



224 Strawbridge Drive, Suite 200  
Moorestown, NJ 08057

# NEW BROKER APPLICATION - HELOC ONLY

## COMPANY INFORMATION

Company Name:	Federal Tax ID:
DBA(s), if applicable:	MERS Membership #:
Street Address:	Business Entity Type:
City, State, ZIP:	Incorporation/Formation Date:
Company Phone:	Incorporation State:
Company Fax:	Company Primary Contact:
Company Website:	Contact Phone:
NMLS ID #:	Contact Email:

## OWNERSHIP INFORMATION

Principal/Owner:	* DOB (mm/dd/yy):
Title:	* Home Address:
% Owned:	

Principal/Owner:	* DOB (mm/dd/yy):
Title:	* Home Address:
% Owned:	

Principal/Owner:	* DOB (mm/dd/yy):
Title:	* Home Address:
% Owned:	

Parent Company:	* Federal Tax ID:
% Owned:	Corporate Address:

(NOTE: \*DATE OF BIRTH, AND/OR FEDERAL TAX ID REQUIRED FOR APPROVAL\*)

- ❖ Above information required for any individual and/or Company with > 10% ownership interest.
- ❖ For any additional Ownership, please attach a separate list containing the above information.

## INSURANCE / BONDS

PLEASE PROVIDE THE CARRIER NAME, AMOUNT (\$), EXPIRATION DATE AND CONTACT PHONE NUMBER FOR ANY OF THE FOLLOWING INSURANCE/BONDS THAT THE COMPANY HAS IN PLACE, IF APPLICABLE:

Fidelity Bond: \_\_\_\_\_

Surety Bond: \_\_\_\_\_

Error and Omissions: \_\_\_\_\_



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## PRODUCTION HISTORY (OPTIONAL)

PLEASE PROVIDE A BREAKDOWN OF YOUR PRODUCTION FOR THE MOST RECENT 12-MONTH PERIOD.

Conventional Conforming \$:	Jumbo \$:
FHA \$:	Non-QM \$:
VA \$:	Other \$:
USDA \$:	

## FINANCIAL INSTITUTIONS

Is your organization a Federally Chartered or State Chartered bank?	Federal	State	N/A
Is your organization a subsidiary of a bank or credit union?	Yes	No	N/A
If "Yes" please identify the bank you are a subsidiary of:			

## DISCLOSURES

- |   |     |    |
|---|-----|----|
| 1) <b>Has your Company, and/or principals or corporate officers, had a real estate or other professional license suspended or revoked, or received any other disciplinary action from a regulatory agency? IF YES, PLEASE PROVIDE AN EXPLANATION:</b> | Yes | No |
| 2) <b>Has your Company been suspended from selling or servicing mortgages by an Investor? IF YES, PLEASE PROVIDE AN EXPLANATION:</b>  | Yes | No |
| 3) <b>Are you aware of any company officers or employees that are or have been on any agency, state, or federal exclusionary list? IF YES, PLEASE PROVIDE AN EXPLANATION:</b>   | Yes | No |



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- |  |                                |
|--|--------------------------------|
| <p><b>4) Has your Company, and/or principals or corporate officers, been named as a defendant in a lawsuit for alleged fraud or misrepresentation in connection with any real estate-related activity, or been involved in any criminal proceedings or litigation in the past seven years?</b><br/>IF YES, PLEASE PROVIDE THE FOLLOWING DETAILS SURROUNDING ANY SETTLED, OPEN OR PENDING LITIGATION:<br/>1) LITIGATION EXPLANATION, 2) PLAINTIFF NAME, 3) DATES THE CASE WAS OPENED AND RESOLVED, 4) POTENTIAL CORRESPONDENT EXPOSURE AMOUNT, AND 5) THE COMPANY ACTION PLAN TO RESOLVE.</p> | <p><b>Yes</b>    <b>No</b></p> |
| <p><b>5) Have any principals or corporate officers ever been convicted of a crime?</b><br/>IF YES, PLEASE PROVIDE AN EXPLANATION:</p>  | <p><b>Yes</b>    <b>No</b></p> |
| <p><b>6) Has your company, and/or owners or corporate officers, filed for bankruptcy within the past seven years?</b><br/>IF YES, PLEASE PROVIDE AN EXPLANATION:</p>   | <p><b>Yes</b>    <b>No</b></p> |
| <p><b>7) Has your company ever had material adverse findings included in any audit examination that was conducted by HUD, VA, Fannie Mae, Freddie Mac, or any regulatory agency?</b><br/>IF YES, PLEASE PROVIDE AN EXPLANATION:</p>  | <p><b>Yes</b>    <b>No</b></p> |
| <p><b>8) Do you have processes in place to ensure compliance with any applicable federal, state, and local high cost and anti-predatory lending statuses?</b></p>  | <p><b>Yes</b>    <b>No</b></p> |



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9) Please provide details surrounding any settled, open, or pending Repurchases and/or Indemnifications within the past 12 MONTHS. Include: 1) investor name, 2) note date, 3) repurchase amount, and 4) repurchase explanation (please include with respect to each loan). If no repurchases/indemnifications, enter "N/A".

10) Please provide your latest employee onboarding policy that speaks to any exclusionary lists new hires are checked against the Office of Foreign Asset Control's Specially Designated Nationals and Blocked Persons list ("SDN List") U.S. General Services Administration (GSA) Excluded Parties List, the HUD Limited Denial of Participation List (LDP) List and the Federal Housing Finance Agency (FHFA) Suspended Counterparty Program (SCP) list, etc.).

If no policy exists, please confirm in writing that all employees are checked against the SDN List, the GSA Excluded Parties List, the LDP list, the FHFA SCP List during the onboarding process and periodically thereafter.

11) Please provide your Company's compliance program in accordance with FinCEN's Anti-Money Laundering rules issued pursuant to the Bank Secrecy Act or explain below how compliance with FINCEN's requirements are managed.

12) Is your Company in compliance with CFPB's loan originator compensation rules?

Yes No

13) Is your Company in compliance with SAFE Act regulations?

Yes No



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## REQUIRED DOCUMENTATION

- Please provide an executed copy of the Broker Agreement.
- Please provide a completed IRS W9 Form (current version).
- Please provide a completed broker compensation selection form.
- Please provide a copy of your AML policy.

## CERTIFICATION & AUTHORIZATION

The undersigned certifies that the statement set forth herein and in any accompanying documents are true and factual to the undersigned's best knowledge. The undersigned hereby authorizes Arc Home LLC, or its affiliates or agents to obtain verification of the information it may deem necessary about the applicant and its principals from any source including any investor, governmental agency or authority, MI company, or any other person or entity including warehouse guarantors.

Additionally, the undersigned and company ("We") represent and warrant that the information provided is complete and accurate in all respects. We understand that this application is made for the purpose of inducing Arc Home LLC to approve our request for a broker relationship with Arc Home LLC. We authorize Arc Home LLC to make such investigation of our financial condition and the representations contained in the application. We understand that this application shall remain the confidential property of Arc Home LLC for all purposes. We agree to notify you immediately of any adverse change affecting the company.

The Federal Equal Credit Opportunity Act requires that all creditors, including Banks, Savings and Loans, small companies, retail stores and others, make credit equally available to all credit worthy customers without regard to sex, marital status, race, color, religion, national origin, age, the fact that all or part of the applicant income is derived from a public assistance program, or the fact that this application has in good faith exercised any right under the Consumer Credit Protection Act or applicable state law.

AUTHORIZED OFFICER SIGNATURE:	OFFICER NAME/TITLE:
 	DATE:
AUTHORIZED OFFICER SIGNATURE:	OFFICER NAME/TITLE:
 	DATE:

### SPARC Credentials:

Please identify one admin and one additional user within this organization for SPARC credentials and specify their SPARC User Role(s) - check all roles that apply.

SPARC User Type	SPARC User Information				
SPARC Admin <i>(required)</i>	SPARC User Role(s):    Admin <input type="checkbox"/> Loan Officer <input type="checkbox"/> Processor <input type="checkbox"/>				
	Name		Email Address		NMLS <i>(if applicable)</i>
	Office Phone Number		Cell Phone Number*		
Additional User	SPARC User Role(s):    Admin <input type="checkbox"/> Loan Officer <input type="checkbox"/> Processor <input type="checkbox"/>				
	Name		Email Address		NMLS <i>(if applicable)</i>
	Office Phone Number		Cell Phone Number*		

**\*\* Important Note:** All SPARC users must provide a cell phone number; it is used for multi-factor authentication only.