

Part A - Identification of Professional Fund Raiser (PFR)

1. Full Legal Name of Professional Fund Raiser (per the Registrant's organizing documents)		2. NYS Professional Fund Raiser ID# (if any) _____ - _____ - _____	
3. Mailing Address (Number and Street)	Room/Suite	4. Primary Contact	
City or Town, State or Country and ZIP + 4		5. Primary Contact Title	
6. Main Address or Principal NYS Address (Number and Street) (if any or different from item #3)	Room/Suite	7. Telephone Number	8. Fax Number
City or Town, State or Country and ZIP + 4		9. Email Address	
10. Name of Third Party Representative (relating to this registration and other statutory filings)		11. Primary Contact for Third Party (include title)	
Third Party Mailing Address (Number and Street)	Room/Suite	12. Third Party Telephone #	13. Third Party Fax #
City or Town, State or Country and ZIP + 4		14. Third Party Email Address	
15. List all other legally authorized names by which the Registrant is known (<i>Submit a copy of all authorizing documents not previously filed.</i>)			

Part B - Certification - Registrant's Signature Required

I, an authorized representative of the Registrant, certify under the penalties for perjury, that I have reviewed this Registration Statement, including all schedules and attachments, and to the best of my knowledge and belief, they are true, correct and complete in accordance with the laws of the State of New York applicable to this statement.

<div style="border: 1px solid black; padding: 2px; display: inline-block;">PFR Registrant</div>	<div style="border-bottom: 1px solid black; width: 100%;"></div>	<div style="border-bottom: 1px solid black; width: 100%;"></div>	<div style="border-bottom: 1px solid black; width: 100%;"></div>
	Signature	Printed Name	Date

Part C - Fee and Mailing

Statutory Fee Due: \$800	Submit a check or money order made payable to "NYS Department of Law" .	Mail completed form with the required attachments and fee to the address at the top of this page.
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Part D - Solicitation Locations

1. List all addresses/telephone numbers from which the Registrant or its representatives solicits persons in New York State. (Include any additional information on a separate attachment, using the same schedule format.)

Mailing Address (Number and Street)	City or Town, State or Country and ZIP + 4	Telephone Number

FOR OFFICE USE ONLY	DATE RECEIVED	FEE RECEIVED	REGISTRATION FILING ID#	PFR ID#
	REVIEWER	ACCEPT DATE	START DATE	END DATE

Part E - Organization Structure

1. Incorporation/formation *(Submit a copy of all organizing documents and amendments not previously filed.)*

<p>a. Type of Registrant:</p> <p>Corporation <input type="checkbox"/></p> <p>Limited liability company (LLC) <input type="checkbox"/></p> <p>Partnership <input type="checkbox"/></p> <p>Sole proprietorship <input type="checkbox"/></p> <p>Unincorporated association <input type="checkbox"/></p>	<p>b. Date incorporated, if a corporation or formed, if other than a corporation</p> <p style="text-align: center;">_ _ / _ _ / _ _ _ _</p> <p>c. State/county in which incorporated or formed</p>
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2. List all officers/directors/key employees (for corporations); all managers/key employees (for LLCs); all partners/key employees (for partnerships); or all owners/key employees (for sole proprietorships and unincorporated associations). (Include any additional information on a separate attachment, using the same schedule format.)

Name	Title	Mailing Address (number and street, room/suite, city or town, state or country and zip+4)

Part F - Associations with Other Fund Raising Professionals and Charitable Organizations

1. Has the Registrant or any representative of the Registrant been associated at any time with any of the charitable organizations disclosed in Part H in any manner other than pursuant to a contract disclosed in Part H or a contract previously filed with the New York State Attorney General's Charities Bureau? **Yes*** **No**

***If "Yes," complete the following schedule** (Include any additional information on a separate attachment, using the same schedule format.)

Name	Mailing Address (number and street, room/suite, city or town, state or country and ZIP + 4)	Other Relationship to Charity

2. Has the Registrant or any representative of the Registrant been associated at any time with any other Professional Fund Raiser or Fund Raising Counsel? **Yes*** **No**

***If "Yes," complete the following schedule** (Include any additional information on a separate attachment, using the same schedule format.)

Name	Mailing Address (number and street, room/suite, city or town, state or country and ZIP + 4)	Position with Other PFR/FRC

Part G - Previous Conduct

1. In connection with any fund raising activity, has the Registrant or any representative of the Registrant ever had any license, registration or permit denied, canceled, suspended or revoked, or has any official disciplinary or legal action ever been taken, or is one currently pending, against the registrant or any representative of the Registrant? **Yes*** **No**
***If "Yes," describe below (include name and address of government agency, nature of outcome and date):**

2. Has the Registrant or any representative of the Registrant ever entered into any agreement with any regulatory body regarding its conduct in connection with any fund raising activity? **Yes*** **No**
***If "Yes," describe below (include name and address of government agency, nature of outcome and date):**

3. Has the Registrant or any representative of the Registrant ever been convicted of or pleaded guilty to a felony or misdemeanor involving the misappropriation or misuse of the money or property of another? **Yes*** **No**
***If "Yes," describe below (include name and address of government agency, nature of outcome and date):**

Part H - Contracts

Provide the required information for each contract and subcontract entered into between the Registrant and any charitable organization or other entity required to be registered if the services pursuant to such contract resulted, shall result or may result in the solicitation of persons in New York State, for, by or on behalf of the respective charitable organization at any time during the past 12 months or at any time during the period related to this registration filing. (Current contracts, contracts terminated or expired during the past 12 months and multiple contracts with the same charitable organization must each be reported.) (Include any additional contract information on a separate attachment, using the same schedule format.) (Submit a copy of any specified contract not previously filed.)

Name of Contracting Charity	Contracting Charity's NYS Registration # (ID#)	Contract Period	Brief Description of the Activities/Services Provided by the Registrant
	_____ - _____ - _____	Start: __ / __ / _____ End: __ / __ / _____	
	_____ - _____ - _____	Start: __ / __ / _____ End: __ / __ / _____	
	_____ - _____ - _____	Start: __ / __ / _____ End: __ / __ / _____	
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	_____ - _____ - _____	Start: __ / __ / _____ End: __ / __ / _____	

Part I - Private Information - NOT OPEN TO PUBLIC INSPECTION

All types of Registrants must complete items 1 and 2 and, if required, item 3. Corporations, LLCs and Partnerships with no Federal Employer ID# must complete item 4 for each officer/director/manager/partner. All Sole Proprietorships and Unincorporated Associations must complete item 4 for each owner.

1. Registrant's legal name as it appears in Part A1

2. Registrant's Federal Employer Identification Number

____ - _____

3. Explanation required if no Federal Employer ID Number provided

4. Officer/Director/Manager/Partner/Owner

Social Security Number

Explanation required if no social security # provided

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PRIVACY NOTIFICATION

The New York State Office of the Attorney General's Charities Bureau is required to collect the federal social security and employer identification numbers of all registrants. The authority to request and maintain such personal information is found in §5 of the New York Tax Law. Disclosure by the registrant is mandatory. The information is collected to enable the New York State Department of Taxation and Finance to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. It will be used for tax administration purposes and any other purpose authorized by the Tax Law, but will not be available to the public. A written explanation is required where no numbers are provided. This information will be maintained by the Attorney General's Charities Bureau at the address at the top of Page 1 of this form.



Instructions for Form CHAR013 (Professional Fund Raiser Registration Statement) **and Summary of Registration and Filing Requirements for Professional Fund Raisers**

Article 7-A of the Executive Law & NYCRR Title 13, Chapter V, Parts 90 - 99
<http://www.CharitiesNYS.com>

Important Notice: These Instructions and Summary are intended to provide assistance in completing Form CHAR013. Also included is information on many of the registration and filing requirements for Professional Fund Raisers. For additional information on registration and filing requirements pursuant to the Executive Law, registrants and potential registrants are encouraged to familiarize themselves with §171-a through §177 of Article 7-A of the Executive Law and NYCRR Title 13, Chapter V, Parts 90 - 99.

I. General Instructions in Completing Form CHAR013

- A.** Type or print in ink the responses to **all** items on pages 1 - 5 of Form CHAR013. Enter "**NA**" for any item that is not applicable.
- B.** In all instances, the "Registrant" or "PFR Registrant" shall mean the applicant Professional Fund Raiser named in Part A1.
- C.** In all instances a "representative of the Registrant" or an "authorized representative of the Registrant" shall mean an owner, partner, director, officer, manager or key employee of the Registrant.
- D.** In all instances, a "Third Party Representative" shall be the attorney, accountant or other individual acting on behalf of the Registrant. If a Third Party Representative is named, all communications from the Attorney General's Charities Bureau will be directed to the Third Party Representative.
- E.** Provide the required Federal ID number and Social Security numbers **only** in Part I, page 5. (This page is not open to public inspection.) **DO NOT** disclose these numbers or other personal information such as birth dates, driver's license numbers, etc., elsewhere on Form CHAR013 or on any attachment to that Form as such pages are open to public inspection.

II. Registrant Certification

An authorized representative of the Registrant must certify, under penalty for perjury, all statements made in Form CHAR013. The signature on Form CHAR013, Part B must be original and must be accompanied by the signatory's printed name, title and the date signed.

III. Required Professional Fund Raiser Registration Filing Documents

- Form **CHAR013** (with appropriate attachments)
- Form **CHAR015** Annual Bond (for Professional Fund Raisers) with original Power of Attorney form for the Surety's Attorney-in-Fact
- \$800 mandatory annual registration fee
- Copies of all current contracts with charitable organizations required to be registered under the statute that were not previously filed
- Copies of all organizing documents, amendments to organizing documents, certificates of assumed name and "doing business as" (d/b/a) certificates that were not previously filed
- Copies of all delinquent Professional Fund Raiser Interim/Closing Statements (Form **CHAR037**)

IV. Payment

All fees should be submitted in a single check or money order, payable to "New York State Department of Law".

V. Registration Period

A Professional Fund Raiser's registration expires one year from the date of registration or re-registration. If continuing to act as a Professional Fund Raiser, the Registrant must submit the required re-registration documents each year prior to registration expiration.

VI. Changes to Registration

The Registrant must notify the Charities Bureau in writing, certified under penalties for perjury, within 20 days of any material change to the information provided on Form CHAR013.

VII. Mailing Instructions

All registration documents and payment should be mailed to the following address:

New York State Department of Law (Office of the Attorney General)
Charities Bureau
The Capitol
Albany, NY 12224

VIII. Additional Charities Bureau Contact Information

Telephone: (518) 776-2160
E-mail: Charities.Fundraising@ag.ny.gov

IX. Professional Fund Raiser (PFR) - See §§171-a, Executive Law

Any person who directly or indirectly, by contract, including but not limited to sub-contract, letter or other agreement or other engagement on any basis, for compensation or other consideration (a) plans, manages, conducts, carries on or assists in connection with a charitable solicitation or who employs or otherwise engages on any basis another person to solicit from persons in this state for or on behalf of any charitable organization or any other person, or who engages in the business of, or holds himself out to persons in this state as independently engaged in the business of soliciting for such purpose; (b) solicits on behalf of a charitable organization or any other person; or (c) who advertises that the purchase or use of goods, services, entertainment or any other thing of value will benefit a charitable organization but is not a commercial co-venturer. A bona fide director, trustee, officer, volunteer, or employee of a charitable organization or a fund raising counsel shall not be deemed a PFR.

X. Contracts - See §§172-d, 173-a, 174, 174-a, Executive Law

- No person shall enter into any contract or agreement with or otherwise employ or engage a Professional Fund Raiser (PFR) required to be registered under NYS Executive Law unless such PFR has provided to such person a statement, signed under penalties for perjury, that it is registered with the Attorney General's Charities Bureau and in compliance with all filing requirements of the Executive Law.

- No person shall enter into any contract or agreement, employment or engagement to raise funds or conduct any fund raising activities for any charitable organization required to be registered under NYS Executive Law §172 unless such charitable organization is registered with the Attorney General's Charities Bureau and in compliance with all filing requirements of the Executive Law.

- No person shall act as a PFR before that PFR has a written contract with the charitable organization, or other person benefitting from the services. A PFR must file with the Attorney General's Charities Bureau, within 10 days of its execution, a copy of each contract entered into between the PFR and any charitable organization required to be registered under NYS Executive Law §172. At the time of the filing, the PFR must certify, under penalties for perjury, that the contract being filed is a true and correct copy of the original executed contract. For additional information, please refer to Form **CHAR016A**.

- Whenever a charitable organization contracts with a PFR, the organization has the right to cancel the contract without cost, penalty, or liability for a period of 15 days following the date on which the contract is filed by the PFR with the Attorney General's Charities Bureau, regardless of the execution date of the contract. In order to cancel during this period, the organization must mail or hand deliver a notice of cancellation to the FRC and send a copy to the Attorney General's Charities Bureau. Such notice is sufficient if it indicates that the charitable organization does not intend to be bound by the contract. For additional information, please refer to Form **CHAR016B**.

- The failure of a PFR to discontinue solicitation or any other fund raising activity upon receipt of a notice of cancellation in accordance with the provisions of Article 7-A of the Executive Law within fifteen days of the cancellation of the contract shall be deemed to be a continuing fraud upon the people of New York State.

- Every contract between a charitable organization and a PFR must contain:

- the names, addresses and NYS Attorney General's Charities Bureau identification numbers of all parties to the contract;

- a specific beginning and ending date for the contract;

- a clear narrative description of the services to be performed by the PFR;

- a clear statement of the financial arrangement between the charitable organization and the PFR;

- signatures and dates of signature of all parties to the contract; and

- a statement of the charitable organization's statutory right to cancel the contract; the period during which the contract may be canceled; the address to which the notice of cancellation must be sent and the address of the Attorney General's Charities Bureau to which a duplicate must be sent.

- Every contract between a PFR and a charitable organization shall contain, or shall be deemed to contain, a provision that within 5 days of receipt by the PFR or other person, the gross revenue received from a solicitation conducted by that PFR shall be deposited in a bank account under the exclusive control of the charitable organization.

- No contract filing should include Federal ID numbers or Social Security numbers of the PFR/FRC or the charitable organization or any representative of the PFR/FRC or charitable organization.

- No person shall act as a sub-contractor on behalf of another PFR prior to obtaining a written contract with such PFR and written consent from the charitable organization on whose behalf fund raising activities are to be conducted pursuant to such contract. A sub-contractor must file with the Attorney General's Charities Bureau, within 10 days of execution, a copy of such written consent attached to a copy of the contract between the subcontractor and the other PFR.

- No services shall be performed pursuant to any contract required to be filed by a PFR if, within fifteen days of filing, the Attorney General's Charities Bureau notifies the PFR and the charitable organization of any deficiencies in the contract and/or in the registration or filings of the PFR or the charitable organization.

- No services shall be performed under a contract required to be filed by a PFR until the PFR shall have received an acknowledgement from the Attorney General's Charities Bureau or such contract shall have been on file with the Attorney General's Charities Bureau for at least fifteen days, whichever is shorter.

XI. Closing Statements - See §173-a, Executive Law

Within 90 days after the termination of a contract, the PFR must file a closing statement, Form **CHAR037**, signed under penalties for perjury by all parties to the contract. If the contract term is longer than one year, an interim statement, Form **CHAR037**, signed under penalties for perjury by all parties to the contract, must be filed within 15 months of the execution of the contract and annually thereafter. For additional information, please refer to Form **CHAR0037**.

XII. Books and Records - See §173, Executive Law

- A PFR must maintain accurate and current books and records of all activities conducted under any contract with a charitable organization or other person benefitting from the services for a minimum of three years from the expiration date of such contract. Such books and records must be available for inspection, examination and/or audit by charitable organization and/or the Attorney General or any authorized representative at the address of the PFR.

- Within seven days of a request from a charitable organization with which it has contracted, a PFR must provide copies of all related records to that charitable organization.

XIII. Solicitation Disclosures - See §174-b, Executive Law

- Any solicitation by any means made by or on behalf of a registered charitable organization that is required to file financial reports and that has actually filed all such reports must include a statement that upon request, a person may obtain from the charitable organization or from the Attorney General's Charities Bureau, a copy of the last financial report filed by the charitable organization with the Attorney General's Charities Bureau. Such statement must specify the address of the charitable organization and the address of the Attorney General's Charities Bureau (State of New York, Department of Law, Charities Bureau, 28 Liberty Street, New York, NY 10005 to which such request should be addressed. In instances where the charitable organization required to be registered has not been previously required to file an annual report with the Attorney General's Charities Bureau, the solicitation must state the date when such report will be filed.

- Any solicitation by any means by a PFR or Professional Solicitor (PS) on behalf of a charitable organization required to be registered with the Attorney General's Charities Bureau shall clearly and unambiguously disclose:

- the name of the PFR as on file with the Attorney General's Charities Bureau and that the solicitation is being conducted by a PFR;
- the name of the individual PS as on file with the Attorney General's Charities Bureau and that the PS is receiving compensation for conducting the solicitation.

XIV. Charitable Organizations - See §§171-a, Executive Law

Any benevolent, philanthropic, patriotic, or eleemosynary person or one purporting to be such or law enforcement support organization as defined below.

XV. Law Enforcement Support Organization - See §§171-a, Executive Law

Any organization, association, union or conference of or purporting to be of current or former law enforcement officers, including, without limitation, peace officers and police officers as defined in subdivisions thirty-three and thirty-four of section 1.20 of the criminal procedure law, sheriffs, deputy sheriffs, detectives, investigators or constables or any auxiliary or affiliate of such an organization, association, union or conference composed of one or more such organizations.

XVI. Person - See §§171-a, Executive Law

Any individual, organization, group, association, partnership, corporation, or any combination of them.

XVII. Contribution - See §§171-a, Executive Law

The promise or grant of any money or property of any kind or value, whether or not in combination with the sale of goods, services, entertainment or any other thing of value, including a grant or other financial assistance from any agency of government, except payments by members of any organization for membership, for services or other benefit, other than the right to vote for directors or trustees, elect officers, or hold offices.

XVIII. Solicit - See §§171-a, Executive Law

To directly or indirectly make a request for a contribution, whether express or implied through any medium. A "solicitation" shall be deemed to have taken place whether or not a contribution is made. For purposes of this article, a "solicitation" or a "solicitation of contributions" includes any advertising which represents that the purchase or use of goods, services, entertainment or any other thing of value will benefit a charitable organization. Provided, however, that the printing and the mailing of a written solicitation for funds or any other thing of value to benefit a charitable organization shall not alone constitute soliciting on the part of persons who printed and mailed such solicitation if such persons do not otherwise solicit, receive or have access to contributions.