

BULLETIN
11-SB-11/21
REVISED

TO: Securities Industry

FROM: Karima M. Woods, Commissioner

SUBJECT: Change of Address for Securities Lockbox Filings

DATE: February 1, 2024

This bulletin aims to alert filers to a change of address to the Department of Insurance, Securities and Banking's ("DISB") lockbox for private courier-delivered filings. DISB requires all filings and other correspondence submitted with an accompanying check as payment for a professional securities license, registration of securities offering, or exemption or notice filing fee to be mailed directly to the Securities Bureau lockbox at one of the two addresses listed below. **Please note that the type of mail delivery service determines which lockbox should be used and that all checks shall be made payable to the D.C. Treasurer.** The two lockbox addresses are as follows:

1. **FILINGS WITH PAYMENTS VIA COURIER SERVICES:** All filings and other correspondence containing payments that are sent via **private courier services such as DHL, UPS, FedEx, and Airborne Express** must be sent to the following address:

D.C. DEPARTMENT OF INSURANCE, SECURITIES, AND BANKING
DISB SECURITIES BUREAU
LOCKBOX SERVICES - # 92660
MAC Y1372-045
401 MARKET STREET
PHILADELPHIA, PA 19106

2. **FILINGS WITH PAYMENTS VIA U.S. MAIL:** All filings and other correspondence containing payments that are sent via regular **U.S. Mail Service or U.S. Postal Service Express Mail** must be sent to:

D.C. Department of Insurance, Securities and Banking
DISB Securities Bureau
P.O. Box 712661
Philadelphia, PA 19171-2661

3. **FILINGS THAT DO NOT CONTAIN PAYMENTS:** Securities filing and other correspondence that **do not** contain checks or other forms of payment should be sent directly to the Securities Bureau at the address listed below:

D.C. Department of Insurance, Securities and Banking
Securities Bureau
1050 First Street N.E., Suite 801
Washington, DC 20002

4. **ELECTRONIC FILINGS AND PAYMENTS:** Required **securities offerings filings and fee payments** submitted to the Department via the Wells Fargo Bank Lockbox #92660 may instead be forwarded to the Department by emailing corpfin.disb@dc.gov with the associated documents attached in PDF format. Also, instead of physical checks, the associated fee payments (made payable to the D.C. Treasurer) must be submitted in electronic form via ACH, WIRE, or Electronic Transfers into the Department's bank account as follows:

Name of Financial Institution: Wells Fargo Bank, NA
Full Bank Address: 420 Montgomery Street, San Francisco, CA 94104
ABA/RTN: 121000248
Wire RTN: 121000248
Bank Account Number: 2000043154898
Account Title: Insurance Admin. (DISB) Lockbox
Account Type: Checking
Payment Method: ACH and WIRES

5. **NASAA PAYMENTS:** Except mutual fund filings, required securities offerings registrations and notice filings (e.g., Registration by Coordination, Regulation D, Rule 506, Regulation A, Unit Investment Trust, and exemption notices filed under Title III and Title IV of the D.C. Securities Act), and associated fee payments, may also be made through the North American Securities Association's online Electronic Filing Depository (EFD) System.

For additional information, please visit our website at www.disb.gov, or contact J. Michael (Mike) McManus, Assistant Director, Securities Bureau, Division of Corporation Finance, by phone at (202) 442-7826 or by email at james.mcmanus@dc.gov.