



# FRANSES FILER GUIDE

How to submit Franchise and Securities filings

# FRANSES Filer Guide

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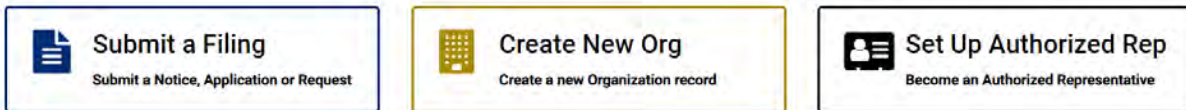
# Account Management

## Understanding User Types

There are 3 types of Users that provide varying levels of capability within the Franchise and Securities Electronic Submission (FRANSES) system.

**Basic User** – A Basic User is a user of FRANSES that is not related to an Organization. Basic Users have a limited view of the FRANSES Catalog of filing forms and requests.

Basic Users can submit Securities Exemption Notices, as well as requests related to Organization Management and Account Management. Basic users can use any three of the FRANSES Homepage functions in the graphic below:



Basic Users are not related to an Organization and therefore cannot manage information on or related to an Organization in FRANSES. Basic Users can submit a request to create Organizations not in FRANSES. They can also request to become an Authorized Representative for a registered FRANSES Organization.

Basic Users should use “My Filings” to review and track their filings. Submitted filings, filing requiring additional action, pending filings, and filings under review can be found in “My Filings.”

**Authorized Representative** – An Authorized Representative User is a user of FRANSES that is related to at least one Organization. There can only be one Authorized Representative per Organization. The Authorized Representative has the highest level of access within the FRANSES system and can submit all types of filings, can update Organization information and can manage what Delegated Users are associated with their Orgs. Note: When you first select the Organization, the information may not be filled out. This information will be updated once the Authorized Representative process is completed. Authorized Representatives can use any three of the following FRANSES Homepage functions:



**Delegated User** – A Delegated User is a user of FRANSES that is related to at least one Organization. The Delegated User can submit most types of filings but cannot update Organization Information directly.

Delegated users can submit most Franchise and Securities Exemption Notices, as well as most Franchise and Securities Applications. Any request submitted by a delegated user will be reviewed

by the DFPI before any changes can be applied. Delegated users can use the following FRANSES Homepage widget:



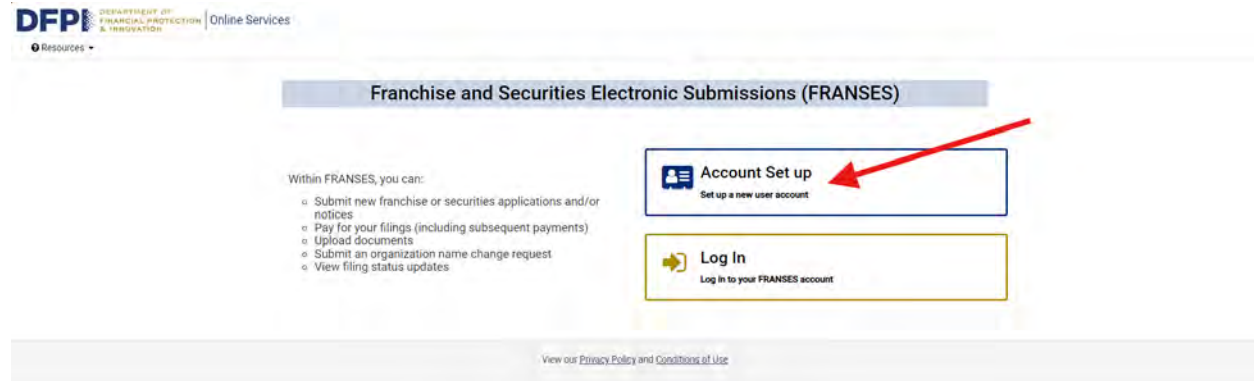
Additional functionalities related to managing Organization Information are not permitted as a Delegated User. Organization Hierarchy, DBAs, Affiliated User Accounts, and NAICS Codes cannot be managed or updated by Delegated Users.

Delegated Users are assigned to Organizations by the Organization’s Authorized Representative. There is no limit to the number of Delegated Users that are assigned to the Organization.

## Creating an Account

To use the FRANSES System, you must have a User Account. Your User Account will determine what level of access you have in the system, as described in the above section.

Step 1: Navigate to the FRANSES homepage and click “Account Set up.”



<https://franses.dfpi.ca.gov/>

Step 2: Complete all mandatory fields in the user setup form. Ensure the information provided is accurate.

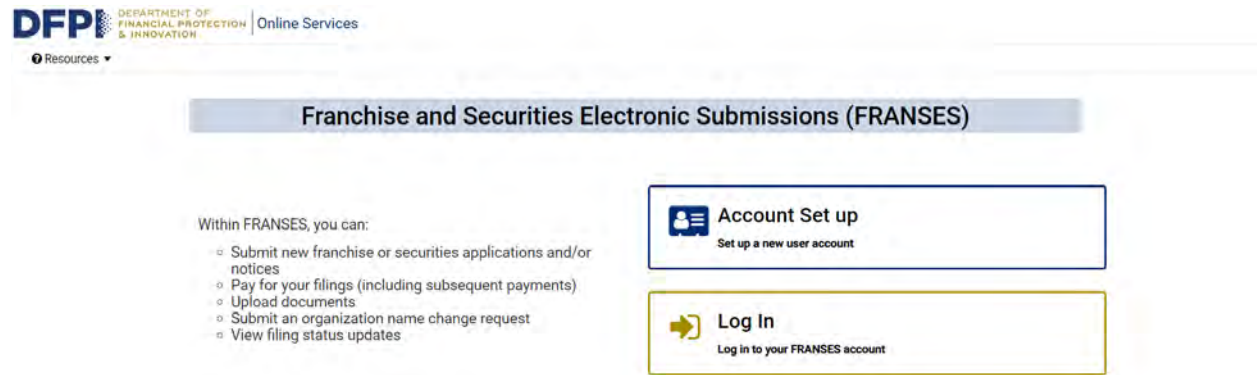
Step 3: Select sign up.

Step 4: You will receive an email to the address provided during sign-up. Follow the instructions in the email to confirm your identity. Be sure to only click the link one time as multiple clicks will cause the link to expire. **Note that you have a limited time to complete this step.**

Step 5: After confirming your email address, you will receive another email with a link to set your password. Follow the link and create a password that meets the minimum requirements.

## Logging in

Step 1: Open FRANSES and click “Log In.”



<https://franses.dfpi.ca.gov/>

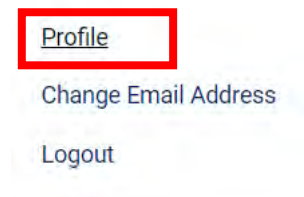
Step 2: Enter your email address and password.

Step 3: Click “Log In” to access the FRANSES homepage.

## Updating Profile Information

Once you are logged into FRANSES, you can change the information associated with your account.

Step 1: Click on your username in the upper right corner of the FRANSES portal and select "Profile" to open your user profile.



Step 2: Update the fields under "About" as needed. Note that your email will not be editable (see the [Changing Your Email](#) section to change your email address)

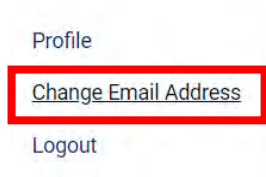
Step 3: Ensure all required fields, indicated with an asterisk (\*), are populated.

Step 4: Click "Save" to update your profile information.

## Changing Your Email

If you need to change the email address on your account, the email can be changed as long as it is unique in the FRANSES system.

Step 1: Click on your username in the upper right corner of the FRANSES portal and select “Change Email Address.”



Step 2: Enter the new email address in the Change Email Address popup.

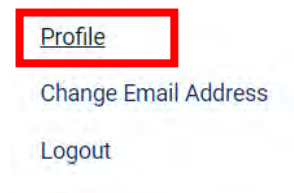
Step 3: Check the acknowledgement.

Step 4: Save the changes. A valid email address must be entered to save changes.

## Changing Your Password

Once you are logged into FRANSES, you can change the password used to log into your account.

Step 1: Click on your username in the upper right corner of the FRANSES portal and select "Profile:" to open your user profile.



Step 2: Scroll past the account information fields to the security section.



Step 3: Select "Change Password."

Step 4: Enter your current account password and the new password you would like to change to. Confirm the new password.

Step 5: Select "Change" to save the changes.

Step 6: You will be logged out of your account. Enter your new password to log back in.

## Navigating FRANSES

After Logging in, depending on the type of user that you are, you may see the following areas of the FRANSES Portal. See below for detailed information about each section.

The screenshot shows the DFPI Department of Financial Protection & Innovation's Online Services portal. The main heading is 'Franchise and Securities Electronic Submissions (FRANSES)'. The navigation menu includes 'Filings', 'My Filings', 'Manage', and 'Resources'. A search bar is positioned below the navigation. Three primary action buttons are visible: 'Submit a Filing' (with subtext 'Submit a Notice, Application or Request'), 'Create New Org' (with subtext 'Create a new Organization record'), and 'Set Up Authorized Rep' (with subtext 'Become an Authorized Representative'). Below these are two sections: 'Unsubmitted Notices' and 'Unsubmitted Applications'. The 'Unsubmitted Notices' section lists five notices with IDs like NOT00001502 and details such as 'Dafne's Dog Grooming' and timestamps. The 'Unsubmitted Applications' section lists five applications with IDs like APP00001705 and details such as 'Bob's Burgers XYZ'. A footer link points to 'View our Privacy Policy and Conditions of Use'.

1. **Filings** – A drop down menu that shows Filing Categories and allows a user to browse the filing forms for submission. Accessible by all User types but may not show all categories or filing types.
2. **My Filings** – A list of Filings that have been submitted by the Filer or by others in their organization.
3. **Manage** – A list of the Organizations that the User is affiliated with. Limited updates to the Organization record are allowed. **Only accessible by Authorized Representatives and Delegated Users.**
4. **Resources** – Links to a Securities FAQ, Franchise FAQ, Contact Us Information and training materials.
5. **Profile Drop Down** – Allows update of User profile information, change or Email address and Logout.
6. **Search** – Allows Searches across the catalog of filing forms.
7. **Submit a Filing** – Quick link to the Filings Catalog to browse the available filing forms.
8. **Create New Org** – Quick link to the [Create New Organization](#) request form.
9. **Set Up Authorized Rep** – Quick link to the [Request to be an Authorized Representative for an Organization](#) Form.
10. **Unsubmitted Notices** – Displays the latest Unsubmitted Notices that have been saved as draft by the logged in user.
11. **Unsubmitted Applications** - Displays the latest Unsubmitted Applications that have been saved as draft by the logged in user.

12. **Privacy Policy and Conditions of Use** – Privacy Policy and Conditions for use for the FRANSES site.

## Filing forms

Each filing form may have different mandatory fields and attachments to be completed. Please read the instructions at the top of the form and throughout the form fields as you enter information. The form may change (fields may appear, be hidden, become mandatory or optional) based on the user inputs.

### Attachments

Various documents may be required for certain filing types. Only PDFs may be uploaded, the uploaded attachments must be ADA compliant, the files uploaded must have unique names, and the maximum size of these PDFs is 1024 MB. Below is the list of required or conditionally required documents for applicable filings. NOTE: if you have additional information or clarifications to share about your filing, it is recommended that you upload a letter using the “other documents” button on the filing form.

#### Franchise

##### **310.100.2 Notice of Negotiated Sale**

Required Document

- Notice of Negotiated Sale

##### **310.303 - Notice of Violation - Failure to Register**

Required Documents

- Application Facing Page
- Notice of Violation
- Franchise Disclosing Document

##### **310.304 - Notice of Violation - False or Misleading Statements**

Required Documents

- Application Facing Page
- Notice of Violation
- Franchise Disclosure Document

##### **31111 - Franchise Registration Application, Initial Registration or Late Renewal Registration**

Required Documents

- Application Facing Page



- Audited Financial Statements
- Auditor’s Consent
- Customer Authorization of Disclosure of Financial Records
- Franchise Disclosure Document
- Franchisor’s Cost and Source of Funds – NASAA Form
- Internet Ad Exemption Notice – Rule 310.156.3

Conditionally Required Documents

- Franchise Seller Disclosure Form – NASAA Form is required if “Yes” is selected for “Do you have any franchise sellers that offer or sell in California?”

**31121 - Franchise Renewal**

Required Documents

- Application Facing Page
- Audited Financial Statements
- Auditor’s Consent
- Customer Authorization of Disclosure of Financial Records
- Franchise Disclosure Document
- Franchise Disclosure Document – Marked
- Franchisor’s Costs and Source of Funds – NASAA Form
- Internet Ad Exemption Notice – Rule 310.156.3

Conditionally Required Documents

- Franchise Seller Disclosure Form – NASAA Form is required if “Yes” is selected for “Do you have any franchise sellers that offer or sell in California?”

**31123 - Post-Effective Amendment**

Required Document

- Application Facing Page

**31125 - Material Modification**

Required Documents

- Application Facing Page
- Exhibit 1 – Material Modification Disclosure Document

- Exhibit 2 – Form of Amendment to Franchise Agreement
- Exhibit 3 – Number of Franchises Presently Operating and Proposed to be Modified

### **31156 – Franchise Advertisement**

#### Required Document

- Advertisement

### **310.113 - Release of Impounded Funds**

#### Required Documents

- Statement of Depository
  - If all three statements are in one document, upload the same document three times
- Statement of Franchisee
  - If all three statements are in one document, upload the same document three times
- Statement of Franchisor
  - If all three statements are in one document, upload the same document three times

### **Securities**

#### **260.103 - Change in Rights and Privileges**

##### Conditionally Required Documents

- 25102(f): Opinion Counsel required if 25102(f) is selected for "Please select the Notice ID that you would like to submit a change in rights and privileges for"
- 25102(h): Opinion Counsel required if 25102(h) is selected for "Please select the Notice ID that you would like to submit a change in rights and privileges for"
- 25102(n): Disclosure Document required if 25102(n) is selected for "Please select the Notice ID that you would like to submit a change in rights and privileges for"
- 25102(n): Subscription Agreement required if 25102(n) is selected for "Please select the Notice ID that you would like to submit a change in rights and privileges for"
- 25102(n): General Announcement required if 25102(n) is selected for "Please select the Notice ID that you would like to submit a change in rights and privileges for"

#### **25121 – Recapitalization/Reorganization**

##### Required Documents

- Application Facing Page
- Transmittal Letter

- Financial Statements
- Customer Authorization of Disclosure of Financial Records Form
- 260.121 Application for Qualification of Recapitalizations and Reorganizations

### **25142 – Fairness Hearing**

#### Required Documents

- Transmittal Letter
- Financial Statements
- Notice of Hearing

#### Conditionally Required Documents

- Application Facing Page required if "Hearing authorized by Corp. Code section" is '3(a)(10) of the Securities Act of 1933'
- Customer Authorization of Disclosure of Financial Records Form required if "Hearing authorized by Corp. Code section" is '3(a)(10) of the Securities Act of 1933'
- 260.121 Application for Qualification of Recapitalizations and Reorganizations required if "Hearing authorized by Corp. Code section" is '3(a)(10) of the Securities Act of 1933'

### **25102.2 - Real Estate Related Information**

#### Required Documents

- Application Facing Page
- Offering Disclosure Documents

### **25507(b) - Repurchase Offer**

#### Required Documents

- 260.507 Application for Approval of Repurchase Offer
- Transmittal Letter
- Financial Statements

### **25131 - Non-Issuer Notification**

#### Required Documents

- Application Facing Page
- Transmittal Letter
- Financial Statements - Audited or Reviewed
- 260.131 Application for Qualification of Nonissuer Transaction by Notification

- Financial Statements - Audited or Reviewed

### **25151 - Transfer of Securities**

#### Required Documents

- Application Facing Page
- NASAA Form U-7 (SCOR)
- Statement of Transferee

### **25111 - Coordination**

#### Required Documents

- Transmittal Letter
- Application Facing Page/Form U-1
- SEC Registration Statement
- Customer Authorization of Disclosure of Financial Records Form

### **25113(b)(2) - Small Company SCOR (U7)**

#### Required Documents

- Application Facing Page
- NASAA Form U-7 (SCOR)
- Transmittal Letter
- Customer Authorization
- Financial Statements
- Prospectus-Offering Circular-Information Statement - Clean

### **25102(h)**

#### Required Documents

- Opinion of Counsel
- Notice of Issuance

### **25102.1(a)**

#### Required Documents

- SEC Reg A (Form 1-A) Tier 2

### **25102.1(d)**

#### Required Documents

- Form D
- SEC Reg A (Form 1-A) Tier 2

### **25146 - Annual Report**

Required Documents

- Semi-Annual Reports

### **25162 – Securities Post Effective Amendment**

Required Documents

- Application Facing Page
- Transmittal Letter

### **25300 - Securities Advertisement**

Required Documents

- Advertising

### **25113(b)(1) - Permit**

Required Documents

- Application Facing Page
- Transmittal Letter
- Financial Statements
- Prospectus-Offering Circular-Information Statement (Clean)
- 260.113 Application for Qualification by Permit
- Customer Authorization of Disclosure of Financial Records Form

### **25112 – Issuer Notification**

Required Documents

- Application Facing Page
- Transmittal Letter
- Customer Authorization
- 260.112 Application for Qualification of Issuer Transaction by Notification
- Financial Statements

### **260.141.50 - Removal of Conditions**

Required Documents

- Application Facing Page
- Transmittal Letter
- 260.141.50 Application for Removal or Modification of Conditions

## Requests

### *Request to be the Authorized Representative of an Organization*

Basic Users and Authorized Representatives have access to request to be the authorized representative of an organization. Once the request is submitted, the DFPI will process the request, and if approved, will grant the user the rights of an Authorized Representative for the organization selected.

Once a user creates an account in FRANSES, as their first step, they should submit this request to associate their account with their organization so that they can submit filings on behalf of the organization.

**Request to be the Authorized Representative for an Organization**

Once approved by the DFPI, you will be authorized to submit filings on behalf of the Organization.

Submit this form to be the Authorized Representative for an Organization.

\* Is this Organization already registered in FRANSES? [?](#)

Yes

\* Organization Legal Name

If the user is unable to find their organization in the drop down on this form, they can create a new organization by following the steps below.

### *Create an Organization*

Basic Users and Authorized Representatives have the ability to request that a new organization be created. Submitting this form sends the request to SRD who will review the request and create the organization. You will be notified when the request is complete.

### **FIL Org Creation:**

When “Franchise” is selected for Primary Filing Law:

- Separate Organizations must be created in FRANSES if required by the NASAA Multi-Unit Commentary to separate offerings into separate FDDs. Thus, separate organizations must be created for each of the following offering types, selected in the “Offering Type” field:
  - Unit/Area Development

- Subfranchise/Master Franchise
  - Area Representative
- In the “Brand(s)” field, select the primary trademark(s) used to identify the franchised business.

### **CSL Org Creation:**

When “Corporate Securities” is selected for Primary Filing Law:

- Select the Securities Category of Offering as the category that best describes the offering in general.
  - The category selected will determine the options available under the Securities Type of Offering dropdown menu.
- Select the Securities Type of Offering as the type that best describes the specific security being offered.

### *Organization Legal Name Change Request*

Delegated Users and Authorized Representatives have the ability to request a change to the legal name of an organization.

Inform the DFPI of a change to the legal name of an organization with this form. If the change is an entity change (i.e., a change to the tax ID, state of incorporation, change to the type of entity, etc.), a new organization will need to be created.

### *Update Organization Information Request*

Basic Users can request to update the Primary Contact, Physical Address, and Mailing Address of an organization with this form. Authorized Representatives and Delegated Users can edit this information directly through Manage > Organizations (see the [Managing Organizations](#) section for more information).

## **Drafts**

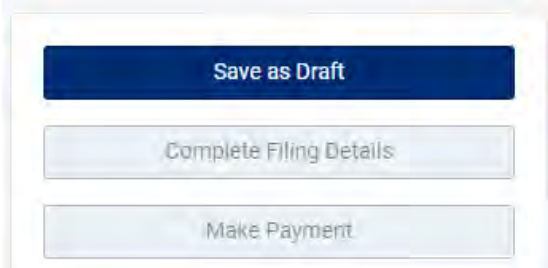
All unsubmitted filings will be listed on the FRANSES Homepage under “Unsubmitted Notices” and “Unsubmitted Applications.” To submit the filing for processing, all mandatory fields must be completed, required documents uploaded, the filing needs to be marked as “Completed,” and identified payments made.

Requests cannot be saved as draft and must be completed in one session.

## **Saving as a Draft**

Step 1: Open any new filing or existing notice or application saved as a draft.

Step 2: After filling in any, all, or none of the fields, you should be able to select the “Save as Draft” button to the right of the notice or application.



Step 3: A popup will appear to confirm the filing has been saved. The draft filing is saved under the listed reference ID.

Step 4: Select OK to close the popup.

NOTE: All unsubmitted filings will be listed on the FRANSES homepage under “Unsubmitted Notices” or “Unsubmitted Applications.”



## Calculating Payment

Payment is calculated on the form after the filing details have been entered. Payment on the calculated payment will be required before the filing can be submitted for processing by the DFPI.

### Payment

Based on the type of filing and the information provided; the required fee is: **PENDING CALCULATION**

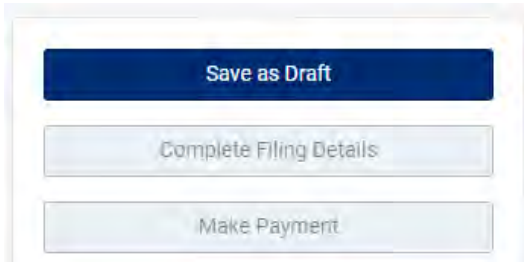


Once all the filing details have been completed, navigate to the payment section and select “Calculate Payment.” The amount owed for the filing will display.

If you make any updates to the filing information you have entered, you can select “Calculate Payment” again to recalculate the amount owed.



## Finalizing Filing Details

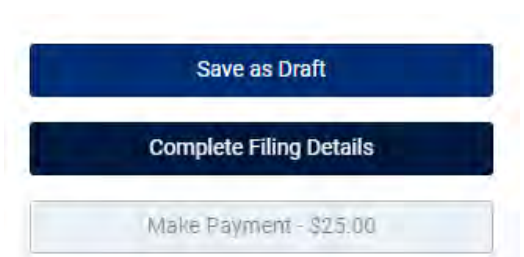


Step 1: Until all the required information for the filing is filled out, the “Complete Filing Details” and “Make Payment” buttons are not activated.

Step 2: Fill out all information on the filing.

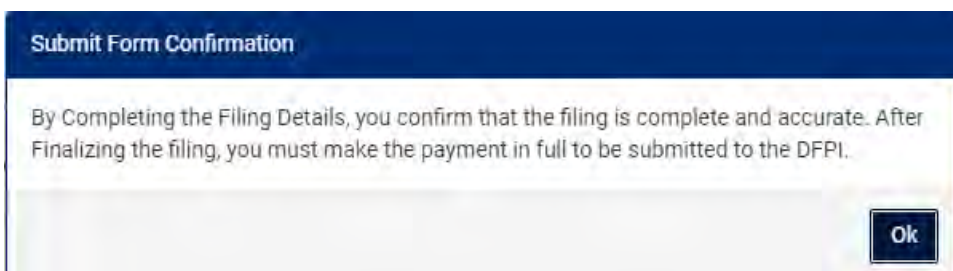
Step 3: Click “Calculate Payment.”

Step 4: Select “Complete Filing Details.”



Step 5: Once the payment has been calculated, the “Make Payment” button will contain the payment amount.

Step 6: A popup will appear to confirm the information on the filing is complete and accurate. Select OK to close the popup and complete the filing.



Step 7: The page will reload, and all fields will be read-only. The “Make Payment” button will now be available.

**Notice of Issuance**  
25102(h) - Notice of Issuance

Please confirm the information on this form before submitting.

If Organization information needs to be updated, please update it under the "Manage" Tab under "Organizations."

If the Authorized Representative needs to be changed, please submit the [Request to be the Authorized Representative for an Organization](#) form.

\* Are you filing this notice as a Change in rights, preferences, privileges, or restrictions of or on outstanding securities?  
No

\* Section Code  
25102(h)

Type of Notice  
Notice of Issuance

Type of Filing  
Securities Exemption Notice

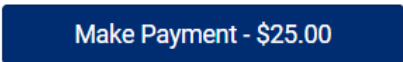
If the Organization does not appear in the list below, check the "Organization Not Found?" checkbox and provide the Organization's information.

\* Issuer Name  
Bob's Burgers

Save as Draft  
Complete Filing Details  
Make Payment - \$25.00

## Making a Payment

Step 1: Once the filing details have been finalized, select "Make Payment."

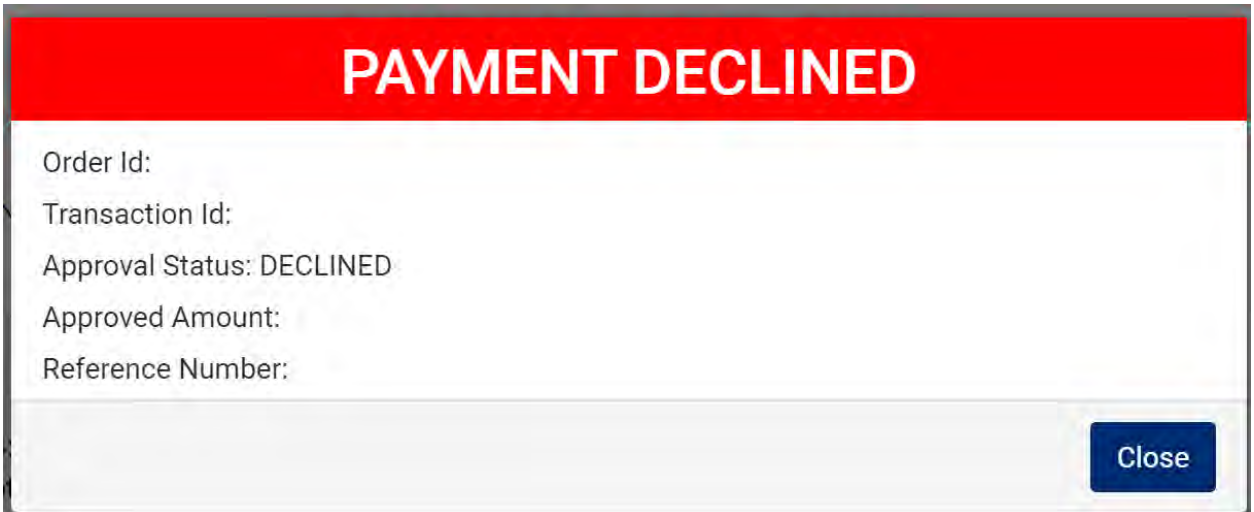


Step 2: A payment popup will display with the amount owed for the filing.

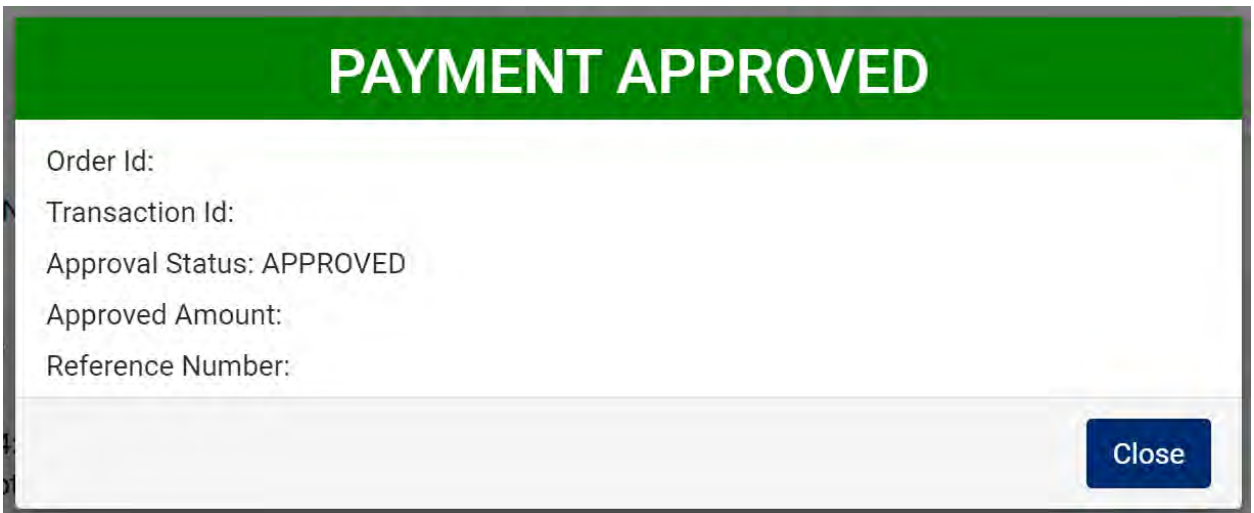
Step 3: Users can pay the amount owed using a credit card (see [Credit Card](#) section below) or ACH (see [ACH](#) section below).

Step 4: Once the information has been entered for the chosen payment method, select "Submit."

4a: If your payment is declined, the unsubmitted filing can be found on the homepage under "Unsubmitted Notices" or "Unsubmitted Applications" and a payment can be made later.



4b: If your payment is approved, the filing has been submitted and once the pop-up window has been closed, the screen will refresh and all of the information submitted will be visible.



Step 5: The filing is complete and paid, and no further action is needed.

## Credit Card

The image shows a payment form with two tabs: 'Credit Card' (selected) and 'ACH'. The form contains the following fields:

- Card Number
- First Name
- Last Name
- Expiration (mm/yy)
- Security Code

Step 1: Select the credit card tab on the payment window to pay the amount owed with a credit card.

Step 2: Enter your credit card information.

Step 3: Select submit to process the payment.

## ACH

Credit Card  ACH

Bank Routing Number  
\*\*\*\*\*

Bank Account Number ID Type  
\*\*\*\*\* Driver License

ID# Driver License State/Province  
\*\*\*\*\* Alabama

*Today, being 12/2/2024, 7:08:07 AM, I, Annie Authorized Representative, by entering my routing and account number above and clicking "Submit," authorize my payment in the amount indicated above to be processed as a one-time electronic funds transfer (EFT) or draft drawn from my checking or savings account as indicated above and, if necessary, to have my account electronically credited or debited to correct errors. I understand that my payment will be processed within 1-2 banking days. Due to the speed of electronic payment processing, I understand that after I authorize my payment, I will not be able to revoke my authorization.*

I consent to the use of Electronic Records and Signatures

**PLEASE PRINT A COPY OF THIS PAGE FOR YOUR RECORDS. ALTERNATIVELY, CONTACT US AT [FRANSES\\_SUPPORT@DFPI.CA.GOV](mailto:FRANSES_SUPPORT@DFPI.CA.GOV) TO LEARN HOW YOU CAN OBTAIN A COPY.**

Step 1: Select the ACH tab on the payment window to pay the amount owed with a bank account.

Step 2: Enter your bank account information.

Step 3: Check the acknowledgement.

Step 4: Select submit to process the payment.

## Managing Organizations

Some organization information such as Physical or Mailing address and Primary Contact information, can be updated via the “Manage” menu header, but only by the Authorized Representative or Delegated User of the Organization. Some fields are read-only and cannot be directly modified.

If you are a Basic User, you can submit an **Update Organization Information Request** form to request Organization information to be updated.

Delegated Users can view, and Authorized Representatives can add/edit the following information about Organizations:

## Related Lists

Affiliated User Accounts **12** | Organization DBAs **26** | Organization NAICS Codes **12**

- **Affiliated User Accounts**

Affiliated User Accounts <span>New</span> <span>Keyword Search</span> <span>Q</span>			
Account	Contact	Contact Email	Responsibility
Bob's Burgers	John DoeAR	John.DoeAR@test.com	Delegated User

- **Add Delegated Users** by clicking “New” and add the user’s name and responsibility (Delegated User) and save.

Affiliated User Accounts - new record

Affiliated User Accounts

\*Account  
Bob's Burgers

\*Contact  
Hannah Test3

\*Responsibility  
Delegated User

Save (Ctrl + s)

- **Remove Delegated Users** by selecting the Delegated User and clicking “Remove” at the bottom of the screen.

Hannah Test3

Affiliated User Accounts

\*Account  
Bob's Burgers

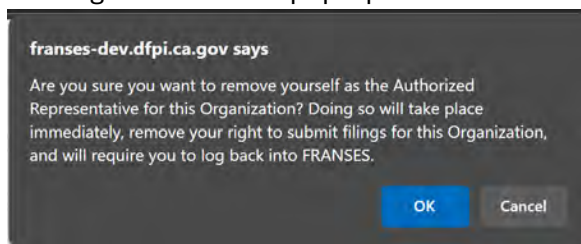
\*Contact  
Hannah Test3

\*Responsibility  
Delegated User

Remove

- **Remove yourself as Authorized Representative** by selecting your own name from the Affiliated User Accounts on the left and clicking “Remove & Logout,” then

clicking “OK” from the pop-up.



- **Organization DBAs**

- **Add DBAs** by clicking “New” and following the prompts on the form and saving the form.

A screenshot of a web form titled "Organization DBA - new record". The form has a blue header bar. Below the header, there are several fields: "Organization" (a dropdown menu with "Chrissy's Coffee" selected), "Name" (a text input field with "Chrissy's Coffee Truck" entered), and "Notes" (a text area). At the bottom left, there is a checked checkbox labeled "Active". At the bottom right, there is a blue button labeled "Save (Ctrl + s)". A red arrow points down to the "Save" button.

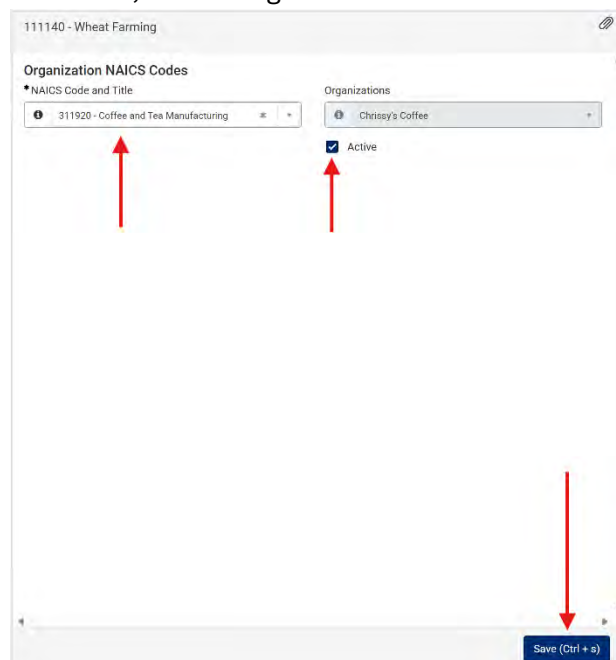
- **Deactivate DBAs and add Notes** by selecting the DBA name on the left side of the screen, adding any notes, toggling the Active checkbox, and saving.

A screenshot of a web form showing an existing record. The title bar reads "Coffee, Coffee :)". The form fields are: "Organization" (dropdown with "Chrissy's Coffee"), "Name" (text input with "Coffee, Coffee :)"), and "Notes" (text area with "Adding Notes"). At the bottom left, there is a checked checkbox labeled "Active". At the bottom right, there is a blue button labeled "Save (Ctrl + s)". A red arrow points down to the "Save" button, and another red arrow points to the "Active" checkbox.

- **Organization NAICS Codes**

- **Add NAICS Codes** by clicking “New” and following the prompts on the form and saving the form.
- **Deactivate NAICS Codes or Update NAICS Codes** by selecting the NAICS Code on the left side of the screen, changing the NAICS Code and Title, toggling the Active

checkbox, and saving.



## My Filings

Submitted filings can be viewed within the “My Filings” page.

Home > My Filings

To submit an additional payment or upload additional documents to an existing filing, select the application or notice from your filing history below.

My Orgs Filings

Applications

Search within Applications

Submitted Filter Action Needed Under Review Pending Review Complete Completed All

Application ID	Org ID	Section Code	Application Type	Date Rec
APP00002052	ORG0010094 - Chrissy's Coffee - #The Cheat Meal H...	31111	Registration Application	01/07/20
APP00002051	ACCT0010001 - Bob's Burgers - Unit_Area Developm...	31111	Registration Application	01/07/20
APP00002050	ACCT0010001 - Bob's Burgers - Unit_Area Developm...	31111	Registration Application	01/07/20
APP00002049	ACCT0010001 - Bob's Burgers - Unit_Area Developm...	31111	Registration Application	01/07/20

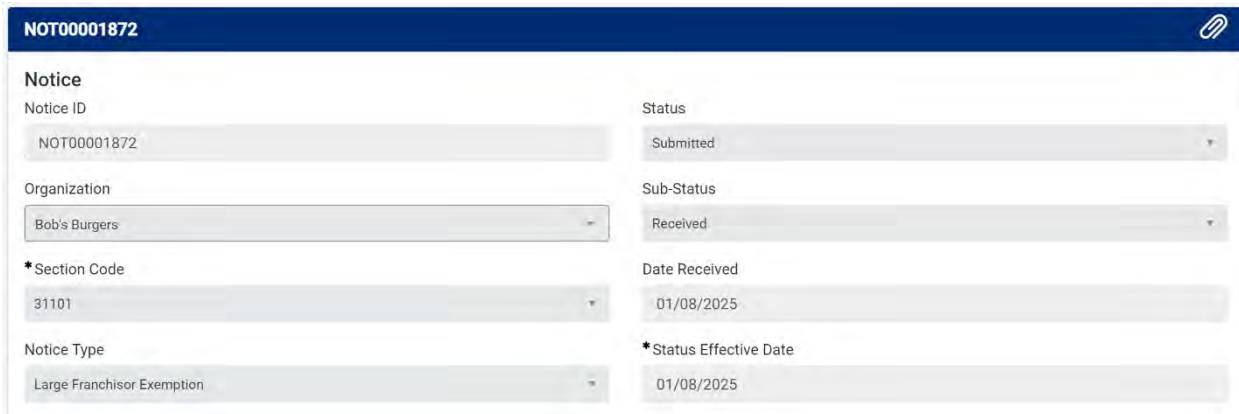
1. **Filing type filter panel:** Select “Applications,” “Notices,” or “Requests” to filter the list to show your organization’s Franchise or Securities Applications, Notices, or Requests.
2. **Status filter:** Select one of the status filters in the dark grey bar at the top of the list to filter the list to only show filings that are in a specific status. Selecting “All” will show all filings regardless of status.



3. **Search bar:** Search for the Application ID (or Notice or Request ID) in the search bar on the Application list (or Notice or Request). This can be a quick way to find a filing if you are unsure what its status is.
4. **Link to filing:** Select the blue ID # for your filing to open up the filing to review your submission, review your payment, add comments, add attachments, etc.

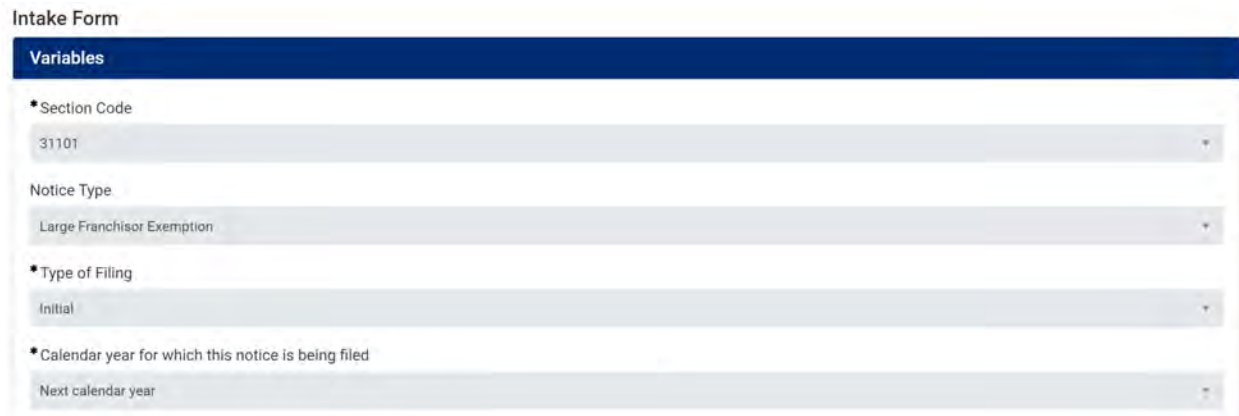
## View Filing Details

View your filing details after clicking the link to the filing from the My Filings view.



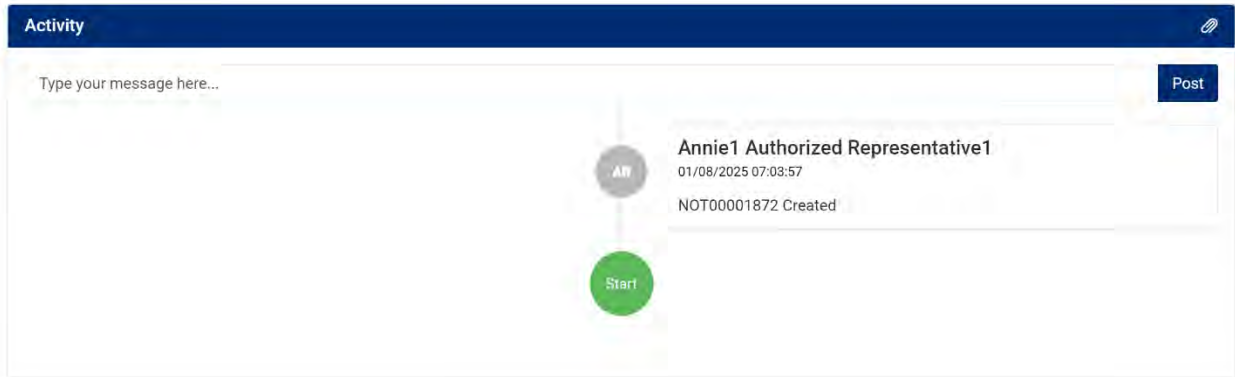
NOT00001872	
<b>Notice</b>	
Notice ID	Status
NOT00001872	Submitted
Organization	Sub-Status
Bob's Burgers	Received
*Section Code	Date Received
31101	01/08/2025
Notice Type	*Status Effective Date
Large Franchisor Exemption	01/08/2025

The top section will contain information such as the Organization, Section Code, Status, Sub-Status, and Status Effective Date.



Intake Form	
Variables	
*Section Code	31101
Notice Type	Large Franchisor Exemption
*Type of Filing	Initial
*Calendar year for which this notice is being filed	Next calendar year

The Intake Form section contains all the information submitted with the filing.



The Activity section contains any comments or attachments added by yourself or by SRD.

### *Commenting or adding additional Attachments*

At certain times, you may be asked to provide additional details or attachments for submitted filings. You can add additional comments from within the “Activity” Section of the filing when accessed via the “My Filings” page.



Additional attachments requested by the DFPI can be attached using the paperclip icon.



## Related Lists

Attachments | Payments **2**

The Related Lists section will allow you to review any Approved OR Declined payments that have been made on this filing.

### Notifications

You will receive email notifications to the email that you provided during User Account Setup from the FRANSES System after the following events:

#### Registration

- Email Verification
- Initial Password Reset

## **Password Reset**

- Change Password Email Verification

## **Filings**

- Filing (Application or Notice) Submission
- Filing set to “Filer Action Needed” State
- Filing (Application or Notice) is set to “Effective” State
- Filing (Application or Notice) is set to “Cancelled” State
- Request Submission
- Request Additional Comments added
- Request Cancelled
- Request Completed

## **Questions?**

For questions related to submitting franchise and securities filings through FRANSES, please contact us by email at [FRANSES\\_Support@dfpi.ca.gov](mailto:FRANSES_Support@dfpi.ca.gov), or contact us toll-free at (866) 275-2677 or (916) 445-7205.

For general DFPI inquiries, please contact us at [Ask.DFPI@dfpi.ca.gov](mailto:Ask.DFPI@dfpi.ca.gov).