



WA Money Transmitter Amendment Checklist (Company)

CHECKLIST SECTIONS

- [General Information](#)
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GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, Washington DFI requires advance notification for some changes. See the checklist below for details.

Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS Document Uploads section. If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS Document Uploads section.

Note: Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#).

Helpful Resources

- [Amendments & Advance Change Notice](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

Agency Contact Information

Contact *Washington DFI* licensing staff by phone at [360-902-8703](tel:360-902-8703) or send your questions via email to CSLicensing@dfi.wa.gov for additional assistance.

*******DO NOT MAIL ANY DOCUMENTATION TO WASHINGTON DFI**

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

AMENDMENTS

You must submit an Advance Change Notice (ACN) through NMLS 30 days prior to a change of 50% or more Direct Ownership.

- If no new application is required \$30.00
- If new application is required \$1,000.00. Refer to New Application Checklist for requirements

When making changes to your record in NMLS, be aware that Washington requires you to submit changes within 30 business days of the occurrence.

- [Change of Legal Name](#)
 - Change of Legal Name: \$30.00
- [Change of Main Address](#)
 - Change of Main Address: \$30.00
- [Addition or Modification of Other Trade Name](#)
 - Addition of Other Trade Names: \$30.00
- [Change of Legal Status](#)
 - Change to the company Organizational Type: \$30.00
- [Addition or Modification of Direct Owners/Executive Officers](#)
 - Changes to individuals in the Direct Owners/Executive Officers section: \$30.00 fee per person added: \$36.25 FBI Criminal Background Check; \$15.00 Credit Report authorization
- [Addition or Modification of Indirect Owners](#)
 - Changes to individuals in the Indirect Owners section: Notification only. No fee attached
- [Addition or Modification of Qualifying Individuals](#)
 - Change of Qualifying Individual: \$30.00
- [Change of Disclosure Question\(s\)](#)
- [Addition or Modification of Affiliates/Subsidiaries](#)
 - Change to Affiliates/Subsidiaries: Notification only. No fee attached
- Change of Mailing or email address
 - Notification only. No fee attached
- Change of Records Location
 - Notification only. No fee attached
- Obtaining, revocation or surrender of a money services license in any other jurisdiction
 - Notification only. No fee attached
- The conviction of the licensee, an executive officer, responsible individual, board director, AML compliance officer, principal, or other person in control of a misdemeanor or gross misdemeanor involving a financial transaction
 - Notification only, No fee attached
- Change in your business bank account including its closure or a change in the location or identity of the bank holding the account
 - Notification only. No fee attached
- A change in the business plan from that submitted at time of application
 - Notification only. No fee attached
- Any other similar activities or events affecting the business or executive officers or other person in control

- Notification required. Fee may be required based on “other change” reported.

Be Aware that Washington requires 45 days notification for the following:

- Data Breach
 - Within 45 days of a data breach you must notify the director in writing. This notification requirement may change based on directives or recommendations from law enforcement. See WAC 208-690-270

Note: Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed to the agency on the checklist below and must be received with the appropriate checklist within five (5) business days of the electronic submission of your filing through NMLS.

Complete	WA Money Transmitter Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Legal Name: Submit an amendment for a change of Legal Name through the Company Form (MU1) in NMLS.</p> <p>Note: All changes need to be reported within 30 business days of the occurrence.</p>	NMLS
<input type="checkbox"/>	<p>Change of Legal Name Fee: \$30.00 per license</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Filing submission)
<input type="checkbox"/>	<p>Surety Bond: Submit an Electronic Surety Bond Rider via NMLS showing the legal name change furnished & submitted by a surety company authorized to conduct business in Washington. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p>	Submit electronically through NMLS
Note	<p>You will also want to contact the following agencies to update your legal name change :</p> <ul style="list-style-type: none"> • Washington Secretary of State of Washington www.secstate.wa.gov • Business Licensing Services Agency www.bls.dor.wa.gov • Department of Revenue (if applicable) www.dor.wa.gov 	N/A

Complete	WA Money Transmitter Change of Physical, Mailing or Records Location Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Submit an amendment for a change of Main (Corporate) Physical, Mailing, and Books and Records Address through the Company Form (MU1) in NMLS.</p> <p>Note: All changes need to be reported within 30 business days of the occurrence.</p>	NMLS
<input type="checkbox"/>	<p>Change of Main (Corporate) Physical, Mailing, and Books and Records Address: \$30.00 per address change</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	<p>NMLS (Filing submission) – Main Address only</p> <p>NMLS (Agency Fee Invoice) for Mailing and Books and Records</p>

Complete	WA Money Transmitter Change of Physical, Mailing or Records Location Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Surety Bond: Submit an Electronic Surety Bond Rider via NMLS showing the main (corporate) physical address change furnished & submitted by a surety company authorized to conduct business in Washington. See the ESB Adoption Table and the ESB for NMLS Licensees page of the NMLS Recourse Center for more information.</p>	Submit electronically through NMLS

Complete	WA Money Transmitter Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS.</p> <p>Note: All changes need to be reported within 30 business days of the occurrence.</p>	NMLS
<input type="checkbox"/>	<p>Addition of Other Trade Name \$30.00 per license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Filing submission)
Note	<p>Register the new trade name with the Washington Business Licensing Services Agency at www.dor.bls.wa.gov</p>	N/A

Complete	WA Money Transmitter Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).</p> <p>Note: All changes need to be reported within 30 business days of the occurrence. Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Deletion of Other Trade Name: \$30.00 per license.</p> <p>Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.</p>	NMLS (Agency Fee Invoice)
Note	<p>Contact the Washington Business Licensing Services Agency to remove the trade name from your company business license.</p> <p>Washington Business Licensing Services Agency (www.dor.bls.wa.gov)</p>	N/A

Complete	WA Money Transmitter Change of Legal Status Amendment Items	Submitted via...
<p>Note: In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).</p>		
<input type="checkbox"/>	<p>Change of Legal Status: If the company's change in legal status entails a change in Tax Identification Number then STOP and contact Licensing at 360-902-8703 or email CSLicensing@dfi.wa.gov for your next steps.</p> <p>For change to Fiscal year End, State or Date of Formation submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS.</p> <p>Note: All changes need to be reported within 30 business days of the occurrence.</p>	<p>NMLS</p>

Complete	WA Money Transmitter Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Direct Owners/Executive Officers:</p> <p>If the change of Direct Ownership is 50% or more submit an ACN for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. This change may require a new application to be filed. 30 Days' notice must be provided for this change.</p> <p>If the Direct Ownership is less than 50% or if an Executive Officer is being added or removed submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS. Changes must be reported within 30 business days of the occurrence.</p>	<p>NMLS</p>
<input type="checkbox"/>	<p>Change in Direct Owner/Executive Officers: \$30.00 per person being added</p> <p>Note: if the change of Direct Ownership is 50% or more and a new application is required the new application fee of \$1,000.00 applies. The company will also need to refer to the Money Transmitter New Application Checklist for requirements.</p>	<p>NMLS (Agency Fee Invoice)</p>
<input type="checkbox"/>	<p>Credit Report: Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.</p>	<p>NMLS</p>

Complete	WA Money Transmitter Addition or Modification of Direct Owners/Executive Officers Amendment Items	Submitted via...
<input type="checkbox"/>	Criminal Background Check: Individuals in a position of control are required to authorize a Criminal Background Check through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.	NMLS

Complete	WA Money Transmitter Addition or Modification of Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for an addition or change in Indirect Owners within the Company Form (MU1) in NMLS. The change must be reported within 30 business days of the occurrence.	NMLS

Complete	WA Money Transmitter Addition or Modification of Qualifying Individual Amendment Items	Submitted via...
<input type="checkbox"/>	Submit an amendment for an addition or change in Qualifying Individuals within the Company Form (MU1) in NMLS. The change must be reported within 30 business days of the occurrence.	NMLS
<input type="checkbox"/>	Change of Qualifying Individual: \$30.00 per license Fees collected through NMLS are NOT REFUNDABLE OR TRANSFERABLE.	NMLS (Filing submission)
<input type="checkbox"/>	Credit Report: Individuals in a position of control are required to authorize a credit report through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.	NMLS
<input type="checkbox"/>	Criminal Background Check: Individuals in a position of control are required to authorize a Criminal Background Check through NMLS. Individuals will be required to complete an Identity Verification Process (IDV) along with an individual attestation before a license request for your company can be filed through NMLS.	NMLS

Complete	WA Money Transmitter Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for company or each control person. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).
<input type="checkbox"/>	Changing a Response from Yes to No: When changing a Disclosure Question response from Yes to No, you will be required to remove the question from the associated Disclosure Explanation and provide an Amendment Reason. You must select “Add Explanation For “No” Responses” and provide an explanation for each response that changes from “Yes” to “No” for company or each control person. If applicable you must also upload a document (PDF) related to the explanation. See the Company Disclosure Explanations Quick Guide for instructions.	NMLS