

Document Certification Audit Report Job Aid

Effective Date: June 2021 Version 1.0



Contents

1. Overview of the Process	3
2. Logging into Fannie Mae Connect Application	3
3. Retrieve Loan Audit Sample	3
4. PDF Download Report	6
5. Excel Download Report	8



1. Overview of the Process

To ensure compliance with Fannie Mae's certification and custody requirements, the Document Custodian is responsible for retaining an Independent Third-Party Auditor to perform an annual compliance review of its certification and custody practices. To facilitate this process, Document Custodians can use the Document Certification Audit Report to download a representative sample of loans for this review. The loan sample will be randomly selected and will include a distribution of products that the Document Custodian has certified within a 12-month period from the date the report is downloaded.

For additional assistance during this process, please contact your assigned Fannie Mae Custody Analyst and/or email Fannie Mae at <u>custodian_oversight@fanniemae.com</u>.

2. Logging into Fannie Mae Connect Application

To access the Fannie Mae Connect application, follow these steps:

- a. Click on this link <u>https://singlefamily.fanniemae.com/applications-technology/fannie-mae-connect</u> to access the Fannie Mae Connect page located on Fanniemae.com.
- b. Click Launch App. The system displays the Fannie Mae Connect Login screen.
- c. Enter your User ID and Password, then click Login.
 - a. For user ID and password issues, Contact Customer Interaction Center at 1-800-2FANNIE (232-6643), Option 1, then select Option 1.
- d. After successful login, click on the View Report.

Most Used Reports

Document Certification Audit Report	
last data refresh 03/01/2021	
☆ ☑	View Report

3. Retrieve Loan Audit Sample

Document Certification Audit Report page

Document Certification Audit Report

🟠 🖂 👘 Help us improve your report experience

The Document Certification report provides a randomly selected representative sample of loans certified by the Document Custodian within 12 months of current day, to be used for audit purposes.

Report Category Custodian | Last Data Refresh 03/01/2021



Step 1: In the Document Certification Audit Report, the Custodian FIN will be displayed

Select Custodian ID
EXAMPLE#12345
Q: EXAMPLE#12345
Select All
EXAMPLE#12345

Step 2: Select report date(s): Select the time frame relevant to the AUP reporting period.

Select Report Date(s)	
Available Report Date(s)	•
Q YYYY-MM-DD	
Select All	
DEC 2020 (12-01-2019 - 12-01-2020)	A
NOV 2020 (11-01-2019 - 11-01-2020)	
OCT 2020 (10-01-2019 - 10-01-2020)	
SEP 2020 (09-01-2019 - 09-01-2020)	
AUG 2020 (08-01-2019 - 08-01-2020)	-

Step 3: Select File format .pdf or .xls:

a. Select PDF for Auditor's review

b. Select Excel to enable the ability to sort by Fannie Mae Loan Number

File Format				
Select file format	•			
.pdf				
.xls				

Note: When the Excel format is selected, the user may encounter a warning text box (see below). Select 'Yes' to continue.

Microso	't Excel	×
	The file format and extension of 'Document_Certification_Audit_Report_r2udfp_test4.xls' don't match. The file could be corrupted or unsafe. Unless you trust its source, don't open it. Do you want to open it any	way?



Step 4: Select Section: This Section depicts a list of all reports available for the report period selected.

 If you are a Document Custodian with one vault location, select "Sample – FNMA" for Fannie Mae 3rd Party Independent Audit (Refer to Scenario 1 screenshot)

Scenario 1:

Select Section				
Select Report Section 🔻				
Sample - FNMA				
Sample - Other 1				
Sample - Other 2				

 If you are a Document Custodian with multiple vault locations, select "Vault 1– FNMA" or "Vault 2 – FNMA" (Refer to Scenario 2 screenshot).

Scenario 2:

ownload Raw Data	clear all filters
elect Custodian ID	
Example#1234	•
elect Report Date(s)	
Vault 1 - FNMA	4
Vault 1 - Other 1	
Vault 1 - Other 1 Vault 1 - Other 2	
Vault 1 - Other 2	



The below screenshots show the Selection Screen when all required fields are selected:

Click the 'Download' button.

🟠 🖂 👍 Help us improve yo	
The Document Certification report months of current day, to be used	ovides a randomly selected representative sample of loans certified by the Document Custodian within audit purposes.
Report Category Custodian	ata Refresh 12/01/2020
Download Raw Data Fu	eport Description
Download Raw Data	clear all filters
Select Custodian ID	
EXAMPLE#12345	•
Select Report Date(s)	
DEC 2020 (12-01-2019 - 12-01-20	
File Format	
.pdf	▼
Select Section	
Sample - FNMA	

4. PDF Download Report

After downloading the loan audit sample from Fannie Mae Connect, open the file to review loan details.

- 1. Audit Report shows the total number of loans in the report = 150 loans.
- 2. Loan Status of all 150 loans will be "Certified" or "Qualified Certified".
- 3. Some highlighted fields that will be populated based on product or execution type:
 - a. MERS MIN Will be populated if the loan was delivered with a MERS MIN.
 - b. MBS Pool # Will be populated if the loan is an MBS loan.
 - c. SFC 508 Will be populated if the loan is an eNote.
 - d. Bailee Letter /2004A Name Will be populated if the loan was delivered as a bailee loan.
 - e. Coop Indicator 'Yes'- Will be populated if the loan is a Coop.
 - f. ARM Data Will be populated if the loan is an ARM loan.

🛞 Fannie Mae'		Document Certification Audit Report			Report Date/Time:09/14/2020 15:20 PM	
Date Range Selected: AUG 2020 (08-01-2019 - 08-01-2020)				Location: Sample Sample: FNMA	
	Loan 1	Loan 2	Loan 3	Loan 4	Loan 5	
Custodian FIN						
Fannie Mae Loan Identifier						
Execution Type	Whole Loan	Whole Loan	MBS	MBS	MBS	
Borrower Last Name						
MERS MIN						
Pool Identifier						
Cooperative Indicator	N	N	N	N	N	
Participation Percentage	100	100	100	100	100	
Amortization Type	Fixed	Fixed	AdjustableRate	Fixed	Fixed	
Seller identifier						
Seller Name					·	
Servicer Identifier						
Servicer Name						
Seller Loan Identifier						
Certification Status	Certified	Certified	Certified	Certified	Certified	
Street						
city	Phoenix	Kings Park	TAMPA	WATERFORD	ROCHESTER HILLS	
State	AZ	NY	FL.	м	MI	
Original Loan Amount	327000.00	329000.00	184750.00	171600.00	435000.00	
Original Note Rate	2.7500	3.2500	2.6250	3.8750	2.7500	
First Payment Date	2020-09-01	2020-09-01	2020-08-01	2020-08-01	2020-08-01	
Maturity Date	2040-08-01	2050-08-01	2050-07-01	2050-07-01	2035-07-01	
Principal and Interest	1772.88	1431.83	742.05	806.93	2952.00	
1st Rate Change Date			2025-07-01			
1st Payment Change Date			2025-08-01			
Min Mortgage Int Rate			2.2500			
Max Mortgage Int Rate			7.6250			
Mortgage Margin			2.2500			
Interest Only End Date						
Interest Rate Rounding			0.1250			
Interest Rate Rounding Type			Nearest			
Cap Down Percentage			2.0000			
Cap Up Percentage			2.0000			
Look Back Days			45			
Ballee Letter Name						
2004A Form Name						
Investor Feature Identifier						

Total loans: 150

Page 1 of 30



5. Excel Download Report

Click Download

1	Document Certification Audit Report	٦
	😂 🖂 💼 Help us improve your report experience	
	The Document Certification report provides a randomly selected representative sample of loans certified by the Document Custodian within 12 months of current day, to be used for audit purposes.	2
	Report Category Custodian Last Data Refresh 02/16/2021	
	Download Raw Data Full Report Description	-
	Download Raw Data clear all filters	
)	EXAMPLE#12345	q
	elect Report Date(s)	
	DEC 2020 (12-01-2019 - 12-01-2020)	
	ile Format	
	.xis	
	elect Section	
	Sample - FNMA	

Excel Report

Α	В	C	D	E	F	G	Н
Loan	Custodian ID	Fannie Mae Loan Identifier	Seller Identifier	Seller Name	Servicer Identifier	Servicer Name	Seller Loan Identifier
Loan 1							
Loan 2							
Loan 3							
Loan 4							
Loan 5							

Note: Loan Number in column A of the Excel report will be in the same order as the Loan Number in PDF report.

Note: If the Seller Loan Identifier in Column H has an exponential format, please follow the below steps.



Step 1: Select Column H and right click on the column.

A	В	С	D	E	F	G	Н	 X Cu <u>t</u>
Loan	Custodian ID	Fannie Mae Loan Identifier	Seller Identifier	Seller Name	Servicer Identifier	Servicer Name	Seller Loan identifier	
Loan 1								🖹 Сору
Loan 2								Paste Options:
Loan 3								
Loan 4								🍺 📋
Loan 5								Paste Special
Loan 6								Paste gpecial
Loan 7								Insert
Loan 8								Delete
Loan 9								
Loan 10							_	Clear Contents
Loan 11								Eormat Cells
Loan 12								
Loan 13								Column Width
Loan 14								Hide
Loan 15								Unhide
Loan 16								

Step 2: Select Format Cells

A	В	C	D		E	F		G		н	1	J	К	L	N
Loan	Custodian II	D Fannie Mae Loan Identifie	r Seller Identifier Se	eller Name		Servicer Identifier	Servicer Name		Selle	er Loan Identifier					
Loan 1															
Loan 2															
Loan 3								Form	nat Cells					?	×
Loan 4								Tom	int Cells						~
Loan 5								Nun	mber Alignment	Font Border	Fill	Protection			
Loan 6								Cate	egory:						
Loan 7									neral A	Sample					
Loan 8									mber rrency	Seller Loan Iden	tifier				
Loan 9								Acc	counting	General format ce	lls have no	specific numb	er format.		_
Loan 10								Dat	te						
Loan 11								Per	rcentage						
Loan 12								Fra	entific						
Loan 13								Tex	dt						
Loan 14								- Cu	ecial stom						
Loan 15								-							
Loan 16								-							
Loan 17															
Loan 18															
Loan 19								-	~						
Loan 20										_					
Loan 21								-							
Loan 22 Loan 23								-							
Loan 23								-							
Loan 24 Loan 25															
Loan 25								-				1	OK	Can	cel
Loan 27										1 1002F+11			- "	Con	
11040 77										+ 1007F+11					-

Step 3: Select Special in the Category section and click OK.

Α	В	С	D		E	F	G			н		J	К	L	M
Loan	Custodian ID	Fannie Mae Loan Identifier	Seller Identifier	Seller Name		Servicer Identifier	Servicer Name		s	eller Loan Identifi	er				
Loan 1															
Loan 2															
Loan 3								For	mat Cells					?	X
Loan 4															
Loan 5								Nu	umber Alignm	ent Font Bor	er Fill	Protection			
Loan 6								Ca	ategory:						
Loan 7								G	Seneral	Sample					- 11
Loan 8								N	lumber Surrency	Seller Loan l	entifier				
Loan 9								A	ccounting	Type:					
Loan 10								D	Date	Zip Code					
Loan 11								Pe	ercentage	Zip Code + 4 Phone Numb					
Loan 12								Fr	raction	Social Securit	Number				
Loan 13								Te	ext						
Loan 14								- 0	pecial Justom	•					~
Loan 15										Locale (locatio					_
Loan 16										English (Unite	d States)				~
Loan 17															- 18
Loan 18															- 18
Loan 19										~					
Loan 20															- 18
Loan 21								Sp	pecial formats are	useful for tracking li	t and databas	e values.			- 18
Loan 22										-					
Loan 23								-							
Loan 24								-							- 18
Loan 25								-					OK	Cano	
Loan 26												L L	UK	Cano	.ei
1000.27								-		1 10035.	111				