



CA Property Assessed Clean Energy (PACE) Program Administrator Branch License Amendment Checklist (Branch)

CHECKLIST SECTIONS

- [General Information](#)
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GENERAL INFORMATION

Instructions

When making changes to your record in NMLS, the California Department of Business Oversight requires advance notification for some changes. See the checklist below for details.

Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice (ACN), select “Advance Change Notice” for the document type in the NMLS *Document Uploads* section. If you are required to upload documents for an amendment that doesn’t require ACN, select the applicable document type in the NMLS *Document Uploads* section.

Note: Use the recommended filing naming convention found on the [Document Upload Descriptions and Examples](#)

Helpful Resources

- [Amendments & Advance Change Notice Quick Guide](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

Agency Contact Information

Contact the Department of Business Oversight at [\(866\) 275-2677](tel:866-275-2677) or visit our website at www.dbo.ca.gov for additional assistance.

Mailing Address:

*Department of Business Oversight
PACE Licensing
320 W. Fourth Street, Suite 750
Los Angeles, CA 90013*

THE APPLICANT/LICENSEE IS FULLY RESPONSIBLE FOR ALL OF THE REQUIREMENTS OF THE LICENSE FOR WHICH THEY ARE APPLYING. THE AGENCY SPECIFIC REQUIREMENTS CONTAINED HEREIN ARE FOR GUIDANCE ONLY TO FACILITATE APPLICATION THROUGH NMLS. SHOULD YOU HAVE QUESTIONS, PLEASE CONSULT LEGAL COUNSEL.

AMENDMENTS

- [Change of Branch Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Branch Manager](#)
- [Change of Branch Manager Disclosure Question\(s\)](#)

Note: Information uploaded or filed in NMLS will not be viewable to the agency until the filing has been attested to and submitted through NMLS. Agency-specific requirements that should be emailed or mailed to the agency on the checklist below must be received with the appropriate checklist within five (5) business days of the electronic submission of your submission through the NMLS.

NMLS ID Number (Company)	
NMLS ID Number (Branch)	
Licensee Legal Name	

Complete	CA PACE Program Administrator Branch License Change of Branch Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Branch Address: Submit an amendment for a change of Branch Address through the Branch Form (MU3) in NMLS. Ten days' notice must be provided for this change.</p> <p>The Change of Address Form must also be mailed to the Department of Business Oversight at least 10 days prior to the relocation date. If at least ten days' notice is not provided, an administrative penalty of \$500 must be submitted with the Change of Address Form.</p> <p>Click to download Change of Address Form.</p>	<p>NMLS AND Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013</p>

Complete	CA PACE Program Administrator Branch License Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Other Trade Name: Submit an amendment for an addition or change to an Other Trade Name through the Branch Form (MU3) in NMLS. Notice must be provided not later than Ten business days after the change.</p>	NMLS
<input type="checkbox"/>	<p>Trade Name/Assumed Name Registration Certificates: To add a fictitious business name, upload a file-stamped copy of the Certificate of Filing from the County Clerk in California where the fictitious business name was filed.</p> <p>A company is not authorized to use a fictitious business name if an assumed/forced name is issued by the California Secretary of State. See Corp. Code, § 2106 subd. (b).</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <u>Document Uploads</u> section of the Branch Form (MU3).</p>

NMLS ID Number (Company)	
NMLS ID Number (Branch)	
Licensee Legal Name	

Complete	CA PACE Program Administrator Branch License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Branch Form (MU3) in NMLS.</p> <p>Note: If the Other Trade Name being deleted from the Branch Form (MU3) will no longer be in use by the company, it must also be deleted from the Company Form (MU1).</p>	NMLS
<input type="checkbox"/>	<p>Trade Name Dissolution: Upload a copy of any document evidencing elimination, deletion or dissolution of an Other Trade Name, if applicable.</p> <p>This document should be named <i>[Legal Name] Trade Name Dissolution</i>.</p>	<p>Upload in NMLS: under the Document Type <u>Trade Name Dissolution</u> in the <i>Document Uploads</i> section of the Branch Form (MU3).</p>

Complete	CA PACE Program Administrator License Change of Branch Manager Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Branch Manager: Submit an amendment for a change in Branch Manager within the Branch Form (MU3) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Fingerprint and Background Checks for Control Persons in CA – Live Scan Service: A new branch manager who resides in California must complete a “Request for Live Scan Service” form. These individuals must take this completed form to a live scan location to have their fingerprints taken and submitted electronically to the California Department of Justice and Federal Bureau of Investigation for processing. Applicants are required to pay the fees charged by the California Department of Justice directly to the live scan operator. After the live scan operator has completed its portion of the form, applicants must mail the completed form to the Department of Business Oversight with a check for \$20 payable to the Department of Business Oversight.</p> <p>Click to download “Request for Live Scan Service” form.</p>	<p>Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013</p>

Complete	CA PACE Program Administrator License Change of Branch Manager Amendment Items	Submitted via...
	Click to view the Department of Justice Live Scan Locations.	
<input type="checkbox"/>	<p>Fingerprint and Background Checks for Control Persons Outside of CA – Fingerprint Cards: A new branch manager who resides outside of California must submit fingerprints to the Department of Business Oversight on fingerprint cards. Call the Department of Business Oversight at (866) 275-2677 to request an individual fingerprint card. The Department of Business Oversight will then mail the fingerprint card directly to the individual needing fingerprints. These individuals must submit the completed fingerprint card back to the Department of Business Oversight.</p> <p>Individuals residing outside of California must also complete a “Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement” form available at the California Attorney General’s website and mail it to the Department of Business Oversight with a check for \$86 payable to the Department of Business Oversight.</p> <p>Individuals must submit the following in one package to the Department of Business Oversight: the fingerprint card, the “Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement”, and the \$86 check payable to the Department of Business Oversight.</p> <p>Click to download “Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement.”</p>	<p>Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013</p>

Complete	CA PACE Program Administrator Branch License Change to Branch Manager Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Branch Manager’s Individual Form (MU2) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Changing a Response from No to Yes: Provide a complete and detailed explanation and document upload for each response that changes from “No” to “Yes” for the Branch Manager.</p> <p>See the Individual Disclosure Explanations Quick Guide and the Disclosure Explanations - Document Upload Quick Guide for instructions.</p>	<p>Upload in NMLS in the <i>Disclosure Explanations</i> section of the Individual Form (MU2).</p>