

IX. SAMPLE LOAN ENROLLMENT APPLICATIONS, CERTIFICATIONS & FORMS

Samples of forms required by CalCAP are provided in this Chapter for quick reference. Lenders should refer to the CalCAP website to download the most current forms:

 <https://www.treasurer.ca.gov/cpcfca/calcap/evcs/index.asp>

1. CalCAP EVCS Financing Program Loan Enrollment Application

CALIFORNIA CAPITAL ACCESS PROGRAM
 California Pollution Control Financing Authority
CalCAP@treasurer.ca.gov
 (916) 654-5610

CalCAP Use Only	CalCAP Loan #
	Date Received

CALCAP ELECTRIC VEHICLE CHARGING STATION (EVCS) FINANCING PROGRAM LOAN ENROLLMENT APPLICATION

Lender Information

Participating Lender _____ Lender ID # _____
 Lender Contact Name _____ Phone _____
 Lender Contact Email _____

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? Yes 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.fiec.gov/Geocode/default.aspx>
 Description of Eligible Project Costs (Purpose of Loan) _____
 Is EVCS installation in a Multi-Unit Dwelling? Yes No
 Is EVCS installation in a Disadvantaged Community? Yes No
 Is business minority owned? Yes No Decline to Answer
 Is business woman owned? Yes No Decline to Answer
 Is business veteran owned? Yes No Decline to Answer

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

When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805

Revised August 15, 2017

2. CalCAP EVCS Lender Certification

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			
<p>Enrolling a loan in the EVCS Financing Program requires the Participating Financial Institution to certify to each of the following Program Regulations.</p> <p>* All capitalized terms are defined in the 4 CCR §8070 & §8078.3 of the California Code of Regulations.</p> <ol style="list-style-type: none"> 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. <p>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.</p>			
_____ Authorized Lender Signature	_____ Title	_____ Date	
_____ Authorized Lender Printed Name			
California Pollution Control Financing Authority Use Only			
CalCAP Loan Number: _____	Analyst's Initials: _____	Date: _____	Reviewer's Initials: _____
Premium Percentage: _____ %	FUND: _____		Notes:
Premium Amount: \$ _____	Rebate Amount: \$ _____		
Authorized Signature: _____			Date: _____

When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805

Revised August 15, 2017

3. CalCAP EVCS Borrower Certification

(1 of 3 pages)

<p>Borrower Name: _____ Lender: _____ Lender Loan #: _____</p>
<p>CALCAP ELECTRIC VEHICLE CHARGING STATION FINANCING PROGRAM BORROWER ELIGIBILITY CRITERIA AND SELF- CERTIFICATION</p>
<p>The undersigned Borrower hereby applies to the California Pollution Control Financing Authority (CPCFA) for participation in the CalCAP Electric Vehicle Charging Station Financing Program (EVCS Financing Program).</p>
<p>SECTION I CALCAP EVCS FINANCING PROGRAM ELIGIBILITY</p>
<p>By initialing on each line, Borrower certifies to eligibility under the CalCAP EVCS Financing Program.</p>
<p>(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:</p> <ul style="list-style-type: none">• 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).
<p>(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.</p>
<p>(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.</p>
<p>Initial (d) and (e) only if applicable:</p>
<p>(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.</p>
<p>(e) _____ Borrower certifies that the location of the installed EVCS is in a disadvantaged community as defined in the EVCS Financing Program Regulations.</p>
<p>When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805</p>
<p>August 15, 2017</p>

CalCAP EVCS Borrower Certification

(2 of 3 pages)

Borrower Name: _____ Lender: _____ Lender Loan #: _____

**SECTION II
CALCAP EVCS FINANCING PROGRAM BUSINESS ELIGIBILITY**

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

(a) _____ Borrower is a qualified business defined as follows:

- "Qualified Business" means any entity eligible under section 8078.3(i) that together with its affiliates has 1,000 or fewer employees.

(b) _____ Borrower certifies the EVCS installation is located within the boundaries of the State of California.

(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.

(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.

(e) _____ Borrower has no legal, beneficial, or equitable interest in the CalCAP contribution.

(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.

(g) _____ Borrower has received the CPCFA CalCAP/EVCS Financing Program Privacy Notice dated August 1, 2015.

(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.

**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.cdffa.ca.gov for more information.

When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805 August 15, 2017

CalCAP EVCS Borrower Certification

(3 of 3 pages)

Borrower Name: _____ Lender: _____ Lender Loan #: _____	
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)	_____ (Date)
_____ (Business Address)	_____ (Phone Number)
_____ (CPCFA Review: Signature and Title)	_____ (Date)

When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805

August 15, 2017

4. CalCAP EVCS Financing Program Privacy Notice



CALIFORNIA POLLUTION CONTROL FINANCING AUTHORITY

Office Location: 801 Capitol Mall, 2nd floor
Sacramento, CA 95814
Mailing Address: P.O. Box 942809
Sacramento, CA 94209-0001
p (916) 654-5610
f (916) 657-4821
cpcfa@treasurer.ca.gov



CALIFORNIA CAPITAL ACCESS PROGRAM

PRIVACY NOTICE

The California Information Practices Act of 1977 (Civil Code §1798.17) requires that this notice be provided when a governmental agency collects the personal information of individuals. Name, address, telephone number, gender, and race of the borrower, guarantor and/or business owner, and business and financial information related to this loan is requested by the California Capital Access Program (CalCAP) of the California Pollution Control Financing Authority (CPCFA) for the purposes of statistical reporting on loan activities and assessing compliance with CalCAP program requirements. It is mandatory for the lender to provide this information to CalCAP. Failure to provide the information may result in rejection of the application.

The information may be disclosed under the following circumstances: (1) to consultants, auditors or contractors retained by the California Pollution Control Financing Authority where disclosure is required to fulfill CalCAP program requirements; (2) to another governmental entity where required by state or federal law; or (3) as otherwise required by law.

The agency official responsible for the maintenance of the personal information is the CalCAP Program Manager, at 801 Capitol Mall, 2nd Floor, Sacramento, CA 95814, Tel: (916) 654-5610. California Code of Regulations §8072 authorizes the solicitation and maintenance of the personal information requested. Borrowers have the right to access their information upon request by contacting the CalCAP Program Manager.

Copy to Borrower/Do Not Submit to CalCAP

Revised December 5, 2018

5. CalCAP EVCS Financing Program Borrower Rebate Request

<p>CALCAP EVCS FINANCING PROGRAM California Pollution Control Financing Authority Office Location: 801 Capitol Mall, 2nd Floor Sacramento, CA 95814 Telephone (916) 654-5610</p>	<p>Mailing Address: P.O. Box 942809 Sacramento, CA 94209-0001 CalCAP@treasurer.ca.gov Fax (916) 589-2805</p>	
CalCAP EVCS FINANCING PROGRAM BORROWER REBATE REQUEST		
<p>NOTE: A lender is required to notify the Authority within 90 calendar days of when the borrower does or does not qualify for the Rebate under Section 8078.7 of the Regulations. If the form is filled out properly, and the lender and borrower have complied with the EVCS Financing Program Regulations, CPCFA will authorize the payment of a Borrower Rebate from the Participating Financial Institution's Loss Reserve Account within 30 calendar days unless CPCFA requires additional information in order to validate payment of a Borrower Rebate.</p>		
<p><u>Lender Information</u></p> <p>Lender's CalCAP ID #: _____</p> <p>Participating Lender: _____</p> <p>Lender Contact: Name: _____ Phone: _____ Email: _____ Address: _____</p>	<p><u>Borrower Information</u></p> <p>CalCAP Loan Number: _____</p> <p>Business Name: _____</p> <p>DBA: _____</p> <p>Name of Responsible Person: _____</p> <p>Title: _____</p> <p>Mailing Address: _____ _____ _____</p> <p>Phone Number: _____</p>	
<p><u>Loan Information</u></p> <p>Original Principal Amount of Loan: _____</p> <p>Contribution Amount: _____</p> <p>Rebate Amount: _____</p>	<p>Date of Loan: _____</p> <p>Rebate Eligibility Date: _____</p>	
<p><u>Borrower Certification</u></p> <p>1.) Borrower certifies that he/she has provided the Participating Financial Institution with a copy of an Electric Vehicle Charging Station Certificate of Commissioning relative to the EVCS financed.</p> <p>2.) Borrower certifies 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.</p> <p>_____</p> <p>(Print Name of Responsible Person)</p> <p>_____ (Date)</p> <p>(Name of Responsible Person's Signature)</p>		
<p><u>Lender Certification</u></p> <p>1.) Lender certifies the Borrower had no more than one 30-day late payment on the Qualified Loan (evidence required).</p> <p>2.) Lender certifies the Qualified Loan has been paid off or forty-eight months have elapsed from the date of first disbursement of the Qualified Loan, whichever is sooner (evidence required).</p> <p>3.) Lender certifies that the Borrower has provided a copy of an Electric Vehicle Charging Station Certificate of Commissioning relative to the EVCS financed.</p> <p>_____ (Date)</p> <p>(Authorized Signature and Title)</p>		
<p>If the Borrower <u>does not</u> qualify for the Borrower Rebate, certify that the Borrower was notified of ineligibility by checking the box below and stating the reason for disqualification.</p> <p><input type="checkbox"/> The borrower does not qualify for the Borrower Rebate. Reason: _____</p> <p>_____ (Date)</p> <p>(Authorized Signature and Title)</p>		
<p>California Pollution Control Financing Authority Use Only</p>		
<p>Authorized Signature _____</p>	<p>Date _____</p>	<p>Amount \$ _____</p>
<p>When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805</p>		<p>Revised June 8, 2013</p>

6. CalCAP Notification Change in Loan Terms Form

<p>CALIFORNIA CAPITAL ACCESS PROGRAM California Pollution Control Financing Authority Office Location: 801 Capitol Mall, 2nd Floor Sacramento, CA 95814 Telephone (916) 654-5610</p>	<p>Mailing Address: P.O. Box 942809 Sacramento, CA 94209-0001 CalCAP@treasurer.ca.gov Fax (916) 657-4821</p>			
<p>CalCAP NOTIFICATION OF CHANGE IN LOAN TERMS</p>				
<p>Participating lenders must provide written notification of any change in material terms of a loan, including changes to the maturity date or interest rate, within 15 days of the effective date of the change.</p>				
<p>NOTE: For a loan amount increase, submit CalCAP Loan Enrollment Application, new lender and borrower certifications along with proof of fees deposited.</p>				
<p>Check which CalCAP Program: <input type="checkbox"/> Small Business <input type="checkbox"/> ARB <input type="checkbox"/> EVCS <input type="checkbox"/> ADA <input type="checkbox"/> Seismic Safety</p>				
Lender: _____	Lender's CalCAP ID #: _____			
Contact Person: _____	Phone: _____			
	Email: _____			
<u>Loan Information</u>				
Borrower: _____	Change Effective Date: _____			
CalCAP Loan Number: _____	Lender's Loan Number: _____			
Type of Change:				
<input type="checkbox"/> Interest Rate Change Effective Date: _____ New Interest Rate _____				
<input type="checkbox"/> Maturity Date Change Please submit an amended loan enrollment application, new lender and borrower certifications and complete the following two fields.				
Old Maturity Date _____				
New Maturity Date _____				
<input type="checkbox"/> Other (please provide supporting documentation) Please submit an amended loan enrollment application, new lender and borrower certifications and complete the following field.				
Describe the change(s) to the loan _____				
<p>By signing below, the Participating Financial Institution certifies that the above loan information is true and accurate.</p>				
_____	_____	_____		
Authorized Lender Signature	Title	Date		
Printed Name of Authorized Signer				
California Pollution Control Financing Authority Use Only				
CalCAP Review:	Analyst:	Date	Manager:	Date
Database Update:		<input type="checkbox"/> Approved <input type="checkbox"/> Rejected		
<input type="checkbox"/> If rejected, attach proof of transmittal to the lender				
When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805			Revised April 11, 2018	

7. CalCAP Financial Institution Claim Application

<p>CALIFORNIA CAPITAL ACCESS PROGRAM California Pollution Control Financing Authority Office Location: 801 Capitol Mall, 2nd Floor Sacramento, CA 95814 Telephone (916) 654-5610</p>	<p>Mailing Address: P.O. Box 942809 Sacramento, CA 94209-0001 CalCAP@treasurer.ca.gov Fax (916) 589-2805</p>	
CalCAP FINANCIAL INSTITUTION CLAIM APPLICATION		
<p>NOTE: A lender is required to notify the Authority within 120 days of when the lender has charged off all or part of a qualified loan as a result of default by a borrower. If the form is filled out properly and the lender has faithfully complied with CalCAP requirements, CPCFA will authorize the Program trustee to reimburse the lender from the lender's loss reserve account within 30 business days.</p>		
<u>Lender and Borrower Information</u>		
Participating Lender: _____	Lender's CalCAP ID #: _____	
Lender Contact Name: _____	CalCAP Loan Number: _____	
Phone: _____	Borrower's Name: _____	
Address: _____	Borrower DBA: _____	
<u>Loan Information</u>		
Original Principal Amount of Loan: _____	Date of Loan: _____	
Default Amount: _____	Date of Default: _____	
Is this loan secured? <input type="checkbox"/> Yes <input type="checkbox"/> No	Date of Charge-off: _____	
If yes, what form of security _____		
Was the loan in the first \$1 million of CalCAP loans made by lender? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Have enforcement proceedings begun? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Lender's priority of claim (If two or more claims filed by lender): _____		
<u>Claim Information</u>		
Outstanding Principal	\$ _____	
Liquidated Collateral	\$ _____	
Accrued and Unpaid Interest	\$ _____	
Out-of-pocket expenses (Attach detailed explanation)	\$ _____	
Total	\$ _____	
Please attach a complete transaction history report, a short narrative of the loan history, receipt(s), and Bill of Sale(s) (if applicable).		
<ul style="list-style-type: none"> • The lender warrants this claim is being filed within 120 days of the loan being charged off and that charge-off was consistent with the lender's usual methods for taking action on loans not enrolled in the Program. • Lender will, as CPCFA's agent, pursue additional recovery on this defaulted loan through legal proceedings, seizure and liquidation of collateral, guarantees, and/or other sources. • Lender certifies it has given notice to the Authority of the initial enrollment of the loan in CalCAP, and either: <ul style="list-style-type: none"> (1) has given notice to the Authority of any renewals or extensions of the loan; or (2) the loan was continuously renewed or extended since the date of its initial enrollment in CalCAP. • This claim is for a loan that the undersigned holds, or a loan that has been assigned, transferred, or pledged to another entity pursuant to prior authorization by CPCFA. 		
Authorized Signature _____	Date _____	
Title _____		
California Pollution Control Financing Authority Use Only		
Authorized Signature _____	Date _____	Amount \$ _____
When complete, please send to: CalCAP@treasurer.ca.gov or by fax (916) 589-2805		Revised August 15, 2017