

(b) All check books, bank statements, cancelled checks and cash reconciliations except for the loan files required to be kept by WAC 460-33A-115(1) which shall be kept in an accessible place for the life of the loans involved.

(c) All bills receivable or payable (or copies thereof), paid or unpaid, relating to the business of the broker-dealer, as such.

(d) Originals of all communications received and copies of all communications sent by the broker-dealer (including inter-office memoranda and communications) relating to his business, as such.

(e) All trial balances, computations of net liquid assets (and working papers in connection therewith), financial statements, branch office reconciliations and internal audit working papers, relating to the business of the broker-dealer, as such.

(f) All guarantees of accounts and all powers of attorney and other evidence of the granting of any discretionary authority given in respect of any account, and copies of resolutions empowering an agent to act on behalf of a corporation.

(g) All written agreements (or copies thereof) entered into by the mortgage broker-dealer relating to its business as such, including agreements with respect to any account.

(2) Every mortgage broker-dealer shall preserve during the life of the enterprise and of any successor enterprise all partnership articles or, in the case of a corporation, all charter documents, minute books and stock certificate books.

(3) Every mortgage broker-dealer shall maintain and preserve in an easily accessible place all records required under WAC 460-33A-115(7) of these rules until at least three years after the agent has terminated his or her employment and any other connection with the broker-dealer.

(4) If a mortgage broker-dealer who has been subject to the requirements of this section ceases to hold a certificate as a mortgage broker-dealer, such mortgage broker-dealer shall, for the remainder of the periods of time specified in this section, continue to preserve the records which it theretofore preserved pursuant to this section.

[Statutory Authority: RCW 21.20.450. 01-23-002, § 460-33A-120, filed 11/7/01, effective 12/8/01; 86-21-107 (Order SDO-140-86), § 460-33A-120, filed 10/20/86.]

WAC 460-33A-125 Notice of changes by mortgage broker-dealers. (1) Each mortgage broker-dealer shall, upon any material change in the information contained in its application for registration promptly file an amendment to such application setting forth the changed information (and in any event within thirty days after the change occurs).

(2) Each mortgage broker-dealer shall notify the director of the employment of any new agent in Washington and of the termination of employment of any agent in Washington, giving the full name and Social Security number of the individual involved, the date of employment or termination, and the location of the office in which he or she was or will be employed by submitting a completed NASD Form U-4 to the director or the director's designee within twenty-one days after the event occurs.

(3) Each mortgage broker-dealer shall notify the director of the termination of employment of any agent in Washing-

ton by submitting a completed NASD Form U-5 to the director or the director's designee, within thirty days after the event occurs.

[Statutory Authority: RCW 21.20.450. 01-23-002, § 460-33A-125, filed 11/7/01, effective 12/8/01. Statutory Authority: RCW 21.20.045. 92-18-009, § 460-33A-125, filed 8/21/92, effective 9/21/92. Statutory Authority: RCW 21.20.450. 86-21-107 (Order SDO-140-86), § 460-33A-125, filed 10/20/86.]

WAC 460-33A-130 Notice of complaint. Each mortgage broker-dealer who has filed a complaint against any of its partners, officers, directors, agents licensed in Washington with any law enforcement agency, any other regulatory agency having jurisdiction over the securities industry, or with any bonding company regarding any loss arising from alleged acts of such person, shall send a copy of such complaint to the director, within ten days following its filing with such other agency or bonding company.

[Statutory Authority: RCW 21.20.450. 01-23-002, § 460-33A-130, filed 11/7/01, effective 12/8/01; 86-21-107 (Order SDO-140-86), § 460-33A-130, filed 10/20/86.]

Title 467 WAC TRAFFIC SAFETY COMMISSION

**Chapters
467-03**

Pedestrian bicycle safety equipment rules.

Chapter 467-03 WAC

**PEDESTRIAN BICYCLE SAFETY EQUIPMENT
RULES**

**WAC
467-03-010**

Pedestrian bicycle safety equipment rules.

WAC 467-03-010 Pedestrian bicycle safety equipment rules. The director will cause to be designed a high-visibility protective vest, traffic control flag, warning signs and other equipment to increase the visibility of persons assisting pedestrians and bicycles at crosswalks, including school and playground zones. This equipment will be of strong yellow-green fluorescent color or other highly visible materials and have retro-reflective stripes. Samples are to be made available for viewing at the Washington traffic safety commission office in Olympia, WA.

The director may furnish this equipment to schools and other users through grants from the school zone safety account as provided by RCW 46.61.440(3).

The use of uniforms and equipment designated for use by school patrols, pursuant to WAC 392-151-090 (Standard uniforms) and WAC 392-151-095 (Equipment), by persons assisting pedestrians and bicyclists in school and playground zones, will also be deemed in compliance with this rule.

[Statutory Authority: RCW 34.59.070 and 43.59.150. 01-22-011, § 467-03-010, filed 10/26/01, effective 11/26/01.]