

# Broker Application Checklist



AE: \_\_\_\_\_

Broker Name: \_\_\_\_\_

**\*\*Forms submitted with white out will not be accepted, please refrain from using it. Thank you.\*\***

- 1 Signed Application   
*(Missing information in any part of this form will classify the form as incomplete)*
- 2 Personnel List (Optional)
- 3 Broker Agreement Initialed and Signed
- 4 Mortgage Broker (RESPA) Addendum
- 5 Loan Fraud Policy Initialed and Signed
- 6 Submission Procedures
- 7 Lender-Paid Compensation Plan Addendum   
*(Both charts must be signed/initialed even if you are not choosing a flat fee, please indicate "none")*
- 8 SAFE Act Form   
*(We cannot set you up in our broker portal without this form)*
- 9 Quality Control Plan
- 10 Hiring Procedures
- 11 LDP/GSA Certification
- 12 License / NMLS Verification /  
Copy of Broker or Officer License
- 13 Current Copy of City (or local Jurisdiction) Business  
License
- 14 Resume of Broker of Record & Principals
- 15 Resume of Escrow Officer (if applicable)
- 16 Current Profit & Loss Statement
- 17 Current Balance Sheet
- 18 Signed W-9 Form
- 19 Hirecheck on Principals
- 20 All originals mailed on: \_\_\_\_\_   
*(All originals must contain wet signatures)*

Mail to: Provident Bank Mortgage  
Attn. Lynda Williams  
5934 Gibraltar Dr #102  
Pleasanton, CA 94588

03/03/2017