

# Document Custodian Partial Transfer Pooling Processes and Systems Training Webinar

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## PRESENTER

**Wade Gayle**, Bank of New York Mellon



## PRESENTATION ASSISTANTS

**James Lee**, Bank of New York Mellon

**Maribel Canaan**, Bank of New York Mellon

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## AGENDA

- ❖ Types of Document Custodian Transfer Requests (GinnieNET)
- ❖ Overview of Document Custodian Partial Transfer Requests
- ❖ Document Custodian Partial Transfer Demo (Manual Entry and Import)
- ❖ Quick Tips
- ❖ Q&A
- ❖ Resources



# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## ACCESSING GINNIE NET VIA MGM

The screenshot shows the MGM portal navigation menu. At the top, there are three main sections: 'Communities', 'Tools', and 'Knowledge Center'. The 'Tools' section is highlighted with a red arrow. Below this, there are three columns of applications. The first column is 'Applications' with items: RFS, eNOTE. The second column is 'IPMS' with items: PTS, MAMS, RPN, CM, Verify Role Assignment. The third column is 'Other Applications' with items: GinnieNET (highlighted with a red arrow), GEMS, IRD, PDD Validation Tool. To the right of these columns is a 'Bookmarks' section with an 'Edit' link, listing various services like AllRegs, eMBS, FHA Website, Ginnie Mae, HUD Locator, MBA, MBS - GA, MBS Guide, RH, VALERI, Bloomberg, FHA Connection, Fitchratings, HUD, Issuer Calendar, MBS - DD, MBS - MDS, Pay.gov, and VA - HUD.

1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.
2. Then navigate to **GinnieNET** under **Other Applications**.

The screenshot shows the 'Welcome To GinnieNET On The Web' page. At the top, it says 'GinnieMae' and 'Welcome To GinnieNET On The Web'. Below this, there is a disclaimer about OMB approval and a table of forms. The table has columns for 'Form', 'Form Name', 'Estimated Completion Time', and 'Purpose'. Below the table, there is a note about a request to extend the expiration date and a 'Close' button.

Form	Form Name	Estimated Completion Time	Purpose
11705	Schedule of Subscribers	30 minutes	To establish a contract between the issuer and Ginnie Mae and to provide a listing of subscribers and other information needed to prepare a MBS.
11706	Schedule of Pool Mortgages	15 minutes	To provide a means of identifying and controlling the mortgages that collateralize the designated MBS pools or loan packages. It also provides a certification from the issuer's document custodian that required mortgage documents are being held by the document custodian on behalf of Ginnie Mae.
11708	Request Release of Documents	5 minutes	To provide a means of identifying and tracking issuer's request to remove mortgage documents being held by the document custodian that collateralize the designated MBS pools or loan packages.
11709A	ACH Debit Authorization	5 minutes	To authorize the depository and Ginnie Mae's Agent to electronically debit issuer's principal and interest payments and guaranty fee payments.
11710D	Issuer's Monthly Summary Report	15 minutes	To provide Ginnie Mae a summary of information on issuer's outstanding pools or loan packages, to provide a certification as to the accuracy of the information being reported and to provide a format for RBS reporting.
11711B	Certification and Agreement	2 minutes	To provide for a certification by the issuer that the releases (forms 11711A) provided by the issuer to the document custodian encompass all mortgages in a pool or loan package.
11714	Issuer's Monthly Remittance Advice	2 minutes	To provide summary information to the security holder with respect to the current month's account transactions and calculation of the security holder's pro rata share percentage of total cash distribution.
117145N	Issuer's Monthly Serial Note Remittance Advice	2 minutes	To provide summary information to the security holder of Serial Note securities with respect to the current month's account transactions and calculation of interest and principal to be distributed, and data with respect to the redemption of Serial Units.
11715	Master Custodial Agreement	10 minutes	To provide a form for establishment of a custodial relationship for the safekeeping of mortgage documents in the pools or loan packages backing each of the issuer's securities issues.
11732	Certification for Construction Loans	5 minutes	Form applies to Ginnie Mae 1 multifamily program only. It is used to provide notification to Ginnie Mae of receipt of documentation pertinent to the issuance of securities by the document custodian.

Note: A request to extend the expiration date on the above listed forms has been submitted to OMB for their approval.

Close

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## GINNIENET MAIN MENU

### GinnieNET On The Web Main Menu

- Data Entry/Review
  - New Pool Processing**
  - Certifications**
    - Single Family Processing**
    - HMBS Pool Processing**
    - Common**
      - [Issuer \(Transfer\) Recertification](#)
      - [Custodian \(Transfer\) Recertification](#)
      - [HUD 11708](#)
      - [Document Custodian Transfers](#)
      - [Apply Ginnie Mae Edits - Recertification](#)

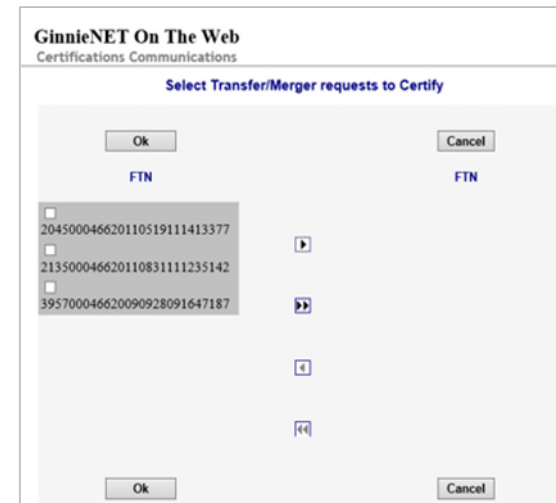
### GinnieNET On The Web Document Custodian Transfers

New Custodian:	<input type="text" value="Not Selected"/>
Transfer Type	<input type="text" value="Not Selected"/>
Transfer Date Month/Year:	<input type="text" value="09"/> / <input type="text" value="2021"/>
Regulating Authority:	<input type="text" value="Not Selected"/>
Transfer Status:	<input type="text" value="Not Selected"/>

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## OVERVIEW DOCUMENT CUSTODIAN PARTIAL TRANSFER

- All Document Custodian Transfer Requests are submitted via GinnieNET.
- Four types of Document Custodian Transfer Requests:
  - 1) Complete Document Custodian Transfer
  - 2) Partial Document Custodian Transfer
  - 3) Complete Document Custodian Merger
  - 4) Partial Document Custodian Merger
- Complete and Partial Transfer Requests
  - Recertification of transferred pools are due 12 months of the effective date of transfer.
- Complete and Partial Merger Requests
  - Do not require a new recertification of the affected transferred pools, the status of the pool pre-merger will remain the same.
- **Important:** Once Issuer submits the Transfer Request the New Document Custodian must certify the pending Transfer request prior to the specified Effective Transfer Date.



# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## OVERVIEW DOCUMENT CUSTODIAN PARTIAL TRANSFER

### Partial Document Custodian Transfer Request

An Issuer will select this option to execute a Partial Transfer of pools/loan packages for its Ginnie Mae portfolio from an old document Custodian to the new document Custodian. A pool list must be attached with this request and only the pools identified will be transferred to the new document Custodian identified. All existing document Custodians must be identified for this request with an attached pool list for each existing document Custodian. **Recertification for all transferred pools are due twelve (12) months from the effective date of transfer.**

### Partial Document Custodian Merger Request

An Issuer will select this option to execute a Partial Merger-Related Transfer of pools/loan packages of its Ginnie Mae Portfolio when a transfer is within the same Document Custodian Corporate Institution (the Document Custodian Identification Number will change). A pool list must be attached with this request and only the pools identified (on the pool list) will be transferred to the new document Custodian. All existing document Custodians must be identified for this request with an attached pool list for each existing document Custodian. **Ginnie Mae does not require the Recertification of the reassigned (transferred) pools for a merger.**

### Import File

The import file must consist of **only the 6 digit pool number** (456789, or CD3456), the Issue Type and Pool Type are not needed. The import file should be developed as a **flat file**, a csv or excel file will not import successfully in GinnieNET.

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## GINNIENET DOCUMENT TRANSFER DEMONSTRATION –PARTIAL TRANSFER





# DOCUMENT CUSTODIAN PARTIAL TRANSFER


## GINNIENET DOCUMENT TRANSFER MENU / HOST COMMUNICATIONS

**GinnieNET On The Web**  
Certifications Communications

**Certifications Communications Selections**

<p><b>Single-family Final Certifications</b></p> <p><a href="#">Select Single-Family Final Certification Pools to Certify</a></p> <p><b>No Single-family Final Certification Pools to be Certified</b></p>	<p><b>Recertification</b></p> <p><input checked="" type="radio"/> Select from the List <input type="radio"/> Create List Manually</p> <p><a href="#">Select Recertification Pools to Certify</a></p> <p><b>No Recertification Pools to Certify</b></p>
<p><a href="#">Select Single-family Final Certification Pools to Reject</a></p> <p><b>No Single-family Final Certification pools to Reject</b></p>	<p><input checked="" type="radio"/> Select from the List <input type="radio"/> Create List Manually</p> <p><a href="#">Select Recertification Pools to Reject</a></p> <p><b>No Recertification pools to Reject</b></p>
<p><b>Document Custodian Transfer</b></p> <p><a href="#">Select Transfer/Merger Requests to Certify</a></p> <p><b>FTN</b></p> <p>204500046620110519111413377 <a href="#">Remove</a></p> <p><a href="#">Select Transfer/Merger Requests to Reject</a></p> <p><b>No Transfer/Merger requests to Reject</b></p>	<p><b>HUD 11708 Reports</b></p> <p><a href="#">Select HUD 11708 Reports to Acknowledge</a></p> <p><b>No HUD 11708 Reports to Acknowledge</b></p> <p><a href="#">Select HUD 11708 Reports to Return</a></p> <p><b>No HUD 11708 to Return</b></p>
<p><b>HMBS Final Certifications</b></p> <p><a href="#">Select HMBS Final Certification Pools to Certify</a></p> <p><b>No HMBS Final Certification Pools to be Certified</b></p> <p><a href="#">Select HMBS Final Certification Pools to Reject</a></p> <p><b>No HMBS Final Certification pools to Reject</b></p>	

**Submit**



# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## QUICK TIPS

- ✓ For Partial Document Custodian Transfer or Merger, the Issuer is required to submit a completed list of the pools being transferred; as well as the pool listing(s) for Existing Document Custodian(s).
- ✓ The Issuer should enter an Effective Date of Transfer as a business day of the month at least three (3) days past the current date and not more that six months past the current date.
- ✓ If a pool is transferred with a Final Certification pending when the new Issuer completes the pending Final Certification that certification will close out both open Final Certification and pending Recertification from the recent transfer.
- ✓ An e-Notification of approval or rejection is sent to Issuer and new Document Custodian.



Pool listing may be imported or key entered directly into GinnieNET.

Issuer should make sure all the necessary documentation is forwarded to the new Document Custodian before the Partial Document Custodian Request is performed in GinnieNET. The new Document Custodian should not certify any transmission unless they have all the appropriate pool documentation.

[GinnieNET On The Web Issuer Single Family Training Guide](#)

Section 6.8 Documents Custodian Transfer, Page 89

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## QUESTIONS & ANSWERS



Q&A





# RESOURCES

# DOCUMENT CUSTODIAN PARTIAL TRANSFER

## USER GUIDES

### **MyGinnieMae Organization Administrator Guide**

[https://www.ginniemae.gov/issuers/issuer\\_training/Documents/mgm\\_orgadmin\\_userguide\\_102018.pdf](https://www.ginniemae.gov/issuers/issuer_training/Documents/mgm_orgadmin_userguide_102018.pdf)

### **GinnieNET User Guide**

<https://www.ginniemae.gov/issuers/Pages/GinnieNETTrainingGuides.aspx>

**Ginnie Mae Customer Support: 1-833-466-2435, option 1**  
[ginniemae1@bnymellon.com](mailto:ginniemae1@bnymellon.com)