

# Submit and Pay for Filings and Applications

California Department of  
Financial Protection and Innovation

**PROTECTING CONSUMERS**  
FOSTERING TRUST & INNOVATION

**DFPI**   
DEPARTMENT OF FINANCIAL  
PROTECTION & INNOVATION

# Table of Contents

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- 1. Overview ..... 3
- 2. File a Notice..... 4
- 3. File an Application..... 10

# 1. Overview

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The Self-Service Portal allows users to submit credit card payments for securities and franchise related filing fees. At the completion of an application or filing, a fee, if required will be calculated and displayed to you. Upon proceeding to submit payment, the user will be taken to a separate payment processing service (PayPoint) for the actual payment transaction. Upon completion of the payment, the user is returned to the self-service portal, and will receive an email receipt of the transaction at the address specified in the user's profile.

Please note that credit card information is not stored in the self-service portal. Credit card information is entered only within the payment processing service site and is not retained.

At this time, only securities and franchise notices/application fees can be paid online. For financial services applications, please submit application fees via check to the address posted on the form.

## 2. File a Notice

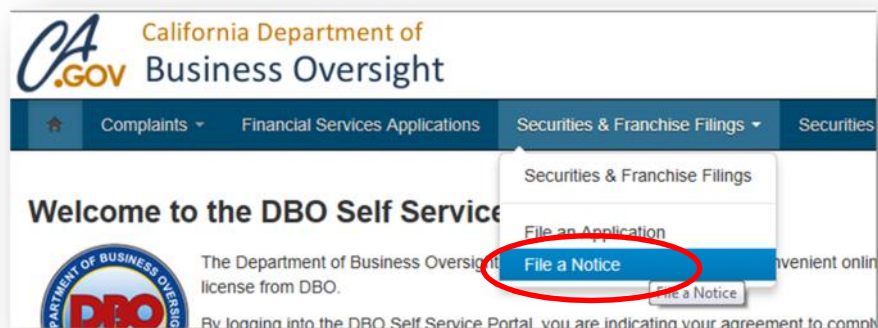
Users are able to file many different notices (listed below). The process for filing each notice is the same which means that one tutorial is shown for filing a notice, but similar steps are used for each type of notice.

Securities and Franchise notices that can be filed through the DFPI Self-Service Portal are:

- Franchise Notice of Exemption
- Notice of a Transaction Exempt Under Corporations
- Request for Designation
- Note, Draft, Bill of Exchange or Banker's Acceptance
- NF Notice and NF Amendment-Investment Corporation
- Limited Offer Exemption Notices (LOEN)
- Notice of Issuance
- Qualified Purchasers Notice – 1<sup>st</sup> Notice
- Qualified Purchasers Notice – 2<sup>nd</sup> Notice
- EPEN
- Notice of Exchange Transaction
- Senior to Listed Securities
- Notice –Rule 506
- Qualified Purchaser 25102.1(n)

### Steps to Complete Process

1. Log into the portal.  
With the Portal being open to the homepage, click on "File a Notice" from the Securities & Franchise Filings menu at the top of the screen.



2. Click on the hyperlink either for “Securities Notices” or “Franchise Notices”. Click on the hyperlink of the notice that is to be filed. In this example, the “Franchise Notice of Exemption” is selected.



3. Enter the filing information and then click the “Next” button to continue filling out details related to that filing. Fields marked with a red asterisk are required in order to save the information on the page and move forward. Continue through each screen, filling out required information for the filing.

A screenshot of the 'Franchise Notice of Exemption' form on the California Department of Business Oversight website. The form is titled 'Franchise Notice of Exemption' and includes a link to 'Click here to view Filing Instructions'. The form fields are: 'App ID' (text input), 'Section Code \*' (text input), 'Type of Notice \*' (dropdown menu with 'Franchise Notice of Exemption' selected), 'Date Received' (calendar icon), and 'Type of Filing \*' (dropdown menu). A red box highlights the entire form area. Below the form, the 'Next' button is circled in red.

4. Some filings require definition of a Subfranchisor. If the filer is a Subfranchisor, mark the checkbox and then click the “Next” button.

A screenshot of the 'Franchise Notice of Exemption' form on the California Department of Business Oversight website. The form is titled 'Franchise Notice of Exemption' and includes a breadcrumb trail: 'Home / File a Notice / Franchise Notice of Exemption'. Below the title, it says 'Current organization: bcb corporation unit'. A red box highlights a checkbox labeled 'If FILER is a SUBFRANCHISOR, Please select a FRANCHISOR'. The checkbox is checked. Below the checkbox, there are 'Previous' and 'Next' buttons. The 'Next' button is circled in red.

5. Enter any regular or agent contacts you need to add by clicking the “Lookup for a Contact” button.

Home / File a Notice / Franchise Notice of Exemption

## Franchise Notice of Exemption

Please enter any regular or agent contacts you need to add

**Lookup for a Contact**

### List of Contacts

No contacts selected

6. Select the names of the contact to be added by clicking on their first name.

Home / Contacts

## Contacts

First Name	Last Name	Phone	Name ↓
CESAR	MOYA		<input type="button" value="i"/>
KATHERINE	SIINO		<input type="button" value="i"/>
			<input type="button" value="i"/>
KRISTINE	A.		<input type="button" value="i"/>
Christopher	DiTata		<input type="button" value="i"/>
<b>Enk</b>	Moberg		<input type="button" value="i"/>
Ailyn	Cabico		<input type="button" value="i"/>
Paul	King		<input type="button" value="i"/>
Jessica	Crawford		<input type="button" value="i"/>
Christina	Hamilton		<input type="button" value="i"/>

« < 1 2 3 4 5 6 7 8 > »

7. Repeat steps 6 & 7 until all desired contacts are listed and then click the “Next” button.

Home / File a Notice / Franchise Notice of Exemption

## Franchise Notice of Exemption

Please enter any regular or agent contacts you need to add

### List of Contacts

	Name	First Name	Last Name	Business Phone	Email
<a href="#">Remove</a>	CESAR	MOYA	310-443-9000		
<a href="#">Remove</a>	Erik	Moberg			bkrdlrsvcs@consultant.com

8. Some filings require the upload of supporting evidentiary documents. If required, the portal will present the user with a screen that includes a list of all required document types. Upload the related documents by clicking “Browse”, selecting the document and then clicking “Open”. Do this for each required document and then click the “Next” button.

NOTE: It is highly recommended that such documents be provided in a **PDF format** whenever possible.

Home / File a Notice / Franchise Notice of Exemption

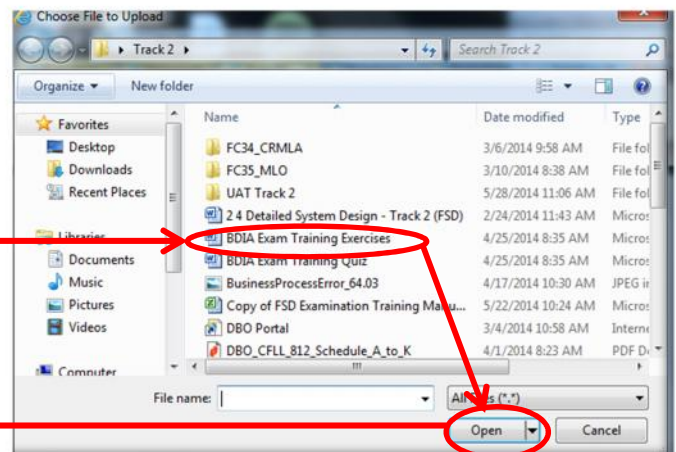
## Franchise Notice of Exemption

Upload related documents:

Corporate Resolution

Power of Attorney

Note: All the documents are required.



9. Every filing or application includes an electronic signature page that requires, at a minimum, the filer's name.

**Signature**

The applicant has duly caused this application to be signed on its behalf by the undersigned, thereunto duly authorized. I certify or declare that I have read this application and the exhibits thereto and know the contents thereof, and that the statements therein are true and correct.

Name \*  Authorized Representative

Title  Executed At (City/State)

Date

[Previous](#) [Next](#)

10. Review the information about the amount to be paid and then click the "Proceed to Payment" button.

[Home](#) / [Securities & Franchise Notices](#) / [Franchise Notice of Exemption - Edit](#)

## Franchise Notice of Exemption - Edit

Based on the chosen Application/Notice Filing type, the amount to be paid is **\$450.00**

*If you wish to request a refund on the fee paid for your securities/franchise notice filing, please direct your written request to the Department of Business Oversight Accounting Office at 1515 K Street, Suite 200, Sacramento, CA 95814. Please enclose a copy of the front & back of your cancelled check. A valid reason for your refund request must be included with your request. If you have any questions or need further information, please contact the Department at our toll free number (866) 275-2677. Staff is available Monday through Friday, 8:00 a.m. to 4:30 p.m.*

[Proceed to Payment](#)



11. Enter payment information and then click the “Pay with Your Credit Card” button.

\*Note: Once you complete this step an email confirmation/receipt will be sent to the email address entered.

The screenshot shows a web page titled "Review Your Order" with a blue header bar. Below the title, it states "Total Amount: USD 450.00". The main section is titled "Pay With Your Credit Card". This section contains a red rectangular box enclosing three input fields: "Cardholder Name", "Credit Card Number", and "Expiry Date (MMYY)". Below these fields are logos for Mastercard, VISA, DISCOVER, and American Express. An "Email" input field is located below the credit card fields. A red oval highlights a button labeled "Pay With Your Credit Card" below the email field. Below the button, a line of text reads "A confirmation email will be sent to this address." Further down, a security notice states: "Your private information is secured using SSL (Secure Sockets Layer), the leading security protocol on the Internet. Information is encrypted and exchanged with an https server. We respect your privacy. We will pass your name, address or e-mail address on only to the merchant." At the bottom right, it says "Secure Payment provided by [First Data Corp.](#)".

### 3. File an Application

Users are able to file several applications (listed below). The process for filing each application is the same which means that only one tutorial is shown for submitting an application, but the same steps are used for each type of application.

Applications that can be filed through the DFPI Self-Service Portal are:

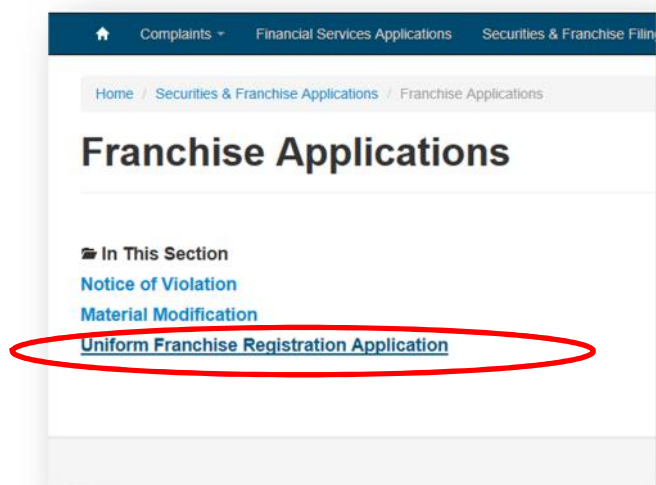
- Uniform Franchise Registration Application
- Non-Issuer Notification
- Removal of Condition
- Repurchase Offer
- Transfer of Securities
- Real Estate Related Information
- Application for Qualification of Offer and Sale of Securities

#### Steps to Complete Process

1. With the Portal being open to the homepage, select “File an Application” from the Securities and Franchise Filings menu at the top of the screen.



2. Select Securities Applications or Franchise Applications, and then click on the hyperlink for the application that is to be submitted. In this example, Uniform Franchise Registration Application has been selected.



3. Enter the initial application information.

Home / Securities & Franchise Applications / Franchise Applications / Uniform Franchise Registration Application

## Uniform Franchise Registration Application

[Click here to view the Filing Instructions](#)

App ID

Section Code \*

Q&R Application Type \*

Q&R Filing Type \*

Date Received

Franchise Registration Expiration Date \*

Next

4. If the filer is a Subfranchisor, mark the checkbox and then click the “Next” button.

Home / Q&R Applications / Uniform Franchise Registration Application

## Uniform Franchise Registration Application

Current organization: bcb corporation unit

☐ If FILER is a SUBFRANCHISOR, Please select a FRANCHISOR

Previous Next

5. Enter any regular or agent contacts you need to add by clicking the “Lookup for a Contact” button.

## Uniform Franchise Registration Application

Please enter any regular or agent contacts you need to add

Lookup for a Contact

### List of Contacts

No contacts selected

6. Select the names of the contact to be added by clicking on their first name.

[Home](#) / [Contacts](#)

## Contacts

First Name Last Name Phone Name ↓

CESAR MOYA

KATHERINE SIINO

KRISTINE A.

Christopher DiTata

Erik Moberg

Ailyn Cabico

Paul King

Jessica Crawford

Christina Hamilton

< 1 2 3 4 5 6 7 8 >

7. Repeat steps 5 & 6 until all contacts have been added and then click the “Next” button.

## Uniform Franchise Registration Application

Please enter any regular or agent contacts you need to add

Lookup for a Contact

### List of Contacts

Name	First Name	Last Name	Business Phone	Email
<a href="#">Remove</a>	Erik	Moberg		bkrdrsvcs@consultant.com

Previous Next

8. Upload the related documents by clicking “Browse”, selecting the document and then clicking “Open”. Do this for each related document and then click the “Next” button.

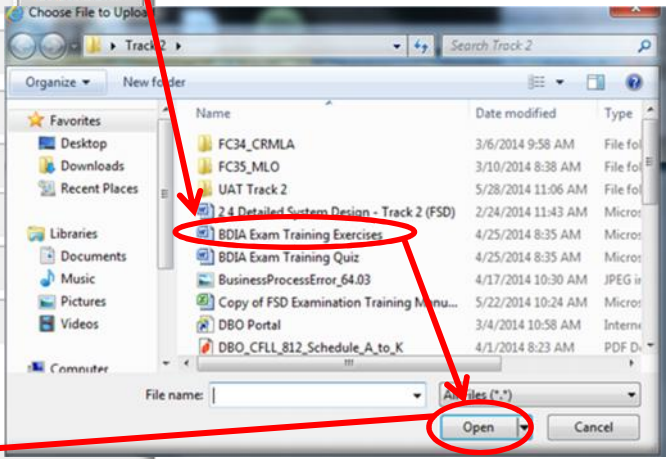
Home / Q&R Applications / Uniform Franchise Registration Application

## Uniform Franchise Registration Application

**Upload related documents:**

Advertising	<input type="text"/>	<input type="button" value="Browse..."/>
Application Transmittal Letter	<input type="text"/>	<input type="button" value="Browse..."/>
Auditor's consent	<input type="text"/>	<input type="button" value="Browse..."/>
Certificate of Compliance with Negotiated Sale-FIL 31109.1	<input type="text"/>	<input type="button" value="Browse..."/>
Certification-Form C	<input type="text"/>	<input type="button" value="Browse..."/>
Comment Letter	<input type="text"/>	<input type="button" value="Browse..."/>
Sales Agent Disclosure Form	<input type="text"/>	<input type="button" value="Browse..."/>
Statement of Undertaking	<input type="text"/>	<input type="button" value="Browse..."/>
Surety Bond	<input type="text"/>	<input type="button" value="Browse..."/>

**Note: All the documents are required.**



The screenshot shows a file explorer window titled 'Choose File to Upload'. The file list includes: FC34\_CRMLA, FC35\_MLO, UAT Track 2, 2.4 Detailed System Design - Track 2 (FSD), BDIA Exam Training Exercises, BDIA Exam Training Quiz, BusinessProcessError\_64.03, Copy of FSD Examination Training Menu..., DBO Portal, and DBO\_CFLI\_812\_Schedule\_A\_to\_K. The file 'BDIA Exam Training Exercises' is selected and circled in red. A red arrow points from the 'Browse...' button in the application to the file explorer window. Another red arrow points from the 'Open' button in the file explorer to the 'Next' button in the application.

9. Complete the signature page and click “Next”

## Uniform Franchise Registration Application

### Signature

The applicant has duly caused this application to be signed on its behalf by the undersigned, thereunto duly authorized. I certify or declare under penalty of perjury that I have read this application and the exhibits thereto and know the contents thereof, and that the statements therein are true and correct. If executed at any place within or without this state: I certify (or declare) under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Name \*

Authorized Representative

Title

Executed At (City/State)

Date

10. Review the information about the amount to be paid and then click the “Proceed to Payment” button.

[Home](#) / [Q&R Applications](#) / Uniform Franchise Registration Application

## Uniform Franchise Registration Application

Based on the chosen Application/Notice Filing type, the amount to be paid is **\$675.00**

*If you wish to request a refund on the fee paid for your securities/franchise notice filing, please direct your written request to the Department of Business Oversight Accounting Office at 1515 K Street, Suite 200, Sacramento, CA 95814. Please enclose a copy of the front & back of your cancelled check. A valid reason for your refund request must be included with your request. If you have any questions or need further information, please contact the Department at our toll free number (866) 275-2677. Staff is available Monday through Friday, 8:00 a.m. to 4:30 p.m.*

[Submit](#)

11. Enter payment information and then click the “Pay with Your Credit Card” button.

\*Note: Once you complete this step, an email confirmation/receipt will be sent to the email address entered.

## Review Your Order

Total Amount: USD 675.00

### Pay With Your Credit Card

Cardholder Name

Credit Card Number

Expiry Date (MMYY)



Email

A confirmation email will be sent to this address.

[Pay With Your Credit Card](#)

Your private information is secured using SSL (Secure Sockets Layer), the leading security protocol on the Internet. Information is encrypted and exchanged with an https server.

We respect your privacy. We will pass your name, address or e-mail address on only to the merchant.

Secure Payment provided by [First Data Corp.](#)