



State of California  
Business, Transportation And Housing Agency  
**DEPARTMENT OF CORPORATIONS**  
California's Investment and Financing Authority

[www.corp.ca.gov](http://www.corp.ca.gov)

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**Arnold Schwarzenegger**  
*Governor*

**William P. Wood**  
*California Corporations Commissioner*

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**DATE: June 10, 2004**

**RELEASE No. 13-G (Revised)**

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**OFFICES FOR FILING WITH THE DEPARTMENT OF CORPORATIONS**

The purpose of this revised Release is to notify the public of the offices of the Department of Corporations and to specify the particular offices where documents should be filed.

As indicated below, certain applications and notices should be filed with particular offices to ensure expeditious handling.

**Please check for the appropriate filing address before mailing your particular filing to the Department.**

**CALIFORNIA DEFERRED DEPOSIT TRANSACTION LAW**

All applications required under the California Deferred Deposit Transaction Law should be filed in the **Los Angeles Office**.

**CAPITAL ACCESS COMPANY LAW**

All applications, notices or forms under the Capital Access Company Law should be filed in the **Sacramento Office**.

**CORPORATE SECURITIES LAW OF 1968**

A notice pursuant to Corporations Code Section 25103(h) should be filed in the **Los Angeles Office** of the Department.

An application for a license as a broker-dealer or an investment adviser should be filed in the **Sacramento Office** of the Department. A report of employment (Form U-4) of an agent by a broker-dealer should be filed with the Central Registration Depository ("CRD"). For SEC-registered investment advisers, a report of employment (Form U-4) of an investment adviser representative should be filed with CRD. For State-licensed investment advisers filing with the Investment Adviser Registration Depository ("IARD"), a report of employment (Form U-4) of an

investment adviser representative or associated person should be filed with CRD. For all other State-licensed investment advisers, a report of employment (Form U-4) of an investment adviser representative or associated person should be filed with the Department's office (listed below) nearest to the investment adviser.

A notice pursuant to Commissioner's Rules 260.105.33 or 260.105.34 (transaction involving senior-to-listed or designated securities and rated debt securities, respectively) may be filed in **any office of the Department listed below.**

#### FRANCHISE INVESTMENT LAW

A notice pursuant to Corporations Code Section 31101(d) or 31108(f) may be filed in **any office of the Department listed below.**

#### FINANCIAL SERVICES LAWS

Applications required by the California Finance Lenders Law, the California Residential Mortgage Lending Act, the Check Sellers, Bill Payers and Prorators Law, and the Escrow Law should be filed in the **Los Angeles Office** of the Department.

Notices filed under Financial Code Section 12104 (nonprofit consumer credit counseling entities) should be filed in the **Sacramento Office to the attention of "Program Support."**

#### OTHER LAWS

Applications required by the Securities Depositories Law should be filed in the **Los Angeles Office** of the Department.

The Commissioner may transfer any application or notice filed in one office of the Department to another office of the Department for the Commissioner's convenience or for the convenience of the filing party.

The offices of the Department are located at the following addresses:

320 West 4<sup>th</sup> Street, Suite 750  
Los Angeles, CA 90013-2344  
Telephone: (213) 576-7500

71 Stevenson Street, Suite 2100  
San Francisco, CA 94105-2980  
Telephone: (415) 972-8559

1515 K Street, Suite 200  
Sacramento, CA 95814-4017  
Telephone: (916) 445-7205

**Applications and notices required by any of the laws administered by the California Corporations Commissioner are validly filed when received in any of the offices of the Department.**

ADDITIONAL INFORMATION

Additional information concerning the Department's laws and programs is available by accessing the Department's website at [www.corp.ca.gov](http://www.corp.ca.gov). or by contacting the Department's toll free number at 1-866-275-2677 (866-ASK-CORP).

WILLIAM P. WOOD  
California Corporations Commissioner

By \_\_\_\_\_  
TIMOTHY L. Le BAS  
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(916) 322-3553