



## Examples of Services Provided to AMCs – This is not a contract

### Description of service

- AMC registrations.
- AMC registration reinstatements.
- AMC registration renewals.
- State business filings (secretary of state).
- State business annual filings (secretary of state).
- AMC National Registry Fee submissions (included in registration/renewal process or as an additional separate process).
- Additional state AMC regulator documents (e.g., special annual certification submission, etc.).
- State bond applications.
- State bond renewals.
  
- Vendor engagement letter review.
- Master vendor agreement review.
- Re-issuance of master vendor agreement to vendors.
- Procedures review, related to state requirements for processes-in-place.
  
- Review of state-required periodic reviews process.
  
- Vendor profile quality assurance (random selection) for required components, once annually.
- Valuation independence exam.
  
- Payment timeframe exam.
  
- State panel reviews, related to state panel-management reporting.
  
- File quality assurance (random selection of orders) for required components, including valuation independence issues.
  
- Coordinate vendor panel removal cases.
- Coordinate mandatory reporting cases.
  
- Revise forms, documents, engagement letters, etc.
- Develop and revise procedures.
- Customize special training.
  
- Assist in applications and renewals with Client's customers, such as initial application with lenders, annual renewals with lenders.
- Provide support with handling Client's customer issues; e.g., lender disputes, escalated issues, etc.
- Act as liaison with Client's platform or other service partners.
- Provide support with state AMC audits, state correspondence, etc.
  
- Coordinate Client's self-reporting of disciplinary actions, investigations, and similar actions to state AMC regulators.
- Coordinate Client's reporting of changes made to key persons, addresses, contacts, and other information to state AMC regulators, to state secretaries of state, to clients, and similar parties as applicable.
  
- Staff training, such as valuation independence (requirements, violations, revisions and reconsiderations), security, information retention, top-of-mind issues awareness.
- Review of training records, including key person requirements.
  
- Other general consulting, advice, guidance, training, or special projects.