



## PLEDGE QUESTIONNAIRE

Please complete the following questionnaire and provide the applicable required documentation to pledge loans to the Federal Home Loan Bank of New York (“FHLBNY”).

### I. TYPE OF COLLATERAL TO PLEDGE:

All loans pledged to the FHLBNY must comply with the ‘*Member Representations and Warranties with Respect to Mortgage Loans and Mortgage-Backed Securities Collateral Pledged to the Federal Home Loan Bank of New York*’ (“Rep and Warrant”). [http://www.fhlbny.com/forms/hlb\\_113.pdf](http://www.fhlbny.com/forms/hlb_113.pdf). If your institution has not signed a Rep and Warrant within the past 36 months, one must be executed in conjunction with the ‘*Pledge Questionnaire*’.

**Residential Loans**

- Residential 1-4 Family / Condo / Coop - 1<sup>st</sup> Liens
- Home Equity Closed End 1<sup>st</sup> Lien
- Residential 2<sup>nd</sup> Lien (includes Second Lien, Residential 1-4 and Home Equity Closed End)
- Home Equity Line of Credit (“HELOC”) 1<sup>st</sup> Lien and 2<sup>nd</sup> Lien
- Individual and/or Participation/Syndication Loans with aggregate original balances of \$25 million or greater **Require Pre-Approval by Collateral Review (Complete Forms [COL-128-RESI/](#) [COL-144](#))**

What is the origination channel for the loans being pledged?

- All Originated In-house
- Broker/Correspondent
- Acquired via Merger/ Acquisition
- Purchased Pool

*If Brokers or Correspondents were used, please provide copies of executed origination agreement(s).*

**Income Producing Loans**

- Multi-Family / Commercial / Mixed Use – 1<sup>st</sup> Lien
- Multi-Family / Commercial / Mixed Use – 2<sup>nd</sup> Lien
- Individual and/or Participation/Syndication Loans with aggregate original balances of \$25 million or greater **Require Pre-Approval by Collateral Review (Complete Forms [COL-128-IP/](#) [COL-144](#))**

### II. DATA REPORTING (Newly Pledging Customers Only):

1) Has your institution received a secure File Transfer Service (FTS) login?

- If NO, refer to *Getting Started with FHLBNY Mortgage Data Reporting* (COL-012) provided on the FHLBNY website at: [http://www.fhlbny.com/forms/col\\_012.pdf](http://www.fhlbny.com/forms/col_012.pdf)
- If YES, proceed to Question 2.

2) Has your institution prepared an electronic listing in the required Collateral System Mortgage Data format?

If NO, refer to *Getting Started with FHLB NY Mortgage Data Reporting* (COL-012) provided on the FHLB NY website at: [http://www.fhlbny.com/forms/col\\_012.pdf](http://www.fhlbny.com/forms/col_012.pdf)

If YES, proceed to next section.

### III. **THIRD PARTY PLEDGING:**

1) Are any of the loans to be pledged from an entity other than the Member institution, such as a subsidiary or affiliate?

If YES, please review the *Instructions for Completing Third Party Structure Questionnaires*: [http://www.fhlbny.com/forms/col\\_129.pdf](http://www.fhlbny.com/forms/col_129.pdf).

If NO, proceed to next section.

2) Are any loans in the proposed pledging currently pledged?

If YES, please indicate the legal name of the pledging entity: \_\_\_\_\_

NO

### IV. **PURCHASE/SALE/PLEDGE OF LOANS:**

1) Are any of the proposed loans currently pledged to another institution including another FHLB or Federal Reserve Bank?

If YES, indicate the name(s) of the institution(s) below:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

NO

2) List, or include a listing of, institutions to which your institution currently pledges loans.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

3) Has your institution purchased loans?

If YES, provide the purchase agreements for loans to be pledged.

NO

4) Does your institution actively sell loans?

- If YES, please remove all sold loans from the listing of loans to be pledged prior to the release of the notes to the investor.
- NO

**V. LEGAL DOCUMENTS LOCATION(S):**

1) Address where the legal documents (original Promissory Notes, recorded mortgage, etc.) are located:

Address: \_\_\_\_\_  
\_\_\_\_\_

Contact Person:

Name/Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

2) Address where the credit files and all other related documents are located:

- Same as legal documentation

Address: \_\_\_\_\_  
\_\_\_\_\_

**VI. CUSTODIAL RELATIONSHIP AND DOCUMENTS LOCATION(S):**

1) Provide name of institution and address where the legal documents (original Promissory Notes, recorded mortgage, etc.) are located:

Name of Institution: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Contact Person:

Name/Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

2) Name and address of institution where the credit and all other documents are located:

Same as legal documentation

Name of Institution: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

3) *If applicable, provide copy of custodial documents/agreement(s) to [CollateralDocs@fhlbny.com](mailto:CollateralDocs@fhlbny.com)*

4) Does your institution image mortgage documents?

If YES, what system is used? \_\_\_\_\_

NO

5) Does your institution use eNotes?

YES

NO

## **VII. LOAN SERVICING:**

1) If servicing is not performed by your institution, provide name and address for the servicer and/or sub-servicer of the loans being pledged (e.g. the organization that accepts payments on the loans).

### **SERVICER INFORMATION**

Institution Name \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Contact Information:

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

### **SUB-SERVICER INFORMATION**

Institution Name \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Contact Information:

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

2) Do you own the mortgage servicing rights for the loans you want to pledge?

YES     NO

3) *If applicable, email a copy of the Servicing and/or Sub-servicing Agreement(s) to [CollateralDocs@fhlbny.com](mailto:CollateralDocs@fhlbny.com)*

4) Are any loans to be pledged registered under Mortgage Electronic Registration Systems Inc. (MERS)?

- If YES, Please complete a *MERS Questionnaire*: [http://www.fhlbny.com/forms/col\\_145.pdf](http://www.fhlbny.com/forms/col_145.pdf).
- NO

**VIII. SERVICING SYSTEM AND SERVICE BUREAUS:**

5) Is data reporting produced directly from your organization?

- If YES, what is the name of the servicing system that pledged loans will be reported from?

\_\_\_\_\_

- If NO, please provide the name and address of the service provider that will produce the data reporting:

Name of Institution: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Contact Information - Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

**IX. MEMBER CONTACT INFORMATION:**

Chief Lending Officer

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Office Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

Head of Loan Servicing

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Office Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

