



Amendments Jurisdiction-Specific Requirements



DISTRICT OF COLUMBIA MORTGAGE BROKER LICENSE (BRANCH)

This document includes instructions for a mortgage broker branch license amendment request with the District of Columbia (District) Department of Insurance, Securities, and Banking (DISB). Licensees are responsible for notifying DISB of any material changes to the licensed entity that would be necessary for DISB to provide effective oversight and supervision of the licensee.

Note: Any Change of Address or Change of Name must also be reported on the applicable Form MU1, MU2, or MU3.

The filing of an Amendment through the NMLS does not authorize the licensee to conduct business with the changes requested. The transaction must be approved by DISB before conducting business with the changes requested.

Amendments must be reported to DISB on a timely basis to ensure that the licensed entity is operating in compliance with all applicable District of Columbia (District) laws and regulations. Penalties may be assessed for noncompliance.

CHANGE OF LEGAL NAME OR TRADE NAME: For information on how to amend your company's legal name or trade name on record in the District, you may contact the District's Department of Consumer and Regulatory Affairs (DCRA) at (202) 442-4432, or visit their website at www.dkra.dc.gov. **Note that DISB will verify any changes to a company's name with DCRA.**

FEES: ☐ Change of Address: **\$100.00** per license or branch
 ☐ Change of Name: **\$100.00** per license
 \$100.00 per branch

All fees are collected through NMLS and **ARE NOT REFUNDABLE**.

Amendment requests should **not** be electronically submitted to DISB until ALL information is complete and **ALL** required materials are available to be submitted.

How to submit Agency specific documents.

1. If you are required to upload document(s) in NMLS for an Advance Change Notice:
 - a. In the NMLS document upload section select Advance Change Notice for document type.
 - b. Documents required to be uploaded through Advance Change Notice are considered proposed documents. You will be required to upload final documents in the NMLS document upload section under the appropriate document type on the effective date. If there isn't a document type available for a specific Advance Change Notice event, you must mail the documents directly to DISB at the following address:

Department of Insurance, Securities and Banking
Banking Bureau
1050 First Street, NE, Suite #801
Washington, D.C. 20002

2. If you are required to upload documents for an amendment that doesn't require Advance Change Notice:
 - a. In the NMLS document upload section, select the applicable document type.

NMLS Unique ID Number: _____

Licensee Legal Name: _____

FILED IN NMLS	NOT APPLICABLE	ITEM
<input type="checkbox"/>	<input type="checkbox"/>	<p>1. REQUEST TO ADD AND/OR DELETE A TRADE NAME OR D/B/A NAME: Surety Bond Rider: Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p> <p>Note: Surety bonds submitted via the Document Uploads section will not satisfy this requirement.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p>2. CHANGE OF ADDRESS: Surety Bond Rider: Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process.</p> <p>Note: Surety bonds submitted via the Document Uploads section will not satisfy this requirement..</p>
<input type="checkbox"/>	<input type="checkbox"/>	<p>OTHER AMENDMENTS.</p> <p>1. Change in surety bond provider: Grant access to new surety bond issuer through the NMLS. Licensees are recommended to search for surety bond provider by the NPN and surety company by their NAIC. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process. Note: Surety bonds submitted via the Document Uploads section will not satisfy this requirement.</p> <p>2. Surety Bond Rider: Contact the surety bond producer to inform them of the change and effective date so the producer can initiate the Surety Bond Rider Process in NMLS. Visit the ESB for NMLS Licensees page of the NMLS Resource Center for more information about the Electronic Surety Bond process. Note: Surety bonds submitted via the Document Uploads section will not satisfy this requirement.</p>

WHO TO CONTACT – Contact DISB licensing staff by telephone at **(202) 727-8000** or send your questions via e-mail to bankingbureau@dc.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.

THE FILING OF AN AMENDMENT THROUGH THE NMLS DOES **NOT** AUTHORIZE THE LICENSEE TO CONDUCT BUSINESS WITH THE CHANGES REQUESTED. THE TRANSACTION MUST BE APPROVED BY DISB BEFORE CONDUCTING BUSINESS WITH THE CHANGES REQUESTED.