Single Family Issuer Training

Ginnie Mae Pooling Processes and Systems Training
SINGLE FAMILY ISSUER TRAINING

PRESENTERS

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Introduction

Path of the Pool

Prerequisites for Pooling

GinnieNET: New Pool Processing Module

GinnieNET: Certification Module

Pool Transfer System: Pool Transfers

GinnieNET: Document Custodian Transfer Requests
Path of the Pool
PATH OF THE POOL

- Pool Submission, Processing, Issuance & Delivery Diagram
- Pooling Timeline
- Knowledge Check
Pool Issuance & Delivery
Integrated Pool Management System (IPMS)

1. Pool submission
2. Initial certification
3. Daily sweeps

### Pooling Requirements
Issuers must be enrolled in GinnieNET and GMEP via MGM

To submit pools, issuers must have:
- Available Pool Numbers
- Sufficient Commitment Authority
- Approved Master Agreements

### MGM/GinnieNET
Issuers submit pools

### GinnieNET
Network swept 2pm EST and 9pm EST for certified pools

### IPMS - NPPS
Pool files revalidated on the New Pool Processing System (NPPS) in IPMS

New Issue File with CUSIP numbers is transmitted to the FRBNY

### FRBNY
Pool Delivery file created for pool settlements

### Central Registry
Security Issuance

Ginnie Mae Pool Processing Agent
### INITIAL CERTIFICATION

**GinnieNET** network is swept twice each business day for processing and issuance of pools certified by the Document Custodian.

<table>
<thead>
<tr>
<th>Time</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2:00 PM Sweep</strong> of Certified Pools/Loan Packages</td>
<td>Pools certified prior to 2:00 PM EST will be considered 1 Day Processing and may be delivered for settlement the next business day.</td>
</tr>
</tbody>
</table>

#### Deleting Pools after Certification

- Issuers have until 12 Noon to perform an Auto-Delete on GinnieNET. After 12 Noon but before 4:00 PM EST, Issuers must contact the Ginnie Mae Help Desk at 1-800-234-4662, option 1 or 3 for assistance with deleting pool(s).

<table>
<thead>
<tr>
<th>Time</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>9:00 PM Sweep</strong> of Certified Pools/Loan Packages</td>
<td>Pools certified after 2:00 PM EST but before 9:00 PM EST will be considered 2 Day Processing and may be delivered for settlement in two business days.</td>
</tr>
</tbody>
</table>

#### Deleting Pools after Certification

- Issuers have until 12 Noon to perform an Auto-Delete on GinnieNET. After 12 Noon but before 4:00 PM EST, Issuers must contact the Ginnie Mae Help Desk at 1-800-234-4662, option 1 or 3 for assistance with deleting pool(s).
If I want to check the status of a pool, who can I call?

When can I Recall/Auto-Delete a Certified Pool?

If I miss the window for Auto-Delete what can I do?
Prerequisites for Pooling
PREREQUISITES FOR POOLING

- Introduction to MyGinnieMae (MGM) Portal
- Enroll on MGM
- Request Secure ID Token
- Master Agreements
- Commitment Management
- Request Pool Numbers
- Knowledge Check
INTRODUCTION TO MYGINNIEMAE

INTRODUCTION TO MGM PORTAL

MyGinnieMae is a single gateway to all Ginnie Mae’s systems, applications, and resources, that boosts efficiency for our business partners. The portal provides enhanced security and a single entry-point to all approved applications for individual users, as well as a seamless user registration and access request process for both the user and the approving authority.

MyGinnieMae will eventually replace GMEP 1.0 and serve as a primary platform for extending information technology (IT) capabilities to the Ginnie Mae community. MyGinnieMae delivers security features which Ginnie Mae established.

Access MyGinnieMae at https://my.ginniemae.gov using any of these web browsers.

MyGinnieMae Organization Administrator Guide
### Organization Administrators

Organization Administrators are privileged users who control system access, assign functional roles, and perform other user management activities. These individuals are responsible for ensuring that End Users at their respective organizations are provided the appropriate level of access for their business role with Ginnie Mae and for the maintenance of those user accounts. Formerly known as Security Officers and Enrollment Administrators.

<table>
<thead>
<tr>
<th>User Type</th>
<th>Responsibility / Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operations Administrator</td>
<td>Operations Administrators have general oversight of the Portal. They can only provide final acknowledgement of access requests and cannot make any changes to end user accounts. This function is provided by BNYM Operations on behalf of Ginnie Mae, with Ginnie Mae Information Security serving as the Super Administrator over the entire system.</td>
</tr>
</tbody>
</table>
| Organization Administrator | Organization Administrators have the privilege to invite end users to register for a Portal account, approve user registration, initiate access request via functional role assignment to user and approve the access request within a single organization.  

Note: Separation of duties within the registration and access request workflows does not allow the Organization Administrator to initiate a registration and approve that same registration nor request access via functional role assignment and approve that same access request. A minimum of two Org Admins are required and it is recommended to have more than the minimum from an operational perspective. |

| End User                   | End Users are the various types of Ginnie Mae employees, business partners, and contractors who require access to the business applications and information within the Portal, including various self-service functions. |
**End Users** are provided access based on their business activities which are organized into meaningful access profiles called Functional Roles. Use of Functional Roles ensures users have appropriate level of access in relation to their job functions/responsibilities, enforces the least privilege principle, and makes the account provisioning/de-provisioning actions easier for Organization Administrators. These roles are grouped and vary by type (Single Family, Multi-Family, HECM, etc.).

<table>
<thead>
<tr>
<th>Role Name</th>
<th>Role Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SF-Loan Delivery and Pooling Basic User</td>
<td>Upload/enter pool and loan information for delivery; verify availability of commitment authority; clear document deficiencies and pooling exceptions; access to prepare but not execute PIIT/TAI transactions.</td>
</tr>
<tr>
<td>SF-Loan Delivery and Pooling Authorized Signer</td>
<td>Only for HUD 11702 signatories. All rights of a Loan Delivery and Pooling Basic User, plus; authority to submit pools for issuance, request additional commitment authority and execute PIIT/TAI transactions.</td>
</tr>
<tr>
<td>HECM-Compliance and Oversight User</td>
<td>Review portfolio servicing and investor reporting metrics and reports; oversee subservicer performance when applicable.</td>
</tr>
<tr>
<td>SS-Investor Reporting Basic User</td>
<td>Submit monthly pool and loan level accounting data; submit quarterly custodial account verification data; review monthly remittance information, review monthly reporting exception feedback and errors</td>
</tr>
</tbody>
</table>
INTRODUCTION TO MGM PORTAL

PORTAL LOGIN SCREEN

“Logging into MyGinnieMae” Quick Reference Card
Inside MyGinnieMae, the **My Dashboard** screen will appear. My Dashboard is a landing page that has been tailored for different user types, to provide easier access to key information and applications.
PREREQUISITES FOR POOLING

ISSUER RESPONSIBILITIES

✓ Enroll as user on the MyGinnieMae (MGM) portal with functional roles that allow the upload of Master Agreements.
  ✓ Form HUD 11702 – Identifies authorized signers.

✓ GinnieNET Access.

✓ Request sufficient Commitment Authority to guarantee MBS issuance.

✓ Obtain pool numbers.

MGM PORTAL

Upload Master Agreements / Form HUD 11702 – Identifies authorized signers

RSA SecurID Quick Reference Card

Government National Mortgage Association Systems Access Forms
Appendix III-29(E)-Ginnie Mae Systems Access/RSA SecurID Token Request, Page 28
1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.

2. Then look for **MAMS** under **Applications**.

3. Select **MASTER AGREEMENTS**.
MASTER AGREEMENTS

Ginnie Mae Issuers must complete an initial Master Agreement submission to be eligible to issue Ginnie Mae pools. Issuers are required to submit a complete set of Master Agreements which consists of the forms listed in the table below.

Detailed information about each required Master Agreement is provided in the Master Agreements Management System (MAMS) Guide

<table>
<thead>
<tr>
<th>Form Number</th>
<th>Form Name</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Form HUD 11702</td>
<td>Resolution of Board of Directors and Certificate of Authorized Signatures</td>
<td>Page 11</td>
</tr>
<tr>
<td>Form HUD 11703-II</td>
<td>Master Agreement for Participation Accounting</td>
<td>Page 12</td>
</tr>
<tr>
<td>Form HUD 11707</td>
<td>Master Servicing Agreement</td>
<td>Page 13</td>
</tr>
<tr>
<td>Form HUD 11709</td>
<td>Master Agreement for Servicer’s P&amp;I Custodial Account</td>
<td>Page 14</td>
</tr>
<tr>
<td>Form HUD 11709-A</td>
<td>ACH Debit Authorization (Does not Require Renewal)</td>
<td>Page 15</td>
</tr>
<tr>
<td>Form HUD 11715</td>
<td>Master Custodial Agreement</td>
<td>Page 16</td>
</tr>
<tr>
<td>Form HUD 11720</td>
<td>Master Agreement for Servicer’s Escrow Custodial Account</td>
<td>Page 17</td>
</tr>
</tbody>
</table>
Ginnie Mae Issuers are responsible for initiating the documentation required to complete the Master Agreements Submission process. Details about the forms and processes required to complete the submission process are provided in:

**Master Agreements Management System (MAMS) Guide**

In addition:

The **MAMS Quick Reference Card** provides procedures and information for the topics listed below.

- Create a Form
- Print Agreements
- Upload/Import Completed Forms
- Search/View Forms
- Submission Center
On an annual basis Issuers must recertify their eligibility by completing the renewal process.

Ginnie Mae requires the renewal of Master Agreements annually between: October 1 – December 31.

Important to start renewal process as early as October 1 to reduce year-end spike in volumes.

If an Issuer does not complete their renewal process within the stated period they will not be eligible to issue Ginnie Mae pools and will have to repeat the initial submission process.
1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.
2. Then look for **CM** under **Applications**.
3. Select **COMMITMENT MANAGEMENT**.
COMMITMENT MANAGEMENT

COMMITMENT AUTHORITY (CA) REQUESTS

An Issuer must comply with Ginnie Mae’s eligibility requirements and have sufficient Commitment Authority available to successfully issue Ginnie Mae securities.

Commitment Authority allows an Issuer to issue up to an authorized dollar amount of securities and constitutes a commitment line balance.

The Commitment Management (CM) Application replaces the manual submission of documents, submission of fees via www.pay.gov and provides an Issuer with an automated method to:

- Submit requests for Commitment Authority
- Confirm the associated commitment fee
- Proactively monitor their Commitment Authority balance and request status
- Submit payment instructions for ACH debit of commitment fees
- Request reports
An Issuer must comply with Ginnie Mae’s eligibility requirements and have sufficient Commitment Authority available to successfully issue Ginnie Mae securities. Commitment Authority allows an Issuer to issue up to an authorized dollar amount of securities and constitutes a commitment line balance.

The Commitment Management (CM) Application replaces the manual submission of documents, submission of fees via [www.pay.gov](http://www.pay.gov), and provides an Issuer with automated methods for the following procedures.

### Commitment Management Application Issuer Guide

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Page #’s</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submit requests for Commitment Authority</td>
<td>Pages 6 – 9</td>
</tr>
<tr>
<td>Confirm the associated commitment fee</td>
<td>Page 12</td>
</tr>
<tr>
<td>Proactively monitor their Commitment Authority balance and request status</td>
<td>Pages 14, 27</td>
</tr>
<tr>
<td>Submit payment instructions for ACH debit of commitment fees</td>
<td>Page 10</td>
</tr>
<tr>
<td>Request reports</td>
<td>Pages 18 - 21</td>
</tr>
</tbody>
</table>
The Commitment Management Quick Reference Card provides procedures and necessary information for:

- Commitment Management (CM) Summary Screen
- View Submitted Requests
- Run Reports
REQUEST POOL NUMBERS (RPN)

ACCESSING REQUEST POOL NUMBERS (RPN) VIA MGM

1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.
2. Then look for **RPN** under **Applications**.
3. Select **REQUEST POOL NUMBERS**.
Request Pool Numbers (RPN) is an application that Ginnie Mae Issuers use to request pool numbers. It replaces the current paper form HUD 11700 Letter of Transmittal for Commitment Authority and/or Pool Numbers.

In the Request Pool Numbers (RPN) application, Issuers have the ability to perform the following procedures.

### Request Pool Numbers Application Issuer Guide

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Page #’s</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter requests for pool numbers</td>
<td>Pages 9 – 10</td>
</tr>
<tr>
<td>View available pool numbers queue</td>
<td>Page 31</td>
</tr>
<tr>
<td>Submit override requests to Ginnie Mae Account Executives for additional pool numbers</td>
<td>Page 14</td>
</tr>
<tr>
<td>View status reports</td>
<td>Page 33</td>
</tr>
<tr>
<td>Request and download reports</td>
<td>Page 26</td>
</tr>
<tr>
<td>Receive real-time approval of requests</td>
<td>Page 32</td>
</tr>
</tbody>
</table>
The Request Pool Numbers Quick Reference Card provides procedures and necessary information for:

- RPN Summary Screen
- Request Pool Numbers
- Download Number Requests
- View Status of Pool Numbers
- Run Reports
PREREQUISITES FOR POOLING

PRE-POOL SUBMISSION ISSUER REQUIREMENTS

- Ensure there are Assigned Pool Numbers
  ✓ Check your Available Pool Numbers on Request Pool Numbers

- Ensure there is adequate Commitment Authority
  ✓ Check Commitment Management

- Ensure there are completed Master Agreements on File
  ✓ Check Master Agreements Management System
    - Complete Form HUD 11709A – ACH Debit Authorization Form
### PREREQUISITES FOR POOLING

#### KNOWLEDGE CHECK

**✓ Where do you go to submit your Master Agreements?**
- a) GMEP 1.0
- b) MyGinnieMae Portal
- c) GinnieNET

**✓ A RSA Token is required to submit your request for Commitment Authority.**
- a) True
- b) False

**✓ Pool Numbers must be requested after pool is submitted.**
- a) True
- b) False
Working in GinnieNET
New Pool Processing Module
NEW POOL PROCESSING MODULE

- Accessing GinnieNET
- Pool Import/File Layout
- System Demonstration
  - GinnieNET On The Web Issuer Single Family Training Guide
- Apply Ginnie Mae Edits
- Host Communications/Pool Submission
- Report/Forms
- Group Case Study
- Common Errors
- FAQs
NEW POOL PROCESSING MODULE

ACCESSING GINNIE NET VIA MGM

1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.

2. Then look for **GinnieNET** under **Other Applications**.
GINNINET POOL IMPORT / FILE LAYOUT

GinnieNET On The Web

Main Menu

- Data Entry/Review
- Data Export/Import
  - New Pool Processing
    - Import Single-family Pools (New format)
    - Import Single-family Mortgages (New format)
    - Export Single-family Pools (New format)
    - Import Single-family Pools (Old format)
    - Import Single-family Mortgages (Old format)
    - Export Single-family Pools (Old format)
- Upload RG Anex
- Certifications
- Investor Reporting
- Host Communications
- Reports
- Maintenance

Brings up file layout within GinnieNET.

GinnieNET Single Family Import File Layouts
NEW POOL PROCESSING MODULE

GINNINET ON THE WEB SYSTEM DEMONSTRATION
NEW POOL PROCESSING MODULE

POOL ISSUANCE AND DELIVERY


In the Table of Contents click on the Section, Figure or Table number provided to access each topic listed below.

<table>
<thead>
<tr>
<th>Topic/Procedure</th>
<th>Section/Figure/Table</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Obtain &amp; Activate SecureID Token</td>
<td>Section 2  SecurID Token</td>
<td>Page 3</td>
</tr>
<tr>
<td>Log In to GinnieNET</td>
<td>Section 3 Security Administration, 3.1 Logging in to GinnieNET</td>
<td>Page 5</td>
</tr>
<tr>
<td>Single Family Pool Details</td>
<td>Table 5: 11705 Screen Elements</td>
<td>Page 25</td>
</tr>
<tr>
<td>GinnieNET Single Family Pools Detail</td>
<td>Table 6: 11705 Screen (Form Elements)</td>
<td>Page 29</td>
</tr>
<tr>
<td>GinnieNET Single Family Mortgage Details</td>
<td>Table 7: 11706 Screen (Form Elements)</td>
<td>Page 35</td>
</tr>
<tr>
<td>View Master Agreement Record</td>
<td>Section 4.1 Master Agreements</td>
<td>Page 17</td>
</tr>
<tr>
<td></td>
<td>Figure 21: GinnieNET Master Agreements Screen</td>
<td>Page 18</td>
</tr>
<tr>
<td>Final Certification</td>
<td>Section 6.1: Final Certification</td>
<td>Page 68</td>
</tr>
<tr>
<td>Pool Submission</td>
<td>Section 8.4 Issuer Communications – Pool Submit</td>
<td>Page 101</td>
</tr>
</tbody>
</table>
✓ Ginnie Mae Edits must be passed before a pool can be posted to the Network.

✓ This function checks the pool and mortgage data against Ginnie Mae MBS Guide requirements.

✓ If there are errors, individual records must be corrected and Ginnie Mae Edits must be applied again.

✓ A pool is not available for transmission to the Network until it passes all Ginnie Mae Edits.

GinnieNET On The Web Issuer Single Family Training Guide
Section 5.12 Apply Ginnie Mae Edits, Page 65
NEW POOL PROCESSING MODULE

SELECT POOLS FOR APPLYING EDITS

GinnieNET On The Web
Apply Ginnie Mae Edits for Single-family
Section 5.12: Steps 1 – 3, Page 65
Figure 77: Certification and Agreement, Page 65

GinnieNET On The Web
Apply Ginnie Mae Edits for Single-family
Section 5.12: Steps 4 – 5, Page 66
Figure 78: Apply Ginnie Mae Edits Screen, Page 65
GinnieNET On The Web Issuer Single Family Training Guide

Error Messages
Section 5.13: Error Messages, Page 66
Table 22: Ginnie Mae Edit Report Error Messages, Page 67
Ginnie Mae Edits Report
Figure 80: Apply Ginnie Mae Edits Screen: Ginnie Mae Edit Error Report, Page 67
NEW POOL PROCESSING MODULE

GINNIE NET POOL SUBMISSIONS – HOST COMMUNICATIONS

Welcome Jo Mar (1500)

GinnieNET On The Web
Issuer Communications

Host Communications Selections

Select Pools to Submit

Pools to be Submitted
No Pools to be Submitted

For assistance to delete pools that had been included in a 2:00 pm sweep
Contact the GinnieNET Helpdesk at 1-800-234-6662 (GNMA), option 1

Select Pools to Delete

Pools to be Deleted
No Pools to be Deleted

Add Pools to Accept

Pools to be Accepted
No Pools to be Accepted

Attention!!!
Master Agreements Recertifications are no longer available in GinnieNET

Submit

GinnieNET On The Web Issuer Single Family Training Guide
Section 8.4 Issuer Communications – Pool Submit, Page 101
NEW POOL PROCESSING MODULE

GINNIE NET POOL SUBMISSIONS – HOST COMMUNICATIONS
GinnieNET On The Web Issuer Single Family Training Guide
Section 9 Reports: 9.1 New Pool Processing, Page 132
NEW POOL PROCESSING MODULE

GROUP CASE STUDY

LOGIN
To MGM
- Select group’s assigned pool
- Run Business Rules / Validation

REVIEW
Business Validation Message(s)
- Analyze Error Message(s)

CORRECT
Errors
- Take Corrective Action(s)

REPORT
Results
- Was Corrective action successful?
- Provide details
COMMON GINNIE NET ERRORS

✓ Incorrect Maturity Date on the Pool Details Screen
  o Cross Check Latest Last Pay Date of Loans with Pool Maturity Date.

✓ Subscriber Total Position does not equal the Pool Amount
  o Cross check total position entered on the Subscriber Screen with the total Pool Amount (Pool Details Screen).

✓ Cannot Submit Pool On Host Communications
  o Must apply Ginnie Mae Edits prior to submitting pool.

SUGGESTION
Update Maturity Date on the Pool Details Screen.

Update the Subscriber Position Amount(s).

Check pool status on Pool Details Screen to ensure status reads ‘Passed Edits’.
NEW POOL PROCESSING MODULE

FAQs

1. My Pool was Issued and I need to pull it back. Who do I contact?
   
   Please contact your Ginnie Mae Account Executive for guidance.

2. I need to adjust my delivery Instructions and my pool was submitted/Certified.
   
   Please call Ginnie Mae Help Desk 1-800-234-4662, option 3.

3. What are the cut off times for New Pool Submissions?
   
   Pool Dates Calendar is available on the Ginnie Mae website. It contains reporting deadlines and events specific to Issuers.
GinnieNET
Certification Module
GINNIE NET CERTIFICATION MODULE

- Initial Certification (Document Custodian Process)
- Request for Release of Documents (11708)
- Final Certification/Recertification
- Knowledge Check
1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.

2. Then look for **GinnieNET** under **Other Applications**.
When the pool has been submitted to the GinnieNET network, the Document Custodian must certify the pool.

GinnieNET sends an e-Notification to the Custodian advising that there is a pool awaiting certification.

The Custodian completes the certification in GinnieNET. This initiates the pool processing timeline.
GinnieNET On The Web Issuer Single Family Training Guide
Section 8.8 Certifications Communications, Page 112
Section 8.8.1 Link Options, Table 38: Certifications Communications Menu Options, Page 112
HUD 11708 – REQUEST FOR RELEASE OF DOCUMENTS

GinnieNET On The Web
Main Menu

- Data Entry/Review
  - New Pool Processing
  - Certifications
    - Single Family Processing
    - Common
      - Issuer (Transfer) Recertification
      - Custodian (Transfer) Recertification
      - HUD 11708
      - Document Custodian Transfers
      - Apply Ginnie Mae Edits - Recertification
- Data Export/Import
- Host Communications
- Reports
- Maintenance

GinnieNET On The Web Issuer Single Family Training Guide
Section 6.7 HUD 11708 Request for Release of Documents Screen, Page 85
Once a new pool is issued, the issuer is required to perform a Final Certification which must be completed no later than 12 months after the issue date of the related securities.

If there is an Issuer Portfolio Transfer or Document Custodian Transfer, the Issuer of record is required to submit a Recertification for all affected pools 12 months from the Effective Transfer Date to Ginnie Mae.

✓ All Recertifications are on a pool level and are to be submitted via GinnieNET.
Issuer selects GinnieNET menu option for Recertifications
- Issuer enters pools to be re-certified
- GinnieNET sends the pool numbers to be re-certified to GinnieNET

Issuer retrieves loan detail from GinnieNET for final certification

Issuer completes certification process (including loan substitution)
- Issuer selects option to apply certification edits
- GinnieNET edits pools and flag those that pass the edits

Issuer selects option to transmit certified pools
- GinnieNET transmits loan details of pools to be certified by the custodian

Custodian performs certification.
- GinnieNET sends eNotification to the custodian that there is a pool to be certified in GinnieNET

GinnieNET CERTIFICATION MODULE

GINNIE NET FINAL CERTIFICATION AND RECERTIFICATION PROCESS FLOW
GINNIE NET CERTIFICATION MODULE

GINNIE NET – POOL RETRIEVAL FOR FINAL CERTIFICATION

GinnieNET On The Web Issuer Single Family Training Guide
Section 6.1 Final Certification, Page 68
GinnieNET Certification Module: Final Certification / Recertification

GinnieNET On The Web Issuer Single Family Training Guide
Section 8.8.4 Recertification, Page 113
Who initiates Final Certifications on GinnieNET?
1. The Pool Processing Agent
2. The Document Custodian
3. The Issuer
4. Ginnie Mae Account Executive

Final Certification is due:
a) Within 12 Months after the pool is submitted
b) Within 18 Months after the pool’s issue date
c) Within 12 Months after the pool’s issue date

Which Reason Codes are not applicable when completing the HUD Form 11708 “Request for Release of Documents”?
I. Paid in Full
II. Credit Score Drop
III. Loan Substitution
IV. Default
Pool Transfer System
Pool Transfers
POOL TRANSFER SYSTEM

- Types of Pool Transfers
- Overview of Issuer Transfer Process on PTS
- Case Study - Group Exercise
## TYPES OF POOL TRANSFERS

<table>
<thead>
<tr>
<th>Pool Transfer Type</th>
<th>Purpose of Transfer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standard Pool</td>
<td>The Selling Issuer transfers pools to another Issuer by mutual agreement.</td>
</tr>
<tr>
<td>Related Pool Party</td>
<td>The Selling Issuer transfers pools to another Issuer by mutual agreement. Issuers are related.</td>
</tr>
<tr>
<td>Merger</td>
<td>The Selling Issuer transfers all pools to a related Issuer due to internal reasons in a business merger. The Merging Issuer initiates the process.</td>
</tr>
</tbody>
</table>
PTS provides an automated means for the Issuer to do the following:

- Initiate and update pool transfer request information
- Import and update pool numbers being transferred
- View and receive the associated approval documentation
- Approve or reject pool transfer requests from the Selling Issuer
- Access and view reports
- Confirm associated transfer fees
POOL TRANSFER SYSTEM

ACCESSING PTS VIA MGM

1. From any screen in the MGM portal, select the **Tools** dropdown at the top of the screen.

2. Then look for **PTS** under Applications.

3. Select **POOL TRANSFER**.
The Pool Transfer System Quick Reference Card provides procedures and necessary information for:

- Request Pool Transfer Screen
- Request New Transfer
- Submission Center
- View Status / Accept Pool Transfers
- Run Reports
GROUP CASE STUDY

✓ Divide class into four Teams
1. Provide worksheet to teams to accept Pool Transfers.
2. Two Groups of Buying Issuers and Selling Issuers.

✓ Execute Transfers
1. Buying Issuer logs into MGM.
2. Accepts PTS.
3. Reviews and accepts pending pool transfer.

✓ Generate PTS Report
1. Successfully run reports.
2. View information.
Document Custodian Transfer Requests - GinnieNET
DOCUMENT CUSTODIAN TRANSFER REQUESTS

- Types of Document Custodian Transfer Requests (GinnieNET)
- Overview of Document Custodian Transfer Requests Process
- Quick Tips
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 Request –
- Does 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.
## GinnieNET Document Transfer Menu / Host Communications

<table>
<thead>
<tr>
<th>GinnieNET On The Web</th>
<th>Certifications Communications Selections</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Single-family Final Certifications</strong></td>
<td><strong>Recertification</strong></td>
</tr>
<tr>
<td>Select Single-Family Final Certification Pools to Certify</td>
<td>Select from the List  ○ Create List Manually</td>
</tr>
<tr>
<td>No Single-family Final Certification Pools to be Certified</td>
<td>Select Recertification Pools to Certify</td>
</tr>
<tr>
<td></td>
<td>No Recertification Pools to Certify</td>
</tr>
</tbody>
</table>

| **Select Single-family Final Certification Pools to Reject** | **No Single-family Final Certification pools to Reject** |

<table>
<thead>
<tr>
<th><strong>Document Custodian Transfer</strong></th>
<th><strong>HUD 11708 Reports</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Select Transfer/Merger Requests to Certify</td>
<td>Select HUD 11708 Reports to Acknowledge</td>
</tr>
<tr>
<td>FTN 20450004662011051911413377 Remove</td>
<td>No HUD 11708 Reports to Acknowledge</td>
</tr>
<tr>
<td>Select Transfer/Merger Requests to Reject</td>
<td>Select HUD 11708 Reports to Return</td>
</tr>
<tr>
<td>No Transfer/Merger requests to Reject</td>
<td>No HUD 11708 to Return</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>HMBS Final Certifications</strong></th>
<th><strong>Select HMBS Final Certification Pools to Reject</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Select HMBS Final Certification Pools to Certify</td>
<td>Select HMBS Final Certification Pools to Reject</td>
</tr>
<tr>
<td>No HMBS Final Certification Pools to be Certified</td>
<td>No HMBS Final Certification pools to Reject</td>
</tr>
</tbody>
</table>

Submit
Quick Tips

✓ For Complete Document Custodian Transfer or Merger, the Issuer is required to submit a completed pool list.

✓ 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 a 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.

GinnieNET On The Web Issuer Single Family Training Guide
Section 6.8 Documents Custodian Transfer, Page 89
Q&A
RESOURCES

MANUALS, QRCs, FAQs

MyGinnieMae Organization Administrator Guide

MyGinnieMae End User Guide
https://www.ginniemae.gov/issuers/issuer_training/Documents/%E2%80%8Cmyginniemae_end_user_guide.pdf

Master Agreements Management System (MAMS) Guide
https://www.ginniemae.gov/issuers/issuer_training/Documents/Master_Agreements_Management_System.pdf

GinnieNET On The Web Issuer Single Family Training Guide

Commitment Management Application Issuer Guide

Request Pool Numbers Application Issuer Guide

Pool Transfer System for Issuers

Government National Mortgage Association Systems Access Forms
https://ginniemae.gov/issuers/program_guidelines/MBSGuideAppendicesLib/Appendix_III-29.pdf
RESOURCES

MANUALS, QRCs, FAQs

MyGinnieMae Login Quick Reference Card

Master Agreements Quick Reference Card
https://www.ginniemae.gov/issuers/issuer_training/Documents/Master_Agreements_QRC.pdf

Commitment Management Quick Reference Card

Request Pool Numbers Quick Reference Card

RSA SecurID Quick Reference Card

Pool Transfer System Quick Reference Card

GinnieNET Single Family File Layout