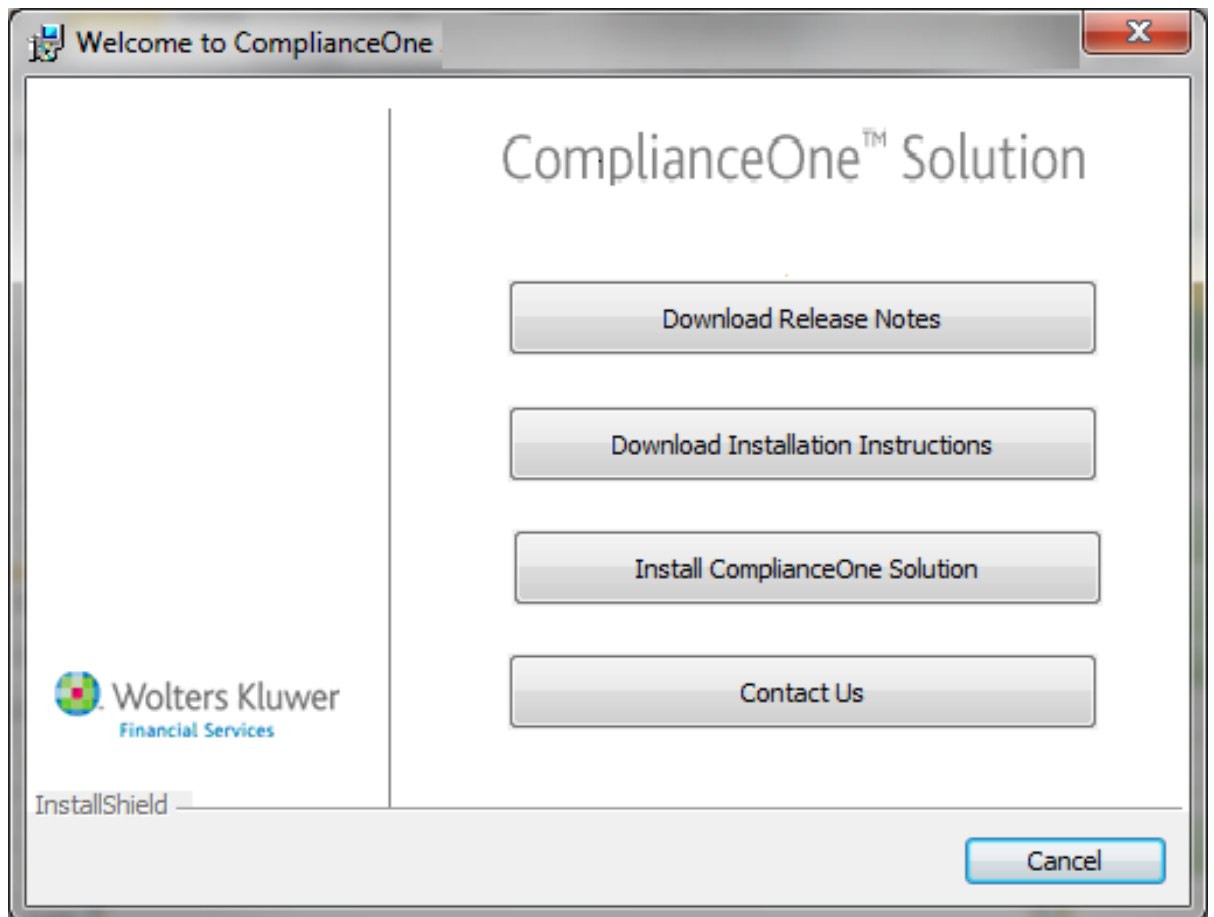
By navigating with Windows Explorer to the Client_Install folder on your ComplianceOne server and double-clicking **ComplianceOneClientSetup.exe**. If your ComplianceOne server is mapped to a drive, the exe can be found at <drive>:\Program Files\ComplianceOne\Client_Install where <drive> is the mapped drive letter. If your ComplianceOne server is not mapped to a drive, then you can type a UNC address into the address bar of Windows Explorer, for example, \\ComplianceOneServerName\ShareName\Client_Install where ShareName is usually ComplianceOne.

The client installation may also be performed by opening any of the program modules (Lending, Mortgage, or Deposit) to launch to Automatic Update function.

Automatic Update: ComplianceOne includes automatic update functionality for users on client workstations. The program allows the system to automatically update client workstations when the client is out of date. For users with Admin rights, the system will update automatically when a newer version is detected. Users without Admin rights will receive the message but will not be allowed to move forward with the automatic update:

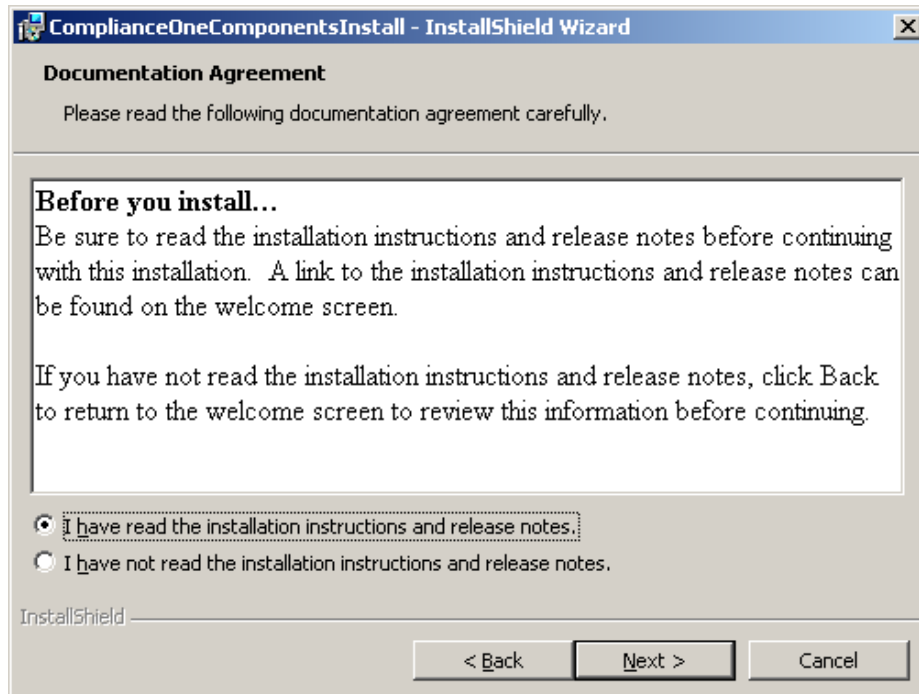


46. From your material source browse to the root of the source and double-click **setup.exe** to begin the installation at the Welcome screen.



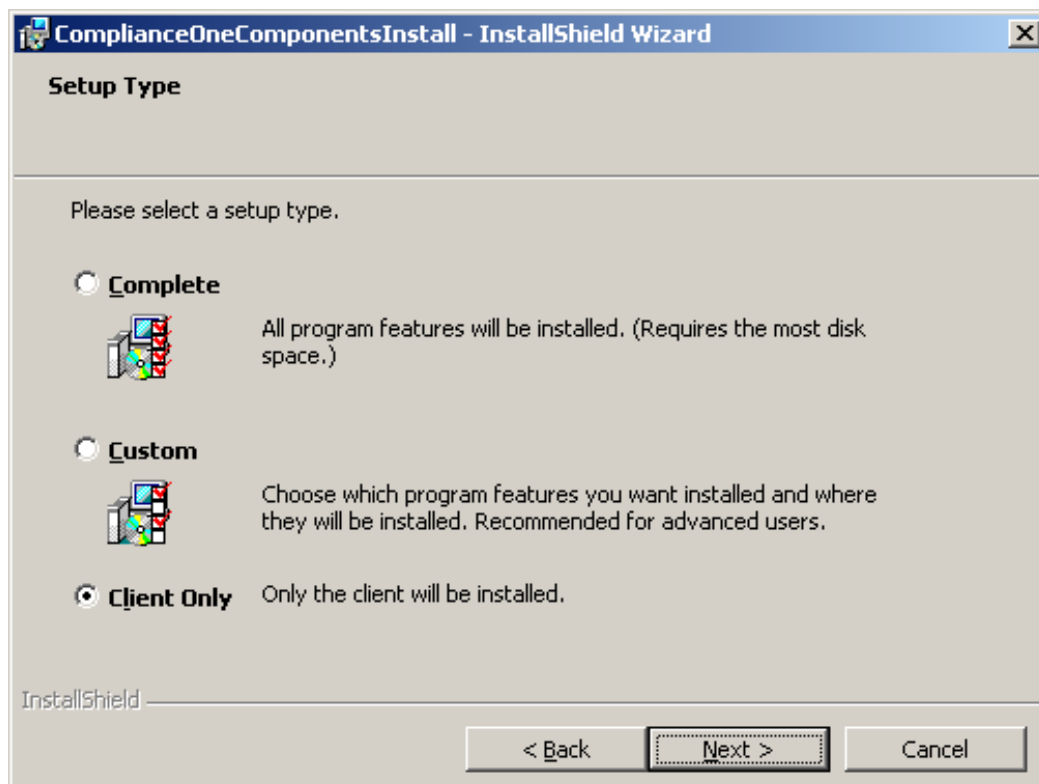
The installation instructions and the release notes are both linked from this screen. Please open and read each document before proceeding with the installation. If you have any questions at this point, you can click **Contact Us** for mailing, phone, fax, and Web-based contact options. When you are ready to begin the installation, click **Install ComplianceOne Solution**.

47. To proceed with the installation, you must agree to the Documentation Agreement that you have read the release documents.



Click **Next**.

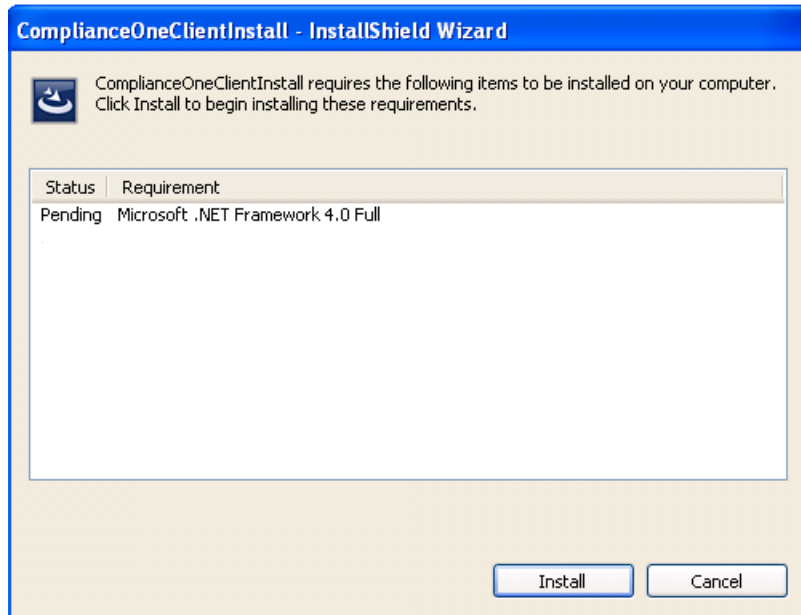
48. If you have not read the Release Notes or these installation instructions, please stop and do so. Select I have read the updated System Requirements and Installation Instructions for this release and have installed and configured the necessary prerequisites defined in those documents. Click Next.
49. Select **Client** as the **Setup Type** for your installation.



Click **Next**.

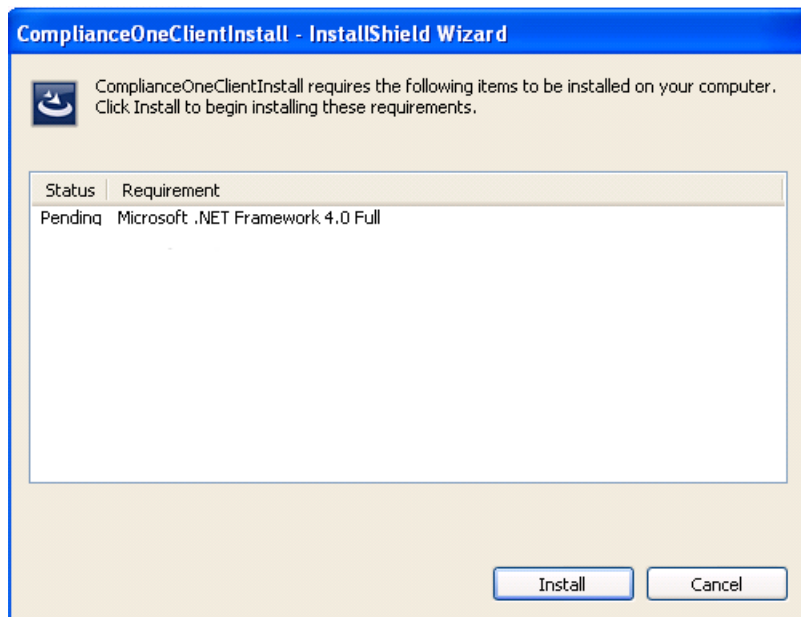
50. Your client is now ready to install. Click **Install** to proceed.

51. The installation program will check for the presence of Microsoft .NET Framework 4. If it is missing you will be prompted to install it.



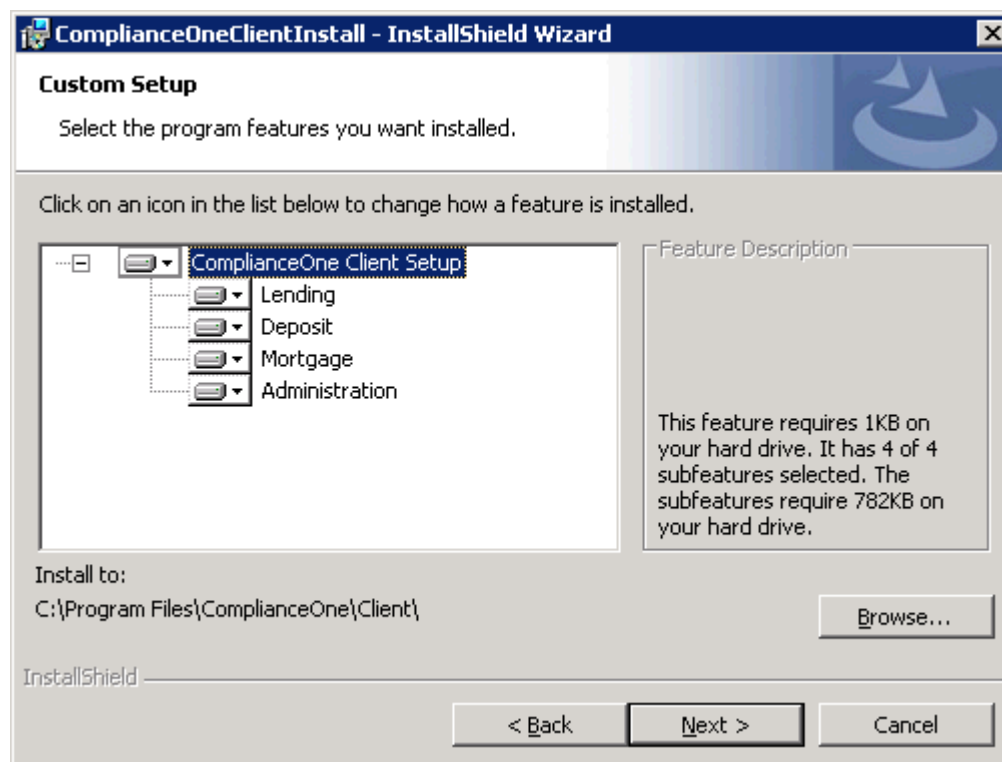
52. Click **Install** to begin the installation of .NET Framework 4 which can be lengthy.

53. After installing .NET Framework (see [Appendix A](#) for installation details), you will be asked to reboot your machine.



54. Please click **Yes** and reboot. After reboot, the ComplianceOne installation program will automatically restart and pick up the product installation. You will not need to take any action to restart the product installation after the reboot.

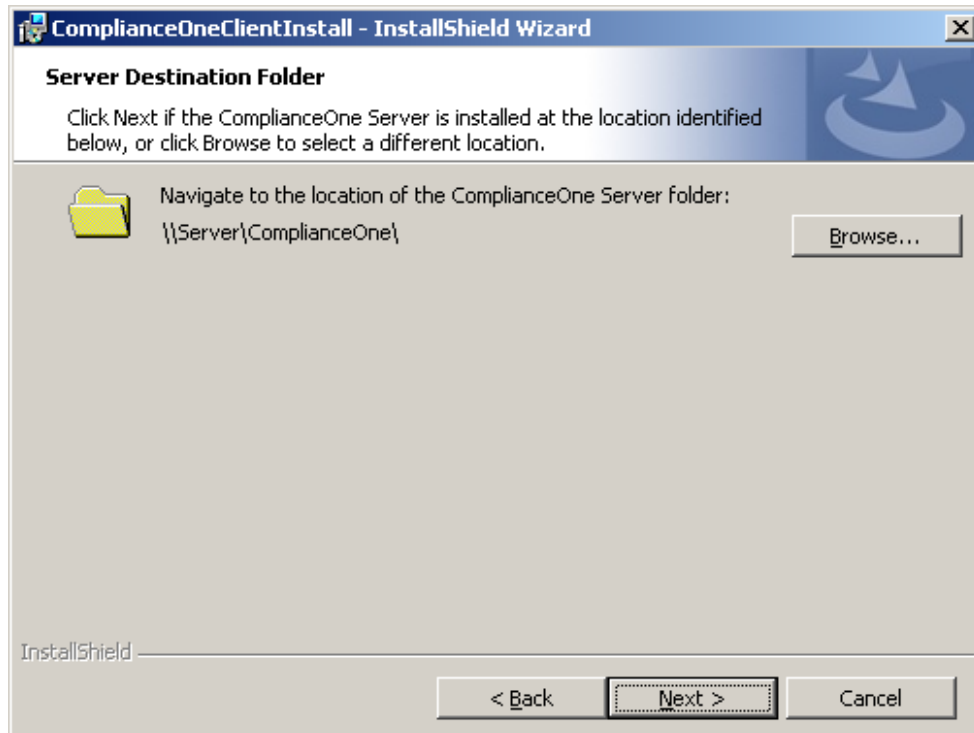
55. In the **Custom Setup** window, select one or more client features to install. All types, Lending, Mortgage, Deposit, and administration, are selected by default. If you do not want to install a particular feature or have not purchased a license for one, click the down arrow next to the client name and choose **This feature will not be available**.



Note: Only install features for which you have purchased a license. Installing an unlicensed feature will place an icon on your desktop, but clicking the icon would cause an error message.

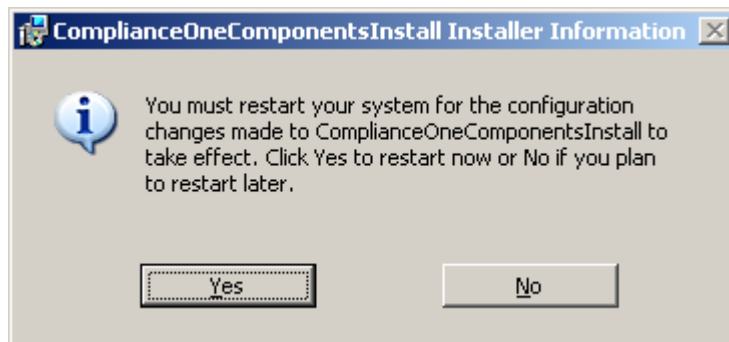
The install path will default from the previous version and is the recommended install path. Click **Next** to continue.

56. The path listed for the ComplianceOne server location will be the path you selected in the previous release.



Click **Next** to continue.

57. The installer will confirm the location of the server before continuing. If any difficulties are encountered, you may see a server error listed in the [error table](#).
58. If no difficulties are encountered, you will see the **Client Ready to Install** window. Click **Install** to begin the installation of the client.
59. Progress of the installation can be followed on your screen.
60. The **Installation Completed** window displays when the client installation has completed. Click **Finish** to end the client installation.
61. You will be notified that your machine must be rebooted. Click **Yes** to restart your machine. If you click **No**, the installation will end but do not use ComplianceOne without a reboot.



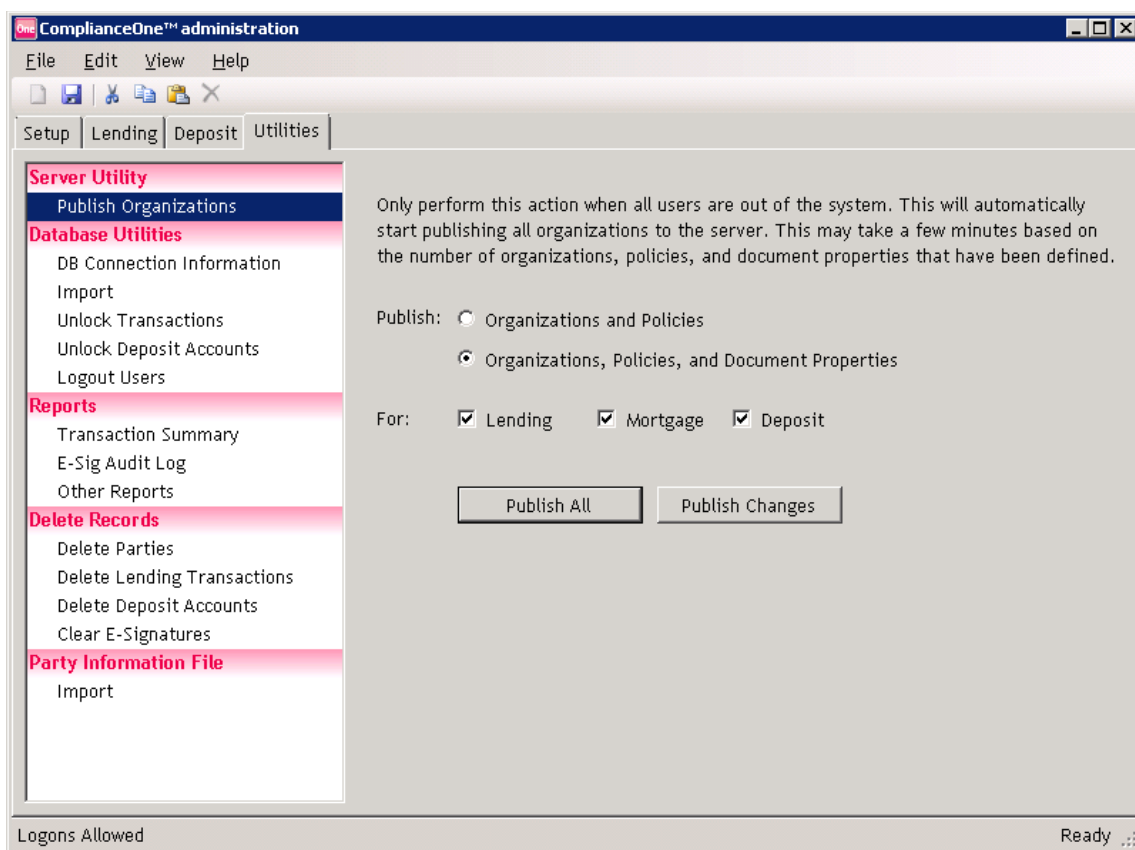
Post-Installation Setup

After installing the 2018.4 update and before using 2018.4 we recommend that you verify your settings for .NET 4 are correct by validating the settings below. If you have not previously configured IIS for compatibility with ComplianceOne, also see [Appendix C: Configuring IIS v.7.0 or Higher](#).

Publish Your Organizations

After updating ComplianceOne, you will need to publish your organizations.

1. Log into administration and select the Utilities tab.
62. In the Server Utility section choose the second publishing option, **Organization, Policies, and Document Properties**.



63. Click the **Publish All** button.

Note: If organizations are not published after installing the update, you will receive a warning message when attempting to open Lending, Mortgage, or Deposit.

Re-Enable User Logon

Prior to installing this update, you were asked to disable user logon in administration for the duration of the update. After completing this update, you need to allow logon for your users.

1. Log into administration.
64. Select the **Utilities** tab and choose **Logout Users**.

65. Clear the checkboxes for **Prohibit logons to Lending**, **Prohibit logons to Deposit**, and **Prohibit logons to Mortgage**. Note that these changes are retained when you navigate away from this area.

Important! On June 24, 2015, the Bureau of Consumer Financial Protection (BCFP) issued a proposed amendment to delay the effective date of the Know Before You Owe rule until October 3, 2015. Because of the proposal, a new field, **TRID Effective Date**, has been added to administration/Setup/Global Settings to allow you to enter the effective date of the change.

After installing Release 2018.4 but before opening Lending, please open administration and verify that the value in the new **TRID Effective Date** field is 10/03/2015. Change the date if necessary and save your changes by clicking the blue diskette in the menu bar. Doing so will ensure that your consumer, closed-end, real estate transactions will provide the appropriate documents both before and after the TRID Effective Date.

Update your Index Rate Histories

You will only need to update your index rate histories if you have an index that is newer than what was made available with the release, as may happen if you wait to install the newest release. You can update the index rate histories using a file available on the Wolters Kluwer Support Web site.

1. Use your browser to navigate to <http://www.wolterskluwerfs.com/support/>.
66. Log into the website, then **Go to Products Dashboard** for ComplianceOne Lending
67. Click **Go to Product**, then **Go to File Downloads**,
68. Click **ComplianceOne Lending Index Update** and choose either the instructions or executable file.
69. Instructions and a downloadable EXE file, **ComplianceOneIndexUpdate_Month_Year.exe**, are available to step you through the index update for ComplianceOne.

Note: The index update file, **ComplianceOneIndexUpdate_Month_Year.exe**, must be run on the ComplianceOne application server.

Troubleshooting Your Installation

Every effort has been made to ensure that your update installation proceeds without error. To aid troubleshooting, we include further discussion of:

- Errors that might occur which will take you out of the installation, leading to an incomplete installation or if you choose to cancel in the middle of the installation.
- Most errors are listed and described in the error table.
- Where to find the installation logs for more detail on any errors that occur.

Incomplete Installation

Note that if an error is encountered during the ComplianceOne update installation leading to an incomplete installation, or if you cancel out of the installation, the installation process has a rollback feature. The rollback process uninstalls newly installed files and returns each component back to its original state prior to the update. The rollback feature works for the following ComplianceOne components:

- Expere DDS Web Services
- ComplianceOne Server
- Client

For instance, if the ComplianceOne server fails after a successful update of the Web services, the Web services won't be rolled back. Note that before each component is installed, existing files are backed up by the installation program. In the event of a failure leading to an incomplete installation, the backed up files are restored before the installation exits, restoring ComplianceOne to its previous state. Items backed up include:

- The web services upgrade installation will back up the web services files.
- The server update installation will back up the server files.

Backed up files are placed by component into the Install_Backup folder from the root of the ComplianceOne installation, such as C:\Program

Files\ComplianceOne\Install_Backup\Component\ReleaseNumber_Date_Time_of_Backup. If backup fails for any reason, such as inadequate disk space, you will see the following error:

An error has occurred during the backup process of the ComplianceOne {component} installation. Please reference the install log file for additional information regarding the error and call SupportLine for assistance.

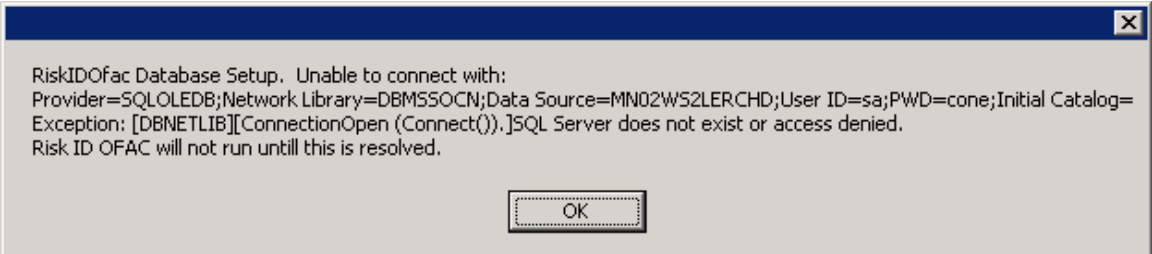
Log file location: Document and Settings\All Users\WoltersKluwer\ComplianceOne\Logs

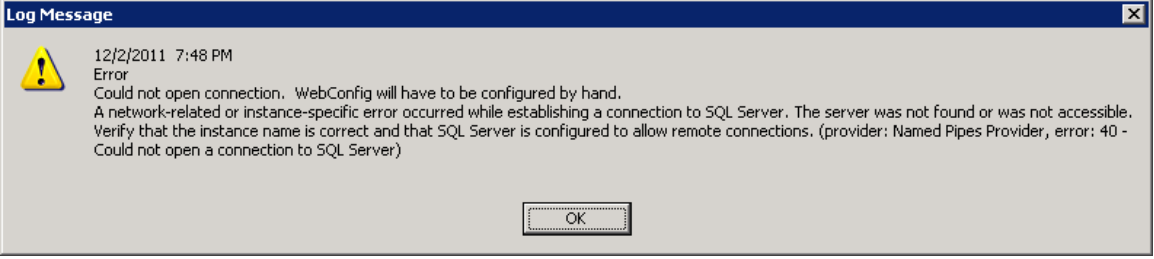
Installation Errors Table

All Component Install Errors	
Error Message	Notes
SQL Server Native Client 11.4.7001.0 or greater needs to be installed for this installation to continue.	Microsoft SQL Server 2012 Native Client is required to support TLS 1.1 or 1.2. The Microsoft SQL Server 2012 Native Client is already automatically installed as part of newer SQL Server versions (2012, 2014, 2016 and so on). For other versions it is available at https://www.microsoft.com/en-us/download/details.aspx?id=50402 .
<p>WARNING! The ComplianceOne install did not find Microsoft SQL Server 2012 Native Client (Version 11.4.7001.0). Please verify that you have Microsoft SQL Server 2012 Native Client (Version 11.4.7001.0) installed before continuing.</p> <p>If you continue with the ComplianceOne install and do not have Microsoft SQL Server 2012 Native Client (Version 11.4.7001.0) installed, the ComplianceOne install will fail. Click the Cancel button to exit the install.</p> <p>If you are sure you have Microsoft SQL Server 2012 Native Client (Version 11.4.7001.0) installed and you are receiving this message in error, continue with the install by clicking the Next button.</p>	Microsoft SQL Server 2012 Native Client is required to support TLS 1.1 or 1.2. The Microsoft SQL Server 2012 Native Client is already automatically installed as part of newer SQL Server versions (2012, 2014, 2016 and so on). For other versions it is available at https://www.microsoft.com/en-us/download/details.aspx?id=50402 .
Database Component Install Errors	
Error Message	Notes
Error 27502. Could not connect to Microsoft SQL Server 'instance name'. [DNETLIB][ConnectionOpen (Connect()).]SQL Server does not exist or access denied. (17)	<p>The database instance does not exist or the service for the instance has been stopped.</p> <p>Clicking OK will return you to the SQL authentication window.</p>
Error 27502. Could not connect to Microsoft SQL Server 'instance name'. Login failed for user 'username'. (18456)	<p>SQL User or Password Failure.</p> <p>Clicking OK will return you to the SQL authentication window.</p>

Error 27506. Error executing SQL script CheckUserSecurity.SQL Line 37. The SQL User does not have sufficient permissions to install ComplianceOne. Please refer to the installation instructions for the SQL permissions required to complete the ComplianceOne database installation (50000)	Insufficient SQL Permissions – The logged in user does not have sufficient permissions to attach the ComplianceOne databases. Clicking OK will take you to the Database Installation Failure window. More SQL permissions information is available in this manual.
[SQL Server 2000 Not Supported ;Std installshield default; no text yet]	Clicking OK will take you to the Database Installation Failure window and then exit the installation. You will need to install a more recent version of SQL Server and restart this ComplianceOne update.
The ComplianceOne database SQL server location (instance) provided does not contain the ComplianceOne databases. Click "OK" to return to the previous screen and either select another instance or click "Cancel" to exit the server installation.	The ComplianceOne databases were not found at the database server location. Clicking OK will take you to the SQL authentication window.
INVALID DATABASE VERSION. You will need to be at the minimum version to update to version 2018.4. The installation will now exit.	ComplianceOne Databases Not At Supported Version – The databases are from a release earlier than 2018.3. Clicking OK will take you to the Database Installation Failure window and then exit the installation. You will need to upgrade your ComplianceOne installation to 2018.3 before proceeding with this update.
A later version of 'ComplianceOne Database' is already installed on this machine. The setup cannot continue.	ComplianceOne Database Current or Newer – The database version is current with the update release or from an even newer install. Clicking OK will take you to the Database Installation Failure window and then exit the installation.
An error has occurred during the installation of the ComplianceOne database. Please refer to the {log file name} file for additional information. Contact SupportLine for assistance. Log file location: {path to log files}.	Clicking OK will take you to the Database Installation Failure window and then exit the installation.
One or more of the ComplianceOne databases are missing. The database installation cannot continue. Please contact SupportLine for assistance. The installation will now exit.	ComplianceOne Database Missing – One of the four ComplianceOne databases is missing. Clicking OK will take you to the Database Installation Failure window and then exit the installation.
Return to Database Installation Instructions	
Web Services Component Install Errors	
Error Message	Notes

INVALID WEB SERVICES VERSION. The ComplianceOne Web Services must be updated to version XXX.XXXX before you can continue with this install. The installation will now exit.	The install will stop when you press OK . You will need to update your ComplianceOne installation to the latest release and start the update installation process from the beginning.
A later version is already installed.	The install will stop when you press OK . Release 2018.4 or later has already been installed.
The ComplianceOne Web Services do not exist on [computername]. Please select an alternate location or exit the installation.	Web services were not found on your computer. Clicking OK will return you to the Web services address window. Check the Web services address for errors.
Return to the Web Services Installation Instructions	
ComplianceOne Server Component Install Errors	
Error Message	Notes
INVALID SERVER VERSION. The ComplianceOne Server must be updated to version XXX.XXXX before you can continue with this install. The installation will now exit.	The install will stop when you press OK . You will need to update your ComplianceOne installation to 2018.3 and start the update installation process from the beginning.
A later version is already installed.	The install will stop when you press OK . Release 2018.4 or later has already been installed.
The ComplianceOne Server does not exist on [computername]. Please select an alternate location or exit the installation.	The ComplianceOne server was not found on your computer. Clicking OK will return you to the server location window. Check the server location path for errors.
Client_Install Folder. Cannot delete ComplianceOne\Client_Install Folder. The install cannot delete the Client_Install folder at the following location: <path to folder> Please manually remove this folder before selecting "Next" to continue. For additional information on how to properly remove this folder, please refer to the ComplianceOne Update Instructions.	Before continuing with your ComplianceOne update installation, you will need to remove a folder from your ComplianceOne application server. Using Windows Explorer navigate to the root of the ComplianceOne folder, the default path being C:\Program Files\ComplianceOne. Beneath the ComplianceOne folder there should be a sub-folder named Client_Install. Select this folder and delete it. Return to the error message display and click Next to continue.
Return to the ComplianceOne Server Installation	
ComplianceOne Client Component Install Errors	
Error Message	Notes

INVALID CLIENT VERSION. You need to be at the minimum version to update to version XXX.XXXX. The installation will now exit.	The install will stop when you press OK . You will need to update your ComplianceOne installation to the latest release and start the update installation process from the beginning.
A later version of 'ComplianceOne Client' is already installed on this machine. The setup cannot continue.	The install will stop when you press OK . Release 2018.4 or later has already been installed.
WARNING! The ComplianceOne install did not find Microsoft SQL Server 2012 Native Client (Version 11.4.7001.0). You may continue with the install but you will need to have Microsoft SQL Server 2012 Native Client installed in order to run the ComplianceOne application.	Microsoft SQL Server 2012 Native Client is required to support TLS 1.1 or 1.2. The Microsoft SQL Server 2012 Native Client is already automatically installed as part of newer SQL Server versions (2012, 2014, 2016 and so on). For other versions it is available at https://www.microsoft.com/en-us/download/details.aspx?id=50402 .
Return to the Client Component Installation	
ComplianceOne Automated Interface Installation Errors	
Error Message	Notes
Could not find the GULFPAK.ini file. The configuration of Interface Manager could not be completed. Please navigate to the following URL to complete the configuration of Interface Manager - http://localhost/WKFS_InterfaceManager	The program cannot find Gulfpak.ini, the file containing configuration, path, and login information. The program assumes the file has not been moved since initial installation. Please note the error message and contact SupportLine.
Could not connect to Database. The configuration of Interface Manager could not be completed. Please navigate to the following URL to complete the configuration of Interface Manager - http://localhost/WKFS_InterfaceManager .	The program cannot find the database used for the interface. Please note the error message, check the Log Files for a detailed report and contact SupportLine.
Unable to create RiskOfac Database. --Or-- Risk IDOfac Database Setup. Unable to connect with: [...] SQL Server does not exist or access denied. Risk ID OFAC will not run until this is resolved. (Example below.)	These errors are similar to the above but are specific to the Risk IDOfac interface installation.
	

<p>Could not find the web.config file. The configuration of Interface Manager could not be completed. Please navigate to the following URL to complete the configuration of Interface Manager - http://localhost/WKFS_InterfaceManager.</p>	<p>The program cannot find the Web.config file for the WKFS_Interface_Manager webservice. Note the error message and contact SupportLine.</p>
<p>Cannot write or save to the web.config file. The configuration of Interface Manager could not be completed. Please navigate to the following URL to complete the configuration of Interface Manager - http://localhost/WKFS_InterfaceManager.</p>	<p>The program doesn't have the correct permissions to write and save data to the web.config file. Note the error message and contact SupportLine.</p>
<p>Could not open connection. WebConfig will have to be configured by hand. A network-related or instance-specific error occurred while establishing a connection to SQL Server.</p>	<p>The program could not connect to the remote server during an automated interface installation. Check the Log Files for a detailed log entry (see example below). Contact SupportLine.</p>
	
<p>Return to the Automated Interface Manager</p>	

Log Files

An install log file will be created for each component that initiated an installation. The install logs will be placed in the "All Users" profile location, which varies with different operating systems. The logs record both the successful and unsuccessful operations during the product update installation. Logs are particularly helpful when you encounter an error. Logs can be opened and read in a text editor such as Notepad.

The following is a list of all of the components and their corresponding install logs created for ComplianceOne:

- ComplianceOne All-In-One, ComplianceOneComponentsInstall_X_X_XXXX.log
- ComplianceOne Database, ComplianceOneDatabaseInstall_X_X_XXXX.log
- ComplianceOne Web Services creates three logs:
 - ComplianceOneWebServicesInstall_X_X_XXXX.log
 - XDDSLendingInstall_X_X_X_XXXX.log
 - XDDSDepositInstall_X_X_X_XXX.log
- ComplianceOne Server, ComplianceOneServerInstall_X_X_XXXX.log
- ComplianceOne Client, ComplianceOneClientInstall_X_X_XXXX.log

Note that the X_X_XXXX in the log filename is the version number of the component installed and for this release will be 2_1_0_2579, for example, ComplianceOneAllInOneInstall_2_1_0_2579. Logs are also created for Expere DDS Lending and Expere DDS Deposit but these logs will not contain the version number in the filename.

Wolters Kluwer Financial Services Flood Determination Services Users

We have updated the URL within ComplianceOne for users who access WKFS Flood Determination Services directly from Lending and Mortgage via the FloodWiz interface. The URL now goes directly to

<http://www.settlementservices.com/usds/index.asp>

Error Logging and Windows 2008 Server

If your ComplianceOne Server is hosted on a machine with both Windows 2008 Server and Terminal Services, the ComplianceOne product logs may not be updated for ComplianceOne-related errors if you are not the same user that initially installed ComplianceOne on the system. This may occur even if you have administrative rights on the system.

Errors instead may be logged in the Internet Information Server "virtual store" with a generic path:

```
C:\Users\UserName\AppData\Local\VirtualStore\ProgramData\WoltersKluwer\ComplianceOne\Logs\Admin.log
```

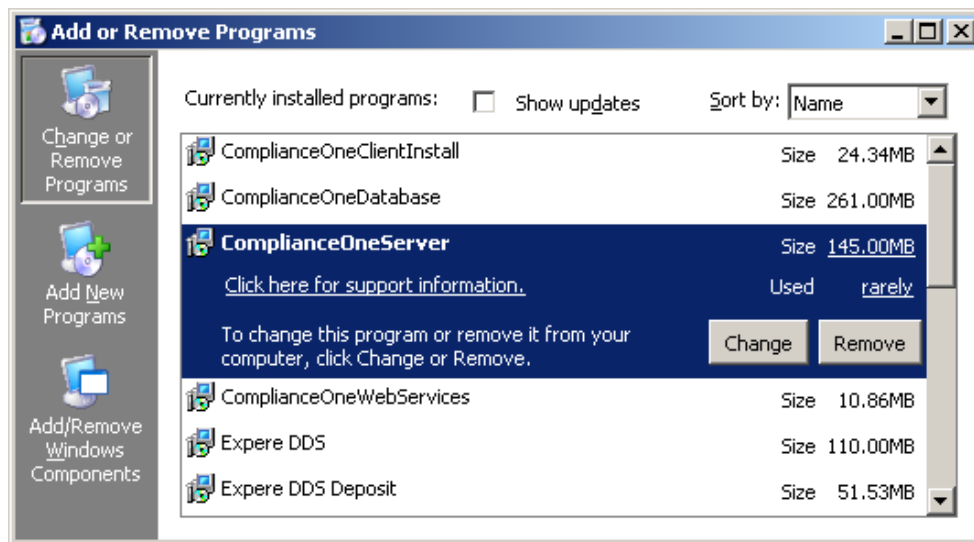
You can also use the %userprofile% environment variable to navigate to Admin.log:

```
%userprofile%\appdata\Local\VirtualStore\programdata\wolterskluwer\ComplianceOne\Logs
```

Uninstall

Since the ComplianceOne update installation is a multi-component installation, each component has to be uninstalled separately from Control Panel. Each component is listed in Control Panel under Add/Remove Programs:

- ComplianceOne Database
- ComplianceOne Web Services
- ComplianceOne Server
- ComplianceOne Client Install
- Expere DDS (Lending)
- Expere DDS Deposit
- WKFS Automated Interface Manager
- ComplianceOne RiskID OFAC Interface



Warning! Uninstalling any one of the ComplianceOne components will render your ComplianceOne installation non-functional.

Some components can only be removed. These include:

- ComplianceOne Client Install
- ComplianceOne Database
- ComplianceOne Server

To remove a component, select it from the list and click **Remove**. If you click **Remove**, you will be asked if you wish to remove the component from your computer. If you select **Yes**, the component will be removed and you will be requested to reboot. The component will no longer be listed in the Control Panel, Add/Remove Programs list.

The **Change** option allows you to select either **Repair** or **Uninstall**. Components that can be removed or repaired include:

- ComplianceOne Web Services
- Expere DDS (Lending) - Expere DDS (Deposit)

- WKFS Interface Manager
- ComplianceOne RiskID OFAC Interface

Uninstalling one component will in most situations render your ComplianceOne application unusable. Note that if you choose to uninstall, you should uninstall all of the components, which include:

- The backup folders and all the contents of the backup folders are retained.
- Previous virtual directories created prior to the current ComplianceOne Web Services installation are retained: GulfPak.DDS.WebApp and GulfPak.DDS.WebApp_Dep.
- Note that files installed as part of that base installation, that is, files that were not updated by this installation process, are not deleted during the uninstall. These include files related to core interfaces, custom forms, and SQL databases, including WKFS Interface Manager and ComplianceOne RiskID OFAC databases. These will remain in place after the uninstall.

Note also that when you uninstall the most recent release of ComplianceOne, your previous release will be removed as well.

Appendix A: Installing and Configuring .NET 4

The file for installing .NET Framework 4 can be found in your ComplianceOne material source. Double-click the EXE file to begin the installation. You will be asked to accept the license agreement before proceeding. You will need to click **Install** to begin the installation and **Finish** after it has completed. There are no other choices to make.

If you are installing .NET 4 on Windows Server 2003, you may encounter the following window, prompting you to install Windows Imaging Component.



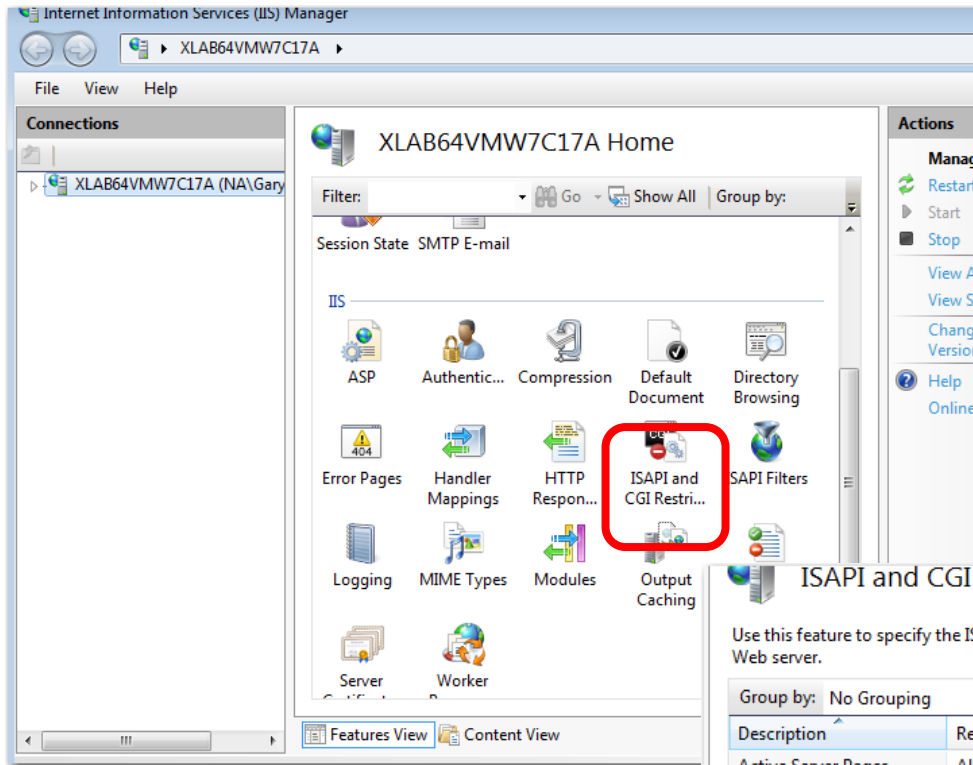
Click the link in the warning box, which brings you to a Microsoft download page where you can install the Windows Imaging Component (WIC). Choose the English language installer option and click **Download**. (wic_x86_enu.exe is the English option.) Click **Run** to run the installation.

When the Windows Imaging Component installation is complete, you must restart the .NET 4 Framework install.

Configuring .NET 4 on Windows Server 2008, 2012 and 2016

Once .NET 4 Framework is installed, for Windows Server 2008, both 32- and 64-bit, you need to verify that the ISAPI and CGI Restrictions are set to **Allowed**.

1. Open IIS by clicking **Administrative Tools** from the **Start** menu. Select **Internet Information Services (IIS)**. On the features panel, double click **ISAPI and CGI Restrictions** button to open it.
70. Verify that the restrictions are all set to **Allowed**.



ISAPI and CGI Restrictions

Use this feature to specify the ISAPI and CGI extensions that can run on the Web server.

Group by: No Grouping

Description	Restriction	Path
Active Server Pages	Allowed	%windir%\system32\inet
ASP.NET v2.0.50727	Allowed	%windir%\Microsoft.NET
ASP.NET v2.0.50727	Allowed	%windir%\Microsoft.NET
ASP.NET v4.0.30319	Allowed	C:\Windows\Microsoft.N
ASP.NET v4.0.30319	Allowed	C:\Windows\Microsoft.N

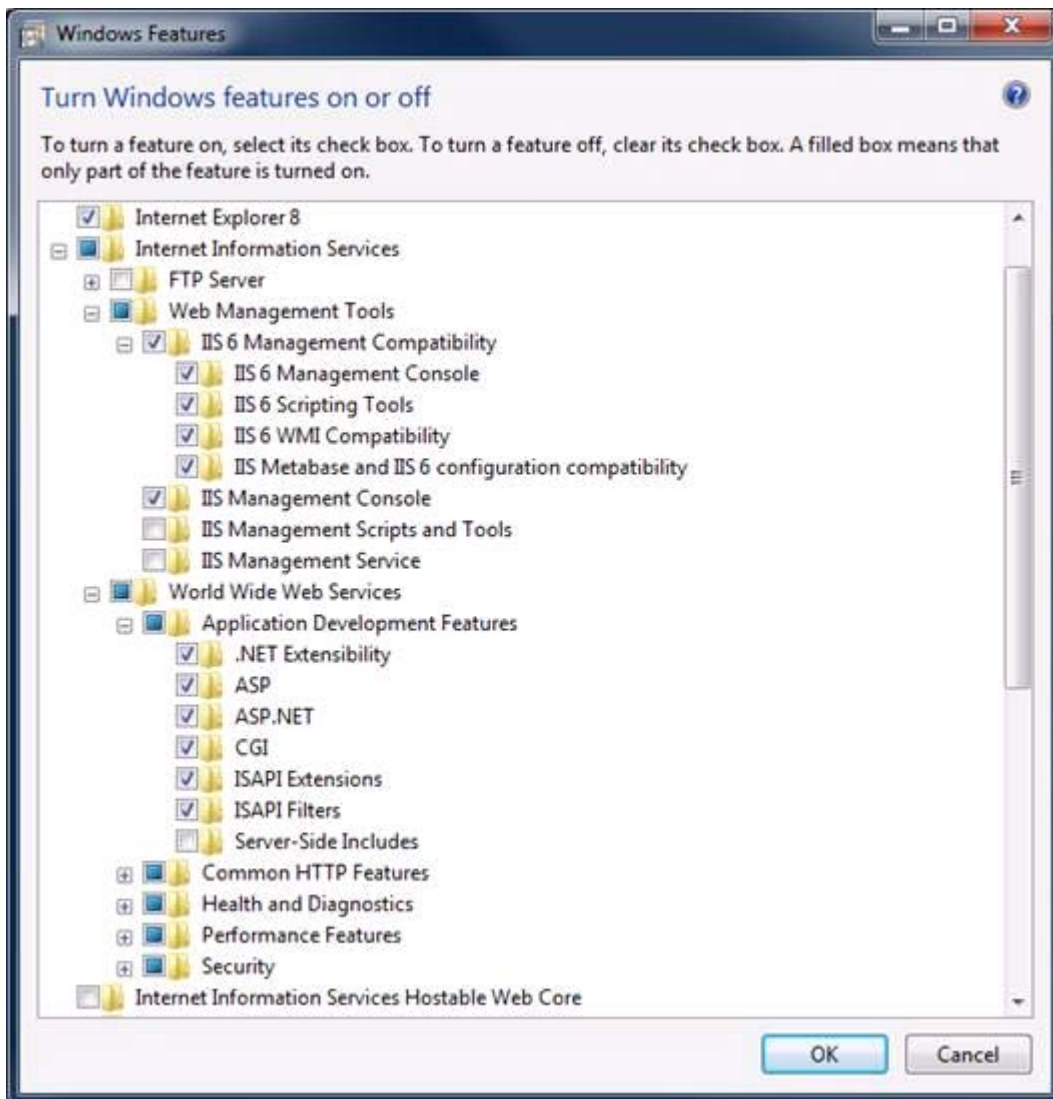
Appendix B: Installing ASP.NET MVC3

The file for installing ASP.NET MVC3 can be found in your ComplianceOne material source. Installation of ASP.NET MVC3 is required for both Windows Server 2003 and 2008. Double-click the EXE file to begin the installation. You will be asked to accept the license agreement before proceeding. You will need to click **Install** to begin the installation, choose **Short Install** and **Finish** after it has completed. There are no other choices to make.

No configuration of ASP.NET MVC3 is required before using ComplianceOne.

Appendix C: Configuring IIS v7.0 or Higher

Backward compatibility with IIS 6 must be enabled if your ComplianceOne server is using IIS 7 or higher, for instance, such as is found on Windows Server 2008. This compatibility setting is available as a feature in Windows Server 2008. To enable or verify this compatibility, from **Start** select **Control Panel, Turn Windows features on or off**. You can also type the word **feature** into the Search box to bring up this option. On the **Turn Windows features on or off** window, navigate to **Web Management Tools** and select **IIS 6 Management Compatibility**. Make sure all sub-items are also selected. Click **OK** to save any changes.



Appendix D: User Security: Import ComplianceOne Users

ComplianceOne supports the ability to use domain group login credentials for ComplianceOne login, eliminating the need for a separate login to ComplianceOne. This functionality allows you to import users from your Windows domain into ComplianceOne.

Before you can use this functionality, your organization must have the following prerequisites in place:

- Must have a Microsoft Domain network infrastructure.
- Must have a domain group created. (Refer to Windows Help for more information on creating a Windows group for your specific operating system.)

Note: If your organization uses Interface Manager, ComplianceOne Import Service or Imaging you will need to add the default IIS identity to the above domain group. By default, the interfaces use the built-in account NetworkService.

About Creating a Domain Windows Group

In the Domain Windows Group you create, you may add individual users, as well as other Active Directory groups. (Local groups cannot be added to this group.)

Once users have been defined within the Domain Group, the Import Users function within ComplianceOne will add or remove users accordingly using that Domain Group.

Once added or removed from the network group, ComplianceOne can add or remove users from this group into ComplianceOne via the Import Users feature.

Importing Users into ComplianceOne

1. To import your Windows (Domain) group into ComplianceOne, open ComplianceOne Administration.
 71. Select Import Users from the Edit menu.
 72. In the Import Users window, select the Windows (Domain) Group Name containing the list of users you wish to import. Click OK to add and/or remove the users listed for this group.
 73. Once the users are imported, the program displays the User Setup page so that you may define the appropriate user settings for the imported users. You may also add them to ComplianceOne User Groups.

Notes:

You will be unable to import users into ComplianceOne if you are currently editing a user or a group in Administration (or if another user has the Users or Groups area locked).

You cannot remove any Domain Windows user who is currently signed in.

You cannot change a user name in ComplianceOne Administration if it is a Domain Windows user name. Additionally, the password-related settings are also disabled for Domain Windows users.

74. When starting ComplianceOne (Administration/Lending/Mortgage/Deposit), the imported users will no longer be required to log in to ComplianceOne as the program will start without displaying the Sign In prompt.

Possible Error Messages

The following situations may result in error messages being displayed:

- Utility cannot write to the user database. No users will be added or removed. Ensure that no users are editing the Users or Groups pages within Administration. Also, ensure that Domain Windows usernames are not longer than 47 characters. Additionally, ensure that you are not experiencing network problems.
- Inability to read users from the Domain. A list of users could not be located on the domain. Ensure ComplianceOne is installed correctly and that you are not experiencing network problems.
- No users to add or remove. The user list is already synchronized with the current user configuration on the domain.

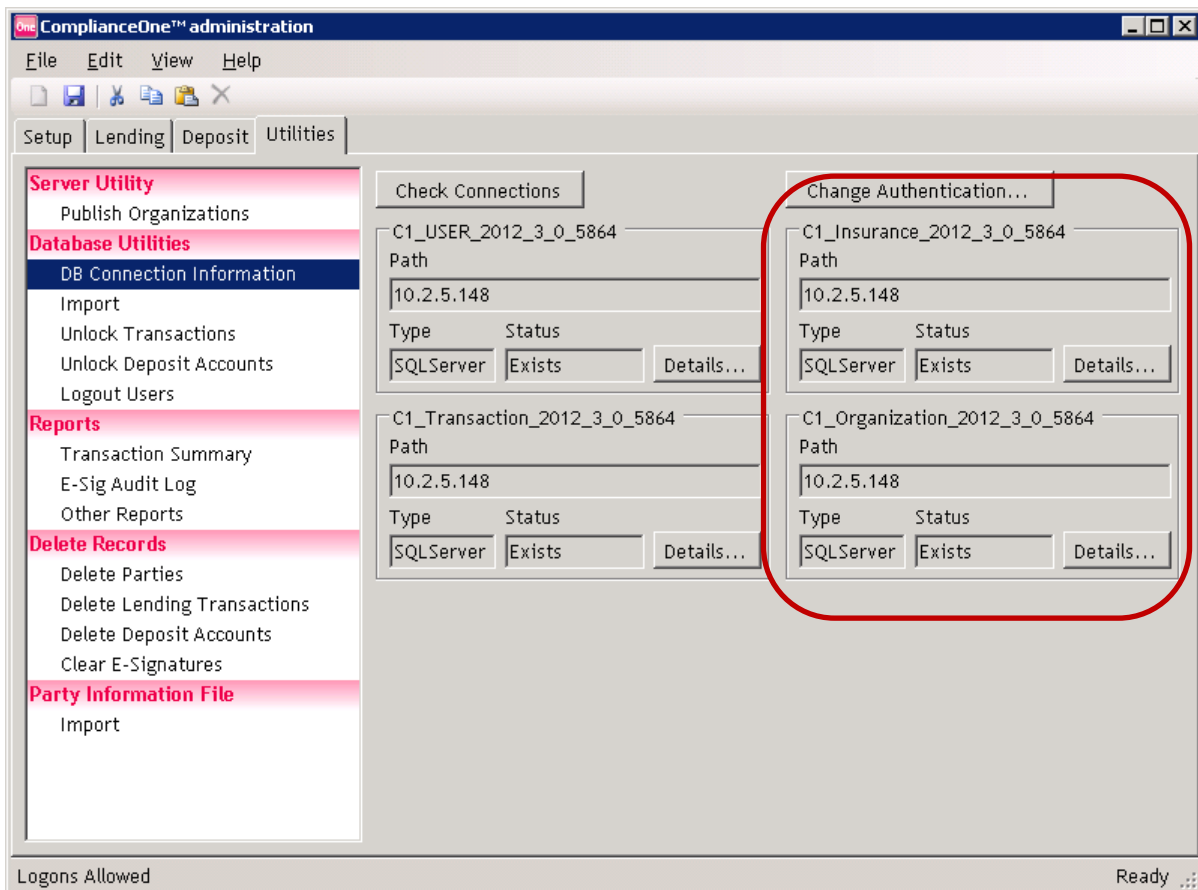
Windows Authentication: Administration Settings

ComplianceOne also allows the ability to use the Windows Authentication feature in SQL so that you no longer have to create a separate SQL Username and Password. This change allows you to access ComplianceOne using your Windows Authentication.

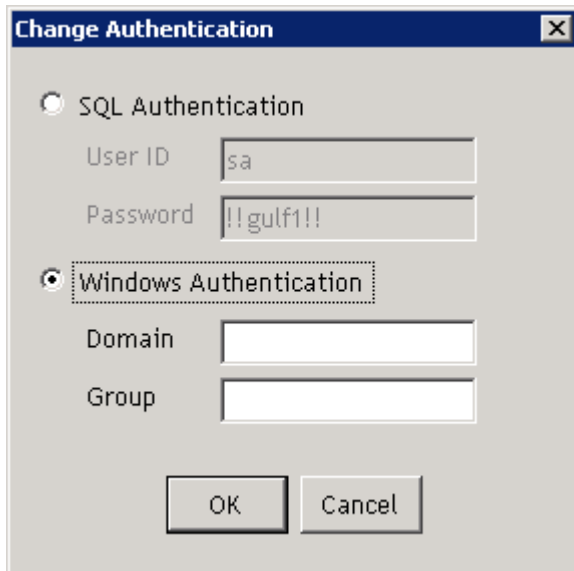
Important: Please note that only users with System Administrator user rights will be allowed to change authentication types.

Change Authentication

The DB Connection Information page on the Utilities tab in Administration offers a **Change Authentication** button.

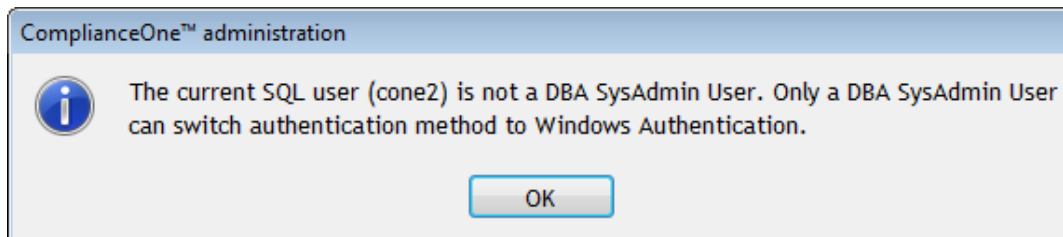


Click **Change Authentication** button to open the Change Authentication window.

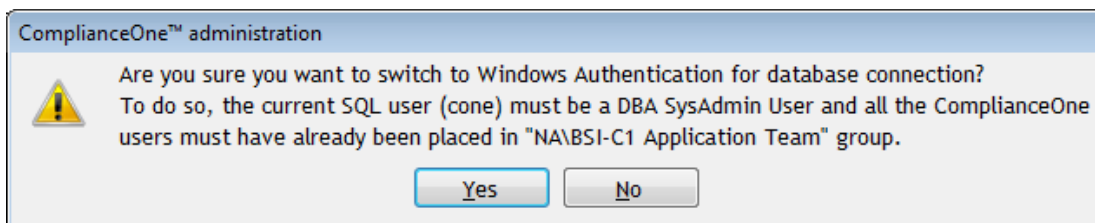


Choose **Windows Authentication**, then enter the **Domain** and **Group**. Click **OK**.

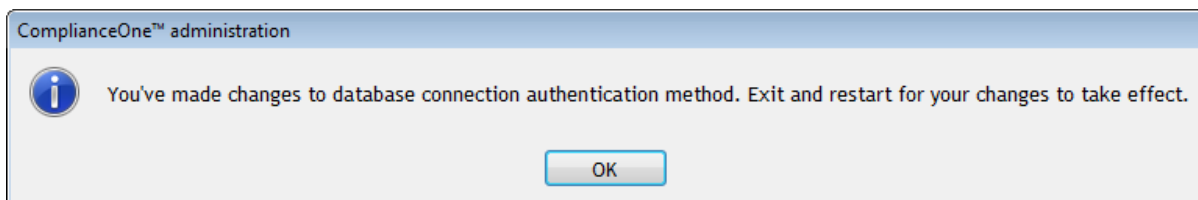
Note: You must be a DBA SysAdmin user in order to make this change. If you do not have these rights, the program will display the following message and will not allow you to continue.



If you are a DBA SysAdmin user, the following message displays, confirming that you wish to switch to Windows Authentication. Click **Yes** to continue.



The program then configures the authentication behind the scenes. When this process is complete, the following message displays. Click **OK** to continue.



Should the authentication fail for any reason (for example, the wrong group name is entered, etc.) the program will display a message containing the error details. Please note that this message provides information solely for the database connection authentication.

Appendix E: Proxy Server/Firewall Exceptions

Many ComplianceOne Interfaces require proxy server and firewall exceptions to function properly. The URLs below may need to be added to the exception list.

CBC Innovis Credit Bureau or Flood

<https://www.creditbureaureports.com/servlet/Presenter>

Clarke American Check Printing

<https://connectionpoint.clarkeamerican.com/cda/processformpost>

ComplianceOne mortgage

*.wolterskluwerfs.com

ComplianceOne OFAC

https://www.wizensentri.com:443/risk_id/riskId_WS

Deluxe OrderPro Check Printing

<https://dsx.deluxe.com/secure/dgpe.do?app=dgp>

<http://orderpro.deluxe.com/>

eFunds

<https://soap.penleyinc.com/penleysoap3/services/business>

<https://soap.penleyinc.com/penleysoap3/services/chexsystems>

Harland Clarke Check Printing

<https://branchprod.harland.net/servlet/null/servlet/com.harland.noah.security.SecurityServlet>

<HTTPS://vanweb.harland.net/integration/security>

HMDA

<https://www.wizenterprise.com/k2webservice>

*.godaddy.com

*.entrust.net

HOEPA

https://www.wizensentinel.com/PLMDetailXML/PLMXMLLogin.asp?Event=PLMXML_LOGIN

*.entrust.net

Kroll Credit Bureau

<https://c1ws.wolterskluwerfs.com/WoltersKluwerFS.ComplianceOne.KrollWS/KrollWS.asmx?wsdl>

<https://widow1.factualdata.com>

*.entrust.net

schemas.xmlsoap.org

ServiceLink National Flood (formerly LPS)

<https://PrMso20.floodedi.com>

Wolters Kluwer Financial Services Flood Determination Services (Formerly Known As FloodWiz)

<http://www.settlementservices.com/usds/index.asp>

in the GulfPak.ini under the ComplianceOne folder.

RiskID

<https://www.wizensentri.com/>

SDX

<https://pilot.secure-dx.com/dcx-sdx-ws/services/DCXService>

<https://sdx.secure-dx.com/dcx-sdx-ws/services/DCXService>

Home Counseling Agencies
<https://admin.wolterskluwerfs.com/>

How to Contact Us

Support Web Site

Visit our Software Support Web site for documentation downloads, training, or support information at the following location: <http://www.wolterskluwerfs.com/support/>

We believe you will find this to be a valuable and convenient source of support information as well as links to beneficial industry sites.

Downloading

To access the documentation as noted above and in the installation, go to our Software Support Web site, <http://www.wolterskluwerfs.com/support/>. Select Log In from the upper right corner. Enter your User Name and Password. If you are new to this site, register for a User Name and Password. Once you are logged in, follow the links for ComplianceOne documentation.

E-Mail

Questions related to the installation process may be sent to technicalsupport@wolterskluwer.com.

Phone

You can telephone our SupportLine technicians at 1-800-274-2711, ext. 1123660. Our support staff is available Monday through Friday, 7 A.M. to 7 P.M. CST. Voice mail operates continually, allowing you to leave us a message after hours and on weekends. To help us handle your question as quickly as possible, have these items available before you call:

- product name and version number
- customer number
- operating system and version number; service pack numbers, if installed

Fax

You may fax us at (320) 323-4848.