

Vendor Relationship Risk Assessment Form

The following form shall be submitted to VendorManagement@WaterstoneMortgage.com prior to any contracted or paid Vendor relationships. The primary objectives of this assessment are to (1) identify risk issues in the relationship between the anticipated Vendor and WMC, and (2) provide a means to document the risk assignment.

Vendor Contact Information

Company Name: _____ Contact: _____

Address: _____ Telephone: _____

_____ Fax: _____

Email: _____

Anticipated Relationship Manager for the Vendor Relationship

Name: _____ Department: _____

Telephone: _____

Relationship Risk Assessment

Assessment Prepared By: _____ Date: _____

1. Describe the product or service to be provided:

2. Is the service provided material to WMC's ability to provide consumer financial products or services? (A material service is a service, without which, WMC would not be able to deliver minimally acceptable levels of customer service or operate at adequate capacity without the availability of this Vendor and its services.)

3. Will the anticipated Vendor have contact with consumers on behalf of WMC?

4. Will the anticipated Vendor have access to WMC's borrower data?

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5. Describe the key elements of the anticipated contract; including commencement date and term of the contract, specific obligations of the Vendor and WMC, and the warranties included in the contract?

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Senior Vice President Approval Required (wet signature required; no signature stamp, no e-signature)

Senior Vice President Signature

Date

Vendor Management Use Only

Date Received: _____

Vendor Type: _____

(if type not on quick assign list, Risk Rating must be assigned by Risk Committee)

Vendor Risk Rating: ☐ Critical ☐ Important ☐ Incidental

Vendor Manager Approval:

Date Approved: _____ Signed: _____

Information Systems Approval:

Date Approved: _____ Signed: _____

Financials Approval:

Date Approved: _____ Signed: _____

Legal or General Approval:

Date Approved: _____ Signed: _____