



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**") (Form [HLB-113](#)). 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 - 1st Liens
- ☐ Home Equity Closed End 1st Lien
- ☐ Residential 2nd Lien (includes Second Lien, Residential 1-4 and Home Equity Closed End)
- ☐ Home Equity Line of Credit ("HELOC") 1st Lien and 2nd Lien
- ☐ Participation/Syndication Ownership – **Approval Required** (Provide a copy of the Participation/Syndication Agreement to CollateralDocs@fhlbny.com and complete Form [COL-128-IP](#))

What is the origination channel for the loans being pledged?

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

If loans are **purchased** or are related to **broker or correspondent agreements**, please provide copies of executed origination agreement(s) and upload agreements through your institution's FTS connection or send to CollateralDocs@fhlbny.com.

☐ Income Producing Loans

- ☐ Multi-Family / Commercial / Mixed Use
- ☐ Participation/Syndication Ownership – **Approval Required** (complete Form [COL-144](#))
- ☐ Individual loans with Original Aggregate for Participation/Syndication Loans or Original Balances of \$25 Million or Greater – **Approval Required** (Complete Form [COL-128-RESI](#))

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* (Form [COL-012](#)) provided on the FHLBNY [website](#).
- ☐ 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 FHLBNY Mortgage Data Reporting* (Form [COL-012](#)) provided on the FHLBNY [website](#).
- ☐ 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* (From [COL-129](#)).
- ☐ 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) Has your institution purchased loans?

- ☐ If YES, provide the purchase agreements for loans to be pledged.
- ☐ NO

5) 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. DOCUMENT LOCATION AND CUSTODIAL RELATIONSHIPS:

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

Name of Institution: _____

Address: _____

Contact Information

Name: _____

Phone: _____

Email: _____

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

- ☐ Same as legal documentation

Institution Name: _____

Address: _____

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

4) Does your institution image mortgage documents?

- ☐ If YES, what system is used? _____
- ☐ NO

5) Does your institution have **eNotes** (i.e., Promissory Notes executed electronically)?

- ☐ YES ☐ NO

6) Does your institution **electronically sign ANY** loan related documents?

- ☐ YES ☐ NO

If YES, please list types of documents signed electronically (e.g., credit document, compliance documents, mortgage documents). *For mortgage, please list out all documents individually.*

VI. 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). If there are multiple servicing relationships, please finish answering servicing questions on the section at the end of this form: [COL-125B Pledge Questionnaire for Additional Third-Party Relationships](#).

2)

SERVICER INFORMATION

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

SUB-SERVICER INFORMATION

Institution Name _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

- 3) Do you own the mortgage servicing rights for the loans you want to pledge?
☐ YES ☐ NO
- 4) ***If applicable, email a copy of the Servicing and/or Sub-servicing Agreement(s) to CollateralDocs@fhlbny.com.***
- 5) Are any loans to be pledged registered under Mortgage Electronic Registration Systems Inc (MERS)?
☐ If YES, Please complete a *MERS Questionnaire (Form [COL-145](#))* provided on the FHLBNY [website](#).
☐ NO

VII. SERVICING SYSTEM AND SERVICE BUREAUS:

- 1) 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: _____

VIII. MEMBER CONTACT INFORMATION:**1) Chief Lending Officer**

Name: _____

Title: _____

Office Address: _____

Phone: _____

Fax: _____

Email: _____

2) Head of Loan Servicing

Name: _____

Title: _____

Office Address: _____

Phone: _____

Fax: _____

Email: _____

IX. SIGNATURE:

Member #: _____ Date: _____

Institution Name: _____

PHONE: _____ FAX: _____

E-MAIL: _____

Title: _____

By: S/ _____

(By typing or signing your name next to the S/ you indicate placement of your signature on this form and agree to be bound by the statements contained in this document.)

X. FORM SUBMISSION:**Via Email:**

- Email all applicable forms and agreements to CollateralDocs@fhlbny.com. Please reference your institution's name and Member number in the subject line. Save a copy for your records.

Via SFTP Connection:

- Send all applicable forms and agreements using your existing [SFTP Connection to the FHLBNY](#). Reference the letters "doc" in each filename.

Via Mail:

- Send original signed documents to:

ATTN: Collateral Requests
Federal Home Loan Bank of New York
70 Hudson Street, 7th Floor
Jersey City, NJ 07302

Please direct all questions regarding the pledge requirements to the following:

Tisa Surat, Collateral Officer

Phone: (201) 356-1058

Email: CollateralDocs@fhlbny.com

COL-125B PLEDGE QUESTIONNAIRE FOR ADDITIONAL THIRD-PARTY RELATIONSHIPS

Please complete the following to provide additional information and required supporting documentation to pledge loans to the Federal Home Loan Bank of New York ("FHLBNY").

Additional Servicing or Custodians Mortgage Collateral Groupings**I. SECOND GROUPING OF MORTGAGE COLLATERAL****SERVICER INFORMATION**

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

SUB-SERVICER INFORMATION

Institution Name _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

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

☐ YES☐ NO

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

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

☐ If YES, Please complete a *MERS Questionnaire (Form [COL-145](#))* provided on the FHLBNY [website](#).☐ NO

4) Where is this grouping of loans held (i.e., original notes and collateral documents)?

DOCUMENT CUSTODY INFORMATION

If applicable, email a copy of the Document Custody Agreement to CollateralDocs@fhlbny.com

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

II. THIRD GROUPING OF MORTGAGE COLLATERAL**SERVICER INFORMATION**

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

SUB-SERVICER INFORMATION

Institution Name _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

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

☐ YES☐ NO2) *If applicable, email a copy of the Servicing and/or Sub-servicing Agreement(s) to CollateralDocs@fhlbny.com.*

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

☐ If YES, Please complete a *MERS Questionnaire (Form [COL-145](#))* provided on the FHLBNY [website](#).☐ NO

4) Where is this grouping of loans held (i.e., original notes and collateral documents)?

DOCUMENT CUSTODY INFORMATION*If applicable, email a copy of the Document Custody Agreement to CollateralDocs@fhlbny.com:*

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

III. FOURTH GROUPING OF MORTGAGE COLLATERAL**SERVICER INFORMATION**

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

SUB-SERVICER INFORMATION

Institution Name _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____

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

☐ YES ☐ NO

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

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

☐ If YES, Please complete a *MERS Questionnaire (Form [COL-145](#))* provided on the FHLBNY [website](#).

☐ NO

4) Where is this grouping of loans held (i.e., original notes and collateral documents)?

DOCUMENT CUSTODY INFORMATION

If applicable, email a copy of the Document Custody Agreement to CollateralDocs@fhlbny.com.

Institution Name: _____

Address: _____

Contact Information:

Name: _____

Phone: _____

Email: _____