Application for Approval FHA Lender and/or Ginnie Mae Mortgage-Backed Securities Issuer

U.S. Department of Housing and Urban Development Federal Housing Administration and Government National Mortgage Association

OMB Approval No. 2503-0033 (exp. 11/30/2008)

Public reporting burden for this collection of information is estimated to average 1 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 24 CFR Part 202 and Sec. 306(g) of the National Housing Act or by HUD Handbooks 4060.1 and 5500.3. The information collected assists FHA and Ginnie Mae in determining which lenders should be approved to participate in the FHA single and multifamily insurance programs and/or the Ginnie Mae Mortgage-Backed Securities Program. It is used to help FHA minimize its risk in insuring single-family and multifamily mortgages and Ginnie Mae to minimize its risk. Applicants are not required to respond to this collection of information unless a current OMB approval number is displayed on the form.

Privacy Act Statement. Names and Social Security Numbers are requested in order for the Department 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 Department's mortgage insurance programs. The Department is authorized to request this information by Executive Order 9397 and it will not be disclosed outside the Department except as permitted by law. The Social Security Numbers are provided to HUD on a voluntary basis. Failure to provide this information could cause delay in processing of the applications.

#### **Instructions for Completing Form HUD-11701**

Applicants seeking qualification as a FHA-approved lender/mortgagee or loan correspondent under the Title I and/or Title II programs and/or as an approved issuer with the Government National Mortgage Association ("Ginnie Mae"), must complete the appropriate sections of this form.

Qualified applicants may obtain one of the following three types of approval:

#### 1. FHA Approval Only

Applicants seeking only FHA approval must complete Sections A, B, and C of this form and provide the supplemental information requested. The application fee is nonrefundable and is \$1,000 for Title1, Title II, or for both; there is no additional fee if the applicant is already approved for one program. The application and fee must be sent to the appropriate address shown below.

#### 2. Ginnie Mae Approval Only

Applicants seeking only Ginnie Mae approval must complete Sections A, B, D or E, and F of this form and provide the supplemental information requested. A nonrefundable application fee of \$250 made payable to Ginnie Mae is required at the time of application. The fee is to be included with the application package. The application and fee must be sent to the appropriate address shown below.

#### 3. FHA and Ginnie Mae Approval

Applicants seeking both FHA and Ginnie Mae approval must complete Sections A, B, C, D or E, and F of this form and provide the supplemental information requested. Separate fees are to be paid for each program as specified above. The application and fee must be sent to both FHA and Ginnie Mae at the appropriate addresses shown below.

#### 4. Conversion of FHA Status

An applicant already approved for Title I or Title II and wishing to convert its status must complete Section A and each changed item in Section C. If there are no changes regarding officers or owners, item 11 in Section A may be omitted. The applicant must submit the application together with the supplemental information to the appropriate address shown below. The nonrefundable conversion fee is \$300 for Title I, Title II, or Title I and Title II at the same time and must be sent to the appropriate address shown below.

### Addresses for Submission of Application and Fee:

Applications for FHA approval only, sent by U.S. Mail:

U.S. Department of Housing and Urban Development Lender Approval & Recertification Division Rm B133 / P3214 451 7<sup>th</sup> Street, SW Washington, D.C. 20410-8888

Applications for FHA approval only, sent by delivery service:

U.S. Department of Housing and Urban Development Lender Approval & Recertification Division Suite 3214 490 L'Enfant Plaza East, SW Washington, D.C. 20024-2118

Applications for Ginnie Mae approval only, sent by U.S. Mail:

Government National Mortgage Association 451 7th Street, SW Washington, D.C. 20410-9000

Previous editions are obsolete.

Replaces HUD-92001, 92001-D and LD

Fee for FHA Title I approval or conversion:

U.S. Department of Housing and Urban Development P. O. Box 198608 Atlanta, GA 30384

Fee for FHA Title II approval or conversion, or fee for FHA Title I and Title II approval or conversion:

U.S. Department of Housing and Urban Development P. O. Box 198619 Atlanta, GA 30384

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ref. Handbooks 5500.3, Rev. 1 and 4060.1

#### Supplemental Information to be Submitted to Obtain FHA Title I and/or FHA Title II Approval.

Supplemental Information required to be submitted with form HUD-11701, for verifying that an applicant meets FHA Title I and/or Title II requirements for lender approval, varies

depending on the type of institution making application. To determine what additional information is required, determine what classification type the institution falls under (i.e., Supervised Lender, Non-Supervised Lender, Loan Correspondent,

10b. E & O Insurance

Supervised Lender	Non-supervised Lender	Supervised Loan Correspondent	Non-supervised Loan Correspondent	nvesting Lender	Governmental Institution	Conversion to Full Lender	Conversion to Loan Correspondent	Supervised Mortgagee	Non-supervised Mortgagee	Supervised Loan Correspondent	Non-supervised Loan Correspondent	nvesting Mortgagee	Governmental Institution	Conversion to Full Lender	Conversion to Loan Correspondent														
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11. List name(s), address(es), telephone number(s), and contact person(s) for mortgage insurance companies, warehouse lenders, and
2. HUD Form 11702

# Application for Approval FHA Lender and/or Ginnie Mae Mortgage-Backed Securities Issuer

## **U.S. Department of Housing and Urban Development** Federal Housing Administration and Government National Mortgage Association

OMB Approval No. 2503-0033 (Exp. 11/30/2008)

# $\hbox{All Applicants are required to complete Sections A and B. Use this form as a cover sheet for your submission. } \\$

**Section A. General Information** 2a. Phone (include area code and extension) 2b. FAX (include area code) 1b. DBA (if applicable) 2c. E-mail 3. Geographic Address of Home Office (must be physical address) **Attention** (Use a title, not an individual's name) 5a. Contact Person for this application Street Address 5b. Contact Phone Number and extension for this application City State Zip Code 6a. Contact FAX Number and area code for this application County 6b. Contact E-Mail Address for this application 4. Mailing Address Check if same as Geographic Attention (Use a title, not an individual's name) 7. Date of Charter Street Address/ P.O. Box 8. Under Laws of the State of (if applicable) City State Zip Code

		FINATITIE I (Property Improvement	Loans/Manufactured Housing Loans)	FHA Title I Conversion	Minority-Owne	d
	-	FHA Title II (Mortgage Loans)	FHA Multifamily	FHA Title II Conversion	Women-Owned	I
		Ginnie Mae Single-Family	Ginnie Mae Multifamily		Minority-Owne	d/Women-Owned
		Institution Type Credit Union	Bank 1	.2. Applicant Taxpayer Identifying (9 digits)	Number 13.	Fiscal Year End (month)
		Savings Bank	Savings and Loan			
		Mortgage Co./Finance Co.				
	14.	All Applicants <b>must</b> provide the space is needed, use a separat	e information below for all officers, alo e sheet. Please indicate which officer i	ng with owners having a 25% or s in charge of the day-to-day ope	greater ownership inte rations of the applicant b	rest in the applicant. If additional by checking the box provided.
		Officer/Owner Name	Title (if ap	oplicable)	Social Security Numb	er % Ownership
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	Pre	evious editions are obsolete.				
	Rep	places HUD-92001, 92001-D a	nd LD			form <b>HUD-11701</b>
	(01	/2006)		Page 1 of 3	ref. Handbo	ooks 5500.3, Rev. 1 and 4060.1
<b>(15)</b>		Section B. History and	Bu∰ess Status	H		
			ver each question below. If any o	of the questions require a "Yes"	answ provide an ex	planation on a separate sheet.
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(16)						
(16)						

	Yes	No			Yes	No	
1	. 🗆		Is the applicant the subject of any assessments or contingent liabilities not disclosed in its financial statements?	4.			Have any mortgage insurance companies, secondary marketing agencies or warehouse lenders, or broker/dealers denied the applicant approval in the three
2			Has the applicant or any of its principals, officers, individuals serving on the Board of Directors, or individuals acting as authorized signatories, ever been, or are any				previous fiscal years being reported? Provide the date and reasons for each denial.
			presently suspended, terminated, debarred, sanctioned, fined, convicted, denied approval, or refused a license by any Federal, State, or local government agency, or a government-related entity, where the action is related to the	5.			Has the applicant been subject to any past or present action by HUD, VA, Fannie Mae, Freddie Mac, or other government-related entity to indemnify the entity against loss?
3	. $\Box$		responsibilities that are commensurate with those of the financial services industry?  Is the applicant or any of its principals, officers, individuals	6.			Is the applicant currently subject to regulatory or supervisory action by any regulatory agency? Regulatory actions include, but are not limited to, supervisory
			serving on its Board of Directors, individuals acting as authorized signatories, or employees currently involved in a proceeding or subject to an investigation that could result, or has resulted, in suspension, fine, or disbarment by a Federal, State, or local government agency, conviction in a				agreements, cease and desist orders, notices of determination, memoranda of understanding, unresolved audits, and investigations. Supervisory actions include, but are not limited to, the appointment of a trustee, conservator, or managing agent.
			criminal matter, bankruptcy or denial of fidelity insurance or mortgagee's errors and omissions insurance coverage?	7.	Ш		Has the applicant or any owner, principal, or managing executive been involved, through ownership or otherwise, with a previously defaulted Ginnie Mae issuer(s)?
3	ection	ı C: I	FHA Title I and Title II only				
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Attention (Use a title, not an individual's name)  Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  City  State  Zip Code  Loan Correspondent (Supervised/Non-supervised)  Insurance Com Mortgage Co./ Finance Co. Supervised/Non-supervised)  Insurance Com Mortgage Co./ Finance Co. Supervised/Non-supervised)  Investing Mortgagee For-Profit Not-for-Profit Not-for-Profit Not-for-Profit  Street Address/ P.O. Box  Street Address/ P.O. B	Premium Address Check if same as:     Attention (Use a title, not an individual's recommendation)	Geographic Mailing ame)		5. Lender/Mortgagee Type Government	6. Institution Type Federal State
2. Payee Address Must be completed for all FHA applications  Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  City State Zip Code  3. CHUMS Address Check if same as: Geographic Mailing Premium Payee  Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  Title I Property Improvement Manufactured Housing Payeous (HUD use)  P. Applicant Taxpayer Identifying Number (Glidis)  Title I I 1.4 Family Mortgages (MUD use)  12. Financial Statement Datt_HUD use)  13. Title I Home Office Longer ID, If prior approval (10 digits)  Title I I 1.4 Family Mortgages (MUD use)  14. Fiscal Year End (month)  15. Fiscal Year End (month)  16. Financial Statement Datt_HUD use)  17. Financial Statement Datt_HUD use)  18. Financial Statement Datt_HUD use)  19. Applicant Taxpayer Identifying Number (Glidis)  Title I I 1.4 Family Mortgages (MUD use)  19. Applicant Taxpayer Identifying Number (Glidis)  Title I I 1.4 Family Mortgages (MUD use)  10. Financial Statement Datt_HUD use)  10. Institution Type  10. Institution Type  11. Fiscal Year End (month)  11. Fiscal Year End (month)  12. Financial Statement Datt_HUD use)  13. Title I Home Office Month Pupper ID, If prior approval (10 digits)  13. Title I Home Office Month Pupper ID, If prior approval (10 digits)	Street Address/ P.O. Box			_	Local
Attention (Use a title, not an individual's name)    Attention (Use a title, not an individual's name)	City	State	Zip Code	•	Bank
Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  City State Zip Code  3. CHUMS Address Check if same as: Geographic Mailing Premium Payee  Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  Street Address Check if same as: Geographic Mailing Premium Payee  Attention (Use a title, not an individual's name)  Street Address Check if same as: Geographic Mailing Premium Payee  Attention (Use a title, not an individual's name)  Street Address Check if same as: Geographic Mailing Premium Payee  City State Zip Code  Attention (Use a title, not an individual's name)  Street Address P.O. Box  Street Address P.O. Box  T. Examined and Super Ped Type Code (HUD use)  Street Address P.O. Box  Street Address P.O. Box  T. Examined and Super Ped Type Code (HUD use)  Street Address P.O. Box  T. Examined and Super Ped Type Code (HUD use)  The derivative of Thirth Supervision Payer (HUD use)  The derivative of Thirth Su	2. Payee Address Must be completed for all F	HA applications		Non supervised	Savings & Loan
City State Zip Code    State Zip Code	Attention (Use a title, not an individual's n	ame)		•	Mortgage Co./
3. CHUMS Address Check if same as: Geographic Mailing Premium Payee  Attention (Use a title, not an individual's name)  Street Address/ P.O. Box  Street Address/ P.O. Box  Street Address Check if same as: Geographic Mailing Premium Payee  City State Zip Code  5. Lender/Mortgagee Service Provider Service Provide	Street Address/ P.O. Box				Finance Co.
Attention (Use a title, not an individual's name)    Street Address/ P.O. Box	City	State	Zip Code	- Investing Mertgegee	Correspondent *
Street Address/ P.O. Box    City	3. CHUMS Address Check if same as:	eographic Mailing D F	Premium 🗆 Payee	- investing wortgagee	
Attention (Use a title, not an individual's name)    T. Examined and Super   Federal Reserve System   Federal Reserve System   Altention (Use a title, not an individual's name)   Street Address/ P.O. Box   Federal Reserve System   Altention   Federal Reserve System   Altention   Federal Reserve System   Federal Reserve	Attention (Use a title, not an individual's n	ame)		Reserved	
Attention (Use a title, not an individual's name)    T. Examined and Super   Federal Reserve System   Federal Reserve System   Federal Reserve System   And Super   Federal Reserve System   Federal Reserve System   And Super   Federal Reserve System   Federal Reserve Syst	Street Address/ P.O. Box			Service Provider	Service Provider Servicina Agent
Attention (Use a title, not an individual's name)    T. Examined and Super   Federal Reserve System   Federal Reserve System   Federal Reserve System   And Super   Federal Reserve System   Federal Reserve System   And Super   Federal Reserve System   Federal Reserve Syst	City	State	Zip Code		6. Institution Type
Attention (Use a title, not an individual's name)    T. Examined and Super   Federal Reserve System   Federal Reserve System   Altention (Use a title, not an individual's name)   Street Address/ P.O. Box   Federal Reserve System   Altention   Federal Reserve System   Altention   Federal Reserve System   Federal Reserve	Endorsement Address Check if same as	Geographic Mailing Pren	nium D <sub>Payee</sub> D <sub>CHUMS</sub>	<u> </u>	
Street Address/ P.O. Box    Federal Deposit Insurance Corp. vised Corp. Office of Thrift Supervision (HUD us)   Office of Thrift Supervision (HUD us)   Other (specify)	Attention (Use a title, not an individual's n	ame)		* 7. Examined and Superv	
9. Applicant Taxpayer Identifying Number (9 digits) Title II 1-4 Family Mortgages Nultifamily Mortgages III Home Office Mortgages III Home Office Mortgages III Home Office Mortgage III III III Home Office Mortgage III III III Home Office Mortgage III III III III Home Office Mortgage III III III III Home Office Mortgage III III III III III III Home Office Mortgage III III III III III III III III III I				Federal Deposit Insura	nce Corp. vised Code
9. Applicant Taxpayer Identifying Number (9 digits) Title II 1-4 Family Mortgages   Image: Property Improvement   Image: Prope	City		Zip Code	National Credit Union Other (specify)	—min. □
9. Applicant Taxpayer Identifying Number  (9 digits)  Title I Property Improvement Manufactured Housing International Internatio	뿐 \$ponsor Home Office Lender/Mortgagee ID 을 (10 digits) 트	10. Origination/Service	O N P S (HUD use)		
	9. Applicant Taxpayer Identifying Number  (9 digits)	Manufactured Hous	sing	1 Title I Home Office Leng (10 digits)  13h Title II Home Office Mor approval (10 digits)	Lef ID, if prior approval

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FHA Certification The undersigned agrees to comply with the provisions of the			ents of the Secretary of HUD.			
I certify that I am authorized to execute this application						
Section D. Ginnie Mae I and/or II Applicants (Fannie Ma	ae and/or Fre	eddie Mac Approved)				
1. FHA Mortgagee Number (if applicable)	on r	estrictions on the applican	ease provide a description of any t's activities that have been imposed die Mac. Please also provide a copy of			
Fannie Mae Seller/Servicer Number(s)			bility certification report and the most im Fannie Mae and/or Freddie Mac.			
18	(22) n		lying for approval in Ginnie Mae's e eligibility certification of multifamily d/or Freddie Mac.			
FHLMC Seller/Servicer Number(s)			are not approved for Fannie Mae's			
19	(23) s		family program, provide two resumes rience in multifamily origination and ars.			
(Servicing) \$ (Sub-servicing) \$						
Section E. Ginnie Mae I and/or II Applicants (No Fannie I	Mae or Fred	die Mac Approval)				
FHA Mortgagee Number: (If applicable)		On a separate sheet, pleas ells mortgages.	e list investors to whom the applicant			
24)	6. 0	On a separate sheet, pleas	e list at least four resumes (minimum			
<ol> <li>On a separate sheet, please provide a brief description of the applicant's history. Please include operating and business plans.</li> <li>On a separate sheet, please provide the following: Mortgage loan operations and volume of originations segregated by loan type (i.e., conventional, FHA/VA, RHS) during the last three years for single-family residential and multifamily loans.</li> </ol>	tl ti ii tl	of three full-time officers and one full-time employee) for the key officers and employees of the applicant. The resume must show the employee's name, Social Security Number, date of birth, and the relevant experience pertaining to the mortgage banking industry. Please include each employee's employment history for the past ten years by name of the employer, date, title supervisor, and a brief description of the duties, responsibilities.				
4. On a separate sheet, please list investors, number of loans and dollar amount for whom the applicant services mortgages (subservicing is to be identified and broken out separately using the same format).		und accomplishments. Each ignature and date.	n resume must also include an original			
Section F. Ginnie Mae Certifications (All Ginnie Mae App	licants)					
1. The financial statements submitted to Ginnie Mae are complete and accurate statements of the applicant's financial condition.			igned applicant by submitting this and administer Ginnie Mae mortgage-			
2. To the best of its knowledge and belief, the information and data contained herein are true and correct. Further, it is the opinion of the undersigned that it has powers and authority sufficient to act as an issuer of Ginnie Mae mortgage-backed securities.	b v r <i>A</i>	acked securities and serv with Section 306(g) of the egulations; and the applica association Mortgage-Back	ice pooled mortgages in accordance National Housing Act, its applicable able "Government National Mortgage ed Securities Guide" (Ginnie Mae I:			
3. Each applicant warrants that while the application is pending action by Ginnie Mae, the applicant will notify Ginnie Mae in writing of a change in any material factor that could affect the application decision.	C	Ginnie Mae II: Handbook 55	00.3).			
All Applicants are required	to sign and	date the application.				
Applicant 31			Date 32			
Signature (must be original)	Name (prir	nted or typed) (33)				
33)	Title (must	be President, Vice Presider	nt, Partner, or Managing Member)			
Approved (HUD Use Only) U.S. Department of Housing and Urban Development,	1		Title I ID Number			
Director, Office of Lender Activities and Program Complian  By: (Signature of Director, Lender Approval and Recertific			Title II ID Number			

Date