

This document provides instructions for completion and filing of an application for license to act as a professional fundraising consultant in North Carolina. Only documents named on the application form and/or included in these instructions must be submitted with the application to fulfill all license requirements. The application form may be accessed online and downloaded at:

<http://www.secretary.state.nc.us/csl/Download.aspx>.

#### General Instructions for assembling your application packet:

The Department scans all license applications and attachments into electronic format for public access via the Department's website.

Please follow these general instructions to expedite application processing:

1. Do not staple or bind your application materials together.
2. Remove the binding for bound attachments (e.g., audit documents, annual reports, Form 990), or submit a scan-ready copy of these documents.
3. Submit your application and attachments on "letter" size (8.5" x 11") white paper in single-side (simplex) format if possible.
4. Type or clearly print in black or blue ink responses in the spaces provided.
5. If answer(s) require more space than the form permits, provide one (1) comprehensive attachment to this document. Identify individual responses with the corresponding item number(s) provided on this form.
6. You must provide a response to each question except (1) when specifically instructed to skip an item, or (2) the item is marked as optional on the form.

#### Instructions for Individual Line Items:

**Item 1.** Is this applicant submitting an initial or renewal solicitor license application? – N.C.G.S. §131F-15(b)

Check the "Initial Application" box if the applicant has never before been granted a fundraising consultant license in North Carolina.

Check the "Renewal Application" box if the applicant has previously been granted a fundraising consultant license in North Carolina.

**Item 2.** Applicant's Full Business Legal Name – N.C.G.S. §131F-15

State the applicant's full business legal name. If the applicant's business legal name has changed, submit a copy of the document making the legal name change.

**Item 3.** Applicant's Telephone Number – N.C.G.S. §131F-15(b)(1)

State the applicant's telephone number including area code.

**Item 4.** Applicant's Principal Street Address – N.C.G.S. §131F-15(b)(1)

State the applicant's complete street address with sufficient detail to enable delivery of certified mail. A Post Office Box address is not acceptable.

**Item 5.** Applicant's Mailing Address

State the applicant's preferred mailing address including full address, city, state, and zip code with sufficient detail to enable delivery of certified mail if it differs from the principal street address provided in Item 4. **An applicant's third party filer's mailing address may not be listed here.**

**Item 6.** Applicant's Internet Site Address: List the applicant's complete internet website address.

**Item 7.** Applicant's Contact Person Email Address: List the email address of a contact person for the applicant. **An applicant's third party filer's contact person may not be listed here.**

**Item 8.** Legal Form of Applicant's Business – N.C.G.S. §131F-15(b)(2)

Check the appropriate box for applicant's legal form of business: sole proprietor/individual, limited liability corporation, corporation, limited liability partnership, general partnership, or other (describe).

**Item 9.** Applicant's State of Establishment - N.C.G.S. §131F-15(b)(2)

Provide the name of the state where applicant's business was established.

**Item 10.** Applicant's Date of Establishment - N.C.G.S. §131F-15(b)(2)

Provide the month, day, and year on which the applicant's business was established unless entity is a sole proprietor/individual.

**Item 11.** Verification of applicant's current legal existence – N.C.G.S. §131F-15(b)(2)

If applicant is NOT incorporated in NC, provide **either** of the following documents:

1. Certificate of Existence or Certificate of Good Standing from state of incorporation dated no more than six months prior to date of signing of application to verify the entity's current legal existence, **or**
2. Actual webpage screenshot found on a publicly accessible regulatory authority website dated no more than thirty (30) days prior to the date the license application was signed that includes the following elements:

- Exact name of the entity as it appears on the license application; and
- Language clearly verifying its status as a corporation in good standing in the state of incorporation (i.e. "current" or "active"); and
- Date the information was printed on the face of the document.

If applicant is NOT incorporated in any state, provide copy of stamped "Certificate of Assumed Name" or "Certificate of Doing Business" filed with local Register of Deeds to verify the applicant's current legal authorization to use this name in the course of business.

**Item 12.** If applicant's principal place of business is located outside North Carolina, attach a list of street addresses of any applicant offices located in North Carolina. N.C.G.S. §131F-15(b)(1)

Check the appropriate answer box indicating offices in North Carolina, "Yes" or "No".

If the answer is yes, attach a list of applicant offices located in North Carolina.

**Item 13.** Identify whether any of the applicant's owners, directors, officers, or employees are related as a parent, child, spouse, or sibling to any of the applicant's other directors, officers, owners, or employees. N.C.G.S. §131F-15(b)(4)(a).

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the persons, their positions relative to the applicant, and the relationship.

**Item 14.** Identify whether any of the applicant's owners, directors, officers, or employees are related as a parent, child, spouse, or sibling to any officer, director, trustee, or employee of any charitable or sponsor organization under contract to the applicant.

N.C.G.S. §131F-15(b)(4)(b)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the persons, their positions relative to the applicant and the contracting organization, and the relationship.

**Item 15.** Identify whether any of the applicant's owners, directors, officers, or employees are related as a parent, child, spouse, or sibling to any supplier or vendor providing goods or services to any charitable organization or sponsor under contract to the applicant?

N.C.G.S. §131F-15(b)(4)(c)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the persons, their positions relative to the applicant, the supplier or vendor, and the contracting organization, and the relationship.

**Item 16.** Identify whether the applicant or any of the applicant's officers, directors, employees, or owners have been convicted of any felony within the last five years. N.C.G.S. §131F-15(b)(5)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the person(s), their position(s) relative to the applicant, and the place, date, and underlying charges(s) for the conviction(s).

**Item 17.** Identify whether the applicant or any of the applicant's officers, directors, employees, or owners have been convicted of any misdemeanor arising from the conduct of a solicitation for any charitable or sponsor organization or charitable or sponsor purpose within the last five years. N.C.G.S. §131F-15(b)(5)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the person(s), their position(s) relative to the applicant, and the place, date, and underlying charges(s) for the conviction(s).

**Item 18.** Identify whether the applicant or any of the applicant's officers, directors, employees, or owners has been enjoined from violating any charitable solicitation law in North Carolina or in any other state within the last five years. N.C.G.S. §131F-15(b)(5)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a short statement identifying the person(s), their position(s) relative to the applicant, and the place, date, and underlying circumstances for the injunction(s).

**Item 19.** Attach a list of the names and physical residence addresses of all of the applicant's officers, directors, and owners. N.C.G.S. §131F-15(b)(3)

This section must be completed for sole proprietorships, partnerships, and corporations of all types.

**Item 20.** Attach the required fee of two hundred dollars (\$200.00). N.C.G.S. §131F-15(c)

**Item 21.** If the applicant is a partnership or corporation, identify whether the applicant intends to cover multiple individuals with a single license. N.C.G.S. §131F-15(c)

Check the appropriate answer box, "Yes" or "No".

If the answer is yes, attach a list of the names and street addresses for all partners, members, officers, directors, employees, and agents of the applicant, as well as all other individuals contracted to work under the applicant's direction.

**Item 22.** Signature block - N.C.G.S. §131F-15(b)

Applicant shall sign the application in the presence of a Notary Public who has administered the following oath:

"I do hereby swear or affirm that the information furnished in this application and all supplemental forms, reports, documents, and attachments are true and correct to the best of my knowledge under penalty of perjury.

I do further swear or affirm that this applicant meets the requirements of G.S. §131F-2(10) for acquiring and maintaining a North Carolina fund-raising consultant license in that this applicant:

- a. is retained by a charitable organization or sponsor for a fixed fee or rate under a written agreement to plan, manage, conduct, consult, or prepare material for the solicitation of contributions in the State of North Carolina;
- b. does not solicit contributions or employ, procure, or engage any person to solicit contributions; and
- c. does not at any time have custody or control of contributions."

Applicant shall print his name and title and sign the application in the presence of a Notary Public.

Applicant must sign the application under oath administered by a Notary Public.

**Item 23.** Notarization Block – N.C.G.S. §131F-15(b)

Notary Public shall complete the Notarization section including the county and state where applicant is signing the application, current date, Notary Public's printed name, signature, date of expiration of Notary Public's commission, and application of Notary seal (if applicable).

#### **Optional Applicant/Third Party Contact Information**

**OPTIONAL:** State name, title, business/firm name, email address, telephone number, and fax number of applicant preferred contact person or third party filer, if desired. Please note, the Department sends correspondence regarding a filing, questions about a filing, requests for additional information, renewal information, etc. to the Applicant contact on file, not to Third Party Filers.