



STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
**NOTICE OF OFFICERS, DIRECTORS, PARTNERS, “CONTROL” PERSONS,
 MANAGERS, MEMBERS, TRUSTEES AND EMPLOYEES OF A CAPITAL
 ACCESS COMPANY**

DFPI-CACL 280.153 (Rev. 10-20)

Fee: \$20.00 + DOJ Noncriminal Applicant Fingerprint Fee

(Fees should include the Department of Business Oversight’s filing fee of [\$20.00] and the fee charged by the Department of Justice [Penal Code Section 11105] for processing Noncriminal Applicant Fingerprints.)

Receipt No. _____

<u>OFFICIAL USE ONLY</u>	
<u>LAST NAME</u>	
<u>Date submitted CII:</u> _____	<u>Applicant</u>
<u>I.D.#</u>	

PLEASE PRINT OR TYPE

NAME OF COMPANY: _____ **FILE NO.** _____

ADDRESS OF MAIN OFFICE:

(Street) (City) (State) (Zip Code)

EMPLOYING BRANCH OFFICE:

NAME OF OFFICER, DIRECTOR, PARTNER, “CONTROL” PERSON, MANAGER, MEMBER, TRUSTEE AND EMPLOYEE:

(Last) (First) (Middle)

POSITION HELD OR TO BE HELD:

HOME ADDRESS:

(Street) (City) (State) (Zip Code)

DATE OF BIRTH: _____ **PLACE OF BIRTH:** _____

(Month) (Day) (Year)

HEIGHT: _____ **WEIGHT:** _____ **SEX:** _____

COLOR OF EYES: _____ **COLOR OF HAIR:** _____

* This document shall be treated by the Department of Financial Protection and Innovation as being received in confidence pursuant to paragraph (4) of subdivision (d) of Section 6254 of the Government Code.