

STATE OF WASHINGTON  
Department of Financial Institutions  
Securities Division  
P.O. Box 9033  
Olympia, WA 98507-9033

Telephone: (360) 902-8760  
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## MORTGAGE BROKER-DEALER QUARTERLY REPORT FORM

FOR VALIDATION ONLY

Permit Holder: \_\_\_\_\_

Permit No.: \_\_\_\_\_ Permit Amount: \_\_\_\_\_

Permit Effective Date: \_\_\_\_\_ Permit Expiration Date: \_\_\_\_\_

**1. This report is for the quarter ended:** \_\_\_\_\_

**2. Securities sold under CURRENT permit:** \_\_\_\_\_

Dollar Amount

This quarter: \_\_\_\_\_

Prior quarters: \_\_\_\_\_

Total to Date: \_\_\_\_\_

Attach a separate document that lists the amount purchased by each investor and their individual names.

### 3. Financial Statements:

Pursuant to WAC 460-60A-010 and WAC 460-60A-025, attach a balance sheet and profit and loss statement, or Form 10-Q, prepared in accordance with generally accepted accounting principles for the period being reported.

### 4. Offering Circular or Prospectus (Check One):

No material changes since the last offering circular was filed.

Material changes have occurred requiring revision of the last offering circular filed. A copy of the current offering circular, showing red-lined changes, is enclosed with this report for approval.

### 5. I certify that all the above statements and data are true, correct, and complete.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

A FILING FEE OF \$10.00 MUST BE SUBMITTED WITH THIS REPORT. MAKE CHECKS PAYABLE TO "WASHINGTON STATE TREASURER."

## General Reminders

**Notice of Changes:** In accordance with WAC 460-33A-125, upon any material change in the information contained in the application for registration, the mortgage broker-dealer must promptly file an amendment to such application setting forth the changed information. In addition, mortgage broker-dealers shall notify the Division of the employment of a new sales agent and of the termination of any agent in Washington, by completing a NASD Form U-4 or U-5, respectively, with the Division within 21 days or 30 days, respectively, after the event occurs.

**Advertising:** Pursuant to WAC 460-33A-075, prior to disseminating any advertising materials to the public, every mortgage broker-dealer must file the proposed advertising materials with the Division five days prior to use.

**Financial Statements:** In connection with WAC 460-33A-110, mortgage broker-dealers must file annually audited financial statements prepared in accordance with generally accepted accounting principles within 90 days after the close of the period. In addition, mortgage broker-dealers must file quarterly financial statements complete with footnotes and prepared in accordance with generally accepted accounting principles pursuant to WAC 460-60A-010 and WAC 460-60A-025. Quarterly financial statements are not required to be audited and must be submitted within 30 days of the close of the period in accordance with WAC 460-60A-035.