

Broker/Lender Application

1. General			
Company's Legal Name			
Doing Business As			
Address	City	State	Zip Code
Phone Number ()	Fax Number ()	Tax Payer Identifying Number	
Business Type (Sole Proprietorship/Partnership/Corporation)	Company is organized and exists under the laws of (state)		Date Organized
Please provide a list of branch offices as an attachment.			

2. Principal Officers					
Name	Title	Social Security Number	Percent of Ownership	Years at Company	Years in Industry

3. Primary Contacts	
Name	Telephone Number ()
Name	Telephone Number ()

4. Volume					
Conventional	\$ Amount	Number of Loans	Government	\$ Amount	Number of Loans
Last Year	\$			Last Year	
Year-to-Date	\$			Year-to-Date	
Projected	\$			Projected	

5. Primary Markets—List by City / State or County / State and include all states in which you origi-

6. Closing - Transfer of Title, including disbursement of funds and recording of documents, is usually handled
<input type="checkbox"/> Escrow Company <input type="checkbox"/> Title Insurance Company <input type="checkbox"/> Attorney for Buyer <input type="checkbox"/> Attorney for Seller
<input type="checkbox"/> Other _____

7. Declarations—if the answer to any of these questions is yes, please attach an explanation.
Has this company ever been required to repurchase a loan by any of its investors? <input type="checkbox"/> No <input type="checkbox"/> Yes Has this company, or any of its principals, ever been investigated or disciplined for misconduct by any regulatory agency? <input type="checkbox"/> No <input type="checkbox"/> Yes Has this company, or any of its principals, ever been suspended by a wholesaler? <input type="checkbox"/> No <input type="checkbox"/> Yes Is there any pending litigation with this company or any of its principals? <input type="checkbox"/> No <input type="checkbox"/> Yes Has this company, or any of its principals, had any formal complaints filed against it with any state official in the past three years? <input type="checkbox"/> No <input type="checkbox"/> Yes Have any of this company's principals ever been convicted of a felony? <input type="checkbox"/> No <input type="checkbox"/> Yes Does this company have any affiliated businesses? <input type="checkbox"/> No <input type="checkbox"/> Yes Is this company, or any of its principals, a member of the Mortgage Banker's Association or Association of Mortgage Brokers? <input type="checkbox"/> No <input type="checkbox"/> Yes
If yes, provide the name the membership(s) is(are) in and the name of the association _____ _____

8. References—List three wholesalers that you have sold service—released loans to in the past 12 months.		
Name of Firm	Name and Title of Contact Person	Telephone Number ()
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List other references such as MI companies (attach additional paper, if necessary).		
Name of Firm	Name and Title of Contact Person	Telephone Number ()

9. Please attach copies of the following documentation.
<input type="checkbox"/> Company's complete, audited financial statements (include fiscal year-end for the past two years) with Balance Sheet - if available, or unaudited signed by Officer of Corporation. <input type="checkbox"/> Articles of Incorporation/Corporate Resolution/Partnership Agreement, etc., as applicable. <input type="checkbox"/> Resumes of principal officers and processing staff <input type="checkbox"/> Copy of appropriate Broker/Business License(s) for all states in which you originate mortgage loans. <input type="checkbox"/> Copy of business' fully executed "Request for Taxpayer ID Number and Certificate (IRS Form W-9). List of Affiliated businesses, if any.

I hereby certify that the information provided with regards to this application is true and accurate. It is understood that Santa Cruz Home Finance will make reference inquiries and that it may verify any information contained in this application by inquiries through public and private sources. (This may include business and/or personal credit reports.) It is further understood that Santa Cruz Home Finance is not bound in any matter, nor under any obligation to the applicant, until the application is approved in writing and the broker agreement is fully executed. As a condition of Santa Cruz Home Finance's acceptance of this application, the undersigned agrees that any documentation provided by Santa Cruz Home Finance is for the undersigned's review only, and that the undersigned will make no reproduction of such documents unless the undersigned is approved by Santa Cruz Home Finance as a wholesale lender and elects to enter into the Broker agreement.

Signature of Principal	Date	Print Name	Title
Signature of Principal	Date	Print Name	Title
Signature of Principal	Date	Print Name	Title