#1

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 2:26:02 PM
Last Modified:	Tuesday, May 26, 2020 2:26:43 PM
Time Spent:	00:00:40
IP Address:	██████████

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

Respondent skipped this question

Q2

1a. How are patches or security updates pushed out to remote devices?

Respondent skipped this question

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Respondent skipped this question

Q4

2. Does your company keep physical records at any branch?

Respondent skipped this question

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Respondent skipped this question

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Respondent skipped this question

Q7

4. Does the company have written policies and procedures governing the use of electronic data?

Respondent skipped this question

Q8

5. Does the company have a Chief Information Officer (CIO)?

Respondent skipped this question

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

Respondent skipped this question

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Respondent skipped this question

Q11

7. How many MLOs do you employ?

Respondent skipped this question

Q12

8. How many of your MLOs conduct business from a branch location?

Respondent skipped this question

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

Respondent skipped this question

Q14

9. How many of your MLOs conduct business otherwise remotely?

Respondent skipped this question

Q15

10. Must MLOs access the company mainframe via a VPN or similar system when collecting, storing, or working with a borrower's PII or other sensitive information?

Respondent skipped this question

Q16

11. Do your MLOs keep physical records? If yes, answer 11a. If no, skip to 12.

Respondent skipped this question

Q17

11a. If yes, describe what types of records MLOs keep

Respondent skipped this question

Q18

12. Does your company allow MLOs to conduct business via text messages? If yes, answer 12a. and 12b.

Respondent skipped this question

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

Respondent skipped this question

Q20

12b. Does your company use an API that captures those text messages?

Respondent skipped this question

Q21

13. Do you have MLOs working from home during Governor's Inslee's stay-home order that normally work in an office location? If yes, answer 13a. and 13b.

Yes

Q22

13a. Do you think working from home is working well?

Very well

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

We have provided more resources for virtual meetings.

#2

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 2:40:36 PM
Last Modified:	Tuesday, May 26, 2020 2:44:42 PM
Time Spent:	00:04:06
IP Address:	███████████

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

all

Q2

1a. How are patches or security updates pushed out to remote devices?

secure VPN connection

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Items are returned through our HR offices

Q4

2. Does your company keep physical records at any branch?

No

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Yes

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Yes

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

Chief Risk Officer

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Annually

Q11

7. How many MLOs do you employ?

8

Q12

8. How many of your MLOs conduct business from a branch location?

0

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

8

Q14

9. How many of your MLOs conduct business otherwise remotely?

8

Q15   **Yes**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16   **No**

11. Do your MLOs keep physical records? If yes, answer
11a. If no, skip to 12.

Q17   **Respondent skipped this question**

11a. If yes, describe what types of records MLOs keep

Q18   **Yes**

12. Does your company allow MLOs to conduct business
via text messages? If yes, answer 12a. and 12b.

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

Answering questions

Q20

12b. Does your company use an API that captures those text messages?

Not aware

Q21   **Yes**

13. Do you have MLOs working from home during
Governor's Inslee's stay-home order that normally work
in an office location? If yes, answer 13a. and 13b.

Q22

13a. Do you think working from home is working well?

Yes

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Yes.

#3

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 2:07:41 PM
Last Modified:	Tuesday, May 26, 2020 2:55:44 PM
Time Spent:	00:48:03
IP Address:	▇▇▇▇▇▇

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

laptop with 3M screen filter

Q2

1a. How are patches or security updates pushed out to remote devices?

Microsoft security essentials/ IT department remote access/ VPN

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Laptops are encrypted. laptops are immediate disabled remotely then required to be turned in with keys/ keyfobs and other company equipment as part of the exit checklist

Q4

2. Does your company keep physical records at any branch?

Yes

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Yes

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Yes

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

annually

Q11

7. How many MLOs do you employ?

8

Q12

8. How many of your MLOs conduct business from a branch location?

8

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

8 (employees live the life and job) they come and go freely

Q14

9. How many of your MLOs conduct business otherwise remotely?

8

Q15

10. Must MLOs access the company mainframe via a VPN or similar system when collecting, storing, or working with a borrower's PII or other sensitive information?

Yes

Q16

11. Do your MLOs keep physical records? If yes, answer 11a. If no, skip to 12.

No

Q17

11a. If yes, describe what types of records MLOs keep

Respondent skipped this question

Q18

12. Does your company allow MLOs to conduct business via text messages? If yes, answer 12a. and 12b.

Yes

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

no consumer data is to be transmitted via text, only general conversations regarding non-personal, non-confidential inform (like- who is your insurance agent? check your portal for disclosures that need to be signed today....)

Q20

12b. Does your company use an API that captures those text messages?

No

Q21

13. Do you have MLOs working from home during Governor's Inslee's stay-home order that normally work in an office location? If yes, answer 13a. and 13b.

Yes

Q22

13a. Do you think working from home is working well?

Yes

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Yes

#4

INCOMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 3:02:25 PM
Last Modified:	Tuesday, May 26, 2020 3:13:46 PM
Time Spent:	00:11:21
IP Address:	███████████

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

None. Company has a Bring Your Own Device Policy and remote solution is designed for this.

Q2

1a. How are patches or security updates pushed out to remote devices?

They are not.

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

N/A

Q4

2. Does your company keep physical records at any branch?

Respondent skipped this question

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

No

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Respondent skipped this question

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Annually

Q11   **Respondent skipped this question**

7. How many MLOs do you employ?

Q12   **Respondent skipped this question**

8. How many of your MLOs conduct business from a
branch location?

Q13   **Respondent skipped this question**

8a. How many of those MLOs conduct business from a
branch location that is the MLO's resident?

Q14   **Respondent skipped this question**

9. How many of your MLOs conduct business otherwise
remotely?

Q15   **Respondent skipped this question**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16

11. Do your MLOs keep physical records? If yes, answer 11a. If no, skip to 12.

Respondent skipped this question

Q17

11a. If yes, describe what types of records MLOs keep

Respondent skipped this question

Q18

12. Does your company allow MLOs to conduct business via text messages? If yes, answer 12a. and 12b.

Respondent skipped this question

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

Respondent skipped this question

Q20

12b. Does your company use an API that captures those text messages?

Respondent skipped this question

Q21

13. Do you have MLOs working from home during Governor's Inslee's stay-home order that normally work in an office location? If yes, answer 13a. and 13b.

Respondent skipped this question

Q22

13a. Do you think working from home is working well?

Respondent skipped this question

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Respondent skipped this question

#5

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 2:56:38 PM
Last Modified:	Tuesday, May 26, 2020 3:23:40 PM
Time Spent:	00:27:01
IP Address:	▮▮▮▮▮▮▮▮

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

1.   None. Company has a Bring Your Own Device Policy and remote solution is designed for this.

Q2

1a. How are patches or security updates pushed out to remote devices?

They are not. Remote access design does not necessitate patching a personal device.

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

N/A

Q4

2. Does your company keep physical records at any branch?

No

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

No

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Respondent skipped this question

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Annually

Q11

7. How many MLOs do you employ?

0 - 40 Registered LO's - Depository

Q12

8. How many of your MLOs conduct business from a branch location?

40

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

0

Q14

9. How many of your MLOs conduct business otherwise remotely?

40

Q15   **Yes**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16   **No**

11. Do your MLOs keep physical records? If yes, answer
11a. If no, skip to 12.

Q17   **Respondent skipped this question**

11a. If yes, describe what types of records MLOs keep

Q18   **Yes**

12. Does your company allow MLOs to conduct business
via text messages? If yes, answer 12a. and 12b.

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

General business. No confidential information to be shared.

Q20

12b. Does your company use an API that captures those text messages?

No

Q21   **Yes**

13. Do you have MLOs working from home during
Governor's Inslee's stay-home order that normally work
in an office location? If yes, answer 13a. and 13b.

Q22

13a. Do you think working from home is working well?

Yes

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Improved efficiencies. No commute time. People like the choice of working at home and/or in the office. Most don't want to only work at home. Not being able to print at home hasn't been an issue like we expected.

#6

`INCOMPLETE`

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 3:39:40 PM
Last Modified:	Tuesday, May 26, 2020 3:44:51 PM
Time Spent:	00:05:10
IP Address:	███████████

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

laptop, phone, tablet

Q2

1a. How are patches or security updates pushed out to remote devices?

Via VPN. The device must be connected to our network to receive the updates.

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Employees return the devices to the company. We track all their equipment and it's part of our termination checklist.to recover it.

Q4   **No**

2. Does your company keep physical records at any branch?

Q5   **No**

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Q6   **No**

3a. If yes, do the MLOs conduct business directly into the cloud?

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

we have a CIO, a compliance team and risk managers.

Q10

6. How often does the company conduct a risk assessment of its information security systems?

ongoing

Q11

7. How many MLOs do you employ?

500

Q12

8. How many of your MLOs conduct business from a branch location?

250

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

250

Q14

9. How many of your MLOs conduct business otherwise remotely?

250

Q15   **Yes**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16   **Yes**

11. Do your MLOs keep physical records? If yes, answer
11a. If no, skip to 12.

Q17

11a. If yes, describe what types of records MLOs keep

borrower copies EG paystubs, bank statements, etc.

Q18   **Yes**

12. Does your company allow MLOs to conduct business
via text messages? If yes, answer 12a. and 12b.

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

via our loan origination system they can conduct all manner of business.

Q20

12b. Does your company use an API that captures those text messages?

our LOS

Q21   **Yes**

13. Do you have MLOs working from home during
Governor's Inslee's stay-home order that normally work
in an office location? If yes, answer 13a. and 13b.

Q22

13a. Do you think working from home is working well?

very well.

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

The need for printing and keeping physical records secure is an ongoing conversation.

#7

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Tuesday, May 26, 2020 7:04:10 PM
Last Modified:	Tuesday, May 26, 2020 7:08:52 PM
Time Spent:	00:04:41
IP Address:	▮▮▮▮▮▮▮▮

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

N.A.

Q2

1a. How are patches or security updates pushed out to remote devices?

remote IT (contract service)

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

N.A.

Q4

2. Does your company keep physical records at any branch?

Yes

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Yes

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

Respondent skipped this question

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Quartrly

Q11

7. How many MLOs do you employ?

N.A.

Q12

8. How many of your MLOs conduct business from a branch location?

N.A.

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

N.A.

Q14

9. How many of your MLOs conduct business otherwise remotely?

N.A.

Q15

10. Must MLOs access the company mainframe via a VPN or similar system when collecting, storing, or working with a borrower's PII or other sensitive information?

No

Q16

11. Do your MLOs keep physical records? If yes, answer 11a. If no, skip to 12.

No

Q17

11a. If yes, describe what types of records MLOs keep

Respondent skipped this question

Q18

12. Does your company allow MLOs to conduct business via text messages? If yes, answer 12a. and 12b.

No

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

Respondent skipped this question

Q20

12b. Does your company use an API that captures those text messages?

Respondent skipped this question

Q21

13. Do you have MLOs working from home during Governor's Inslee's stay-home order that normally work in an office location? If yes, answer 13a. and 13b.

Yes

Q22

13a. Do you think working from home is working well?

Yes

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Yes

#8

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Wednesday, May 27, 2020 7:11:52 AM
Last Modified:	Wednesday, May 27, 2020 7:18:16 AM
Time Spent:	00:06:23
IP Address:	█████████

Page 1

Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

Laptop, monitors, docking station

Q2

1a. How are patches or security updates pushed out to remote devices?

Our IT dept handles all this and our computers, phones etc are updated automatically.

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Once terminated, all access is fully denied and the equipment is returned to IT.

Q4   No

2. Does your company keep physical records at any branch?

Q5   Yes

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

Q6   Yes

3a. If yes, do the MLOs conduct business directly into the cloud?

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Continually

Q11

7. How many MLOs do you employ?

2000

Q12

8. How many of your MLOs conduct business from a branch location?

Most in normal times. Right now very few.

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

Do not know.

Q14

9. How many of your MLOs conduct business otherwise remotely?

Many from time to time. We have a VPN system that we use.

Q15   **Yes**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16   **Yes**

11. Do your MLOs keep physical records? If yes, answer
11a. If no, skip to 12.

Q17

11a. If yes, describe what types of records MLOs keep

Marketing folder no borrower or loan info.

Q18   **Yes**

12. Does your company allow MLOs to conduct business
via text messages? If yes, answer 12a. and 12b.

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

General loan communication

Q20

12b. Does your company use an API that captures those text messages?

Not sure, most likely.

Q21   **Yes**

13. Do you have MLOs working from home during
Governor's Inslee's stay-home order that normally work
in an office location? If yes, answer 13a. and 13b.

Q22

13a. Do you think working from home is working well?

Yes, absolutely. More productive.

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

Yes, different expenditures for supplies

#9

COMPLETE

Collector:	Web Link 1 (Web Link)
Started:	Monday, June 01, 2020 2:17:42 PM
Last Modified:	Monday, June 01, 2020 2:24:17 PM
Time Spent:	00:06:34
IP Address:	▮▮▮▮▮▮▮▮

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Q1

1. Describe what type of devices the Company provides employees to use for remote work. (laptop, phone, desktop, tablet, etc.)

laptop & screens

Q2

1a. How are patches or security updates pushed out to remote devices?

automated updates, no control by the employee, they happen no matter what! :)

Q3

1b. How are company resources returned upon employee termination? (What happens to company issued equipment?)

Employee returns them to management, or the manager picks them up.

Q4

2. Does your company keep physical records at any branch?

No

Q5

3. Does the company use a cloud-based repository? If yes, answer 3a. If no, skip to 4.

No

Q6

3a. If yes, do the MLOs conduct business directly into the cloud?

No

Q7   **Yes**

4. Does the company have written policies and
procedures governing the use of electronic data?

Q8   **Yes**

5. Does the company have a Chief Information Officer
(CIO)?

Q9

5a. Who in the organization is in charge of the company's information security policies and procedures (title)?

CIO

Q10

6. How often does the company conduct a risk assessment of its information security systems?

Often! Weekly I am sure!

Q11

7. How many MLOs do you employ?

estimating 1,000 +/-

Q12

8. How many of your MLOs conduct business from a branch location?

All of them

Q13

8a. How many of those MLOs conduct business from a branch location that is the MLO's resident?

Right now, all of us due to COVID19

Q14

9. How many of your MLOs conduct business otherwise remotely?

Prior to COVID, none I am guessing

Q15   **Yes**

10. Must MLOs access the company mainframe via a
VPN or similar system when collecting, storing, or
working with a borrower's PII or other sensitive
information?

Q16   **No**

11. Do your MLOs keep physical records? If yes, answer
11a. If no, skip to 12.

Q17   **Respondent skipped this question**

11a. If yes, describe what types of records MLOs keep

Q18   **No**

12. Does your company allow MLOs to conduct business
via text messages? If yes, answer 12a. and 12b.

Q19

12a. Describe the activity MLOs are allowed to conduct through text messaging with borrower.

Nothing rate related, simple dialogs only.

Q20   **Respondent skipped this question**

12b. Does your company use an API that captures those
text messages?

Q21   **Yes**

13. Do you have MLOs working from home during
Governor's Inslee's stay-home order that normally work
in an office location? If yes, answer 13a. and 13b.

Q22

13a. Do you think working from home is working well?

YES, YES, YES, YES!!!! Less cars on the freeway, couple hours a day to do business other than driving!

Q23

13b. Are you learning anything during this time that you will implement if MLOs work from home in the future?

YES! Customers love that we are still accessible, they trust that we have their best interest by being available at all times!