

**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**

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

**Remote Work Policy:**

Includes safeguards to protect consumer data, information, and records including use of secure virtual private networks and data storage encryption where applicable?  
Includes appropriate risk-based monitoring and oversight processes?  
Information systems monitored for potential anomalies or security incidents?  
Ensures electronic records are secured and physical records are not maintained at a remote location?  
Information security awareness (remote work) training provided to all employees as part of initial training and annually?

**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.

Representative

Date

Examiner

Date