



Amendment Checklist Jurisdiction-Specific Requirements



WASHINGTON MORTGAGE BROKER LICENSE

Instructions

1. File all amendments through NMLS. The following amendments have special instructions and require items sent outside the NMLS:
 - Corporate or Trade Name (“dba”) Change
 - Main Office Address Change
 - Change in Direct Owner/Officer (Control Person)
 - Change in Designated Broker (Qualifying Individual)
2. DFI only charges for a change in Designated Broker. That fee is \$25, paid within the NMLS.
3. Filing an amendment through the NMLS does **not** authorize you to conduct business with the changes requested. You must receive authorization from DFI before conducting business with the changes requested.
4. If changing Corporate Name, contact the Washington Secretary of State (SOS) Division of Corporations at (360) 753-7115 or online at www.secstate.wa.gov to change the company’s legal name. DFI will verify information directly with SOS.
5. If adding or changing a trade name (“dba”), contact the Washington Department of Licensing (DOL) at (360) 902-3600 or online at www.dol.wa.gov to amend your Washington State Master Business License. DFI will verify information directly with DOL.
6. If adding or changing a trade name (“dba”), please be aware that WAC 208-660-180(10) prevents DFI from approving the trade name if it is similar to a name already licensed with DFI.
7. If changing the company’s Designated Broker, remove the old Designated Broker from the Qualifying Individual section of Form MU1 and add the new Designated Broker to that section. Use the Designated Broker New Application checklist for other items which must be submitted.
8. All fees are collected through the NMLS and ARE NOT REFUNDABLE.
9. 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	MORTGAGE BROKER LICENSE AMENDMENT ITEM
<input type="checkbox"/>	<input type="checkbox"/>	SURETY BOND RIDER. (for Corporate Name change, Trade Name addition or main office address change) Submit an original rider to your existing Mortgage Broker surety bond changing the corporate name, changing the main office address or adding/changing the trade name.
<input type="checkbox"/>		ORIGINAL LICENSE. Return the original Mortgage Broker license issued by the Washington Department of Financial Institutions. NOTE: If corporate name change, main office address change or Designated Broker change, return all original branch licenses as well).
<input type="checkbox"/>	<input type="checkbox"/>	CONTROL PERSONS. (for change in Direct Owners/Officers) In addition to updating this information on Form MU1 through the NMLS, submit a fingerprint card for each new Direct Owner/Officer.
<input type="checkbox"/>	<input type="checkbox"/>	TRUST ACCOUNTING (for Corporate Name or Designated Broker Change Only) Submit an updated Trust Certificate (if you maintain a trust account) or Alternative Certificate of Compliance (if you do not maintain a trust account) with the new corporate name or new Designated Broker signing it.
<input type="checkbox"/>	<input type="checkbox"/>	DESIGNATED BROKER QUALIFICATIONS. Please refer to the Designated Broker New Application checklist for items which the incoming Designated Broker must provide to DFI.
<input type="checkbox"/>	<input type="checkbox"/>	DISCLOSURE QUESTIONS. Provide complete details of all events or proceedings for any "Yes" answer to any of the Disclosure questions for company or any new Owner/Officer.

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 FACILITATE APPLICATION THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.