



## Amendments Jurisdiction-Specific Requirements



### DISTRICT OF COLUMBIA MORTGAGE BROKER LICENSE (BRANCH)

#### Instructions

1. Licensees are responsible for notifying the Department of Insurance, Securities and Banking (DISB) of any material changes to the licensed entity that would be necessary for DISB to provide effective oversight and supervision of the licensee.
2. Amendments must be reported to DISB on a timely basis to ensure that the licensed entity is operating in compliance with all applicable District of Columbia (District) laws and regulations. Penalties may be assessed for noncompliance.
3. For information on how to amend your trade name on record in the District, you may contact the District's Department of Consumer and Regulatory Affairs (DCRA) at (202) 442-4432, or visit their website at [www.dkra.dc.gov](http://www.dkra.dc.gov). *Note that DISB will verify any changes to a company's trade name with DCRA.*
4. Sponsorship changes must be reported to DISB via the NMLS. A quick guide entitled "Create a Company Sponsorship" at the following link will help walk you through this process: [NMLS Quick Guides](#).
5. Amendment transactions that require the submission of materials to DISB outside the NMLS must be accompanied by a written request on company letterhead and executed by an authorized principal officer of the licensed entity.
6. The following Amendments require instructions or items sent to DISB outside the NMLS:
7. Amendment fees are:  Change of Address - **\$100.00** per license or branch certificate  
 Change of Trade Name - **\$100.00** per license
8. All fees are collected through the NMLS and ARE NOT REFUNDABLE.
9. Amendment requests should **not** be electronically submitted to DISB until ALL information is complete and ALL required materials are available to be submitted along with the checklist below. In addition, the licensee's NMLS Unique ID Number must be written on the top right-hand corner of every hardcopy document to be submitted to DISB.
10. Any Change of Address must also be reported on the applicable Form MU3.
11. Jurisdiction-specific requirements should be completed first as identified on the checklist below as they must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following address:

For U.S. Postal Service and Overnight Delivery:

Department of Insurance, Securities and Banking  
 Banking Bureau  
 810 First Street, NE, Suite #701  
 Washington, D.C. 20002

NMLS Unique ID Number: \_\_\_\_\_

Applicant Legal Name: \_\_\_\_\_

ATTACHED	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>REQUEST TO ADD AND/OR DELETE A TRADE NAME OR D/B/A NAME.</b></p> <ol style="list-style-type: none"> <li>1. Submit an <b>original</b> bond or rider to the existing bond reflecting the licensee's new trade name or deletion of the existing trade name. If a new bond is issued, there should be no lapse in coverage.</li> <li>2. Submit an executed original copy of the Authority for Release of Information form attached below reflecting the licensee's new trade name or deletion of the existing trade name.</li> </ol>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE OF ADDRESS.</b></p> <p>Submit an <b>original</b> bond or rider to the existing bond reflecting the licensee's new address. If a new bond is issued, there should be no lapse in coverage.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>OTHER AMENDMENTS THAT REQUIRE LICENSEES TO SUBMIT MATERIALS TO DISB OUTSIDE THE NMLS.</b></p> <ol style="list-style-type: none"> <li>1. Change in surety bond provider: Submit an <b>original</b>, fully executed surety bond furnished by a surety company authorized to conduct business in the District. There should be no lapse in surety coverage.</li> <li>2. Change in the amount of an existing bond: Submit an original, fully executed surety bond rider.</li> </ol>
<input type="checkbox"/>	<input type="checkbox"/>	<p><b>CHANGE IN BRANCH MANAGER.</b></p> <p>A change to any Branch Manager of a licensee must be reported as an Amendment on the <b>Form MU3</b> filing with a new <b>Form MU2</b> submitted through the NMLS. In addition, licensees must submit the following on behalf of the applicable Branch Manager:</p> <ol style="list-style-type: none"> <li>1. An executed copy of the <b>original</b> Authority for Release of Information form for the Branch Manager. <a href="#">Click to download form.</a></li> <li>2. Complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions on Form MU2. To the extent possible, provide a copy of any applicable orders or pertinent documents.</li> </ol>

**WHO TO CONTACT** – Contact DISB licensing staff by telephone at **(202) 727-8000** or send your questions via e-mail to [bankingbureau@dc.gov](mailto:bankingbureau@dc.gov) for additional assistance. Technical support questions should be directed to the NMLS Call Center at (240) 386-4444.

THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

THE FILING OF AN AMENDMENT REQUEST THROUGH THE NMLS DOES **NOT** AUTHORIZE THE LICENSEE TO CONDUCT BUSINESS WITH THE CHANGES REQUESTED. THE TRANSACTION MUST BE APPROVED BY DISB BEFORE CONDUCTING BUSINESS WITH THE CHANGES REQUESTED.