



# Mini-Correspondent Required Items for Application

Revised 7/24/2018

REQUIRED ITEMS FOR APPLICATION		
Signed Correspondent Loan Purchase Agreement	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Last two years audited financial statements (if not publicly available)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Current interim financial statements (applicable only if not publicly available)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
E & O Insurance and Fidelity Bond (complete copy of policy)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
W-9	<input type="checkbox"/> Yes	<input type="checkbox"/> No
NMLS Company ID	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Copies of all agency approvals (including FHA/VA/USDA approval letters, etc.) and investor approvals or recent report cards, if available.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Copy of Quality Control procedures or the executed contract with outside Quality Control Firm	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Results of the last Quality Control Audit with Management's response to the audit	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Resumés of Principals, Partners, Directors, Controller, Operations and Underwriting, Managers <ul style="list-style-type: none"> <li>Reflecting current responsibilities and length of time in the industry</li> </ul>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Resolution of Board of Directors OR Corporate Resolution (If applicable) <ul style="list-style-type: none"> <li>Signed and dated</li> </ul> <b>Note:</b> These documents are enclosed in your Seller Application Package	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Appraisal Independence Requirements (AIR) policy and procedures	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Compliance Management and Fair & Responsible Lending Policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
MLO Compensation/Anti-Steering Regulations and Safe Act Compliance Policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Fraud Control and Anti-Money Laundering Policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Privacy Policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Information Security (or SSAE16) Policy	<input type="checkbox"/> Yes	<input type="checkbox"/> No

This information is published and/or provided by Plaza Home Mortgage, Inc. as a courtesy to its clients and is meant for instructional purposes only. None of the information provided is intended to be legal advice in any context. Plaza makes every effort to provide accurate information. Plaza does not guarantee, warrant, ensure or promise that it is correct, and any effort to blame Plaza if this information proves to be incorrect will be vigorously defended. Each client is highly encouraged to seek the advice of legal counsel prior to distributing any of the information provided herein. Any unauthorized use, dissemination or distribution of this document is strictly prohibited.

Plaza Home Mortgage, Inc. is an Equal Housing Lender. This is not a commitment to lend. Information is intended for mortgage professionals only and is not intended for public use or distribution. Terms and conditions of programs are subject to change at any time. Refer to Plaza's underwriting and program guidelines for loan specific details and all eligibility requirements. © 2019 Plaza Home Mortgage, Inc. Plaza Home Mortgage and the Plaza Home Mortgage logo are registered trademarks of Plaza Home Mortgage, Inc. All other trademarks are the property of their respective owners. All rights reserved. Plaza NMLS #2113.

