
APPENDIX VIII-4 THE POOL TRANSFER SYSTEM (PTS)

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

Public reporting for this information collection is estimated to average 10 minutes 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 submit this form, unless it displays a valid OMB control number.

Ginnie Mae is authorized to collect the information on this form as provided in Section 306(g) of the national Housing Act or by the Ginnie Mae Handbook, 5500.3, Rev. 1. The purpose is to provide issuers with the tools necessary to transfer pool obligations from one servicer to another.

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

Ginnie Mae is making available, upon written request, a front-end editor program, the Pool Transfer System (PTS). Issuers may use this program to create the computer diskette containing the transfer of issuer responsibility data in the proper format. The PTS is a user-friendly computer program that will guide the user through the necessary steps of preparing the diskette. The PTS consists of a user manual and a program diskette. The minimum requirements to use the PTS are an IBM or IBM compatible PC, a hard disk with 3 megabytes of free space, DOS 3.3 or higher, and 500K of RAM. The program disk is the property of Ginnie Mae and may not be distributed outside of your organization.

If you elect not to use the PTS to prepare the diskette in the proper PTS format, a diskette containing one ASCII file with pool transfer data must be submitted. The file name must be written on the diskette label. **An extension of “.TXT” must be on the ASCII file name.**

The ASCII file will contain one “Header” record, containing the FROM (selling) Issuer ID, the TO (buyer) Issuer ID, the Effective Date of Transfer, the count of pools included in the transfer, the total dollar amount of unpaid securities balances for all pools in the transaction, the month and year for which the unpaid securities balances are being reported, and the date of the transfer request (which should be the same date that appears on the issuer’s letter to Ginnie Mae requesting the transfer). (**Note:** unpaid securities balances are always considered “as of” the last day of the most recent month-end.)

Note that spaces are not permitted in date fields (e.g., “19880701” is acceptable, but “1988 7 1” is not.) All fields are required except for the Certification Received Date on the “Pool” record. The specific file format is described below; fields must be in the order indicated and delimited by one comma. Indicate the file name of the ASCII file in the body of the written request for transfer. If a value is not provided for the Certification Received Date, only the delimiters (i.e., the commas) are required.

The “Header” record must be the first record in the file. In addition, one record must be included in the file for each pool involved in the transfer. Each “Pool” record must contain a Pool Number, Issue Date, Final Certification Received Date, if applicable, and Unpaid Securities Balance for the pool.

“Header” Record Specification

Record Type:	H (1 character)
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FROM Issuer ID:	Numeric (maximum 5 digits)
TO Issuer ID:	Numeric (maximum 5 digits)
Effective Date of Transfer:	YYYYMMDD
Count of Pools:	Numeric (maximum 6 digits)
Total Unpaid Securities Balance (maximum 12 digits left of decimal):	Numeric with decimal point and cents
Unpaid Balance As of Month/Year:	MMYY
Date of Request:	YYYYMMDD

“Pool” Record Specification

Record Type:	P (1 character)
Pool ID:	Numeric
Issue Date:	YYYYMMDD
Certification Received Date:	YYYYMMDD
Unpaid Securities Balance (maximum 10 digits left of decimal):	Numeric with decimal point and cents

Example of ASCII File Data

H,7000,7005,19960201,4,4919358.08,1295,19951229	
P,1234,19921101,19940511,1468995.22	
P,12345,19921101,19931105,868994.77	
P,123456,19940901,19940926,1328708.05	
P,123457,19941001,,1252660.04	(certification date omitted)

Diskettes received by Ginnie Mae’s agent which were not prepared by the PTS or which do not exactly conform to the ASCII format described above will not be processed by the agent and will be returned as unacceptable.

Applications/agreements for the PTS should be addressed to:

Ginnie Mae Relationship Services
c/o The Bank of New York
Attention: Pool Transfer
101 Barclay Street, 8 East
New York, NY 10286

For technical information or assistance telephone Ginnie Mae at (202) 708-1535 or FAX (202) 708-4117 or contact Ginnie Mae’s agent at (212) 623-8089.

Format for “Exhibit A”

EXHIBIT A
TRANSFER OF ISSUER RESPONSIBILITY TRANSMITTAL AND CHECKLIST

This checklist must be attached to the request for Phase II or Phase I and II combination to transfer issuer responsibility. All documents must be presented in one submission.¹ Responsibility for preparation is indicated in parentheses following each item.

Corporate resolution of the seller authorizing the request for transfer. (Seller)

Form HUD 11702 - Resolution of Board of Directors and Certificate of Authorized Signatures (copy required if Ginnie Mae’s agent does not have up-to-date copy) (Buyer and Seller)

Form HUD 11707 - Master Servicing Agreement. (Buyer)

Form HUD 11709 - Master Agreement for Servicer’s Principal and Interest Custodial Account. (Buyer)

Form HUD 11715 - Master Custodial Agreement. (Buyer)

Form HUD 11720 - Master Agreement for Servicer’s Escrow Custodial Account. (Buyer)

Form HUD 11703II – Master Agreement for Participation Accounting (if applicable). (Buyer)

Assignment Agreement prepared in triplicate with original signatures, corporation seals and notarizations. (Seller and Buyer)

A release from the Acknowledgment Agreement for the pools and loan packages to be transferred . (Secured Party)

Check or wire payable to Ginnie Mae in the amount of \$250.00 for each pool or loan package being transferred, unless a smaller fee is required under Chapter 6-2 of the Guide. (The check or wire must accompany all Phase I/Phase I and Phase II combination transfer requests.)

A PTS computer diskette.

A completed self-addressed airbill of a courier service. (This is optional.)

Mail transfer request to:

Ginnie Mae Relationship Services
c/o The Bank of New York
Attention: Pool Transfers
101 Barclay Street, 8 East
New York, NY 10286

¹ If documents are on file with Ginnie Mae’s agent, please indicate with N/A.

I certify that all required documents listed above are included with this checklist, and that all pools that must receive final certification or recertification prior to transfer have met this requirement. I understand that if this submission is incomplete or contains errors, Ginnie Mae's agent will notify me by telephone and return this package without approval.

Signature: _____

Typed Name: _____

Title: _____

Telephone No.: _____

Date: _____