

APPLICATION FOR AUTHORIZATION TO CHANGE OWNERSHIP

DFPI-EL 326 (Rev. 03-25)



DFPI USE ONLY Fee

Paid \$ _____

BEFORE THE DEPARTMENT OF

Receipt No. _____

FINANCIAL PROTECTION AND INNOVATION

OF THE STATE OF CALIFORNIA

In the Matter of the Application of _____

File No. _____

for authorization in change of ownership

Date _____, 20____

(ANSWER ALL QUESTIONS)

This application is to be filed for stock and ownership change of 10% or more and must be accompanied by a filing fee of \$625.00 and an investigation fee of \$100.00 (Section 17213 and Section 17207, Financial Code).

In pursuance of, and in compliance with the provisions of the Escrow Law and for the purposes in said Law set forth, the undersigned corporation with offices located at

(a) PRINCIPAL OFFICE:

(Number and Street) (City) (Zip Code) (County)

(b) ADDITIONAL LOCATIONS PRESENTLY LICENSED:

(Attach list as an Exhibit if space is not sufficient)

hereby applies to the Commissioner of Financial Protection and Innovation for authorization for a change in ownership, and for the purpose of securing same applicant makes the foregoing and following sworn statements of fact:

1. (a) Date of Incorporation: _____

(b) State of Incorporation: _____

Place an asterisk after the name of each new person named in paragraphs 2, 3, 4 and 5.

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2. Names of proposed officers and directors after the change of ownership:

Full first and middle names MUST be given; if no middle name, please so indicate.
(Attach list as Exhibit if space is insufficient)

President: _____

Vice President: _____

Secretary: _____

Treasurer: _____

Other Officers (If any): _____

Directors: _____

3. Names of proposed stockholders after the change of ownership:
(Attach list as Exhibit if space is insufficient)

4. Name of person proposed as manager after the change of ownership and claiming the qualifications of Financial Code("FC") Section 17200.8 is:

5. The following officers, directors, stockholders and employees are to be stationed at the licensed location after the change of ownership.

Full first and middle names must be
given; if no middle
name, please so indicate

Position or Title

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6. Any and all attachments, exhibits, materials, or information supplied at the request of the Commissioner of Financial Protection and Innovation, at any time, are incorporated into and made part of this application as if fully set forth therein.
- (a) Exhibit_____. A Statement of Identity and Questionnaire, (FS512 SIQ) each person named in paragraphs 2, 3, and 4.
- (b) Exhibit_____. A Statement of Identity and Employment Application (EL 17419) from each person who is not required to file FS 512 SIQ in paragraph 5 above.
- (c) Exhibit_____. A Notice of Officers, Directors, Trustees, Employees or Other Persons Directly or Indirectly Compensated by Escrow Agents (EL 1726) and fingerprint cards for each person named in paragraphs 2, 3, 4 and 5. The appropriate fee as described in EL 1726 must accompany the application.
- (d) Exhibit_____. An affidavit for each person named in paragraphs 2, 3, and 4. See attached Affidavit form.
- (e) Exhibit_____ .An Escrow Agent Manager Questionnaire(EL 330) indicating that the proposed manager named in paragraph 4 has met the qualifications of FC Section 17200.8. If the proposed manager has been previously approved by the Department of Financial Protection and Innovation also submit a copy of the letter approving the manager.
- (f) Exhibit_____. Financial statements prepared in accordance with generally accepted accounting principles in compliance with Section 1741.5 of the California Code of Regulations (Title 10) and FC Section 17210.
- (If the financial statements submitted with this application are dated more than six months from the date of filing and/or applicant does not meet the financial requirements of FC Section 17210, interim financial statements dated not more than sixty days from the date of filing will be required. The interim financial statements may be unaudited.)
- (g) Exhibit_____ A "Customer Authorization of Disclosure of Financial Records" form (LE 500.262), completed and signed by an owner or an officer or director.

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All materials submitted in connection with the application will be considered public information unless confidential treatment is requested pursuant to Section 250.10, Title 10, California Code of Regulations, and the confidential treatment is confirmed in writing by this Department.

Wherefore, applicant requests that an authorization for a change of ownership be granted by the Commissioner authorizing applicant to engage in business pursuant to the provisions of the Escrow Law.

I certify (or declare) under penalty of perjury that I have read the foregoing application, including all exhibits attached, or filed therewith, and know the contents thereof, and that the statements therein are true and correct of my own knowledge.

Executed at _____, California _____, 20____

(Signature - Purchaser)

(Signature - Seller)

(Name)

(Name)

(Title)

(Title)

NOTE: If executed outside the State of California, attach a verification executed and sworn to before a Notary Public. A proposed officer of the purchaser and an officer of the seller must sign this application.

Please indicate the name, address and telephone of the person who should be contacted for information regarding this application.

Name: _____

Address: _____

Telephone: _____
(Area Code)

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DFPI's Privacy Notice on Collection

DFPI Collects and Uses Personal Information: The DFPI collects the information requested on this form as authorized by the California Financial Code section 17213(b). The DFPI uses this information to make a determination that the applicant meets the specified requirements for transfer of ownership. Use of the personal Information DFPI collects is subject to limitations contained in the Information Practices Act of 1977 and other applicable state and federal laws.

Providing Personal Information Is Voluntary: *[If voluntary]* You do not have to provide the personal information requested. If you do not want to provide personal information, such as your name, home address or home telephone number, you may remain anonymous. However, we may not be able to contact you or help resolve your issue.

When providing information or documents, please do not include unrequested personal information such as a Social Security number, driver's license number, or financial information.

DFPI May Disclose Your Personal Information: We may share your personal information with the Department of Justice's Identification and Information Branch, other federal, state or local law enforcement agencies or a self-regulatory organization as authorized by law. Your personal information may also be disclosed:

- In response to a Public Records Act request, as allowed by the Information Practices Act.
- To another governmental agency as required by state or federal law.
- In response to a court order or administrative order, a subpoena or a search warrant.

Your Access to Your Personal Information: You may review the records maintained by DFPI that contain your personal information. To request access, contact: DFPI Privacy Officer, 651 Bannon Street, Suite 300, Sacramento, CA 95811, (866) 275-2677.