MORTGAGE & REAL ESTATE LENDING CORPORATE CLIENT INTAKE QUESTIONNAIRE:

DO NOT INCLUDE BORROWER PERSONAL DATA OR LOAN FILES ON THIS FORM. Repurchase demands, title and escrow claim tenders, examination responses, and consumer complaint replies all carry short deadlines, and licensing must be in place before origination in each state. Tell us any live deadline before completing the rest of this form.

CONFIDENTIAL. This questionnaire is for the lending side — mortgage bankers, direct and correspondent lenders, wholesalers, portfolio lenders and brokers in residential, commercial and multifamily, construction and development lenders, hard money and private lenders, credit unions, and mortgage REITs. Borrowers with loan disputes should use our Mortgage Borrower Protection Intake Form. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

[__] Legal Entity Name: ____

DBA / brand names: ______________________________ Year founded: ______________

Entity type:

- [__] Corporation
- [__] LLC
- [__] Partnership
- [__] Credit union
- [__] REIT
- [__] Public company
- [__] Subsidiary of a parent

State of formation: ______________________ NMLS ID: ________ States licensed: ______

Contact person & title: ______________________________

Syndicate Plan Member ID: ______________________________

Address: ____

City: ________________________ County: ______________ State: _____ Zip: ______

Phone: ____________________________ Email: ____________________________

Annual originations: $ ______________________ Employees & loan officers: ____________

PART 1 — YOUR BUSINESS

1.1 Type of business:

- [__] Residential mortgage banker
- [__] Commercial real estate lender
- [__] Multifamily / apartment lender
- [__] Direct lender
- [__] Correspondent lender
- [__] Wholesale lender
- [__] Portfolio lender
- [__] Mortgage broker
- [__] Construction & development lender
- [__] Hard money / private lender
- [__] Credit union
- [__] Mortgage REIT
- [__] Servicer or subservicer
- [__] Warehouse lender
- [__] Loan buyer or seller
- [__] Mortgage fund manager

1.2 Loan purposes:

- [__] Consumer purpose loans
- [__] Business purpose loans
- [__] Both

1.3 Describe your products, channels, and current stage: ______________________________________

____

____

PART 2 — SERVICES NEEDED

Entity, Licensing & Approvals:

[__] Formation or incorporation
[__] State lender, broker & servicer licensing
[__] License renewals & amendments
[__] Exemption analysis for private lending
[__] Foreign qualification
[__] Entity conversion / restructuring
[__] Branch & loan originator licensing
[__] Agency approvals & renewals
[__] Change of control approvals
[__] Business filings & resolutions

Origination & Consumer Compliance:

[__] Disclosure & closing document review
[__] Loan originator compensation rules
[__] Fair lending & underwriting analysis
[__] Credit reporting & adverse action notices
[__] Privacy, safeguards & vendor management
[__] Ability to repay & qualified mortgage analysis
[__] Settlement service & referral arrangement review
[__] Data reporting & recordkeeping
[__] Advertising & marketing review
[__] Servicemember protections

Servicing, Default & Foreclosure:

[__] Servicing policies & procedures
[__] Loss mitigation & workout procedures
[__] Default, demand & foreclosure process review
[__] Collection practice compliance
[__] REO & property preservation
[__] Transfer & escrow requirements
[__] Force-placed insurance practices
[__] Bankruptcy claims & payment change filings
[__] Wrongful foreclosure claim response
[__] Complaint handling & response

Secondary Market & Counterparty:

[__] Whole loan purchase & sale agreements
[__] Warehouse & repurchase facilities
[__] Loan repurchase demand response
[__] Investor & agency audits
[__] Joint venture & partnership agreements
[__] Correspondent & broker agreements
[__] Representations & warranties review
[__] Servicing rights transfers
[__] Branch manager & loan representative agreements
[__] Securitization *

** For securitization of loan pools, please also complete our Asset Securitization & Structured Finance Intake Form.*

Claims, Title & Disputes:

[__] Title insurance & escrow claim tenders
[__] Claims against borrowers, brokers or appraisers
[__] Title defect & lien priority issues
[__] Insurance coverage disputes

[__] Business tort & unfair competition claims [__] Partnership & joint venture disputes

[__] Regulatory examinations & enforcement [__] Class claim exposure review

Capital Markets & Finance:

[__] Capital markets consultation [__] Private placement (Reg D / Reg A)

[__] Mortgage fund formation & offering documents [__] Credit facilities & lines

[__] Exchange listing (OTC, Nasdaq, NYSE, international) [__] Securities & blue sky compliance

[__] Mergers, acquisitions & portfolio sales [__] Investor agreements & cap table

[__] Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: ______________________________

____

____

2.2 Deadline (demand response, exam, filing, closing): ______________________________

PART 3 — LICENSING & APPROVALS

License / Approval	Regulator or Agency	Number	States Covered	Expires

3.1 Are all company, branch, and originator licenses current? [__] Yes [__] No

3.2 Are you expanding into new states or loan products? [__] Yes [__] No

3.3 Do you rely on an exemption rather than a license in any state? [__] Yes [__] No

Private and business purpose lending exemptions are narrow and vary by state. Lending outside an exemption can make loans unenforceable and expose the company to penalties.

3.4 Do you hold agency or insurer approvals, and are audits current? [__] Yes [__] No

3.5 Is a change of ownership or control planned? [__] Yes [__] No

3.6 Has a license been denied, conditioned, suspended, or surrendered? [__] Yes [__] No

If yes, explain: ____

____

PART 4 — ORIGINATION & COMPLIANCE PROGRAM

Program Area	In Place	Needs Update	Missing
Written compliance management system	[__]	[__]	[__]
Disclosure timing & accuracy testing	[__]	[__]	[__]
Ability to repay & underwriting documentation	[__]	[__]	[__]
Loan originator compensation policy	[__]	[__]	[__]
Referral & settlement service arrangements	[__]	[__]	[__]
Fair lending analysis & testing	[__]	[__]	[__]
Data collection & reporting accuracy	[__]	[__]	[__]
Advertising review process	[__]	[__]	[__]
Privacy & information security program	[__]	[__]	[__]
Vendor oversight & due diligence	[__]	[__]	[__]
Complaint intake & root cause review	[__]	[__]	[__]
Training & audit schedule	[__]	[__]	[__]

4.1 Compliance officer: ________________________________ Date of last independent audit: _________

4.2 Do you pay referral, marketing, or desk fees to settlement providers? [__] Yes [__] No

4.3 Do you originate through brokers, correspondents, or affiliates? [__] Yes [__] No

4.4 Do you use automated underwriting, pricing engines, or AI tools? [__] Yes [__] No

PART 5 — SERVICING, DEFAULT & FORECLOSURE

5.1 Do you service loans, or use a subservicer? [__] Yes [__] No

If yes, explain: ____

____

5.2 Are servicing transfer, escrow, and error resolution procedures documented? [__] Yes [__] No

5.3 Do you offer loss mitigation, and are timelines and reviews tracked? [__] Yes [__] No

5.4 Are foreclosures handled judicially, non-judicially, or both? [__] Yes [__] No

If yes, explain: ____

____

5.5 Have wrongful foreclosure or servicing claims been asserted? [__] Yes [__] No

If yes, explain: ____

____

5.6 Do you file claims or motions in borrower bankruptcies? [__] Yes [__] No

Syndicate provides advisory and compliance support; foreclosure filings, bankruptcy appearances, and litigation are handled by counsel of record in each state.

PART 6 — SECONDARY MARKET, TITLE & CLAIMS

Counterparty	Role (investor, warehouse, correspondent, broker)	Volume $	Term	Signed Agreement?

6.1 Have you received loan repurchase or indemnification demands? [__] Yes [__] No

Investor, loan count & response deadline: ______________________________

6.2 Do purchase agreements limit repurchase triggers and cure rights? [__] Yes [__] No

6.3 Have title defects, lien priority problems, or escrow losses occurred? [__] Yes [__] No

6.4 Have claims been tendered to title underwriters or closing agents? [__] Yes [__] No

6.5 Do you suspect fraud by borrowers, brokers, appraisers, or closing agents? [__] Yes [__] No

6.6 Are there disputes with branch managers, loan representatives, or partners? [__] Yes [__] No

If yes, explain: ______________________________

____

PART 7 — FINANCE, PORTFOLIO & CAPITAL MARKETS

Existing Facility / Investment	Lender or Investor	Amount $	Maturity	Collateral

7.1 Loans held for investment: $ ______________ Loans held for sale: $ ______________

7.2 Capital sought: $ ______________ Purpose: ______________

7.3 Capital strategy:

- [__] Warehouse or repurchase capacity
- [__] Working capital
- [__] Mortgage fund or investor capital
- [__] Portfolio acquisition
- [__] Growth equity
- [__] Public offering or listing
- [__] Sale of the company or servicing portfolio
- [__] Not sure — need advice

7.4 Do you raise investor capital for loans or a mortgage fund? [__] Yes [__] No

Pooled mortgage investments and fractional note sales are generally securities offerings and require an exemption and proper disclosure documents.

7.5 Do you have audited financial statements? [__] Yes [__] No

PART 8 — PEOPLE, DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Employees: ______________________________ Licensed originators: _____ States with workers: ____

8.2 Are originators employees or independent contractors? [__] Yes [__] No

If yes, explain: ____

____

8.3 Are commission and overtime rules reviewed for originators? [__] Yes [__] No

8.4 Current disputes:

[__] Consumer claim or class action
[__] Repurchase or investor dispute
[__] Title or escrow claim
[__] Regulatory examination or enforcement
[__] Broker or correspondent dispute
[__] Partnership dispute
[__] Employment claim
[__] Collections
[__] None

8.5 Is a non-disclosure agreement required before documents are shared? [__] Yes [__] No

Please provide the following, if applicable. Check each item available. Redact borrower personal information.

[__] Formation & governance documents
[__] Ownership / cap table
[__] Financial statements & projections
[__] Licenses, approvals & exam reports (public)
[__] Compliance manual & policies
[__] Loan program & disclosure templates
[__] Purchase, warehouse & correspondent agreements
[__] Servicing agreements
[__] Repurchase or claim correspondence
[__] Investor & fund offering documents

Certification:

I declare that the information provided in this questionnaire is true, correct, and complete to the best of my knowledge, that I am authorized to provide it on behalf of the business named above, and that it does not include borrower personal information. I understand this information is provided to Syndicate Subscription Legal Plans in confidence for the purpose of evaluating and scoping this engagement.

Signed and dated this ____ day of _______________________, 20___

Signature: ____

Print Name: _____________________________

Title: _____________________________

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Your information will be reviewed within one hour.