



## 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. When the Designated Broker is changing companies for which he/she is Designated Broker, the following items must be completed:
  - The DB must update his/her employment section on the Form MU4.
  - The DB must confirm the email address listed in the following locations in the NMLS:
    - Home Tab>My Account>Update User Profile
    - Filing Tab>Individual>Identifying Information
  - The DB must terminate the "Relationship" with the former employer in the NMLS if the former employer hasn't already done so.
  - The DB must provide the new employer access to his/her record in the NMLS
  - The DB's new employer is required to submit a "Sponsorship" request through the NMLS.

[Quick Guides](#) to help DBs and companies through each of the actions above are located on the NMLS Resource Center.

3. If changing residence address, Designated Broker must update residence address on MU4 as well as residence address history section through the NMLS.
4. 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.
5. All fees are collected through the NMLS and ARE NOT REFUNDABLE through the NMLS.
6. 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"/>	<b>LEGAL DOCUMENTS (For name change only).</b> 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](mailto: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.