



Amendment Checklist

Jurisdiction-Specific Requirements



WASHINGTON DESIGNATED BROKER REGISTRATION

Instructions

1. File all amendments through NMLS. Only a Change in the Designated Broker's legal name requires additional item(s) sent to DFI outside of NMLS.
2. If changing or adding companies for which you are Designated Broker, you must update employment history section of MU4.
3. If moving from one company to another, Designated Broker or previous employer must terminate previous sponsorship through the NMLS.
4. If changing residence address, Designated Broker must update residence address on MU4 as well as residence address history section through the NMLS.
5. Filing an amendment through the NMLS does **not** allow you to conduct business with the change requested. You must receive authorization from DFI before conducting business with the change requested.
6. All fees are collected through the NMLS and ARE NOT REFUNDABLE through the NMLS.
7. Jurisdiction-specific requirements as identified on the checklist below must be received with this checklist within 5 business days of the electronic submission of your application through the NMLS at the following:

For U.S. Postal Service:

Department of Financial Institutions
Division of Consumer Services
PO Box 41200
Olympia WA 98504-1200

For Overnight Delivery:

Department of Financial Institutions
Division of Consumer Services
150 Israel Rd SW
Tumwater WA 98501

NMLS Unique ID Number: _____

Applicant Legal Name: _____

ATTACHED	NOT APPLICABLE	WASHINGTON DESIGNATED BROKER REGISTRATION AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	LEGAL DOCUMENTS (For name change only). Provide a copy of legal documents which support the name change (e.g.: marriage certificate, divorce decree).

WHO TO CONTACT – Contact DFI’s Division of Consumer Services licensing staff by phone at 360-902-8703 or send your questions via e-mail to DCS@dfi.wa.gov for additional assistance.

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.