



WHOLESALE MORTGAGE BANKERS

Broker Annual Recertification

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NMLS #: _____ Account Executive: _____

Legal Entity Name: _____

DBA (if applicable): _____

Street: _____

City: _____ State: _____ Zip Code: _____

Email: _____ Phone: _____

1. Has Ownership in the company changed in the last 12 months? Yes
If yes, please submit an updated Broker Agreement and Owner/Broker Credit Report. No
2. Has Broker of Record for the company changed in the last 12 months? Yes
If yes, please submit an updated Broker Agreement and Owner/Broker Credit Report. No
3. Have there been any managerial changes in the structure of the company in the last 12 months? Yes
If yes, please submit an updated Company Organization Chart. No
4. Have you been a Defendant in any lawsuit related to a loan transaction in the last 12 months? Yes
If yes, please submit a complete and detailed Letter of Explanation and any supporting documentation. No
5. Have you ever been subject to disciplinary action by a local, state, or federal regulatory agency? Yes
If yes, please submit a complete and detailed Letter of Explanation and any supporting documentation. No

Required Documents

- Previous Year and Current Year to Date P&L Statement and Balance Sheet
(1) Must be signed and dated (2) Minimum net asset of \$50,000 required
- Broker Agreement
If answer is "Yes" to Question #1
- Owner/Broker Credit Report
If answer is "Yes" to Question #2
- Company Organization Chart
If answer is "Yes" to Question #3



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Authorization to Release Information

The undersigned hereby certified and affirms he/she is duly qualified and empowered to execute this document on behalf of Mortgage Brokerage as its authorized representative. The undersigned authorizes Wholesale Mortgage Bankers to obtain any necessary information and/or request additional information from the Mortgage Brokerage as needed.

Certifications

I/We certify that Mortgage Brokerage is in good standing with all applicable regulatory agencies and is not involved in any litigation alleging fraud, misrepresentation, or dishonest acts. I/We confirm that all information in this application is true and correct to induce Wholesale Mortgage Bankers to provide financing for our clients.

Name: _____

Title: _____

Signature: _____

Date: _____