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## APPENDIX I-1

### FORM HUD 11701 - APPLICATION FOR APPROVAL- GINNIE MAE MORTGAGE-BACKED SECURITIES ISSUER

Public Reporting Burden for this collection of information is estimated to average 3 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

The information requested on this form is required by Sec. 306(g) of the National Housing Act or by Ginnie Mae Handbook 5500.3. The information collected assists Ginnie Mae in determining which lenders should be approved to participate in the Ginnie Mae Mortgage Backed Securities Program. It is used to help Ginnie Mae minimize its risk. Applicants are not required to respond to this collection of information unless a currently valid approved OMB control number is displayed on the form.

**Privacy Act Statement.** Names and dates of birth are requested in order for Ginnie Mae to obtain positive identification of the applicant's officers, directors, stockholders and employees who have authority to obligate the applicant. The information requested will be used solely to determine the eligibility of the individuals to participate in the Ginnie Mae Mortgage-Backed Securities Program. The Department is authorized to request this information by Executive Order 9397 and it will not be disclosed outside the Department except as required or permitted by law. The dates of birth are provided to Ginnie Mae on a voluntary basis. Failure to provide this information could cause delay in processing of the applications.

- Applicability:** Ginnie Mae I MBS Program and Ginnie Mae II MBS Program.
- Purpose:** To provide a form for use by an applicant to summarize the applicant's business background and experience in the mortgage banking industry.
- Prepared by:** Applicant.
- Prepared in:** Electronically.
- Distribution:** Applicants seeking approval to be a Ginnie Mae Issuer must complete this application form by entering the required application data into Ginnie Mae Application Connection. Data entered into Application Connection will be used to populate and create the application form HUD-11701. This form then must be printed and signed by appropriate applicant personnel. The original signed form must be scanned in Portable Document Format (PDF) and uploaded to the Application Connection. Finally, the original signed form HUD-11701 must be mailed to Ginnie Mae's Office of Enterprise Risk at 550 12<sup>th</sup> Street, SW, Third Floor, Washington, DC 20024.
- Completion Instructions:** The circled numbers on the illustrated form correspond with the numbers listed below.

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1. Full legal name of applicant (if the applicant is “doing business as,” include trade name).
  2. Phone number, fax number and e-mail for organization.
  3. Geographic address of home office (must be physical address).
  4. Mailing address.
  5. Name of contact person and phone number for application.
  6. Fax number and e-mail for contact person.
  7. Date (year and month) applicant was incorporated, established or chartered.
  8. State in which applicant was incorporated.
  9. Check appropriate box(es) indicating program(s) for which approval is requested.
  10. Check whether applicant is a minority-owned and/or woman-owned firm (optional).
  11. Check institution type.
  12. Federal tax identification number of applicant.
  13. Date applicant’s fiscal year ends.
  14. Provide (on a separate sheet) the names, dates of birth, and titles of all corporate officers and all stockholders owning 25% or more of the applicant’s stock. The percentage share of ownership must also be given. The applicant must also designate which individual is in charge of the day-to-day operations of the firm.
  15. Check appropriate box (yes or no) in questions one through seven. If a “yes” answer is applicable, then a detailed explanation must be attached on a separate sheet.
  16. Insert FHA mortgagee number (if applicable).
  17. Fannie Mae seller/servicer number(s).
  18. Freddie Mac seller/servicer number(s).
  19. Total dollar amount of mortgage servicing portfolio (irrespective of ownership). Total dollar amount of mortgage servicing portfolio being subserviced by other entity(s).
  20. Provide a brief description of applicant’s history. Also include operating and business plans.
  21. On a separate sheet, break down applicant’s mortgage loan operations over the last three years (segregated by loan type, e.g., conventional, FHA, VA, RD, § 184, and by program type, e.g., single-family, multifamily, manufactured housing, property improvement).
  22. On a separate sheet, list investors, number of loans and dollar amount for whom the applicant services mortgages. Subservicing is to be broken out using the same format.
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23. A description of any restrictions on the applicant's activities that have been imposed by Fannie Mae and/or Freddie Mac. Also include a copy of applicant's annual eligibility certification report, and the most recent compliance report from Fannie Mae and/or Freddie Mac.
24. Applicants for Ginnie Mae's multifamily program approval: Provide eligibility certification of multifamily approval by Fannie Mae and/or Freddie Mac.
25. Applicants for Ginnie Mae's multifamily program approval who are not approved for Fannie Mae and/or Freddie Mac's multifamily program: Provide two resumes showing the relevant experience in multifamily originating and servicing.
26. On a separate sheet, list investors to whom the applicant sells mortgages.
27. On separate sheets, include at least four resumes, which at a minimum must include three officers and one additional full time employee of the applicant. The resumes must show the employee's name, date of birth, and relevant experience pertaining to the mortgage banking industry over the past 10 years. The resume must also indicate the name of the employer(s), date(s) worked, title(s), supervisor(s), and a brief description of duties, responsibilities, and accomplishments for each job. Each resume must also include an original signature and date.
28. Signature of authorized official.
29. Date application is prepared.
30. Name of authorized official.
31. Title of authorized official submitting application.