

## **Document Certification Audit Report Job Aid**

# Effective Date: June 2021 Version 1.0



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#### 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)	<b>A</b>
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 3<sup>rd</sup> 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:

Download Raw Data clear all filters					
Select Custodian ID					
Example#1234	•				
Select Report Date(s)					
Vault 1 - FNMA					
Vault 1 - Other 1					
Vault 1 - Other 2					
Vault 2 - FNMA					
Vault 2 - Other 1					
Vault 2 - Other 2	•				
Select Report Section	-				



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

Click the 'Download' button.

The Document Certification report p	vides a randomly selected representative sample of loans certified by the Document Custodian wi	thin 1
Report Category Custodian   Last	ita Refresh 12/01/2020	
Download Raw Data Full	port Description	
Download Raw Data	clear all filters	
Select Custodian ID		
EXAMPLE#12345	•	
Select Report Date(s)		
DEC 2020 (12-01-2019 - 12-01-202		
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.

le Fannie Mae'		Docume	nt 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:								
	Loan 1		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	М			
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. Report Category Custodian Last Data Refresh 02/16/2021						
	Download Raw Data Full Report Description	-					
	Download Raw Data clear all filters						
)	EXAMPLE#12345	5					
	elect Report Date(s)						
	DEC 2020 (12-01-2019 - 12-01-2020)						
	ile Format						
	.xis						
	elect Section						
	Sample - FNMA						

#### **Excel Report**

Α	В	С	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.

1	A B	С	D	E	F	G	Н	
Loa	n Custodia	ID Fannie Mae Loan Identifier	Seller Identifier	Seller Name	Servicer Identifier	Servicer Name	Seller Loan Identifier	<u>λ</u> Cu <u>t</u>
Loa	n 1							🕒 Сору
Loa	n 2							Paste Options:
Loa	n 3							0.0
Loa	n 4							
Loa	n 5							Parte Special
Loa	n 6							Paste Speciality
Loa	n 7							Insert
Loa	n 8							Delete
Loa	n 9							Delete
Loa	n 10							Clear Contents
Loa	n 11							Engranat Colls
Loa	n 12							E Lonnat Celis
Loa	n 13							Column Width
Loa	n 14							Hide
Loa	n 15							
Loa	n 16							Unhide

#### Step 2: Select Format Cells

Α	В	С	D		E	F		G		Н	1	J	K	L	N
Loan	Custodian ID	Fannie Mae Loan Identifier	Seller Identifier	Seller Name		Servicer Identifier	Servicer Name			Seller Loan Identifier					
Loan 1															
Loan 2															
Loan 3									Enumet Calls					2	$\overline{\mathbf{v}}$
Loan 4									roimat Cells						^
Loan 5									Number Align	ment Font Border	Fill	Protection			
Loan 6									Categoor						
Loan 7									General	Sample					- 1
Loan 8									Number	Seller Loan Identi	fier				
Loan 9									Accounting	General format cell	s have no s	pecific numbe	r format.		- 1
Loan 10									Date						
Loan 11									Percentage						
Loan 12									Fraction						
Loan 13									Text						
Loan 14									Special Custom						
Loan 15															
Loan 16															
Loan 17															
Loan 18															
Loan 19										~					
Loan 20															
Loan 21															
Loan 22															
Loan 23									-						
Loan 24									-						
Loan 25									-				or	Cane	al l
Loan 26									-			L	UK	Canc	ei
II nan 27										1 1002E+111					

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

Loan	Custodian ID				1		•					N	L .	M
	custouran iD r	Fannie Mae Loan Identifier	Seller Identifier	Seller Name	Servicer Identifier	Servicer Name		S	eller Loan Identifier					
Loan 1														
Loan 2														
Loan 3								Format Cells					7	×
Loan 4								ronnat cens					•	~
Loan 5								Number Alignme	ent Font Border	Fill	Protection			
Loan 6								Category						
Loan 7								General	Sample					- 11
Loan 8								Number	Seller Loan Ident	ifier				
Loan 9								Accounting	Type:					- 11
Loan 10								Date	Zip Code					
Loan 11								Percentage	Zip Code + 4					
Loan 12								Fraction	Social Security Nu	mber				
Loan 13								Text						
Loan 14								Special						$\sim$
Loan 15									Locale (location):					- 1
Loan 16									English (United St	ates)				~
Loan 17														
Loan 18														
Loan 19									~					
Loan 20									*					
Loan 21								Special formats are	useful for tracking list an	d database	values.			
Loan 22														
Loan 23														
Loan 24								-						
Loan 25														
Loan 26											L	OK	Cano	.el
1 oon 27									1 10022111					