

**WAC 460-33A-110 Financial statements and annual reports.** Every mortgage broker-dealer shall file with the director upon registration under WAC 460-33A-080 and annually, a report containing financial statements prepared in accordance with generally accepted accounting principles by an independent certified public accountant, or by the chief executive and accounting officers of the mortgage broker-dealer who shall certify that they each have verified the material accuracy and completeness of the information contained therein. The annual report shall include, but not be limited to the receipt and disposition of all funds handled in connection with transactions subject to the rules of this chapter. The annual report shall be filed with the director within one hundred twenty days after the close of the period of the report unless, for good cause shown, the director in writing, extends the time therefor. The report shall contain the following:

- (1) Total number of sales, as principal or agent, subject to the rules of this chapter during the period; and
- (2) Total dollar volume of such sales.

[Statutory Authority: RCW 21.20.060, [21.20].070, [21.20].090, [21.20].100, [21.20].180, [21.20].210, [21.20].250, [21.20].270, and [21.20].450. WSR 12-11-087, § 460-33A-110, filed 5/17/12, effective 6/17/12. Statutory Authority: RCW 21.20.450. WSR 01-23-002, § 460-33A-110, filed 11/7/01, effective 12/8/01; WSR 86-21-107 (Order SDO-140-86), § 460-33A-110, filed 10/20/86; WSR 83-03-025 (Order SDO-7-83), § 460-33A-110, filed 1/13/83.]