

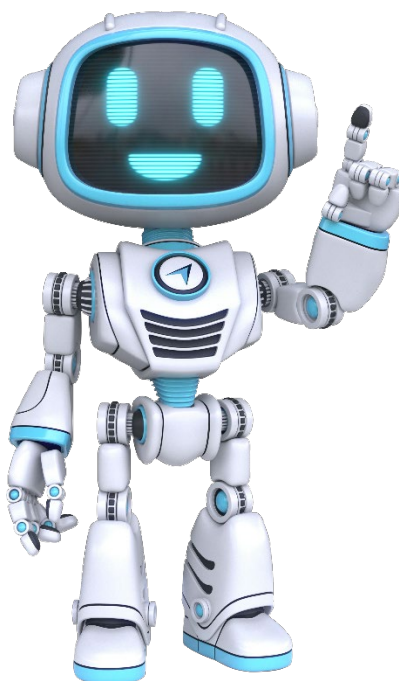
## Recertification Broker Package Checklist

Please complete and sign all applicable forms. For each applicable item below, please provide documentation and/or information requested. A complete Recertification Broker Application and supporting documentation is required within 30 days. For any questions, please contact your assigned Account Executive.

- ☐ **Recertification Broker Application:** Complete and sign the application. Include the documentation outlined in this checklist.
- ☐ **Resumes for key personnel:** (Applicable only if there has been a change in Key Personnel /Principals)
- ☐ **Current Financials:** Current (within the last 90 days) Balance Sheet and Income Statement. All financial information provided will be held in strictest confidence and will not be released to any outside party.
- ☐ **Articles of Incorporation or Organization:** Applicable only if there have been any changes in the last 12 months.
- ☐ **Quality Control Plan:** A current QC Plan (plan must be specific to applicant's company) is required on an annual basis to ensure compliance with Agency regulations.
- ☐ **W9:** A current W9 is required for recertification with the correct tax classification designated, if LLC, LLC type is required; eg: LLC S,C, or P. If Single Member LLC: Sole Proprietor/Single Member LLC selection is required.

**Completed Recertification Broker Package should be sent to:**

**[brokerdesk@bluepointmtg.com](mailto:brokerdesk@bluepointmtg.com)**



## Bluepoint Mortgage Annual Recertification

COMPANY INFORMATION (REQUIRED)	BROKER'S LEGAL COMPANY NAME		DBA		ACCOUNT EXECUTIVE	
	STREET ADDRESS					
	CITY		STATE	ZIP	FORMAT OF BUSINESS <input type="checkbox"/> Association <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> S Corp <input type="checkbox"/> C Corp <input type="checkbox"/> Partnership <input type="checkbox"/> LLC	
	NLMS#	TAX ID#		YEARS IN BUSINESS		
Pricing engine/LOS:				Do you have an active warehouse line? <input type="checkbox"/> Yes <input type="checkbox"/> No		

PRIMARY CONTACT INFORMATION	NAME	TITLE
	CELL PHONE (REQUIRED)	EMAIL

## Current Officers of the Company

Principal Officer/ Partner 1 /Owner 1	NAME	SOCIAL SECURITY		PERCENTAGE OF OWNERSHIP
	HOME ADDRESS:			
	CITY:	STATE:	ZIP:	NMLS#

Principal Officer/ Partner 2 /Owner 2	NAME	SOCIAL SECURITY		PERCENTAGE OF OWNERSHIP
	HOME ADDRESS			
	CITY	STATE	ZIP	NMLS#

Principal Officer/ Partner 3 /Owner 3	NAME	SOCIAL SECURITY		PERCENTAGE OF OWNERSHIP
	HOME ADDRESS			
	CITY	STATE	ZIP	NMLS#

## Current Lenders

COMPANY NAME	% OF BUSINESS
COMPANY NAME	% OF BUSINESS
COMPANY NAME	% OF BUSINESS

## Production

PRODUCTION TYPE	LOAN VOLUME PREVIOUS YEAR	# OF LOANS PREVIOUS YEAR	LOAN VOLUME YTD	# OF LOANS YTD
FHA				
VA				
Conventional				
Jumbo				
Non-QM				
2 <sup>nd</sup> Trust Deeds				
Totals				

## Declarations:

	Yes	No
1. Does the company or any person employed hold ownership or have any interest in other real estate related businesses, such as insurance, escrow, realty, builder, contractor, or appraisal?  If Yes, please list entities:		
2. Has your company moved within the past year?  If yes, please provide an updated W-9.		
3. Has ownership in your company changed since you were approved with Bluepoint Mortgage?  If so, please provide updated Articles of Incorporation / Operating Agreement and Authorization Form. Note: Additional information may be required.		
4. Have there been any material changes in the structure of your company?		
5. Is your company, or any of its owners or broker of record, subject to any bankruptcy proceedings?		
6. Has your company, owner(s), or employee(s) been sanctioned or disciplined by any state or regulatory agency?		
7. Is your company or owner(s) involved in any pending litigation?		
8. Has your approval with any Agency or Investor ever been canceled or suspended?		

## Comments:

If you answered "yes" to any of the above questions, please explain below. If you need additional space please provide a separate page.

The broker hereby certifies that all information provided is true and accurate and that no material changes have occurred that would impact their approval with Bluepoint Mortgage.

\_\_\_\_\_  
Broker of Record / Owner

\_\_\_\_\_  
Date

# Request for Taxpayer Identification Number and Certification

Give Form to the  
requester. Do not  
send to the IRS.

Print or type  
See Specific Instructions on page 2.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
2 Business name/disregarded entity name, if different from above	
3 Check appropriate box for federal tax classification; check only <b>one</b> of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <i>(Applies to accounts maintained outside the U.S.)</i>
5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
6 City, state, and ZIP code	
7 List account number(s) here (optional)	

## Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

**Note.** If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

Social security number									
				-				-	
or									
Employer identification number									
				-					

## Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶	Date ▶
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## General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/fw9](http://www.irs.gov/fw9).

## Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:

- Form 1099-INT (interest earned or paid)
- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)

- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding? on page 2.*

By signing the filled-out form, you:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting?* on page 2 for further information.