



## Instructor & Business Development Policies

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NMLS Provider #1400209

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## Contents

Mission Statement .....	3
Code of Ethics .....	3
Instructor Requirements .....	3
Approved Instructors and Authors .....	3
Hiring and Dismissal Policies .....	4
Attendance Policies and Classroom Rules .....	4
Privacy Policy .....	4
Registration Policy .....	4
NMLS Rules of Conduct for Students .....	4
Course Completion Certificate .....	4
End-of-Course Survey .....	4
Refund and Cancellation Policy .....	4
Data and Document Retention Policy .....	5
Exhibit A .....	6
Exhibit B .....	7



## **Mission Statement**

The mission of Mortgage Training and Compliance LLC (MTC) is to provide comprehensive training to prepare new Loan Originators for a career in the mortgage industry. Our further mission is to educate existing Loan Originators in changes and updates in the mortgage industry.

## **Code of Ethics**

Mortgage Training and Compliance, LLC will conduct its business honestly and ethically wherever we operate in the United States. We will constantly improve the quality of our services, products and operations and will create a reputation of integrity in our knowledge of mortgage laws, practices and procedures.

Any party that represents Mortgage Training and Compliance, LLC will:

- Be familiar with all information created by and presented by Mortgage Training and Compliance, LLC
  - Keep informed of changes to the industry, federal law and compliance information
- Treat any proprietary, confidential or business-sensitive information as confidential and will not disclose any such information to any party other than those that the information pertains to.
- Report any complaints or problems that occur through the course of business to the owner of Mortgage Training and Compliance, LLC.

## **Instructor Requirements**

Before an instructor can provide courses written by Mortgage Training and Compliance, LLC they must provide the following:

- Current resume showing a minimum of 5 years of mortgage experience in origination of mortgage loans
  - Including experience of originating Conventional, FHA, VA and USDA mortgages
- A minimum of 3 references from parties in the industry recommending the person as an instructor for Mortgage Training and Compliance LLC.
- Have a clear LOP/GSA check

## **Approved Instructors and Authors**

Barbara Werth is approved as an author of materials and a class instructor Alan Kositzke is approved as an author of material and a class instructor

## **Hiring and Dismissal Policies**

- At the present time Mortgage Training and Compliance LLC is not going to have any W2 employees
- Any parties that represent Mortgage Training and Compliance, LLC will do so on a sub-contractor basis

## **Attendance Policies and Classroom Rules**

Mortgage Training and Compliance, LLC provides classes in classroom format. In order to students to get credit for attending the class the following are required:

- Roll-call will be taken at the beginning of each class, also after breaks and lunch
- Students must attend all hours of the class in order to get credit
- Students may not work on anything during class, and may not be distracted by cell phones with texting or phone calls during the class
- Students that miss time in the class or are not attentive will not receive credit for the class hours that are affected

## **Privacy Policy**

- MTC does not have any non-public information for class attendees, and any information that MTC has will not be shared with any other party other than the NMLS for entry of education credits.

## **Registration Policy**

Students can register for classes by going to [www.themtgttrainer.com](http://www.themtgttrainer.com) and clicking Contact Us. Dates will then be provided to register, and the student will:

- Pick out the class they wish to attend
- Pay the invoice for the class

## **NMLS Rules of Conduct for Students**

All students will be provided with the Rules of Conduct via email after prior their CE class. The student is to acknowledge or sign the document and return it to MTC, all pages are required. MTC will keep copies of the Rules of Conduct for each student for a period of 5 years.

## **Course Completion Certificate**

The current Course Completion Certificate is provided in Exhibit A

## **End-of-Course Survey**

The End-of-Course survey is provided in Exhibit B and will be emailed to course attendees.

## **Refund and Cancellation Policy**

- All class fees are due prior to or at the time of the class.
- If a student needs to cancel a class that they have registered for they will receive credit toward any future class. The credit is transferable and does not expire.
- If a student is a "no show" they can reschedule for a future class and will have a credit for the class if paid prior to the start of the class.

- Mortgage Training and Compliance LLC reserves the right in its discretion to reschedule or cancel an event for which there are an insufficient number of registrants, for inclement weather, or for other circumstances.
- In the event of cancellation by Mortgage Training and Compliance LLC, registrants may enroll in the next available offering or may cancel the registration and receive a full refund of fees paid.

### **Data and Document Retention Policy**

MTC will retain copies of all versions of manuals for a period of 5 years. MTC will keep the manuals updated as changes occur in mortgage law and regulations.



# Certificate of Completion 8 Hours 2025 Continuing Education



Name Click or tap here to enter text.

NMLS ID# Click or tap here to enter text.

Date Completed Click or tap to enter a date.

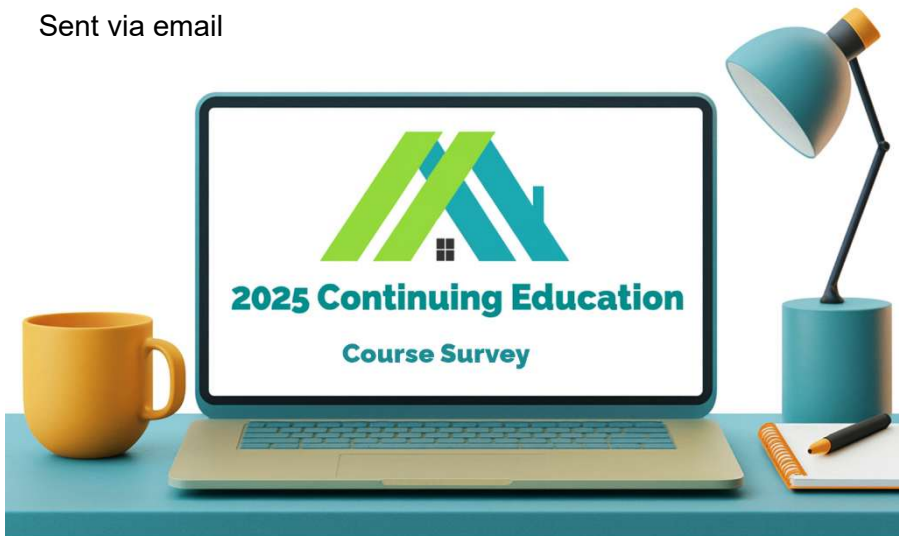
Certified by Barbara Werth

Date Completed Click or tap to enter a date.



**Exhibit B**

Sent via email



You recently completed 2025 Continuing Education with Mortgage Training.  
Please take a moment to complete our survey.

You can hit Reply and complete the form in this email and send it back.

Thank you in advance for your assistance in this matter.

Name (Optional) :     Click or tap here to enter text.

I feel that the Continuing Education class was worth the time.

Choose an item.

I would recommend this class to others in my office.

Choose an item.

Please rate the instructor on a scale of 1-10, 10 being best

Choose an item.

Please rate class content on a scale of 1-10, 10 being best

Choose an item.

MTC can use comments I make in this survey on their website

Choose an item.

Please list any comments or suggestions that you have regarding the Continuing Education Course.  
Click or tap here to enter text.