

### Overview

Comprehensive, on-going, hands-on, responsive review of third party originators.

Reviews provide support through a professional team of experienced compliance professionals.

Policies and Procedures that are responsive to regulatory compliance expectations.

Our professionals have an average of 25 years in mortgage banking, consisting of compliance professionals, attorneys, former regulators, and subject matter experts, who have created and implemented successful compliance programs. We are actively engaged in monitoring ever-changing laws and regulations that affect the industry.

Brokers Compliance Group is the first and only full-service mortgage risk management firm in the country devoted to third party originators.

Lenders Compliance Group is the first, full-service mortgage risk management firm in the country, offering hands-on compliance solutions in virtually all areas of mortgage banking.



## Brokers Compliance Group

(866) 602-6660

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# THIRD PARTY ORIGINATOR PLATFORM COMPLIANCE SUPPORT

## MORTGAGE BROKERS AND MINI-CORRESPONDENTS

We work with the wholesale lending platform's TPOs to maintain compliance-related documentation, information, policies, and procedures to ensure conformance with state and federal rules, regulations, statutes, and guidelines.

### INDEPENDENT REVIEW OF TPOs IN WHOLESALE LENDING CHANNEL

- Federal and state regulatory compliance
- Reasonable and customary mortgage practices for loan originators
- Regulatory compliance standards for TPOs
- Policies and Procedures
- Mortgage Acts and Practices

### Compliance Guidance

- POLICIES AND PROCEDURES
- COMPLIANCE SUPPORT - PHONE & EMAIL
- CONFERENCE CALLS
- SUBJECT MATTER EXPERTS
- TRAINING
- EDUCATION

### Designed for TPOs

- Anti-Money Laundering Program Test
- Disaster Recovery Plan
- Marketing Services Agreement
- MLO Employment Agreement
- Quality Control