



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

CHECKLIST SECTIONS

- [General Information](#)
- [Amendments](#)

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. Any change in address, name or control person must also be reported on the applicable Form MU1, MU2, and/or MU3. The individual attesting to the filing of the amendment request must be an authorized individual of the applicant who has submitted a Form MU2.

Uploading Agency-Specific Documents

If you are required to upload documents to NMLS for an Advance Change Notice, 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 an Advance Change Notice, 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](#)
- [Document Uploads Quick Guide](#)
- [Document Upload Descriptions and Examples](#)

Agency Contact Information

Contact the Department of Business Oversight at (866) 275-2677 or visit our website 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 Legal Name](#)
- [Change of Main Address](#)
- [Addition or Modification of Other Trade Name](#)
- [Deletion of Other Trade Name](#)
- [Change of Legal Status](#)
- [Addition or Modification of Direct Owners, Executive Officers & Indirect Owners](#)
- [Change of 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 filing through NMLS.

NMLS ID Number	
Licensee Legal Name	

Complete	CA PACE Program Administrator License Change of Legal Name Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Legal Name: Submit an Advanced Change Notice for a change of Legal Name through the Company Form (MU1) in NMLS. Ten days' notice must be provided for this change.	NMLS
<input type="checkbox"/>	Surety Bond Rider: Upload and mail an original surety bond rider that reflects the entity's new legal name.	Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013
<input type="checkbox"/>	Certificate of Authority/Good Standing: Upload a Certificate of Good Standing from the California Secretary of State with the new legal name. The Certificate of Good Standing must be dated not more than 60 days prior to the filing of the application through NMLS that demonstrates authorization to do business in California. If the applicant is a foreign entity, it must also upload a Certificate of Good Standing from the applicant's state of formation with the new legal name. The Certificate of Good Standing must be dated not more than 60 days prior to the filing of the application through NMLS that demonstrates authorization to do business in the applicant's state of formation.	Upload in NMLS: under the Document Type <u>Certificate of Authority/Good Standing Certificate</u> in the <i>Document Uploads</i> section of the Company Form (MU1).
<input type="checkbox"/>	Customer Authorization for Disclosure of Financial Records. Complete and sign the Customer Authorization for Disclosure of Financial Records form with the new legal name. Click to download Customer Authorization for Disclosure of Financial Records.	Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013

NMLS ID Number	
Licensee Legal Name	

Complete	CA PACE Program Administrator License Change of Main Address Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Change of Main Address: Submit an Advance Change Notice for a change of Main (Corporate) Address through the Company Form (MU1) 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 10 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>
<input type="checkbox"/>	<p>Surety Bond Rider: Upload and mail the original surety bond rider that reflects the entity's new main address.</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 Addition or Modification of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Addition or Modification of Other Trade Name: Submit an amendment for an addition of or change to an Other Trade Name through the Company Form (MU1) in NMLS. Notice must be provided not later than 10 business days after the change.	NMLS
<input type="checkbox"/>	Other Trade Names: 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. Note: Some foreign entities are required by the California Secretary of State to use an assumed name for all business they conduct in California. Such entities are not permitted to use a fictitious business name. This document should be named <i>PACE Other Trade Name</i> .	Upload in NMLS: under the Document Type <u>Trade Name/Assumed Name Registration Certificates</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	CA PACE Program Administrator License Deletion of Other Trade Name Amendment Items	Submitted via...
<input type="checkbox"/>	Deletion of Other Trade Name: Submit an amendment for deletion of an Other Trade Name through the Company Form (MU1) in NMLS. If deleting an Other Trade Name, this name must be removed from the <i>Other Trade Names</i> section of the Company Form (MU1).	NMLS
<input type="checkbox"/>	Trade Name Dissolution: Upload a copy of any document evidencing elimination, deletion or dissolution of an Other Trade Name, if applicable. This document should be named <i>[Legal Name] Trade Name Dissolution</i> .	Upload in NMLS: under the Document Type <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

NMLS ID Number	
Licensee Legal Name	

Complete	CA PACE Program Administrator License Change of Legal Status Amendment Items	Submitted via...
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Note: In many cases, a change to the Fiscal Year End, Legal Status, and State or Date of Formation indicates a new entity has been formed and a new NMLS record is required. This includes the creation of a new NMLS account and submission of a new Company Form (MU1).

<input type="checkbox"/>	<p>Change of Legal Status: Submit an amendment for a change in Legal Status within the Company Form (MU1) in NMLS. Notice must be provided not later than 10 business days after the change.</p>	NMLS
<input type="checkbox"/>	<p>Change of Legal Status: Submit documentation evidencing change of legal status.</p>	<p>Upload in NMLS: under the Document Type <u>Advance Change Notice</u> in the <i>Document Uploads</i> section of the Company Form (MU1).</p>

NMLS ID Number	
Licensee Legal Name	

Complete	CA PACE Program Administrator License Addition or Modification of Direct Owners, Executive Officers & Indirect Owners Amendment Items	Submitted via...
<input type="checkbox"/>	<p>Addition or Modification of Direct Owners/Executive Officers: Submit an amendment for an addition or change in Direct Owners/Executive Officers within the Company Form (MU1) in NMLS.</p>	NMLS
<input type="checkbox"/>	<p>Fingerprint and Background Checks for Control Persons in CA – Live Scan Service: Each additional control person filing a NMLS Individual Form (MU2) 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>Click to view the Department of Justice Live Scan Locations.</p>	<p>Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013</p>
<input type="checkbox"/>	<p>Fingerprint and Background Checks for Control Persons Outside of CA – Fingerprint Cards: Each additional control person filing a NMLS Individual Form (MU2) 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 License Change of Disclosure Question(s) Amendment Items	Submitted via...
<input type="checkbox"/>	Change of Disclosure Question(s): Submit an amendment for a change to Disclosure Question response(s) through the Company Form (MU1) in NMLS.	NMLS
<input type="checkbox"/>	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 company or each control person. See the Company Disclosure Explanations Quick Guide for instructions.	Upload in NMLS in the <i>Disclosure Explanations</i> section of the Company Form (MU1) or Individual Form (MU2).

Complete	CA PACE Program Administrator License Change of Business Plan	Submitted via...
<input type="checkbox"/>	Business Plan: If there has been a change in your plan of business, describe in sufficient detail the business to be conducted.	Upload in NMLS: under the Document Type <u>Business Plan</u> in the <i>Document Uploads</i> section of the Company Form (MU1).

Complete	CA PACE Program Administrator License Change in Ownership	Submitted via...
<input type="checkbox"/>	Legal Ownership: Send copies of all legal documents associated with the change in ownership, including applicable purchase and sales agreements, merger agreements, or consent to change in ownership agreements.	Mail to: Department of Business Oversight PACE Licensing 320 W. Fourth Street, Suite 750 Los Angeles, CA 90013