
APPENDIX VI-20

ELECTRONIC SUBMISSION OF ISSUERS' INSURANCE AND ANNUAL AUDITED FINANCIAL DOCUMENTS

OMB Approval No. 2503-0033 (Exp. 00/00/0000)

Public reporting for this information collection 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. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

Ginnie Mae is authorized to collect this information pursuant to Section 306(g) of the National Housing Act and/or by Ginnie Mae's Handbook 5500.3, Rev. 1. The purpose of this collection is to provide notification to Ginnie Mae, by the document custodian, of receipt of documentation pertinent to the issuance of Mortgage Backed Securities. The information collected will not be disclosed outside the Department except as required by law.

Applicability: Ginnie Mae I MBS Program and Ginnie Mae II MBS Program.

Purpose: To be used by an Issuer to electronically submit their annual audited financial statements (including supplemental reports), fidelity bond insurance renewal and/or errors and omissions (E&O) insurance renewals as described in Chapter 3 of the MBS Guide to Ginnie Mae.

Prepared by: Issuer.

Prepared in: Electronic form and submitted via the Ginnie Mae Enterprise Portal Independent Public Accounting ("IPA") module.

Due Dates: See table below

Document(s)	Due Date
Annual Audited Financial Statements	Within 90 days of the Issuer's fiscal year-end.
Annual Fidelity Bond Insurance Renewal	Renewal certificates and endorsements or other notifications of policy renewals must be received by Ginnie Mae's Financial Reports Review Agent no later than 30 days prior to policy expiration.
Annual Errors and Omissions Insurance Renewal	Renewal certificates and endorsements or other notifications of policy renewals must be received by Ginnie Mae's Financial Reports Review Agent no later than 30 days prior to policy expiration.

Overview

This document provides electronic submission instructions to Issuers. Information on Issuer reporting requirements are described in Chapter 3 section 3.6(A) and 3.7(A) of the Ginnie Mae Mortgage-Backed Securities Guide. Also Chapter 6 of the HUD Audit Guide provides additional information on Ginnie Mae’s supplemental reporting requirements, including the required reporting formats. The HUD Audit Guide is located at the following address <http://www.hudoig.gov/reports/consolidated.php>

Documents that can be submitted electronically include:

- Annual Audited Financial Statements, including required supplemental reports
- Fidelity Bond Insurance Renewal
- Errors and Omissions Insurance Renewal

Electronic Submission Instructions

1. Issuers should login to the GMEP portal
2. Select File Upload and click Upload File
3. Select IPA Files
4. Select the file that you wish to upload
5. Use the following file standards and naming conventions

The file naming standards will be AAMMDDYYnn.iii.pdf (e.g. “AA08021101.1234.pdf”). It will contain a fixed length of 8 digits (6-Date, 2-Increment) after initials and dot (.) followed by four digits (4-Issuer No). It shall adhere to the following conventions:

AA	Type of PDF (e.g. FS – Financial Statement, FB - Fidelity Bond Insurance Renewal, EO - Errors and Omissions Insurance Renewal)
MMDDYY	Date (e.g. 080211)
nn	Sequence number to distinguish more than one submission with the same date
iii	Valid four digit Issuer number
.pdf	Valid file extension

Examples of file names:

- FS08021101.1234.pdf This file name corresponds to Issuer ID 1234 submitting a Financial Statement file on August 2, 2011 for the first time.
- FS08021102.1234.pdf This file name corresponds to Issuer ID 1234 submitting a Financial Statement file on August 2, 2011 for the second time (e.g., correction file or simply a second set of data for the first submission).