

Seller Annual Recertification

NMLS #: _____ Account Executive: _____

Company Name: _____

Address: _____

- | | | |
|--|-----|----|
| 1. Has your company moved within the past year? If yes, please provide an updated W-9 | Yes | No |
| 2. Has ownership in your company changed since you were approved with Nations Direct Mortgage? If so, please provide updated Articles of Incorporation/Operating Agreement and Authorization Form. Note: Additional information may be required. | Yes | No |
| 3. Have there been any material changes in the structure of your company? | Yes | No |
| 4. Is your company or owners subject to any bankruptcy proceedings? | Yes | No |
| 5. Has your company, owner(s), or employee(s) been sanctioned or disciplined by any state or regulatory agency? | Yes | No |
| 6. Is your company or owner(s) involved in any pending litigation? | Yes | No |
| 7. Has your approval with any Agency or Invest ever been canceled or suspended? | Yes | No |

The seller hereby certifies that all information provided is true and accurate and that no material changes have occurred that would impact their approval with Nations Direct Mortgage. The seller also authorizes Nations Direct Mortgage to perform all necessary background checks.

Documentation Requirements	
Annual Recertification Form	
Employee Hiring Policy Certification Addendum to NDC Agreement	
Employee Roster (If any new team members that have been added that needs credentials)	
Evidence of Errors and Omissions Insurance	
Evidence of Fidelity Bond Insurance	
Investor Scorecards	
LOE (For questions 3-7 if marked yes)	
QC Report with Management Response	
Quality Control Certification Form	
Resumes of Principals (If #2 is marked yes)	
W-9 (If company address change since previous approval)	

Principal/Owner Signature _____ Date _____