



MORTGAGE BROKERAGE

Safety Guide

Financial Services

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Checklist Items

KEY BENEFITS

Best Rates

Provides access to competitive mortgage rates from multiple lenders.

Simplified Process

Simplifies the mortgage application process for borrowers.

Expert Advice

Offers expert advice tailored to client financial situations.

Time Savings

Saves time by handling paperwork and lender communication.

KEY HAZARDS & CONTROL MEASURES

Regulatory Non-compliance

- ✓ Compliance monitoring systems
- ✓ Staff compliance training
- ✓ Licensing maintenance
- ✓ Documentation standards

Fraudulent Activities

- ✓ Identity verification procedures
- ✓ Anti-fraud training
- ✓ Income documentation review
- ✓ Red flag protocols

Data Breaches

- ✓ Encrypted data storage
- ✓ Access control policies
- ✓ Secure document transmission
- ✓ Security training

Interest Rate Fluctuations

- ✓ Rate lock strategies
- ✓ Client communication
- ✓ Market monitoring
- ✓ Float-down options



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