



Lic # OL01154

## TITLE AGENCY QUESTIONNAIRE

### Title Agents Underwriting Section

<i><b>Audit Procedures</b></i>	Yes	No
Is there an audit by an independent CPA or equivalent?		
How often?		
All locations?		
GAAP Certified?		
Date of last audit?		
Any material discrepancies reported? (If yes, please detail discrepancy and corrective measures adopted.)		

<i><b>Escrow Accounts</b></i>	Yes	No
Do you deposit and reimburse funds for closing and settlement?		
Have you been operating as a title agent under this or any other name for at least 3 years?		
Are separate files and accounting records maintained for each account?		
Does each file contain loan closing instructions?		
Does the file contain documentation of compliance with instructions?		
Are all closing funds deposited into separate trust accounts?		
Are all escrow or trust funds reconciled by an independent party on a monthly basis?		
Are you periodically audited by the title companies you represent?		
Does the principal or anyone having ownership interest have any unsatisfied judgements or liens?		

<i><b>Internal Controls</b></i>	Yes	No
Is the countersignature of check required? If yes, at what dollar amount is this required?		
If the countersignature of checks is not employed, who signs all checks?		
Are bank accounts reconciled by someone not authorized to deposit or withdraw money?		
Are securities subject to joint control?		
Are there formal procedures for wire transfer of funds? If yes, please attach a copy.		

### Title Insurance Companies Represented

<i><b>Name of Carrier</b></i>	<i><b>Contact</b></i>	<i><b>Telephone Number</b></i>