



WINPRIME LENDING

MORTGAGE BROKER ANNUAL RECERTIFICATION

Company Name: _____ Tax ID: _____

DBA Name (if applicable): _____

Address: _____ City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

Contact Person: _____ Email: _____

Company Type: Corporation Partnership Sole Proprietorship LLC

Incorporation Date: _____ County: _____ State: _____

Broker of Record: _____ License Number: _____

Broker NMLS #: _____ Company NMLS #: _____

FHA / HUD ID: _____ Fannie Mae: _____ Freddie Mac: _____

PRODUCTION HISTORY		
Product Type	Year to Date Volume Dollar Amount	Previous Year's Volume Dollar Amount
FNMA / FHLMC "A" Paper	\$	\$
Jumbo "A" Paper	\$	\$
FHA	\$	\$
Non QM	\$	\$
Other	\$	\$

GENERAL INFORMATION

(Please Answer All Questions)

1. Does your company have a compliance program that monitors your company's compliance with all laws, Regulations, and guidelines applicable to its business? Yes No
2. Is the Mortgage Banking/Real Estate Broker license of applicant, any owner or principal or broker of record currently in good standing with all state and regulatory agency? Yes No
3. Is the Broker of Record actively engaged in the close supervision and control of activities conducted on behalf of Company, including supervision of salesperson licensed to the Company in the performance of acts in which a Real Estate license is required? Yes No
4. Has any agency's, investor's, or mortgage insurer's audit in the last 3 years show your company to be out of compliance with any guidelines? Yes No
5. Has your company had any material change in its financial position or ownership since the date of the financial statements provided herein? Yes No
6. Has your company been required to purchase any mortgage loans from a lenders or investors within the last 3 years? Yes No
7. Has your company or any principal filed bankruptcy or had charge-offs? Yes No
8. Has your company, owner(s), principals, and/or corporate officers have ever been involved or is currently involved in any litigation? Yes No
9. Has your company ever been suspended or terminated from brokering or selling loans to other lenders or investors? Yes No
10. Does licensee, owner(s) or principal(s) have affiliation with an Escrow company? Yes No
11. Does licensee, owner(s) or principal(s) have affiliation with a Title company? Yes No
12. Does licensee, owner(s) or principal(s) have affiliation with an Appraisal company? Yes No
13. Does licensee, owner(s) or principal(s) have affiliation with any Other company? Yes No

14. Have you ever been suspended by HUD or any other governmental agency? Yes No
15. Have your Company, owner(s) and/or principals or corporate officers, had a real estate or other professional license sanctioned, suspended or revoked, or received any other disciplinary action from the Department of Real Estate or any other regulatory agency? Yes No
16. Has your company moved within the past year? If yes, please provide an updated W-9. Yes No
17. Has any Ownership in your company changed in the past 12 months? Yes No
18. Has Broker of Record in your company changed in the past 12 months? Yes No

For YES answer on Questions 4-16, an explanation and/or appropriate documentation must be attached

For YES answer on Question 17 or 18, please complete a New Mortgage Broker Agreement

CERTIFICATION

The Broker of Record or Owner hereby certifies that all information provided is true and accurate and that no material changes have occurred that would impact their approval with WinPrime Lending. The Broker or Record or Owner also authorizes WinPrime Lending to perform all necessary background checks. The Broker of Record or Owner hereby releases and hold harmless WinPrime Lending, and third party vendors assisting with verification of information or documentation provided (including, without limitation, and background search) from and against all liability for claims damages, losses, costs and expenses of any kind whatsoever that may arise from such verification efforts or the use or reporting of any information obtained in the course of such verification efforts.

Documentation Requirements:

- Mortgage Broker Annual Recertification
- Current P&L and Balance Sheet
- Authorization Form (For Broker of Record and all Owner(s) owning 10% or more of the company)
- Quality Control Plan
- Lender or Investor Scorecards (if applicable)

Broker of Record/Owner

Date

AUTHORIZATION FORM

Required to be executed by broker of record and all owners with 10% or more ownership.

PLEASE COMPLETE THE INFORMATION BELOW AND CERTIFY THE FOLLOWING:

I certify that I am duly authorized to complete this application and grant consent on behalf of the firm named herein for the purposes of applying to become a WinPrime Lending Business Partner. I certify all information contained in this Application for Business Partner Approval is true and correct in all respects. By signing below, I hereby give WinPrime Lending authorization to obtain and/or verify information, including a credit report for the company and all executive officers and/or owners from any source regarding this application. WinPrime Lending is also authorized to submit the name of the company and all employees of the company for screening through any and all mortgage industry background databases. The undersigned hereby releases, discharges and exonerates any person or entity providing information to WinPrime Lending in connection with this application and any recipient of such information, including Winprime Lending or its representatives, from any and all liability of every nature and kind arising from or in connection with the furnishing, receipt, and review of such information.

Company Name: _____ Tax ID: _____

Address: _____

Broker Name (First & Last): _____ SSN: _____

Title: _____ Date of Birth: _____

Phone Number: _____ % Company Owned: _____

Residence Address: _____

Signature Required: _____

Owner Name (First & Last): _____ SSN: _____

Title: _____ Date of Birth: _____

Phone Number: _____ % Company Owned: _____

Residence Address: _____

Signature Required: _____

Owner Name (First & Last): _____ SSN: _____

Title: _____ Date of Birth: _____

Phone Number: _____ % Company Owned: _____

Residence Address: _____

Signature Required: _____

Owner Name (First & Last): _____ SSN: _____

Title: _____ Date of Birth: _____

Phone Number: _____ % Company Owned: _____

Residence Address: _____

Signature Required: _____