



**SECRETARY OF
STATE
STATE OF INDIANA
Securities Division**

CONNIE LAWSON
SECRETARY OF STATE

ALEX GLASS
SECURITIES COMMISSIONER

LOAN BROKER EXAMINATION QUESTIONNAIRE

(This form may be filled by hand or electronically. Attach additional pages or create additional lines on the form as needed for any section.)

1. Does the Loan Broker operate at a residential or commercial place of business or both?

Residential (R) Commercial (C) Both

Provide complete addresses for all locations, residential and commercial that the Loan Broker operates a place of business.

Address	City	State	Zip	R or C
Address	City	State	Zip	R or C

2. Does the Loan Broker operate any Branch Locations? Yes No

If Yes, provide full name and NMLS # of the Principal Manger at each location.

Last Name	First Name	MI	NMLS #
Last Name	First Name	MI	NMLS #

3. Does the Loan broker have the authority to act as a lender? Yes No

If Yes, provide DFI License # _____

4. Does the Loan Broker employ any independent contractors (Processors, Underwriters)? Yes No

If Yes, provide full company/individual name and NMLS #

Company Name	Ind. Last Name	Ind. First Name	Ind. MI	NMLS #
Company Name	Ind. Last Name	Ind. First Name	Ind. MI	NMLS #

5. How many employees does the Loan Broker currently employ and in what roles?

Employee Role	# Employees
Employee Role	# Employees
Employee Role	# Employees

6. Has any employee of the Loan Broker been discharged for cause or allowed to resign for cause in the past two (2) years? Yes No If Yes, provide details below:

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7. Is the Loan Broker or any of its ultimate equitable owners, principal managers, or originators:
- Affiliated with any other Loan Broker? Yes No
 - Affiliated with any Real Estate Broker, Agent, or Company? Yes No
 - Affiliated with any Title Company, Appraiser, or Appraisal Management Company? Yes No
- If Yes to any of the above, provide complete names of those involved and explain relationship.

Last Name	First Name	MI	Relationship
Last Name	First Name	MI	Relationship
Last Name	First Name	MI	Relationship

8. Does the Loan Broker offer any other services? Yes No
 If Yes, what are the services offered and what is the relationship to the principal loan broker business?

9. Are loan files stored at any locations other than the principal office, including server backup sites?
 Yes No If Yes, provide the complete address for each location below:

Address	City	State	Zip
Address	City	State	Zip
Address	City	State	Zip

10. In what format(s) are the loan file documents stored? _____

Provide details of storage method

11. How does the Loan Broker protect the personal information of borrowers and prospective borrowers?

Provide details

12. How does the Loan Broker dispose of the personal information of borrowers and prospective borrowers?

Provide details

13. What lenders does the Loan Broker use? List *every* lender with which the Loan Broker has contracted to originate loans. (Attach an additional page if necessary.)

Name of Lender	Address	City	State	Zip	Current Broker Comp
Name of Lender	Address	City	State	Zip	Current Broker Comp
Name of Lender	Address	City	State	Zip	Current Broker Comp
Name of Lender	Address	City	State	Zip	Current Broker Comp
Name of Lender	Address	City	State	Zip	Current Broker Comp

14. Does Loan Broker business share any bank accounts with any other businesses or individuals?

Yes No

If Yes, what business and individual(s)? Provide details below:

Business/Individuals
Business/Individuals

15. Does the Loan Broker maintain a written compliance program, including handling customer complaints?

Yes No

If No, provide explanation:

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16. Does the Loan Broker maintain a written quality control program? Yes No

If No, provide explanation:

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17. Does the Loan Broker maintain a written Red Flag program? Yes No

If No, provide explanation:

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18. Does the Loan Broker use any of the following for marketing and advertising purposes?

(Check all that apply)

- | | |
|---|--|
| <input type="checkbox"/> Internet / Social Media | <input type="checkbox"/> Telemarketing |
| <input type="checkbox"/> Facebook <input type="checkbox"/> LinkedIn <input type="checkbox"/> Instagram <input type="checkbox"/> Other | <input type="checkbox"/> Third Party Referrals |
| <input type="checkbox"/> Newspapers / Periodicals | <input type="checkbox"/> Sales Presentations |
| Which Ones: _____ | |
| <input type="checkbox"/> Flyers | |

Other _____

19. Does the Loan Broker have a web site? Yes No

If Yes, list web address: _____

How often is the site updated? _____

When was the most recent update? _____

20. If the Loan Broker has a website, does the broker accept online loan applications? Yes No

Built-in or Purchased web app If purchased, which one?

21. How does the Loan Broker obtain the majority of its clients? Provide details including % of business from each source:

Source	Percentage of Business
Source	Percentage of Business
Source	Percentage of Business
Source	Percentage of Business

22. Does the Loan Broker have any questions for the Examiner? Yes No

If Yes, list questions below:

SIGNATURE

I swear or affirm, under the penalties of perjury, that the foregoing representations contained within this Loan Broker Questionnaire are true.

Signature

Job Title

NMLS#

Printed Name

mm/dd/yyyy