

# Securities & Franchise Filings Search

California Department of  
Financial Protection and Innovation

**PROTECTING CONSUMERS**  
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**DFPI**   
DEPARTMENT OF FINANCIAL  
PROTECTION & INNOVATION

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# 1. Overview

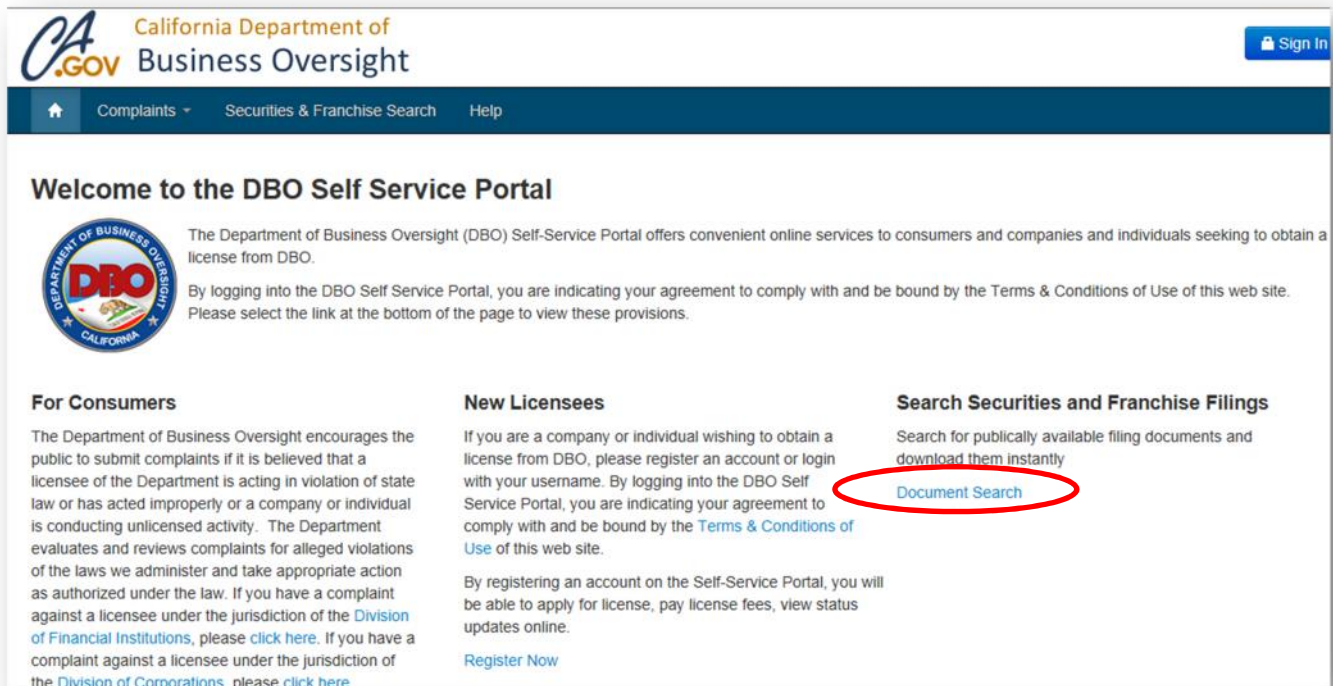
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The DFPI Self Service Portal provides the public with the ability to search a repository of all public filing documents related to securities and franchise filings that have been submitted to DFPI. Each filing document is stored as a PDF file, and is available for the public to view and/or download.

## 2. Searching for Securities/Franchise Filings

### Steps to Complete Process

1. With the Portal being open to the homepage, click on the hyperlink “Document Search” under the Securities & Franchise Filing Search description on the right side of the screen.



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2. Enter the search criteria and then click the “Search” button.

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## Search

Q&R Application Type:  ▾

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Filing Received From:  To:

Legal Name:

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3. Click on the hyperlink for the Business/Organization the document is associated with.

## Search

Q&R Application Type:  ▾

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Legal Name:

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Legal Name	Application/Notice Type	Filing Type	Received Date
<b>Trinity Technology Group</b>	Material Modification	Initial	06/17/2014
<a href="#">VANGUARD CAPITAL</a>	Material Modification	Initial	06/12/2014
<a href="#">asghar corporation</a>	Negotiating Permit	Initial	01/01/0001
<a href="#">Franchise, Inc.</a>	Negotiating Permit	Initial	01/01/0001
<a href="#">ACCORD CAPITAL PARTNERS LLC</a>	Negotiating Permit	Initial	01/01/0001
<a href="#">asghar corporation</a>	Non-Issuer Notification	Initial	01/01/0001

4. Click on the hyperlink of the document to open and review it. The PDF document can be saved to your computer and/or printed from your web browser.

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## Documents List

Document Title	Received Date
<a href="#">Application Transmittal letter</a>	03/28/2013
<a href="#">Application Filing Form</a>	03/28/2013
<a href="#">Consent to Service of Process</a>	03/28/2013
<a href="#">Franchise Disclosure Document</a>	03/28/2013
<a href="#">Order and Letter</a>	04/12/2013

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