



VAULT/SECURE FILE ROOM QUESTIONNAIRE

1. Date Completed: _____
2. Institution Name: _____
3. Member# _____
4. Form Completed by
 - Name: _____
 - Address: _____
 - Email: _____
 - Phone: _____
5. Please provide address of where files pledged to the Federal Home Loan Bank of New York are located.
 - Location #1 – Branch or Location Name:** _____
 - Please check types of mortgages stored here? Residential* *Commercial*
 - Address, City, State, ZIP: _____
 - Contact Name and Title: _____
 - Contact Phone: _____ Email: _____
 - Location #2 – Branch or Location Name:** _____
 - Please check types of mortgages stored here? Residential* *Commercial*
 - Address, City, State, ZIP: _____
 - Contact Name and Title: _____
 - Contact Phone: _____ Email: _____
 - Location #3 – Branch or Location Name:** _____
 - Please check types of mortgages stored here? Residential* *Commercial*
 - Address, City, State, ZIP: _____
 - Contact Name and Title: _____
 - Contact Phone: _____ Email: _____
6. Are all of the **original Promissory Notes** present in the mortgage files that are stored in the bank vault(s) or file room(s) named above? Yes No
 If No, where are the original Promissory Notes kept?

7. Are all of the mortgage documents also scanned into an imaging system? Yes No

If No, are the original physical legal documents in stored in your facility the only image/copy available? Yes No If Yes, Please explain below.

8. Is the door to the vault or file room have any of the following?

Time Lock? Yes No

Dual Control Personnel having access are:

_____ Upper Management

_____ Lower Clerk Staff

Combo Lock Yes No

Key Pad or Electronic card key or Key Lock? Yes No

9. Is there an outer door from the outside or elevator access to the floor that also has a security barrier such as an electronic card key for employees of the company or is there a different security access method _____? Yes No

10. Does the vault or file room have:

Concrete walls Yes No

Number of hour fire rated _____

11. Does the vault or file room have windows? Yes No

If yes, please explain the room where the files are stored, security access, and the location of window(s): _____

12. Does the vault or file room hold the Notes in cabinets? Yes No

13. Are the cabinets:

1 Hour Fire Rated Yes No

2 Hour Fire Rated Yes No

3 Hour Fire Rated Yes No

Other _____

14. Are file cabinets secured by a:

Key Lock Yes No

Key Pad Lock Yes No

Combo Lock Yes No

Other _____

15. Does the area have an alarm system or additional security? Yes No

Please check all that apply:

- Alarm System Notifying Police
- Audible Alarm System Only (no notification)
- Security Guard
- Smoke Detectors
- Surveillance Cameras
- Overhead Sprinkler System (Wet)
- Dry Pipe Sprinkler System
- Fire Extinguishers

Other _____

16. Vault/File Room Controls:

Is there a visitor log that employees or visitors must sign mortgage files in and out of? Yes No

Is there restricted access (Who has access)? Yes No

Additional Comments:

Thank you for providing this information. Please return this document to CIS@fhlny.com

Please direct all questions regarding this questionnaire to the following:

Tisa Surat, AVP, Collateral Initiative and Support Manager Phone (201) 356-1058

Juan Carlos Esala, Collateral Initiatives and Support Specialist Phone (201) 356-1073

Or Email CIS@fhlny.com