

Government of the District of Columbia
Department of Insurance, Securities and Banking




Thomas E. Hampton
Commissioner

BULLETIN

03-SB-004/3-21 (Rev. 10/10/06)

TO: Securities Industry

FROM: Commissioner Thomas E. Hampton 

SUBJECT: UPDATED NOTICE REGARDING REVISIONS TO THE SECURITIES BUREAU FILING PROCEDURES—NEW LOCKBOX FILING ADDRESSES (SLIGHT CHANGES TO BULLETIN 03-SB-004/3-21)

Effective immediately, the District of Columbia Department of Insurance, Securities and Banking (DISB), Securities Bureau requires that *all filings and correspondence submitted with checks* for securities professionals' licenses, securities registrations, exemptions and notice filing fees be mailed directly to the DISB Securities Bureau's lockbox. The type of mail delivery service used will determine the appropriate lockbox address to use. There are two separate lockbox addresses: (1) a street address for filings submitted via overnight couriers such as the **U.S. Postal Service Express Mail** and other private courier services such as **FedEx, UPS, DHL and Airborne Express** and (2) a post office box address for filings submitted via **regular U.S. Mail** service. The two new lockbox addresses are as follows:

1. Filings submitted via **U. S. Postal Service Express Mail** overnight courier or private courier services such as **DHL, UPS, FedEx and Airborne Express** should be submitted to:

D C Department of Insurance, Securities and Banking, Securities Bureau
Attn: Ms Loretta T. Oliver, Assistant Vice President-Bank of America
Wholesale Lockbox # 92660, Mail Code: MD43011804
225 North Calvert Street, 18th Floor
Baltimore, MD 21202

2. Filings submitted via **regular U. S. mail service** should be submitted to:

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

*Checks should be made payable to the D.C. Treasurer.

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Please note, filings and correspondence submitted **without checks** should to be sent directly to the DISB Securities Bureau's address listed below:

D C Department of Insurance, Securities and Banking, Securities Bureau
810 First Street, N E , Suite 610
Washington, DC 20002

For additional information, please visit our website at www.disb.dc.gov or contact J. Mike McManus, Assistant Director, Division of Corporation Finance at (202) 442-4926.