# DOCQNET Project

# Account Creation & Maintenance

## CA Department of Business Oversight

Version 2.0

(6/18/2014)

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# 1. Overview

The Department of Business Oversight Self-Service Portal allows for prospective and current licensees and filers to register for an online account and conduct a variety of transactions electronically, including:

- Applying for financial services licenses
- Submitting securities/franchise applications and notices
- Submitting online payments for securities/franchise filing transactions
- Uploading supporting documentation

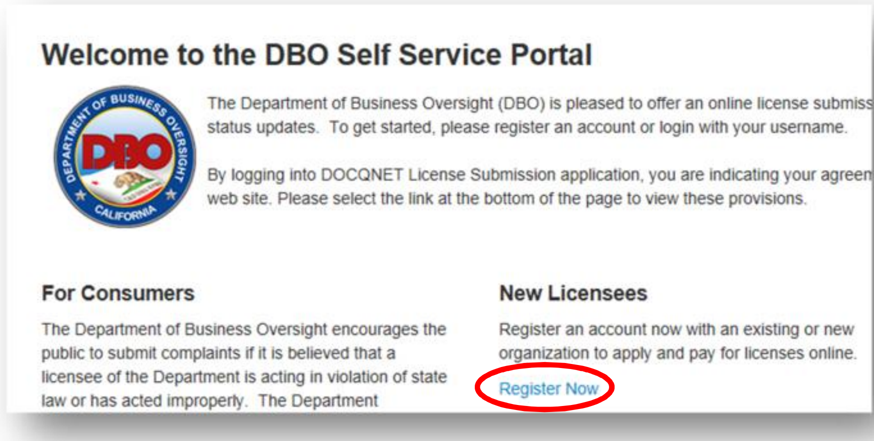
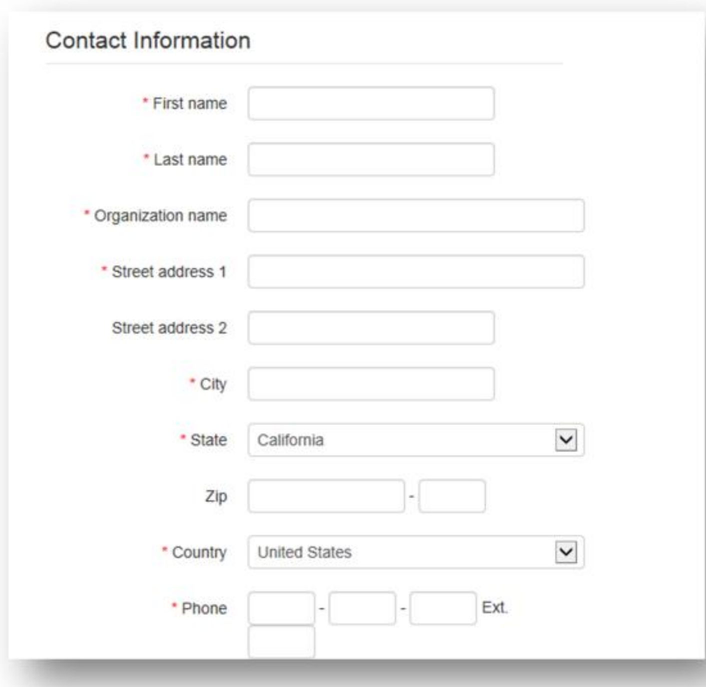
To access these features, the Portal has an account registration and maintenance function that allows for secure access to an organization's data. When users register, they are registering for access to a single organization. Multiple users are allowed to register for access to a single organization.

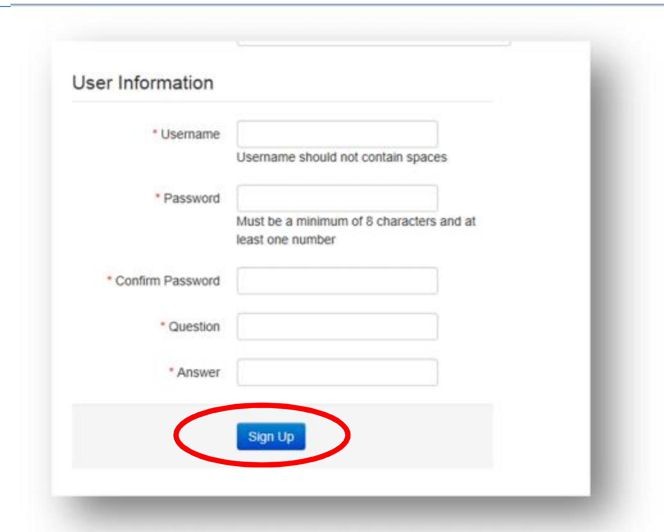
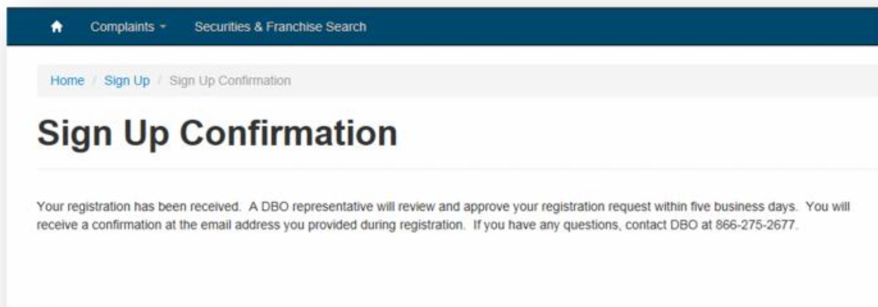
The current registration process requires that DBO program staff review the registration to confirm if the requested organization already exists in the system. This allows DBO to "link" users to existing organizations. If it is a new organization (e.g. a prospective licensee applying for a new license), then DBO program staff will create an organization record in the system, at which point your account will be activated and ready for access to that new organization account

The account maintenance function includes the ability to see all past and current transactions, allowing users to return to applications or filings that are in-progress. This includes the ability to upload supporting documentation that is requested as part of DBO's review of the application and/or filing.

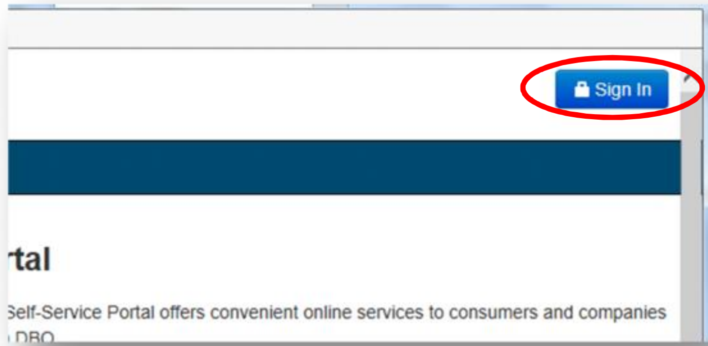
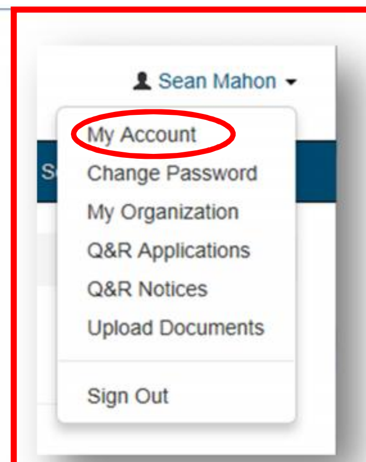
# 2. Account Management

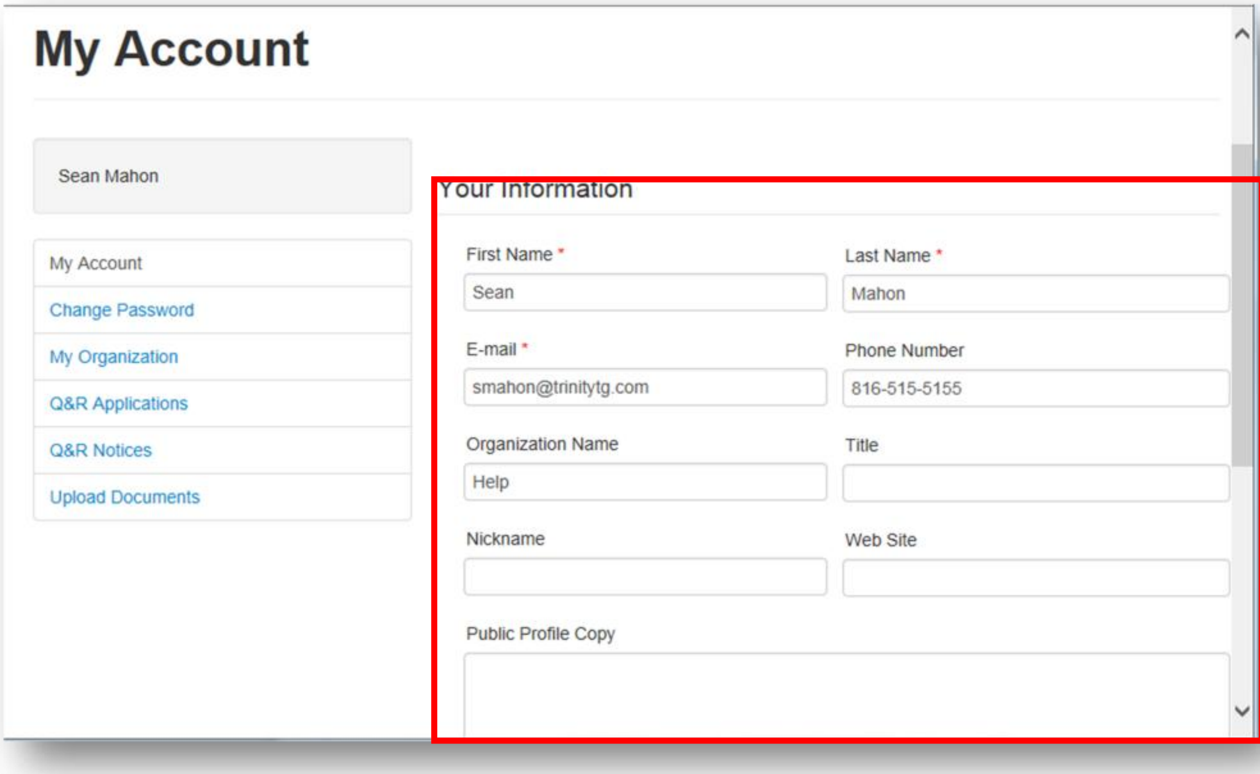
## 2.1 How to Create a New Account

| Steps to Complete Process | |
|---|---|
| 1. With the Portal being open to the homepage, click on the hyperlink "Register Now" under the New Licensees description in the middle of the screen. |  |
| 2. Enter your contact information, including the name of the organization you represent and/or wish to register.<br><br>Note: When filling out the organization name, please use the legal name of the organization whenever possible, or other identifying information such as filing number or FEIN. This information is not part of any legal filings – it is used only for registration. |  |

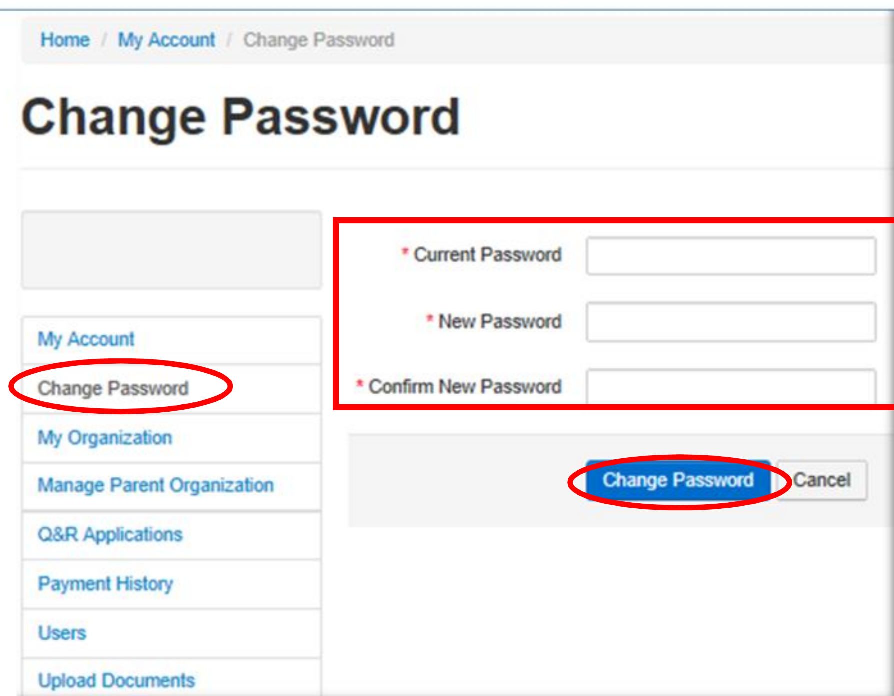
| | |
|---|---|
| 3. Complete the user information and then click the “Sign Up” button at the bottom of the screen.<br><br>Note: the portal enforces unique usernames, and will provide a notification if you attempt to register a username that is already in use. |  |
| 4. Upon successful completion, you will receive a message that your registration is being reviewed. When DBO reviews and approves the registration, your account will be activated and you will be able to begin filing and/or application transactions for the organization. |  |

## 2.2 How to Maintain Your Account

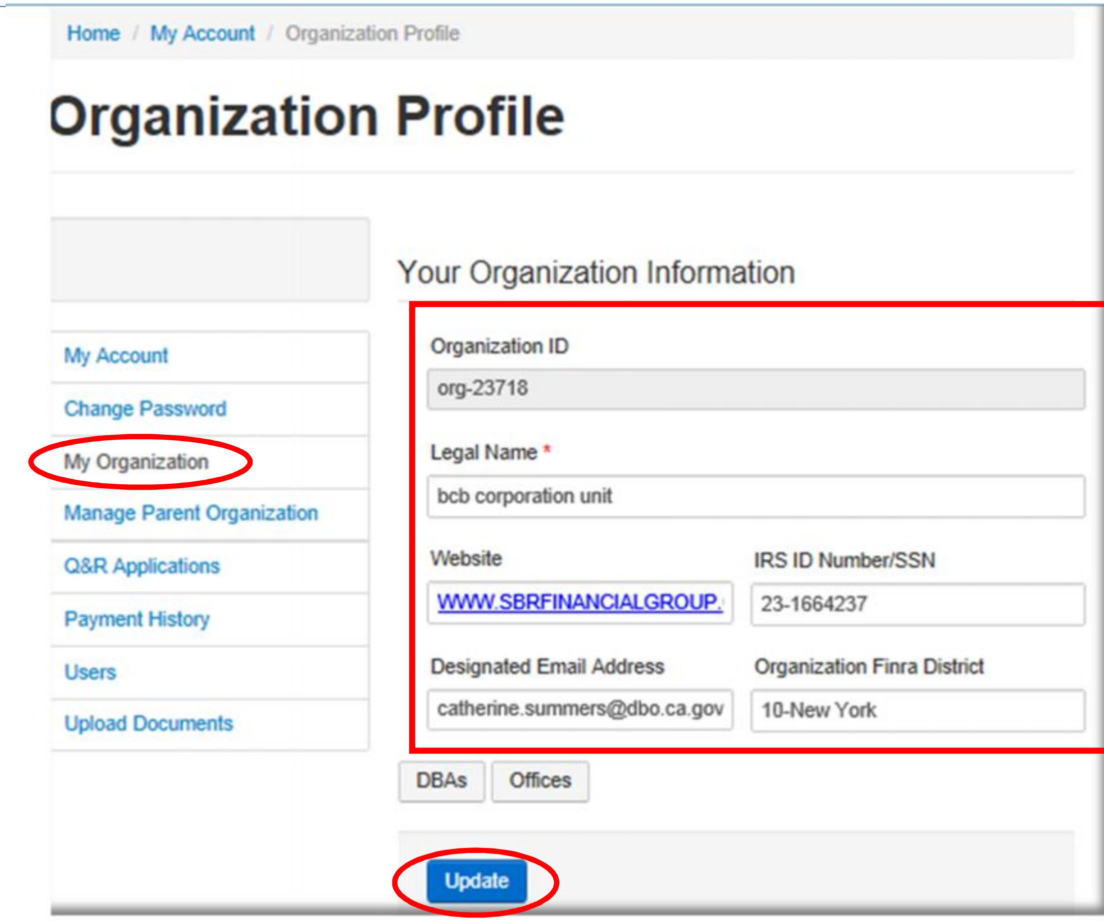
<table>
<tr><th colspan="2">Steps to Complete Process</th></tr>
<tr><td>1. Log into the Portal by selecting the “Sign In” button at the top of the screen.</td><td>
</td></tr>
<tr><td>2. After signing in to the Portal, you can access your account information by clicking on the user dropdown list with your name attached in the top right corner of the screen. Select “My Account” from the dropdown list.</td><td>
</td></tr>
<tr><td colspan="2">3. Modify your main account information and then click the “Update” button to save the changes.<br><br>NOTE: Organization name changes are only for reference purposes. For actual legal name changes to the organization you represent, please contact DBO to inquire on the process.</td></tr>
</table>



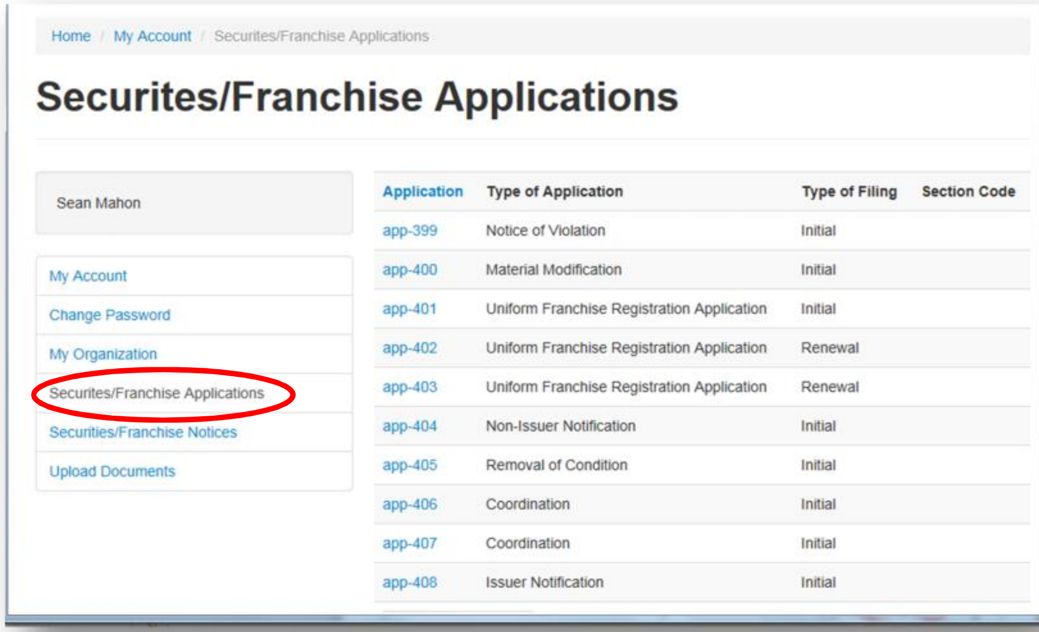

4. Click on the "Change Password" link in the left menu, make changes to the password and then click the button "Change Password".



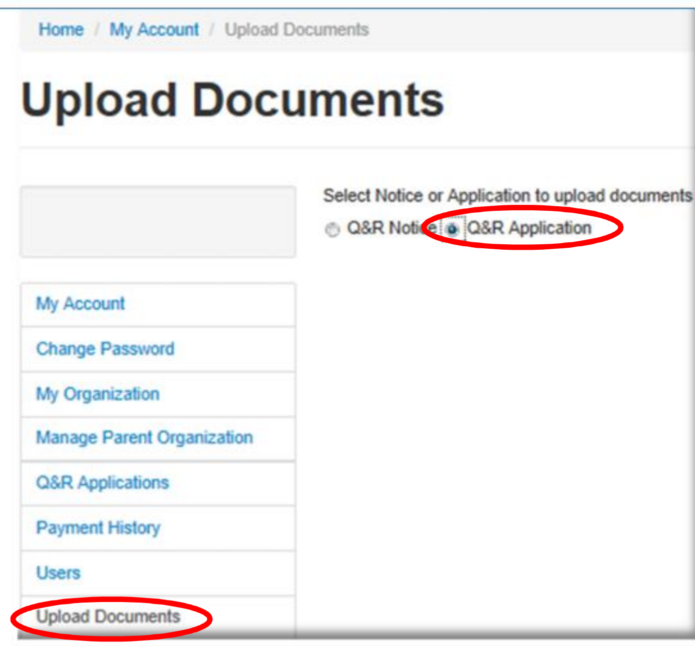

5. Click on the "My Organization" link in the left menu, make any necessary changes and then click the "Update" button.



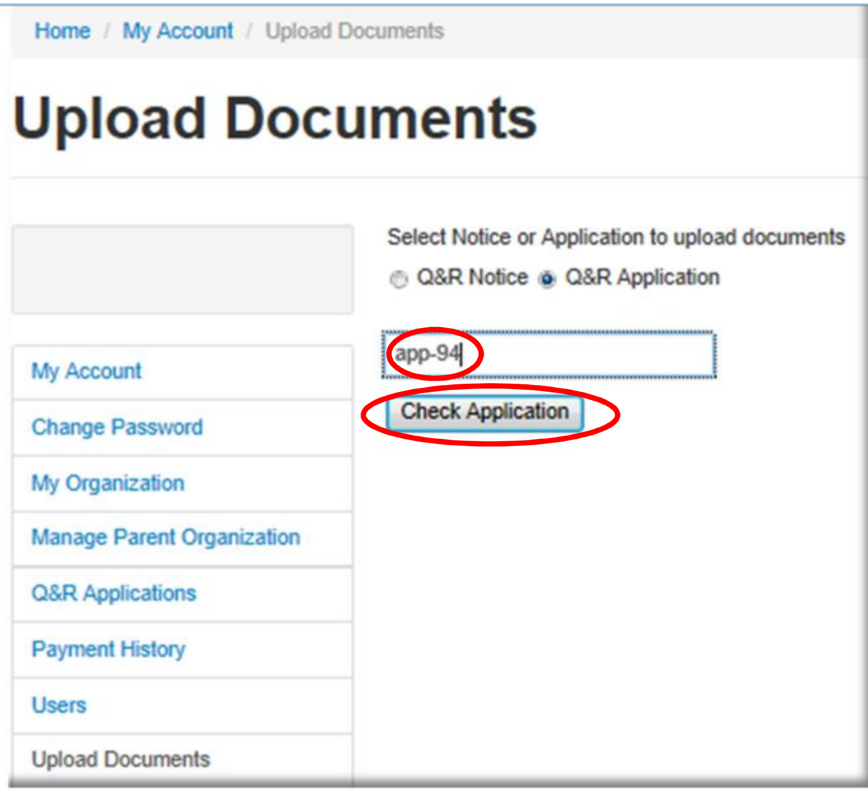

6. Click "Securities/Franchise Applications" in the left menu to view a list of applications that are associated to your organization. If you want to view the details of the application, then you will need to click on the hyperlink of the App ID for the application.




7. Click on the "Upload Documents" hyperlink in the left menu and then select the notice or application to which you will be uploading documents.




8. Enter the Application ID # and then click "Check Application/Notice" to allow the system to open the documents associated to the application/notice.




9. Click "Browse" to select and attach the document to the application/notice. Do this for each document that is to be uploaded and then click the "Upload" button at the bottom of the screen to complete the upload process.