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## APPENDIX III-7

### FORM HUD 11706 - SCHEDULE OF POOLED MORTGAGES

**Applicability:** Ginnie Mae I MBS Program and Ginnie Mae II MBS Program. This form and these instructions should be used only by Issuers submitting pools in paper submission format. Issuers using GinnieNET to submit pools and loan packages must follow the instructions set forth in the GinnieNET Issuer Guide. HMBS pools may only be transmitted electronically through GinnieNET, using the file format described in Appendix III-28 for form HUD 11706H, Schedule of Pooled Participations and Mortgages.

**Purpose:** To provide a means of identifying and controlling the mortgages that collateralize the designated MBS pools or loan packages. Provides a certification from the document custodian that certain required mortgage documents are being held by the document custodian on behalf of Ginnie Mae.

**Prepared in:** Original and any copies needed for the Issuer and document custodian to maintain.

**Distribution:** Original will be delivered to the document custodian by the Issuer. The document custodian will examine the Schedule of Pooled Mortgages against the mortgage documents in its possession in accordance with the requirements of the Ginnie Mae MBS Guide. After the document custodian signs (certifies on the reverse side of the form HUD 11706), the document custodian or the Issuer will forward the original to Ginnie Mae's Pool Processing Agent (PPA).

For pools or loan packages submitted electronically through GinnieNET, the form HUD 11706 is automatically generated.

**Completion Instructions:** The circled numbers on the illustrated form correspond with the numbers listed below.

1. Interest rate of mortgages in the pool or loan package. Under the Ginnie Mae I program, except for manufactured home loans, all the mortgages must have the same interest rate. Under the Ginnie Mae II program, except for manufactured home loans, the mortgages must have a rate at least 50 basis points higher, but no more than 150 basis points higher, than the face rate of the securities (for pools and loan packages issued prior to July 1, 2003), or a rate at least 25 basis points higher but not more than 75 basis points higher than the face rate of securities (for pools and loan packages issued on or after July 1, 2003).
2. Term of mortgages. Enter in this block the years and months until the stated maturity of the pooled mortgage with the latest stated maturity.
3. **For Ginnie Mae I MH pools and Ginnie Mae II pools only:** If more than one interest rate is included, enter the "weighted average interest rate." This is calculated as follows:
  - a. Multiply the total unpaid principal balance (as of the issue date) for each group of loans at a particular interest rate by the face interest rate for that group;

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- b. Sum the resulting products;
  - c. Divide that sum by the total of the unpaid balance for the pool or loan package. The resulting weighted average interest rate must be expressed in six significant figures (xx.xxxx percent).
4. Indicate whether submission is in connection with initial certification, final certification, or recertification by the document custodian.
  5. Enter the number from the listing of pre-assigned pool numbers obtained from Ginnie Mae. If the pool is to be formed under Ginnie Mae I or is to be a custom pool under Ginnie Mae II, this number will refer to the Issuer's pool number. If the pooled mortgages are to become part of a multiple issuer pool under Ginnie Mae II, this number will refer to the Issuer's loan package number. To ensure that the underlying collateral conforms to the pool type selected, Issuers are required to first list the pool/loan package number, followed by the pool indicator and finally the pool type, i.e., "833477 C AT".

*Note:* A GPM or GEM pool will be identified by the numeral 9 as the first digit in the six-digit pool/loan package number. An ARM pool will be identified by the numeral 8 as the first digit.
  6. First day of the month of issue.
  7. Full legal name of Issuer.
  8. Check applicable boxes for type of loans collateralizing the pool.
  9. Indicate whether issuance is under the Ginnie Mae I or Ginnie Mae II program.
  10. **Adjustable Rate (ARM) pools and loan packages only.** Enter the security adjustment date, which is the date on which the interest rate for the security and the mortgage will change, or, in the case of a hybrid ARM, after the initial fixed rate period. The date must be either January 1, April 1, July 1 or October 1.
  11. Issuer ID number assigned by Ginnie Mae.
  12. Loan number of each mortgage assigned by Issuer for its records. If the mortgage is registered with MERS, set out the assigned mortgage identification number (MIN) immediately below the Issuer loan number.
  13. If MERS is the original mortgagee of record, insert the word "Yes"; otherwise, leave blank.
  14. Full legal name of borrower.
  15. Full street address of property, including zip code.
  16. Full FHA, VA, RD or PIH (§ 184) case number, including area identification and section of the National Housing Act. (For § 184 loans, record the number "184" in parenthesis in place of the section of the National Housing Act) (For GPM loans, show plan number following section of Act)
  17. **Ginnie Mae II only:** Make entries only if loans with different rates are included in the pool or loan package. Enter face interest rate for each mortgage.
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18. **Adjustable Rate pools and loan packages only.** Enter the mortgage margin, which is the amount, in basis points, to be added to the published index in establishing mortgage interest rate adjustments. Each mortgage must have a margin at least 50 basis points, but not more than 150 basis points higher than the security margin for the pool (for pools and loan packages issued prior to July 1, 2003) or 25 basis points but not more than 75 basis points higher than the security margin (for pools and loan packages issued on or after July 1, 2003).
  19. The date the loan was originated, or note date.
  20. Date first payment is due on loan (month-day-year).
  21. The interest rate change date is that date which completes the initial rate lock period of a hybrid ARM, and is subsequently followed by an annual rate change. A three year hybrid ARM loan, for instance, would have a 36 month initial rate period, after which time the interest rate would change annually. Similarly, a five-year, seven-year or ten-year hybrid ARM loan would carry the same interest rate for the first sixty, seventy two or one hundred twenty months, after which times the interest rate would reset annually.
  22. Date last payment is due on loan (month-day-year).
  23. Monthly principal and interest constant of loan. (For GPM, GEM, and ARM loans, show constant applicable to the payment for the first month the loan is in the pool.)
  24. Original principal balance of mortgage.
  25. Unpaid balance of mortgage. (See Section 9-3(E) of the Ginnie Mae MBS Guide for a description of the manner in which the unpaid balance is calculated.)

*Note:* If a principal curtailment has been applied to the loan, the dollar amount of such curtailment must be shown either on the form itself or by separate attachment.
  26. **For manufactured home loans only.** For any loan that represents a combination manufactured home and lot loan, enter the letters "ML". For loans secured only by manufactured home units and for all loans other than MH loans, leave blank.
  27. Total number of FHA, VA, RD and/or PIH mortgages. Record PIH loans in the block marked "Other." If there is more than one page, only the grand totals need to be shown, either on the last page or on a separate "totals" page.
  28. Total unpaid balance of FHA, VA, RD and/or PIH mortgages (including cents). If there is more than one page, only the grand totals need to be shown, either on the last page or on a separate "totals" page.
  29. Total principal and interest amount for entire pool or loan package. If there is more than one page, only the grand total needs to be shown either on the last page or on a separate "totals" page.
  30. Credit Score of the borrower, numeric credit score resulting from credit evaluation model. If the borrower has insufficient trade lines with Equifax, Experian or TransUnion and a credit bureau score cannot be derived (non-traditional credit score) enter "100". If a credit score was not required for this loan enter "200".
  31. Social security number of the borrower.
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32. Co-borrower 1- The full name of the co-borrower of the mortgage, if applicable.
33. Co-borrower 2- The full name of the co-borrower of the mortgage, if applicable.
34. Co-borrower 3- The full name of the co-borrower of the mortgage, if applicable.
35. **For Multifamily Use Only:**
- a. Lockout Term—The time in years the loan is locked out from prepayment, if applicable. It identifies to the Issuer the period of time that the loan cannot have accelerated payments of principal.
  - b. Lockout End Date—The date until which the mortgage is locked out from prepayment. The calculation for this is Final Endorsement Date + Lockout Term; this will be a future date (e.g., Final Endorsement Date of 01-20-2001 + Lockout term of 10 years = 01-20-2011). The Lockout End Date cannot be less than the Final Endorsement Date and cannot be more than the sum of the Final Endorsement Date and the Lockout Term.
  - c. Prepayment Premium Period—The time in years the loan is subject to a prepayment premium (penalty), if applicable. The Prepayment Premium Period is the period of time when prepayments may be made subject to a percentage prepayment penalty, but only after the expiration of the stated lockout period (i.e., if the Lockout Term is 10 years with a prepayment premium period of 5 years and a Final Endorsement Date of 01-20-2001, the Prepayment Premium Period would be 1-20-2011 through 1-20-2016. The prepayment period cannot exceed 01-20-2016).
  - d. Prepayment End Date—The date the mortgage becomes open to prepayment with no premium due. The calculation for this is the expiration of the sum of the Lockout Term Date and the Prepayment Premium Period (e.g., 01-20-2011, which is 10 years after the Final Endorsement Date, + 5 years = 01-20-2016). The Prepayment End Date cannot be less than the Final Endorsement Date and it cannot be more than the of the Final Endorsement Date and the Prepayment Premium Period.
36. Loan type code - A code that identifies the specific type of loan.
- 1. FHA Single Family
  - 2. VA Guaranteed
  - 3. Single Family RD
  - 4. VA Vendee
  - 5. FHA Multi-Family
  - 6. FHA-Title I
  - 7. RD Multi-Family
37. Loan purpose – The type of loan.
- 1. Purchase
  - 2. Refinance
  - 3. Loan Modification - HAMP
  - 4. Loan Modification – Non-HAMP
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38. Living units – number of discrete living units. Acceptable values are 1, 2, 3 or 4 (Single family only).
  39. Down Payment Assistance Flag – indicates if gift assistance was provided
    1. Borrower received gift funds for down payment
    2. No gift assistance provided to borrower
  40. Loan Buydown Code - a code indicating whether the loan has a buydown feature.
    1. Buydown loan
    2. Not a buydown loan
  41. Upfront Mortgage Insurance Premium (MIP) amount due on FHA loans.
  42. Annual Mortgage Insurance Premium (MIP) amount due on FHA loans.
  43. Loan-to-Value. The ratio (expressed as a percent) of the Original Principal Balance including any financed mortgage insurance premium to either; (i) in the case of a purchase money loan, the lower of the property's sale price or appraised value at origination, or (ii) in the case of a refinance loan (non-streamline), the appraised value at the time of refinancing. In the case of a streamlined refinance, a value of zero may be entered. RD loans may use the appraised value when calculating the LTV.
  44. Combined Loan to Value (LTV) Ratio Percent. The ratio (expressed as a percent) of the Original Principal Balance including any financed mortgage insurance premium plus all subordinate mortgages to either; (i) in the case of a purchase money loan, the lower of the property's sale price or appraised value at origination, or (ii) in the case of a refinance loan (non-streamline), the appraised value at the time of refinancing. In the case of a streamlined refinance, a value of zero may be entered. RD loans may use the appraised value when calculating the LTV.
  45. Total Debt Expense Ratio Percent - The ratio of all debts of the borrower to the borrower's qualifying income as defined by the mortgage insurer or guarantor (AKA Back End Ratio). If not required by the mortgagor insurer or guarantor, enter "000.00". (Single family only)
  46. Refinance Type - If Loan Purpose (item 35) is a "Refinance", identify the refinance type:
    1. Not Streamlined, Not Cash Out Refinance
    2. Cash Out Refinance
    3. Streamlined Refinance(Single family only)
  47. Last Paid Installment (LPI) Due Date -The due date of last paid installment in full, not any partial payment of an installment, that has been collected on the mortgage. (Single family only)
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48. PreModification First Installment Due Date - If Loan Purpose (item 35) is a “Loan Modification –HAMP” or “Loan Modification – non-HAMP” report the original first scheduled installment due prior to the modification (First Payment Due Date prior to the modification. (Single family only)
  49. PreModification Original Principal Balance (OPB) Amount - If Loan Purpose (item 35) is a “Loan Modification –HAMP” or “Loan Modification – non-HAMP” report the original principal balance of the modified loan prior to the modification.. The unmodified original principal balance (OPB) of the loan per the original note. (Single family only)
  50. PreModification Interest Rate Percent - If Loan Purpose (item 35) is a “Loan Modification – HAMP” or “Loan Modification – non-HAMP” report the original interest rate of the modified loan prior to the modification.. The interest rate per the unmodified original note. For ARM loans, the unmodified original interest rate per the original note without any interest rate adjustments. (Single family only)
  51. PreModification Loan Maturity Date - If Loan Purpose (item 35) is a “Loan Modification – HAMP” or “Loan Modification – non-HAMP” report the original loan maturity date of the modified loan prior to the modification taking place. The maturity date of the loan per the unmodified original note. (Single family only)
  52. First-time Homebuyer Indicator – indicates that the borrower qualifies as a first-time homebuyer, as determined by the insuring agency.
  53. Third-Party Origination Type – specifies the type of party that participated in the origination process specifically taking in the loan application. 1 = Broker, 2 = Correspondent, 3 = Retail.
  54. Upfront MIP rate – the upfront mortgage insurance premium (UFMIP) percentage rate that institutions charge to insure FHA loans.
  55. Annual MIP rate – the annual mortgage insurance premium (MIP) percentage rate that institutions charge to insure FHA loans.
  56. Check box if submission is an initial certification.
  57. Complete name and address of document custodian.
  58. Document custodian ID number assigned by Ginnie Mae.
  59. Authorized signature of document custodian.
  60. Typed name of individual signing at 57.
  61. Title of individual signing at 57.
  62. Date of document custodian’s initial certification.
  63. Check box if submission is a final certification.
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64. Complete name and address of document custodian.
  65. Document custodian ID number assigned by Ginnie Mae.
  66. Authorized signature of document custodian.
  67. Typed name of individual signing at 64.
  68. Title of individual signing at 64.
  69. Date of final certification.

**Nos. 68 through 82 are to be completed only in connection with recertification of pools due to transfers of Issuer responsibility or custodian transfers.**

70. Name of prior or selling Issuer.
71. Issuer ID of selling Issuer.
72. Name of current or buying Issuer.
73. Issuer ID of buying Issuer.
74. Effective month of transfer.
75. Authorized signature of current Issuer.
76. Typed name of individual signing at 73.
77. Title of individual signing at 73.
78. Date recertification signed by Issuer.
79. Complete name and address of document custodian.
80. Document custodian ID number assigned by Ginnie Mae.
81. Authorized signature of document custodian.
82. Name of document custodian.
83. Title of document custodian.
84. Date of recertification signed by document custodian.

GinnieNET submissions are automatically generated.

For hard copy submissions, a machine printout giving the required data may be used, provided a form HUD 11706 signed by both Issuer and document custodian is attached, listing the totals. The machine printout must have the same format as the form HUD 11706.

At both initial and final certification, a complete Schedule of Pooled Mortgages must be submitted to the PPA, either directly by the document custodian or through the Issuer, under both the Ginnie Mae I and Ginnie Mae II MBS Programs.

# Schedule of Pooled Mortgages

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

OMB Approval No. 2503-0033 (Exp. 03/31/2015)

|  |                                     |  |                                     |   |                               |                  |
|--|-------------------------------------|--|-------------------------------------|---|-------------------------------|------------------|
| Interest Rate of Mortgages<br>Highest _____% Lowest _____% | Weighted Average Interest Rate<br>% | <input type="checkbox"/> Initial Certification<br><input type="checkbox"/> Final Certification<br><input type="checkbox"/> Recertification   | Ginnie Mae Pool/Loan Package Number | Public reporting burden for this collection of information is estimated to average less than a 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. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.<br>The information requested is required by Sec. 306(g) of the National Housing Act or by Ginnie Mae Handbook 5500.3, Rev. 1. |                               |                  |
| Term of Mortgages _____ years                              |                                     |  | Security Issue Date                 |   |                               |                  |
| Name of Issuer   |                                     | <input type="checkbox"/> Single Family Level Payment Loans (SF/FS) <input type="checkbox"/> Growing Equity Loans (GA/GD) <input type="checkbox"/> Manufactured Home Loans (MH) <input type="checkbox"/> Ginnie Mae I<br><input type="checkbox"/> Graduated Payment Loans (GP/GT) <input type="checkbox"/> Adjustable Rate Loans (ARM) <input type="checkbox"/> Buydown Loans (BD) <input type="checkbox"/> Ginnie Mae II<br><input type="checkbox"/> Project Loans (PL/PN/LM/RX/LS) <input type="checkbox"/> Construction Loans (CL/CS) <input type="checkbox"/> Serial Note (SN) <input type="checkbox"/> Other |                                     |   | Security/Mortgage Change Date | Issuer ID Number |

| Issuer's Loan Number and MIN | MOM | Name of Mortgagor | Address of Property/Site Address (Street, City State and Zip Code) | FHA-VA-RD 184 Case Number | Interest Rate | Mortgage Margin (ARM) | Loan Origination Date | Date of First Payment | Interest Rate Change Date | Maturity Date | Monthly Constant (P&I) \$ | Original Principal Balance \$ | Unpaid Balance of Mortgage \$ | Type of Loan |
|------------------------------|-----|-------------------|--|---------------------------|---------------|-----------------------|-----------------------|-----------------------|---------------------------|---------------|---------------------------|-------------------------------|-------------------------------|--------------|
|                              |     |                   |  |                           |               |                       |                       |                       |                           |               |                           |                               |                               |              |

Continue Loan Level reporting on page 2

|       |  |        |                                |  |        |
|-------|--|--------|--------------------------------|--|--------|
|       | <b>Distribution of All Loans in Pool</b> |        | Total Amount P & I<br>\$ _____ | <b>For Adjustable Rate Pools/Loan Packages Only:</b><br>Index Type:    Acceptable Range:    Type of ARM Note:<br><br><u>Cap Structure</u><br>Initial (+/-) Interest Rate Cap:<br>Subsequent Annual (+/-) Interest Rate Cap:<br>Lifetime (+/-) Interest Rate Cap:<br><br>Lookback Period: <input type="checkbox"/> 30 Day Look Back <input type="checkbox"/> 45 Day Look Back |        |
|       |  | Number |                                |  | Amount |
|       | FHA                                      |        |                                |  |        |
|       | VA                                       |        |                                |  |        |
|       | RD                                       |        |                                |  |        |
|       | §184                                     |        |                                |  |        |
|       | Other                                    |        |                                |  |        |
| Total |  |        |                                |  |        |



Schedule of Pooled Mortgages

Ginnie Mae Pool/Loan Package Number

| Name of Mortgagor | Credit Score | Social Security Number | Co-borrower #1 Full Name | Co-borrower #2 Full Name | Co-borrower #3 Full Name | Lockout Term | Lockout End Date | Prepayment Premium Period | Prepayment End Date | Loan Type Code | Loan Purpose | Living Units | Down Payment Assistance | Loan Buydown Code | Upfront MIP Amount | Annual MIP Amount | Loan to Value |
|-------------------|--------------|------------------------|--------------------------|--------------------------|--------------------------|--------------|------------------|---------------------------|---------------------|----------------|--------------|--------------|-------------------------|-------------------|--------------------|-------------------|---------------|
|                   |              |                        |                          |                          |                          |              |                  |                           |                     |                |              |              |                         |                   |                    |                   |               |

Continue Loan Level reporting on page 3

Schedule of Pooled Mortgages

Ginnie Mae Pool/Loan Package Number

| Name of Mortgagor | Combined LTV Ratio Percent | Total Debt Expense Ratio Percent | Refinance Type | Last Paid Installment Due Date | Pre-Modification First Installment Due Date | Pre-Modification Original Principal Balance (OPB) Amount | Pre-Modification Interest Rate Percent | Pre-Modification Loan Maturity Date | First Time Homebuyer Indicator | Third-Party Origination Type | FHA UpfrontMIP Rate | FHA Annual MIP Rate |
|-------------------|----------------------------|----------------------------------|----------------|--------------------------------|---|--|--|-------------------------------------|--------------------------------|------------------------------|---------------------|---------------------|
|                   |                            |                                  |                |                                |   |  |  |                                     |                                |                              |                     |                     |

|                                     |                                     |
|-------------------------------------|-------------------------------------|
| <b>Schedule of Pooled Mortgages</b> | Ginnie Mae Pool/Loan Package Number |
|-------------------------------------|-------------------------------------|

**Instructions for Custodian**

The custodian will review each mortgage or loan file in accordance with the applicable sections of the Ginnie Mae MBS Guide, Rev. 1 to determine that all required documents have been properly executed and received and that such documents relate to the mortgages identified on the front of this form. **Purpose: To provide a means of identifying and controlling the mortgages that collateralize the designated MBS pools or loan packages. Also provides a certification from the document custodian that certain required mortgage documents are being held by the document custodian on behalf of Ginnie Mae.**

Upon completion of each examination, an authorized official of the custodian will sign the original and the required copies of this form in the space provided and forward the original to Ginnie Mae's pool processing agent (either directly or through the issuer) and provide a signed copy to the issuer. Pursuant to the following, certification may be completed in two stages, "initial" and "final", except for PL, PN, LM, LS, CL, and CS pools, which are only final certified.

|   |   |
|---|---|
| <p><b>Custodian's Certification (Initial Certification)</b> <input type="checkbox"/></p> <p>The documents referenced in the applicable sections indicated below, pertaining to the mortgages listed on the front of this form, have been received and have been determined to satisfy the requirements of the Ginnie Mae MBS Guide, Rev. 1.</p> <p><b>For SF, FS, AR, AQ, AT, AF, FT, AS, AX, BD, GP, GT, GA, GD, and SN pools and loan packages:</b> Section 13-4(A) of the Ginnie Mae MBS Guide, Rev. 1.</p> <p><b>For MH Pools:</b> Sections 13-4(A) and 30-4(A)(1) of the Ginnie Mae MBS Guide, Rev. 1.</p> | <p><b>Custodian's Certification (Final Certification)</b> <input type="checkbox"/></p> <p>The documents referenced in the applicable sections indicated below, pertaining to the mortgages listed on the front of this form, have been received and have been determined to satisfy the requirements of the Ginnie Mae MBS Guide, Rev. 1.</p> <p><b>For SF, FS, AR, AQ, AT, AF, FT, AS, AX, BD, GP, GT, GA, GD, and SN pools and loan packages:</b> Section 13-4(B) of the Ginnie Mae MBS Guide, Rev. 1.</p> <p><b>For MH Pools:</b> Sections 13-4(B) and 30-4(A)(2) of the Ginnie Mae MBS Guide, Rev. 1.</p> <p><b>For PL, PN, LM, and LS pools:</b> Sections 13-4(B) and 31-10 of the Ginnie Mae MBS Guide, Rev. 1 (final certification).</p> <p><b>For CL and CS pools:</b> Sections 13-4(B) and 32-8 of the Ginnie Mae MBS Guide, Rev. 1 (final certification).</p> |
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|  |                               |  |                             |
|--|-------------------------------|--|-----------------------------|
| Custodian Name and Address (including Zip Code)(Please Type) | Custodian No.                 | Custodian Name and Address (including Zip Code)(Please Type) | Custodian No.               |
| Authorized Signature   |                               | Authorized Signature   |                             |
| Name (Please Type)   |                               | Name (Please Type)   |                             |
| Title (Please Type)  | Date of Initial Certification | Title (Please Type)  | Date of Final Certification |

**Recertification Using an Updated List of Loans for the Referenced Pool**

|                                |               |                                 |               |
|--------------------------------|---------------|---------------------------------|---------------|
| Prior Issuer: (Name of Seller) | Issuer ID No. | Current Issuer: (Name of Buyer) | Issuer ID No. |
|--------------------------------|---------------|---------------------------------|---------------|

The attached list of pooled loans represents the pool or loan package principal and the total number of mortgages reported by the Issuer. The month of transfer \_\_\_\_\_  
The Issuer certifies that the remaining loan balances conform to the balances reported via the Reporting and Feedback System Monthly Issuer Report of Pool and Loan data.

The Document Custodian certifies to the following: (1) It has received the related documents for the loans listed on the attached. (2) It has verified that the loans on the attached were included on the original Schedule of Pooled Mortgages, if available. If not available, the Document Custodian must obtain from the Issuer a written explanation why the original Schedule is missing. The Document Custodian must maintain a copy of the original Schedule or the written explanation for the missing Schedule in the Pool Master File with the recertification.

The Document Custodian will not be required to maintain or reconcile the form HUD-11708 for loans liquidated prior to and not reported as active loans.

|  |   |               |   |                                  |
|--|---|---------------|---|----------------------------------|
| Authorized Signature of current Issuer | Custodian Name and Address (including Zip Code) (Please Type) | Custodian No. | Authorized Signature of Current Custodian |                                  |
| Name (Please Type)                     |   |               | Name of Custodian (Please Type)           |                                  |
| Title (Please Type)                    |   |               | Date                                      | Title of Custodian (Please Type) |
|  |   |               |   | Date                             |