



ANTI-MONEY LAUNDERING (AML) PROGRAM ATTESTATION

In compliance with the Final Rule issued by the Financial Crimes Enforcement Network (FinCEN) requiring non-depository residential mortgage lenders and originators to comply with the BSA/AML Rule under 31 C.F.R. 1029.210 “Anti-Money laundering programs for loan for finance companies”, _____, who is an approved non-depository loan brokerage/originator, attests that the company has implemented a compliant Anti-Money Laundering (AML) program as of August 13, 2012, which:

- Incorporates policies, procedures and internal controls based upon the loan or finance company’s assessment of the money laundering and terrorist financing risks associated with its products and services.
- Designates a compliance officer who will be responsible for ensuring that the AML program is implemented effectively, is updated as necessary and ensures appropriate persons are educated and trained in accordance with the new rule.
- Provides for on-going training of appropriate persons concerning their responsibilities under the program.
- Provides for independent testing to monitor and maintain an adequate program, including testing to determine compliance of the company’s agents and brokers with their obligations under the program.

T.J. Financial, Inc. may request documentation of the policies, procedures and internal controls from the broker company at any time, and by signing below, broker agrees to provide the documentation.

*****PLEASE EMAIL THIS COMPLETED FORM TO: brokerapproval@tjfinancial.com*****

Broker Company Name: _____ NMLS ID#: _____

Broker Company Address: _____

Owner Signature

Print Name

Date

Broker’s Signature

Print Name

Date