



## Summary of Preliminary Findings

**Date:**  
**Examiner:**  
**Mortgage Banker Name:**  
**Mortgage Banker NMLS ID #:**  
**Street Address:**  
**City, State, Zip:**  
**Primary Contact Name:**  
**Primary Contact Email Address:**

### Policies and Procedures

### Adequate for size and complexity of organization?

Compliance / Quality Control Program  
Red Flags Rule Program  
Bank Secrecy Act / Anti-Money Laundering Program  
Compensation Agreements  
Information Security Policy  
Advertising / Social Media Policy

### ADVERTISING

**Business Cards:**  
**Websites:**  
**Social Media:**  
**Print:**  
**Other:**

### LOAN REVIEW

**Review Period:**  
**Loan Sample:**  
**Number of originators:**

### PRELIMINARY LOAN REVIEW FINDINGS

#### Previous Examination

**Date:**  
**Rating:**  
  
**Repeat  
Violations:**

#### TX SML Examination Ratings

- 1- Strong Compliance Position
- 2- Satisfactory Compliance Position
- 3- Less than Satisfactory Compliance Position
- 4- Close Supervisory Attention and Monitoring to Correct Serious Compliance Problems
- 5- Substantially Noncompliant. Strong Supervisory Attention and Monitoring

**Acknowledgment**

The undersigned acknowledges that this Summary of Preliminary Findings and Attachments have been received and reviewed by the Mortgage Banker Representative.

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Representative

Date

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Examiner

Date