



## Instructions for Pledging Collateral from a Third Party Subsidiary or Affiliate

The following steps will assist in your institution to prepare for pledging from third party structures to the FHLB NY. This can be accomplished through the execution of a tri-party Customer Subsidiary/Affiliate Pledge Agreement. The documents and forms listed below will assist the FHLB NY to review the third party structure and prepare the necessary agreements for execution.

1. Please provide scanned copies through email (or to the secure SFTP server) of the following from the subsidiary documents:
  - **Certificate of Incorporation\***
  - **Certificate of Amendment to Certificate of Incorporation (if applicable)\***
  - **By Laws\***
  - **Filing Receipt\***
  - Prospectus
  - Offering Memorandum
  - Certificate of Approval
  - **Transfer/Conveyance Document (if applicable)\***

*\*Required document*

2. Please complete the following **required** forms from the links provided.
  - When pledging mortgage assets from a subsidiary or affiliate, please complete a Pledge Questionnaire: [http://www.fhlbny.com/forms/col\\_125.pdf](http://www.fhlbny.com/forms/col_125.pdf) (*form will automatically send from your email*).
  - Subsidiary/Affiliate Questionnaire: [http://www.fhlbny.com/forms/col\\_130.pdf](http://www.fhlbny.com/forms/col_130.pdf)
  - Subsidiary/Affiliate Schedule: [http://www.fhlbny.com/forms/col\\_131.pdf](http://www.fhlbny.com/forms/col_131.pdf)
  - Revised Subsidiary/Affiliate Representations and Warranties: [http://www.fhlbny.com/forms/col\\_101.pdf](http://www.fhlbny.com/forms/col_101.pdf)
  - UCC-1 Filing: [http://www.fhlbny.com/forms/col\\_139.pdf](http://www.fhlbny.com/forms/col_139.pdf)
  - Net Equity Worksheet: [http://www.fhlbny.com/forms/col\\_133.pdf](http://www.fhlbny.com/forms/col_133.pdf)

3. If there is an intermediary involved, please provide:
  - [For Intermediary] Certificate of Incorporation (if applicable)
  - [For Intermediary] By Laws (if applicable)
  - [For Intermediary] Filing Receipt (if applicable)
4. If securities will be pledged from a third party structure, the FHLB NY will establish an accommodation account for each third party entity once the tri-party Customer Subsidiary/Affiliate Pledge Agreement is completed. It is at that point the FHLB NY will request the letter requesting the setup of an Accommodations Account. To complete this step, see **Instructions for Establishing an Accommodations Account** in [http://www.fhlbny.com/forms/col\\_152.pdf](http://www.fhlbny.com/forms/col_152.pdf).

## How to send this information

### Electronically:

- **Please complete both electronic forms. Complete by entering name and title as the electronic signature.** Save each document. Email documents to [CollateralDocs@fhlbny.com](mailto:CollateralDocs@fhlbny.com). *Please reference your institution's name and member number in the subject line and filename.*
- **Or send document using your existing [SFTP connection to the FHLBNY](#).** *Please reference your institution's name and member number in the filename.*

### Or through Postal Mail:

- **Mail completed and original signed documents (including edited copies) to:**

ATTN: COLLATERAL REQUESTS  
Federal Home Loan Bank of New York  
30 Montgomery Street, 3rd Floor  
Jersey City, NJ 07302  
Toll Free (888) 852-8460

### Please direct all questions regarding the pledging of third party collateral to the following individuals:

Tisa Surat, AVP, Collateral Initiatives & Support Manager at (201) 356-1058  
Gaspere Galante, Collateral Documentation Manager at (201) 356-1019