

Third-Party Servicer Compliance Audit Information Pages

Compliance Audit Information Page:

1. Does the current audit guide (<http://www2.ed.gov/about/offices/list/oig/nonfed/sfa.html>) contain procedures for all of the Title IV services or functions performed by <name of servicer> on behalf of higher education institutions? Yes or No. *If yes, the user will proceed to the questions below. If no, user will be requested to submit an exemption request.*
2. Indicate the Period Audited (mm/dd/yyyy).
3. Review your auditor information. *Users will enter information regarding auditor firm/name of auditor for audit being submitted.*

Enter Auditor's TIN:

- Auditor's Name*:
- Audit Firm Name*:
- Audit Firm Address*: (Address 1, Address 2, City, State, Country)
- Phone #*:
- Fax # (Optional):
- Email*:

4. Opinion Type? *Users will select from list provided.*

Completeness Checklist Page:

1. List of items required to be included in audit.
2. Contact Information/Additional Information:

Please let us know who to contact with questions regarding this submission?

Third-Party Servicer President/CEO Contact:

Name: **Email:** **Phone:**

Firm and CPA Contact:

Firm Name: **Auditor Name:** **Email:** **Phone:**

Enter any additional notes:

Upload Attachments Page: *User will attach required documents as required by submission:*

Compliance Audit
Corrective Action Plan (if required)
Other (Optional)

Submit Page – Submit to ED.

Exemption Request for FYE:

User will be required to attach letter to submit following guidelines provided:

Please use the fields below to upload a letter with your request, stating the entity contracts with only one participating institution and the attestation engagement of that institution's audit involves every aspect of the entity's administration of the Title IV programs. You must include the name and OPE of the institution you contract with in the letter. Please note the letter must be in PDF format. Once all fields have been populated, select submit. Selecting "Cancel" will return you to the home page without saving or submitting your information.

File*: No file chosen

Exemption Requested
for FYE*: