



CalHFA Annual Lender Recertification Checklist:

Fees and Forms:

- \$500 non-refundable recertification fee payable to CalHFA
- Fully completed and executed CalHFA Lender Recertification Update form
- CalHFA Certificate of Authority and Specimen Signatures form

Company Information:

- Company organizational chart to include names and titles of officers and managers over:
 - Loan Production
 - Loan Operations
 - Underwriting
 - Quality Assurance/Control
 - Secondary Marketing
 - Closing and Post Closing
- List of company branches to include:
 - Physical address
 - Branch telephone number
 - DBA Name
 - Branch manager's name
 - Branch manager's email address


Annual Lender Recertification Form

Company's Full Legal Name: _____

Under the name of/doing business as (dba): _____

Physical Address: _____

City: _____ State: _____ Zip: _____ Main Phone # _____

Mailing Address: _____

City: _____ State: _____ Zip: _____ Main Phone # _____

Company Web Site Address: _____

Principal Executive Officer: _____ Title: _____

Phone: _____ Fax: _____ Email: _____

Principal Financial Officer: _____ Title: _____

Phone: _____ Fax: _____ Email: _____

Recertification Process Contact: _____ Title: _____

Phone: _____ Fax: _____ Email: _____

Company Contact for CalHFA: _____ Title: _____

Address: _____

City: _____ State: _____ Zip: _____ Main Phone# _____

Phone: _____ Fax: _____ Email: _____

Company Fiscal Year Ends: _____

Mortgage Banker, company headquarters located in: _____

Commercial Bank, company headquarters located in: _____

Thrift, company headquarters located in: _____

Federally Chartered Savings Institution, company headquarters located in: _____

State Chartered Savings Institution, company headquarters located in: _____

Credit Union, company headquarters located in: _____

Other (specify) _____, company headquarters located in: _____

Federal Tax ID: _____ Company Licensed By: _____

Check the appropriate box:

- Limited Partnership (LP or LLP)
 C - Corporation
 S - Corporation
 Limited Liability Company (LLC)
 Sole Proprietorship
 General Partnership
 Other _____

- Are you a Fannie Mae approved lender? No Yes # _____
 Are you a Freddie Mac approved lender? No Yes # _____
 Are you a HUD (FHA) single family lender? No Yes # _____
 Are you a HUD (FHA) direct endorsement lender? No Yes # _____
 Are you a HUD/FHA single family servicer? No Yes # _____
 Are you a VA approved lender? No Yes # _____
 Are you a USDA approved lender? No Yes # _____
 Are you a Lakeview approved lender? No Yes # _____
 Are you an active MERS member? No Yes ID# _____

Provide information for parent company and all subsidiaries, if applicable:

(attach additional sheets, if necessary)

Company Name and Mailing Address	Company Name and Mailing Address
_____	_____
_____	_____
_____	_____

Fannie Mae <input type="checkbox"/> No <input type="checkbox"/> Yes # _____	Fannie Mae <input type="checkbox"/> No <input type="checkbox"/> Yes # _____
Freddie Mac <input type="checkbox"/> No <input type="checkbox"/> Yes # _____	Freddie Mac <input type="checkbox"/> No <input type="checkbox"/> Yes # _____
HUD <input type="checkbox"/> No <input type="checkbox"/> Yes # _____	HUD <input type="checkbox"/> No <input type="checkbox"/> Yes # _____
CalHFA <input type="checkbox"/> No <input type="checkbox"/> Yes # _____	CalHFA <input type="checkbox"/> No <input type="checkbox"/> Yes # _____

List all dba's that will fund CalHFA loans:

(attach additional sheets, if necessary)

Name of dba

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

List *warehouse line(s) of credit* used for funding CalHFA loans, if applicable (attach additional sheets if needed):

Warehouse Bank's Name

ABA# Account#

Address, City, State, Zip Code

Line of Credit Amount (\$)

Contact Person & Phone Number

Provide required insurance coverage

Insurance Type	Coverage Amounts	Expiration Date
Fidelity Bond		
Errors & Omissions		

Financial Summary

Time Period	Net Income	Equity/Net Worth	Assets
FY ending: __/__/____			
FY ending: __/__/____			
Fiscal YTD __/__/____			

Which CalHFA Loan Programs does your company offer?

(Check all that apply)

- CalPlus FHA w/Zip
 CalHFA FHA
 Cal-EEM + Grant
 CalHFA VA
 CalPlus Conventional with Zip
 CalHFA Conventional
 MyHome
 School Program

How will your company originate/offer CalHFA loan program(s)/products(s)?

(Check all that apply)

- Retail
 Wholesale

List the following personnel with contact information:

TITLE	NAME	PHONE NUMBER	EMAIL ADDRESS
Operations Manager			
Production Manager			
Underwriting Manger			
QC/QA Manager			
Secondary Marketing Manager			
MERS Manager			
Shipping/Closing Manager			
Interim Loan Servicing Manager			
Loan Servicing Manager			

Officer Certifications

Disclose whether any of the principal officers, partners, owners or directors:

Have been employed by an institution at the time of or within the two (2) years preceding its debarment by the Department of Housing and Urban Development?

Yes No If yes, describe (in detail): _____

Have been denied an operating license or otherwise sanctioned by any licensing or regulatory body?

Yes No If yes, describe (in detail): _____

Have been convicted of a crime or named in a pending criminal proceeding (excluding traffic violations and other minor offenses)?

Yes No If yes, describe (in detail): _____

Have been subject to an order, judgment, or decree enjoining him or her from engaging in any activities in connection with any type of business transaction (including the purchase or sale of a security) or acting as (or as an associated or affiliated person of) an investment adviser, underwriter, broker, dealer, financial institution, or another business?

Yes No If yes, describe (in detail): _____

Lender Certifications

Is your institution the subject of any litigation, assessments, or contingent liabilities (attach additional sheets if necessary)?

Yes No If yes, describe (in detail): _____

Is your institution the defendant in any class action suit (attach additional sheets if necessary)?

Yes No If yes, describe (in detail): _____

Has a judgment been entered against your institution, or have you entered into a settlement in any class action suit (attach additional sheets if necessary)?

Yes No If yes, describe (in detail): _____

Has your company ever been suspended or terminated by FHA, VA, Fannie Mae, Freddie Mac, Private Mortgage Insurer, or other investor?

Yes No If yes, describe: _____

Has your company been declared insolvent, made a general assignment for the benefit of creditors, declared bankruptcy, suffered or permitted the appointment of a receiver for its business or assets, liquidated, or denied fidelity insurance coverage or mortgagee's errors and omissions insurance coverage?

Yes No If yes, describe: _____

Has your company (including parent company) on any form of "Watch List" or be subject to a cease and desist order, suspended, debarred, under a limited denial of participation, or otherwise restricted under provisions of HUD or other governmental agency in the last five (5) years or at any time during its working relationship with CalHFA?

Yes No If yes, describe: _____

Has your company had a principle officer or any other partner has been removed from Fidelity Bond or Errors and Omissions insurance coverage, and, if so, a direct surety bond has been obtained for such officer or partner?

Yes No If yes, describe: _____

Does your company have written policies and procedures which conform to Fannie Mae requirements for each of the following areas: Underwriting, Secondary Marketing, Quality Assurance/Control, Appraisal Independence Requirements (AIR) and Loan Servicing?

Yes No If no, describe: _____

Does your company maintain adequate internal audit, quality assurance/control and management control systems that conform to insuring and guaranteeing agencies and Fannie/Freddie Mac requirements?

Yes No If no, describe: _____

Does your company comply with all applicable state and federal regulations pertaining to the origination, selling and/or servicing of mortgage loans, including financial privacy requirements?

Yes No If no, describe: _____

By execution of this form, lender hereby agrees to the statements set forth below:

1. The sale to, and (if applicable) servicing for, CalHFA or its master servicer(s) of the mortgage(s) or participation interest(s) in the Mortgage(s) to be delivered to CalHFA during the forthcoming year has been:
 - a. Specifically approved by the board of directors if the lender is a corporation, by the general partners if the lender is a partnership, or by other management authority if the lender is other than a corporation or a partnership (as to the applicable authority, the "Management Authority") of the lender and such approval is reflected in the written record of meetings of such Management Authority, or

