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## APPENDIX VI-11

### FORM HUD 11714SN - ISSUER'S MONTHLY SERIAL NOTE REMITTANCE ADVICE RECORD LAYOUT

- Applicability:** Ginnie Mae I MBS Program.
- Purpose:** To be used by the issuer to provide remittance information to Ginnie Mae confirming that the issuer's certificated holders were paid in accordance with the MBS Guide Chapter 15 and other sections as applicable. This reporting layout provides information about the holders of the certificates, the current month's remittance transactions, interest and principal to be distributed, and outstanding balance. Monthly Remittance Advice data must be submitted electronically, in accordance with this appendix; or entered online to Ginnie Mae's Reporting and Feedback System (RFS). **Prepared by:** Issuer of record for the securities (or subcontract servicer). **Distribution:** Electronic form. Submitted via the Ginnie Mae Enterprise Portal File Upload application
- Due Date:** Data is due by 7 PM (Eastern Time) on the 8<sup>th</sup> business day.

#### Ginnie Mae Remittance Advice Reporting File Layout

Document Version	History
Version 1.0	Initial Version

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## File Naming instructions for Submitting Remittance Data Files to Ginnie Mae:

The file naming convention for a submission file is as follows:

rmtyyyymmss.iiii where:

- “rmt” is constant
- “yyyymm” is the reporting year/month (the Ginnie Mae reporting period)
- “ss” is a file sequence number; the default value is 01; if needed this number should be incremented by one for every subsequent file submitted during the same reporting period.
- “iiii” is the Issuer ID number for the issuer (Ginnie Mae 4 digit issuer ID number)

## File and Record Layout Structure

1. All records in the file must be of length 200. Records with lengths less than 200 may be processed by Ginnie Mae’s system. However records with length greater than 200 will be rejected.
2. The files do not have an overall header or trailer for the file.
3. The files do have individual records of the following types, and can be organized by each security holder, as follows:
  - a. “H” Record ---Header Record (See layout below for header record)
  - b. “D” Record ---Detail Record (See layout below for detail record)
  - c. “T” Record ---Trailer Record (See layout below for detail record)
4. The three record types occur as “sets” within the file. For each security holder there will be a Header Record; one or more Detail Records; and one Trailer Record. If for example there were 100 security holders there would be 100 “sets” of records in the file. If one security holder had three certificates for 3 different pools, there will be one Header Record; three Detail Records; and one Trailer Record.
5. All records and fields are fixed length per the layouts provided below.
6. Signed Fields are signified by over-punch characters. The sign in the signed numeric fields must be represented as an over-punch in the rightmost position of the field. The over-punch character also represents the significant digit of the number being reported.
7. Implied decimal point fields are defined in the layout. Decimals, as required by the particular field specification are always implied. Do not report explicit decimal points in the data.
8. Zero fill (right justify and numeric fill to the left) numeric fields as required by the layout.
9. The layouts below are fixed length fields that are also defined in terms on COBOL file description to clarify the signed numeric field, implied decimal point requirements.
10. **NOTE:** See MBS Guide Appendix VI-10 for the 11714 Serial Note Remittance Advice record layouts. The Header and the Trailer records are exactly the same. The Detail records are different between the 11714 D Record and the 11714SN D Record. These two D records can be reported in the same file, with the same Header and Trailer record. Detail records for one Security Holder, with 11714SF certificates and 11714SN certificates can be reported in a single file within a single Header and Trailer record for the Security Holder.

**File Layout for Ginnie Mae Remittance Advices**  
**The following is the file layout required for electronic submission**

**Record Type H**  
**File Header Record**

Field #	Field Name	Start	End	Type	Length	Remarks
1	Record Type	1	1	Character	1	PIC X Constant H - Header
2	Issuer ID	2	5	Numeric	4	PIC 9(4) Must be a valid Issuer ID.
3	Issuer Name	6	55	Character	50	PIC X(50)
4	Security Holder	56	85	Character	30	PIC X (30)
5	Pay Date	86	91	Date	6	PIC 9(6) MMDDYY
6	Create Date	92	97	Date	6	PIC 9(6) MMDDYY
7.	Filler	98	200		103	PIC X(103)

Header Record Field Descriptions:

1. Record Type: "H" for Header Record.
2. Issuer ID: Issuer Number that Ginnie Mae assigned to the organization.
3. Issuer Name: The name of the Issuer Institution.
4. Security Holder: The name of the Security Holder.
5. Pay Date: The date the Security Holder is to be paid.
6. Create Date: The date the file was created.

**Record Type D  
HUD 11714SN Detail Record**

Field #	Field Name	Start	End	Type	Length	Remarks
1	Record Type	1	1	Character	1	PIC X Constant D - Detail
2	Pool Indicator	2	2	Character	1	PIC X X or M
3	Pool Number	3	8	Character	6	PIC 9(6) Must be a valid Pool number.
4	Certificate Number	9	20	Character	12	PIC X(12)
5	Interest Rate	21	27	Signed Numeric	7	PIC S99V9(5) 9999999
6	Pro Rata Share Percentage	28	38	Signed Numeric	11	PIC S9(3) V9(8) 99999999999
7	Principal Amount	39	50	Signed Numeric	12	PIC S9(10) V99 999999999999
8	Interest Due Amount	51	62	Signed Numeric	12	PIC S9(10) V99 999999999999
9	Additional Principal Amount	63	74	Signed Numeric	12	PIC S9(10) V99 999999999999
10	Adjustment Amount	75	86	Signed Numeric	12	PIC S9(10) V99 999999999999
11	Federal Tax Amount	87	98	Signed Numeric	12	PIC S9(10) V99 999999999999
12	Total Amount Due	99	112	Signed Numeric	14	PIC S9(12) V99 99999999999999

Field #	Field Name	Start	End	Type	Length	Remarks
13	Outstanding Balance	113	128	Signed Numeric	16	PIC S9(14) V99 9999999999999999
14	Explanation	129	188	Character	60	PIC X(60)
15	First Unit	189	191	Numeric	3	PIC X(3)
16	Last Unit	192	194	Numeric	3	PIC X(3)
17	First Redeemed Unit	195	197	Numeric	3	PIC X(3)
18	Last Redeemed Unit	198	200	Numeric	3	PIC X(3)
	Record Length		200			

Header Record Field Instructions:

1. Record Type: "D" for Detail Record.
2. Pool Indicator: Must be a valid Pool Indicator for the pool.
3. Pool Number: A number uniquely assigned by Ginnie Mae to identify the pool.
4. Certificate Number: This is a 12 position field that must be reported as follows:
  - a. First 8 positions; report the specific certificate number for the holder
  - b. Positions 9 and 10, report the Pool Type SF or SN
  - c. Positions 11 and 12; report blanks (spaces)
5. Interest Rate: The interest rate for the certificate. This is a signed field, always report the over-punch character in the right most position.
6. Pro Rata Share Percentage: The holders pro rata share per the certificate (original principal amount of the security holder's securities divided by the original principal amount of the entire pool, carried out to eight decimal places). This is a signed field, always report the over-punch character in the right most position.
7. Principal Amount: The principal amount for the certificate. This is a signed field, always report the over-punch character in the right most position.
8. Interest Due Amount: The interest due the Security Holder this period. This is a signed field, always report the over-punch character in the right most position.
9. Additional Collections: Any additional principal collections, if applicable. This is a signed field, always report the over-punch character in the right most position.
10. Adjustments: Adjustments for this period, if applicable. This is a signed field, always report the over-punch character in the right most position.
11. Federal Tax: Federal income tax withheld from interest, if applicable. This is a signed field, always report the over-punch character in the right most position.
12. Total Amount Due: The total amount due the Security Holder this period. This is a signed field, always report the over-punch character in the right most position.
13. Outstanding Balance: The outstanding balance of the Certificate. This is a signed field, always report the over-punch character in the right most position.

14. Explanation: Any explanation for the items in the file (if any).  
 15. First Unit: The first Serial Unit of the Serial Note Security.  
 16. Last Unit: The last Serial Unit of the Serial Note Security.  
 17. First Redeemed Unit: The first Serial Unit of the Serial Note Security to be redeemed.  
 18. Last Redeemed Unit: The last Serial Unit of the Serial Note Security to be redeemed.

**Record Type T  
File Trailer Record**

Field #	Field Name	Start	End	Type	Length	Remarks
1	Record Type	1	1	Character	1	PIC X Constant T - Header
2	Record Count	2	9	Numeric	8	PIC Z(8)
3	Total Amount Due	10	25	Numeric	16	PIC S9(14) V99
	Filler	26	200			PIC X(175)
	Record Length		200			

Trailer Record Field Instructions:

1. Record Type: "T" for Trailer Record.
2. Record Count: The number of records the Issuer is reporting in this file. This field is to be right justified, and do not zero fill to the left.
3. Total Amount Due: The total amount due being reported in this file, for all of the Detail records total amount due.

**Issuer's Monthly Serial Note Remittance Advice**

**U.S. Department of Housing and Urban Development**  
Government National Mortgage Association

OMB Approval No. 2503-0033 (Exp. 05/31/2016)

Public reporting burden for this collection of information is estimated to average 1 minute per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Ginnie Mae agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

The information is required by Sec. 306(g) of the National Housing Act or by Ginnie Mae Handbook 5500.3, Rev. 1. The purpose of this information is to provide summary information to the holders of Serial Note securities with respect to the current month's account transactions, calculation of interest and principal to be distributed, and data with respect to the redemption of Serial Units. The information will not be disclosed outside of the Department except as required by law.

To the following Security Holder:

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Ginnie Mae pool/commitment Number	Date
Serial Note Certificate Number	Reporting Month
Serial Units Number	Security Interest Rate

<input type="checkbox"/> The check for distribution of interest for the above reporting month is enclosed.	<input type="checkbox"/> The check will be forwarded separately but no later than the 15 <sup>th</sup> of the month.	<input type="checkbox"/> The remittance will be made electronically on the 15 <sup>th</sup> of the month or, if the 15 <sup>th</sup> is not a business day, on the next business day.	<input type="checkbox"/> The remittance includes payment for Serial Unit(s) retired during the above reporting month.
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A. Cash distribution due Security Holder for interest	\$
B. Less Federal income tax withheld from interest (if any)	\$ -
C. Cash distribution due Security Holder for retirement of _____ Serial Unit(s) No. _____; at \$25,000 each	\$
D. Total cash distribution due Security Holder	\$
E. Outstanding balance of this certificate after credit of the above distribution	\$

F. The last Serial Unit redeemed was number \_\_\_\_\_ on \_\_\_\_\_ 15, 20 \_\_\_\_\_

G. The scheduled maturity date of such Serial Unit was \_\_\_\_\_ 15, 20 \_\_\_\_\_

H. The number of outstanding Serial Units under this Serial Note is \_\_\_\_\_

Explanation for items above:

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.  
**Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Issuer	Authorized Signature
Street Address	City and State

Previous editions are obsolete.