

CERTIFICATION TO PARTICIPATE IN THE CALIFORNIA CAPITAL ACCESS PROGRAM

California Pollution Control Financing Authority (CPCFA)

California Capital Access Program (CalCAP)

CalCAP@treasurer.ca.gov

(916) 654-6510

Mailing Address: P.O. Box 942809

Sacramento, CA 94209-0001

Fax (916) 589-2805

Name of Financial Institution:

Taxpayer ID Number/EIN:

CalCAP Lender ID#:

Contact Person Name:

Address:

City:

State:

Zip Code:

Phone:

Email:

Pursuant to CalCAP Regulations (4 CCR Div.11, Art.7), this Participating Financial Institution:

- Certifies to adhere to the CalCAP Program's policies as set forth in the law and regulations regarding the California Capital Access Program.

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- Certifies that it is not subject to a cease and desist order or other regulatory sanction with the appropriate federal or state regulatory body, which would impair its ability to participate in the Program.
- Certifies that there have been no changes to the status of the financial institution since the previous certifications that was submitted to CalCAP. In the event a change of status occurs (e.g. type of institution, board of directors, etc.), an amended CalCAP Financial Institution Application must be submitted.
- Acknowledges that the Authority and the State will have no liability to the Participating Financial Institution under the Program except from funds deposited in the Loss Reserve Account for the Participating Financial Institution.
- Certifies that it will make available to the Authority all books and records related to the use of funds when requested and agrees to permit an audit of its records relating to enrolled Qualified Loans, during normal business hours on its premises, by the Authority or its agents, and to supply such other information concerning enrolled Qualified Loans as shall be requested by the Executive Director.
- Certifies that it is in compliance with the requirements of 31 C.F.R. §103.121, the Right to Financial Privacy Act (12 U.S.C. § 3401 et seq.).
- Certifies to have policies and procedures in place requiring the maintenance of enrolled loan records.
- Certifies to provide updated authorized signers and lender contact lists.
- Certifies that the institution maintains its authority to do business and is in compliance with all of its regulatory agencies.

* All capitalized terms are defined in California Code of Regulations, Title 4, Division 11, Article 7 of CPCFA Regulations.

Program(s) Using:

- CalCAP for Small Business** **CalCAP Collateral Support** **CalCAP ZEHDV**
 CalCAP ZEHDI **CalCAP ZETBIF** **CalCAP ADA** **CalCAP Seismic Safety**

Any Participating Financial Institution which fails to comply with the above certifications may be suspended from receiving CalCAP contributions.

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Authorized Signature:

Printed Name of Authorized Signer:

Title of Authorized Signer:

Date:

CalCAP Use Only

Federally-chartered bank, State-chartered bank, Savings Association or Credit Union (check the current S&P GMI's Rating):

CDFI (confirm certification on CDFI List - <https://www.cdfifund.gov/programs-training/certification/cdfi>) and (confirm if eligible to do business in California - <https://bizfileonline.sos.ca.gov/search/business>)

Finance Lender (confirm lender is certified by California's Department of Financial Protection and Innovation (DFPI) - <https://docqnet.dfpi.ca.gov/licensesearch/>) and (confirm if eligible to do business in California - <https://bizfileonline.sos.ca.gov/search/business>)

Approved for enrollment

Rejected for enrollment

Analyst's Initials:

Date:

Manager's Signature:

Date:

When complete, please send to: CalCAP@treasurer.ca.gov