

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

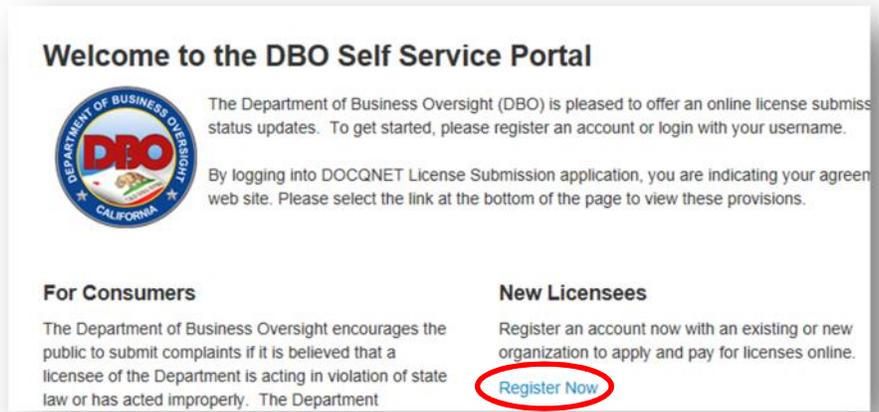
The account maintenance function includes the ability to see all past and current transactions, allowing users to return to applications or filings that are in-progress. This includes the ability to upload supporting documentation that is requested as part of DBO's review of the application and/or filing.

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.

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.

Contact Information

* First name

* Last name

* Organization name

* Street address 1

Street address 2

* City

* State

Zip -

* Country

* Phone - - Ext.

3. Complete the user information and then click the “Sign Up” button at the bottom of the screen.

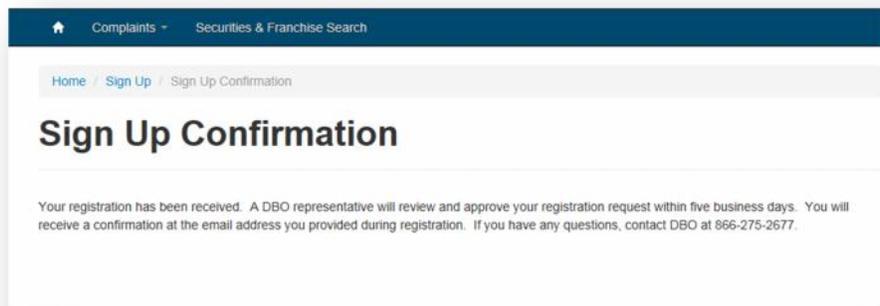
Note: the portal enforces unique usernames, and will provide a notification if you attempt to register a username that is already in use.

The screenshot shows a 'User Information' registration form. It contains the following fields and instructions:

- * Username**: Input field with the instruction 'Username should not contain spaces'.
- * Password**: Input field with the instruction 'Must be a minimum of 8 characters and at least one number'.
- * Confirm Password**: Input field.
- * Question**: Input field.
- * Answer**: Input field.

A blue 'Sign Up' button is located at the bottom of the form, highlighted with a red circle.

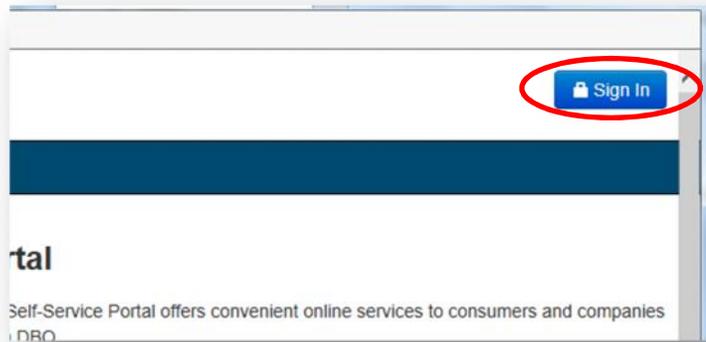
4. Upon successful completion, you will receive a message that your registration is being reviewed. When DBO reviews and approves the registration, your account will be activated and you will be able to begin filing and/or application transactions for the organization.



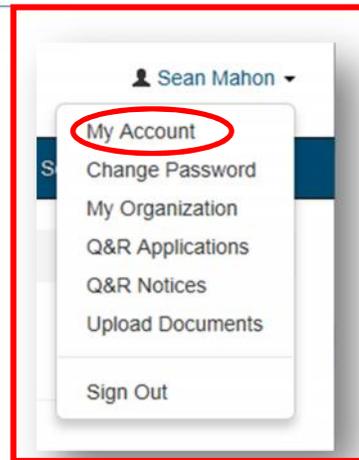
2.2 How to Maintain Your Account

Steps to Complete Process

1. Log into the Portal by selecting the “Sign In” button at the top of the screen.



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.



3. Modify your main account information and then click the “Update” button to save the changes.

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.

My Account

Sean Mahon

My Account

Change Password

My Organization

Q&R Applications

Q&R Notices

Upload Documents

Your Information

First Name *

Sean

Last Name *

Mahon

E-mail *

smahon@trinitytg.com

Phone Number

816-515-5155

Organization Name

Help

Title

Nickname

Web Site

Public Profile Copy

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

Home / My Account / Change Password

Change Password

* Current Password

* New Password

* Confirm New Password

[My Account](#)

[Change Password](#)

[My Organization](#)

[Manage Parent Organization](#)

[Q&R Applications](#)

[Payment History](#)

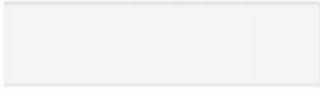
[Users](#)

[Upload Documents](#)

[Change Password](#) [Cancel](#)

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

Organization Profile



Your Organization Information

[My Account](#)

[Change Password](#)

[My Organization](#)

[Manage Parent Organization](#)

[Q&R Applications](#)

[Payment History](#)

[Users](#)

[Upload Documents](#)

Organization ID

org-23718

Legal Name *

bcb corporation unit

Website

WWW.SBRFINANCIALGROUP

IRS ID Number/SSN

23-1664237

Designated Email Address

catherine.summers@dbo.ca.gov

Organization Finra District

10-New York

[DBAs](#)

[Offices](#)

[Update](#)

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.

Home / My Account / Securites/Franchise Applications

Securites/Franchise Applications

Sean Mahon

- My Account
- Change Password
- My Organization
- Securites/Franchise Applications**
- Securites/Franchise Notices
- Upload Documents

Application	Type of Application	Type of Filing	Section Code
app-399	Notice of Violation	Initial	
app-400	Material Modification	Initial	
app-401	Uniform Franchise Registration Application	Initial	
app-402	Uniform Franchise Registration Application	Renewal	
app-403	Uniform Franchise Registration Application	Renewal	
app-404	Non-Issuer Notification	Initial	
app-405	Removal of Condition	Initial	
app-406	Coordination	Initial	
app-407	Coordination	Initial	
app-408	Issuer Notification	Initial	

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

Home / My Account / Upload Documents

Upload Documents

Select Notice or Application to upload documents

Q&R Notice **Q&R Application**

- My Account
- Change Password
- My Organization
- Manage Parent Organization
- Q&R Applications
- Payment History
- Users
- Upload Documents**

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

Upload Documents

Select Notice or Application to upload documents

Q&R Notice Q&R Application

app-94

Check Application

- My Account
- Change Password
- My Organization
- Manage Parent Organization
- Q&R Applications
- Payment History
- Users
- Upload Documents

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.

Letter from the Applicant	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Misc. Correspondence	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Misc. Documents	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Orders and Letters	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Other Exhibits	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Power of Attorney	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Response Letter	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Specimen of the Stock Certificate	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public
Statement of Undertaking	<input type="text"/>	<input type="button" value="Browse..."/>	<input type="checkbox"/> Public