



Third Party Processor Application and Certification

Referred by (List Broker/Lender Name):	
Company Legal Name:	D/B/A Name (if different):
Principal(s) Full Name(s):	
Company Address:	
Telephone:	E-Mail Address:
Date Established:	State(s) Company Licensed for Processing:
Company NMLS #:	Principal NMLS #:
If NMLS registration is associated with mortgage broker or mortgage lender under state law, please provide the name of the broker or lender:	
FLCB Account Executive:	

References: (Please indicate number of years you have been approved to do business with each firm.)

Top Three Client Names	Years	Contact Person	Email Address

Certification Questions:

For a "No" answer, NMLS # is required for each processor.	YES	NO
Do you perform clerical or support duties at the direction of and subject to the supervision and instruction of an individual who is either licensed or registered?		
For any "Yes" answers, provide an explanation and documentation.	YES	NO
Has your company or its principals been a defendant in any legal proceeding in the past seven years related to the real estate industry?		
Has your company or its principals been subject to a suspension, debarment, or under a Limited Denial of Participation (LDP), excluded from participating in U.S. Department of Housing and Urban Development (HUD) programs through the System for Award Management (SAM/GSA), or the Federal Housing Finance Agency (FHFA) Suspended Counterparty Program list?		
Has your company, or its principals been refused, restricted, suspended, or revoked any license necessary to conduct normal operations by any regulatory, licensing agency, body, or authority FNMA, FHLMC, GNMA, HUD, USDA, VA?		
Has your company ever had any adverse findings in any audit or examination conducted by any regulatory, licensing agency, body, authority, any federal or state agency, FNMA, FHLMC, GNMA, HUD, USDA, VA in the past seven years?		

For any "No" answers, provide an explanation and documentation.	YES	NO
Do you certify that the Company is not affiliated with any mortgage broker or mortgage lender for which it provides loan processing services? <i>"Affiliated" means the Company or any mortgage broker or lender for which the Company provides loan processing services share common control or ownership, or any of the Company's principals are related to one or more of the mortgage broker/lender principals.</i>		
Does your company have the ability to protect borrower personal and confidential information from illegal access by others outside of the transaction?		
Does your company provide training for your employees to be knowledgeable as to federal, state, regulatory policies and procedures required to participate in the different programs for which your company provides services to our institution?		
Does your company conduct audits on the services/products offered to our company for quality control, risk and compliance?		
Does your company have a current Business Continuity and Disaster Recovery and Incident Response Plan?		
Artificial Intelligence and Machine Learning: Has the company established a governance framework for the responsible development, deployment and oversight of artificial intelligence (AI) and machine learning (ML) systems. If not applicable type N/A. _____		

**** If the Company becomes affiliated with a mortgage broker or mortgage lender in the future, I understand and agree that the Company will no longer be eligible to process loan applications for FLCBank.**

By signing below, I certify, represent and warrant that I am duly authorized to bind the Company to the certifications herein and have direct knowledge of the facts attested herewith.

Signature of Authorized Representative: _____ Date: _____

Printed Name of Authorized Representative: _____