
DoBS Portal

Corporation Finance

External User Guide

Version – 1.0

Contents

Document Purpose.....	3
DoBS Portal Information.....	3
Access and User Authentication	3
Program Selection	5
Securities – Corporation Finance Dashboard	6
Submitting a Filing.....	6
Select the Appropriate Filing Type	7
Offering Amount	8
Download Forms and Attach Documents.....	9
Certification and Payment	10
Next Steps.....	11

Document Purpose

The Commonwealth of Pennsylvania (CWOPA) Department of Banking and Securities (DoBS) has launched a DoBS Portal to allow for Issuers to submit registration, exemption, and investment filings. This document is to provide the steps on how to use the external side of the DoBS Portal.

DoBS Portal Information

The DoBS Portal can be accessed using the URL provided below:

[DoBS - Portal \(pa.gov\)](https://pa.gov)

Access and User Authentication

The DoBS Portal uses Keystone authentication which is used across other Commonwealth of Pennsylvania websites. The user will need to create a Keystone Login Account to proceed with using the DoBS Portal. This document does not include any Keystone related documentation, but links are available on the log-in screen for additional references.

External User Guide



A Keystone Login account is required to access the DoBS Portal. If you have not already done so, create a Keystone Login account and log in below.

Browser Recommendation: Google Chrome

- Create a Keystone Login Account
- **Please note:** The first time that you log in you will be directed to a registration page where you will establish your profile.

Keystone Login Help Desk

On May 18, 2020, the Commonwealth of Pennsylvania will be opening the Keystone Login Help Desk for Keystone Login users. For all questions, concerns and issues with Keystone Login, please contact the new Help Desk at 877-328-0995.

DoBS Portal Support

Resources: DoBS Portal FAQ DoBS Portal User Guide
For resources and support visit this site.

DoBS Portal

Use your Keystone Login Username and Password to Login

Login



Learn more about Keystone Login

Keystone Support

Keystone Login Help Desk Number: 877-328-0995

Keystone Login Help Desk Email:
KeystoneLoginSupport@randstadusa.com

Register

Forgot Username?

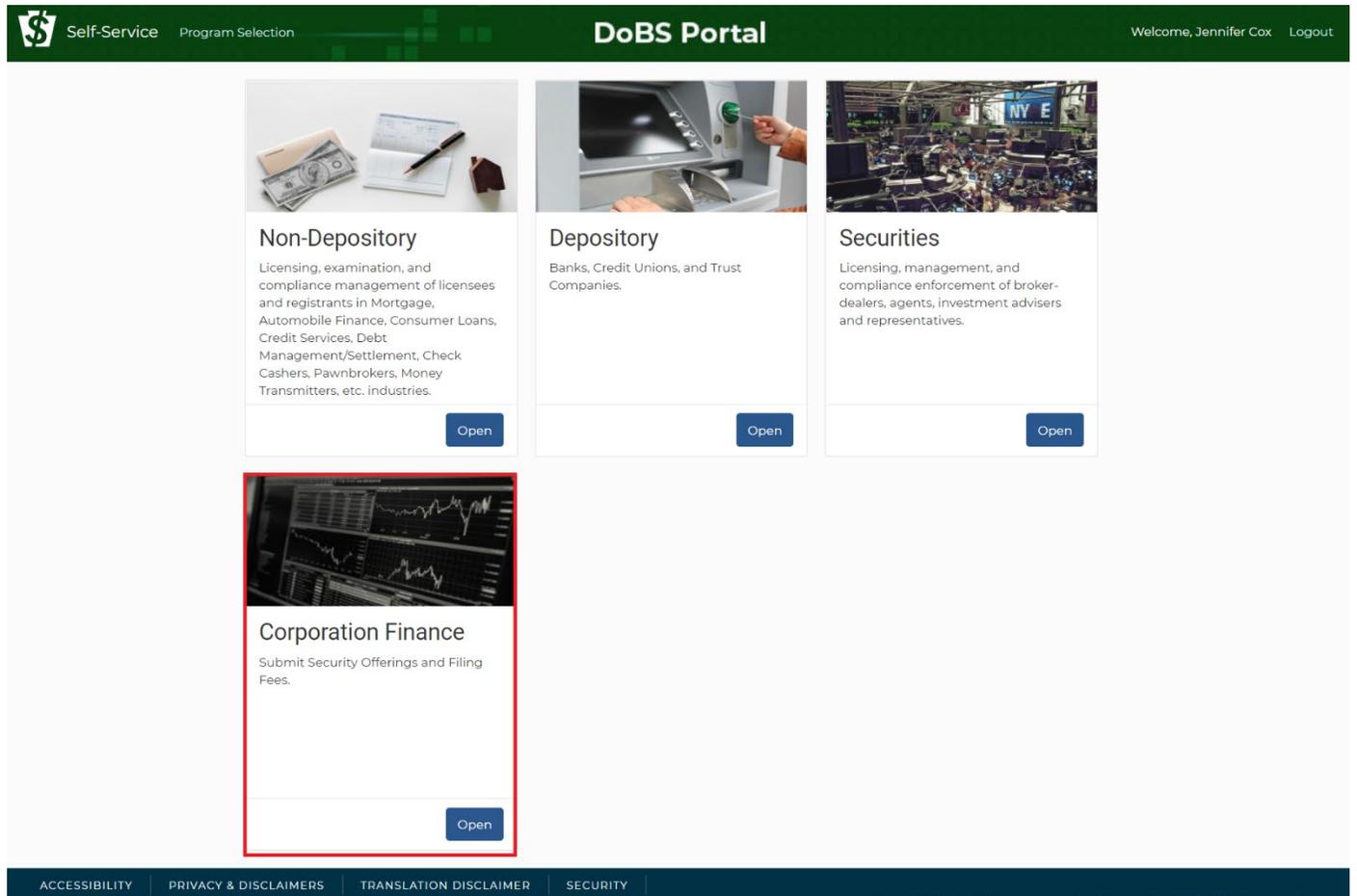
Forgot Password?

Having trouble registering?

Now available: Unlock your Keystone Login account with a one-time passcode. Go to the Keystone Login portal, log in, and select Edit Account to add an email address.

Program Selection

The DoBS Portal will be used by the different programs within the Department of Banking and Securities. Once the user has logged-in successfully, the user will be prompted to select the applicable Program. This document is focused on the Securities – Corporation Finance program; selecting Securities - Corporation Finance would allow the user to proceed.



The screenshot shows the DoBS Portal interface. At the top, there is a green navigation bar with a dollar sign icon, "Self-Service", "Program Selection", "DoBS Portal", and "Welcome, Jennifer Cox Logout". Below this, there are four program selection cards. The "Corporation Finance" card is highlighted with a red border. Each card includes a representative image, a title, a brief description, and an "Open" button.

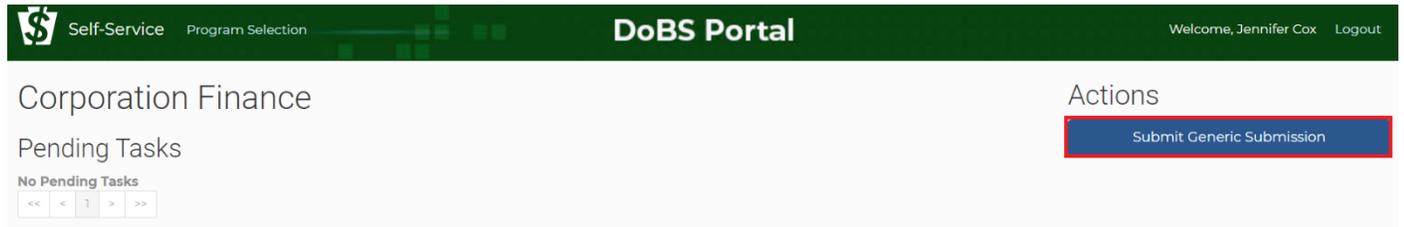
Program	Description
Non-Depository	Licensing, examination, and compliance management of licensees and registrants in Mortgage, Automobile Finance, Consumer Loans, Credit Services, Debt Management/Settlement, Check Cashers, Pawnbrokers, Money Transmitters, etc. industries.
Depository	Banks, Credit Unions, and Trust Companies.
Securities	Licensing, management, and compliance enforcement of broker-dealers, agents, investment advisers and representatives.
Corporation Finance	Submit Security Offerings and Filing Fees.

At the bottom of the page, there is a dark blue footer bar with links for ACCESSIBILITY, PRIVACY & DISCLAIMERS, TRANSLATION DISCLAIMER, and SECURITY.

External User Guide

Securities – Corporation Finance Dashboard

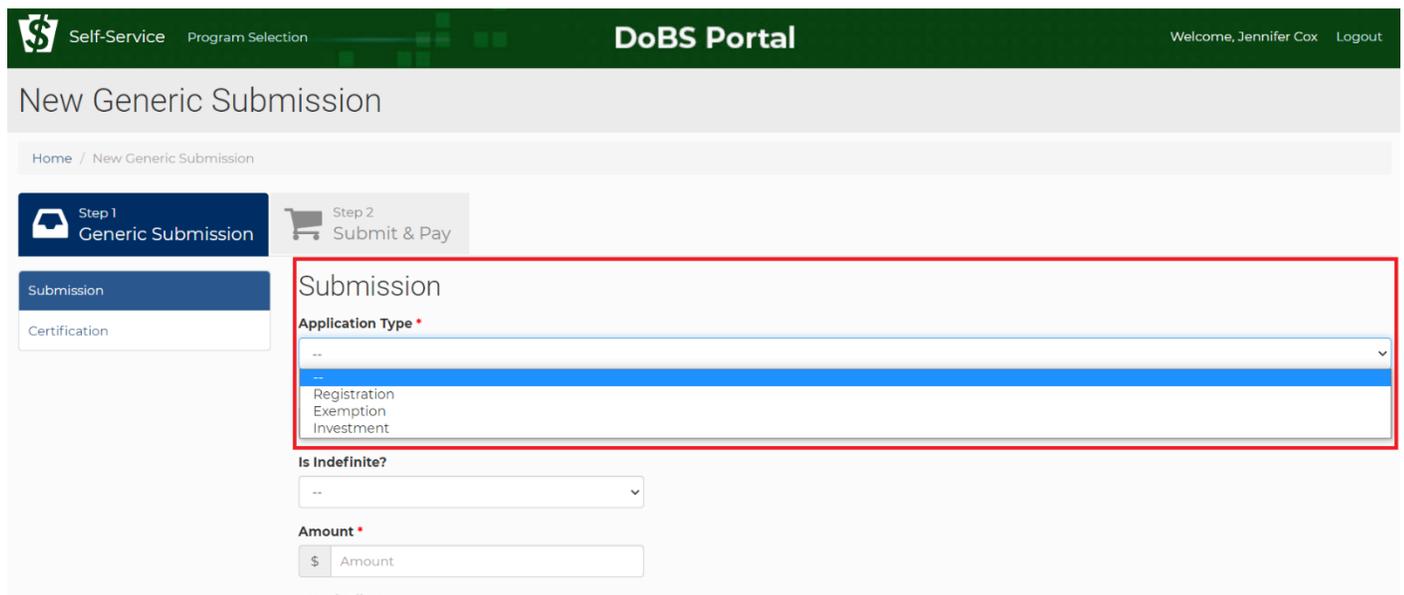
The DoBS Portal allows the user to submit all filing types for registrations, exemptions, and investments. The user must first submit a filing by selecting Submit Generic Submission.



The screenshot shows the 'DoBS Portal' header with 'Self-Service' and 'Program Selection' on the left, and 'Welcome, Jennifer Cox' and 'Logout' on the right. The main content area is titled 'Corporation Finance' and includes a 'Pending Tasks' section with 'No Pending Tasks' and a pagination control. On the right, under 'Actions', there is a prominent blue button labeled 'Submit Generic Submission'.

Submitting a Filing

The Application Type is selected after the user has clicked on the Submit Generic Submission box to begin a filing submission. **Note:** Only one application type per Issuer is permitted for each submission.



The screenshot displays the 'New Generic Submission' form. The header includes 'DoBS Portal' and 'Welcome, Jennifer Cox'. The breadcrumb trail is 'Home / New Generic Submission'. The process flow shows 'Step 1: Generic Submission' (active) and 'Step 2: Submit & Pay'. A left sidebar contains 'Submission' and 'Certification' options. The main form area, titled 'Submission', includes a red-bordered dropdown menu for 'Application Type' with options: '--', 'Registration', 'Exemption', and 'Investment'. Below this are fields for 'Is Indefinite?' (dropdown) and 'Amount' (text input with a '\$' symbol).

External User Guide

Select the Appropriate Filing Type

- ❖ **Registrations:** Section 205 Registration by Coordination, Section 206 Registration by Qualification

Home / New Generic Submission

Step 1 Generic Submission | Step 2 Submit & Pay

Submission

Certification

Submission

Application Type *

Registration

Filing Type *

-
- Section 205 Coordination
- Section 206 Qualification

- ❖ **Exemptions:** Section 203(d) Limited Offerings, Section 203(o) Merger, Section 203(p) Non-profit / Debt, Section 203(t) Accredited Investor, Section 203(u) Reg A / Tier 2, Section 211(b) Form D Filings, Section 211(b.1) Crowdfunding

Step 1 Generic Submission | Step 2 Submit & Pay

Submission

Certification

Submission

Application Type *

Exemption

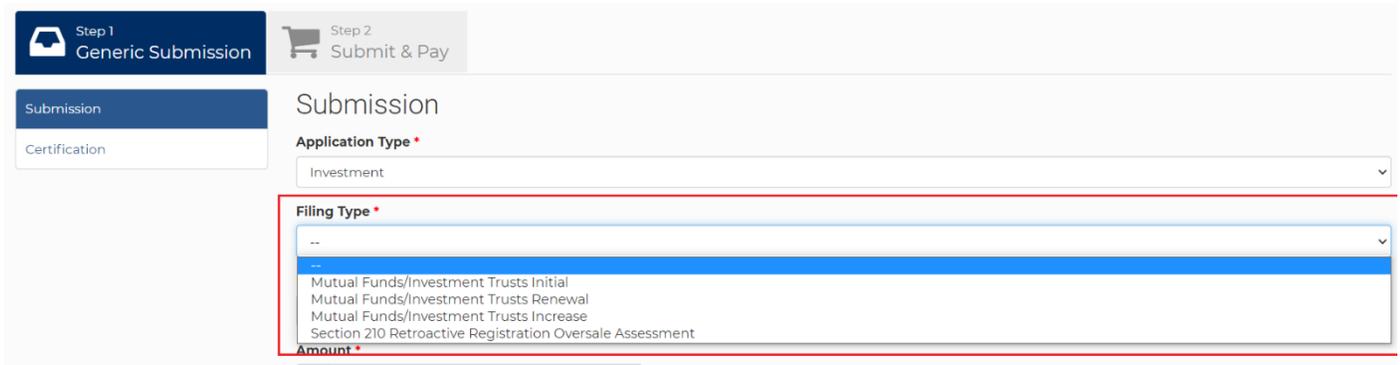
Filing Type *

-
- Section 203(d) Limited Offerings
- Section 203(o) Merger
- Section 203(p) Non profit/Debt
- Section 203(t) Accredited Investor
- Section 203(u) Reg A/Tier 2
- Section 211(b) Form D Filings
- Section 211(b.1) Crowdfunding

Attach File(s) *

External User Guide

- ❖ **Investments:** Mutual Funds / Investment Trusts Initial, Mutual Funds / Investment Trusts Renewal, Mutual Funds / Investment Trusts Increase, Section 210 Retroactive Registration Oversale Assessment

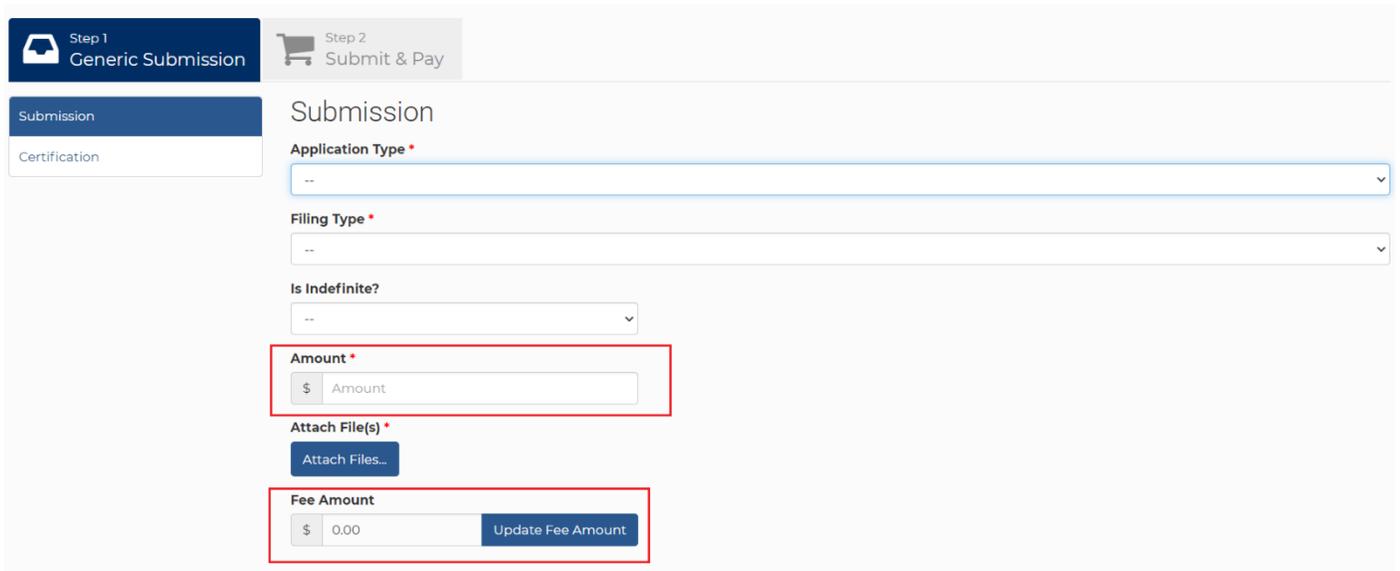


The screenshot shows the 'Submission' form with the following fields:

- Step 1:** Generic Submission
- Step 2:** Submit & Pay
- Submission:** Application Type * (Investment)
- Filing Type *:** A dropdown menu is open, showing options: --, Mutual Funds/Investment Trusts Initial, Mutual Funds/Investment Trusts Renewal, Mutual Funds/Investment Trusts Increase, and Section 210 Retroactive Registration Oversale Assessment.
- Amount *:** (Field is partially visible below the Filing Type dropdown)

Offering Amount

Enter the Offering Amount in the Amount field and click on Update Fee Amount to generate the filing fee amount. The Fee Amount will be automatically calculated based on the Filing Type and Offering Amount. **Note:** If the offering amount is indefinite (for filings that allow for an indefinite offering), select “Yes” for “Is Indefinite?” and click Update Fee Amount.



The screenshot shows the 'Submission' form with the following fields:

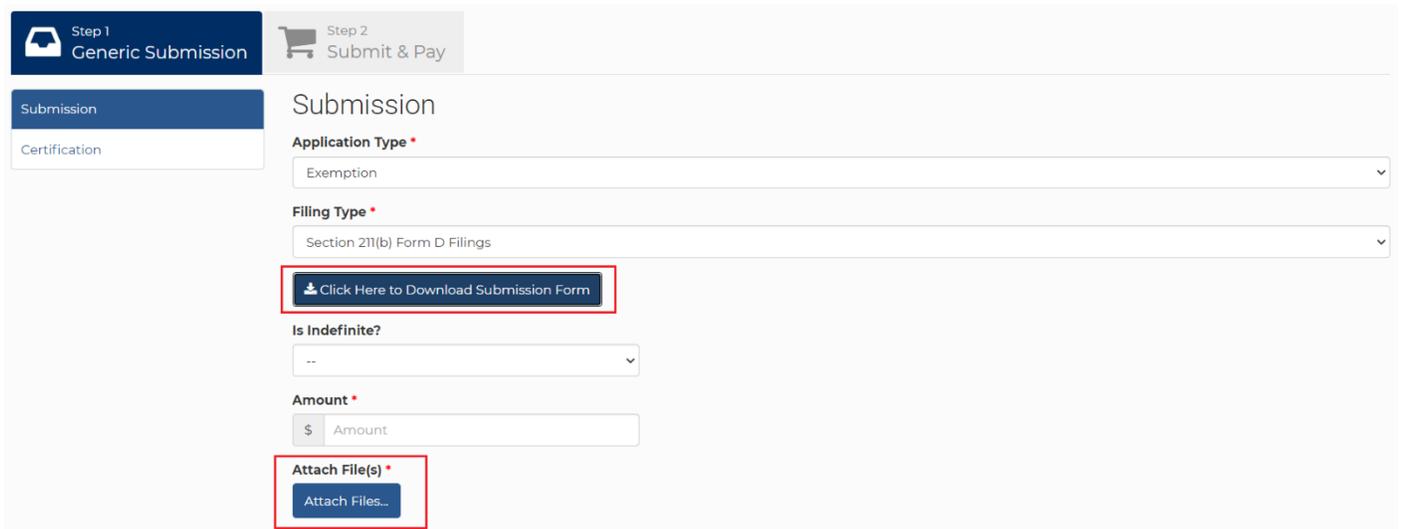
- Step 1:** Generic Submission
- Step 2:** Submit & Pay
- Submission:** Application Type * (--)
- Filing Type *:** (--)
- Is Indefinite?:** (--)
- Amount *:** A text input field with a dollar sign icon and the placeholder text 'Amount'. This field is highlighted with a red box.
- Attach File(s) *:** Attach Files... button
- Fee Amount:** A text input field with a dollar sign icon and the value '0.00', followed by an 'Update Fee Amount' button. This section is highlighted with a red box.

External User Guide

Download Forms and Attach Documents

All filing types have submissions forms available for download by selecting “Click Here to Download Submission Form”. The Submission Form and, in most cases, other documents must be submitted with the filing. Please attach all files required for submission by using the Attach Files function.

Contact the Corporation Finance Office at 717-787-8059 if you have questions regarding what documents, other than the submission form, are required for each filing type.



The screenshot shows a web interface for a submission process. At the top, there are two steps: "Step 1 Generic Submission" (active) and "Step 2 Submit & Pay". Below this, there are two tabs: "Submission" (selected) and "Certification". The main content area is titled "Submission" and contains several fields and buttons:

- Application Type ***: A dropdown menu with "Exemption" selected.
- Filing Type ***: A dropdown menu with "Section 211(b) Form D Filings" selected.
- Click Here to Download Submission Form**: A button with a download icon, highlighted with a red box.
- Is Indefinite?**: A dropdown menu with "--" selected.
- Amount ***: A text input field with a "\$" symbol and the word "Amount" inside.
- Attach File(s) ***: A button labeled "Attach Files...", highlighted with a red box.

External User Guide

Certification and Payment

Once all areas have been completed, select the 'Next' button to proceed to the Certification section and payment.

Submission

Certification

Submission

Application Type *

Filing Type *

Click Here to Download Submission Form

Is Indefinite?

Attach File(s) *

📄
20210609164348.pdf
(1.15 MB) ✕

Fee Amount

Check the Certification Box, enter your name, and click on Finalize Filing and Proceed to Cart.

Step 1
Generic Submission

Step 2
Submit & Pay

Submission

Certification

Certification

By checking this box, I hereby certify that the information contained herein and contained in any attachments or exhibits hereto are complete, true and correct. I make this declaration subject to the penalties of 18 PA.C.S. S 4904 relating to unsworn falsification to authorities.*

Enter Name Below

Finalize Filing and Proceed to Cart

Click on Submit and Proceed to Payment.

Step 1
Generic Submission

Step 2
Submit & Pay

Submit And Pay

Description	Quantity	Unit Price	Amount
Section 211(b) Form D Filings Filing Fee	1	\$525.00	\$525.00
			Total Amount Due \$525.00

You will be redirected to the secure Payeezy payment gateway for paying any outstanding fee(s).

Submit and Proceed to Payment

External User Guide

Fill out the credit card information and select Pay With Your Credit Card. You will receive a confirmation email after your purchase is complete.

Customer Reference

Not Applicable

Quantity	Item	Unit	Price
1	Section 211(b) Form D Filings Filing Fee	\$525.00 USD	525.00
Total		USD	525.00

[« Return to Department of Banking and Securities](#)

Choose Payment Option



Pay With Your Credit Card

Cardholder Name

Credit Card Number



Expiry Date (MMYY)

Email

A confirmation email will be sent to this address.

Next Steps

Corporation Finance staff will contact you for the next steps in the filing process.