



## Surrender Checklist

Jurisdiction-Specific Requirements



### WASHINGTON MORTGAGE BROKER LICENSE

#### Instructions

1. Surrender request must be filed in NMLS within 20 days of the event.
2. Confirm the Records Custodian and Records Location information listed in NMLS is accurate before filing surrender. Books & records must be accessible to DFI in compliance with RCW 19.146.060 and WAC 208-660-450. If the Records Custodian or Location changes after surrender, you must provide written notice of changes to DFI.
3. Complete the Mortgage Broker Closure Report which covers Washington activities from January 1 of the current year through the effective date of surrender. Email it directly to DFI.
4. Updated Records Custodian and location information for each branch on the branch form prior to filing the surrender notification.
5. All licensed Loan Originators sponsored by the company will be moved into an “Approved-Inactive” status as of the date of surrender. The Designated Broker’s Registration will be surrendered as of the date of the company’s surrender if he/she isn’t a designated broker for another company.
6. Submit any remaining borrower funds in your trust account to the Washington Department of Revenue, Unclaimed Property Division which can be reached at [www.dor.wa.gov](http://www.dor.wa.gov) or (360) 705-6706.
7. Washington does not charge fees for surrender at this time.
8. Jurisdiction-specific requirements as indentified on the checklist below must be received with this checklist via email **ONLY** within 5 business days of the electronic submission of your surrender through the NMLS at the following:

*Email: [MortgageLicensing@dfi.wa.gov](mailto:MortgageLicensing@dfi.wa.gov)*

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

Licensee Legal Name: \_\_\_\_\_

ATTACHED	NOT APPLICABLE	WASHINGTON MORTGAGE BROKER SURRENDER LICENSE ITEM
<input type="checkbox"/>		<b>MORTGAGE BROKER CLOSURE REPORT.</b> Complete the attached Mortgage Broker Closure Report for Washington activities from January 1 of the current year through the date of surrender. You must complete and submit this report even if you did not business in Washington during this time period.

**WHO TO CONTACT** – Contact DFI’s Division of Consumer Services licensing staff by phone at 360-902-8703 options 2, 3, 1 or email your questions 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 SURRENDERING. THE JURISDICTION SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE SURRENDER THROUGH THE NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.



**STATE OF WASHINGTON**  
**DEPARTMENT OF FINANCIAL INSTITUTIONS**  
**DIVISION OF CONSUMER SERVICES**  
P.O. Box 41200 • Olympia, Washington 98504-1200  
Telephone (360) 902-8703 • TDD (360) 664-8126 • www.dfi.wa.gov

**2018 MORTGAGE BROKER CLOSURE REPORT**

Name of company as licensed in Washington: \_\_\_\_\_

Main Office Address: \_\_\_\_\_  
*Street Address* *City* *State* *Zip Code*

Washington Mortgage Broker License Number: MB-\_\_\_\_\_  
*NMLS Number* *Phone Number*

Reporting Period: January 1, 2018 **through** \_\_\_\_\_, \_\_\_\_\_. (Last Business Day)  
*Month* *Day* *Year*

*You must file a report even if you did NO business in Washington State during 2018.*

<b>BROKERED RESIDENTIAL MORTGAGE LOANS</b>		<b>Number of Loans</b>	<b>Dollar Volume</b>
<b>1</b>	<b>Enter the total number and dollar volume</b> of all residential mortgage loans secured by Washington real estate that you brokered to another entity in the 2018 calendar year. <b>(Include table funded loans)</b> RCW 19.146.290		

***DECLARATION FOR MORTGAGE BROKER CLOSURE REPORT***

I, \_\_\_\_\_ the undersigned being the \_\_\_\_\_  
*Print Name of Company Representative* *Print Title of Company Representative*

of \_\_\_\_\_, a licensed Washington Mortgage Broker, declare under penalty of  
*Print Name of Company as Licensed*

perjury of the laws of the State of Washington that \_\_\_\_\_ has not funded any loans during the reporting period indicated  
*Print Name of Company as Licensed*

above, and further declare that the foregoing is a true and correct disclosure of residential mortgage loans brokered by  
\_\_\_\_\_ for the reporting period indicated above.  
*Print Name of Company as Licensed*

\_\_\_\_\_  
*Signature of Company Representative* *Date* *City, State signed*

Email this completed form to [MortgageLicensing@dfi.wa.gov](mailto:MortgageLicensing@dfi.wa.gov)