

TELEPHONIC SELLER REGISTRATION



MAIL REGISTRATION FORM TO:
Attorney General's Office
300 S. Spring Street, Suite 1702
Los Angeles, CA 90013
ATTN: Consumer Law Section, Telemarketing Unit

TELEMARKETING UNIT INFORMATION	
REGISTRATION NO.	_____
REGISTRATION DATE	_____
BUSINESS NAME	_____
ADDRESS	_____
CITY	_____
STATE	_____ ZIP CODE _____

IMPORTANT NOTE: Issuance of a Telephonic Seller Registration Number by the Attorney General's Office does not indicate approval of the solicitations being used nor approval of any aspect of the Telephonic Seller's Business

1. THIS FILING IS MADE ON BEHALF OF (BUSINESS NAME WHEN CONTACTING THE PUBLIC):

2. OTHER NAME(S) USED WHEN DOING BUSINESS:

3. LEGAL NAME:

4. BRIEF DESCRIPTION OF PRODUCT(S) SOLD:

5. a) WE HAVE NEVER REGISTERED BEFORE AS A TELEPHONIC SELLER.

b) WE HAVE REGISTERED BEFORE AS A TELEPHONIC SELLER. GIVE REGISTRATION NUMBER & DATE OF CURRENT REGISTRATION BELOW:

REGISTRATION NUMBER:

DATE OF REGISTRATION:

c) ATTACHED IS CHECK NO.: _____ FOR \$50.00 MADE PAYABLE TO "THE CALIFORNIA ATTORNEY GENERAL'S OFFICE."

6. OUR BUSINESS IS A:

a) CORPORATION INCORPORATED IN: _____
(STATE OF INCORPORATION)

ATTACHED AND MARKED **EXHIBIT 1** IS A COPY OF OUR **ARTICLES OF INCORPORATION OUR BY-LAWS AND AMENDMENTS THERETO.**

b) PARTNERSHIP UNDER THE LAWS OF: _____
(STATE WHERE PARTNERSHIP FOUNDED)

ATTACHED AND MARKED AS **EXHIBIT 1** IS A COPY OF OUR **PARTNERSHIP AGREEMENT.**

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c) FICTITIOUS BUSINESS NAME REGISTERED BY: _____
(NAME OF INDIVIDUAL REGISTERING FICTITIOUS NAME)

ON _____ AT _____
(DATE REGISTERED) (WHERE FICTITIOUS NAME(S) WAS REGISTERED)

7.

a) AS DEFINED IN GENERAL INSTRUCTIONS, NUMBER B1, NO OTHER COMPANY IS OUR PARENT, NOR ARE WE AFFILIATED WITH ANY OTHER COMPANY.

b) AS DEFINED IN GENERAL INSTRUCTIONS, NUMBER B1, THE FOLLOWING COMPANY IS OUR PARENT:

(NAME OF PARENT COMPANY)

OUR PARENT COMPANY IS A:

1) CORPORATION; IT IS INCORPORATED IN: _____
(STATE OF INCORPORATION)

ATTACHED & MARKED EXHIBIT 1A IS A COPY OF ITS **ARTICLES OF INCORPORATION, BY-LAWS & AMENDMENTS** THERETO.

2) PARTNERSHIP UNDER THE LAWS OF : _____
(STATE WHERE PARTNERSHIP FOUNDED)

ATTACHED & MARKED EXHIBIT 1A IS A COPY OF ITS **PARTNERSHIP AGREEMENT**.

3) FICTITIOUS BUSINESS NAME REGISTERED BY: _____
(NAME OF INDIVIDUAL REGISTERING FICTITIOUS NAME)

ON _____ AT _____
(DATE REGISTERED) (WHERE FICTITIOUS NAME(S) WAS REGISTERED)

c) AS DEFINED IN GENERAL INSTRUCTIONS, NUMBER B1, WE ARE AFFILIATED WITH THE FOLLOWING COMPANY:

(NAME(S) OF AFFILIATED COMPANIES)

THE COMPANY WITH WHICH YOU ARE AFFILIATED IS A:

1) CORPORATION; IT IS INCORPORATED IN: _____
(STATE OF INCORPORATION)

ATTACHED & MARKED EXHIBIT 1B IS A COPY OF ITS **ARTICLES OF INCORPORATION, BY-LAWS & AMENDMENTS** THERETO.

2) PARTNERSHIP UNDER THE LAWS OF : _____
(STATE WHERE PARTNERSHIP FOUNDED)

ATTACHED & MARKED EXHIBIT 1B IS A COPY OF ITS **PARTNERSHIP AGREEMENT**.

3) FICTITIOUS BUSINESS NAME REGISTERED BY: _____
(NAME OF INDIVIDUAL REGISTERING FICTITIOUS NAME)

ON _____ AT _____
(DATE REGISTERED) (WHERE FICTITIOUS NAME(S) WAS REGISTERED)

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8. a) COMPLETE STREET ADDRESS OF THE PRINCIPAL LOCATION FROM WHICH SALES WILL BE SOLICITED TELEPHONICALLY OR BY ANY OTHER MEANS. A CERTIFICATE OF FILING MUST BE POSTED AT THIS LOCATION IN A CONSPICUOUS PLACE FOR INSPECTION BY ANY GOVERNMENTAL AGENCY, THUS A STREET LOCATION MAY NOT BE A POST OFFICE BOX OR POST OFFICE SUITE ADDRESS.

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

- b) ALL OTHER STREET ADDRESSES FROM WHICH SALES WILL BE SOLICITED TELEPHONICALLY OR BY ANY OTHER MEANS. A CERTIFICATE OF FILING MUST BE POSTED AT EACH OF THESE LOCATIONS IN A CONSPICUOUS PLACE FOR INSPECTION BY ANY GOVERNMENTAL AGENCY, THUS A STREET LOCATION MAY NOT BE A POST OFFICE BOX OR POST OFFICE SUITE ADDRESS.

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

- c) ADDRESS OF THE MAIN LOCATION IN CALIFORNIA FROM WHICH SALES WILL SOLICIT BUSINESS IS: A CERTIFICATE OF FILING MUST BE POSTED AT EACH OF THESE LOCATIONS IN A CONSPICUOUS PLACE FOR INSPECTION BY ANY GOVERNMENTAL AGENCY, THUS A STREET LOCATION MAY NOT BE A POST OFFICE BOX OR POST OFFICE SUITE ADDRESS.

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

- d) MAILING ADDRESS [IF DIFFERENT FROM 8(a)]:

NAME	_____	COUNTRY	_____
ADDRESS	_____	EMAIL	_____
CITY	_____	STATE	_____
	_____	ZIP CODE	_____

9. a) LIST THE TELEPHONE NUMBERS TO BE USED TO SOLICIT BUSINESS FROM THE LOCATION SET FORTH IN 8(a):

- b) LIST AND DESIGNATE THE LOCATION OF EACH TELEPHONE NUMBER(S) TO BE USED TO SOLICIT FROM EACH OF THE LOCATIONS SET FORTH IN 8(b):

LOCATION	PHONE

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c) IF 8(c) IS APPLICABLE, LIST THE TELEPHONE NUMBER(S) TO BE USED TO SOLICIT BUSINESS FROM THE LOCATION SET FORTH IN 8(c)

d) LIST THE E-MAIL ADDRESS AND/OR WEB SITE TO BE USED BY THE COMPANY:

E-MAIL ADDRESS:

WEB SITE:

e) LIST THE NAME AND PHONE NUMBER OF A PERSON TO CONTACT REGARDING THIS REGISTRATION

NAME:

PHONE NUMBER:

10. LIST EACH OFFICER, DIRECTOR, TRUSTEE, GENERAL PARTNER, LIMITED PARTNER, SOLE PROPRIETOR AND OWNER, AS APPLICABLE TO THE BUSINESS. (ATTACH ADDITIONAL PAGES AS NEEDED BUT USE THE SAME FORMAT.)

1)

NAME:

DATE OF BIRTH:

TITLE:

OWNERSHIP INTEREST:

YES NO

DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE:

COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:

ADDRESS

CITY

STATE

ZIP CODE

2)

NAME:

DATE OF BIRTH:

TITLE:

OWNERSHIP INTEREST:

YES NO

DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE:

COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:

ADDRESS

CITY

STATE

ZIP CODE

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3) NAME: _____ DATE OF BIRTH: _____
 TITLE: _____ OWNERSHIP INTEREST: YES NO
 DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____
 COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
 ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____

4) NAME: _____ DATE OF BIRTH: _____
 TITLE: _____ OWNERSHIP INTEREST: YES NO
 DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____
 COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
 ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____

5) NAME: _____ DATE OF BIRTH: _____
 TITLE: _____ OWNERSHIP INTEREST: YES NO
 DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____
 COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
 ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____

11. LIST EACH INDIVIDUAL NOT LISTED IN ANSWER TO QUESTION (10) WHO HAS MANAGEMENT RESPONSIBILITIES IN CONNECTION WITH THE BUSINESS. (ATTACH ADDITIONAL PAGES AS NEEDED BUT USE THE SAME FORMAT.)

1) NAME: _____ DATE OF BIRTH: _____
 DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____
 COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
 ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____
 MANAGEMENT DUTIES: _____

2) NAME: _____ DATE OF BIRTH: _____
 DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____
 COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
 ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____
 MANAGEMENT DUTIES: _____

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3) NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
MANAGEMENT DUTIES: _____

4) NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
COMPLETE STREET ADDRESS OF PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
MANAGEMENT DUTIES: _____

12. LIST EACH PERSON WHO IS IN CHARGE OF EACH LOCATION SPECIFIED IN ANSWER TO QUESTION 8. LIST EACH PERSON IN CHARGE EVEN IF THAT NAME APPEARS IN ANSWER TO ANOTHER QUESTION. (ATTACH ADDITIONAL PAGES AS NEEDED BUT USE THE SAME FORMAT.)

1) NAME: _____
RESIDENCE ADDRESS:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
IN CHARGE OF
LOCATION AT: _____

2) NAME: _____
RESIDENCE ADDRESS:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
IN CHARGE OF
LOCATION AT: _____

3) NAME: _____
RESIDENCE ADDRESS:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
IN CHARGE OF
LOCATION AT: _____

4) NAME: _____
RESIDENCE ADDRESS:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
IN CHARGE OF
LOCATION AT: _____

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13. LIST THE FOLLOWING INFORMATION FOR ANY PERSON LISTED IN THE ANSWERS TO QUESTIONS 10, 11 OR 12 WHO:

- 1) HAS BEEN CONVICTED OF A FELONY OR MISDEMEANOR, OR PLED NOLO CONTENDERE, TO A CHARGE ALLEGING VIOLATION OF THIS TELEPHONIC SELLER LAW, OR FRAUD, THEFT, EMBEZZLEMENT, FRAUDULENT CONVERSION, OR MISAPPROPRIATION OF PROPERTY; OR
- 2) HAS HAD ENTERED AGAINST HIM OR HER A FINAL JUDGMENT OR ORDER IN A CIVIL OR ADMINISTRATIVE ACTION, INCLUDING A STIPULATED JUDGEMENT OR ORDER, IF THE COMPLAINT OR PETITION IN THE CIVIL OR ADMINISTRATIVE ACTION ALLEGED ACTS CONSTITUTING A VIOLATION OF THIS TELEPHONIC SELLER LAW, FRAUD, THEFT, EMBEZZLEMENT, FRAUDULENT CONVERSION, OR MISAPPROPRIATION OF PROPERTY, THE USE OF UNTRUE OR MISLEADING REPRESENTATIONS IN AN ATTEMPT TO SELL OR DISPOSE OF REAL OR PERSONAL PROPERTY, OR THE USE OF UNFAIR, UNLAWFUL, OR DECEPTIVE BUSINESS PRACTICES; OR
- 3) IS SUBJECT TO ANY CURRENTLY EFFECTIVE INJUNCTION OR RESTRICTIVE COURT ORDER RELATING TO BUSINESS ACTIVITY AS THE RESULT OF AN ACTION BROUGHT BY A FEDERAL, STATE, OR LOCAL PUBLIC AGENCY OR UNIT THEREOF, INCLUDING BUT NOT LIMITED TO, AN ACTION AFFECTING ANY VOCATIONAL LICENSE.

PROVIDE ALL REQUESTED INFORMATION FOR EACH PERSON. (ATTACH ADDITIONAL PAGES AS NEEDED.)

IF NO INDIVIDUAL LISTED IN ANSWERS TO QUESTION 10, 11, 12 NEED TO BE LISTED BECAUSE NONE OF THEM HAVE BEEN CONVICTED OR PLED NOLO CONTENDERE TO ANY CHARGE SET FORTH IN QUESTION 13 OR IS NOT SUBJECT TO ANY CURRENT INJUNCTIVE OR RESTRICTIVE ORDER THEN MARK AN "X" HERE:

* NAME OF INDIVIDUAL: _____

COURT OR ADMINISTRATIVE AGENCY RENDERING
DECISION, JUDGEMENT OR ORDER: _____

DATE OF CONVICTION, JUDGEMENT OR ORDER: _____ DOCKET
NUMBER: _____

* NAME OF INDIVIDUAL: _____

COURT OR ADMINISTRATIVE AGENCY RENDERING
DECISION, JUDGEMENT OR ORDER: _____

DATE OF CONVICTION, JUDGEMENT OR ORDER: _____ DOCKET
NUMBER: _____

14. LIST THE INFORMATION REQUIRED BY QUESTION 13 EXCEPT APPLIED TO THE TELEPHONIC SELLER. THE TELEPHONIC SELLER IS THE CORPORATION, PARTNERSHIP, FIRM, ASSOCIATION, JOINT VENTURE OR ANY OTHER TYPE OR BUSINESS ENTITY WHICH IS SUBMITTING THIS APPLICATION FOR REGISTRATION.

IF THE TELEPHONIC SELLER DOES NOT NEED TO BE LISTED BECAUSE THE SELLER HAS NOT BEEN CONVICTED OR PLED NOLO CONTENDERE TO ANY CHARGES SET FORTH IN QUESTIONS 13 OR IS NOT SUBJECT TO ANY CURRENT OR RESTRICTIVE ORDER, THEN MARK AN "X" HERE:

* NAME OF INDIVIDUAL: _____

COURT OR ADMINISTRATIVE AGENCY RENDERING
DECISION, JUDGEMENT OR ORDER: _____

DATE OF CONVICTION, JUDGEMENT OR ORDER: _____ DOCKET
NUMBER: _____

NAME OF GOVERNMENT AGENCY WHICH
BROUGHT THE ACTION: _____

* NAME OF INDIVIDUAL: _____

COURT OR ADMINISTRATIVE AGENCY RENDERING
DECISION, JUDGEMENT OR ORDER: _____

DATE OF CONVICTION, JUDGEMENT OR ORDER: _____ DOCKET
NUMBER: _____

NAME OF GOVERNMENT AGENCY WHICH
BROUGHT THE ACTION: _____

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15. LIST THE FOLLOWING INFORMATION FOR ANY PERSON LISTED IN THE ANSWERS TO QUESTIONS 10, 11 OR 12 WHO HAS:

- a) AT ANY TIME DURING THE PREVIOUS SEVEN TAX YEARS:
 - FILED IN BANKRUPTCY,
 - BEEN ADJUDGED A BANKRUPT,
 - BEEN REORGANIZED DUE TO INSOLVENCY, OR
- b) WHO HAS BEEN A PRINCIPAL, DIRECTOR, TRUSTEE, GENERAL OR LIMITED PARTNER, OR HAD MANAGEMENT RESPONSIBILITIES FOR ANY OTHER CORPORATION, PARTNERSHIP, JOINT VENTURE OR BUSINESS ENTITY THAT HAS:
 - FILED IN BANKRUPTCY,
 - BEEN ADJUDGED A BANKRUPT,
 - BEEN REORGANIZED DUE TO INSOLVENCY DURING OR WITHIN ONE YEAR AFTER THE PERIOD THAT THE PERSON HELD THAT POSITION. (ATTACH ADDITIONAL PAGES AS NEEDED.)

IF NO PERSON LISTED IN ANSWERS TO QUESTIONS 10, 11, OR 12 NEED TO BE LISTED BECAUSE NONE OF THEM FALLS WITHIN THE SITUATION DESCRIBED IN QUESTION 15, THEN MARK AN "X" HERE:

*	NAME OF INDIVIDUAL: _____	COURT: _____	
	ADDRESS: _____	DATE OF EVENT: _____	
	CITY: _____ STATE: _____ ZIP CODE: _____	DOCKET NO.: _____	
*	NAME OF INDIVIDUAL: _____	COURT: _____	
	ADDRESS: _____	DATE OF EVENT: _____	
	CITY: _____ STATE: _____ ZIP CODE: _____	DOCKET NO.: _____	

16. LIST THE SAME INFORMATION REQUIRED IN QUESTION 15 EXCEPT APPLIED TO THE TELEPHONIC SELLER. THE TELEPHONIC SELLER IS THE CORPORATION, PARTNERSHIP, FIRM, ASSOCIATION, JOINT VENTURE OR ANY OTHER TYPE OF BUSINESS ENTITY WHICH IS SUBMITTING THIS APPLICATION FOR REGISTRATION.

IF THE TELEPHONIC SELLER DOES NOT NEED TO BE LISTED BECAUSE THE SELLER DOES NOT FALL WITHIN THE SITUATION DESCRIBED IN QUESTION 15, THEN MARK AN "X" HERE:

*	NAME OF BUSINESS: _____	COURT: _____	
	ADDRESS: _____	DATE OF EVENT: _____	
	CITY: _____ STATE: _____ ZIP CODE: _____	DOCKET NO.: _____	
*	NAME OF BUSINESS: _____	COURT: _____	
	ADDRESS: _____	DATE OF EVENT: _____	
	CITY: _____ STATE: _____ ZIP CODE: _____	DOCKET NO.: _____	

17. LIST THE FOLLOWING FOR EACH INDIVIDUAL WHO WILL SOLICIT ON BEHALF OF THE TELEPHONIC SELLER, AND THE NAME(S) THEY WILL USE WHEN SOLICITING. (ATTACH ADDITIONAL PAGES AS NEEDED BUT USE THE SAME FORMAT.) * **NOTE:** A SOCIAL SECURITY NUMBER MAY BE SUBSTITUTED IF A SOLICITOR DOES NOT HAVE A DRIVER'S LICENSE.

1) ACTUAL NAME: _____ DATE OF BIRTH: _____

DRIVER'S LICENSE NUMBER AND STATE OF ISSUANCE: _____

PRINCIPAL RESIDENCE: _____

ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____

NAMES TO BE USED WHEN SOLICITING: _____

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17.
Cont'd

2) ACTUAL NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
NAMES TO BE USED
WHEN SOLICITING: _____

3) ACTUAL NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
NAMES TO BE USED
WHEN SOLICITING: _____

4) ACTUAL NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
NAMES TO BE USED
WHEN SOLICITING: _____

5) ACTUAL NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
NAMES TO BE USED
WHEN SOLICITING: _____

6) ACTUAL NAME: _____ DATE OF BIRTH: _____
DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____
PRINCIPAL RESIDENCE:
ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____
NAMES TO BE USED
WHEN SOLICITING: _____

TELEPHONIC SELLER REGISTRATION

17.
Cont'd

7) ACTUAL NAME: _____ DATE OF BIRTH: _____

DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____

PRINCIPAL RESIDENCE:

ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____

NAMES TO BE USED
WHEN SOLICITING: _____

8) ACTUAL NAME: _____ DATE OF BIRTH: _____

DRIVER'S LICENSE NUMBER
AND STATE OF ISSUANCE: _____

PRINCIPAL RESIDENCE:

ADDRESS _____ CITY _____ STATE _____ ZIP
CODE _____

NAMES TO BE USED
WHEN SOLICITING: _____

CHECK ONE BOX FOR EACH OF THE FOLLOWING QUESTIONS:

18. a) ATTACHED AND MARKED **EXHIBIT 2** IS A COPY OF ALL SALES SCRIPTS WE GIVE TO THOSE SOLICITING FOR US.
- b) WE DO NOT GIVE THOSE SOLICITING FOR US A SALES SCRIPT.

19. a) ATTACHED AND MARKED AS **EXHIBIT 3** IS A COPY OF ALL SALES INFORMATION OR LITERATURE WE PROVIDE TO OUR SALES PEOPLE OR OF WHICH WE INFORM OUR SALESPEOPLE (INCLUDING, BUT NOT LIMITED TO, SCRIPTS, OUTLINES, INSTRUCTIONS AND INFORMATION REGARDING HOW TO CONDUCT TELEPHONIC SALES, SAMPLE INTRODUCTIONS, SAMPLE CLOSINGS, PRODUCT INFORMATION AND CONTEST OR PREMIUM AWARD INFORMATION.)
- b) WE DO NOT PROVIDE WRITTEN INFORMATION TO, NOR INFORM OUR SALESPEOPLE OF ANY SALES INFORMATION OR LITERATURE AS DESCRIBED IN 19(a).

20. a) ATTACHED AND MARKED AS **EXHIBIT 4** IS A COPY OF ALL WRITTEN MATERIAL WE SEND ANY PROSPECTIVE OR ACTUAL PURCHASER.
- b) WE DO NOT SEND ANY WRITTEN MATERIAL TO ANY PROSPECTIVE OR ACTUAL PURCHASER

21. a) IF YOU OR YOUR SALESPEOPLE REPRESENT OR IMPLY TO PROSPECTIVE OR ACTUAL PURCHASERS THAT THE PURCHASER WILL RECEIVE CERTAIN SPECIFIC ITEMS OR ONE OR MORE ITEMS FROM AMONG DESIGNATED ITEMS, OR A CERTIFICATE OF ANY TYPE WHICH THE PURCHASER MUST REDEEM TO OBTAIN THE ITEM DESCRIBED IN THE CERTIFICATE, WHETHER THE ITEMS ARE REFERRED TO AS GIFTS, PREMIUMS, BONUSES, PRIZES OR OTHERWISE, LIST THE FOLLOWING. (SEE GENERAL INSTRUCTIONS, NO. B2):

* ITEM OFFERED: _____ PRICE OR VALUE OF WORTH: \$ _____ BASIS FOR VALUATION: _____ PRICE WE PAID: \$ _____ SUPPLIER'S NAME: _____	ADDRESS _____
	CITY _____
	STATE _____ ZIP CODE _____
	TELEPHONE NUMBER _____

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21.
Cont'd

* ITEM OFFERED: _____ PRICE OR VALUE OF WORTH: \$ _____ BASIS FOR VALUATION: _____ PRICE WE PAID: \$ _____ SUPPLIER'S NAME: _____	ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____ TELEPHONE NUMBER _____
---	---

* ITEM OFFERED: _____ PRICE OR VALUE OF WORTH: \$ _____ BASIS FOR VALUATION: _____ PRICE WE PAID: \$ _____ SUPPLIER'S NAME: _____	ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____ TELEPHONE NUMBER _____
---	---

* ITEM OFFERED: _____ PRICE OR VALUE OF WORTH: \$ _____ BASIS FOR VALUATION: _____ PRICE WE PAID: \$ _____ SUPPLIER'S NAME: _____	ADDRESS _____ CITY _____ STATE _____ ZIP CODE _____ TELEPHONE NUMBER _____
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b) WE DO NOT REPRESENT OR IMPLY TO PROSPECTIVE OR ACTUAL PURCHASERS THAT THE PURCHASER WILL RECEIVE CERTAIN SPECIFIC ITEMS, ONE OR MORE ITEMS FROM AMONG DESIGNATED ITEMS OR A CERTIFICATE OF ANY TYPE WHICH THE PURCHASER MUST REDEEM TO OBTAIN THE ITEM DESCRIBED IN THE CERTIFICATE.

22. a) WE CHECKED 21(a) AND A PURCHASER DOES NOT ACTUALLY RECEIVE ALL OF THE ITEMS DESCRIBED BY US OR OUR SALESPeOPLE:

1) WE DECIDE WHICH ITEM OR ITEMS A PARTICULAR PROSPECTIVE PURCHASER IS TO RECEIVE IN THE FOLLOWING MANNER:

2) THE ODDS A SINGLE PROSPECTIVE PURCHASER HAS OF RECEIVING EACH DESCRIBED ITEM ARE (SEE GENERAL INSTRUCTIONS, NO. B3):

3) THE NAME AND ADDRESS OF EACH RECIPIENT WHO HAS DURING THE PRECEDING 12 MONTHS (OR IF YOU HAVE NOT BEEN IN BUSINESS THAT LONG, DURING THE PERIOD YOU HAVE BEEN IN BUSINESS) RECEIVED THE ITEM HAVING THE GREATEST VALUE AND THE ITEM WITH THE SMALLEST ODDS OF BEING RECEIVED IS (SEE GENERAL INSTRUCTIONS, NO. B4):

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- 22.** Cont'd
- b) WE CHECKED 21(a) AND A PURCHASER RECEIVES ALL OF THE ITEMS DESCRIBED BY OUR SALESPEOPLE.
- c) WE CHECKED 21(b).
- 23.** ATTACHED AND MARKED **EXHIBIT 5** IS A COPY OF ALL RULES, REGULATIONS, TERMS AND CONDITIONS A PROSPECTIVE PURCHASER MUST MEET IN ORDER TO RECEIVE THE ITEM(S) DESCRIBED IN ANSWER TO QUESTION 21.
- 24.**
- a) WE DO NOT SELL OR OFFER TO SELL AN INVESTMENT OPPORTUNITY OF ANY TYPE WHATSOEVER. IF MARKED SKIP TO QUESTION 35.
- b) WE SELL OR OFFER TO SELL INVESTMENTS IN COINS, BULLION, METAL, STONE, MINERAL, OR INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES. IF MARKED, ANSWER QUESTIONS 25 - 32.
- c) WE SELL OR OFFER TO SELL AN INVESTMENT OPPORTUNITY OF A TYPE DIFFERENT FROM THOSE LISTED IN 24(b). IF MARKED, ANSWER QUESTIONS 33 - 34.
- 25.**
- a) WE DO NOT SELL OR OFFER TO SELL COINS OR BULLION.
- b) WE SELL OR OFFER TO SELL COINS OR BULLION, BUT FALL WITHIN THE EXEMPTION SET FORTH IN BUSINESS AND PROFESSIONS CODE SECTION 17511.1(d)(19) AND ARE SEPARATELY FILING THE INFORMATION REQUIRED BY BUSINESS AND PROFESSIONS CODE SECTIONS 17511.3, AS APPLICABLE, AND 17511.4(p) BECAUSE WE QUALIFY FOR AN EXEMPTION
- c) WE SELL OR OFFER TO SELL COINS OR BULLION, BUT DO NOT FALL WITHIN THE EXEMPTION SET FORTH IN BUSINESS AND PROFESSIONS CODE SECTION 17511.1(d)(19) AND ARE ANSWERING QUESTIONS 26-32.
- 26.**
- a) WE DO NOT SELL OR OFFER TO SELL METAL , COINS, STONE OR MINERAL.
- b) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL AND THE NAME, ADDRESS AND TELEPHONE NUMBER OF EACH OF OUR SUPPLIERS, AND THE METAL, COIN, STONE OR MINERAL WE GET FROM EACH SUPPLIER IS AS FOLLOWS (SEE GENERAL INSTRUCTIONS, NO. B5):
-
- 27.**
- a) WE DO NOT SELL OR OFFER TO SELL METAL COINS, STONE OR MINERAL.
- b) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL FROM OUR OWN INVENTORY WHICH IS KEPT AT THE FOLLOWING LOCATION (SEE GENERAL INSTRUCTIONS, NO. B6):
-
- c) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL BUT WE ARRANGE THE TRANSFER OF THE METAL, COINS, STONE OR MINERAL DIRECTLY FROM OUR SOURCES TO THE PURCHASER OR HIS/HER BANK WITHOUT TAKING POSSESSION OF IT OURSELVES.
- d) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL AND WE WILL EITHER RETAIN PHYSICAL POSSESSION OF THE METAL, COINS, STONE OR MINERAL PURCHASED OR WILL NOT TRANSFER PHYSICAL POSSESSION OF THE METAL, COINS, STONE OR MINERAL PURCHASED UNTIL THE PURCHASER HAS PAID IN FULL FOR THE PURCHASE AND THE ADDRESS OF EACH LOCATION WHERE THE METAL, COINS, STONE OR MINERAL WILL BE KEPT IS:
-
- e) IF WE DO NOT OWN THE PREMISES AT WHICH THE METAL, COINS, STONE OR MINERAL WILL BE KEPT, THE NAME OF THE OWNER(S) OF THE BUSINESS(ES) AT WHICH THE METAL, COINS, STONE OR MINERAL WILL BE KEPT IS (SEE GENERAL INSTRUCTIONS, NO. B7):
-
- ATTACHED AND MARKED **EXHIBIT 6** IS A COPY OF THE CONTRACT(S) OR OTHER DOCUMENT(S) WHICH EVIDENCES OUR RIGHT TO STORE THE METAL, COINS, STONE OR MINERAL AT THE ADDRESS(ES) DESIGNATED IN 27(e).
- f) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL, BUT WE PURCHASE THE METAL, STONE OR MINERAL TO FILL ORDERS WE HAVE TAKEN FROM PURCHASERS, AND ATTACHED AND MARKED **EXHIBIT 7** IS A COPY OF ALL CONTRACTS OR OTHER DOCUMENTS EVIDENCING OUR ABILITY TO CALL UPON SUPPLIERS TO FILL OUR ORDERS.
- 28.**
- a) WE DO NOT SELL OR OFFER TO SELL ANY METAL COINS, STONE OR MINERAL.
- b) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL BUT DO NOT REPRESENT TO PURCHASERS THAT WE HAVE INSURANCE OR A SURETY BOND OF ANY TYPE RELATING TO A PURCHASER'S PURCHASE OF METAL, COINS, STONE OR MINERAL.

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- 28.** Cont'd c) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL AND WE REPRESENT TO PURCHASERS THAT WE HAVE INSURANCE OR A SURETY BOND OF SOME TYPE RELATING TO A PURCHASER'S PURCHASE OF METAL, COINS, STONE OR MINERAL AND A COPY OF ALL SUCH INSURANCE POLICIES AND BONDS IS ATTACHED AND MARKED EXHIBIT 8.
- 29.** a) WE DO NOT SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL.
- b) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL BUT DO NOT MAKE ANY REPRESENTATION AS TO THE EARNING OR PROFIT POTENTIAL OF PURCHASES OF ANY METAL, COINS, STONE OR MINERAL.
- c) WE SELL OR OFFER TO SELL METAL, COINS, STONE OR MINERAL AND MAKE REPRESENTATIONS AS TO THE EARNING OR PROFIT POTENTIAL OF PURCHASES OF THE METAL, COINS, STONE OR MINERAL. THE SUBSTANTIATING DATA IS ATTACHED AND MARKED EXHIBIT 9 (SEE GENERAL INSTRUCTIONS, NO. B8).
- 30.** a) WE DO NOT SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES.
- b) WE SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES AND OUR OWNERSHIP INTEREST, IF ANY, IN EACH FIELD, WELL OR SITE BEING OFFERED AND THE NUMBER OF INTERESTS TO BE SOLD IN EACH IS AS FOLLOWS (SEE GENERAL INSTRUCTIONS, NO. B9):
-
- 31.** a) WE DO NOT SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES.
- b) WE SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES, BUT MAKE NO REFERENCE TO PROSPECTIVE PURCHASERS ABOUT ANY INVESTIGATION HAVING BEEN DONE BY ANYONE REGARDING ANY PARTICULAR FIELD, WELL OR SITE IN WHICH WE ARE SELLING INTERESTS.
- c) WE SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES AND MAKE A REFERENCE TO PROSPECTIVE PURCHASERS ABOUT INVESTIGATIONS HAVING BEEN DONE REGARDING THE FIELD, WELL OR SITE IN WHICH WE ARE SELLING INTERESTS.
- ATTACHED AND MARKED EXHIBIT 10 IS A COPY OF THE REPORT AND OTHER DOCUMENTS RELATING TO THE INVESTIGATION DONE WHICH INCLUDES THEREIN THE NAME, BUSINESS ADDRESS, TELEPHONE NUMBER AND PROFESSIONAL CREDENTIALS OF THE PERSON(S) WHO MADE THE INVESTIGATION.
- 32.** a) WE DO NOT SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES.
- b) WE SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES, BUT DO NOT MAKE ANY REPRESENTATION AS TO THE EARNING OR PROFIT POTENTIAL OF PURCHASES OF ANY INTEREST IN THESE FIELDS, WELLS OR SITES
- c) WE SELL OR OFFER TO SELL INTERESTS IN OIL, GAS OR MINERAL FIELDS, WELLS OR EXPLORATION SITES AND MAKE REPRESENTATIONS AS TO THE EARNING OR PROFIT POTENTIAL OF PURCHASES OF AN INTEREST IN THESE FIELDS, WELLS OR SITES. THE SUBSTANTIATING DATA IS ATTACHED AND MARKED EXHIBIT 11 (SEE GENERAL INSTRUCTIONS, NO. B10).
- 33.** WE SELL THE FOLLOWING TYPE OF INVESTMENT OPPORTUNITIES:
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- 34.** a) WE SELL OR OFFER TO SELL THE INVESTMENT OPPORTUNITY DIRECTLY FROM OUR OWN INVENTORY.
- b) WE ARRANGE THE TRANSFER OF THE INVESTMENT OPPORTUNITY, OR EVIDENCE OF OWNERSHIP OF IT FROM OUR SOURCES TO THE PURCHASER OR HIS/HER BANK WITHOUT TAKING POSSESSION OF IT OURSELVES.
- c) WE WILL EITHER RETAIN PHYSICAL POSSESSION OF THE INVESTMENT OPPORTUNITY, OR OF THE EVIDENCE OF OWNERSHIP OF IT, OR WILL NOT TRANSFER PHYSICAL POSSESSION OF IT, OR OF THE EVIDENCE OF OWNERSHIP OF IT, UNTIL THE PURCHASER HAS PAID IN FULL FOR THE PURCHASE; AND
- 1) THE ADDRESS(ES) OF EACH LOCATION WHERE THE INVESTMENT OPPORTUNITY OR THE EVIDENCE OF ITS OWNERSHIP WILL BE KEPT IS
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TELEPHONIC SELLER REGISTRATION

34.
Cont'd

2) IF WE DO NOT OWN THE PREMISES AT WHICH THE INVESTMENT OPPORTUNITY, OR THE EVIDENCE OF OWNERSHIP OF IT, WILL BE KEPT, THE NAME(S) OF THE OWNER(S) OF THE BUSINESS(ES) AT WHICH THE INVESTMENT OPPORTUNITY, OR THE EVIDENCE OF OWNERSHIP OF IT, WILL BE KEPT IS:

3) ATTACHED AND MARKED EXHIBIT 12 IS A COPY OF THE CONTRACT OR OTHER DOCUMENT WHICH EVIDENCES OUR RIGHT TO STORE THE INVESTMENT OPPORTUNITY, OR THE EVIDENCE OF OWNERSHIP OF IT, AT THE ADDRESS(ES) DESIGNATED.

d) WE PURCHASE THE INVESTMENT OPPORTUNITY TO FILL ORDERS WE HAVE TAKEN FROM PURCHASERS AND ATTACHED AND MARKED EXHIBIT 13 IS A COPY OF ALL CONTRACTS OR OTHER DOCUMENTS EVIDENCING OUR ABILITY TO CALL UPON SUPPLIERS TO FILL OUR ORDERS.

35.

THE NAME AND ADDRESS OF OUR AGENT IN CALIFORNIA WHO IS AUTHORIZED TO RECEIVE SERVICE OF PROCESS IS:

NAME: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

YOU MUST SIGN AND DATE **EXHIBIT 14** WHICH IS AN IRREVOCABLE CONSENT APPOINTING THE ATTORNEY GENERAL TO ACT AS YOUR ATTORNEY TO RECEIVE SERVICE OF ANY LAWFUL PROCESS IN ANY NONCRIMINAL SUIT, ACTION, OR PROCEEDING AGAINST YOU OR YOUR SUCCESSOR, EXECUTOR OR ADMINISTRATOR, WHICH MAY ARISE UNDER THE PROVISIONS OF THIS **TELEPHONIC SELLER LAW (BUSINESS AND PROFESSIONS CODE, SECTIONS 17511-17511.10)** WHEN THE AGENT DESIGNATED IN ANSWER TO QUESTION 35 HAS RESIGNED AND HAS NOT BEEN REPLACED, OR IF THE AGENT SO DESIGNATED CANNOT WITH REASONABLE DILIGENCE BE FOUND AT THE ADDRESS DESIGNATED, OR IF NO AGENT HAS BEEN DESIGNATED. (SEE GENERAL INSTRUCTIONS, NOS. B11 AND B12.)

36.

A COPY OF YOUR BOND FOR \$100,000 IN FAVOR OF THE STATE OF CALIFORNIA MUST BE SUBMITTED AS **EXHIBIT 15**. (**BUSINESS AND PROFESSIONS CODE, SECTION 17511.12(a).**)

37.

ALL PRINCIPALS OF THE TELEPHONIC SELLER MUST SIGN AND DATE THIS VERIFICATION:

I/WE CERTIFY OR DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT ALL OF THE INFORMATION PROVIDED IN ANSWERS TO QUESTIONS 1-36, AND IN THE EXHIBITS ATTACHED HERETO, IS TRUE AND CORRECT.

SIGNATURE	PRINT NAME
CITY AND STATE WHERE SIGNED	DATE
SIGNATURE	PRINT NAME
CITY AND STATE WHERE SIGNED	DATE
SIGNATURE	PRINT NAME
CITY AND STATE WHERE SIGNED	DATE

TELEPHONIC SELLER REGISTRATION TELEPHONIC SELLER

PRIVACY NOTICE As Required by Civil Code §1798.17

Information Collection, Use and Access

Collection and Use of Personal Information: The Consumer Law Section of the California Department of Justice collects the information on this form as authorized by Government Code sections 11180, 11181, and 11182, and Business and Professions Code sections 17511 et seq. The Consumer Law Section uses this information in its review of your application to register as a Telephonic Seller (Business and Professions Code section 17511.3). We may also use this information to investigate alleged misconduct and in any law enforcement action based on that misconduct. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices and state policy. The Department of Justice's general privacy policy is available at <http://oag.ca.gov/privacy>.

Providing Personal Information is Required: All of the personal information requested in the form must be provided, including but not limited to all information required in Business and Professions Code section 17511.4 (including name, complete business and residential addresses and telephone numbers, driver's license number and state of issuance or equivalent personal identification such as Social Security number, and the date of birth of each owner, principal, manager and salesperson of the telephonic seller.) This form will not be processed if you fail to provide all personal information requested.

Access to Your Information: You may review the registration materials and forms that you submitted to the Consumer Law Section.

Possible Disclosure of Personal Information: In order to process your registration application, we may need to share the information you give us with other government agencies. This may include sharing any personal information you gave us. We may also need to share the information you gave us. We may also need to share the information to further any investigation of any claim against you by any other government agency.

The information you provide may also be disclosed in the following circumstances:

- In response to a Public Records Act Request, as allowed by the Information Practices Act;
- To another government agency as required by state or federal law;
- In response to a court or administrative order, a subpoena, or a search warrant.

Contact Information: For questions about your registration, please contact the Telephonic Seller Program at Telephonic.Seller@doj.ca.gov or call (213) 897-2000.