|  |  |  |
| --- | --- | --- |
|  | **SECRETARY OF STATE**  **STATE OF INDIANA**  **Securities Division** |  |
|  |  |  |
| **Diego Morales** **Secretary of State** |  | **Marie Castetter**  **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. This should include home office locations that are not licensed branch offices.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Address** | **City** | **State** | **Zip** | **R or C** |
| **Address** | **City** | **State** | **Zip** | **R or C** |

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

If Yes, provide full name and NMLS # of the Branch Manager at each location.

|  |  |  |  |
| --- | --- | --- | --- |
| **Last Name** | **First Name** | **MI** | **NMLS #** |
| **Last Name** | **First Name** | **MI** | **NMLS #** |

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

If Yes, provide DFI License #

1. 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 #** |

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

|  |  |
| --- | --- |
| **Employee Role** | **# Employees** |
| **Employee Role** | **# Employees** |
| **Employee Role** | **# Employees** |

1. 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:

|  |
| --- |
|  |

1. Is the Loan Broker or any of its ultimate equitable owners, principal managers, or originators:
2. Affiliated with any other Loan Broker?  Yes  No
3. Affiliated with any Real Estate Broker, Agent, or Company?  Yes  No
4. 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** |

1. 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?

|  |
| --- |
|  |

1. 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** |

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

|  |
| --- |
| **Provide details of storage method** |

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

|  |
| --- |
| **Provide details** |

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

|  |
| --- |
| **Provide details** |

1. 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** |

1. 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** |

1. Does the Loan Broker maintain a written Compliance Program that includes such policies as Handling Customer Complaints, AML/SAR, SAFE Act, Advertising & Mktg., Fair Lending, Hiring, etc.?  Yes  No Please list all policies and procedures currently in place. If NONE, provide explanation.

|  |
| --- |
|  |

1. Does the Loan Broker maintain a written loan file Quality Control Program?  Yes  No

If No, provide explanation:

|  |
| --- |
|  |

1. Does the Loan Broker maintain a written Red Flag Policy & Procedure? (Identity Theft)  Yes  No

If No, provide explanation:

|  |
| --- |
|  |

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

(Check all that apply)

|  |  |  |  |
| --- | --- | --- | --- |
| Internet / Social Media  Facebook  LinkedIn  Instagram  Other | | Telemarketing | |
| Newspapers / Periodicals  Which Ones:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | Third Party Referrals | |
| Flyers | | Sales Presentations | |
| Other |  | |

1. 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?

1. 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?

1. 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** |

1. 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