

BROKER REGISTRATION

- Everything you need to know to get your NAID approved.

WARNING!

- Whether your NAID application is:
 - Add New
 - Modify
 - Add New NAID to Existing EIN
 - Recertification
- It is pertinent that your application and supporting documentation match one another.
- Failure to complete the application in its entirety or SUBMIT the correct and accepted supporting documentation will result in a rejected application; thus delaying your application!
- The Broker registered with HUD (box 2c) has to sign all of the sales contracts
 - HUD now allows more than one NAID per brokerage allowing for additional brokers per company
 - **Blanket authorization letters are no longer allowed!**

NAID Application Type

- Box 1a. Add New
 - Check this box if applying for a NAID for the first time
- Box 1b. Modify
 - Check this box if you already have NAID and are making changes
 - This includes changing the principal broker
- Box 1c. Add New NAID to Existing EIN
 - Check this box if you have multiple branches
 - Box 8 must match the address that appears on the IRS Letter 147C
 - The bank statement/utility bill must match the address in box 10
 - Each branch will be given its' own NAID
- Box 1d. Recertification
 - NAID renewal with no changes to any information

Please complete the following steps for obtaining a NAID:

- Complete form 1111 and form 1111-A in its entirety, in Blue or Black ink only.

- FORM 1111:

<http://portal.hud.gov/huddoc/sams1111.pdf>

- FORM 1111-A:

<http://portal.hud.gov/huddoc/sams1111a.pdf>

Documentation Requirements

- Both Listing and Selling Brokers will use the “SB” payee type.
- If you are NOT a Selling Broker please refer to the rest of the matrix listed below.

Attachments that must accompany this form to establish a new payee. When modifying an existing payee, attach applicable documentation relating to modification, e.g., change of banking institution, attach new Form SF-3881.

	Payee Type								
	AP	CA	GT	HA	NB	NP	PM	SB	TS
For All Payees:									
Internal Revenue Service (IRS) documentation showing Business Name/Individual Name and Tax Identification Number (TIN). Examples include IRS Form 147C, Tax Return with preprinted label, IRS payment coupon. State issued forms are not acceptable.	√	√	√	√	√	√	√	√	√
In addition, for Payees not under formal contract with HUD:									
Copy of Driver's License	√	√					√	√	√
Copy of first page of a recent telephone bill, utility bill, or bank statement	√	√					√	√	√
Copy of Local or State business license for payee's trade, if applicable	√	√					√		√
Copy of State Real Estate Broker's license								√	
Completed Form SF-3881, ACH Vendor/Misc. Payment Enrollment Form	√*	√		√		√*	√		√
Completed Form SAMS-1111A, Selling Broker Certification								√	
IRS Ruling/Determination Letter						√**			
In addition, for Payees under formal contract with HUD:									
Copy of first page of your signed contract with HUD	√	√					√		√
Copy of first page of a recent telephone bill, utility bill, or bank statement	√	√					√		√
* If the HOC Area Office does not intend to make payments to the vendor, check box in Item 27 and do not include Form SF-3881.									
** If nonprofit organization cannot show proof of tax-exempt status, the payee type must be listed as TS.									

NAID applications require 4 types of identification:

1. IRS Documentation OR Social Security Card.
2. Copy of Broker's ID.
 - Drivers License, Passport or State ID.
3. Copy of State Real Estate BROKER'S license.
4. Copy of first page of a recent telephone bill, utility bill, or bank statement.

1. EIN Instructions - Form 1111

Single Family Acquired Asset
Management System (SAMS)
Payee Name and Address

U.S. Department of Housing
and Urban Development
Office of Housing
Federal Housing Commissioner

Instructions: See Instructions on back for required attachments. Send completed form to HUD HOC, Attention: Director, Homeownership Center

I. Type of Application: (Items 1a - d)

1a. Add New Payee 1b. Modify Existing Payee 1c. Add New NAID to Existing Payee 1d. Selling Broker Recertification
(Complete #'s 2 or 3 - 20) (Complete #'s 4, 17-20 & any changes) (Complete #'s 4, 9, 10, 14 & 17-20) (Complete #'s 4 & 17-20)

II. Payee's Information: (Item 2 or 3 through 20)

Enter Either Payee's EIN and Business Name or SSN and Individual Name, NOT BOTH (Items 2 - 3)
*1099 information to be forwarded to IRS under EIN/SSN and name shown in Item 2 or 3, and address shown in Item 8. Item 2 or 3 must match IRS documentation.

*2a. EIN 12-123456	*2b. Business Name for EIN in 2a. John Doe Inc	*2c. Principal Broker's Name (if applicable) John Doe	
*3a. SSN -OR-	*3b. Individual Name for SSN in 3a. (Last, First, MI)		
4. Payee's NAID (if existing payee)	5. HOC Area Identifier 2S	6. Payee Type(s) SB	7. Business Phone Number (Area Code) 555-555-5555
8. Business Address (include City, State, and Zip Code + 4) 123 Fake Street, Newport Beach, CA 55555		Remittance Name and Address (UBA) (Only if different from Business/Individual Name and Address) 9. Name 10. Address (include City, State, and Zip Code + 4)	
11. Minority-owned? If Yes, check type <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Black American (BL) <input type="checkbox"/> Asian Indian American (AI) <input type="checkbox"/> Asian Pacific American (AP) <input type="checkbox"/> Native American (NA) <input type="checkbox"/> Hispanic American (HI) <input type="checkbox"/> Hasidic Jewish American (HS)		14. Name of Contact Person John Doe E-mail Johndoe@fake.com	
12. Small Business Owned? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	13. Woman Owned? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Phone (Area Code) 555-555-5555	Fax (Area Code) 555-555-5355
15. Name(s) of Owner(s)/Principal(s) John Doe		16. Family/External Business Relationship to HUD/M&M Contract employees? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (If Yes, attach an explanation.)	
17. Preparer's Signature x John Doe's Signature	18. Title Broker	19. Date (mm/dd/yyyy) 9/20/2010	20. Phone (Area Code) 555-555-5555

- > Box 2a: Enter EIN number as shown on the IRS document.
- > Box 2b: Enter Business Name as shown on the IRS document (Must match exactly what it says on the first line of the IRS document, or the application will be rejected). **DO NOT ENTER DBA HERE!**
- > Box 2c: Enter Broker's name as shown on the Brokers License.
- > Box 4: Only enter a NAID if you already have an existing NAID and you are attempting to modify and/or recertify. (boxes 1b or 1d only)
- > Box 5: Enter in HOC Area Identifier.
 - > 3S – AZ
 - > 5S – CA, HI
 - > 6S – AK, OR, WA
 - > 3P – NY, NJ, CT, RI, MA, NH, VT, ME
- > Box 6: Payee Type (Selling brokers are the most common payee type).
- > Box 7: Enter Business Phone number.
- > Box 8: Enter Mailing Address. The 1099 will be sent to this address.
 - > For 1c applications: Enter the address that appears on the Letter 147C
- > Box 9: Only fill out this box for a DBA, otherwise it is unnecessary.
- > Box 10: Enter Business Address. The address listed here will be displayed on HHS and where you will be listed as doing business.
 - > For 1c applications: Enter the branch address. Must match the address provided with the Utility bill in the NAID packet.
- > Box 11, 12 & 13: Please check mark all that apply.
- > Box 14: Enter contact person's name, e-mail address, phone number & fax number.
- > Box 15: Owner's name.
- > Box 16: Please checkmark one box.
- > Box 17: Must be an original signature but does not need to be the broker.
- > Box 18, 19 & 20: enter the title, date and phone number.

1. SSN Instructions - Form 1111

Single Family Acquired Asset
Management System (SAMS)
Payee Name and Address

U.S. Department of Housing
and Urban Development
Office of Housing
Federal Housing Commissioner

Instructions: See Instructions on back for required attachments. Send completed form to HUD HOC, Attention: Director, Homeownership Center

I. Type of Application: (Items 1a - d)

1a. Add New Payee 1b. Modify Existing Payee 1c. Add New NAID to Existing Payee 1d. Selling Broker Recertification
(Complete #'s 2 or 3 - 20) (Complete #'s 4, 17-20 & any changes) (Complete #'s 4, 9, 10, 14 & 17- 20) (Complete #'s 4 & 17-20)

II. Payee's Information: (Item 2 or 3 through 20)

Enter Either Payee's EIN and Business Name or SSN and Individual Name, NOT BOTH (Items 2 - 3)
*1099 information to be forwarded to IRS under EIN/SSN and name shown in Item 2 or 3, and address shown in Item 8. Item 2 or 3 must match IRS documentation.

*2a. EIN *2b. Business Name for EIN in 2a. 2c. Principal Broker's Name (if applicable) John Doe

*3a. SSN 123-45-6789 OR *3b. Individual Name for SSN in 3a. (Last, First, MI) Doe, John

4. Payee's NAID (if existing payee) 5. HOC Area Identifier 2S 6. Payee Type(s) SB 7. Business Phone Number (Area Code) 555-555-5555

8. Business Address (include City, State, and Zip Code + 4) 123 Fake Street, Newport Beach, CA 55555
Remittance Name and Address (DBA)
(Only if different from Business/Individual Name and Address)
9. Name
10. Address (include City, State, and Zip Code + 4)

11. Minority-owned? If Yes, check type Yes No
 Black American (BL) Asian Indian American (AI)
 Asian Pacific American (AP) Native American (NA)
 Hispanic American (HI) Hasidic Jewish American (HS)

12. Small Business Owned? Yes No 13. Woman Owned? Yes No
14. Name of Contact Person John Doe
E-mail Johndoe@fake.com
Phone (Area Code) 555-555-5555 Fax (Area Code) 555-555-5355

15. Name(s) of Owner(s)/Principal(s) John Doe
16. Family/External Business Relationship to HUD/M&M Contract employees?
Yes No (If Yes, attach an explanation.)

17. Preparer's Signature x John Doe's Signature 18. Title Broker 19. Date (mm/dd/yyyy) 9/20/2010 20. Phone (Area Code) 555-555-5555

- Box 2c: Enter Broker's name as shown on the Brokers License.
- Box 3a: Enter Social Security Number as shown on Social Security Card.
- Box 3b: Enter Name (name that is printed on Social Security Card), **Last, First, MI.**
- Box 4: Only enter a NAID if you already have an existing NAID and you are attempting to modify and/or recertify. (boxes 1b or 1d only)
- Box 5: Enter in HOC Area Identifier.
 - 3S – AZ
 - 5S – CA, HI
 - 6S – AK, OR, WA
 - 3P – NY, NJ, CT, RI, MA, NH, VT, ME
- Box 6: Payee Type – "SB"
- Box 7: Enter Business Phone number.
- Box 8: Enter Mailing Address. The 1099 will be sent to this address.
- Box 9: Only fill out this box for a DBA, otherwise it is unnecessary.
- Box 10: Enter Business Address. The address listed here will be displayed on HHS and where you will be listed as doing business.
- Box 11, 12 & 13: Please check mark all that apply.
- Box 14: Enter contact person's name, e-mail address, phone number & Fax number.
- Box 15: Owner's name.
- Box 16: Please checkmark one box.
- Box 17: Must be an original signature but does not need to be the broker.
- Box 18, 19 & 20: enter the title, date and phone number.

Remittance Name & Address

- The information supplied in this section of the 1111 is going to display on www.HUDHomestore.com.
- Fill out all yellow highlighted sections.
- If left blank, it will be left blank on the website
- Box 9 & 10 are only if the business name and address are different from what was filled out in boxes 2b and 8
 - The DBA in box 9 is displayed when “Find a Broker” is utilized
 - The address listed here is an additional address buyers are able to find you
 - For 1c applications box 10 must be completed and must match the address on the utility bill
- If you have licenses in multiple states, you are able to list each license on your profile in HUDHomeStore.
 - You are only able to link your state license to one NAID but agents can be linked to multiple NAIDs for each state issued license they have

Remittance Name and Address (DBA)
(Only if different from Business/Individual Name and Address)

9. Name

10. Address (include City, State, and Zip Code + 4)

14. Name of Contact Person

E-mail

Phone (Area Code) 	Fax (Area Code)
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Property Details

Case Number: 042-752764 [Print Property Flyer](#) | [Back to Search Results](#)

Eligible Bidders: Owner Occupants, Nonprofits, and Government Agencies only

Bid Deadline: 11/21/2010 11:59:59 PM CST

Time Remaining: 26 Days 9 Hours 20 Minutes

Property Info	Addendums	Maps	Agent Info
<p>Asset Manager</p> <p>Company Name: BLB RESOURCES INC Contact Name: ROD A GASTON Address: 5001 BIRCH STREET NEWPORT BEACH 92660 Phone Number: (949) 261-9155 Fax Number: (949) 261-5495 Email: RGASTON@REIRVINE.COM</p>	<p>Field Service Manager</p> <p>Company Name: CITYSIDE MANAGEMENT CORPORATIO Contact Name: KATE CONNOR Address: 22 GREELEY STREET SUITE #5 MERRIMACK 03054 Phone Number: (603) 423-0313 Fax Number: (603) 420-1122 Email: KCONNOR@CITYSIDECORP.COM</p>	<p>Listing Broker</p> <p>Company Name: BARNES DARNELLA A Contact Name: DARNELLA BARNES Address: 2400 SYCAMORE DR #9 ANTIOCH CA 94509 Phone Number: (925) 207-8211 Fax Number: (925) 777-1779 Email: DARNELLABARNES@COMCAST.NET</p>	<p>MM2 Contractor</p> <p>Company Name: Contact Name: Address: Phone Number: Fax Number: Email:</p>

2. Form 1111A

-These instructions are the same for both EIN and SSN applications-

- The Broker needs to sign and date both lines;
 - Unless they checking the box below
 - If checking box, write in the Local Board
- Fill in:
 - Broker's Name
 - Broker's License Number
 - This must match your license
 - Telephone Number
 - TIN/SSN as used on the 1111 in either box 2a or 3a
 - Company's Name & Mailing Address
 - Do not use DBA!
 - If using SSN, do not enter the company name. Enter address only.
- This document needs to be the original
 - Copies not accepted!

I agree to fully explain to each purchaser, prior to a contract being written, HUD's earnest money forfeiture policy.

Violation of any of the above provisions shall be subject to debarment procedures set forth in 24 CFR 24.

Broker's Signature (Required) & Date (mm/dd/yyyy)	Broker's Signature & Date (mm/dd/yyyy)
X <u>John Doe</u> 08/12/2010	X <u>John Doe</u> 08/12/2010

I am a signatory to a voluntary affirmative marketing agreement between HUD and the local board named:

For this reason, I am exempt from signing the non-discrimination portion of this certification.

Broker's Name (Please print or type)	Telephone Number (include area code)
John Doe	555-555-555
Broker's License Number	TIN/SSN
55555	12-123456

Company's Name & Mailing Address (include City, State, and Zip Code)

John Doe, Inc.
123 Fake Street, Newport Beach, CA 55555

For HUD Use Only

NAID

This form is to be kept on file in the HUD HOC.
Previous editions are obsolete

form SAMS-1111-A (03/2004)
ref Handbook 4310.5

1. IRS Documentation (147C)



In reply refer to: 0000000000
Dec. 11, 2010 LTR 147C 0
12-123456 000000 00

➔ John Doe, Inc.
J&D Realty
123 Fake Street
Newport Beach, CA 55555



001203

Employer Identification Number: 12-123456 ←

Dear Taxpayer:

We received your request of Dec. 02, 2009, asking us to verify your Employer Identification Number (EIN) and name.

Your Employer Identification Number (EIN) 12-123456 . Please keep this number. Enter your name and EIN on all federal business tax returns and on related correspondence.

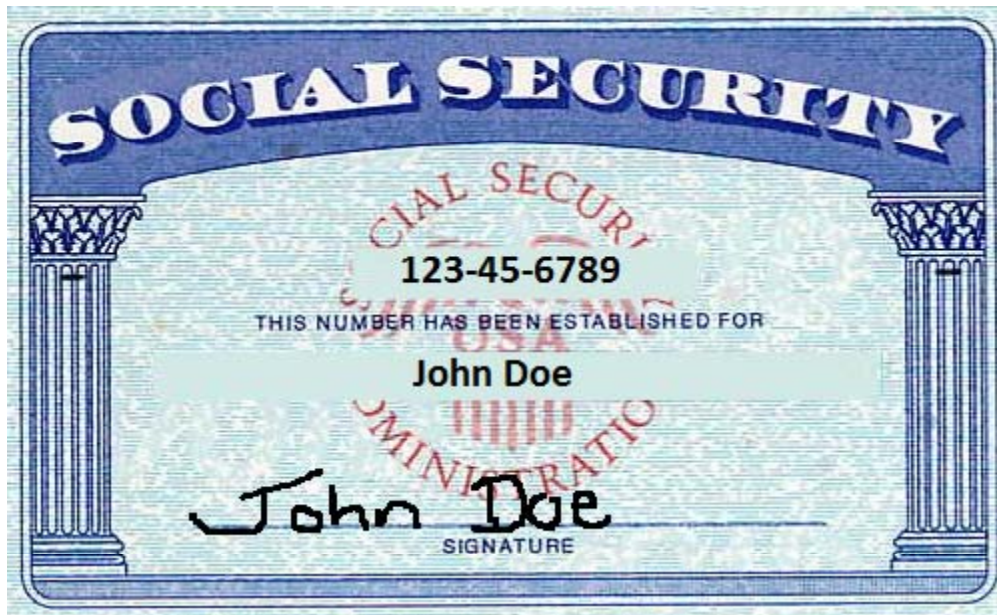
If you need forms, schedules, or publications, you can obtain them by visiting the IRS web site at www.irs.gov or by calling toll free at 1-800-TAX-FORM (1-800-829-3676).

Please call our toll-free telephone number at 1-800-829-0115 with any questions you may have.

You also can write to us at the address shown at the top of this

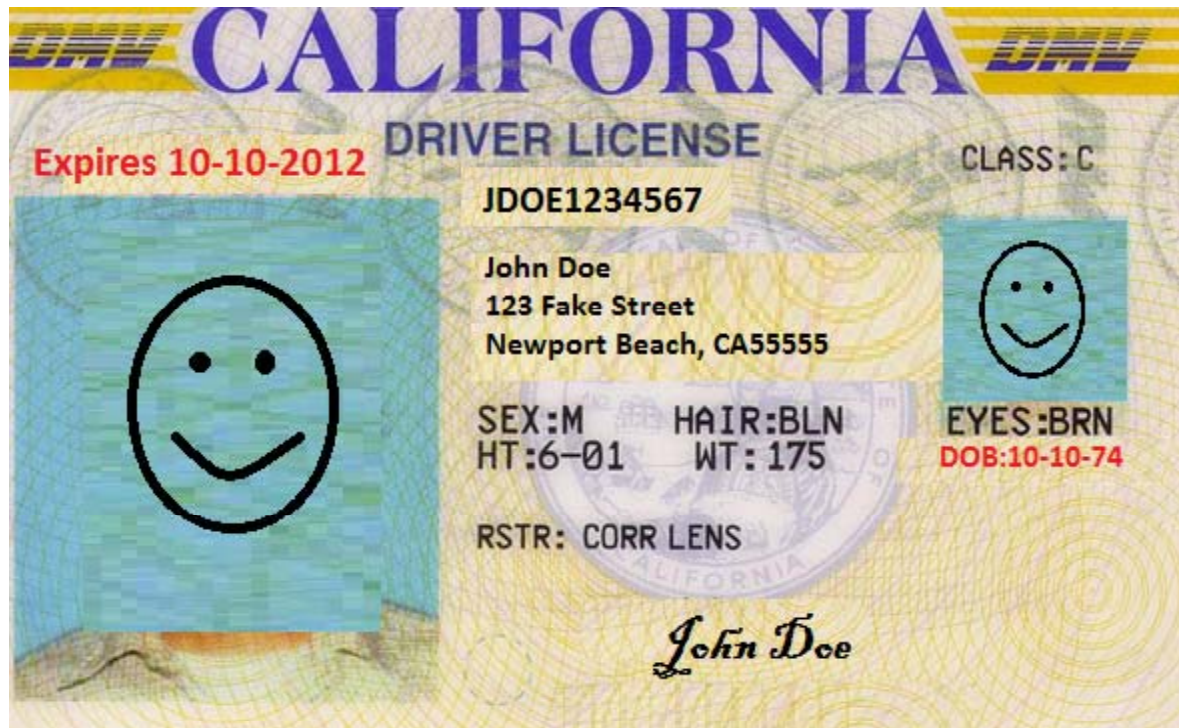
- Must include a copy of IRS documentation with your NAID application.
- Current
 - Within 2 years of submission
- Only first line will be considered your Business Name. Second line will be your DBA per the IRS database.
- The DBA is displayed when “Find a Broker” on HUDHomeStore is utilized
- Call 800.829.0115 to obtain 147C
- For 1c applications the 147C is the only IRS document accepted
- For 1a, 1b and 1d application additional forms accepted are:
 - Letter SS-4
 - Tax Coupon
 - Pre-printed address label from IRS

OR, Social Security Card



Copy of a *signed* Social Security Card if the broker is registering with a Social Security Number.

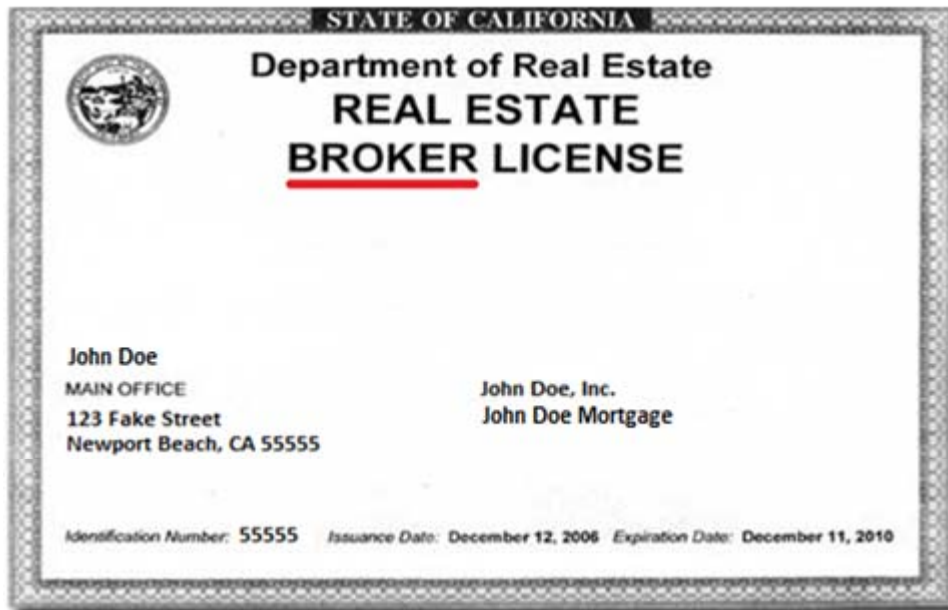
2. Copy of Driver's License



Must include a copy of the broker's ID with the NAID application.

- A Driver license, Passport or State issued ID are all acceptable forms of ID.
- Name on ID must match the name on the broker's license. ID must be legible (a clear copy must be provided, including picture).
- ID must be valid. Expired IDs are not acceptable.

3. Copy of State Real Estate BROKER'S license



Must include a copy of the BROKER'S license with the NAID application.

- Broker's license must state that it is a BROKER'S license. No other license will be accepted.
- The name on the broker's license must match:
 - The name that is listed on the driver's license
 - The name in box 2c or 3b (whichever is used)
 - The Social Security Card (if supplied).
- Ensure the broker's license is not expired or expiring within 60 days of submission.

4. Copy of First Page of a Recent Telephone Bill, Utility Bill, or Bank Statement



John Doe
 John Doe, Inc.
 123 Fake Street
 Newport Beach, CA 55555

Page 1 of 7
 Account Number [REDACTED]
 Billing Date Dec 19, 2010

Nov 20 - Dec 19, 2010

Bill-At-A-Glance

Previous Bill	226.10
Payment Received 12-10 - Thank You!	226.10CR
Adjustments	.00
Balance	.00
Current Charges	227.10
Total Amount Due	\$227.10
Current Charges Due in Full By	Jan 16, 2010

AT&T Benefits

- Total AT&T Savings	.43
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Plans and Services

Monthly Service - Dec 19 thru Jan 18

Charges for [REDACTED]	
Line Charge	6.74
LINE-BACKER®	6.99
Federal Access Charge	4.52
Charges for [REDACTED]	
Line Charge	6.74
Federal Access Charge	4.52
Total Monthly Service	29.51

- The bill must be:
 - Current
 - Within month of submission.
 - List the address of the company
 - Address must match box 8 or 10.
 - If box 1c has been marked on the 1111 form, the address on the utility bill must be placed in box 10 to show the branch address.
 - Name on the bill must match box 2b, 2c, 3b or 9 on form 1111.

NAID Application Processing & Status

- Once your package has been submitted to the corresponding HUD Homeownership Center (HOC) designated to your state/contract area, you will need to check HUDHomeStore for status:
 - It takes approximately 2 weeks for processing
 - New payees take a bit longer
 - www.HUDHomeStore.com
 - Click “NAID Application”
 - Click “Check current NAID status”
 - Enter EIN or SSN from application
- Once a NAID is awarded/modified/recertified, please make sure that:
 - All brokers using this NAID know they must register on HUDHomeStore
 - Each person should have their own personal login
 - Do not use someone else’s!
- Information regarding HUDHomestore registration is provided in the Selling Broker Handbook on the BLB Resources website.

Additional Information

-Common Errors or Rejection Reasons-

- **To ensure there is no question regarding anything in your package:**
 - Fill out the entire application even if you are only recertifying
 - Do not leave anything blank, no matter what the instructions say
 - If you are only modifying, check the recertification box (1d) too as this will extend your NAID for the length of one year
 - Make sure that the 1111 & 1111A have original signatures
 - Signature Stamps are not accepted
 - If you are a signatory to a voluntary affirmative marketing agreement between HUD and the local board, check the box listed below the signature and indicate the board name.
 - The more recent the utility bill or bank statement, the better
 - Example: If it is October, submit a September statement or bill