



# CA Property Assessed Clean Energy (PACE) Program Administrator Branch License New Application Checklist (Branch)

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## CHECKLIST SECTIONS

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## GENERAL INFORMATION

### Who is required to have this license?

A PACE Program Administrator seeking to engage in business at a new location must submit an application for a branch office license to the Commissioner at least 10 days before engaging in business at a new location (Fin. Code, § 22102).

A company may only apply for this branch license if it currently holds a PACE Program Administrator license or has already submitted a new company application for a PACE Program Administrator License.

### Document Uploads

Documents that must be uploaded to the *Document Uploads* section of the Branch Form (MU3) in NMLS are indicated in the checklist below. When uploading documents:

- Follow the guidance in [Document Upload Descriptions and Examples](#).
- Only upload documents relevant to the company application.
- Only upload documents where there is a selectable document category. If inappropriate documents are uploaded that should not be, you will be contacted by your regulator and asked to remove them from NMLS.
- Do not upload the same company documents multiple times. Generally, unless the document is state-specific, if the document has already been uploaded for another state, a new upload is not required unless changes have been made.
- If a document previously uploaded has been revised, delete the old document and replace it with the new document (history of the old document will remain in NMLS).
- For state-specific documents (e.g., Surety Bonds), be sure to indicate the applicable state.

### Helpful Resources

- [Branch Form \(MU3\) Filing Quick Guide](#)
- [Document Upload Descriptions and Examples](#)
- [Payment Options Quick Guide](#)

- [License Status Definitions Quick Guide](#)

### 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](http://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.

**LICENSE FEES** - Fees collected through NMLS are not REFUNDABLE or TRANSFERABLE.

Complete	CA-DBO PACE Program Administrator Branch License	Submitted via...
<input type="checkbox"/>	<p><b>CA-DBO Application Fee:</b> \$300</p> <p>This fee includes the investigation fee.</p> <p><b>NMLS Initial Processing Fee:</b> \$0</p>	<b>NMLS (Filing submission)</b>

**REQUIREMENTS COMPLETED IN NMLS**

Complete	CA-DBO PACE Program Administrator Branch License	Submitted via...
<input type="checkbox"/>	<b>Submission of Branch Form (MU3):</b> Complete and submit the Branch Form (MU3) in NMLS. This form serves as the application for the license through NMLS.	<b>NMLS</b>
<input type="checkbox"/>	<b>Branch Manager:</b> A Branch Manager must be designated for each licensed location. A Branch Manager is defined as an individual whose principal office is physically located in, who is in charge of, and who is responsible for the business operations of a branch office.	<b>NMLS</b>
<input type="checkbox"/>	<b>Branch Manager (MU2) Attestation:</b> Complete the Individual Form (MU2) in NMLS. This form must be attested to by the applicable branch manager before it is able to be submitted along with the Branch Form (MU3).	<b>NMLS</b>
<input type="checkbox"/>	<p><b>Disclosure Questions:</b> Provide a complete and detailed explanation for each "Yes" response to Disclosure Questions made by the company or related control persons (MU2).</p> <p>Upload a copy of any applicable orders or supporting documents.</p> <p>See the <a href="#">Company Disclosure Explanations Quick Guide</a> for instructions</p>	<b>Upload in NMLS</b> in the <i>Disclosure Explanations</i> section of the MU3.

REQUIREMENTS/DOCUMENTS UPLOADED IN NMLS		
Complete	CA-DBO PACE Program Administrator Branch License	Submitted via...
<input type="checkbox"/>	<p><b>Branch Written Agreement:</b> Submit a copy of the signed contract between the branch manager and the licensee.</p> <p>This document should be named <i>[Branch NMLS ID#] Branch Manager Agreement</i>.</p>	<p><b>Upload in NMLS:</b> under the Document Type <u>Branch Written Agreement</u> in the <u>Document Uploads</u> section of the Branch Form (MU3).</p>

REQUIREMENTS SUBMITTED OUTSIDE OF NMLS		
Complete	CA-DBO PACE Program Administrator Branch License	Submitted via...
<input type="checkbox"/>	<p><b>Fingerprint and Background Checks for Branch Managers in CA – Live Scan Service:</b> Each branch manager 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><a href="#">Click to download “Request for Live Scan Service” form.</a></p> <p><a href="#">Click to view the Department of Justice Live Scan Locations.</a></p>	<p><b>Mail to:</b></p> <p><b>Department of Business Oversight</b></p> <p><b>PACE Licensing</b></p> <p><b>320 W. Fourth Street, Suite 750</b></p> <p><b>Los Angeles, CA 90013</b></p>
<input type="checkbox"/>	<p><b>Fingerprint and Background Checks for Control Persons Outside of CA – Fingerprint Cards:</b> Each branch manager 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</p>	<p><b>Mail to:</b></p> <p><b>Department of Business Oversight</b></p> <p><b>PACE Licensing</b></p> <p><b>320 W. Fourth Street, Suite 750</b></p> <p><b>Los Angeles, CA 90013</b></p>

	<p>Mandatory Electronic Fingerprint Submission Requirement”, and the \$86 check payable to the Department of Business Oversight.</p> <p><a href="#">Click to download “Request for Exemption from Mandatory Electronic Fingerprint Submission Requirement.”</a></p>	
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