



## 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”). [www.fhlbny.com/forms\\_agreements/revised-member-representations-and-warranties/](http://www.fhlbny.com/forms_agreements/revised-member-representations-and-warranties/) 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
- Participation/Syndication Ownership – Approval Required (Provide a copy of the Participation/Syndication Agreement to [CollateralDocs@fhlbny.com](mailto:CollateralDocs@fhlbny.com) and complete Form [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
- 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](#))

### 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: [www.fhlbny.com/forms\\_agreements/getting-started-with-the-fhlbny-mortgage-data-reporting/](http://www.fhlbny.com/forms_agreements/getting-started-with-the-fhlbny-mortgage-data-reporting/)
- 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* (COL-012) provided on the FHLBNY website at:

[www.fhlbny.com/forms\\_agreements/getting-started-with-the-fhlbny-mortgage-data-reporting/](http://www.fhlbny.com/forms_agreements/getting-started-with-the-fhlbny-mortgage-data-reporting/)

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:*

[www.fhlbny.com/forms\\_agreements/instructions-for-pledging-collateral-from-a-third-party-subsiidiary-or-affiliate/](http://www.fhlbny.com/forms_agreements/instructions-for-pledging-collateral-from-a-third-party-subsiidiary-or-affiliate/).

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. 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

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

**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).

SERVICER INFORMATION

SUB-SERVICER INFORMATION

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

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

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

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

Contact Information:

Contact Information:

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

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

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

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

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

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*: [www.fhlbny.com/forms\\_agreements/mers-questionnaire/](http://www.fhlbny.com/forms_agreements/mers-questionnaire/).

NO

**VII. 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: \_\_\_\_\_

**VIII. MEMBER CONTACT INFORMATION:**

Chief Lending Officer

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

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

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

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

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

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

Head of Loan Servicing

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

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

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

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

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

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

**IX. SIGNATURE:**

<b>Member #:</b> _____	<b>Date:</b> _____
<b>Institution Name:</b> _____	
<b>Phone:</b> _____	<b>FAX:</b> _____
<b>E-Mail:</b> _____ @ _____	
<b>Name/Title:</b> _____	
<b>By: S/</b> _____	
<b>(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.)</b>	

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

- Email all applicable forms and agreements to [CollateralDocs@fhlbny.com](mailto: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 FHLB NY](#). *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, AVP, Collateral Initiatives and Support Manager

Phone (201) 356-1058

Email [CollateralDocs@fhlbny.com](mailto:CollateralDocs@fhlbny.com)

Phone (888) 852-8460