



DEPARTMENT of  
SAVINGS & MORTGAGE LENDING

Caroline C. Jones, Commissioner

---

September 15, 2020

Qualifying Individual  
Company Name  
Address  
City, State Zip

***Re: Examination Notification – Company Name, NMLS #***

Dear :

The Texas Department of Savings and Mortgage Lending will be conducting an examination of your company and sponsored residential mortgage loan originators, pursuant to Section 156.301 of the Texas Finance Code. The Examiner-in-Charge, \*\*\*\*\*, has been assigned as your primary contact for all examination-related issues.

The off-site examination is scheduled to begin **exam date**. The examination-related materials will be transmitted through the Department's Citrix ShareFile portal. You will receive an email with a link to your ShareFile exam folder.

The attached Initial Information Request is intended to provide the Department with an overview of the company's general origination activities. Please upload the Mortgage Transaction Log (question 1) to the ShareFile exam folder, on or before **due date**.

After reviewing the Log, the Examiner-in-Charge will provide the file selection, so you can prepare electronic copies of the requested loan files. All remaining requested information, and the files selected for review, must be uploaded to the ShareFile exam folder before the scheduled examination date. You can begin uploading the information as early as desired.

Any questions regarding the Initial Information Request, or the examination process in general, should be directed to \*\*\*\*\* at \*\*\*\*\* or via telephone at \*\*\*\*\*. You may also visit the Mortgage Company Examination Resources page accessed via our website, [www.sml.texas.gov](http://www.sml.texas.gov).

Thank you for your cooperation.

Respectfully,

Attachment