# Amendment Checklist

Jurisdiction-Specific Requirements

## WASHINGTON DESIGNATED BROKER REGISTRATION

**Instructions**

1. Nothing is required outside NMLS for any amendment. See attached checklist for requirement documentation to provide DFI.
2. All "yes" answers to any disclosure questions will require a written explanation in NMLS and applicable supporting documents (in PDF form) must be uploaded into NMLS.
3. 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 Individual 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 for his/her Designated Broker Registration.
4. Filing a sponsorship request through NMLS does **not** allow you to conduct business with the new sponsor. You must receive authorization from DFI, indicated by the sponsorship status reading "Accepted" in NMLS before conducting business.

***This document is a guide for the amendment requirements.***

***It should not be provided to WA DFI.***

Contact DFI's Accessibility Coordinator at accessibility@dfi.wa.gov or (360) 902-0506
to obtain this document in an alternative format.

NMLS Unique ID Number: _____

Applicant Legal Name: _____

| FILED IN NMLS | WASHINGTON DESIGNATED BROKER REGISTRATION AMENDMENT ITEM |
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| ☐ | **Legal Documents (name change only):** Upload a copy of legal name change documents which support your name change (i.e. marriage certificate, divorce decree). This upload should be under the document type: Legal Name/Status Documentation of the Individual Form (MU4). |

**WHO TO CONTACT –** For Washington specific questions concerning licensure, control DFI at 360-902-8703 options 2, 3, 1 or DCS@dfi.wa.gov

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