

**Annual Recertification Submission Checklist**

Company Name		Date
Broker Contact	Account Executive:	

***Required Documents***

- Mortgage Broker Annual Recertification Checklist
- Mortgage Broker Annual Recertification Form
- Updated License Information
- Signed and Dated Most recent P & L Statement and Balance Sheet
- 3 or more References from Wholesale Lenders with Whom You Are Approved



## MORTGAGE BROKER ANNUAL RECERTIFICATION

Company Information			
Legal Name of Entity :			
Doing Business As :			
Street Address (No P.O. Box) :			
City:	State:	ZIP Code:	
Phone:	Fax:	Company E-mail:	
Contact Person:		Contact E-mail:	
Type of Business: <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Corp. <input type="checkbox"/> S. Corp. <input type="checkbox"/> Partnership <input type="checkbox"/> LLC <input type="checkbox"/> LLP <input type="checkbox"/> LP <input type="checkbox"/> LTD			
Date Incorporated:		County:	State:
Federal ID No:		If no Federal ID #., Broker SSN:	
License/Approval			
Broker of Record :		License # :	
Broker NMLS #:		Date Issued:	
Company NMLS #:		Expiration Date:	
<i>If licensed approved by any of the following entities, the following information is required.</i>			
FHA/HUD No.:		Date Approved:	
Veterans Affairs No:		Date Approved:	
Fannie Mae No:		Date Approved:	
Freddie Mac No:		Date Approved:	
Principal(s) / Senior Officer(s) / Manager(s)			
Name	Title	SSN #	Percent Owned
			%
			%
			%
			%
References: (List All FNMA/FHLMC Wholesale Lenders with Whom You Are Approved)			
Company	Contact Person	Email address	
Disciplinary Actions			
Does your company have an internal audit system to verify authenticity of the information contained in your loan? If yes, please attach documentation.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have your company ever been suspended from brokering loans to lender? If yes, please attach a complete explanation.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have you ever been removed from a Lender's / Investor's Approved Mortgage Brokerage list? If yes, please attach a complete explanation and supporting documentation, if applicable.		<input type="checkbox"/> Yes	<input type="checkbox"/> No



## MORTGAGE BROKER ANNUAL RECERTIFICATION

Have you ever been a Defendant in a Lawsuit Initiated by a Lender, Investor, or any party involved in a loan transaction? If yes, Please attach a complete detailed explanation and supporting documentation.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have you ever been disciplined by a local, state or federal regulatory agency? If yes, Please attach a complete detailed explanation and supporting documentation.	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Productions**

Product Type	Year to Date Volume		Previous Year's Volume	
	Dollar Amount	% of Total	Dollar Amount	% of Total
FNMA / FHLMC "A" Paper	\$	%	\$	%
Jumbo "A" Paper	\$	%	\$	%
FHA	\$	%	\$	%
VA	\$	%	\$	%
Other	\$	%	\$	%
<b>Total</b>	<b>\$</b>	<b>%</b>	<b>\$</b>	<b>%</b>

Volume Mortgage Brokerage expects to submit to NMSI per month : \$

**Professional Organizations**

Please check the organizations of which you are a member in good standing:     NAMB                       MBA

Others:

**Authorization to Release Information**

The undersigned applicant(s) authorize(s) the release to NMSI of any and all Information(s) about the applicant(s) deemed necessary by NMSI. The applicant(s) also agree(s) that NMSI, from time-to-time, may request and secure additional information from mortgage brokerage.

**Certifications**

I/We hereby certify that Mortgage Brokerage is in good standing with any all applicable regulatory agencies. I/We further certify that said Mortgage Brokerage is not a defendant in any litigation alleging fraud, misrepresentation or dishonest acts. For the purpose of inducing NMSI to provide financing for clients of the undersigned, I/We certify that all information contained in this Mortgage Brokerage application is true and correct.

Signature	Date	Signature	Date
Broker (Company) of Record (Print)		Principal / Senior Officer (Print)	
Signature	Date	Signature	Date
Principal / Senior Officer (Print)		Principal / Senior Officer (Print)	

**NMSI USE ONLY**

NMSI R/O Code#	Acct. Exec.:	Broker ID:
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