








III. Enrolling a Loan

A. Overview

Lenders must submit to CalCAP the following forms and documentation with each loan enrollment request:

| | CalCAP | Provide to Borrower |
|---|--------|---------------------|
| Required | | |
| 1. EVCS Financing Program Loan Enrollment Application (1 page)  http://www.treasurer.ca.gov/cpcf/calcap/evcs/enrollment.pdf | √ | |
| 2. CalCAP/EVCS Lender Certification (1 page)  http://www.treasurer.ca.gov/cpcf/calcap/evcs/lender_cert.pdf | √ | |
| 3. CalCAP/EVCS Borrower Eligibility Criteria and Self-Certification Form (3 pages)  http://www.treasurer.ca.gov/cpcf/calcap/evcs/certification.pdf | √ | |
| 4. NAICS Print-Out (most current year)  http://www.census.gov/eos/www/naics/ | √ | |
| 5. Borrower Privacy Notice  http://www.treasurer.ca.gov/cpcf/calcap/evcs/privacy.pdf | | √ |
| If Applicable | | |
| 6. CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects (1 page)  http://www.treasurer.ca.gov/cpcf/calcap/evcs/supplemental.pdf | √ | |
| 7. Multi-Unit Dwelling (MUD) Information | √ | |
| 8. “Qualified Disadvantaged Communities” Print-Out demonstrating EVCS will be located in a Disadvantaged Community (DAC), if applicable:  http://www.treasurer.ca.gov/cpcf/calcap/evcs/disadvantaged.pdf | √ | |



Completed CalCAP EVCS Financing Program Loan Enrollment Applications must be **received** at CalCAP within **15 business days of the “Date of First Disbursement” (Date of Loan)** by email, fax, or regular mail:



CalCAP@Treasurer.ca.gov



(916) 589-2805



CPCFA/CalCAP EVCS Financing Program
P.O. Box 942809
Sacramento, CA 94209-0001

B. CalCAP EVCS Financing Program Loan Enrollment

Before submitting a CalCAP EVCS Financing Program Loan Enrollment Application packet, lenders should ensure the following pertinent documentation is fully completed:

Required

- ✓ EVCS Financing Program Loan Enrollment Application
- ✓ Lender Certification
- ✓ Borrower Certification
- ✓ NAICS Print-Out

If Applicable

- ✓ Multi-Unit Dwelling information
- ✓ “Qualified Disadvantaged Communities” Print-Out
- ✓ CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects



Pursuant to the California Information Practices Act of 1977 (Civil Code Section 1798.17), lenders are to provide the borrower with a copy of the Borrower Privacy Notice disclosing borrower data collected by lenders on behalf of CalCAP. Additionally, any alteration of certifications need to be approved by CalCAP prior to use.

Copies of these documents need to be submitted with the loan enrollment package, and the original set should be maintained with the borrower’s loan file and made available to CalCAP for review upon request.

All individuals who are party to the loan and/or have signed the loan documents on behalf of the business, including borrowers, co-borrowers, and guarantors, must also sign and complete a Borrower Certification for Small Business Loan Enrollments form, which must be submitted with the loan enrollment package.

Lenders must maintain documentation in their loan files demonstrating that the small business borrower is licensed to operate in California. Satisfaction of this requirement is at the sole discretion of CPCFA staff, and the documents should be made available to CPCFA for review upon request. The following are examples of recommended documents, any one of which may demonstrate eligibility:

- ✓ Secretary of State Business Entity Filing
- ✓ Fictitious Business Name Filing
- ✓ Articles of Incorporation
- ✓ Seller’s Permit
- ✓ Business Tax Returns
- ✓ Personal Tax Returns demonstrating self-employment income

- ✓ Sales Tax Licenses
- ✓ Business Tax Certificates
- ✓ Annual Business Income Tax Statements

Instructions for Completing the CalCAP/EVCS Loan Enrollment Application

This section provides instructions for lenders on how to complete the EVCS Financing Program Loan Enrollment Application, which is the primary form needed for lenders to enroll a loan with the CalCAP EVCS Financing Program.

A copy of the application can be found in Chapter VIII of this manual. However, lenders should always check CalCAP's website for the most current version of the application:

☞ <http://www.treasurer.ca.gov/cpcfca/calcap/evcs/enrollment.pdf>

Form 1: EVCS Financing Program Loan Enrollment Application

| Lender Information Section | | | | | | | | | | | |
|---|---|---|---------------|---------------|----------------------|-------------|---------------------|-------|----------------------|--|--|
| <div style="display: flex; justify-content: space-between;"> <div> <p>CALIFORNIA CAPITAL ACCESS PROGRAM California Pollution Control Financing Authority CalCAP@treasurer.ca.gov (916) 654-5610</p> </div> <div style="text-align: right;"> <p>Mailing Address: P.O. Box 942809 Sacramento, CA 94209-0001 Fax (916) 589-2805</p> </div> </div> <div style="margin-top: 20px; text-align: center;"> <table border="1" style="margin: auto; border-collapse: collapse;"> <tr> <td style="width: 15%; padding: 5px;">CalCAP Use Only</td> <td style="padding: 5px;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px 5px;">CalCAP Loan #</td> </tr> <tr> <td style="padding: 2px 5px;">Date Received</td> </tr> </table> </td> </tr> </table> </div> <div style="margin-top: 20px; text-align: center;"> <p>CALCAP ELECTRIC VEHICLE CHARGING STATION (EVCS) FINANCING PROGRAM LOAN ENROLLMENT APPLICATION</p> </div> <div style="border: 1px solid black; padding: 10px; margin-top: 10px;"> <p><u>Lender Information</u></p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Participating Lender</td> <td style="width: 50%;">Lender ID #</td> </tr> <tr> <td>Lender Contact Name</td> <td>Phone</td> </tr> <tr> <td>Lender Contact Email</td> <td></td> </tr> </table> </div> | CalCAP Use Only | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px 5px;">CalCAP Loan #</td> </tr> <tr> <td style="padding: 2px 5px;">Date Received</td> </tr> </table> | CalCAP Loan # | Date Received | Participating Lender | Lender ID # | Lender Contact Name | Phone | Lender Contact Email | | |
| CalCAP Use Only | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px 5px;">CalCAP Loan #</td> </tr> <tr> <td style="padding: 2px 5px;">Date Received</td> </tr> </table> | CalCAP Loan # | Date Received | | | | | | | | |
| CalCAP Loan # | | | | | | | | | | | |
| Date Received | | | | | | | | | | | |
| Participating Lender | Lender ID # | | | | | | | | | | |
| Lender Contact Name | Phone | | | | | | | | | | |
| Lender Contact Email | | | | | | | | | | | |
| Field: | Information Needed: | | | | | | | | | | |
| ▪ Participating Lender | ✓ Name of the financial institution making and holding the loan. | | | | | | | | | | |

| | |
|------------------------|---|
| ▪ Lender ID# | ✓ The financial institutions' assigned CalCAP Lender ID. This number was issued and provided on the signed copy of the lender's "Financial Institution Enrollment" agreement and "Welcome Letter" that accompanied it. (This number never changes.) |
| ▪ Lender Contact Name | ✓ Name of lender representative CalCAP can contact with questions about this enrollment. |
| ▪ Phone | ✓ Direct phone number with area code for Lender Contact named above. |
| ▪ Lender Contact Email | ✓ Email of Lender Contact named above. |

Borrower Information Section

| | |
|---|----------------------|
| Borrower Name _____ DBA _____ | |
| Name of Responsible Person _____ Title _____ | |
| Address _____ City _____ County _____ Zip _____ | |
| Type of Business/Activities _____ | |
| Average Annual Revenue Last 3 Years \$ _____ | |
| Number of Employees _____ Jobs created _____ Jobs retained _____ | |
| Will loan monies be used at above address? <input type="checkbox"/> Yes <input type="checkbox"/> No If No, location where loan monies will be used: | |
| Address _____ City _____ County _____ Zip _____ | |
| NAICS Code _____ | Census Tract # _____ |
| http://www.census.gov/eos/www/naics/ http://www.fleec.gov/Geocode/default.aspx | |
| Description of Eligible Project Costs (Purpose of Loan) _____ | |
| Is EVCS installation in a Multi-Unit Dwelling? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| Is EVCS installation in a Disadvantaged Community? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| Is business minority owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | |
| Is business woman owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | |
| Is business veteran owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | |

| Field: | Information Needed: |
|-----------------|--|
| ▪ Borrower Name | ✓ Name of the primary borrower representing the business. |
| ▪ DBA | ✓ Name of business (sole proprietor, partnership, corporation, etc.) |

| | |
|--|--|
| ▪ Name of Responsible Person | ✓ Name of Responsible Person who is certifying to the terms of the loan. |
| ▪ Title | ✓ Title of Responsible Person who is certifying to the terms of the loan. |
| ▪ Address, City, County, Zip | ✓ Physical address of the business. |
| ▪ Type of Business/Activities | ✓ List the function of the business. "What does the business do?" (e.g. retail sales, carpet cleaning, burger restaurant, etc.) |
| ▪ Average Annual Revenue Last 3 Years | ✓ List the borrower's combined average annual business revenue for the last three years—rounded to the nearest whole dollar amount. ☞ If the business is a start-up, use the current income or \$0. ☞ If the business was established within the last three years, determine the average annual revenue for each year in which it <u>did</u> generate revenue. |
| ▪ Number of Employees | ✓ Number of all full-time or part-time employees of the business. This cannot exceed 1,000. ☞ Refer to the FAQs in Chapter VII for instructions on how to report the number of employees. |
| ▪ Jobs created | ✓ Number of jobs created for the business <u>as a result of the loan</u> . ☞ If jobs are not created as a result of the loan, use "0". |
| ▪ Jobs retained | ✓ Number of jobs retained for the business <u>as a result of the loan</u> . ☞ If jobs are not retained as a result of the loan, use "0". |
| ▪ Will loan monies be used at above address? <input type="checkbox"/> Yes <input type="checkbox"/> No ▪ If no, location where loan will be used: Address, City, County, Zip | ✓ Indicate whether the proceeds of the loan are being used to support the business at a different business location than listed in the "Business Address" field above. ✓ If answered "yes", leave address, city, county, zip fields blank. ✓ If answered "no" and borrower will be installing EVCS at a single location, list the address of where the loan proceeds will be used. ✓ If answered "no" and borrower will be installing EVCS at multiple locations, utilize the CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects to list the addresses of where the loan proceeds will be used (http://www.treasurer.ca.gov/cpcf/calcap/evcs/supplemental.pdf) ☞ Please refer to Section III for instructions on how to complete the Supplemental Form for Multiple EVCS Projects. |

▪ NAICS Code

- ✓ Six digit number used by the North American Industry Classification System (NAICS) to categorize business types. Please provide the most current print-out of the applicable NAICS code for the borrower's business.

<http://www.census.gov/eos/www/naics/>

U.S. Department of Commerce
United States Census Bureau

People | Business | Geography | Data | Research | Newsroom

You are here: [Census.gov](#) | [Business & Industry](#) | [NAICS](#) | [NAICS Search/Tools](#)

North American Industry Classification System

[Main](#) | [History](#) | [Development Partners](#) | [Federal Register Notices](#) | [NAICS](#) | [FAQs](#)

NAICS Search:

Enter keyword or 2-6 digit code
Farm Equipment
2012 NAICS Search

2012 NAICS Key Word Search

Search results for: Farm Equipment
Number of records found: 9

Enter keyword or 2-6 digit code
2007 NAICS Search

Enter keyword or 2-6 digit code
2002 NAICS Search

Downloads/Reference Files/Tools

- 2012 NAICS
- 2007 NAICS
- 2002 NAICS
- Concordances
- NAICS Update Process Fact Sheet [PDF, 37kB]

NAICS

Measuring America—People, Places, and Our Economy

ABOUT US | FIND DATA | BUSINESS & INDUSTRY | PEOPLE & HOUSEHOLDS | GEOGRAPHY | NEWSROOM

Step 1: Enter business activity type (e.g. Farm)

Step 2: Select 6-digit code that best describes the business activity

▪ Census Tract #

- ✓ 11-digit number used to identify the specific location of a business to provide more reporting consistency and uniformity.

<https://geomap.ffiec.gov/FFIECGeocMap/GeocodeMap1.aspx>

FFIEC Main | Disclaimer | Privacy Policy | Contact Us | Search

Input the borrower's business address, and click "search"

FFIEC Year: 2014 Address:

Matched Address

| | |
|-------------|--|
| Address | |
| MSA/MD Code | |
| State Code | |
| County Code | |
| Tract Code | |
| MSA/MD Name | |
| State Name | |
| County Name | |

[Census Demographic Data](#)

☐ User Select Tract

Geocoding System

The FFIEC Geocoding/Mapping System (System) helps financial institutions meet their legal requirement to report information on mortgage, business, and farm loan applications. Geocoding refers to the Metropolitan Statistical Area/Metropolitan Division (MSA/MD), State, County, Census Tract combination (address information) that must be provided for each reported loan application and the System allows institutions to enter a street address to determine the corresponding geocode. The System also provides Census demographic information about a particular census tract, including income, population, and housing data.

Please select the appropriate activity year for the address being geocoded. The tract definitions for 2012, 2013, and 2014 data are based on the 2010 Census. It is critical that the correct activity year is selected when using the FFIEC Geocoding System.

[Census Updates](#)

FFIEC Year: 2014 Address: 915 Capitol Mall Sacramento Ca

Matched Address

| | |
|-------------|---|
| Address | 915 Capitol Mall, SACRAMENTO, CA, 95814 |
| MSA/MD Code | 40900 |
| State Code | 06 |
| County Code | 067 |
| Tract Code | 0011.01 |
| MSA/MD Name | SACRAMENTO-ROSEVILLE-ARDEN-ARCADE, CA |
| State Name | CALIFORNIA |
| County Name | SACRAMENTO COUNTY |

[Census Demographic Data](#)

☐ User Select Tract

| | |
|---|---|
| <ul style="list-style-type: none"> ▪ Description of Eligible Project Costs (Purpose of Loan) | <ul style="list-style-type: none"> ✓ Brief description of the use of loan proceeds (e.g. “EVCS supply equipment,” “EVCS installation costs”, “EVCS signage”, “grid improvements”) |
| <ul style="list-style-type: none"> ▪ Is EVCS installation in a Multi-Unit Dwelling? <input type="checkbox"/>Yes <input type="checkbox"/>No | <ul style="list-style-type: none"> ✓ Indicate whether the business is in a Multi-Unit Dwelling (MUD) as described in CalCAP Regulations 8078.3: <i>“Multi-Unit Dwelling” or “MUD” means a classification of housing where multiple housing units are contained within one building or multiple buildings within a complex or community. Common types of MUDs include duplexes, townhomes, and apartments, mobile homes and manufactured-home parks.</i> ✓ The following must be provided if one or more EVCS will be installed in a MUD: <ul style="list-style-type: none"> ➤ The type of Multi-Unit Dwelling in which the EVCS will be installed ➤ The name of the property (if applicable) ➤ The total number of units in the Multi-Unit Dwelling <p>(**Additional documentation may be required to reasonably substantiate the claim for additional premiums**)</p> |
| <ul style="list-style-type: none"> ▪ Is EVCS installation in a Disadvantaged Community? <input type="checkbox"/>Yes <input type="checkbox"/>No | <ul style="list-style-type: none"> ✓ Indicate whether the business is in a Disadvantaged Community (DAC) as described in CalCAP Regulations 8078.3: <i>“Disadvantaged Communities” means the top twenty five (25) percent of communities that are disproportionately affected by environmental pollution and socioeconomic characteristics as described by CalEnviroScreen 2.0 Tool.</i> ☞ Follow the instructions below to determine whether the EVCS will be installed in a DAC. If “yes”, provide a print-out of the applicable page of the “Qualified Disadvantaged Communities” list that is posted on the CalCAP EVCS Financing Program website with the EVCS Financing Program Loan Enrollment Application and the applicable data highlighted. |

Disadvantaged Communities

To determine whether an Electric Vehicle Charging Station will be installed within a Disadvantaged Community (DAC), follow these steps:

- Using the Census Tract Number relative to the location of the Electric Vehicle Charging Station installation site (see the Census Tract Number instructions above), check the “Qualified Disadvantaged Communities” List by navigating to <http://www.treasurer.ca.gov/cpcf/calcap/evcs/disadvantaged.pdf> and locating the corresponding Census Tract Number, if listed (**Note:** The entries are arranged in numerical order, and the first digit of the Census Tract Numbers are omitted).

| Census Tract | California County | ZIP | City | CES 2.0 Percentile Range |
|--------------|-------------------|-------|-------------|--------------------------|
| 6085501502 | Santa Clara | 95116 | San Jose | 86-90% |
| 6085501600 | Santa Clara | 95112 | San Jose | 86-90% |
| 6085501700 | Santa Clara | 95110 | San Jose | 76-80% |
| 6085503105 | Santa Clara | 95122 | San Jose | 96-100% (highest scores) |
| 6085503110 | Santa Clara | 95122 | San Jose | 81-85% |
| 6085503117 | Santa Clara | 95122 | San Jose | 76-80% |
| 6085503121 | Santa Clara | 95125 | San Jose | 86-90% |
| 6085503122 | Santa Clara | 95112 | San Jose | 81-85% |
| 6085503214 | Santa Clara | 95111 | San Jose | 81-85% |
| 6085503601 | Santa Clara | 95133 | San Jose | 91-95% |
| 6085503602 | Santa Clara | 95116 | San Jose | 86-90% |
| 6085503709 | Santa Clara | 95133 | San Jose | 86-90% |
| 6085504318 | Santa Clara | 95131 | San Jose | 81-85% |
| 6085504319 | Santa Clara | 95133 | San Jose | 81-85% |
| 6085505100 | Santa Clara | 95110 | San Jose | 76-80% |
| 6085505202 | Santa Clara | 95050 | Santa Clara | 76-80% |
| 6085512310 | Santa Clara | 95037 | Morgan Hill | 76-80% |
| 6085512602 | Santa Clara | 95020 | Gilroy | 86-90% |
| 6087110400 | Santa Cruz | 95076 | Watsonville | 76-80% |
| 6095250701 | Solano | 94590 | Vallejo | 76-80% |
| 6095253500 | Solano | 94571 | Rio Vista | 81-85% |
| 6099000301 | Stanislaus | 95367 | Riverbank | 96-100% (highest scores) |

- If the Census Tract Number relative to the EVCS installation site is present on the “Qualified Disadvantaged Communities” List, the loan will qualify for the additional DAC premium contribution. **If the Census Tract Number relative to the EVCS installation site is not present on the “Qualified Disadvantaged Communities” List, the loan will not qualify for the additional DAC premium contribution.**
- Ensure that the appropriate County, Zip Code, and City on the “Qualified Disadvantaged Communities” List correspond with the EVCS installation address provided on the EVCS Financing Program Loan Enrollment Application. **Provide a print-out of the applicable page of the “Qualified Disadvantaged Communities” List which lists the corresponding EVCS installation site Census Tract Number.** Highlight the applicable row, and submit the print-out to CalCAP with the applicable Loan Enrollment Application.

| | |
|---|--|
| <ul style="list-style-type: none"> Is business minority owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | <ul style="list-style-type: none"> ✓ The business is minority owned if at least 51% of the business is owned by one or more minority individuals. |
| <ul style="list-style-type: none"> Is business woman owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | <ul style="list-style-type: none"> ✓ The business is woman owned if at least 51% of the business is owned by one or more women. |
| <ul style="list-style-type: none"> Is business veteran owned? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Decline to Answer | <ul style="list-style-type: none"> ✓ The business is veteran owned if at least 51% of the business is owned by one or more veterans. |

Loan Information Section

Loan Information

Lender Loan Number

Total Loan Amount \$ Loan Amount Enrolled in CalCAP \$

Date of First Disbursement (Date of Loan) Maturity Date

Interest Rate % APR ☐ Fixed ☐ Variable Is the loan secured? ☐ Yes ☐ No

| Field: | Information: |
|---|--|
| <ul style="list-style-type: none"> Lender Loan Number | <ul style="list-style-type: none"> ✓ List the unique loan number associated with the borrower's loan. ☞ If the enrollment is a pre-qualification request, leave field blank. |
| <ul style="list-style-type: none"> Total Loan Amount | <ul style="list-style-type: none"> ✓ The total amount loaned to the borrower associated with the unique loan number (regardless of amount enrolled in CalCAP). |
| <ul style="list-style-type: none"> Loan Amount Enrolled in CalCAP \$ | <ul style="list-style-type: none"> ✓ The portion of the loan the lender requests to enroll with CalCAP. This amount should be equal to or less than the amount in the "Total Loan Amount" field. |
| <ul style="list-style-type: none"> Date of First Disbursement (Date of Loan) | <ul style="list-style-type: none"> ✓ Date of initial disbursement of funds. ☞ This date triggers the clock for the 15-day deadline to submit an enrollment application to CalCAP. ☞ If the enrollment is a pre-qualification request, leave this field blank. |
| <ul style="list-style-type: none"> Maturity Date | <ul style="list-style-type: none"> ✓ The date (MM/DD/YYYY) the enrolled loan matures. ☞ CalCAP will cover or support the enrollment for a maximum of 48 months, regardless of maturity date. ☞ If the enrollment is a pre-qualification request, leave this field blank. |
| <ul style="list-style-type: none"> Interest Rate <input type="checkbox"/> Fixed <input type="checkbox"/> Variable | <ul style="list-style-type: none"> ✓ Annual Percentage Rate (APR) for the enrolled loan. ✓ Indicate whether interest rate remains the same (fixed) or changes (variable) over the life of the loan. ☞ If answered "variable", provide the starting rate and the index the variable rate is tied to. |

- Is the loan secured?
☐ Yes ☐ No

✓ If collateral is used to secure the loan, answer “yes”—otherwise, answer “no”.

Form 2: CalCAP/EVCS Lender Certification

Lender Certification Section

CALIFORNIA CAPITAL ACCESS PROGRAM
 California Pollution Control Financing Authority
CalCAP@treasurer.ca.gov

Mailing Address: P.O. Box 942809
 Sacramento, CA 94209-0001
 Fax (916) 589-2805

Borrower Name

Lender Loan Number

LENDER CERTIFICATION

Enrolling a loan in the EVCS Financing Program requires the Participating Financial Institution to certify to each of the following Program Regulations.

*All capitalized terms are defined in the 4 CCR §8070 & §8078.3 of the California Code of Regulations.

- 1) The loan is a Qualified Loan as defined in 4 CCR §8078.3 of the California Code of Regulations.
- 2) The business receiving the Qualified Loan is a Qualified Business, as defined in 4 CCR §8078.3 of the California Code of Regulations.
- 3) The Participating Financial Institution will provide information from financial records of the Borrower upon request of the Executive Director of the CPCFA, and the Participating Financial Institution has obtained the consent of the Borrower to such disclosure.
- 4) The Participating Financial Institution has obtained a written representation from the Borrower that the Borrower has no legal, beneficial or equitable, interest in the Fees or the CalCAP contribution.
- 5) The total amount of loans enrolled for the Borrower in the EVCS Financing Program does not exceed \$500,000.
- 6) The Participating Financial Institution has obtained a written representation from the Borrower that it has secured or made application for all applicable licenses or permits needed to conduct its business and carry out the purpose of the loan.
- 7) The Participating Financial Institution has not, and will not, enroll the same loan or portion thereof in any other government program substantially similar to the Program.
- 8) The Borrower has received CPCFA's CalCAP/EVCS Privacy Notice.
- 9) The Participating Financial Institution acknowledges that its lending activities are subject to safety and soundness standards as set forth in any applicable lending regulations.

Field:

Information Needed:

- Borrower Name

- ✓ Name of borrower.
 ☞ Field will auto-fill if form is completed electronically.

- Lender Loan Number

- ✓ List the unique loan number associated with the borrower's loan.
 ☞ If the enrollment is a pre-qualification request, leave field blank.
 ☞ Field will auto-fill if form is completed electronically.

Signature and Certification Section (continued)

By signing below and enrolling this loan the Participating Financial Institution certifies, based in part on information provided by the Borrower, that each of the above assurances is true and accurate.

 Authorized Lender Signature

 Title

 Date

 Authorized Lender Printed Name

| Field: | Information Needed: |
|----------------------------------|---|
| ▪ Authorized Lender Signature | ✓ To be signed by the lender-designated authorized signer. |
| ▪ Title | ✓ Title of the lender-designated authorized signer. |
| ▪ Date | ✓ Date the enrollment was signed. |
| ▪ Authorized Lender Printed Name | ✓ Full printed name of the lender-designated authorized signer. |

Form 3: CalCAP/EVCS Borrower Eligibility Certification

Section I – Borrower Eligibility Criteria and Self-Certification

**SECTION I
CALCAP EVCS FINANCING PROGRAM ELIGIBILITY**

By initialing on each line, Borrower certifies to eligibility under the CalCAP EVCS Financing Program.

(a) _____ Borrower will use the program only to purchase and install electric vehicle charging stations (EVCS) in compliance with the California Energy Commission's Alternative and Renewable Fuel and Vehicle Technology Program (ARFVTP) (California Health and Safety Code Section 44272) and the EVCS Financing Program Regulations. Eligible acquisitions with loan proceeds include:

- Design and development of EVCS in locations accessible to either the Borrower's employees, the Borrower's tenants if in an Multi-Unit Dwelling (MUD), or the public generally;
- Acquisition of EVCS, supply equipment, electric panel or grid improvements, materials and supplies (including conduit and construction materials), signage, and hardware and software necessary for fully operational charging stations;
- Labor to install fully operational charging station(s).

(b) _____ Borrower certifies that the acquisition and installation of EVCS subject to the statute referenced in the above statement meets all other CalCAP EVCS Financing Program requirements.

(c) _____ Borrower understands they may be eligible for a Borrower Rebate at an amount of 50 percent of the Program premium contribution, contingent upon: repayment of the enrolled loan amount or 48 months from the date of first disbursement of the enrolled loan, whichever occurs first; loan payments were made in a timely manner with no more than one 30 day late payment over the term of the loan; submission of a EVCS Certificate of Commissioning; and a certification that any outstanding balance of the loan repaid at the time of application for the Borrower Rebate was not refinanced into another credit structure with any Participating Financial Institution.

Initial (d) and (e) only if applicable:

(d) _____ Borrower certifies that the location of the installed EVCS is in a multi-unit dwelling property as defined in the EVCS Financing Program Regulations.

(e) _____ Borrower certifies that the location of the installed EVCS is in a disadvantaged community as defined in the EVCS Financing Program Regulations.

| Field: | Information Needed: |
|-----------------------|--|
| ▪ Yellow Blank Spaces | ✓ Borrower to initial the statement(s) if applicable. Each statement must be initialed for the loan to be eligible for CalCAP enrollment. |
| ▪ Green Blank Spaces | ✓ These statements should only be initialed by the borrower if the EVCS will be installed in a Multi-Unit Dwelling, a Disadvantaged Community, or both as defined in the EVCS Financing Program Regulations. |

| Section II – Borrower Eligibility Criteria and Self-Certification | |
|--|--|
| <div style="border: 1px solid black; padding: 10px;"> <div style="text-align: right;"> Borrower Name _____ Lender _____ Lender Loan # _____ </div> <p style="text-align: center;">SECTION II CALCAP EVCS FINANCING PROGRAM BUSINESS ELIGIBILITY</p> <p>By initialing on each line, the Borrower certifies to eligibility under EVCS Financing Program.</p> <p>(a) _____ Borrower is a qualified business defined as follows:</p> <ul style="list-style-type: none"> • "Qualified Business" means any entity eligible under section 8078.3(i) that together with its affiliates has 1,000 or fewer employees. <p>(b) _____ Borrower certifies the EVCS installation is located within the boundaries of the State of California.</p> <p>(c) _____ Borrower certifies that it has legal control of the EVCS installation site for a term that is equal to or greater than the length of the enrolled loan, and will assume financial liability of the loan.</p> <p>(d) _____ Borrower agrees to allow the participating financial institution to provide information from financial records of the Borrower upon request of the Executive Director of CPCFA.</p> <p>(e) _____ Borrower has no legal, beneficial, or equitable interest in the CalCAP contribution.</p> <p>(f) _____ Borrower does not have a total principal amount in excess of \$500,000 enrolled in the CalCAP EVCS Financing Program at any participating financial institution.</p> <p>(g) _____ Borrower has received the CPCFA CalCAP/EVCS Financing Program Privacy Notice dated August 1, 2015.</p> <p>(h) _____ Borrower is not: an executive officer, director or principal shareholder of the lender/ participating financial institution; a member of the immediate family of those individuals; or a related interest of those individuals.</p> </div> | |

| Field: | Information Needed: |
|-----------------------|--|
| ▪ Yellow Blank Spaces | ✓ Borrower to initial the statement(s) if applicable. Each statement must be initialed for the loan to be eligible for CalCAP enrollment. |

Section III – Borrower Eligibility Criteria and Self-Certification

SECTION III CALCAP EVCS FINANCING PROGRAM PROJECT ELIGIBILITY

By initialing on each line, the Borrower certifies that each statement below is true and correct. Please also provide the applicable information in the table below, including the EVCS manufacturer and model purchased with EVCS Financing Program loan proceeds.

(a) ☐ If the EVCS installation financed through this Program is a part of a larger construction project carried out by the Borrower, the enrolled amount of the loan in this Program is the portion of costs of the total project as reasonably allocated to the installation and operation of the EVCS, as documented by the master contractor and/or installer of the EVCS.

(b) ☐ Borrower certifies that the facility at which the EVCS will be installed is not any of those prohibited by the CalCAP regulations, including: massage parlor, hot tub facility, racetrack, facility primarily used for gambling or to facilitate gambling, liquor store, bars, a store or other facility whose principal business is the sale of firearms, a store or other facility whose principal business is the manufacture or sale of tobacco or tobacco products, escort service, nudist camp, adult entertainment (including strip clubs, adult book stores, and businesses whose principal business is the sale of pornography), gun club, shooting range or gallery.

(c) ☐ Borrower has secured or made application for all applicable licenses or permits needed to install and operate the EVCS to be procured with the Qualified Loan.

(d) ☐ Borrower agrees to allow California Energy Commission staff or its designee to inspect the EVCS and EVCS installation site.

(e) ☐ Borrower certifies that minimum technical requirements for direct current (DC) fast chargers include: 1) either the CHAdeMO standard, or the SAE combination standard (CCS), or a combination of both; and 2) EVCS' use an open standard protocol for purposes of network interoperability. Level 2 charging equipment must meet the SAE J1772 standard and use an open standard protocol. The open standard protocol is waived by CPCFA for medium-and heavy-duty EVCS.

(f) ☐ Borrower acknowledges awareness of potential regulations from the California Department of Food and Agriculture, Division of Measurement Standards, governing the retail sale of electricity from EVCS. Once effective, installed EVCS may be required to adhere to adopted regulation requirements. Please see www.cdfa.ca.gov for more information.

Field:

Information Needed:

▪ Yellow Blank Spaces

✓ Borrower to initial the statement(s) if applicable. Each statement **must** be initialed for the loan to be eligible for CalCAP enrollment.

Last Page of the Borrower Certification

| | |
|---|--|
| <div style="text-align: right;"> Borrower Name: _____ Lender: _____ Lender Loan #: _____ </div> | |
| Additional Information for Completion by the Borrower | |
| Manufacturer: | |
| Model(s): | |
| Total Units to be Purchased: | |
| Number of Networked Communication Units: | |
| Total number of charging ports: | |
| Total EVCS Cost: | |
| Estimated installation cost: | |
| | |

(Business Name)

(Print Borrower's Name)

(Borrower's Signature)

(Business Address)

(CPCFA Review: Signature and Title)

(Date)

(Phone Number)

(Date)

If one or more EVCS will be installed at a single location, please complete all fields on page 5 of the EVCS Financing Program Loan Enrollment Application.

If EVCS will be installed at multiple locations, complete the fields on page 5 of the EVCS Financing Program Loan Enrollment Application according to the instructions below, and complete the CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects for each EVCS project location. The supplemental form is available on the CalCAP EVCS Financing Program website: <http://www.treasurer.ca.gov/cpcfa/calcap/evcs/supplemental.pdf>

| Field: | Information Needed: |
|--|--|
| <ul style="list-style-type: none"> ▪ Manufacturer ▪ Model(s) ▪ Total Units to be Purchased ▪ Number of Networked Communication Units ▪ Total number of charging ports ▪ Total EVCS Cost ▪ Estimated installation cost | <ul style="list-style-type: none"> ✓ Name of the EVCS manufacturer(s) at that project location. ☞ If EVCS will be installed at multiple locations, leave blank. Provide on the Supplemental Form for Multiple EVCS Projects. ✓ Name of the EVCS model(s) at that project location. ☞ If EVCS will be installed at multiple locations, leave blank. Provide on the Supplemental Form for Multiple EVCS Projects. ✓ Number of individual EVCS to be purchased. ☞ If EVCS will be installed at multiple locations, indicate the cumulative number of units purchased. ✓ Number of charging stations that communicate with a network. ☞ If EVCS will be installed at multiple locations, indicate the cumulative Number of Networked Communication Units. ✓ Number of charging ports available for use by electric vehicles at that EVCS project location. ☞ If EVCS will be installed at multiple locations, indicate the cumulative number of charging ports. ✓ Total costs related to the acquisition of the hardware and software necessary and allocable for the charging station unit(s). ☞ If EVCS will be installed at multiple locations, indicate the cumulative cost of the hardware and software. ✓ All other costs related to the design, development, operation, servicing, installation, maintenance, and other hardware costs necessary and allocable for fully operational charging station(s). ☞ If EVCS will be installed at multiple locations, indicate the cumulative Estimated Installation Cost. ☞ Do not include any operation, servicing, or maintenance costs in the loan if the borrower's primary business is EVCS installation, operation, or manufacturing. |

| Field: | Information Needed: |
|---|---|
| <ul style="list-style-type: none"> ▪ Business Name ▪ Print Borrower's Name ▪ Borrower's Signature ▪ Date ▪ Business Address ▪ Phone Number ▪ CPCFA Review: Signature and Title ▪ Date | <ul style="list-style-type: none"> ✓ List the business' name as written on the first page of the EVCS Financing Program Loan Enrollment Application. ✓ Print the borrower's name (must be the name of the <u>individual</u> signing the certification) ✓ Please provide the Borrower's signature. ✓ Date borrower signed the certification. ✓ List the business address as written on the first page of the EVCS Financing Program Loan Enrollment Application. ✓ List the business phone number. ✓ Do not write on this line (CalCAP use only). ✓ Do not write on this line (CalCAP use only). |

Instructions for Completing the CalCAP/EVCS Financing Program Supplemental Form for Multiple EVCS Projects

This section provides instructions for lenders on how to complete the CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects, which is used as a supplement to the Loan Enrollment Application if electric vehicle charging stations will be financed with the proceeds from a single loan and installed at **multiple** locations. Lenders should complete one EVCS Project Site chart (see below) for each EVCS project location that will be financed using the loan.

A copy of the CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects can be found in Chapter VIII of this manual. However, lenders should always check CalCAP's website for the most current version of the application:

☞ <http://www.treasurer.ca.gov/cpcfa/calcap/evcs/supplemental.pdf>

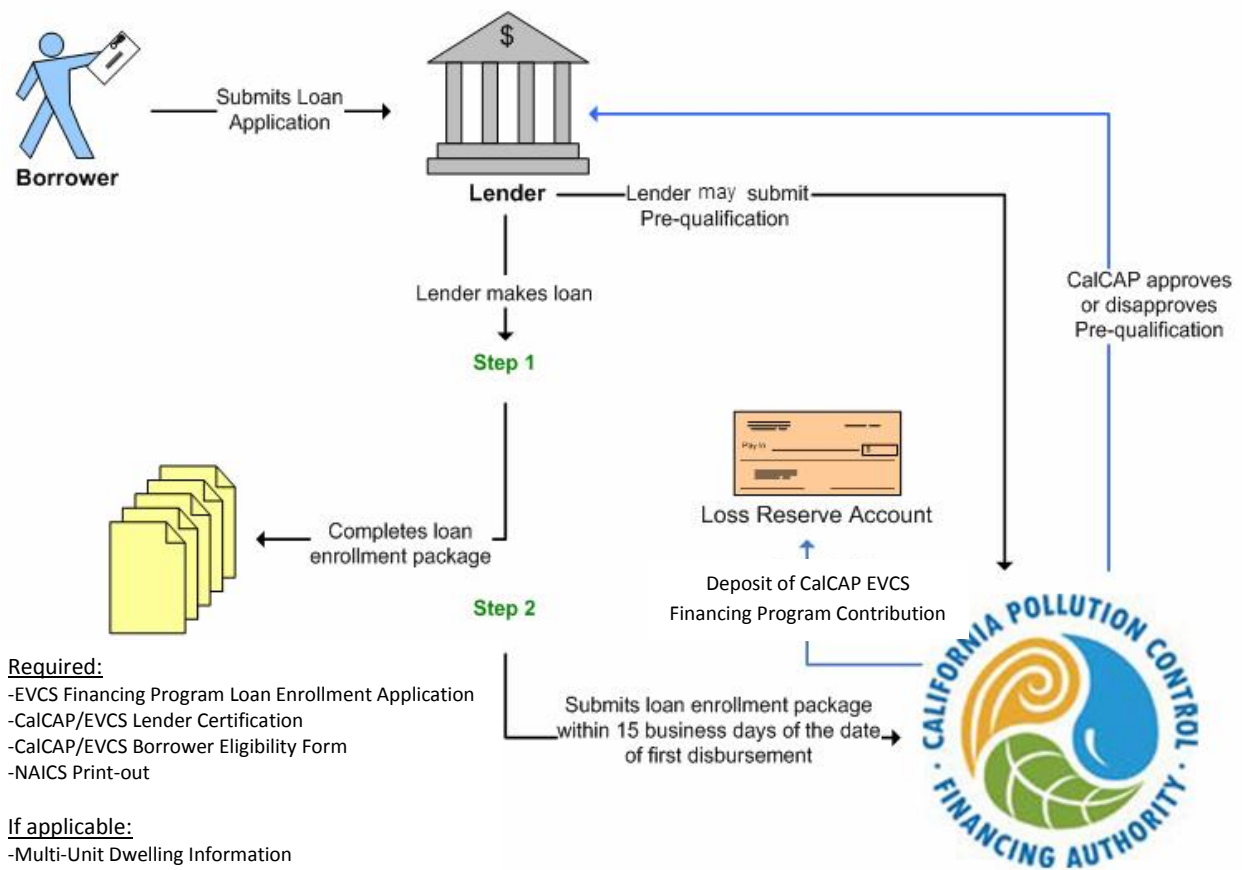
Form 4: CalCAP/EVCS Financing Program Supplemental Form for Multiple EVCS Projects

| EVCS Project Site Section | | | |
|---|---|----------------------|---|
| California Pollution Control Financing Authority CalCAP@treasurer.ca.gov | | Lender Loan #: _____ | |
| Participating Lender: _____ | | Borrower Name: _____ | |
| CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects | | | |
| EVCS Project Site # _____ | Name of Project Site | _____ | Is EVCS installation in a MUD? <input type="checkbox"/> |
| | Street Address | _____ | Is EVCS installation in a DAC? <input type="checkbox"/> |
| | City | _____ | Manufacturer _____ |
| | County | _____ | Model(s) _____ |
| | Zip Code | _____ | Total Units to be Purchased _____ |
| | Project Business Type <input type="checkbox"/> | _____ | Number of Networked Communication Units _____ |
| | Type of Business/Activities | _____ | Total Number of Charging Ports _____ |
| | Project NAICS Code | _____ | Total EVCS Cost _____ |
| | Project Census Tract # | _____ | Estimated Installation Cost _____ |
| | When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805 | | |
| | Page ____ of ____ | | |

| Field: | Information Needed: |
|--|---|
| ▪ Lender Loan # | <ul style="list-style-type: none"> ✓ List the unique loan number associated with the borrower's loan. ☞ If the enrollment is a pre-qualification request, leave field blank. |
| ▪ Borrower Name | <ul style="list-style-type: none"> ✓ Name of business. |
| ▪ EVCS Project Site # | <ul style="list-style-type: none"> ✓ Indicate the number pertaining to that EVCS project installation site (1, 2, 3, 4, 5, 6, 7, 8, 9...). |
| ▪ Name of Project Site | <ul style="list-style-type: none"> ✓ Name of the business, government entity, property management company, non-profit, etc. where the EVCS(s) will physically be installed and operational. |
| ▪ Street Address, City, County, Zip Code | <ul style="list-style-type: none"> ✓ Physical address where the EVCS(s) will be installed. |
| ▪ Project Business Type | <ul style="list-style-type: none"> ✓ Indicate at which of the following locations the EVCS(s) will be installed: <ul style="list-style-type: none"> ➤ Small business (1,000 or fewer employees) ➤ Large Business (more than 1,000 employees) ➤ Government Entity ➤ Non-Profit |
| ▪ Type of Business/ Activities | <ul style="list-style-type: none"> ✓ List the function of the business or entity where the EVCS(s) will be installed. "What does the business do?" (e.g. retail sales, carpet cleaning, burger restaurant, etc.) |
| ▪ Project NAICS Code | <ul style="list-style-type: none"> ✓ Six digit number used by the North American Industry Classification System (NAICS) to categorize business types. Please provide the most current print-out of the applicable NAICS code for the borrower's business. This NAICS Code must correspond with the EVCS project installation site. ☞ http://www.census.gov/eos/www/naics/ |
| ▪ Project Census Tract # | <ul style="list-style-type: none"> ✓ 11-digit number used to identify the specific location of a business to provide more reporting consistency and uniformity. This Census Tract # must correspond with the EVCS project installation site. ☞ https://geomap.ffiec.gov/FFIECGeocMap/GeocodeMap1.aspx |
| ▪ Is EVCS Installation in a MUD? | <ul style="list-style-type: none"> ✓ Indicate whether the EVCS(s) will be installed in a Multi-Unit Dwelling (MUD) as described in CalCAP Regulations 8078.3: <i>"Multi-Unit Dwelling" or "MUD" means a classification of housing where multiple housing units are contained within one building or multiple buildings within a complex or community. Common types of MUDs include duplexes, townhomes, and apartments, mobile homes and manufactured-home parks.</i> ✓ The following must be provided if EVCS(s) will be installed in a MUD: <ul style="list-style-type: none"> ➤ The type of Multi-Unit Dwelling in which the EVCS(s) will be installed ➤ The name of the property (if applicable) ➤ The total number of units in the Multi-Unit Dwelling |

| | |
|---|---|
| <ul style="list-style-type: none"> ▪ Is EVCS Installation in a DAC? | <ul style="list-style-type: none"> ✓ Indicate whether the EVCS(s) will be installed in a Disadvantaged Community (DAC) as described in CalCAP Regulations 8078.3: <i>“Disadvantaged Communities” means the top twenty five (25) percent of communities that are disproportionately affected by environmental pollution and socioeconomic characteristics as described by CalEnviroScreen 2.0 Tool.</i> <ul style="list-style-type: none"> ☞ Follow the instructions in Section III B.1 to determine whether the EVCS will be installed in a DAC. If “yes”, provide a print-out of the most recent “Qualified Disadvantaged Communities” list with the EVCS Financing Program Loan Enrollment Application and the applicable data highlighted. |
| <ul style="list-style-type: none"> ▪ Manufacturer | <ul style="list-style-type: none"> ✓ Name of the EVCS manufacturer(s) at project location. |
| <ul style="list-style-type: none"> ▪ Model(s) | <ul style="list-style-type: none"> ✓ Name of the EVCS model(s) at project location. |
| <ul style="list-style-type: none"> ▪ Total Units to be Purchased | <ul style="list-style-type: none"> ✓ Number of individual EVCS to be purchased and installed at that project location using the proceeds from this loan. |
| <ul style="list-style-type: none"> ▪ Number of Networked Communication Units | <ul style="list-style-type: none"> ✓ Number of charging stations that communicate with a network. |
| <ul style="list-style-type: none"> ▪ Total Number of Charging Ports | <ul style="list-style-type: none"> ✓ Number of charging ports available for use by electric vehicles at project location. |
| <ul style="list-style-type: none"> ▪ Total EVCS Cost | <ul style="list-style-type: none"> ✓ Total costs related to the acquisition of the hardware and software necessary and allocable for the charging station unit(s). |
| <ul style="list-style-type: none"> ▪ Estimated Installation Cost | <ul style="list-style-type: none"> ✓ All other costs related to the design, development, operation, servicing, installation, maintenance, and other hardware costs necessary and allocable for fully operational charging station(s). . <ul style="list-style-type: none"> ☞ Do not include any operation, servicing, or maintenance costs if the borrower’s primary business is EVCS installation, operation, or manufacturing. |
| <ul style="list-style-type: none"> ▪ Page ____ of ____ | <ul style="list-style-type: none"> ✓ Indicate the corresponding page number and the total quantity of pages of the CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects which will be submitted for this loan. <ul style="list-style-type: none"> ☞ If only one page will be submitted, write “Page 1 of 1” |

Summary CalCAP EVCS Financing Program Loan Enrollment Flow



Required:

- EVCS Financing Program Loan Enrollment Application
- CalCAP/EVCS Lender Certification
- CalCAP/EVCS Borrower Eligibility Form
- NAICS Print-out

If applicable:

- Multi-Unit Dwelling Information
- “Qualified Disadvantaged Communities” Print-Out
- CalCAP EVCS Financing Program Supplemental Form for Multiple EVCS Projects