



Application Overview

Thank you for considering becoming a registered broker with Alliance Business Capital INC. (“Alliance”). Our registration process is outlined below. Please review the information and contact your Business Development Officer (“BDO”) if you have any questions. Alliance registration is required for all mortgage loan brokers who submit loans and all brokers must be registered before loans are funded.

Broker Criteria

The Broker must meet the following criteria:

- Be properly licensed and authorized to broker loans that meet Alliance product lines.
- Have been in business for at least two years. In cases of newer firms, principals should have at least five years’ experience in mortgage lending.
- Have a good reputation in the industry and a high level of professionalism and strong ethical standards.
- Have a “good standing” rating with all governmental licensing and revenue collection agencies and have a public record clear of any civil or criminal judgments. A Broker whose firm has been suspended, is currently under investigation by any agency or has an open judgment in excess of \$5,000 will not be approved or may not be renewed to do business with Alliance.

Documentation Requirements / Checklist

Broker is responsible for completing the application and submitting to Alliance. Documentation needed to support the Broker application may vary, but in all cases the following items are required from applicants:

- A completed **Broker Application Form**
- A completed and signed **Broker Agreement** *(Live signature required)*
- A completed and signed **W-9 form** *(Live signature required)*
- Copy of your **license(s)** *(if applicable)*

Please submit your complete application and exhibits to your BDO. Your application will then be processed and registration confirmation issued through your Regional Sales Manager.



Broker Application

Company Name (*Applicant / Entity Name*): _____

Company DBA (*if applicable*): _____

Physical Address: _____

City: _____ State: _____ Zip: _____

Primary Contact Person: _____ Title: _____

Phone Number: _____ Ext: _____ Email: _____

Company Website (*if applicable*): _____

Form of Organization

- Corporation
 Limited Liability Company
 Partnership
 Bank Charter
 Sole Owner
 Other: _____

Applicant is licensed or registered to broker loans in (*check all that apply*):

- AL AK AZ AR CA CO CT DE DC FL GA HI ID
 IL IN IA KS KY LA ME MD MA MI MN MS MO
 NE NV NH NJ NM NY NC ND OH OK OR PA RI
 SC SD TN TX UT VT VA WA WV WI WY

(Alliance offers SBA and USDA B&I Loans in all States as a Commercial Loan Intermediary. As a Commercial Lender we do not currently lend in AL, AK, AZ, CA, HI, MI, NY, NJ, ND, WV, OR, VT)

If closely held, list owners and relative ownership positions:

<u>Name</u>	<u>Position</u>	<u>Percentage Owned</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Has your company or any of its owners, partners, managers, or principals ever been suspended or terminated by any lender, state regulatory or licensing agency? No Yes (*please explain*)

Is the company or any of its owners, partners, managers or principals currently involved in any litigation that could affect the ability to perform as a broker? No Yes (*please explain*)



How did you hear about Alliance Business Capital (*check all that apply*):

- Alliance BDO Web Search Conference: _____
- Scotsman Guide Referral Other: _____

Authorization

Applicant certifies that the information provided herein is true and correct.

Date