

# Firm User Guide

Last Updated 11/26/2018

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# Connecting to the Portal

Navigate your web browser to <https://ecmp.nebraska.gov/NDBF-QLA>. You will be presented with the following Login screen.

The screenshot shows the login interface for the Nebraska Department of Banking and Finance (NDBF). At the top, there is a navigation bar with the Nebraska state seal and the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL" and "Nebraska Department of Banking and Finance (NDBF)". A user status indicator shows "No one is logged in". Below this is the "NDBF Login" section with a link for "Instruction \ Details". The login form contains the following elements:

- User Name:** A text input field containing "N400#HR\*0K".
- CRD Number:** A text input field containing "500".
- reCAPTCHA:** A checkbox labeled "I'm not a robot" with a green checkmark, and a reCAPTCHA logo.
- Login Button:** A green button labeled "Login".

Four callout boxes provide additional information:

- User Name:** The User Name will have been emailed to you when you have new rosters to evaluate.  
**NOTE:** If your firm is IA and BD, individual User Names will be provided for each.
- CRD Number:** This is the CRD Number issued to your Firm.
- ReCaptcha:** Select this checkbox after entering your User Name and CRD Number. Follow any prompts presented until this checkbox has a green check in it.
- Login:** Click this Login button after the User Name, CRD Number AND ReCaptcha has been validated with a green checkmark.

# Possible Login Results

There are 3 possible results you may experience after attempting to Login:

- 1) **You are authenticated and presented with any open Employee Rosters** needing your review (More on this in another section of this guide).



The screenshot displays the Nebraska Enterprise Content Management Portal. The header includes the state seal, the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL", and "Nebraska Department of Banking and Finance (NDBF)". A user is logged in as "Welcome, N350#HR\*0K. [LOGOUT]". The main content area is titled "Attestation List" and shows details for "A Generic Firm" located at "123 EAST ST. LINCOLN NE, 68511" with a "Firm Type: BD". Below this, there is a table with three rows of attestations, each with a status of "NEEDS FIRM REVIEW" and an "Open" button for review.

Attest Id#	Date	Status	Review
38350783	06/01/2017	NEEDS FIRM REVIEW	<a href="#">Open</a>
38350767	05/01/2017	NEEDS FIRM REVIEW	<a href="#">Open</a>
38350752	04/01/2017	NEEDS FIRM REVIEW	<a href="#">Open</a>

2) You are authenticated **HOWEVER**, there are no open Employee Rosters needing review.

The screenshot shows a web browser window with the URL [https://ecmp.nebraska.gov/NDBF-QLA/NDBF\\_QLA/DisplayAttestationList](https://ecmp.nebraska.gov/NDBF-QLA/NDBF_QLA/DisplayAttestationList). The page header includes the Nebraska Department of Banking and Finance (NDBF) logo and the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL". Below the header, the user is logged in as "Welcome, L350%IC\*0K. [LOGOUT]". The main content area is titled "Attestation List" and displays a table with one entry: "A Generic Firm" located at "123 EAST ST. LINCOLN NE, 68511" with a "Firm Type: BD". Below the table, there is a link for "Instruction \ Details" and a large grey box containing the text "No open Attestations for review".

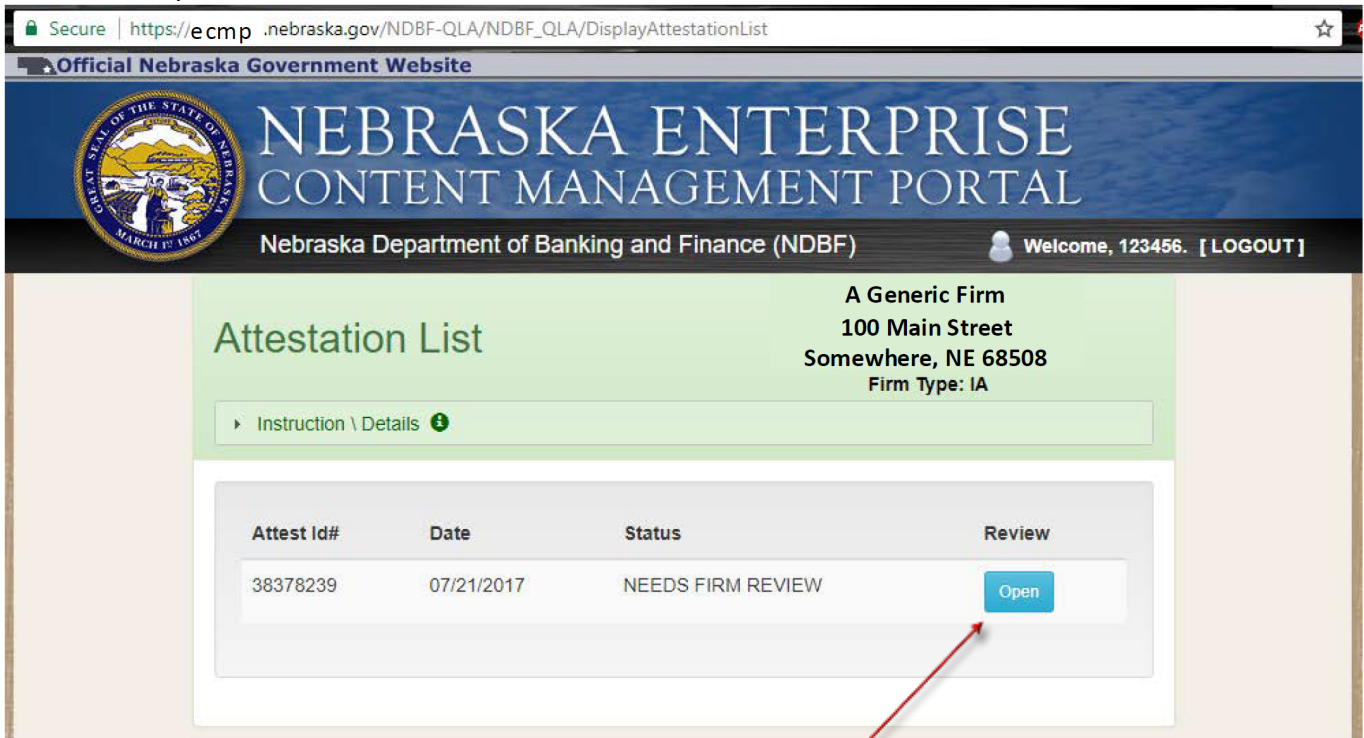
3) You are **NOT** authenticated due to a User Name or CRD error. It might also be possible that the User Name has expired. Please check that the User Name has been entered correctly. If expired, (over 30 days old) contact your representative at NDBF to have a new User Name issued.

The screenshot shows a web browser window with the URL [https://ecmp.nebraska.gov/NDBF-QLA/NDBF\\_QLA/DisplayFirmSearchError](https://ecmp.nebraska.gov/NDBF-QLA/NDBF_QLA/DisplayFirmSearchError). The page header is identical to the previous screenshot, showing the NDBF logo and the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL". The user is logged in as "Welcome, N400#HR\*0K. [LOGOUT]". The main content area is titled "Firm Search Error" and contains the following text: "No firm was found associated to the Firm CRD Number and the UserName that was submitted. Please check the desired Firm's CRD Number, verify the UserName is authorized to process Attestations and click the link below to log in again." Below this text is a button labeled "New Login".

# Attestation Roster List page

After you have been authenticated, you will be presented with the **Attestation List** view. Here, you will see any open rosters (rosters with employee statuses that require attestation).

For example:



The screenshot shows a web browser window with the URL [https://ecmp.nebraska.gov/NDBF-QLA/NDBF\\_QLA/DisplayAttestationList](https://ecmp.nebraska.gov/NDBF-QLA/NDBF_QLA/DisplayAttestationList). The page header includes the Nebraska Department of Banking and Finance (NDBF) logo and the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL". Below the header, the user is logged in as "Welcome, 123456. [LOGOUT]". The main content area is titled "Attestation List" and displays information for "A Generic Firm" located at "100 Main Street, Somewhere, NE 68508" with a "Firm Type: IA". A table below the header shows the following data:

Attest Id#	Date	Status	Review
38378239	07/21/2017	NEEDS FIRM REVIEW	<a href="#">Open</a>

**To view the employees** on this particular roster: Click this Open button.

**Note:** There may be one, or many, open rosters in this list. However, only one NEW roster gets created in a given month. Employees appearing on any previous month's roster(s) will NOT appear on any new roster for a given month. If an employee remains unattested on a roster, that roster will remain in this list until all employees have been accounted for.

# Attestation Roster Review Page

The Attestation Roster Review page will list the employees requiring attestation. The next few pages will cover the options for attesting for each employee and also the requirements that need to be met in order to successfully submit a completed or partially completed roster.

The screenshot shows a web browser window with the URL [https://ecmp.nebraska.gov/NDBF-QLA/NDBF\\_QLA/OpenAttestation/38350752](https://ecmp.nebraska.gov/NDBF-QLA/NDBF_QLA/OpenAttestation/38350752). The page header includes the Nebraska Department of Banking and Finance (NDBF) logo and the text "NEBRASKA ENTERPRISE CONTENT MANAGEMENT PORTAL". The user is logged in as "Welcome, N350#HR\*0K. [LOGOUT]".

The main content area is titled "Attestation Review" and shows details for "A Generic Firm" with the following information:

- 04/01/2017
- Firm CRD: 999999999
- Firm Type: BD

There is a link for "Instruction \ Details" with an information icon. Below this is a "Make All US Citizens" button. The main table lists the following employees:

CRD	Name	Eff. Date	Status
100001	User, One	07/22/2012	-- select --
100002	User, Two	10/02/2015	-- select --
100003	User, Three	02/10/2015	EXEMPT
100004	User, Four	03/02/2014	TERMINATED
100005	User, Five	09/17/2016	US CITIZEN

Each row in the table includes an "Attested:" date (08/07/2017) and a "By:" field (TEST REVIEWER). Below the table is a checkbox for attestation and a text input field for the reviewer's name. A "Submit Updated Attestation" button is located at the bottom of the form.

A few things to note regarding the Roster Review:

- 1) **The maximum number of employees on any given roster will be 50.** If there are more than 50 employees needing to be reviewed in any given month, a second roster will be automatically created for you. One roster, per month, for every 50 employees.
- 2) **Rosters CAN BE PARTIALLY COMPLETED and submitted**, to be finished at a later time or date. When a partially completed roster is reopened for further work, the previously reviewed employees will appear at the bottom of the list with their date, status and the reviewer's name.
  - a. *If an employee's status needs to be changed from a previously submitted roster, please contact NDBF to have that employee released back to you for status editing.*
- 3) **If it is known that all included employees on a roster are US Citizens**, a button has been provided to automatically set the status of all employees to US Citizen.

Roster Review Page requirements:

- 1) **If employee status "Exempt" is selected**, there will be an input box that come up to enter an exemption reason. This cannot be blank in order for the roster to be saved or submitted.

100001 User, One 07/22/2012 Exempt

Comment (optional) Exemption Reason (required)

- 2) **If employee status "QLA" is selected**, there will be an upload box that come up select and upload the appropriate supporting documents. The "Citizen Attestation Form" is REQUIRED to be uploaded first, followed by the other necessary supporting documents.

100001 User, One 07/22/2012 QLA

Comment (optional) Citizen Attestation Form and 1 other upload REQUIRED -- select -- Upload

100001 User, One 07/22/2012 QLA

Comment (optional) Citizen Attestation Form and 1 other upload REQUIRED -- select -- Upload

Uploaded: Citizenship Attestation View Del

Uploaded: Foreign Passport View Del



3) The checkbox and name of Reviewer at the bottom of the roster **MUST** be completed.

By checking this box and entering my name, I hereby attest on behalf of the firm that these responses and the information provided are true, complete, and accurate. I further attest that the firm verified the status of each individual listed, and has appropriately remitted additional documentation on each individual identified as a Qualified Legal Alien to the Nebraska Department of Banking and Finance. I understand this remittance and the information provided may be used to verify the lawful presence of any individual by the Nebraska Department of Banking and Finance.

Typed name of Reviewer:

[Submit Updated Attestation](#)

**If any of these requirements are not met**, the roster will not save and the missing items will be highlighted in red. If you click “Submit Updated Attestation” and the form does not redirect you to the “Attestation List” page, please scroll through the form to confirm that these requirements have been met.