

**Part A - Identification of Professional Solicitor (PS)**

1. Full Legal Name of Professional Solicitor (this name must be used when acting as a PS)		2. NYS Professional Solicitor ID# (if any)  _____ - _____ - _____	
3. Home Mailing Address (Number and Street)	Apartment Number	4. Home Telephone Number	
City or Town, State or Country and ZIP+ 4		5. Home Email Address	
6. Work Address (Number and Street)	Room/Suite	7. Work Telephone Number	
City or Town, State or Country and ZIP + 4		8. Work Email Address	
9. Name of Third Party Representative (relating to this registration and other statutory filings)		10. Primary Contact for Third Party (include title)	
Third Party Mailing Address (Number and Street)	Room/Suite	11. Third Party Phone #	12. Third Party Fax #
City or Town, State or Country and ZIP + 4		13. Third Party Email Address	

**Part B - Certification - Registrant's Signature Required**

I, 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;">PS Registrant</div>	Signature	Printed Name	Title	Date
--	-----------	--------------	-------	------

**Part C - Fee and Mailing**

Statutory Fee Due: <b>\$80</b>	Submit a check or money order made <b>payable to "NYS Department of Law"</b> .	Mail completed form with the required attachments and fee to the address at the top of this page.
-----------------------------------	--	---

**Part D - Current Employment as a Professional Solicitor**

Enter present employment as a Professional Solicitor (PS) and include appropriate date of solicitation/employment commencement as it relates to this registration submission.

1. Name of Employing Professional Fund Raiser (PFR)		3. Date Registrant Began/Shall Begin NYS Solicitation Related To This Registration Submission:  ____ / ____ / _____
2. Mailing Address (Number and Street)	Room/Suite	
City or Town, State or Country and ZIP+ 4		
		4. Telephone Number

<b>FOR OFFICE USE ONLY</b>	DATE RECEIVED	FEE RECEIVED	REGISTRATION FILING ID#	PS ID#	PFR ID#
	REVIEWER	ACCEPT DATE	START DATE	END DATE	

**PART E - Previous Employment as a PS, PFR or FRC**

Prior to the date specified in Part D3, was the Registrant employed as a Professional Solicitor (PS), Professional Fund Raiser (PFR) or Fund Raising Counsel (FRC)? .....  Yes\*  No  
**\*If "Yes," complete the following for each previous employment** (Include current employment first, if employment began prior to the date specified in Part D3.)

Name of Employing PFR or FRC	Mailing Address (number and street, room/suite, city or town, state or country and ZIP + 4)	Dates of Employment
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____
	-----	Start date: ___ / ___ / _____ End date: ___ / ___ / _____

**Part F - Previous Conduct**

1. In connection with any fund raising activity, has 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? .....  Yes\*  No  
**\*If "Yes," describe below (include name and address of government agency, nature of outcome and date):**

2. Has the Registrant ever entered into any agreement with any regulatory body regarding the Registrant's 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 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 G - Private Information - NOT OPEN TO PUBLIC INSPECTION**

1. Registrant's legal name as specified in Part A1

2. Registrant's Social Security Number

\_\_\_\_ - \_\_\_\_ - \_\_\_\_\_

3. Registrant's Federal Employer Identification Number

\_\_\_\_ - \_\_\_\_\_

4. Explanation required if no Social Security Number or Federal Employer ID Number provided

**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.



New York State Department of Law (Office of the Attorney General)  
Charities Bureau

## **Instructions for Form CHAR012 (Professional Solicitor Registration Statement) and Summary of Registration and Filing Requirements for Professional Solicitors**

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 CHAR012. Also included is information on many of the registration and filing requirements for Professional Solicitors. 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 CHAR012**

**A.** Type or print in ink the responses to **all** items on pages 1 - 3 of Form CHAR012. Enter "**NA**" for any item that is not applicable.

**B.** In all instances, the "Registrant" or "PS Registrant" shall mean the applicant Professional Solicitor named in Part A1.

**C.** 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.

**D.** Provide the required Federal ID Number and Social Security number **only** in Part G, page 3. (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 CHAR012 or on any attachment to that Form as such pages are open to public inspection.

### **II. Registrant Certification**

The Registrant must certify, under penalties for perjury, all statements made in Form CHAR012. The signature on Form CHAR012, Part B must be original and must be accompanied by the signatory's printed name, title and the date signed.

### **III. Required Professional Solicitor Registration Filing Documents**

- Form **CHAR012** (with appropriate attachments)
  
- \$80 mandatory annual registration fee

### **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 Solicitor's registration expires one year from the date of registration or re-registration. If continuing to act as a Professional Solicitor, 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 CHAR012.

### **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) 486-9797

E-mail: [Charities.Fundraising@ag.ny.gov](mailto:Charities.Fundraising@ag.ny.gov)

**IX. Professional Solicitor (PS) - See §§171-a, Executive Law**

Any person who is employed or retained for compensation by a professional fund raiser to solicit contributions for charitable purposes or for the purposes of any law enforcement support organization from persons in this state.

**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 Solicitor (PS) required to be registered under NYS Executive Law unless such PS 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.

**XI. 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, 120 Broadway, New York, NY 10271) 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 Professional Fund Raiser (PFR) or 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.

**XII. 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.

**XIII. 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.

**XIV. Person - See §§171-a, Executive Law**

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

**XV. 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.

**XVI. 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.