DOCQNET Project

Submit and Pay for Filings and Applications

CA Department of Business Oversight

Version 2.0

(6/18/2014)

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1. Overview

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.

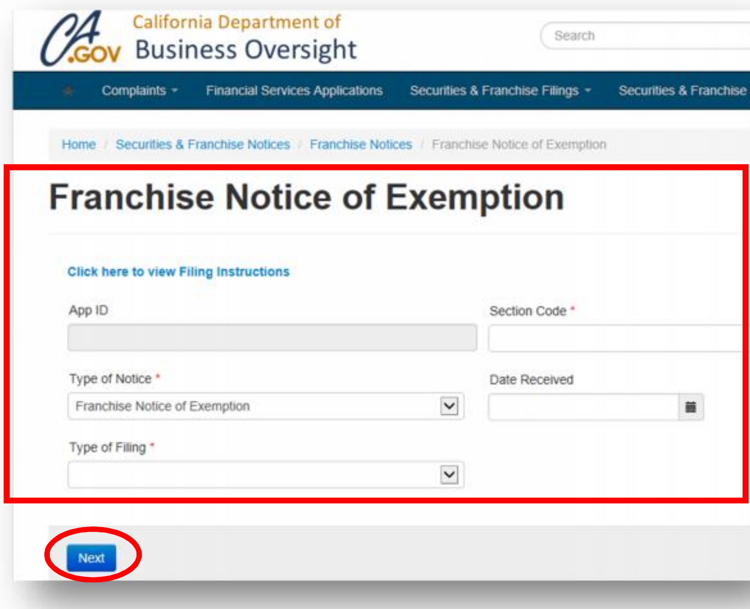
Securities and Franchise notices that can be filed through the DBO Self-Service Portal are:

- 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^{st} Notice
- Qualified Purchasers Notice – 2^{nd} Notice
- EPEN
- Notice of Exchange Transaction
- Senior to Listed Securities
- Notice –Rule 506
- Qualified Purchaser 25102.1(n)

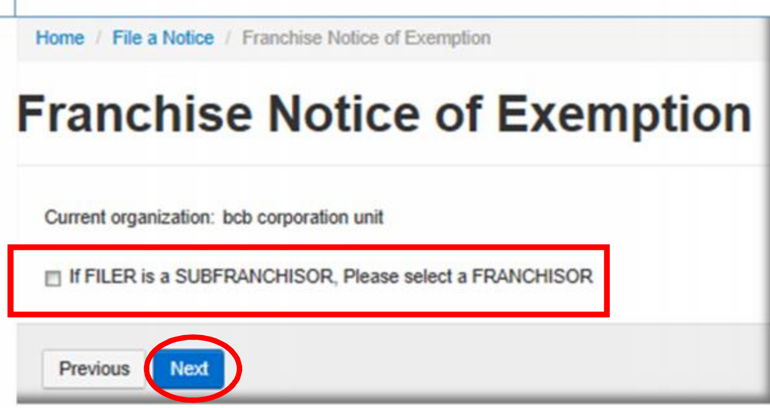
Steps to Complete Process	
1. Log into the portal. With the Portal being open to the homepage, click on "File a Notice" from the Securities & Franchise Filings menu at the top of the screen.	

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.

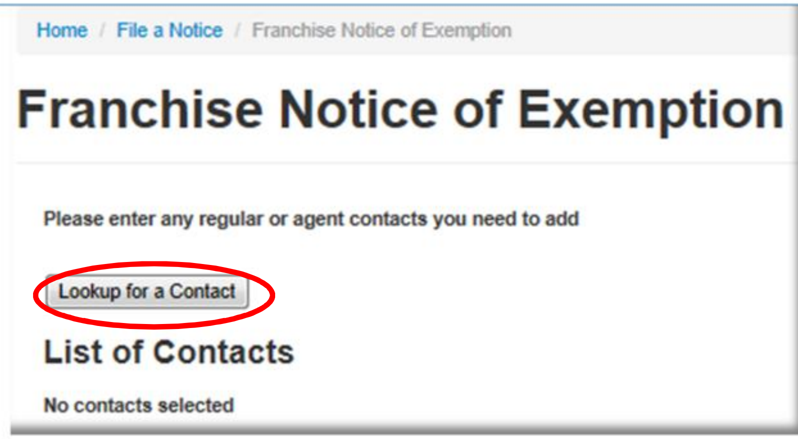
3. Enter the filing information and then click the “Next” button to continue filling out details related to that filing. Fields marked with a red asterisk are required in order to save the information on the page and move forward. Continue through each screen, filling out required information for the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



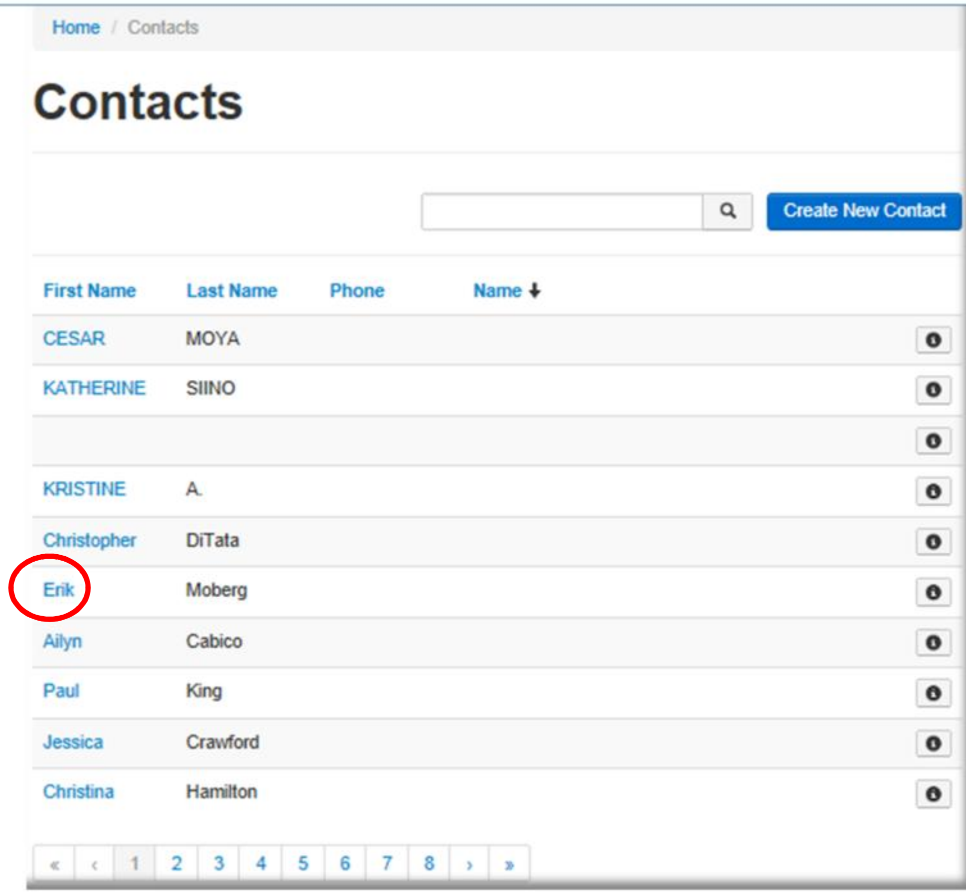
4. Some filings require definition of a Subfranchisor. If the filer is a Subfranchisor, mark the checkbox and then click the “Next” button.



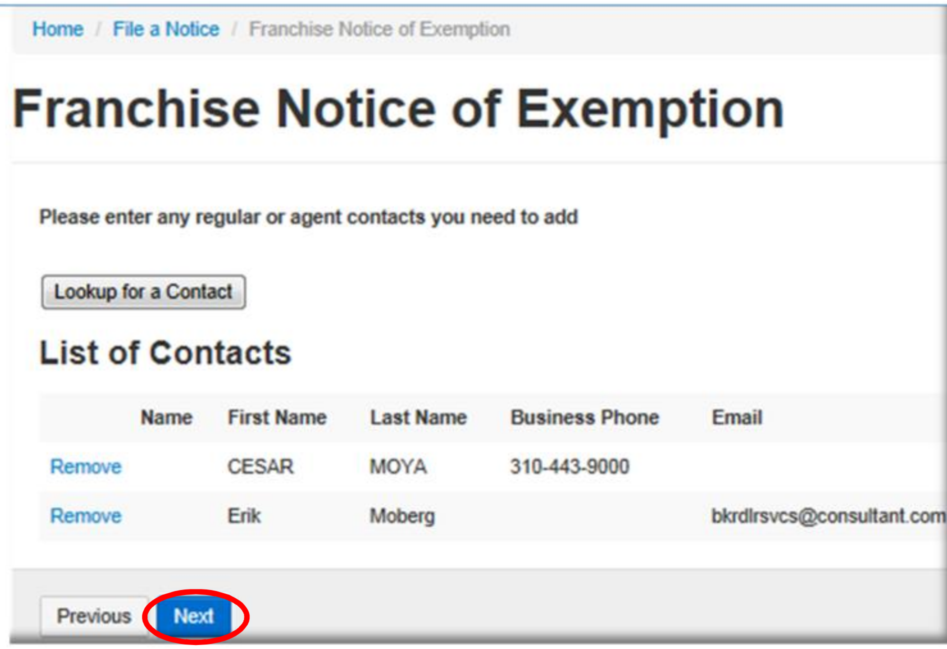
5. Enter any regular or agent contacts you need to add by clicking the “Lookup for a Contact” button.



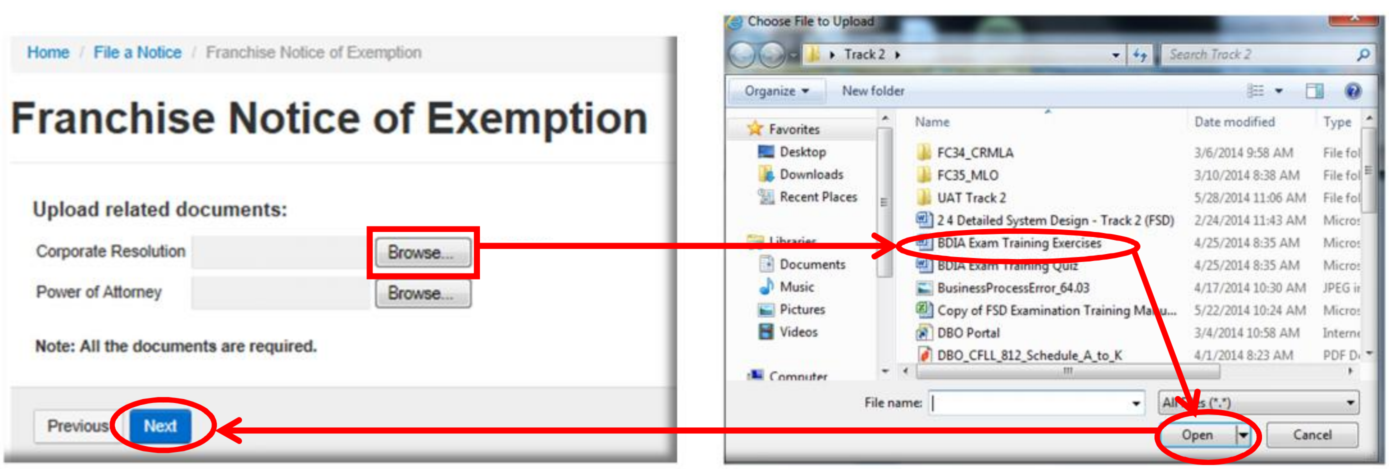
6. Select the names of the contact to be added by clicking on their first name.

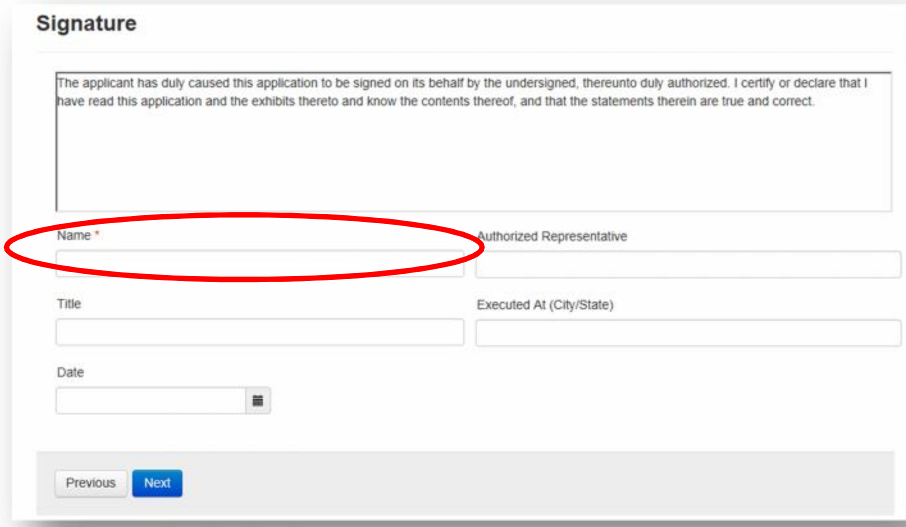


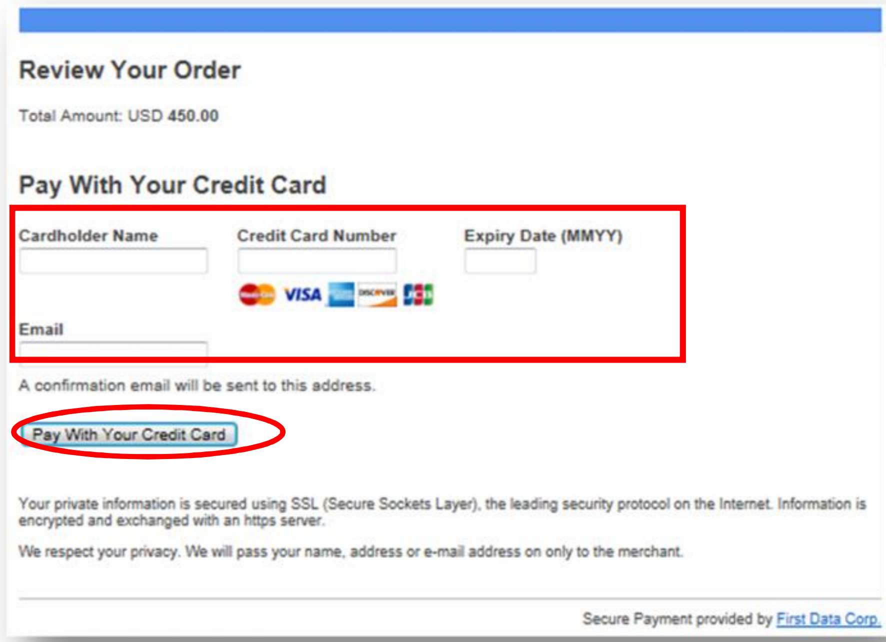
7. Repeat steps 6 & 7 until all desired contacts are listed and then click the “Next” button.



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.



9. Every filing or application includes an electronic signature page that requires, at a minimum, the filer's name.	
10. Review the information about the amount to be paid and then click the "Proceed to Payment" button.	

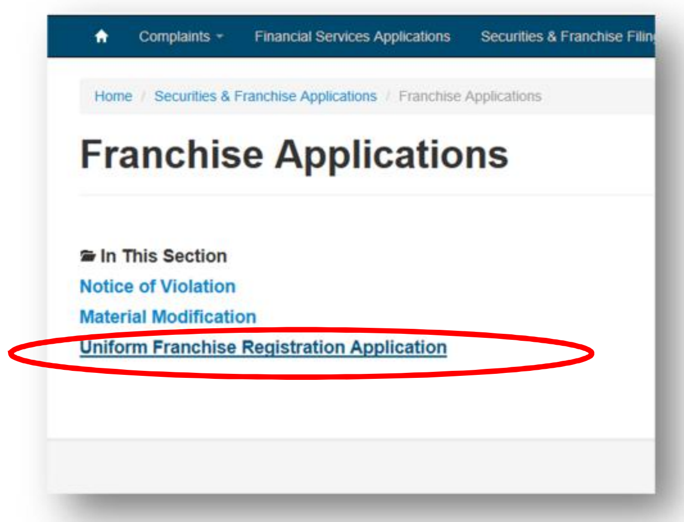
11. Enter payment information and then click the “Pay with Your Credit Card” button. *Note: Once you complete this step an email confirmation/receipt will be sent to the email address entered.	

3. File an Application

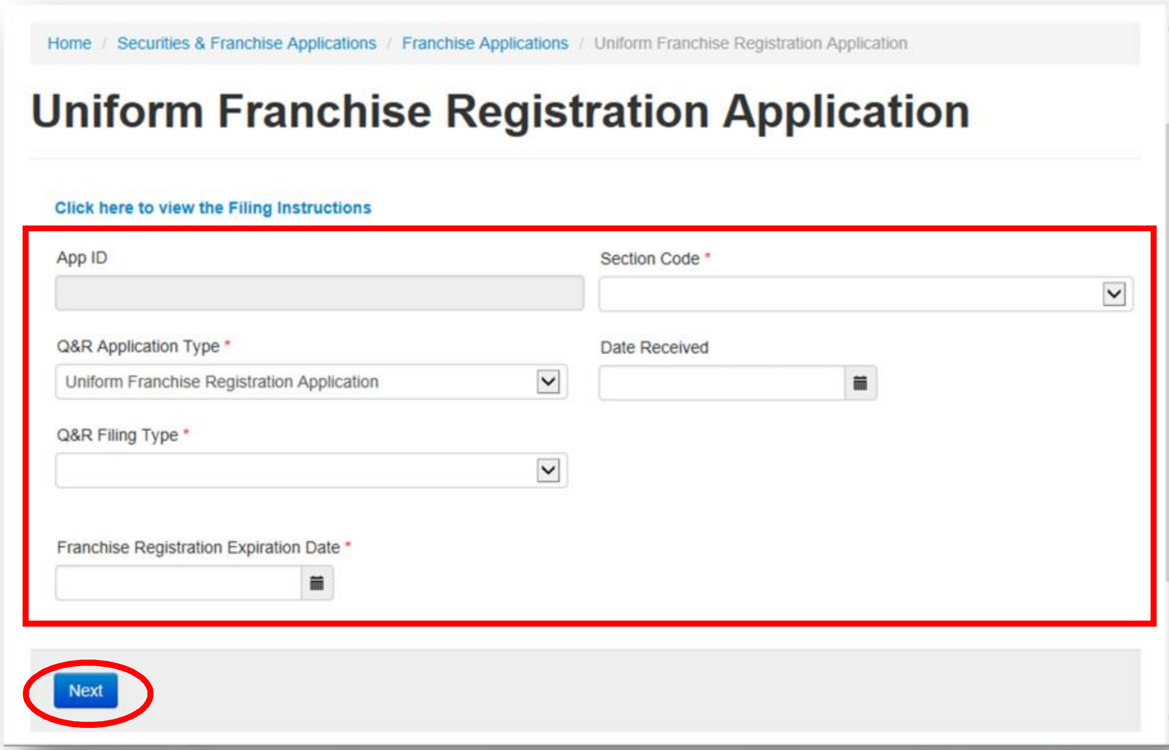
Users are able to file several applications (listed below). The process for filing each application is the same which means that only one tutorial is shown for submitting an application, but the same steps are used for each type of application.

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

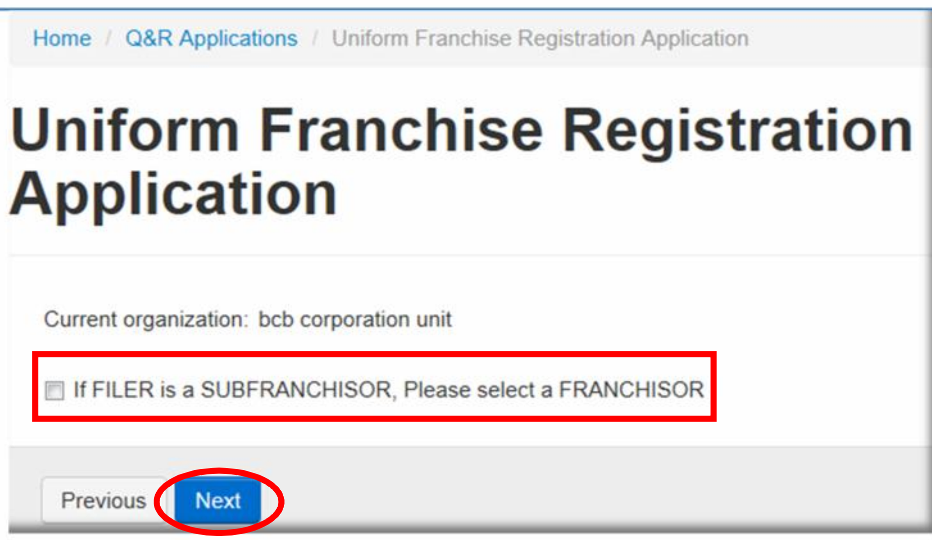
- Uniform Franhcise Registration Application
- Non-Issuer Notification
- Removal of Condition
- Repurchase Offer
- Transfer of Securities
- Real Estate Related Information
- Application for Qualification of Offer and Sale of Securities

<table>
<tr><th colspan="2">Steps to Complete Process</th></tr>
<tr><td>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.</td><td>
</td></tr>
<tr><td>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.</td><td>
</td></tr>
</table>

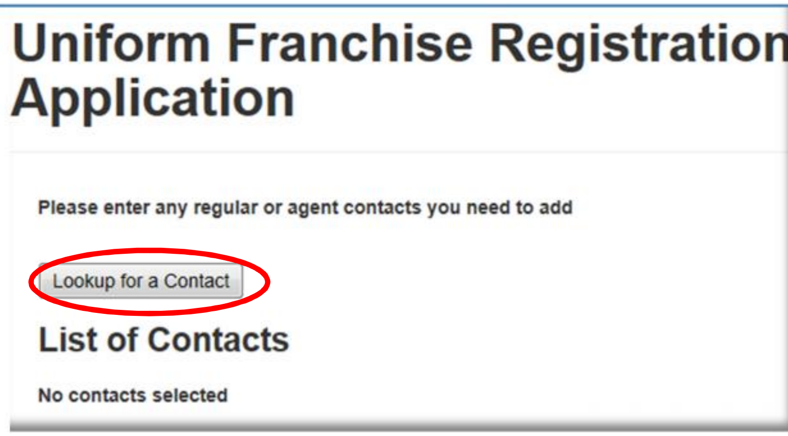
3. Enter the initial application information.



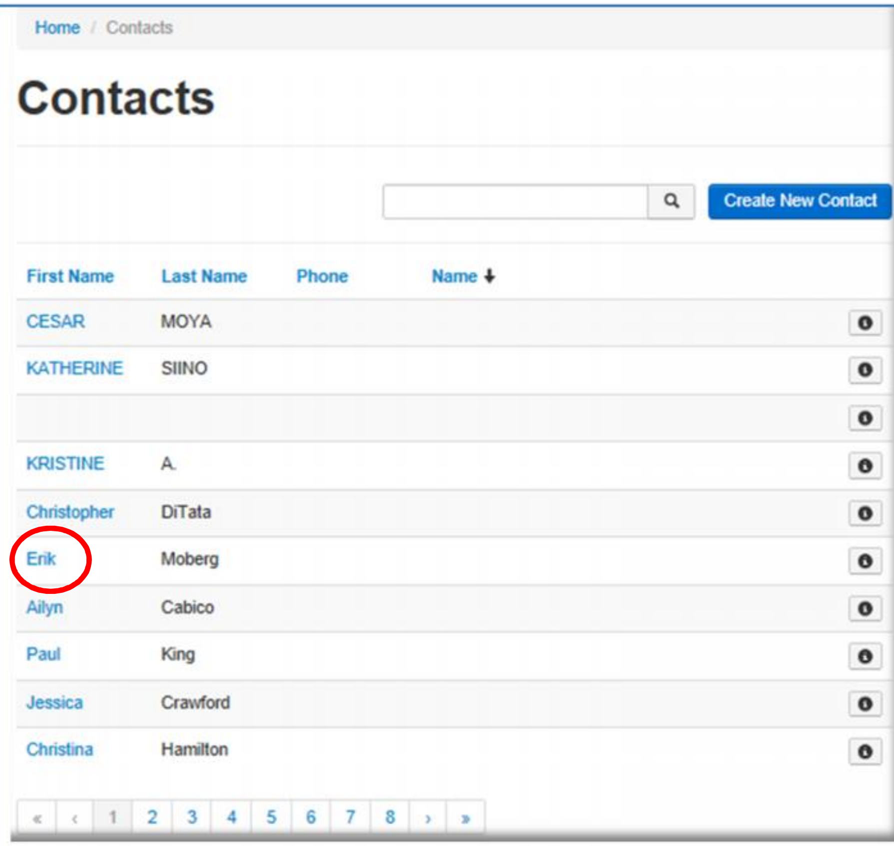
4. If the filer is a Subfranchisor, mark the checkbox and then click the “Next” button.



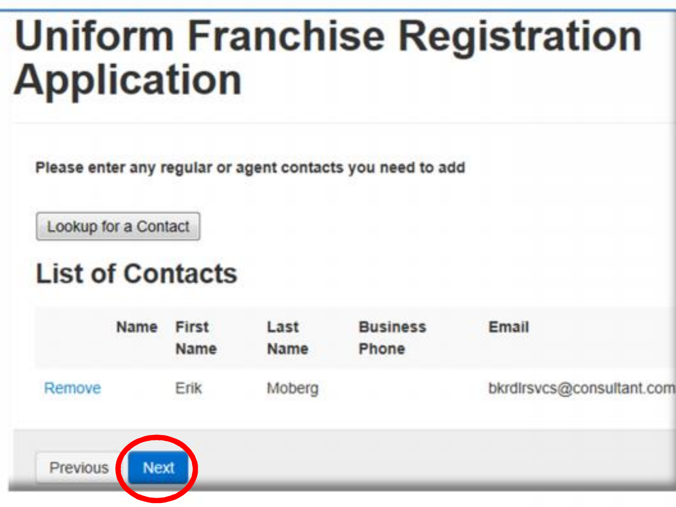
5. Enter any regular or agent contacts you need to add by clicking the “Lookup for a Contact” button.



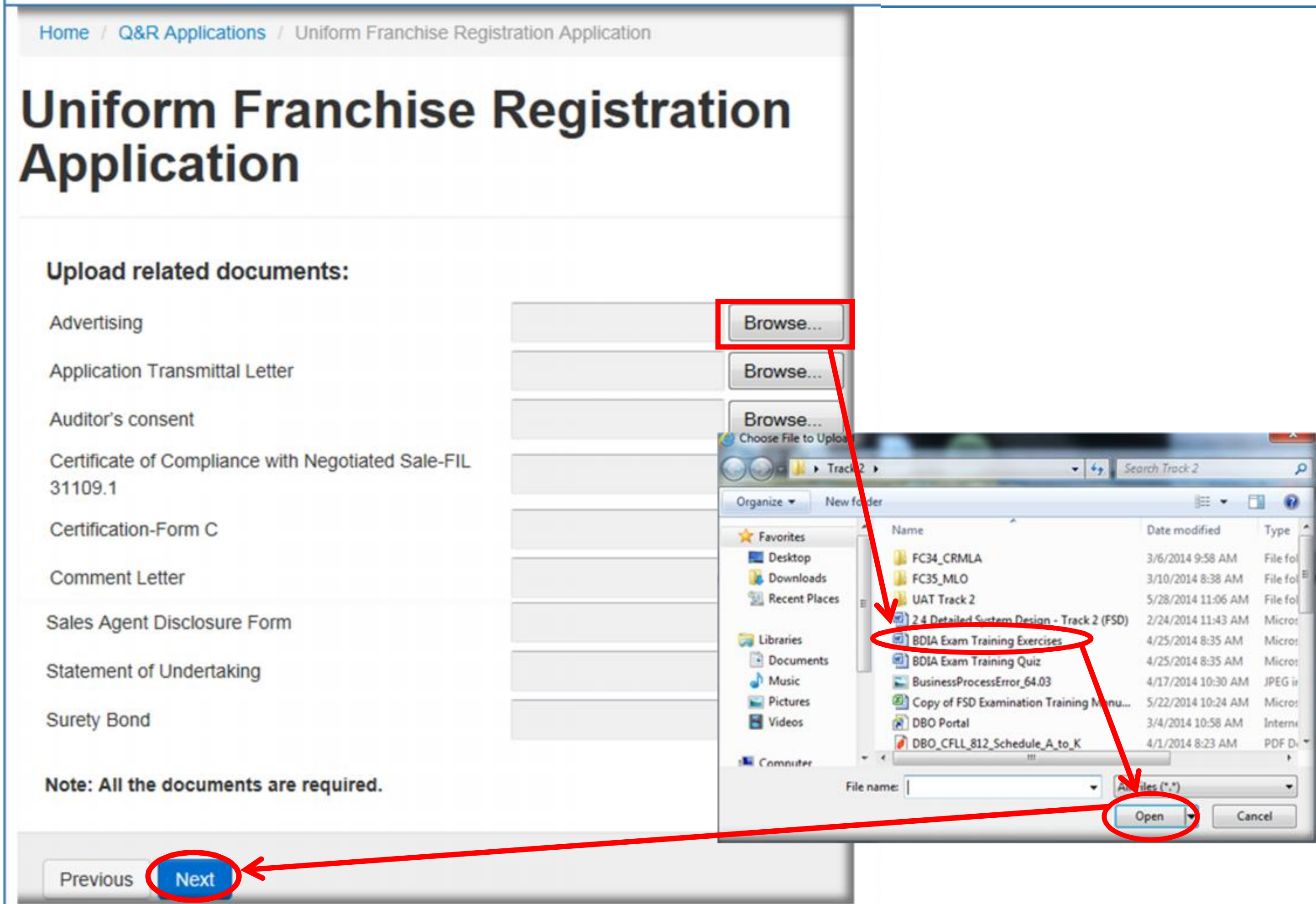
6. Select the names of the contact to be added by clicking on their first name.



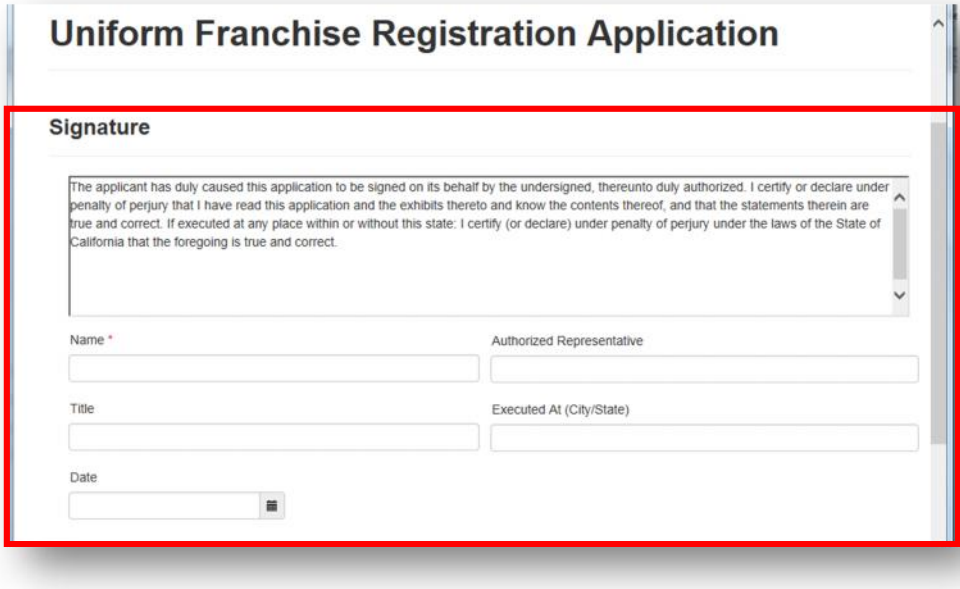
7. Repeat steps 5 & 6 until all contacts have been added and then click the “Next” button.



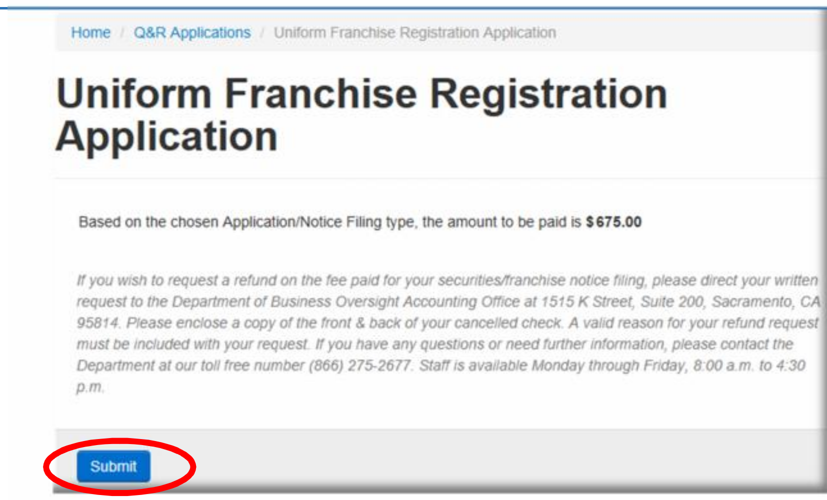
8. Upload the related documents by clicking “Browse”, selecting the document and then clicking “Open”. Do this for each related document and then click the “Next” button.



9. Complete the signature page and click “Next”

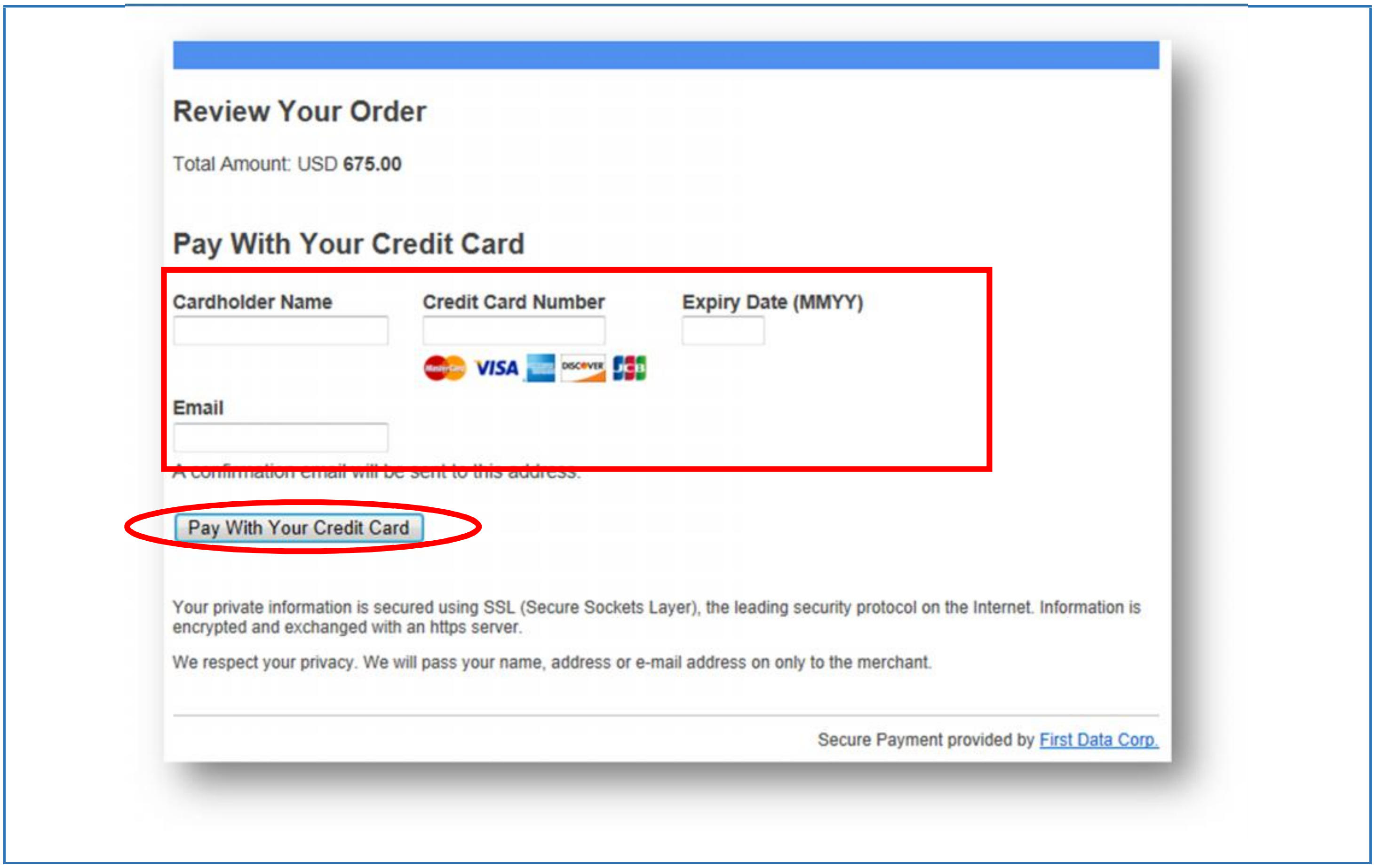


10. Review the information about the amount to be paid and then click the "Proceed to Payment" button.



11. Enter payment information and then click the "Pay withYour 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)
VISA
DISCOVER
JCB
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.