

REPORTS REQUIRED FOR THRESHOLD AND MULTI-LENDER REPORTING BROKERS

RE 4633 (Rev. 7/18)

	Type of Report		DRE Form #	Completed By	Due	Applicable Laws
Private Money Loan Brokering or Servicing ("Threshold")	Initial Notification		RE 853	Broker	30 days of meeting the threshold criteria	BPC 10232(e)
	Quarterly Trust Fund Status Reports	If trust funds were handled:	RE 855 & RE 856	Broker	30 days after the end of each of the broker's first three fiscal quarters	BPC 10232.25(a), BPC 10232.25(b), Reg 2846.8
		If trust funds were <i>not</i> handled:	RE 854	Broker	30 days after the end of each of the broker's fiscal quarters	BPC 10232.25(d), Reg. 2846.8
	Annual Trust Account Review (TAR)	If trust funds were handled:	n/a*	Independent CPA	90 days after the end of the broker's fiscal year (or by May 31 if the fiscal year ends between November 30 and February 28/29 inclusive)	BPC 10232.2(a), Regs 2846.5 and 2846.7
		If trust funds were <i>not</i> handled:	RE 854	Broker (notarized)		BPC 10232.2(b)
	Annual Business Activity Report (BAR)		Online Submission	Broker	90 days after the end of the broker's fiscal year	BPC 10232.2(c), Regs 2849.01 and 2849.1
	Material Change to Reporting		RE 853	Broker	When fiscal year ending month is changed or when company name is changed	BPC 10232.25(e)
Cancellation of Reporting		RE 853	Broker	30 days of no longer meeting the threshold criteria	BPC 10236.5	
Multi-Lender Loan Servicing ("Multi-Lender")	Initial Notification		RE 860	Broker	30 days after the first transaction	BPC 10238(a), BPC 10238(b)
	Quarterly Multi-Lender Trust Account Reports		RE 852	Independent CPA	30 days after the end of each of the broker's fiscal quarters [fourth quarter report is not required if filing an annual TAR]	BPC 10238(j)(4), BPC 10238(j)(5), BPC 10238(j)(6), BPC 10238(k)(3)
	Annual Trust Account Review (TAR) [If also a threshold reporter, submit a combined TAR.]		n/a*	Independent CPA	90 days after the end of the broker's fiscal year (or by May 31 if the fiscal year ends between November 30 and February 28/29 inclusive)	BPC 10238(o), Regs 2846.5 and 2846.7
	Annual Business Activity Report (BAR) [If also a threshold reporter, submit a combined BAR.]		Online Submission	Broker	90 days after the end of the broker's fiscal year	BPC 10238(p), Regs 2849.01 and 2849.1
	Material Change to Reporting**		RE 860	Broker	30 days of any material change	BPC 10238(a), Reg. 2846.1
	Cancellation of Reporting		RE 860	Broker	30 days of no longer meeting the multi-lender servicing criteria	BPC 10238(a)

*Narrative report formats are available at www.dre.ca.gov/licensees/samplerreports.html

**Includes changes to fiscal year ending month, servicing agent, etc.