

To complete this application:

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- Use the arrow keys to highlight a radio button; use the spacebar or return key to select a radio button or checkbox.

*To provide the highest level of customized service to our network of agents, Agents National Title (ANTIC) utilizes ALTA Best Practices as a baseline for reviewing and approving agency applications. Throughout this application, you'll see references to the ALTA Best Practices pillars.*

**I. General Information**

**A.** Name of your Agency:

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**B.** Your Agency is a:

Sole Proprietorship	Partnership	Corporation	LLC
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**C.** Your federal ID#: \_\_\_\_\_ **D.** Number of years in operation: \_\_\_\_\_

**E.** Primary address (enter on one line):

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**F.** Business phone: \_\_\_\_\_ **G.** Business email: \_\_\_\_\_

**H.** States to be appointed:

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**II. Ownership and Management Information**

**A.** List all active corporate officers, directors, partners, and 10%-or-more shareholders:

Name	Position	% Ownership
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**B.** Does any principal have, or in the past had, an ownership interest in another title company?    Yes    No

If yes, please explain:

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**C.** List other underwriters (active and inactive) and year appointed:

Underwriter	Date of initial appointment	Active or inactive
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**D. Are you in the process of discontinuing any active Agency relationships with any of the above underwriters?**

Yes    No

If yes, please explain:

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**E. Has your Agency ever been subject to any litigation or regulatory enforcement actions?**    Yes    No

If yes, please explain:

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**F. Has any principal ever filed for bankruptcy or filed/been part of a lawsuit?**    Yes    No

If yes, please explain:

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### III. Business and Operations Information

**A. Estimated annual net remittance to all underwriters:**

\$ \_\_\_\_\_

**B. Estimated annual net remittance to ANTIC:**

\$ \_\_\_\_\_

**C. Business % Allocation:** Purchase \_\_\_\_\_ Refinance \_\_\_\_\_ Commercial \_\_\_\_\_ Residential \_\_\_\_\_

**D. Source of business (select all that apply):**

Attorney

Bank/Credit Union

Builder

Developer

Mortgage banker

Real Estate Agent

Hard Money Lender

Investor

Other

**E. Does any single customer provide more than 20% of your total title business?**    Yes    No

If yes and the entity is affiliated, please provide the percentage and complete the Affiliated Business Addendum: \_\_\_\_\_

**F. Provide the name of software providers you currently use for each of the following:**

Title/policy production

Escrow

Accounting

**G. Does your Agency own or maintain a title plant?**    Yes    No

If yes, please provide a brief description of ownership and maintenance:

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**H. Title search and exam services are performed: (check all that apply)**

In-house

Third-party vendor

Underwriter

List all third-party search vendors:

**I. If your operation has multiple locations, is your search and exam centralized?**    Yes    No

If yes, please list locations:

If no, please explain the process:

**J. If your operation has multiple locations, is your policy delivery centralized?**    Yes    No

If yes, please list location or service company used:

**IV. Claims Information**

**A. Have any title losses/claims been paid by underwriters, agencies/firms?**    Yes    No

If yes, please explain and include the claim type, name of underwriter, date of claim, and amount paid:

Occurred in the past	# of claims	Amount paid	Underwriter	Claim type
1 year				
3 years				
5+ years				

**B. Does the agency/firm have any title insurance claims pending?**    Yes    No

If yes, please explain:

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## V. Best Practices Assessment

Does your Agency have an ALTA Best Practices self-certification, ALTA Best Practices third-party certification, or independent best practices certification?    Yes    No

*If yes, please provide and proceed to page 7. If no, please complete the following section regarding Best Practices Pillars:*

### Pillar 1 - Licensing

Does your Agency maintain written processes and procedures for current licensures as required to conduct business of title insurance and settlement services?

If yes, please provide. If no, please detail your process below:

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### Pillar 2 – Escrow Accounts

Does your Agency maintain written procedures and controls for escrow trust accounts, allowing for electronic verification of reconciliation?

If yes, please provide. If no, please describe your process below:

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Who is responsible for reconciling, monitoring, and reviewing the escrow bank account(s)? What is the frequency of this review (daily/monthly)? Are these procedures documented?

If yes, please provide. If no, please describe your procedures below:

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Does your Agency maintain written procedures and controls to ensure wire transactions are conducted by authorized employees with dual authentication? Who is permitted to initiate and approve wire transfers?

Does management review wire transfers for unusual activity? Do you conduct background checks at least every three years for these authorized individuals?

If yes, please provide. If no, please describe your procedures below:

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Does your Agency maintain written procedures and controls requiring designated personnel to verify the accuracy of wire instructions by calling the payee at a phone number obtained independently from any phone number shown on the loan package, email, or other documents provided by the third party (attorney, lender, realtor)?

If yes, please provide. If no, please describe below:

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Does your Agency maintain written procedures and controls allowing only designated personnel to authorize bank transactions? Does your Agency ensure background checks are obtained and reviewed during the hiring process and at least every three years thereafter for personnel authorized to perform bank transactions? Are background checks obtained and reviewed for all employees at least every five years?

If yes, please provide. If no, please describe below:

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Does your Agency require designated personnel to complete a wire preparation checklist similar to ALTA?  
[www.alta.org/advocacy/information-security](http://www.alta.org/advocacy/information-security)

If yes, please provide. If no, please describe your process below:

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### **Pillar 3 - Information Security**

Does your Agency maintain written policies and procedures to protect non-public information (NPI)?

If yes, please provide. If no, please describe your privacy policies below:

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Does your Agency maintain a written information security plan (WISP)?

If yes, please provide. If no, please describe your information security protocols below:

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#### **Pillar 4 - Settlement Policies and Procedures**

Does your Agency maintain written policies and procedures regarding regular employee training related to settlement services, premium calculation, document execution, and timely recording of legal documents?

If yes, please provide. If no, please describe below:

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Does your Agency maintain written policies and procedures regarding the oversight of signing professionals and the selection of remote notarization platforms?

If yes, please provide. If no, please describe below:

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#### **Pillar 5 - Policy Production, Delivery, Reporting, and Remittance Procedures**

Does your Agency have a written process to evaluate third-party production vendors?

If yes, please provide. If no, please describe below:

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Does your Agency maintain written procedures to ensure policy delivery, policy reporting, and premium remittance are timely?

If yes, please provide. If no, please describe below:

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#### **Pillar 6 - Insurance Coverages**

Does your Agency have written policies and procedures for maintaining appropriate professional liability insurance and bond coverage?

If yes, please provide. If no, please describe below:

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### **Pillar 7 - Consumer Complaints**

Does your Agency have written procedures for resolving consumer complaints?

If yes, please provide. If no, please describe below:

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### **VI. Additional Documentation**

Please provide all of the following with this application:

1. Individual credit application(s)
2. Resumes and bios (senior management and ownership)
3. Three months of escrow reconciliations
4. Organizational chart
5. Appropriate producer licenses (entity and individual)
6. E&O insurance policy
7. Financial statements covering the last 12 months or most recent tax return
8. Fidelity/surety, cyber, crime bond policy
9. Corporate documents: articles of incorporation and/or operating agreement
10. Affiliated Business Addendum (if applicable)
11. DBA and branch office names and addresses

*Note: If your Agency is a startup, please provide a written business plan, escrow signature card(s), and pro forma financial statements.*

### **Submitted by Agency's Authorized Principal:**

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

Print Name: \_\_\_\_\_ Title \_\_\_\_\_ Date \_\_\_\_\_