

Management Entity Profile

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

OMB Approval No. 2502-0305
(exp 04/30/2020)

See Public Reporting and Privacy Act statements on last page before completing this form.

Instructions: The management entity may develop its own format for providing the information requested in this form. Independent fee managers and identity-of-interest management agents must provide all the information requested. Owner-managers and administrators of projects for the elderly must provide responses only to the asterisked items. They must also state whether they have previously managed insured and/or HUD-held projects and, if so, list such projects.

| | |
|---|---|
| *1a. Name of Management Entity | *1b. Management Entity Type <input type="checkbox"/> Owner/Manager <input type="checkbox"/> Independent Fee Agent <input type="checkbox"/> Identity-of-Interest Agent <input type="checkbox"/> Project Administrator |
| *1c. Employer Identification Number (EIN) | *1d. Organization Type <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Individual <input type="checkbox"/> Other (specify) _____ |

*2. Give names, titles and Social Security Numbers of firm's principals (e.g., general partner, president, treasurer, etc.)

| | Title | Social Security Number |
|--|-------|------------------------|
| Name Address Phone Email: | | |
| Name Address Phone Email: | | |
| Name Address Phone Email: | | |

3. Provide mailing addresses for the Company's home office and any branch offices involved in management of HUD-related multifamily projects. Specify the geographic area covered by each office.

| | | | | | | | | | |
|--|--------------------------------------|---------------------------------|---|-----------------------------|---------------------------------|----------------------------------|---------------------------------|-----------------------|-------------------------|
| *4. What year (yyyy) did the company begin managing: | | | 5. Estimate what percent of company's activities involve management of: | | | | | | |
| a. HUD-subsidized projects | b. HUD-related unsubsidized projects | c. Conventional projects | a. Conventional projects % | b. HUD-related projects % | c. Commercial space % | d. Other % | | | |
| 6a. How many of the following projects does the company manage? (Both rentals and cooperatives) | | | 6b. How many of the projects included in 6a: | | | | | | |
| HUD-unsubsidized projects | units | HUD-subsidized projects | units | HUD-owned projects | units | Have HUD-held mortgages | Are non-insured | Are subsidized co-ops | Are unsubsidized co-ops |
| 6c. Approximately what percent of the projects in 6a fall into the following categories: | | | | | | | | | |
| Elderly % | Family % | Owned by a non-profit or coop % | Core city % | Troubled neighborhood % | Suburban % | Rural area % | | | |
| 7. Indicate where each of the following activities are administered. Use the following codes: C = central office; R = regional office; P = project site | | | | | | | | | |
| Bookkeeping | Landscaping | Maintenance | Purchasing | Tenant application | Certifications/recertifications | Regular monthly subsidy billings | Special claims subsidy billings | | |
| *8. How many of the company's full-time employees serve in the following supervisory or advisory roles? (Owner-managers and administrators of projects for the elderly should provide this information on project employees.) | | | | | | | | | |
| Engineers | Maintenance supervisors | Occupancy supervisors | Training specialists | Social service coordinators | Regional property managers | How many are minorities | What percentage are minority % | | |
| *9. Identify any professional memberships, licenses, certificates or accreditations which are related to property management activities and are held by the company, company executives, or the employees considered in Item 8. (attach additional page(s) if necessary) | | | | | | | | | |

*10. Describe any purchasing procedures you have implemented to control or reduce costs (e.g., bulk purchasing, paying early to take advantage of discounts, cost comparisons or bids, etc.)

*11a. List any companies which regularly supply goods or services to your HUD-related projects and have an identity-of-interest with the management entity or its principals (e.g., officers, general partners). Specify the type of goods and services provided. (See paragraph 2 - 3D of HUD Handbook 4381.5 for a definition of the term "identity-of-interest.") If these companies do not provide goods/services to all your HUD-related projects, identify the projects that do not deal with these companies.

*11b. Do any of the identity-of-interest companies listed in 11a. function as "pass-throughs" -- i.e., does the identity-of-interest company purchase goods or services from another party and pass those goods or services through to the project? For each pass-through arrangement:
 (1) Name the identity-of-interest company involved.
 (2) Explain how the identity-of-interest company's compensation is determined.
 (3) Explain why it is more advantageous for the project to use the pass-through arrangement than to purchase directly from the ultimate supplier.

*12. What types of property management procedures or operating manuals are used by on-site or supervisory staff?

*13. What types of recurring written reports are prepared on project operations (e.g., maintenance, move-in/outs, payables, comparisons of budgeted and actual expenses)? Specify who (by position title) prepares the report, frequency of the report, and who reviews the report.

*14a. How frequently do company executives or supervisory staff visit the projects the company manages?

*14b. Specify who (by position title) conducts the on-site visits or reviews.

*15. If the company manages subsidized projects, identify by job title **who prepares and reviews** the HUD-required documents listed below. Specify the frequency of review.

| | Prepares documents | Reviews documents | Frequency of review |
|--|--------------------|-------------------|---------------------|
| a. Form HUD-50059, Initial Certifications | | | |
| b. Form HUD-50059, Recertifications | | | |
| c. Regular Monthly Subsidy Billings | | | |
| d. Special Claims Subsidy Billings | | | |
| e. Proposals to terminate tenant assistance payments | | | |
| f. Proposals to evict | | | |
| g. Monthly Accounting Reports (Forms HUD-93479, 80, 81) | | | |
| h. Form HUD-949, Civil Rights Tenant Characteristics/Occupancy Reports | | | |

16. If applicable, describe how the home office supervises supervisory staff (e.g., property managers, occupancy specialists, maintenance supervisors), who operate out of branch offices.

*17. Describe how the company trains its employees in the areas listed below. Discuss both on-going training and initial training provided when the employee is hired. Specify the frequency and duration of the training and who/what organization conducts the training. Discuss training for both supervisory and front-line staff.

a. Property management practices.

b. Financial and recordkeeping requirements.

c. Civil rights and fair housing laws.

d. Occupancy requirements in HUD Handbook 4350.3, Occupancy Requirements of Subsidized Multifamily Housing Programs (if the company manages subsidized projects).

*18. Has an owner of a HUD-related project, at any time during the past three years, cancelled a property management contract held by the company?

Yes No

During the past three years, how many HUD-related projects have not renewed their management contracts with the company?
(Number) _____

Explain the reasons for any cancellations or failure to renew and identify the projects involved.

19a. List **all** HUD Field Offices that have jurisdiction over the projects included in 6a. For companies that operate in more than five FieldOffice jurisdictions, identify the five jurisdictions where the greatest number of your HUD-related projects are located.

19b. List **all** State Agencies in whose jurisdiction you have managed or are managing State Agency-financed projects. For companies that operate in more than five States, identify the five where the greatest number of your State Agency projects are located.

19c. List **all** FmHA offices in whose jurisdiction you have managed or are managing FmHA projects. For companies that operate in more than five FmHA jurisdictions, identify the five where the greatest number of your FmHA projects are located.

Certification: The undersigned hereby certifies that the statements and information contained in this profile are true and correct.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010 , 1012; 31 U.S.C. 3729, 3802)

Signed by Management Entity Representative

| | | |
|------------|-------|-------------------|
| Signature | | Date (mm/dd/yyyy) |
| Print Name | Title | |

Public reporting burden for this collection of information is estimated to average 2 hours 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 conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number.

Owners of insured and assisted multifamily housing projects are required by HUD administrative guidelines as found in HUD Handbook 4381.5 REV-2, The Management Agent Handbook, to submit certain data for review by the local HUD office of approval of a new management agent. These requirements apply to insured multifamily projects or HUD-held mortgages and subsidized, non-insured projects that are not financed by State Agencies or the Rural Housing Service Agency.

Privacy Act Statement: The Department of Housing and Urban Development (HUD) is authorized to collect this information by the U.S. Housing Act of 1937, as amended, and the Social Security Numbers (SSN) by the Housing and Community Development Act of 1987, 42 U.S.C. 3543. The information concerning management documents for Multifamily Housing projects is being collected by HUD to: (1) determine the acceptability of proposed management agents, (2) ensure compliance with program requirements, (3) provide leverage for removing poor managers, and (4) recover excessive management fees. The information is being used as a management tool to avoid the misuse of HUD subsidies and defaults against the FHA insurance fund by management agents. Specifically, the information will provide for improved project management by ensuring: that subsidy funds are administered in accordance with HUD rules, project expenses are reasonable, maintenance of documented records, and use of project funds only in accordance with HUD requirements. The SSN is used as a unique identifier. HUD may disclose this information to Federal, State and local agencies when relevant to civil, criminal, or regulatory investigations and prosecutions. It will not be otherwise disclosed or released outside of HUD, except as permitted or required by law. Failure to provide the information could result in HUD's denial of proposed management or fees or cancellation of management contracts for noncompliance with HUD procedures. Providing the SSN is mandatory, and failure to provide it could affect your participation in HUD programs.