

DISB Securities Bureau Change in Operations

New Information for Filers: Payment and Mailing Instructions

DISB is operational. However, in response to the public health emergency caused by the coronavirus (COVID-19), we have made changes to how service is being provided. DISB personnel are operating via full telework for the duration of the public health emergency.

For Issuers and Others Offering Securities to District Residents

The Corporation Finance Division staff is working remotely. Therefore, *in addition to following the payment and mailing instructions described below*, issuers submitting notice filings pursuant to DC Official Code Sections 31-560308(d), 31-5604.01, and 31-5604.02 et seq. are urged to send copies of their lockbox submissions to corpfin.disb@dc.gov. Issuers submitting an initial application for a registered offering, amendments or renewal offerings, are urged to send copies of their transmittal letters containing an SEC or District file number and the Form U1 application to corpfin.disb@dc.gov.

Payments sent via Private Courier Services

All payments that are sent via private courier services such as DHL, UPS, FedEx and Airborne Express must be sent to the following address:

DC Department of Insurance, Securities and Banking
Securities Bureau
Wells Fargo Bank
7175 Columbia Gateway Drive
Lockbox #92660
Columbia, MD 21046

Payments sent via US Postal Service

All payments that are sent via regular U.S. Mail Service or U.S. Postal Service Express Mail must be sent to:

DC Department of Insurance, Securities and Banking
Securities Bureau
P.O. Box 92660
Washington, DC 20090

Filing with no Fee Payments

If no fee is enclosed, send the entire filing with all required forms to:

DC Department of Insurance, Securities and Banking
Securities Bureau
1050 First Street NE, Suite 801
Washington, DC 20002

Email a copy of the same filing and forms to corpfin.disb@dc.gov

Persons Applying for Broker-Dealer Licenses in the District of Columbia

If you wish to engage in the business of purchasing or selling securities on behalf of yourself or others in the District of Columbia, you must first obtain a license from the Securities Bureau of the Department of Insurance, Securities, and Banking (DISB). Except for electronic registration through the Central Registration Depository (WebCRD), all filings that include payments must be sent to the DISB Securities Bureau Lock Box.

If a licensed Broker-Dealer is a non-FINRA member firm and the Broker-Dealer has changes of address or principal office; changes to the Forms BD, U-4 or U-5; changes to the firm's net capital; or any other changes to the firm or its agents, the Broker-Dealer is required to submit an Amendment filing. An Amendment filing must be filed directly with DISB. Please send all such filings to: Maurice.Goff@dc.gov.

Individuals and entities in all three categories (FCAs, SCIAAs, and IARs) must file electronically through the Investment Adviser Registration Depository (IARD), and must submit certain materials directly to DISB, as described below. All filings that include payments must be sent to the DISB Securities Bureau Lock Box. Please review the Change of Address for Securities Bureau Lock Box bulletin for details.

Please email the following District of Columbia Securities Licensing Forms to Maurice Goff in the Securities Bureau at Maurice.Goff@dc.gov:

For Firms

- [Statement of Financial Condition](#) [PDF]
- [Affidavit for Firms](#) [PDF]

For Agents and Representatives:

- [Clean Hands Form](#) [PDF]

For Representatives

- [Transaction Certification Form for Investment Adviser Representatives](#) [PDF]
- [Affidavit for Representatives](#) [PDF]