

Mortgage Compliance Checklist





Mortgage Compliance Checklist

Borrower Information

Item	Done
Borrower Name:	<input type="checkbox"/>
Co-Borrower Name:	<input type="checkbox"/>

Seller Information

Item	Done
Seller Name:	<input type="checkbox"/>
Seller Loan No:	<input type="checkbox"/>
Seller LEI No:	<input type="checkbox"/>

Lender Contact Information

Item	Done
Post Closing Contact:	<input type="checkbox"/>
Post Closing Contact Phone:	<input type="checkbox"/>
Post Closing Contact Email:	<input type="checkbox"/>

Servicer Information

Item	Done
Servicer Loan No:	<input type="checkbox"/>
ULI Number:	<input type="checkbox"/>

Final Documents

Item	Done
Recorded Security Instrument	<input type="checkbox"/>
Recorded Assignment to MERS	<input type="checkbox"/>
Recorded Power of Attorney	<input type="checkbox"/>
Final Title Policy	<input type="checkbox"/>
Assignment to MERS, if applicable	<input type="checkbox"/>
Trust Agreement, if applicable	<input type="checkbox"/>
Loan Modification Agreements/CEMA Agreements, if applicable	<input type="checkbox"/>

Loan Documents – All Loans

Item	Done
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Initial Application	<input type="checkbox"/>
Supplemental Consumer Information Form (1103)	<input type="checkbox"/>
Note/Addendums/Allonge (copy only)	<input type="checkbox"/>
Certified Copy of Security Instrument/Applicable Riders/Legal Description	<input type="checkbox"/>
All Closing Disclosures, Initial, Signed at Closing, Post Consummation, as applicable	<input type="checkbox"/>
All Loan Estimates, Initial and Revised, and Applicable Change in Circumstance Forms	<input type="checkbox"/>
Settlement Service Provider List	<input type="checkbox"/>
Tax Information Sheet	<input type="checkbox"/>
Flood Insurance Policy or Declarations Page	<input type="checkbox"/>
Flood Certification	<input type="checkbox"/>
Mortgage Insurance Certificate (MIC)	<input type="checkbox"/>
Notice Regarding Mortgage Insurance / Lender Paid Mortgage Insurance Disclosure	<input type="checkbox"/>
Warranty/Grant/Quit Claim Deed	<input type="checkbox"/>
Right of Rescission Notice	<input type="checkbox"/>
Loan Applicant Attestation	<input type="checkbox"/>
Proof of Delivery of Disclosures not meeting Mail Delivery Rule and/or not signed and dated by borrower	<input type="checkbox"/>
Initial Escrow Account Disclosure Statement	<input type="checkbox"/>
Escrow Waiver, if applicable	<input type="checkbox"/>
Homeowners Insurance or Declarations Page with Paid Receipt	<input type="checkbox"/>
Borrower Authorization Form	<input type="checkbox"/>
Closing Instructions	<input type="checkbox"/>
Title Commitment	<input type="checkbox"/>
Closing Protection Letter	<input type="checkbox"/>
Amortization Schedule	<input type="checkbox"/>
Final Application	<input type="checkbox"/>
HUD Settlement Certification	<input type="checkbox"/>
State Specific Disclosures	<input type="checkbox"/>
W-9 Form	<input type="checkbox"/>
Rate Lock-in-Agreement/Interest Rate Lock Date with Borrower	<input type="checkbox"/>
Notice to Home Loan Applicant	<input type="checkbox"/>
Notice of Transfer/Good-Bye Letter	<input type="checkbox"/>
Monthly Payment Letter	<input type="checkbox"/>
Name Affidavit, if applicable	<input type="checkbox"/>
HUD 92900-A/VA Form 26-1802a Addendums to Initial and Final Application	<input type="checkbox"/>
HUD 92564 For Your Protection: Get a	<input type="checkbox"/>

Home Inspection	
FHA Firm Commitment/VA Certificate of Commitment, if applicable	<input type="checkbox"/>
Proof of Payment of FHA UFMIP / VA Funding Fee / USDA Guarantee Fee	<input type="checkbox"/>
Consent to Receive Electronic Disclosures	<input type="checkbox"/>
Certified Copy of Power of Attorney, if applicable	<input type="checkbox"/>
Intervening Assignment(s), if applicable	<input type="checkbox"/>
Buydown Agreement and Schedule, if applicable	<input type="checkbox"/>
4506C Completed and Signed at Closing (all sections complete and years noted)	<input type="checkbox"/>
Seller Closing Disclosure, if applicable	<input type="checkbox"/>
UCD - FNMA UCD Finding Report and FHLMC Loan Closing Advisor Certificate	<input type="checkbox"/>
Evidence of Payment of Insurance Premium for Single Premium MI	<input type="checkbox"/>
Payment History, if applicable	<input type="checkbox"/>
HUD 92561 (FHA 2-4 unit properties)	<input type="checkbox"/>
Informed Consumer Choice Disclosure Notice	<input type="checkbox"/>
FHA Case Query	<input type="checkbox"/>
Homeownership Counseling Disclosure and List of Agencies	<input type="checkbox"/>
Borrower Consent to the Use of Tax Return Information	<input type="checkbox"/>
Homebuyer Education Certificate, as applicable	<input type="checkbox"/>

Notes:

*This checklist is for guidance purposes only.