

EMPIRE STATE BANK

68 No. Plank Road
Newburgh, NY 12550

BROKER/LENDER APPLICATION

AE: _____

1. GENERAL		
Company Legal Name:		
Doing Business As:		
Street Address:		City/State/Zip
Email Address:	Phone Number:	Fax Number:
Business Type: Sole prop/Partner/Corporation	Organized and exists under the laws of:	Date Organized:
		Tax ID #
Please provide a list of branch offices as an attachment		

2. PRINCIPAL OFFICERS		
Name:	Title:	SS#
% of Ownership	Years at Company	Years in Industry
Name:	Title:	SS#
% of Ownership	Years at Company	Years in Industry
Name:	Title:	SS#
% of Ownership	Years at Company	Years in Industry

3. PRIMARY CONTACTS		
Name:	Position:	Phone #:
Name:	Position:	Phone #:
Name:	Position:	Phone #:

4. PRIMARY MARKETS (By list of City/State or County/State and include all states in which you originate)

5. REFERENCES (List three wholesalers that you have sold service/release loans to in the past 12 months)		
Name:	Contact Name & Title:	Phone #
Name:	Contact Name & Title:	Phone #
Name:	Contact Name & Title:	Phone #

6. DECLARATIONS (if the answer to any of these questions is yes, please attach an explanation)		
Has this company ever been required to repurchase a loan by any of its investors?	No	Yes
Has this company, or any of its principals, ever been investigated or disciplines for misconduct by any regulatory agency?	No	Yes
Has this company, or any of its principals, ever been suspended by a wholesaler?	No	Yes
Is there any pending litigation with this company of any of its principals?	No	Yes
Has this company, or any of its principals, had any formal complaints filed against it with any state official in the past 3 years?	No	Yes
Have any of this company's principals ever been convicted of a felony?	No	Yes
Does this company have any affiliated businesses?	No	Yes
Is this company, or any of its' principals, a member of the Mortgage Banker's Association or Association of Mortgage Brokers?	No	Yes
If yes, please provide the name the membership(s) is (are) in and the name of the association		

7. Please attach copies of the following documentation:	
	Copy of Appropriate Broker/Business License(s) for all states in which you originate mortgage loans.
	Copy of Business's fully executed "Request for Taxpayer ID Number and Certificate (IRS Form W-9)
	Company's complete, audited financial statements & Articles of Incorporation /Corporate Resolution/Partnership Agreement Etc. as applicable
	Resume's of principal officers and processing staff
	List of Affiliated businesses, if any.

I hereby certify that the information provided with regards to this application is true and accurate. It is understood that Empire State Bank, NA will make reference inquiries and that it may verify any information contained in this application by inquiries through public and private sources. (This may include business and/or personal credit reports). It is further understood that Empire State Bank is not bound in any matter, not under any obligation to the applicant, until the application is approved in writing and the broker agreement is fully executed. As a condition of Empire State Bank acceptance of this application, the undersigned agrees that any documentation is provided by Empire State Bank is the for undersigned 's review only, and that the undersigned will make no reproduction of such documents unless the undersigned is approved by Empire State Bank as a wholesale lender and elects to enter into the Broker Agreement.

Signature: _____	Title: _____	Date: _____
Print Name: _____		
Signature: _____	Title: _____	Date: _____
Print Name: _____		
Signature: _____	Title: _____	Date: _____
Print Name: _____		