

## **Guide to the DBO Self-Service Portal Registration Process for Securities and Franchise Filers**

The Department of Business Oversight (DBO) Self-Service Portal allows securities **Issuers** and **Franchisors** to submit Securities and Franchise filings electronically. The DBO Self-Service Portal is also sometimes referred to as “DocQNet.”

This guide provides information specific to securities and franchise filers. Do *not* use this guide if you are any other type of filer. Note that this guide uses the term “register” to refer to the process of establishing a Portal account, which should not be confused with franchise registration.

### **Reference Numbers**

#### **Organization Identification Number (Org-ID)**

Each Issuer or Franchisor is assigned a permanent unique identification number known as an “Org-ID.” This number references the Issuer or Franchisor in the DocQNet database. A single Franchisor may have multiple Org-IDs if they offer multiple franchise programs (e.g., one Org-ID is assigned to a unit franchise program and another Org-ID is assigned to a sub-franchisor program and another Org-ID is assigned to an area representative program). A new Org-ID will be assigned if an Issuer or Franchisor reorganizes as a different type of business entity (e.g., reorganizing from a corporation to an LLC).

#### **Application Identification Number (App-ID)**

Each application filed with the DBO will be assigned a unique identification number known as an “App-ID.” This number references a specific application filed and stored in the DocQNet database. For example, Post-Effective Amendments, Renewals, Advertisements, Material Modification, Notices of Violation and Repurchase Offers are all considered separate applications and will each be assigned their own App-IDs.

## Registering a Portal Account

To register an account, navigate to the main DBO Self-Service Portal page at <https://docqnet.dbo.ca.gov/>. Click the “Register Now” link located in the left-hand column.



[Sign In](#)

[Home](#) [Securities & Franchise Search](#) [FAQs](#) [Help](#)

### Welcome to the DBO Self Service Portal



The Department of Business Oversight (DBO) Self-Service Portal offers convenient online services to consumers and companies and individuals seeking to obtain a license from DBO.

By logging into the DBO Self Service Portal, you are indicating your agreement to comply with and be bound by the Terms & Conditions of Use of this web site. Please select the link at the bottom of the page to view these provisions.

#### Licensees, Applicants, Notice Filers

If you are a current DBO licensee, new applicant, or notice filer, please register an account or sign in with your username.

By registering an account on the Self-Service Portal, you will be able to apply for a license, pay license fees, submit an application, file a notice, and view status updates online.

[Register Now](#)

Listing of filings available on portal: [Click Here](#)

#### Search Securities and Franchise Filings

Search for publicly available filing documents and download them instantly

[Document Search](#)

#### Licensee Designated Email Updates

Institutions licensed by the DBO are required to provide and maintain an email account that is designated for communications with the DBO, per the [Commissioner's Order issued November 22, 2013](#). The purpose of the Order is to create rapid, direct communication to an email account that your company will monitor daily.

In order to update your designated email address, you must have a DBO Self-Service Portal Account. If you already have an account, you can sign in above to access the "Designated Emails" portion of your My Account page.

**If do not already have an account, you must register for an account by clicking on the Register Now link and completing the registration form.**

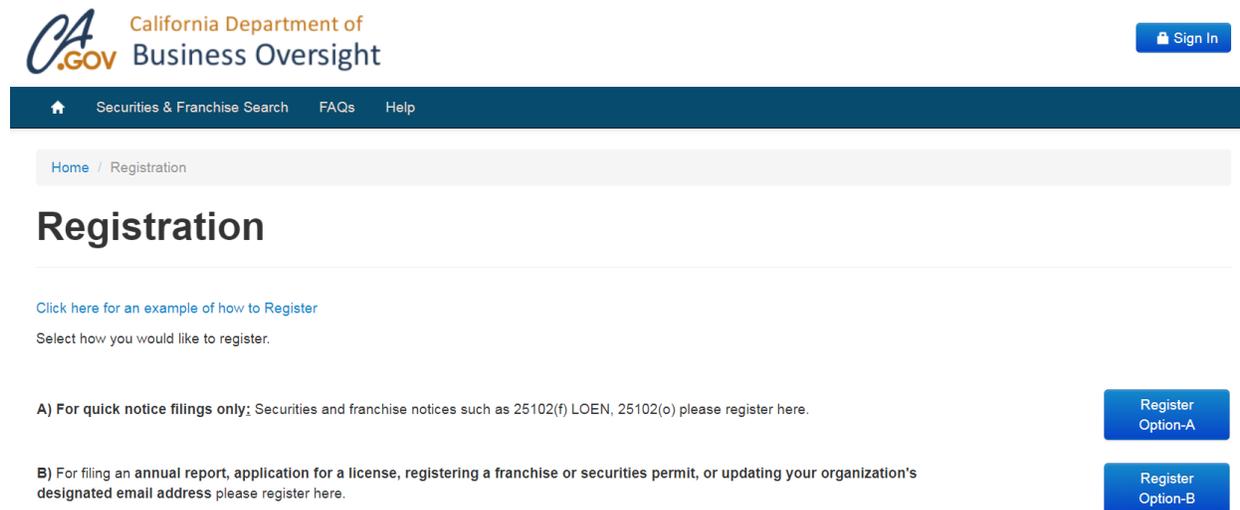
[Register Now](#)

[Designated Email Instructions](#)



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You will be taken to a new registration page that contains two options: “Register Option-A” and “Register Option-B.”



### Option A

Option A accounts are used to submit only **notice** filings. Option A accounts *are not* linked to a specific Issuer, Franchisor, or Org-ID. If you have an Option A account, you can file notices for multiple Issuers and Franchisors without having to create separate accounts for each Issuer or Franchisor. DBO staff will process any notices submitted using Option A accounts and will either create a new Org-ID for the notice or link the notice to an existing Org-ID in the DocQNet database.

In most cases, you would only select Option A if you are a law firm that represents multiple clients or if it's very unlikely you will ever need to file a securities or franchise application.

Option A accounts are active as soon as you receive e-mail confirmation of your Portal registration.

### Option B

Option B accounts can be used to submit both **application** and **notice** filings. Unlike Option A accounts, Option B accounts *are* linked to a specific Org-ID. When you create an Option B account, DBO staff will create a new Org-ID (or link the account to an existing Org-ID if you are an existing filer), and you will only be able to file documents for the Org-ID associated with the account.

You *must* select Option B if you need to file any type of securities or franchise application.

Option B accounts will only become active once approved by DBO staff, which may take 3-5 business days.

**NOTE:** If you represent a single Issuer or Franchisor and believe you will only ever file notices, you can select either option.

## Registering Under Option A

If you select Option A for **notices** only, you will see the following screen:

The screenshot shows the registration page for the California Department of Business Oversight. At the top left is the logo with 'CA .GOV' and the text 'California Department of Business Oversight'. At the top right is a 'Sign In' button. Below the header is a dark blue navigation bar with links for 'Securities & Franchise Search', 'FAQs', and 'Help'. The main heading is 'REGISTRATION'. The form is divided into two sections: 'Authorized Representative' and 'User Information'. The 'Authorized Representative' section includes fields for Law Firm, First name, Last name, Street address 1, Street address 2, City, State (dropdown menu), ZIP/Postal Code, Country (dropdown menu), Email, and Phone. The 'User Information' section includes fields for Username, Password, Confirm Password, Security Question, and Security Answer. A 'Submit Registration' button is located at the bottom of the form.

1. Under “Authorized Representative,” enter the name, business address, telephone number, and e-mail address for the individual you want to designate as the Authorized Representative for all filings submitted under this account. You may enter your law firm’s name if desired.
2. Under “User Information,” enter your desired username, password, and security question and answer.
3. Click “Submit Registration.”
4. You will receive an e-mail confirming your registration, which indicates that your account is active, and you can immediately log in and begin submitting notice filings.

## Registering Under Option B

If you select Option B for **applications** and **notice** filings, you will see the following:



California Department of  
Business Oversight

[Sign In](#)

[Home](#) [Securities & Franchise Search](#) [FAQs](#) [Help](#)

# REGISTRATION

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### Organization Information

\* Denotes required fields

* Organization Legal name (Issuer/Filer/Applicant)	<input type="text"/>	* State of Formation/Incorporation (State of Birth)	<input type="text" value="Please Select"/>
* Date of Formation/Incorporation (Date of Birth)	<input type="text"/>	* TIN (EIN, ITIN, or SSN)	<input type="text"/>
NMLS ID	<input type="text"/>	CRD Number	<input type="text"/>

**Please note: Organization name refers to the applicant, issuer or filer. It is not the authorized representative filing on their behalf.**

* Street address 1	<input type="text"/>	Street address 2	<input type="text"/>
* City	<input type="text"/>	* State	<input type="text" value="California"/>
* ZIP/Postal Code	<input type="text"/> - <input type="text"/>	* Country	<input type="text" value="United States"/>
* Phone	<input type="text"/>		

1. Under “Organization Information,” enter the legal name of the Issuer or Franchisor, *not* the law firm. Select the applicable state of formation/incorporation and enter the date of formation/incorporation of the Issuer or Franchisor. Enter the EIN, address, and phone number of the Issuer or Franchisor.

Has this organization ever filed with the Department of Business Oversight (or with the former Department of Corporations)?

Yes  No

If yes, please enter an Organization ID, license number, file number or package number:

Has this organization ever filed under a previous name?

Yes  No

If yes, please provide previous name(s):

Are you registering to file a Securities/Franchise filing?

Yes  No

Are you a Broker Dealer? Please enter your CRD number above before submitting.

Yes  No

- If you are an **Investment Adviser**, please make your updates through FINRA.

Are you a California Finance Lender?

Yes  No

Are you a California Residential Mortgage Lender?

Yes  No

Are you a Check Seller, Bill Payer, or Prorater?

Yes  No

Are you a Deferred Deposit Originator (commonly known as a Payday Lender)?

Yes  No

Are you an Escrow Agent?

Yes  No

Are you a Student Loan Servicer?

Yes  No

Are you a PACE Program Administrator?

Yes  No

2. If your organization has filed with the DBO previously, answer “Yes” to the questions “Has this organization ever filed with the Department of Business Oversight (or with the former Department of Corporations)?” and “Has this organization ever filed under a previous name?” In the text boxes, provide whatever information you have available about your previous filings, such as prior Org-ID, prior App-ID, or any other identifying information that would assist DBO staff with processing your registration request. **NOTE:** If you are a Franchisor and have previously registered an account to file a franchise registration application for a different franchise program, you may indicate that in either of the two text boxes as well.
3. “Yes” should already be automatically selected for the question “Are you registering to file a Securities/Franchise filing?” We suggest you double check that “Yes” is selected.

Authorized Representative

Representative Company Name (e.g. Law Firm)

4. Under “Authorized Representative,” enter your law firm’s name if desired.

Contact Person

* First name	<input type="text"/>	* Last name	<input type="text"/>
Street address 1	<input type="text"/>	Street address 2	<input type="text"/>
City	<input type="text"/>	State	California ▼
ZIP/Postal Code	<input type="text"/> - <input type="text"/>	Country	United States ▼
* Email	<input type="text"/>		
* Phone	<input type="text"/>		

5. Under “Contact Person,” enter the name, business address, telephone number, and e-mail address of an individual contact person that you want to represent you. If you are a law firm, you should designate an individual contact person at the law firm. If you are a Franchisor/Issuer filing on your own behalf and are not represented by a law firm or do not want to designate your law firm as your Authorized Representative, you should fill out an individual contact person at your company.

## User Information

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\* Username  (You will use this information to access your application or filing.)  
Username should not contain spaces or the ampersand (&) symbol

\* Password   
Must be a minimum of 8 characters and at least one number

\* Confirm Password

\* Security Question  (The Security Question and Answer are used for verification purposes when retrieving a lost password.)

\* Security Answer

[Submit Registration](#)

The Department will process your registration within five business days. If you do not receive a confirmation email by that date, please check your "spam" folder or attempt to log in using the username and password you provided. Please contact toll-free (866) 275-2677 or (916) 327-7585, or email [Ask.DBO@dbo.ca.gov](mailto:Ask.DBO@dbo.ca.gov) with any questions.

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6. Under "User Information," enter your desired username, password, and security question and answer.
7. Click "Submit Registration."
8. You will receive an e-mail confirming your registration in 3-5 business days. Once you receive this e-mail, your account is active, and you can log in and begin submitting applications or notices.

## **Additional Notes Regarding the DBO Portal**

### Uploading Additional Documents

If you have an Option B account, you can use your account to upload supplemental documents or responses to comments (e.g., pre-effective amendments) to an existing application only if you submitted your application electronically initially.

### Submitting Pre-Effective Amendments

If you receive a comment letter from the DBO on a pending application and need to submit a Pre-Effective Amendment, you should log into your account and from the My Account page, locate the "Upload Documents" link on the left-hand side and select the application you want to submit additional documentation for. Do *not* select "File an Application," as doing so will submit your additional documentation as a Post-Effective Amendment. This will cause delays, and you will be charged an unnecessary fee.

### Document Formats

Documents uploaded electronically should be in PDF format only. Do *not* submit Word documents or photographs (e.g., jpeg, png, tiff, etc.). Any documents that are not in PDF format will be deemed "missing."