

Pre-Audit Document Request Checklist

Documents Requested		
	Pipeline Report for past 12 months including closed declined, withdrawn loans- include property address	
	Training Certifications for all employees for last 12 months - including non-originator employees	
	List of vendors - can print vendor list from QuickBooks or see below	
	Copy of privacy disclosure from completed from LOS	
	Copy of PATRIOT Act disclosure form	
	List of Approved, Active Investors/Wholesalers	
	LO Comp Plan	
	Quality Control Report	
	Underwriting/Pre-Underwriting Submission Checklist	
	Audit Checklist	
	Sample Fee Agreement/Broker or Lock-In Agreement	
	Copies of all Advertising, Business Cards, List of Sites, Social Media	
	Policies and Procedures (If not provided by Mortgage Management Systems)	
	<input type="checkbox"/> Quality Control Plan <input type="checkbox"/> FACTA ID Theft Red Flags Plan <input type="checkbox"/> IT Security <input type="checkbox"/> Fair Lending <input type="checkbox"/> Anti-Money Laundering/BSA Lo comp,	
Additional Information		
	Name of AML officer, FinCEN Login Credentials	
Vendor	Name	IT Tech Certified Date
E-Mail		
Loan Origination System		
E-Disclosure		
Data Back-up		
Web 1003 Application		
Pricing and Eligibility		
Document Management		
E-Fax		
Voice-Mail/Telephony		
Network/Internet Service		
Office Support/Cleaner/Landlord		
Courier		
E-Sign		