

Karima M. Woods, Commissioner

BULLETIN
11-SB-11/21
REVISED

TO: Securities Industry

FROM: Karima M. Woods, Commissioner

SUBJECT: **Change of Address for Securities Lockbox Filings, and Added Filing and Payment Methods**

DATE: December 3, 2021

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

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 712660
PHILADELPHIA, PA 19171-2660

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 submitted 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
BANK ADDRESS: 1750 H STREET, SUITE 500
WASHINGTON, DC 20006
ABA/RTN: 121000248 BANK ACCOUNT NUMBER: 2000043154898
ACCOUNT TITLE: INSURANCE ADMIN. (DISR) LOCKBOX
ACCOUNT TYPE: CHECKING
PAYMENT METHOD: ACH AND WIRES

Special Note: To make tracking of payments to filings as seamless as possible, issuers and their representatives are advised to place enough description on the Wire/ACH addendum about (a) issuer's name, and (b) purpose of payment. Further, issuers are advised to furnish the Securities Bureau staff evidence to substantiate that payment of fees has been initiated electronically.

5. NASAA PAYMENTS: With the exception of 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 pursuant to 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.

Beyond the change of address to the private courier lockbox, and the additional filing options provided above, there are no additional changes to the bulletin 03-SB-004/3-21(Rev.5/11/09).

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.