



## Broker AML Certification

---

\_\_\_\_\_ (“Company”) hereby certifies to E Mortgage Management LLC, that Company has met and will meet on an ongoing basis all of the responsibilities and obligations listed below:

### RESPONSIBILITIES & OBLIGATIONS

1. Company has implemented and will maintain a satisfactory Anti-Money Laundering (AML) Program as required by 31 CFR Parts 1010 and 1029, including without limitation the following:
  - a. The development of effective internal policies, procedures, and controls;
  - b. The designation of a qualified compliance officer;
  - c. An ongoing AML employee training program; and
  - d. An independent audit function to test the AML Program
2. Company will perform all obligations under the Anti-Money Laundering laws and regulations, and any amendment thereto, as to (i) verifying the identity of each customer or client of Company, and (ii) monitoring, recordkeeping, reporting and other obligations regarding transactions and other activity with each customer.
3. To the extent not otherwise addressed above, Company and its agents or affiliates will operate in conformity with all applicable federal and state laws, rules and regulations in obtaining and/or processing loans that are ultimately funded or purchased by E Mortgage Management, LLC.
4. Broker will ensure that it obtains an independent audit by a duly qualified and unrelated party or employee of Company’s compliance with the requirements of the Anti-Money Laundering laws and regulations, including independent testing of such compliance.
5. Company will make any information and records regarding any of the above matters available to E Mortgage Management, LLC upon request.

### CERTIFICATION

The above is certified and verified as accurate by Company as of the date set forth below. Company will ensure the above remains accurate for so long as company has any dealings with E Mortgage Management, LLC and will promptly notify E Mortgage Management, LLC in the event that any of the above ceases to be accurate at any time.

**COMPANY:** \_\_\_\_\_

**Print Name:** \_\_\_\_\_

**Print Title:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_