

# Single Family Issuer Training

Pooling Processes and Systems: Session 3

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Presented by  
**BNY**

February 19, 2026



# Course Agenda

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## Session 1:

- 1 | Introduction
- 2 | Path of a Pool
- 3 | Prerequisites for Pooling
- 4 | Ginnie Mae Website Information
- 5 | Resources

## Session 2:

- 1 | Introduction
- 2 | Single Family Pool Delivery Module (SFPDM)
- 3 | SFPDM: New Pool Processing
- 4 | SFPDM: Demo
- 5 | Resources

## Session 3:

- 1 | **GinnieNET:  
Certification Module**
- 2 | Introduction
- 3 | Document Custodian Transfer Requests
- 4 | Resources

# Agenda

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1. Introduction
2. GinnieNET: Certification Module
3. Document Custodian Transfer Requests (DCTR)
4. Resources
5. Questions

# Introduction

# Presenters

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



**Touhid Ali**, Bank of New York Mellon



# Common Field Review Findings

The table below highlights common findings identified during field reviews. Findings relevant to this session's content are indicated in purple and will be addressed in the relevant section of the presentation.

Finding ID	Description	Legend
400229	Account title of P&I custodial account (s) per bank signature card and/or Form HUD-11709 is incorrect	1
400301	Account title of T&I Custodial Account(s) per bank signature card and/or Form HUD-11720 is incorrect	2
510125	Loan liquidated for which a Form HUD 11708 could be provided	3

# GinnieNET Certification Module

# Overview

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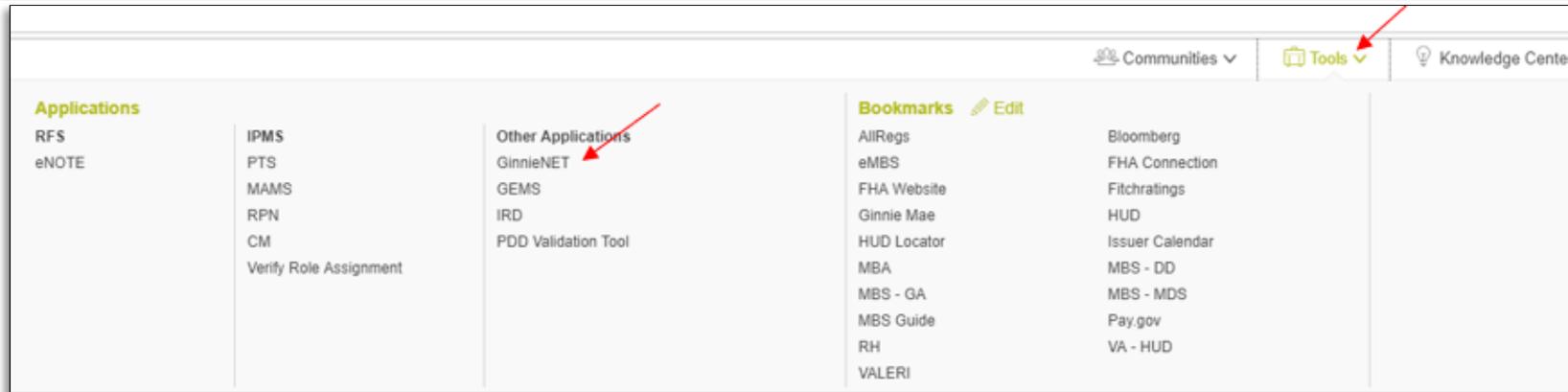
**Initial Certification (Document Custodian Process)**

**Request for Release of Documents (11708)**

**Final Certification / Recertification**

**Knowledge Check**

# Accessing GinnieNET



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

Then look for **GinnieNET** under **Other Applications**.

**Welcome To GinnieNET On The Web**

OMB Approval No. 2503-0033 (Exp. 09/30/2005)

Ginnie Mae may not collect this information, and you are not required to complete these forms (Form HUD 11705, Form HUD 11706, Form HUD 11708, Form HUD 11709A, Form HUD 11710D, Form HUD 11711B, Form HUD 11714, Form HUD 11745N, Form HUD 11715, and Form HUD 11732) unless the currently valid OMB control number is displayed. The information is required by Section 306(g) of the National Housing Act and by Ginnie Mae Handbook 3500.3, Rev. 1 (Please see note below). The information collected will not be disclosed outside the Department without prior consent, except as required by law.

The chart below provides the public reporting burden time needed for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The chart also provides the purpose for which Ginnie Mae requires each form to be completed.

\*Ginnie Mae's forms are currently under review with Office of Management and Budget (OMB), during this time the expiration date of the forms is extended one month at a time until OMB completes their review and provides an expiration date. Therefore, the expiration is extended to October 31, 2010. If OMB does not complete the review by October 31, the expiration date will be extended to November 30, 2010, etc. Issuers and document custodians should continue to use these forms. Once a new expiration date is received the forms will be updated.

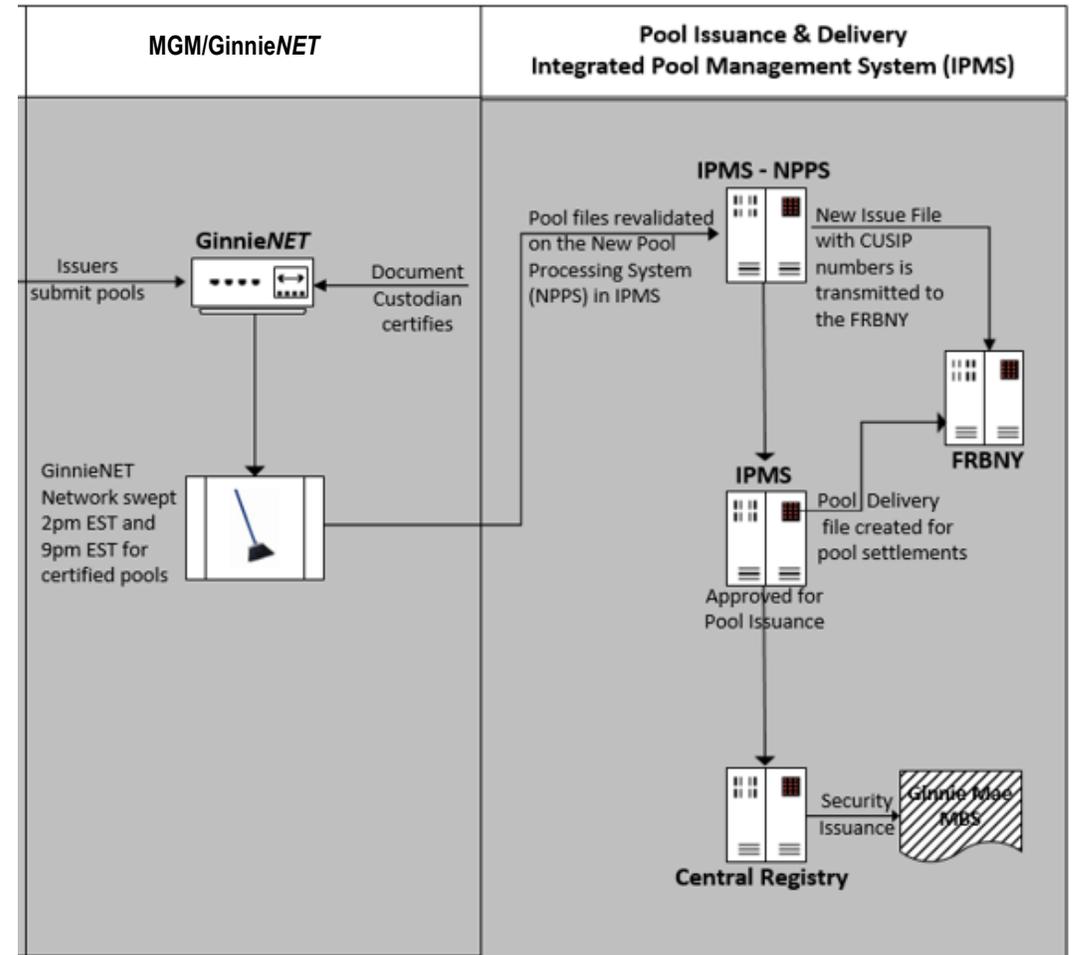
Form	Form Name	Estimated Completion Time	Purpose
11705	Schedule of Subscribers	10 minutes	To establish a contract between the issuer and Ginnie Mae and to provide a listing of subscribers and other information needed to prepare a MBS.
11706	Schedule of Pool Mortgages	15 minutes	To provide a means of 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 RPI 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.
11745N	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 Initial Certification

- 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.



# Document Custodian Initial Certification CERTIFY/REJECT

**GinnieNET On The Web**  
Custodian Communications

**Host Communications Selections**

[Select Pools to Certify](#)

**Pools to be Certified**

Pools

OW1031MSF Single-family

[Select Pools to Reject](#)

**Pools to be Rejected**

No Pools to be Rejected

Submit

**GinnieNET On The Web**  
Custodian Communications

**Host Communications Selections**

[Select Pools to Certify](#)

**Pools to be Certified**

No Pools to be Certified

[Select Pools to Reject](#)

Please Select the Rejection Reason, otherwise Pool won't be sent for Rejection

**Pools to be Rejected**

Rejection Reason

OW1031MSF Single-family P&I payment differs from schedule Edit

Submit

 <a href="#">Change My Password</a>	<b>GinnieNET On The Web</b> Host Communications Results	
	<b>GinnieNET Host Communications Result Report (Job Number 1117099)</b>	
		7.1
		7/19/2019
	1. CERTIFY SUCCESSFUL 1500000038OW1031MSF0719191054241-OW1031.MSF FCN : 1500000038OW1031MSF0719191054542	
	2. REJECT SUCCESSFUL 1500000038OW1032MSF0719191054246 AT 07/19/2019 10:54:54 AM FRN : **B	



[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

3

**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**  
HUD 11708

<< < > >>

[Back to Search Page](#)

Issuer: 1500	EQUIBANK N. A.	Status: New
Custodian: 000038	ReconTrust Comany, N.A.	Date Prepared by Issuer: 07/19/2019
Mortgagor's Name, Address and Zip Code		Commitment/Pool Number: OW1031
Name: BNY Mellon		FHA/VA/RHS Number:
Address: 240 Greenwich Street		Issuer Loan Number: 587496136426972
City: New York	State: NY	Zip Code: 10286
Reason For Requesting Documents		
Reason Number: 1 Mortgage Paid in Full		
Text:		
Settlement Expected Return Date:		
Document Release Date:		
Document Return Date:		



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

Section 6.7 HUD 11708 Request for Release of Documents Screen, Page 85

# Final Certification & Recertification

## Final Certification

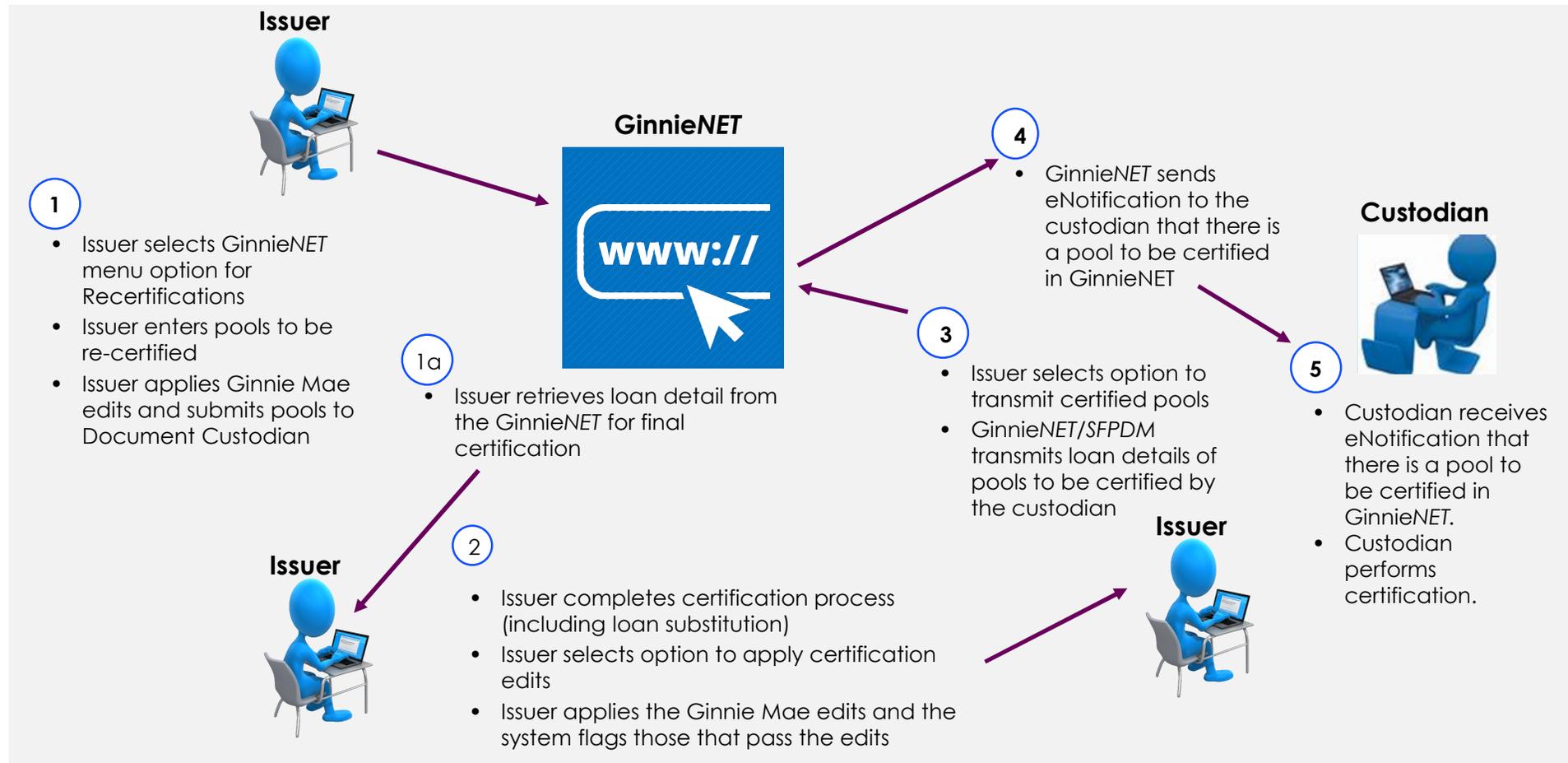
Once a new pool is issued, the issuer is required to perform a Final Certification which must be completed no later than 12 months after the issue date of the related securities.

## Recertification

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.

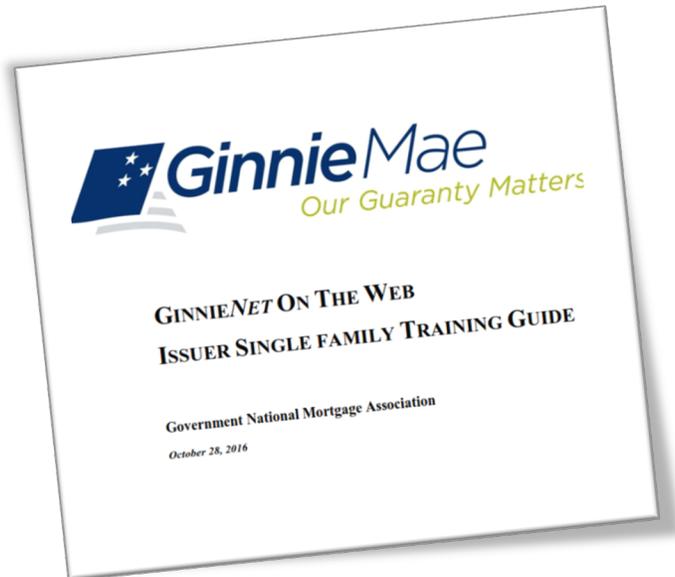
# Final Certification and Recertification Process Flow



# Pool Retrieval For Final Certification



[GinnieNET On The Web Issuer Single Family Training Guide](#)  
Section 6.1 Final Certification, Page 68



**GinnieNET On The Web**  
Certifications Communications

**Certifications Communications Selections**

**Final Certifications**

[Select Final Certification Pools to Submit](#)

**Final Certification pools to be Submitted**

No Final Certification Pools to be Submitted

[Select Final Certification Pools to Delete](#)

**Final Certification pools to be Deleted**

No Final Certification Pools to be Deleted

**Retrieve Pools for Final Certification**

Create List Manually  By Initial Certification Date

**Add Pools to Retrieve for Final Certification**

Pool Number:  Issue Type:  Pool Type:

**Pools to be Retrieved for Final Certification**

Pool ID	
OW1031XSF	<a href="#">Remove</a>
OW1032MSF	<a href="#">Remove</a>
OW1033CSF	<a href="#">Remove</a>

# Final Certification / Recertification

The screenshot shows the GinnieNET On The Web interface. At the top, it says "Welcome Jo Mar (1500)". The main heading is "GinnieNET On The Web" with sub-headings "Certifications Communications" and "Certifications Communications Selections".

On the left side of the interface, there are two callouts in dashed circles:

- Final Certification**: A red arrow points from this callout to the "Final Certifications" section.
- Re-Certification**: A red arrow points from this callout to the "Issuer Recertification" section.

The "Final Certifications" section includes:

- Links: [Select Final Certification Pools to Submit](#), [Final Certification pools to be Submitted](#)
- Form: Pool ID (660739XSF) with a [Remove](#) button.
- Links: [Select Final Certification Pools to Delete](#), [Final Certification pools to be Deleted](#), [No Final Certification Pools to be Deleted](#)
- Section: Retrieve Pools for Final Certification
- Options:  Create List Manually,  By Initial Certification Date
- Form: Add Pools to Retrieve for Final Certification (Pool Number, Issue Type: X, Pool Type: SF, Add button)
- Section: Pools to be Retrieved for Final Certification
- Status: [No Pools to be Retrieved for Final Certification](#)

The "Issuer Recertification" section includes:

- Options:  Select from the List,  Create List Manually
- Link: [Select Issuer Recertification to Submit](#)
- Section: Issuer Recertification pools to be Submitted
- Form: Previous Issuer - Pool ID (4002 - 673920XSF) with a [Remove](#) button.
- Options:  Select from the List,  Create List Manually
- Link: [Select Issuer Recertification to Delete](#)
- Section: Issuer Recertification pools to be Deleted
- Status: [No Pools to Delete for Issuer Recertification](#)

Other sections on the right include "Document Custodian Transfer/Merger" and "HUD 11708" with various selection options and status boxes.

A "Submit" button is located at the bottom center of the main content area.

GinnieNET On The Web Issuer Single Family Training Guide  
Section 8.8.4 Recertification, Page 113

## Knowledge Check #2

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## Polling Questions

# Document Custodian Transfer Requests – (DCTR)

# Overview

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**Types of Document Custodian Transfer Requests (MGM - DCTR)**

**Overview of Document Custodian Transfer Requests Process**

**System Demonstration**

**Quick Tips**

# Overview

- All Document Custodian Transfer Requests are submitted via DCTR
- Four types of Document Custodian Transfer Requests:
  - Complete Document Custodian Transfer
  - Partial Document Custodian Transfer
  - Complete Document Custodian Merger
  - 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 Transfer Request Summary** [Request New Transfer](#)

Request Number:  New Custodian:  Request Type:  Effective Transfer Date:

Status:  [Clear All Filters](#) [Apply Filters](#)

Showing 1 - 3 out of 3  [First](#) [Previous](#) **1** [Next](#) [Last](#)

Total: 3 Selected: 0

<input type="checkbox"/>	Request Number	New Custodian ID	Request Type	Effective Transfer Date	Status	Business Rules	Actions
<input type="checkbox"/>	2526	000545 - ALLEGIANCE BANK	Partial Portfolio Document Custodian Transfer	12/27/2024	Completed	<input checked="" type="checkbox"/>	<input type="button" value="i"/>
<input type="checkbox"/>	2591	000545 - ALLEGIANCE BANK	Partial Portfolio Document Custodian Transfer	12/26/2024	Completed	<input checked="" type="checkbox"/>	<input type="button" value="i"/>
<input type="checkbox"/>	1062	000545 - ALLEGIANCE BANK	Complete Portfolio Document Custodian Merger	08/13/2024	Completed	<input checked="" type="checkbox"/>	<input type="button" value="i"/>

# DCTR Demonstration

## 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 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



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

Section 6.8 Documents Custodian Transfer, Page 89

# Resources

# Supporting Resources – Manuals, QRCs, FAQs

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## **Pool Transfer System Quick Reference Card**

[https://www.ginniemae.gov/issuers/issuer\\_training/QRCs%20Page/QRC-IS10\\_Pool\\_Transfer\\_System.pdf](https://www.ginniemae.gov/issuers/issuer_training/QRCs%20Page/QRC-IS10_Pool_Transfer_System.pdf)

## **GinnieNET On The Web Issuer Single Family Training Guide**

[https://www.ginniemae.gov/issuers/GinnieNETTrainingGuides/ginnienet\\_sf\\_training\\_guide.pdf](https://www.ginniemae.gov/issuers/GinnieNETTrainingGuides/ginnienet_sf_training_guide.pdf)

## **Pool Transfer System for Issuers**

[https://www.ginniemae.gov/issuers/issuer\\_training/Tools%20and%20Resources/PTS\\_UserManual\\_Issue\\_r\\_July\\_2025.pdf](https://www.ginniemae.gov/issuers/issuer_training/Tools%20and%20Resources/PTS_UserManual_Issue_r_July_2025.pdf)



**Thank you!**

