

| Testing & Education Investigation Summary Updated December 2017 | |
|--|---|
| Violations of the Rules of Conduct (ROC) by Test Takers | |
| Type of Violation | Outcome of Investigation |
| A test candidate brought notes written on his/her arms into the test center. | All state mortgage regulators were notified of the violation. |
| A test candidate hid his/her cell phone in the test center during the test. | All state mortgage regulators were notified of the violation. |
| A test candidate accessed his/her personal belongings and left the test center while on break. | The candidate's test result was invalidated in NMLS. |
| A test candidate took a long unscheduled break and left the test center. | The candidate's test result was invalidated in NMLS. |
| A test candidate accessed notes during the candidate's test session. | The candidate's test result was invalidated in NMLS and all state mortgage regulators were notified of the violation. |
| A test candidate accessed notes during the candidate's test session. | The candidate's test result was invalidated in NMLS and all state mortgage regulators were notified of the violation. |
| Violations of the Rules of Conduct (ROC) by Education Students | |
| Type of Violation | Outcome of Investigation |
| No violations to report | |
| Violations of the Standards of Conduct (SOC) by Course Providers | |
| Type of Violation | Outcome of Investigation |
| A course provider maintained an online study group site where test content was discussed. | The provider removed infringing posts from the site, added warning language to the site explicating prohibiting users from discussing test content and allows NMLS to monitor the site and its content. |
| Copyright Violations | |
| A test prep firm was selling materials that infringed upon NMLS copyrights. | The test prep firm took down the site. |