## State of California Office of Administrative Law

In re: Department of Justice	NOTICE OF APPROVAL OF CHANGES WITHOUT REGULATORY EFFECT
Regulatory Action:	4
Title 11, California Code of Regulations	California Code of Regulations, Title 1, Section 100
Adopt sections:	
Amend sections: 301, 303, 308, 411, 415, 420	OAL Matter Number: 2017-1011-01
Repeal sections:	
96 1	OAL Matter Type: Nonsubstantive (N)

This change without regulatory effect filing by the Department of Justice amends sections 301, 303, 308, 411, 415, and 420 in title 11 of the California Code of Regulations to update the revision dates for fifteen forms incorporated by reference. The Department is revising the fifteen forms to include a new telephone number and to update Department contact information.

OAL approves this change without regulatory effect as meeting the requirements of California Code of Regulations, title 1, section 100.

Date: November 27, 2017

Lindsey S. McNeill Attomey

For: Debra M. Cornez Director

Original: Xavier Becerra, Attorney General Copy: Melan Noble

# **EXPLANATORY STATEMENT**

The proposed changes add a new public telephone number to 16 Department of Justice forms and instructions. These are forms that charitable organizations and fundraising entities are required to file with the Registry of Charitable Trusts (Registry) in the Department of Justice.

The Registry's telephone numbers have changed as a result of a state-mandated technology upgrade to the voice over internet system. The Registry receives a large number of public contacts by telephone. These numbers are published on Registry forms and instructions. Updating the telephone numbers are necessary to maintain service continuity with the public.

Due to the changes, the revision date published on all the forms must be updated from 03/05 to 08/2017.

Additionally, proposed changes to the CT-4CF Bond Letter, and instructions to forms CT-8CF and CT-9CF will delete the name of an employee no longer with the Registry of Charitable Trusts.

Finally, a proposed change to the CT-4CF Bond Letter replaces the name of the former Attorney General with the current Attorney General Xavier Becerra.

CATE OF CALL OBNIA-OFFICE OF AMMENT NOTICE PUBLICATION STD. 400 (REV. 01-2013)	NS	BE	ni sje	MT		istr≻≪ions on rév_ع)	For use by Secretary of State only
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NOTICE						· ·	•
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Department of Justice							DOJ-17-006
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B. SUBMISSION OF REGUL	ATIONS (Co	mplete whe	n submi	tting regu	lations)		
1a. SUBJECT OF REGULATION(S) Change of telephone number	rs				1b. ALL F	REVIOUS RELATED	OAL REGULATORY ACTION NUMBER(S)
2. SPECIFY CAUFORNIA CODE OF REGULATIONS	· · · · · ·	N(5) (Including title	26, if toxics re	elated)			
SECTION(S) AFFECTED	ADOPT						
(List all section number(s) individually. Attach	AMEND				· · · ·		
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11349.4) Emergency (Gov. Code,	Resubmittal	of disapproved or v	withdrawn	[	Other (Specify	y)	
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5. EFF2CTIVE DATE OF CHANGES (Gov. Code, \$§ 1 Effective January 1, April 1, July 1, or	1343.4, 11345.1(d); C	al. Code Regs., title 1, ctive on filing with	\$100) [V] \$10	60 Changes Witho	ut T Effect	live	
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Other (Specify)			_				
7. CONTACT PERSON Melan Noble			16) 210		FAXINUM	BER (Optional)	E-MAIL ADDRESS (Optional) melan.noble@doj.ca.gov
8. I certify that the attached	copy of the				copy	For use b	y Office of Administrative Law (OAL) only
of the regulation(s) ident is true and correct, and t	tified on this hat I am the I	form, that the	e informa Jency tak	ation specif ting this act	ied on this fo ion,	L.	NDORSED APPROVED
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### CALIFORNIA CODE OF REGULATIONS

# TITLE 11. DIVISION 1. CHAPTER 4. REGULATIONS ADOPTED PURSUANT TO THE SUPERVISION OF TRUSTEES AND FUNDRAISERS FOR CHARITABLE PURPOSES ACT

### § 301, Periodic Written Reports.

Except as otherwise provided in the Act, every charitable corporation, unincorporated association, trustee, or other person subject to the reporting requirements of the Act shall also file with the Attorney General periodic written reports, under oath, setting forth information as to the nature of the assets held for charitable purposes and the administration thereof by such corporation, unincorporated association, trustee, or other person. Except as otherwise provided in these regulations, these reports include the Annual Registration Renewal Fee Report, ("RRF-1" 3/05 08/2017), hereby incorporated by reference, which must be filed with the Registry of Charitable Trusts annually by all registered charities, as well as the Internal Revenue Service Form 990, which must be filed on an annual basis with the Registry of Charitable Trusts, as well as with the Internal Revenue Service. At the time of the annual renewal of registration filing the RRF-1, the registrant must submit a fee, as set forth in section 311.

A tax-exempt charitable organization which is allowed to file form 990-PF or 990-EZ with the Internal Revenue Service, may file that form with the Registry of Charitable Trusts in lieu of Form 990.

A charitable organization that is not exempt from taxation under federal law shall use Internal Revenue Service Form 990 to comply with the reporting provisions of the Supervision of Trustees and Fundraisers for Charitable Purposes Act. The form shall include, at the top of the page, in 10-point type, all capital letters, "THIS ORGANIZATION IS NOT EXEMPT FROM TAXATION."

Registration requirements for commercial fundraisers for charitable purposes, fundraising counsel for charitable purposes, and commercial coventurers are set forth in section 308.

Note: Authority cited: Sections 12586 and 12587, Government Code. Reference: Sections 12581, 12582, 12583, 12586, 12587, 12599, 12599.1 and 12599.2, Government Code.

#### § 303. Filing Forms.

All periodic written reports required to be filed under the provisions of section 12586 of the Government Code and section 301 of these regulations shall be filed with the Registry of Charitable Trusts, and include: (1) the Annual Registration Renewal Fee Report ("RRF-1" 3/05-08/2017); and (2) Internal Revenue Service Form 990, 990-EZ or 990-PF, as applicable.

Note: Authority cited: Sections 12586 and 12587, Government Code. Reference: Sections 12581, 12583, 12586 and 12587, Government Code.

§ 308. Registration and Notice Requirements for Commercial Fundraisers for Charitable Purposes, Fundraising Counsel for Charitable Purposes, and Commercial Coventurers.

Every commercial fundraiser for charitable purposes, fundraising counsel for charitable purposes, and commercial coventurer that is subject to the Act must register with the Attorney General prior to soliciting any funds in California, and annually on or before January 15 of each year. The registration requirements and fees are set forth in this section.

(a) A "commercial fundraiser for charitable purposes," as defined in Government Code section 12599, must submit the following at the time of initial registration and annual renewal:

> (1) A completed and signed Commercial Fundraiser for Charitable Purposes Annual Registration Form ("CT-1CF" <u>3/05-08/2017</u>) which is incorporated by reference.

(2) \$350 in the form of a certified or cashier's check.

(3) The original of a properly executed \$25,000 surety bond form in the registrant's name, together with a signed Registry of Charitable Trusts Surety Bond Form ("CT- 4CF" <u>3/05 08/2017</u>), which is incorporated herein by reference; or completion of the Deposit by Assignment in Lieu of Commercial Fundraiser for Charitable Purposes Surety Bond Form ("CT-8CF" <u>3/05 08/2017</u>) and Receipt for Notice of Assignment in Lieu of Commercial Fundraiser for Charitable Purposes Surety Bond Form ("CT-9CF" <u>3/05 08/2017</u>), incorporated herein by reference, together with the original passbook or certificate of deposit indicating \$25,000 is held in the Attorney General's name.

(4) An annual financial report as described in Government Code section 12599(d). The forms for the annual financial report include the Annual Financial Report/Commercial Fundraisers ("CT-2CF" <u>3/05-08/2017</u>), which is incorporated by reference; the Annual Financial Report/Thrift Store Operations ("CT-2TCF" <u>3/05-08/2017</u>), which is incorporated by reference; and the Annual Financial Report/Vehicle Donation Program ("CT-2VCF" <u>3/05-08/2017</u>), which is incorporated by reference. The annual financial reports must be filed on or before January 30 of each year.

(b) A "fundraising counsel for charitable purposes," as defined in Government Code section 12599.1, must submit the following at the time of initial registration and annual renewal:

(1) A completed and signed Fundraising Counsel for Charitable Purposes Annual Registration Form ("CT-3CF" 3/05-08/2017), which is incorporated by reference.

(2) \$350 in certified or cashier's check.

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(c) A "commercial coventurer," as defined in Government Code section 12599.2, unless exempted by Government Code section 12599.2(b), shall submit the following at the time of initial registration and annual renewal:

(1) A completed and signed Commercial Coventurer Annual Registration Form ("CT-5CF" <u>3/05-08/2017</u>), which is incorporated by reference.

(2) \$350 in certified or cashier's check.

(3) If required to register and report pursuant to Government Code section 12599.2(c), annual financial reports shall be filed on the Commercial Coventurer Annual Financial Report Form ("CT-6CF" <u>3/05-08/2017</u>), which is incorporated by reference. The annual financial reports must be filed on or before January 30 of each year.

(d) Every commercial fundraiser for charitable purposes and every fundraising counsel for charitable purposes shall file a notice of intent to solicit for charitable purposes as required by Government Code sections 12599 and 12599.1. Commercial fundraisers shall file the Notice of Intent to Solicit for Charitable Purposes - Commercial Fundraiser for Charitable Purposes Form ("CT-10CF" <u>3/05-08/2017</u>), which is incorporated by reference, and fundraising counsel shall file the Notice of Intent to Solicit for Charitable Purposes Form ("CT-11CF" <u>3/05-08/2017</u>), which is incorporated by reference. The forms shall be filed with the Registry of Charitable Trusts in the office of the Attorney General, Sacramento, California.

Note: Authority cited: Sections 12586, 12587, 12599, 12599.1 and 12599.2, Government Code. Reference: Sections 12587, 12599, 12599.1, 12599.2 and 12599.5, Government Code.

### TITLE 11, DIVISION 1, CHAPTER 4.6. NONPROFIT RAFFLE PROGRAM REGULATIONS

Article 1. Title, Scope, and Definitions

#### § 411. Definitions.

The following definitions shall be applicable when used in these regulations:

(a) "Administrative information" means any information maintained by the Department of Justice ("DOJ") that is reasonably necessary for DOJ to perform the duties required by Penal Code section 320.5. Such information includes, but is not limited to, the date a registration application or report is received, the date the registration takes effect, and the expiration date of the registration.

(b) "Attorney General" means the California Attorney General or any employee of the

Attorney General acting under the authority of the Attorney General.

(c) "Department of Justice" means the California Department of Justice ("DOJ") or any employee of DOJ acting under the authority of DOJ.

(d) "Eligible organization" means a private nonprofit organization as defined in Penal Code section 320.5(c) and excludes those entities specified in Penal Code section 320.5(h).

(e) "Fee" means the fee established by DOJ as authorized by Penal Code section 320.5(h).

(f) "Nonprofit Raffle Program" means all information, documents and other material filed with or maintained by DOJ, including registration applications and electronic databases, reports and any processes, procedures or other means of effectuating the requirements of Penal Code section 320.5.

(g) "Raffle" is defined in Penal Code section 320.5(b).

(h) "Registrant" means an eligible organization which has filed an application to be registered in the Nonprofit Raffle Program.

(i) "Registration application" or "registration form" means Form CT-NRP-1 (Rev. <u>08/2017</u>. <del>05/2011</del>) which is incorporated by reference.

(j) "Report" means the completed Form CT-NRP-2 (Rev. <u>08/2017</u>, <del>05/2014</del>) (which is incorporated by reference) that has been signed by a responsible fiduciary of the registrant declaring that the information therein is true and complete.

(k) "Responsible Fiduciary" and "Fiduciary" mean an authorized Officer or Director of the eligible organization.

Note: Authority cited: Section 320.5(h), Penal Code. Reference: Section 320.5, Penal Code.

### Article 2. Manner of Registration, Who Must Register, Fee for Registration

### § 415. Registration.

Every eligible organization shall, prior to conducting any raffle in California, be registered with DOJ in the Nonprofit Raffle Program. The organization shall submit a registration application on Form CT-NRP-1 (Rev. <u>08/2017\_05/2014</u>), the form prescribed by DOJ, which shall contain all of the information required, including a statement signed by a responsible fiduciary of the eligible organization (such as an officer or director of the organization), attesting that the information provided is true and correct. If the organization plans to conduct more than one raffle during the annual registration period (September 1 through August 31), it must indicate on the application form each date on which it plans to conduct a raffle; however, if any date changes, the organization is not required to amend its application. Only one application is required during the annual registration period even if the organization conducts more than one raffle. The application shall be submitted in the

manner required by these regulations. The registration application and the required fee shall be submitted to the address set forth in section 416.

An eligible organization is not registered until it has received written confirmation from DOJ as provided in section 422.

Note: Authority cited: Section 320.5(h), Penal Code. Reference: Section 320.5, Penal Code.

#### § 420. Reporting Requirements.

Every eligible organization that is registered shall file, on or before October 1 of each year, a single report for the raffle or raffles conducted which shall contain all of the required information, including a statement signed by a responsible fiduciary of the eligible organization attesting that the information provided is true and correct. The report shall be filed with DOJ at the address set forth in section 416 on Form CT-NRP-2 (Rev. <u>08/2017</u> <u>05/2011</u>) in the manner required by these regulations.

A single aggregate report shall be filed even if an organization conducts more than one raffle during the reporting year.

Note: Authority cited: Section 320.5(h), Penal Code. Reference: Section 320.5, Penal Code.

Page 5 of 5

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telephono:</del> (916) <u>210-7613</u> 323-6079

WEB SITE ADDRESS: http://ag.ca.gov/charities/

# INSTRUCTIONS FOR REGISTRATION COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES



## (Form CT-1CF)

### WHO MUST FILE

Every commercial fundraiser for charitable purposes in California must register with the Attorney General's Registry of Charitable Trusts prior to soliciting any funds in California for charitable purposes.

### WHEN TO FILE

Commercial fundraisers for charitable purposes must register annually in California for each calendar year of solicitation. To avoid late fees, the last day for filing the registration form is January 15 of the applicable year.

### FEE MUST ACCOMPANY REGISTRATION

A registration fee of \$350 must accompany each registration form. The registration fee must be paid by a certified or cashier's CHECK payable to the ATTORNEY GENERAL'S REGISTRY OF CHARITABLE TRUSTS. Registration forms not accompanied by a check will not be processed and will be returned.

### BOND MUST ACCOMPANY REGISTRATION

Each application for registration or renewal of registration must be accompanied by a cash deposit or a bond issued by an admitted surety in favor of the State of California and in a form acceptable to the Attorney General. The cash deposit or bond shall be in the amount of twenty-five thousand dollars (\$25,000).

### FEES MAY BE IMPOSED FOR DELINQUENT REGISTRATION

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of the month for registrations not received by January 15. The Government Code section can be found on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) <u>210-7613</u> <del>323-5079</del>.

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tate in which organized nter name, individual h fficer and director of co ole proprietorship.	ome address, and relationship to prporation or unincorporated ass	o the commercial fundraiser for charitable purposes of each ociation; each partner in the partnership; or the owner of the
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egal Form of Commercial		**
gal Form of Commercial		Partnership Sole Proprietorship
	Fundraiser for Charitable Purposes:	Corporation
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y, State, and ZIP Code addition to the OFFICIAL	. name, enter all other names and an	dresses under which this commercial fundraiser for charitable
iling Address		
	•	·
City or Town, State and ZIP Cod ailing Address (If differen	e nt from Official Address):	
		Telephone Number ( )
Address (Do Not Use P.O. Box)		Federal Employer I.D. Number
Name of commercial fundraiser	for charitable purposes	CF Registration Number
Official Name and Addres Charitable Purposes:	ss of Commercial Fundraiser for	
http://ag.ca.gov/charities/		
WEB SITE ADDRESS;	A CERTIFIED OR CASHIER	R'S CHECK IN THE AMOUNT OF \$350 (THIS REGISTRATION FORM
Sacramento, CA 95814 Telephone: (916) 210-7613-323-5	result in late fees as defined in Govern	ually for each calendar year of solicitation may ment Code section 12586.1.
1300 I Street	11 Cal. Code Regs	s. section 308
STREET ADDRESS; 1300   Street	Section 12599, Californi	a Government Code
1300 I Street	ANNUAL REGISTR	ATION FORM FOR 20

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COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES ANNUAL REGISTRATION FORM FOR 20\_

Page 2

Identify commercial fundraiser for charitable purposes' activities:

	Auction Beauty Pageant Concert Discount Coupons	Advertising Sales Car Donations Dinner Door-to-Door Solicitation	Baby Pageant Circus Direct Mail Entertainment Event
ä	Honor Boxes Salvageable Personal Property	Magazine Sales Safety Products Telephone Solicitation	Publication Sports Event
	Telemarketing Thrift Store Other:	Trash Bags	Theater Vending Machines

Is any director, officer, or employee of the commercial fundraiser for charitable purposes a director, officer, or employee of any charitable organization with which it has contracted to solicit?

Yes No

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If "yes," complete the following:

Name and address of director; officer, or employee of commercial fundraiser for charitable purposes	Name and address of charitable organization	Relationship of officer, etc. to charitable organization	
		· · · · · · · · · · · · · · · · · · ·	

For each affiliation identified above, attach a copy of the contract between the commercial fundraiser for charitable purposes and the charity.

Has the commercial fundraiser for charitable purposes ever had any license, registration or permit denied, cancelled, suspended or revoked, or had any official disciplinary or legal action taken against it? Is any such action currently pending against the commercial fundraiser for charitable purposes or any of its representatives in relation to any fundraising activity?

Yes

 $\Box$ 

No

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If "yes," complete the following:

Name and address of government agency bringing action	Nature of action. Indicate against whom action was taken and disposition	Date	
"X" box if attachments are include			

"X" box if attachments are included.

I certify under penalty of perjury that I am authorized to sign this registration form and that the information provided herein, including attachments, is true and complete to the best of my knowledge and belief.

Signature

Printed Name

Title

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 | Street Sacramento, CA 95814 <del>Tolophone;</del> (916) <u>210-7513</u> 323-5079

WEB SITE ADDRESS: http://ag.ca.gov/charities/

### WHO MUST FILE?

Every commercial fundraiser for charitable purposes registered in California must file an annual financial report with the Attorney General's Registry of Charitable Trusts on behalf of each charitable organization for which donations were solicited during the preceding calendar year.

### WHEN TO FILE?

Commercial fundraisers for charitable purposes must file annual financial reports no later than 30 days after the close of the preceding calendar year. To avoid late fees, the last day to file annual financial reports is January 30 of each year. An annual financial report is not required until the completion of a campaign or contract period. Upon completion of a campaign or contract period, report all revenues and expenses relating to the campaign irrespective of the year (campaign starting first year and extending into second year) in which the revenue was earned or expense was incurred.

### WHO MUST SIGN THE ANNUAL FINANCIAL REPORT?

To be accepted, Form CT-2CF must be signed by an authorized officer of the commercial fundraiser for charitable purposes and two officers or directors of the charitable organization.

### FEES MAY BE IMPOSED FOR DELINQUENT FINANCIAL REPORTING

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of a month for annual financial reports not received by January 30. The revised Government Code sections can be found on the Charitable Trusts' web site at <a href="http://ag.ca.gov/charities/">http://ag.ca.gov/charities/</a> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) <u>210-7613 323-5979</u>.

### **GENERAL INSTRUCTIONS**

Enter the commercial fundraiser for charitable purposes registration number (CF number) and name and address of the commercial fundraiser for charitable purposes.

Enter the charitable trust registration number (CT number), F.E.I.N. number, and name and address of the charitable organization.

Line 1G-Report the total revenue generated by the campaign. Exclude costs of donated goods and/or services used for the event which is reported on line 5 (See line 5 instructions).

Line 2N-Enter the total expenses reported on lines 2A thru 2M.

Line 3-Enter actual amount to charity from the campaign (Exclude net profit or loss to commercial fundraiser for charitable purposes).

Line 4-This line is to be completed by the charitable organization. Enter the total additional fundraising expenses incurred by the charitable organization relating to the campaign that is not reported on lines 1A thru 1F or 2A thru 2M.

Line 5-Enter the total cost of goods and/or services used for the event which were paid by sponsors of the event. For example, if a sponsor guarantees payments up to \$500 to subsidize expenses for a charity event and \$400 is subsequently used to pay for dinners as part of the fundraising event, include \$400 in the total for line 5.

Line 6-Subtract line 4 and 5 from line 3 and enter amount on this line.

**NOTE** 1: Under circumstances where the commercial fundraiser for charitable purposes does not have control of the funds, it will be necessary for the officers or directors of the charitable organization to complete the Revenue and distribution portions of Form CT-2CF. Circle and initial those figures which are supplied by the charitable organization.

#### CT-2CF FORM INSTRUCTIONS (3-05 08/2017)

INSTRUCTIONS FOR ANNUAL FINANCIAL REPORT COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES (Form CT-2CF)



P.O. Box 903447 Sacramento, CA 94203-4470 STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Telophone: (916) 210-7613 323-607 WEB SITE ADDRESS: http://ag.ca.gov/chartues/ Name and Address of Commercial Fundraiser for Charitable Purposes: CF No. Name of commercial fundraiser for charitable purposes Address of commercial fundraiser for charitable purposes City, State, and ZIP Code of commercial fundraiser for charitable purposes	FOR CHARITABLE PURPOSES         REPORT FOR 20         Is sections 12586 and 12599)         egs. section 308         nuary 30 <sup>th</sup> annually for each calendar year of ned in Government Code section 12586.1         must be filed for each event uring the previous calendar year.         Name and Address of Charitable Organization:         CT No.       F.E.LN. No.         Name of charity         Address of charity         City, State, and ZIP code of charity
figures from (check one): 🛛 National Campaign 🔲 🦳 California Campaign 🛄	
held (on) (from)	, 20, 20, to, 20
(Type of activity)	(Date or dates must be shown)
s the contract between the commercial fundraiser for charitable purposes and charity i If other, provide brief explanation	based upon a fee or percentage of revenue? Fee 🎞 Percentage 🖬 Other 🗖
I. REVENUE	······································
A. Cash contributions	
B. Entertainment sales or admission charges	В.
C. Sales from products	<u> </u>
D. Advertisement sales	D.
E. Membership fees	Ĕ.
F. Other sources: (Specify)	
a	Fa.
b,	Fb.
	Fc.
	Fd.
G. TOTAL REVENUE	G.
. EXPENSES	
A. Fees or commissions	Α.
B. Salaries	B.
C. Payroli taxes	C.
D. Employee benefits	D.
E. Cost of merchandise for resale	E,
F. Cost of entertainment	F.
G, Postage	
H. Advertising	H.
I. Telephone	<b>t</b> .
J. Rental of equipment	J.
K. Facilities charge	к.
L. Permits M. Other expenses: (Specify)	<u>1</u>
	Ма
a	Ma. Mb.
C	
d.	Mc. Md.
N. TOTAL EXPENSES	nid.

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COMMERCIAL FUNDRAISER FOR CHAR ANNUAL FINANCIAL REPORT FOR 20 (California Government Code sections12586 and 12599) 11 Cal. Code Regs. section 308 Page 2	ITABLE PURPO	SES	N. 	
3. Amount to charity (subtract line 2N from line 1G)		2 		
<ol> <li>Less additional fundraising expenses paid by charity (to be completed by charity)</li> </ol>	including fee paid to	ommercial fundraiser for charitable p	urposes	3. 4.
5. Less fair market value of goods and/or services used	for the event which w	ere paid by sponsor(s)		5.
6. Net proceeds realized by charity from the campaign (s	ubtract lines 4 and 5 t	rom line 3)		6.
7. (a) is any director, officer, or employee of the comm report?		aritable purposes a director, officer,	or employee of the charitable orga	nization listed in this
Name and address of director, officer, or employee of commercial fundraiser for charitable purposes	Name and add	ress of charitable organization	Relationship of of to charitable organ	îcer, etc. Ilzation
	· · · · ·	· ·	· · · · · · · · · · · · · · · · · · ·	
				<u></u>
(b) For each affiliation identified in 7(a), attach copy o	······			
Under penalties of perjury, I declare that I have examined the office of the second complete.	ils report, including au	companying documents, schedules a	nd statements, and to the best of	ny knowledge and
Signature of authorized officer (commercial fundraiser for c	haritable purposes)	Printed name	Titlə	Date
This report must be signed by two officers or directors of the	e charitable organizat	on for verification.		
Signature of authorized officer/director (charity)		Printed name	Title	Date
Signature of authorized officer/director (charity)		Printed name	Títle	Date
· · ·				
			·	

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telephons:</del> (916) <u>210-7613</u> 323-5079

WEBSITE ADDRESS: http://ag.ca.gov/charities/ INSTRUCTIONS FOR COMMERCIAL FUNDRAISERS FOR CHARITABLE PURPOSES ANNUAL FINANCIAL REPORT FOR THRIFT STORES (FORM CT - 2TCF)



### WHO MUST FILE

Every commercial fundraiser for charitable purposes registered in California must file an annual financial report with the Attorney General's Registry of Charitable Trusts on behalf of each charitable organization for which donations were solicited during the preceding calendar year.

#### WHEN TO FILE

Commercial fundraisers for charitable purposes must file annual financial reports no later than 30 days after the close of the preceding calendar year. The last day to file annual financial reports is January 30 of each year.

### WHO MUST SIGN THE ANNUAL FINANCIAL REPORT

To be accepted, Form CT-2TCF must be signed by an authorized officer of the commercial fundraiser for charitable purposes and two officers or directors of the charitable organization.

### FEES MAY BE IMPOSED FOR DELINQUENT FINANCIAL REPORTING

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of a month for annual financial reports not received annually by January 30. The Government Code section can be found on the Charitable Trusts' web site at <a href="http://ag.ca.gov/charities/">http://ag.ca.gov/charities/</a> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional Information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) 210-7613 323-5079.

### **GENERAL INSTRUCTIONS**

This financial report is filed by commercial fundraisers for charitable purposes that obtain a majority of their inventory for sale by purchase, receipt, or control for resale to the general public, or salvageable personal property solicited by an organization qualified to solicit donations pursuant to Section 148.3 of the Welfare and Institutions code.

Enter the commercial fundraiser for charitable purposes registration number (CF number) and name and address of commercial fundraiser for charitable purposes.

Enter the charitable trust registration number (CT number) and name and address of the charitable organization.

Enter the charity's Federal Employer Identification Number (F.E.I.N.) which is issued by the Internal Revenue Service.

- NOTE 1: Submit a report for each store location.
- NOTE 2: Item 6 (A) Volume of soft goods

Thrift Store operators purchase goods from charities based on a cart price for soft goods (clothing, cloth goods, shoes, purses, belts, jewelry, hats). Furniture, electrical items, books, records, toys, Christmas trees and other types of hard goods are excluded from the measurement.

Indicate the volume of soft goods purchased in 100 cubic foot increments.

Registry of Charitable Trusts. P.O. Box 903447 Sacramento, CA 94203-4470 ANNI JAI FINANC	ER FOR CHARITABLE F POSES ORE OPERATIONS IAL REPORT FOR 20				
STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Telophone: (916) <u>210-7613</u> <del>223-5075</del> may result in late fees as defined in Government	mment Code section 12599) ode Regs. section 308) annually for each calendar year of solicitation ent Code section 12586.1.				
	port must be filed for each event for during the previous calendar year.				
Name and Address of Commercial Fundraiser for Charitable Purposes:	Name and Address of Charitable Organization:				
CF No	CT No F.E.I.N. No				
Name of commercial fundralser for charitable purposes	Name of charity				
Address of commercial fundraiser for charitable purposes	Address of charity				
City, State, and ZIP Code of commercial fundraiser for charitable purposes	City, State, and ZIP code of charity				
· · · · · · · · · · · · · · · · · · ·					
(Type of Activity)	om), 200 to, 200 , 200				
1. REVENUE					
A. Store Sales B. Rag Sales	А. В.				
C. Miscellaneous Income					
D. TOTAL REVENUE	D.				
2. STORE EXPENSES:					
A. Salaries - Store Management	A.				
B. Salaries - Employees	——————————————————————————————————————				
C. Payroli taxes	C,				
D. Employee benefits	D.				
E. Truck Expense	Ε.				
F. Advertising	F.				
G. Insurance	G.				
H. Telephone	H.				
I. Rent	<u> </u>				
J. Utilities	J.				
K. Sales Tax	K.				
L. Office Expense	<u> </u>				
M. Depreciation	M.				
N. Leasehold Improvements (Amortized) O. Solicitation and Pick Up Expense	N.				
P. Other Expenses. (Attach a Schedule)					
Q. TOTAL EXPENSES	P.				
NOTE: BASED ON YOUR CONTRACT/AGREEMENT, PLEASE COMPLETE LI	NES 3 AND 4 OR LINES 5, 6, AND 7.				
<ol> <li>COST OF GOODS PURCHASED FROM CHARITY (Distribution or net to Volume of soft goods purchased in 100 cubic feet:</li> </ol>	charitable organization) 3.				
4. AMOUNT RETAINED BY COMMERCIAL FUNDRAISER FOR CHARITABL (Line 1D minus Line 2Q minus Line 3)	e purposes 4.				
5. NET INCOME (lines 1D minus 2Q)	5.				
6. MANAGEMENT FEES/COMMISSION TO COMMERCIAL FUNDRAISER FO					
A. Volume of soft goods received from charitable solicitation					
and pick up in 100 cubic feet: 7. NET DISTRIBUTION TO CHARITY (Line 5 minus 6)	_				
7. NET DISTRIBUTION TO CHARITY (Line 5 minus 6)	7.				
:					

COMMERCIAL FUNDRAISER FOR CHARITABL ANNUAL FINANCIAL REPORT FOR 20	E PURPOSES - T	HRIFT STORE OPERATIONS	
(California Government Code section 12599) (11 Cal. Code Regs. section 308)			
Page 2			
8. a. Is any director, officer, or employee of th	ne commercial fur	idraiser for charitable purposes a	director, officer, or employee of the obstitution

а.	is any director, onicer, or employee of the commer	Cial fundraiser for charitable pur	poses a director, office	r, or employ	/ee of the charitable organ	ization
	listed in this report?				· · · · · · · · · · · · · · · · · · ·	
	-					

🗌 Yes	If "yes," complete the following:	🗌 No
-------	-----------------------------------	------

Name and address of director, officer, or employee of commercial fundralser for charitable purposes	Name and address of charitable organization	Relationship of director, officer, or employee to charitable organization
		· · · · · · · · · · · · · · · · · · ·

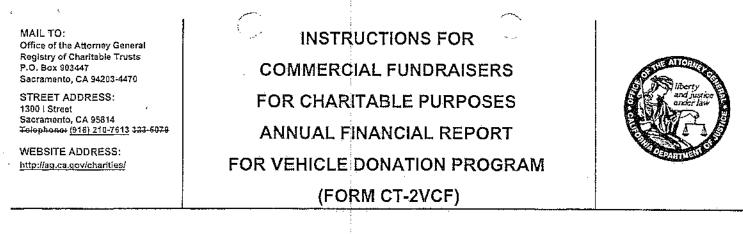
(b) For each affiliation identified in 8(a), attach copy of the contract between the commercial fundraiser for charitable purposes and the charity,

Under penalties of perjury, I declare that I have examined this report, including accompanying documents, schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete.

Signature of authorized officer (commercial fundralser for charitable purposes)	Printed Name	 Titie	Date
This report must be signed by two officers or directors of the charitable organization	for verification.	 <u> </u>	· · · · · · · · · · · · · · · · · · ·
Signature of authorized officer/director (charity)	Printed Name	 Title	Date

	· · · · · · · · · · · · · · · · · · ·	
Signature of authorized officer/director (charity)	 Printed Name	 Title

Date



### WHO MUST FILE

Every commercial fundraiser for charitable purposes registered in California must file an annual financial report with the Attorney General's Registry of Charitable Trusts on behalf of each charitable organization for which donations were solicited during the preceding calendar year. The Form CT-2VCF should be completed by commercial fundraisers for charitable purposes that operate vehicle donation programs for charities or charitable purposes.

### WHEN TO FILE

Commercial fundraisers for charitable purposes must file annual financial reports no later than 30 days after the close of the preceding calendar year. To avoid late charges, the last day to file annual financial reports is January 30 of each year.

### WHO MUST SIGN THE ANNUAL FINANCIAL REPORT

To be accepted, Form CT-2VCF must be signed by an authorized officer of the commercial fundraiser for charitable purposes and two officers or directors of the charitable organization.

### FEES MAY BE IMPOSED FOR DELINQUENT FINANCIAL REPORTING

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of a month for annual financial reports not received annually by January 30. The Government Code section can be found on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) <u>210-7613</u> <del>323-5079</del>.

### GENERAL INSTRUCTIONS

Enter the commercial fundraiser for charitable purposes registration number (CF number) and name and address of commercial fundraiser for charitable purposes .

Enter the charitable trust registration number (CT number), F.E.I.N. number, name and address of the charitable organization.

Enter in Section 1, the total money actually collected as a result of the solicitation. This is the gross amount, without deducting any expenses.

Enter in Section 2, the fees or commissions paid by the commercial fundraiser for charitable purposes, salaries to officers and employees, cost of merchandise for resale, and other fundraising expenses. Enter the total.

Enter in Section 3, the amount of money distributed to the charitable organization.

NOTE 1: Section 1D minus section 2N should equal line 3. If it does not, attach a complete explanation.

NOTE 2: Under circumstances where the commercial fundraiser for charitable purposes does not have control of the funds, it will be necessary for the officers or directors of the charitable organization to complete the revenue and distribution portions of Form CT-2VCF. Circle and initial those figures which are supplied by the charitable organization.

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		FOR CHARITABLE PURPOSES			
egistov of Cheritable Trusts			Contraction of the second		
cramento, CA 94203-4470					
		nt Code section 12599) legs. section 308)	and justice under law		
acramento, CA 95814 Failure to file annual financial	report by Jan	uary 30 <sup>th</sup> annually for each calendar year of			
VEBSITE ADDRESS:	lees as define	ed in Government Code section 12586.1.			
to://ac.ca.oov/charitlas/	пcial report n	nust be filed for each event for	<b>Q</b> SPARTMENT		
each charity s	olicited for du	ring the previous calendar year.			
lame and Address of Commercial Fundraiser for Charitable Pu	irposes:	Name and Address of Charitable Organization			
F No.		CT NoF.E.I.N	<u>.</u>		
ame of commercial fundraiser for charitable purposes	: : :	Name of charity			
deress of commercial fundraiser for charitable purposes	<u> </u>	Address of charity	·		
		-			
ity, State, and ZIP code of commercial fundralser for charitable purpos	es	City, State, and ZIP code of charity	· · · · · · · · · · · · · · · · · · ·		
ures from (check one): National Campaign California Campaign					
held (on) (	from)	20, to	20		
(Type of Activity)		(Date or dates must be shown)			
REVENUE	į				
A. Car/Truck Sales		A.	1		
B. Boat Sales	:	<u> </u>			
C. Other sources: (Specify)					
a		Ca.			
b		Cb.			
C,		Cc.			
d	· .	Cd.			
D. TOTAL REVENUE			D		
EXPENSES		· · · · · · · · · · · · · · · · · · ·			
m-11 = · · · = = =					
A. Fees or commissions paid by commercial fur for charitable purposes	laraiser	A.			
B. Salaries		В.			
C. Payroll taxes	i	C.			
D. Employee benefits		D.			
E. Towing	÷.	F.			
F. Vehicle repairs		F.			
G. Parts	:	G,			
H. DMV Fees		G.			
I. Appraisals		······································			
J. Detailing					
K. Advertising		J. ·			
N. Auventishig	:	K.			
I. Tatanhana		L.			
L. Telephone					
M. Other expenses: (Specify)					
M. Other expenses: (Specify) a	:	Ma.			
M. Other expenses: (Specify)	:	Mb.			
M. Other expenses: (Specify) a b c					
M. Other expenses: (Specify) a b		Mb.			

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CT-2VCF VEHICLE DONATION FINANCIAL REPORT (3-05 08/2017)

DOMMERCIAL	FUNDRAISER	FOR CHARITA	BLE PURPOSES	<ul> <li>VEHICLE DONATIO</li> </ul>	N PROGRAM

ANNUAL FINANCIAL REPORT 20	_
(California Government Code section 12599)	_

(11 Cal. Code Regs. section 308) Page 2

- 3. Distribution or net to charitable organization
- 4. Less additional expenses relating to operation of vehicle donation program paid by charity

---- 4.

. 3.

. 5.

- 5. Total amount charity realized from operation of vehicle donation program
- 6. (a) Is any director, officer, or employee of the commercial fundraiser for charitable purposes a director, officer, or employee of the charitable organization listed in this report?
  - Yes No <u>if "yes," complete the following:</u>

Name and address of director, officer or employee of commercial fundraiser for charitable purposes	Name and address of charitable organization	Relationship of director, officer, or employee to charitable organization
· · · · · · · · · · · · · · · · · · ·		

(b) For each affiliation identified in 6(a), attach copy of the contract between the commercial fundraiser for charitable purposes and the charity.

Under penalties of perjury, I declare that I have examined this report, including accompanying documents, schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete.

Signature of authorized officer (commercial fundraiser for charitable purposes)	Printed name	Title I	Date	-
	, introduction	1106 1	1916	
			· · · · · · · · · · · · · · · · · · ·	=

This report must be signed by two officers or directors of the charitable organization for verification.

Signature of authorized officer/director (charity)	Printed name	Title	Date
Signature of authorized officer/director (charity)	Printed name	Title	Date

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 | Street Sacramento, CA 95814 Tolephone: (916) <u>210-7613</u> 323-6079

WEBSITE ADDRESS: http://ag.ca.gov/charities/

# INSTRUCTIONS FOR REGISTRATION FUNDRAISING COUNSEL FOR CHARITABLE PURPOSES (FORM CT - 3CF)



### WHO MUST FILE

Every fundraising counsel for charitable purposes in California must register with the Attorney General's Registry of Charitable Trusts prior to planning, managing, advising, counseling, consulting or preparing material for, or with respect to, the solicitation in this state of funds, assets or property for charitable purposes. "Fundraising counsel for charitable purposes" is defined in California Government Code section 12599.1 (a) and (b).

### WHEN TO FILE

Fundraising counsel for charitable purposes must register annually in California for each calendar year of activity. The last day for filing the registration form is January 15 of the applicable year.

### FEE MUST ACCOMPANY REGISTRATION

A registration fee of \$350 must accompany each annual registration form. The registration fee must be paid by a certified or cashier's CHECK payable to the ATTORNEY GENERAL'S REGISTRY OF CHARITABLE TRUSTS. A registration form not accompanied by a filing fee will not be processed and will be returned.

### PENALTY FOR FAILURE TO REGISTER

Failure by a fundraising counsel to register with and report each person, corporation, or other legal entity for whom the fundraising counsel has performed any services to the Registry of Charitable Trusts is unlawful. A fundraising counsel for charitable purposes is subject to the Attorney General's supervision and enforcement to the same extent as a trustee for charitable purposes. Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of the month for registrations not received annually by January 15. The Government Code section can be found on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) <u>210-7613</u> 323-5079.

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Regist P,O. B	FO: of the Attorney General ry of Charitable Trusts ox 903447 nento, CA 94203-4470	FUNDRAISING COUNS ANNUAL REGIST Section 12599. 11 Cal.	RAT	ION FORM	M FOR 20		Liberty
1300 I Sacrar	ET ADDRESS: Street nento, CA 95814 <del>Ione:</del> (916) <u>210-7613</u> <del>323</del> -	Failure to register by January 15 <sup>™</sup> may result in late fees as defined ir	annuall Gover	y for each cale nment Code se	ndar year of solicita ction 12586.1.	itlòn	under law
	ITE ADDRESS: ig.ca.gov/charities/	MUST ACCOMPA	ANY THI	S REGISTRATI	ON FORM		<b>OSPARTINE</b>
	al Name and Address table Purposes	of Fundraising Counsel for		Fundralsin	g Counsel For Ch	naritable Pu	rposes:
Name o	f fundraising counsel for ch	aritable purposés		Registratio	n Number	<b>-</b>	
Addres	s (Da not use P.O. Box)			Federal Em	ıployer I.D. Numb	er	<u></u>
City or	Town, State and ZIP Code	<u> </u>	<u>.</u>	Telephone	Number ( )		
Mailing	r Address (If differen	t from official address):					
Mailing ac	idress						
City, State	and ZIP Code		-			····	
ln addi purpos	tion to the OFFICIAL es is known or oper	name, enter all other names ates:	and ad	ddresses un	ider which this f	undraising	counsel for charitable
					*_ <b>*</b> ···	,.	
					ana ana 1944	·····	
Legal f	orm of fundraising c	ounsel for charitable purpose	s:		Corporation	Unir	ncorporated Association
			:		Partnership	Solé	Proprietorship
State ir	which organized _			Date or	ganized	· · · · · · · · · · · · · · · · · · ·	, <u>, , , , ,</u> , , , , , , , , , , , , ,
and dir	ame, individual hom ector of corporation torship.	e address, and relationship to or unincorporated associatio	o the f on, eac	undraising o h partner in	counsel for char the partnership	ritable purp ), or the ow	oses of each officer from the sole
	Name	Home Ad	dress		to Fundraising	Title/Relat g Counsel fo	lonship or Charitable Purposes
	· · ·		-	<u> </u>		,	
		·	<u></u>	· · · · · · · · · · · · · · · · · · ·		· · · · ·	

!

Provide the name and address of each "individual, corporation, unincorporated association, or other legal entity" for whom the fundraising counsel for charitable purposes has performed any services described in Paragraph (1) of subdivision (a) of section 12599.1 during the preceding calendar year.

Name	Address

Is any director, officer, or employee of the fundraising counsel for charitable purposes a director, officer, or employee of any charitable organization with which it has contracted to provide services?

Yes

No

If "Yes," complete the following:

Name and address of director, officer, or employee of fundraising counsel for charitable purposes	Name and address of charitable organization	Relationship of officer, etc. to charitable organization
	· · · · · · · · · · · · · · · · · · ·	
	· · · · · · · · · · · · · · · · · · ·	········

For each affiliation identified above, attach a copy of the contract between the fundraising counsel for charitable purposes and the charity.

Has the fundraising counsel for charitable purposes ever had any license, registration or permit denied, cancelled, suspended or revoked, or had any official disciplinary or legal action taken against it? Is any such action currently pending against the fundraising counsel for charitable purposes or any of its representatives in relation to any fundraising activity?

Yes

] No

If "yes," attach information stating the name and address of the government agency bringing the action, the status or disposition of the action, and the date of the action.

I certify under penalty of perjury that \_

(Insert name of fundraising counsel for charitable purposes)

\_ had a written

contract with each individual, corporation, unincorporated association, or other legal entity listed above and that the contract contains the following provisions:

- (1) The legal name and address of the charitable organization as registered with the Registry of Charitable Trusts unless the charitable organization is exempt from registration.
- (2) A statement of the charitable purpose for which the solicitation campaign is being conducted.
- (3) A statement of the respective obligations of the fundraising counsel and the charitable organization.

CT-3CF FUNDRAISING COUNSEL REGISTRATION FORM (3-05 08/2017)

- (4) A clear statement of the fees and any other form of compensation, including commissions and property, that will be paid to the fundraising counsel.
- (5) The effective and termination dates of the contract and the date services will commence with respect to solicitation in this state of contributions for a charitable organization.
- (6) A statement that the fundraising counsel will not at any time solicit funds, assets, or property for charitable purposes, receive or control funds, assets, or property solicited for charitable purposes, or employ, procure, or engage any compensated person to solicit, receive, or control funds, assets, or property for charitable purposes.
- (7) A statement that the charitable organization exercises control and approval over the content and frequency of any solicitation.
- (8) A provision that the charitable organization has the right to cancel the contract without cost, penalty, or liability for a period of 10 days following the date on which the contract is executed; that the charitable organization may cancel the contract by serving a written notice of cancellation on the fundraising counsel; and that, if mailed, service shall be by certified mail, return receipt requested, and cancellation shall be deemed effective upon the expiration of five calendar days from the date of mailing.
- (9) A provision that, following the initial 10-day cancellation period, the charitable organization may terminate the contract by giving 30 days' written notice; that, if mailed, service of the notice shall be by certified mail, return receipt requested, and shall be deemed effective upon the expiration of five calendar days from the date of mailing; and that, in the event of termination under this subdivision, the charitable organization shall be liable for services provided by the fundralising counsel to the effective date of the termination.

Signature	Printed Name	Títle	Date
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	:		
	CT-3CE FUN	DRAISING COUNSEL REGISTRATI	ON EOOM (3 OF AR

### <u>XAVIER BECERRA</u> BILL LOCKYER Attorney General

### State of California DEPARTMENT OF JUSTICE



P.O. BOX 903447 SACRAMENTO, CA 94203-4470 <del>Telephone:</del> (916) <u>210-7613 <del>323-5079</del> <del>Faesimile</del> Fax: (916) 444-3651 E-Mail: <u>Candy.Hetherington@doj.ea.goy</u></u>

To: Commercial Fundraiser for Charitable Purposes

### RE: \$25,000 BOND

Each application for registration or renewal of registration under subdivision (b) of Section 12599 of the Government Code shall be accompanied by a cash deposit or by a bond issued by an admitted surety in favor of the State of California and in a form acceptable to the Attorney General. The cash deposit or bond shall be in the amount of twenty-five thousand dollars (\$25,000) and shall be for the benefit of any person damaged as a result of malfeasance or misfeasance in the conduct of the activities specified in subdivision (a) of Section 12599 of the Government Code. The bond may be in the form of a rider to a larger blanket liability bond.

Sincerely,

Registry of Charitable Trusts

CANDY HETHERINGTON Associate Governmental Program Analyst

For <u>XAVIER BECERRA</u> BILL LOCKYER Attorney General

CT-4CF BOND LETTER (08/2017 3-05)

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MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telephone:</del> (916) <u>210-7613</u> <del>323-5</del> WEB SITE ADDRESS: <u>http://ag.ca.gov/charities/</u>	979 Commercial Fundra	CHARITABLE T BOND FORM	RUSTS e Purposes	liberty and justice under law
Bond Number		· · · · · · · · · · · · · · · · · · ·		
Premium \$	Term			
KNOW ALL PERSONS B)			•	
That		Name of Principal		
as principal, doing bus	iness under the name o	of		
as a commercial fundra	aiser for charitable purp	ooses, and whose	address for s	ervice is
Street Ac	idress	City State	ZIP	,,,,,,,
and		poration authoriz	ed to transact	a general surety
business in the State o	f California, as surety,	and whose addre	ss for service i	is
Street Ac	ídress (	City State	ZIP	· · · · · · · · · · · · · · · · · · ·

are held and firmly bound to the State of California in the penal sum of the total amount of \$25,000 for the payment of which, we bind ourselves, our heirs, executors, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS, the provisions of Section 12599.5 of the Government Code require that the principal file or have on file with the Registry of Charitable Trusts of the Department of Justice a bond in the amount of twenty-five thousand dollars (\$25,000) pursuant to Government Code section 12599.5. This bond is executed and tendered in accordance therewith.

NOW THEREFORE, the conditions of the foregoing obligation are that if the principal complies with the provisions of the subdivision (a) of Section 12599 of the Government Code of the State of California, and pays all sums due any individual or group of individuals when such principal

or its representative or agent has received such sums, and pays all damages occasioned to any person by unlawful acts, or omissions of the principal mentioned above, or of its agents or employees while acting within the scope of their employment, then this obligation is to be void; otherwise it is to remain in full force and effect.

PROVIDED HOWEVER, this bond is issued subject to the following express conditions:

1. This bond shall be deemed continuous in form and shall remain in full force and effect for all liabilities incurred before, and for acts, omissions, or causes existing or which arose before, the cancellation or withdrawal of the Surety from the bond.

2. This bond is executed by the Surety to comply with the provisions of subdivision (a) of Section 12599 of the Government Code and of Chapter 2 (commencing with Section 995.010), Title 14, Part 2 of the Code of Civil Procedure and said bond shall be subject to all of the terms and provisions thereof.

3. The aggregate liability of the Surety hereunder on all claims whatsoever shall not exceed the penal sum of this bond in any event.

4. This bond may be canceled by the Surety in accordance with the provisions of Section 996.310 et seq. of the Code of Civil Procedure.

5. The Surety, its successors and assigns, are jointly and severally liable on the obligations of section 12599 of the Government Code.

6. The Principal and Surety may be served with notices, papers and other documents under Chapter 2 (commencing with section 995.010) Title 14, Part 2 of the Code of Civil Procedure and section 12599 of the Government Code, at the addresses given above.

Name of Officer or Business

Name of Surety

Address

Address

This bond is executed under an unrevoked appointment of power of attorney.

I certify (or declare) under penalty under the laws of the State of California that the foregoing is true and correct.

Date

Signature of Attorney-In-Fact for Surety

Printed or Typed Name of Attorney-In-Fact for Surety

CT-4CF BOND FORM (08/2017 3-05)

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 | Street Sacramento, CA 95814 <del>Tolophono:</del> (916) <u>210-7613</u> <del>323 5079</del>

WEBSITE ADDRESS: http://ag.ca.gov/charities/ INSTRUCTIONS FOR REGISTRATION COMMERCIAL COVENTURER FOR CHARITABLE PURPOSES

(FORM CT - 5CF)



### WHO MUST FILE

Commercial coventurer's must register with the Attorney General's Registry of Charitable Trusts prior to soliciting any funds in California unless exempted by Government Code section 12599.2)(c).

### WHEN TO FILE

Commercial coventurer's, as set forth above, must register annually in California for each calendar year of solicitation. To avoid late fees, the last day for filing the registration form is January 15 of the applicable year.

### FEE MUST ACCOMPANY REGISTRATION

A registration fee of \$350 must accompany each annual registration form. The registration fee must -be paid by certified or cashier's CHECK payable to the ATTORNEY GENERAL'S REGISTRY OF CHARITABLE TRUSTS. Registration forms not accompanied by a filing fee will not be processed and will be returned.

### FEES MAY BE IMPOSED FOR DELINQUENT REGISTRATION

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of a month for registrations not received by January 15. The Government Code section can be found on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

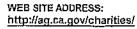
Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/.</u> You may also contact the California Attorney General's Registry of Charitable Trusts at (916) 210-7613 323-5079.

STREET ADDRESS: 1300 | Street Sacramento, CA 95814.

### COMMERCIAL COVENTURER **ANNUAL REGISTRATION FORM FOR 20**

Section 12599.2, California Government Code 11 Cal. Code Regs. section 308

Failure to register by January 15mannually for each calendar year of solicitation may Telephone: (916) 210-7613 323 5978 result in late fees as defined in Government Code section 12586.1.



#### A CERTIFIED OR CASHIER'S CHECK IN THE AMOUNT OF \$350 MUST ACCOMPANY THIS REGISTRATION FORM



Official Name and Address of Commercial Coventurer:	
Name of commercial coventurer	CCV Registration Number
Address (Do Not Use P.O. Box)	Federal Employer I.D. Number
City or Town, State and ZIP Code	Telephone Number ()
Mailing Address (if different from official address):	
Mailing Address	
City, State, and ZIP Code	
In addition to the OFFICIAL name, enter all other names and add or operates:	resses under which this commercial coventurer is known
	······································
	······································

		:			
Legal form of commercial coventurer:	Corporation		Unincorporated Association	· · · · · · · · · · · · · · · · · · ·	
	Partnership	:	Sole Proprietorship		
State in which organized			Date organized	·	

Enter name, individual home address, and relationship to the commercial coventurer of each officer and director of corporation or unincorporated association; each partner in the partnership; or the owner of the sole proprietorship.

Name	Home Address	Title/Relationship to Commercial Coventurer
		-
·		

ANNUAL Page 2	RCIAL COVENTURER - REGISTRATION FORM FOR 20 y commercial coventurer's activi	ties:			,
	Auction Beauty Pageant Concert Discount Coupons Honor Boxes Salvageable Personal Property Telemarketing Thrift Store Other:		Advertising Sales Car Donations Dinner Door-to-Door Solicitation Magazine Sales Safety Products Telephone Solicitation Trash Bags		Baby Pageant Circus Direct Mail Entertainment Event Publication Sports Event Theater Vending Machines
	director, officer, or employee of t zation with which it has contract			officer, or en	ployee of any charitable
	Yes		□ No		

If "yes," complete the following:

Name and address of director, officer, or employee of commercial coventurer	Name and address of charitable organization	Relationship of officer, etc. to charitable organization

For each affiliation identified above, attach a copy of the contract between the commercial coventurer and the charity.

Has the commercial coventurer ever had any license, registration or permit denied, canceled, suspended or revoked, or had any official disciplinary or legal action taken against it? Is any such action currently pending against the commercial coventurer or any of its representatives in relation to any fundraising activity?

🗌 Yes

🖾 No

If "yes," complete the following:

Name and address of government agency bringing action	Nature of action. Indicate against whom action was taken and disposition	Date
		· · · · · · · · · · · · · · · · · · ·
		······································

"X" box if attachments are included.

I certify under penalty of perjury that I am authorized to sign this registration form and that the information provided herein, including attachments, is true and complete to the best of my knowledge and belief.

MAIL TO: <sup>2</sup> Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 | Street Sacramento, CA 95814 <del>Telephoner</del> (916) <u>210-7613</u> <del>323-5079</del>

# INSTRUCTIONS FOR ANNUAL FINANCIAL REPORT COMMERCIAL COVENTURER

(Form CT - 6CF)



### WHO MUST FILE?

WEB SITE ADDRESS: http://aq.ca.gov/charities/

Commercial coventurer's registered in California must file an annual financial report with the Attorney General's Registry of Charitable Trusts on behalf of each charitable organization for which donations were solicited during the preceding calendar year (See Government Code section 12599.2 (c)).

### WHEN TO FILE?

Commercial coventurer's, must file annual financial reports no later than 30 days after the close of the preceding calendar year. To avoid late fees, the last day to file annual financial reports is January 30 of each year. An annual financial report is not required until the completion of a campaign or contract period. Upon completion of a campaign or contract period, report all revenues and expenses relating to the campaign irrespective of the year (campaign starting first year and extending into second year) in which the revenue was earned or expense was incurred.

### WHO MUST SIGN THE ANNUAL FINANCIAL REPORT?

To be accepted, Form CT-6CF must be signed by an authorized officer of the commercial coventurer and two officers or directors of the charitable organization.

### FEES MAY BE IMPOSED FOR DELINQUENT FINANCIAL REPORTING

Government Code section 12586.1 authorizes the Attorney General to charge late fees for each month or part of a month for annual financial reports not received by January 30. The Government Code sections can be found on the Charitable Trusts' web site at <a href="http://ag.ca.gov/charities/">http://ag.ca.gov/charities/</a> under "Statutes and Regulations."

### FOR ADDITIONAL INFORMATION

Additional information is available on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. You may also contact the California Attorney General's Registry of Charitable Trusts at (916) <u>210-7613</u> 323-5079.

### **GENERAL INSTRUCTIONS**

Enter the commercial coventurer registration number (CV number) and name and address of the commercial coventurer.

Enter the charitable trust registration number (CT number) and name and address of the charitable organization.

Line 1G-Report the total revenue generated by the campaign. Exclude costs of donated goods and/or services used for the event which is reported on line 5 (See line 5 instructions).

Line 2N-Enter the total expenses reported on lines 2A thru 2M.

Line 3-Enter actual amount to charity from the campaign (Exclude net profit or loss to commercial coventurer).

NOTE 1: Under circumstances where the commercial coventurer does not have control of the funds, it will be necessary for the officers or directors of the charitable organization to complete the revenue and distribution portions of Form CT-6CF. Circle and initial those figures which are supplied by the charitable organization.

MAIL 10: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 STREET ADDRESS: 1300   Street Sacramento, CA 95814 Telephone: (916) 210-7613 323 5076 WEB SITE ADDRESS: http://sq.ca.gov/charities/	ANNUAL FINA (California 11 ( allure to file annual financial re solicitation may result in late fo An annual financial	NCIAL Governmer Cal. Code R port by Jan cos as defi	COVENTURER REPORT FOR 20 egs. section 12599.2) egs. section 308 nuary 30 <sup>th</sup> annually for each cal ned in Government Code section must be filled for each event uring the previous calendar year	endar year of on 12586.1	Ø	liberty indigustee under Jaw	
Name and Address of Commercial Co	oventurer:		Name and Address of Char	itable Organi	ization:		
CCV Number			CT No	F.E.I.N. No.	· · · · · · · · · · · · · · · · · · ·		
		:					
Name of commercial coventurer	······		Name of charity				
			Address of charity		· · · · · · · · · · · · · · · · · · ·		
Address of commercial coventurer	<u> </u>	· · · · ·					
		÷	City, State, and ZIP code of cha	arity			
City, State, and ZIP Code of commercial co	oventurer						
Figures from (check one): National Ca			Į įme		·	<u></u>	
· · · · · · · · · · · · · · · · · · ·							
	held (on) (from	۹) <u> </u>	, 20, 20, 20	, to		, 20	
(Type of activity)		:	(Date or dates must be sho	wn)	•		
1. REVENUE	encoles and chanty based door a			ercentage 🗀	uner 1		
A. Cash contributions		· -	<u> </u>				
B. Entertainment sales or admission	charges		· · · · · · · · · · · · · · · · · · ·				
C. Sales from products		-					
D. Advertisement sales		: -					
E. Membership fees		: -		<u> </u>			
F. Other sources: (Specify)				_	×.		
â		÷ -					
b		-	······································	-			
d.	······································	-	······································				
G. TOTAL REVENUE		÷ -	- <u></u>	_ Fd.			<u>.</u>
		:			·	· · ·	_ G.
2. EXPENSES							
A. Fees or commissions		÷		Α.			
B. Salaries		; -	······································				
C. Payroll taxes							
D. Employee benefits				_			
E. Cost of merchandise for resale			······				
F. Cost of entertainment							
G. Postage		÷ _					
H. Advertising			······		•		
l. Telephone		÷ =					
J. Rental of equipment		÷ _		_ J.			
K. Facilities charge							
L. Permits		: _		_ L.			
M. Other expenses: (Specify)		•					
a	w~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	: -		Ma.			
b		÷ -		_ Mb.			
C.			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Mc.			
		· -		_ Md.			
N. TOTAL EXPENSES		:			<u> </u>		_ N.
		:					

Al (Ca	DMMERCIAL COVENTURER INUAL FINANCIAL REPORT FOR 20 Ilfornia Government Code section 12599.2) Cal, Code Regs. section 308 e 2			
3.	Amount to charity (subtract line 2N from line 1G)	· · · · · · · · · · · · · · · · · · ·		_ 3.
4.	Less additional fundraising expenses paid by charity including fee paid to o	commercial coventurer (to be completed by charity)	·	_ 4.
5.	Less fair market value of goods and/or services used for the event which w	ere paid by sponsor(s)		5.
6.	Net proceeds realized by charity from the campaign (subtract lines 4 and 5 f	rộm line 3)		_ 6.
	•			

7. (a) is any director, officer, or employee of the commercial coventurer a director, officer, or employee of the charitable organization listed in this report?

Name and address of director, officer, or employee of commercial coventurer	Name and address of charitable organization	Relationship of officer, etc. to charitable organization
		****
		······································
		· · · · · · · · · · · · · · · · · · ·

(b) For each affiliation Identified in 7(a), attach copy of the contract between the commercial coventurer and the charity.

Under penalties of perjury, I declare that I have examined this report, including accompanying documents, schedules and statements, and to the best of my knowledge and belief, it is true, correct and complete.

Signature of authorized officer (commercial coventurer)	Printed name	Title	Date
his report must be signed by two officers or directors of the charitabl	le organization for verification.		
This report must be signed by two officers or directors of the charitabl	le organization for verification.		

Signature of authorized officer/director (charity)	Printed name	Title	. Date

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Telephone: (916) 210-7613 323 5079

WEB SITE ADDRESS: http://ag.ca.gov/charities/ INSTRUCTIONS FOR DEPOSIT BY ASSIGNMENT IN LIEU OF COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES SURETY BOND





1) Complete and mail to:

Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

Attention: Candy Hetherington Associate Governmental Program Analyst

- 2) Signature must be acknowledged before a Notary Public.
- 3) The <u>original</u> passbook, investment certificate or other original evidence of the deposit must be sent to the Attorney General with this Assignment.

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STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Tolophone: (916) <u>210-7613</u> 323-5079

WEB SITE ADDRESS: http://ag.ca.gov/charities/ DEPOSIT BY ASSIGNMENT IN LIEU OF COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES SURETY BOND (Government Code section 12599.5)



Name of Assignor (Signator on Account)	
Name of Officer of Business (Commercial Fundraiser)	· · · · · · · · · · · · · · · · · · ·
· · · · · · · · · · · · · · · · · · · ·	
Name of Business (Commercial Fundraiser)	
:	······································
Address for Service of Process	
Name of Bank or Savings and Loan	Address
	¢
Account Number	Amount

All rights, title and interest of whatever nature in the above account is hereby assigned to the Attorney General.

Assignor agrees that the assignment carries with it the right in the insurance of the account by Federal Deposit Insurance Corporation (FDIC) or the Savings Association Insurance Fund (SAIF) and authorizes the Attorney General to collect, sell, or otherwise apply the deposit to enforce the liability of the Commercial Fundraiser for Charitable Purposes pursuant to Government Code section 12599.5 and Chapter 2, Title 14, Part 2 of the Code of Civil Procedure.

Authorized Representative of Commercial Fundraiser for Charitable Purposes	Date
:	
:	

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 303447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Telephone: (916) <u>210-7613</u> 323 5079

WEB SITE ADDRESS: http://ag.ca.gov/charities/ INSTRUCTIONS FOR RECEIPT FUR NOTICE OF ASSIGNMENT COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES



(Government Code section 12599.5)

- 1) Form is to be prepared by a bank or savings and loan officer.
- 2) Complete and mail to: Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

Attention: Candy Hetherington Associate Governmental Program Analyst

A		
MAIL TO: Office of the Attorney General	OFFIC DF THE ATTORNEY GENER	
Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470	REGISTRY OF CHARITABLE TRUSTS	A liberty
STREET ADDRESS: 1300   Street	RECEIPT FOR NOTICE OF ASSIGNMENT	and justic under law
Sacramento, CA 95814 <del>Tolephone:</del> (916) <u>210-7613</u> 323-54	IN LIEU OF COMMERCIAL FUNDRAISER	
WEB SITE ADDRESS: http://ag.ca.gov/charities/	FOR CHARITABLE PURPOSES SURETY BOND	A OSPARTMEN
	(Government Code section 12599.5)	

· ·				
Name of Business (Commercial Fundraiser)	······································		<u> </u>	<u> </u>
	• •			
Address of Business	· · · · · · · · · · · · · · · · · · ·		· · · · · · · · · · · · · · · · · · ·	
· · · · · · · · · · · · · · · · · · ·	:			
Name of Assignor (Signator on Account)				
Address of Assignor	······································	. <u></u>		
	:			
· · · · · · · · · · · · · · · · · · ·	\$			
Account Number	Amount			······

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Receipt is hereby acknowledged to the Attorney General of the State of California of written Notice of Assignment to the State of California for the account identified above. We have notice in our records the State's interest in said account as shown by the above Assignment and have retained a copy of this sheet. We certify that we have received no notice of any lien, encumbrance, hold, claim, or obligation of the above-identified account prior to the Assignment to the State of California. We agree to make payment to the Attorney General upon request in accordance with the laws applicable to the FDIC Bank or SAIF savings and Ioan association.

Dated this	day of	
Name of FDIC Bank or S/	AIF savings and loan association	
		·····
P.O. Box and Street Add	ress	
City	State	ZIP Code
		· · · · ·
Signature of Authorized	Officer of Financial Institution	
Typed Name and Title of	Officer of Financial Institution	

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telephone:</del> (916) <u>210-7613</u> 323 507

WEB SITE ADDRESS:

http://ag.ca.gov/charities/

## NOTICE OF INTENT TO SOLICIT FOR CHARITABLE PURPOSES COMMERCIAL FUNDRAISER FOR CHARITABLE PURPOSES



Section 12599, California Government Code 11 Cal. Code Regs. section 308

Official Name and Address of Commercial Fundraiser for Charitable Purposes:		CF Registration Number			
Name of commercial fundraiser for charitable purposes		Federal Employer I.D. N	umber		
Address (Do Not Use P.O. Box)	· · · · · · · · · · · · · · · · · · ·	Telephone Number (	)		
City or Town, State and ZIP Code					
Official Name and Address of Charitable Or	ganization:				
Name of charitable organization	· · · · · · · · · · · · · · · · · · ·	Federal Employer I.D. N	ımbe <del>r</del>	······································	
Address (Do Not Use P.O. Box)	· · · · · · · · · · · · · · · · · · ·	Telephone Number (	)	·	
City or Town, State and ZIP Code	· · · · · · · · · · · · · · · · · · ·	E-mail Address			
Identify fundraising methods to be used. C	heck all that apply:				
□ Auction □ Baby Pageant	□ Beauty Page □ Concert	ant		Advertising Sales Car Donations	
	Discount Co			Dinner	
Direct Mail D Entertainment Event	Honor Boxes     Salvageable			Door-to-Door Solicitation	
	D Telemarketir	Personal Property		Magazine Sales Safety Products	
Sports Event	□ Thrift Store	.s		Telephone Solicitation	
□ Theater □ Vending	C Other			Trash Bags	
Projected dates when performance under the	ne contract will comme	nce and terminate:			
Fundraising Activity	Beginni	ng Date		Ending Date	
	:				
		······································			
Please indicate the name, address, and tele commercial fundraiser for charitable purpos	phone number of the p ses under the contract:	erson responsible fo	or directir	ng and supervising the work of the	
Name	······				
Address	<u></u>				
Telephone Number					
		····			
I certify under penalty of perjury that I am a attachments, is true and complete to the be	uthorized to sign this f st of my knowledge an	orm and that the info d belief.	rmation	provided herein, including	
	: `				
Signature	Printed Nan	ne	Ţītl	e Date	

MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470

STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telephone:</del> (916) <u>210-7613</u> 323-607

WEB SITE ADDRESS: http://ag.ca.gov/charities/

## NOTICE OF INTENT TO SOLICIT FOR CHARITABLE PURPOSES FUNDRAISING COUNSEL FOR CHARITABLE PURPOSES

 $z \rightarrow$ 



Section 12599.1, California Government Code 11 Cal. Code Regs. section 308

Official Name and Address of Fundraising C Charitable Purposes: Name of fundralsing courisel for charitable purposes Address (Do Not Use P.O. Box) City or Town, State and ZIP Code Official Name and Address of Charitable Org	······	FC Registration Number Federal Employer I.D. Nu Telephone Number ( E-mail Address CT Registration Number	mber		
Name of charitable organization		Federal Employer I.D. Nu	mber		
Address (Do Not Use P.O. Box)	······	Telephone Number (	)		
		19 mar 11 & d.d			
City or Town, State and ZIP Code		E-mail Address			
Projected commencement and termination d	lates of services prov	ided to charitable org	anization:		
Service Provided (i.e. grant writing)	Beginn	ing Date		Ending Date	
		·			
Please indicate the name, address, and telep fundraising counsel for charitable purposes	ohone number of the under the contract:	person responsible fo	r directing and su	pervising the work of the	
Name					
Address					
Telephone Number			····-		
I certify under penalty of perjury that I am authorized to sign this form and that the information provided herein, including attachments, is true and complete to the best of my knowledge and belief.					
Signature of Fundraising Counsel for Charitable Purposes	Printed Nam	ie	Tītle	Date	

MAIL TO:

WEB SITE ADDRESS:

http://ag.ca.gov/charities/

Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 <del>Telephone:</del> (916) <u>210-6400</u> 445-2021

### INSTRUCTIONS FOR FILING ANNUAL REGISTRATION RENEWAL FEE REPORT

TO ATTORNEY GENERAL OF CALIFORNIA Sections 12586 and 12587, California Government Code 11 Cal. Code Regs. sections 301-307, 311 and 312 (FORM RRF-1)



The purpose of the Form RRF-1 is to assist the Attorney General's Office with early detection of charity fiscal mismanagement and unlawful diversion of charitable assets. The Form RRF-1 is a short form calling for the most current information available to the charity and is designed to close the reporting delays on significant issues of charity fiscal accountability.

#### WHO MUST FILE A FORM RRF-1?

Every charitable nonprofit corporation, unincorporated association or trustee holding assets for charitable purposes that is required to register with the Attorney General's Office is also required to annually file Form RRF-1 regardless of whether the corporation files Form 990s annually or is on extended reporting. Nonprofit corporations and organizations not required by law to register with the Attorney General are not required to file the RRF-1. These include:

- (1) a government agency,
- (2) a religious corporation sole,
- (3) a cemetery corporation regulated under Chapter
   19 of Division 3 of the Business and Professions
   Code,
- (4) a political committee defined in Section 82013 of the California Government Code which is required to and which does file with the Secretary of State any statement pursuant to the provisions of Article 2 (commencing with Section 84200) of Chapter 4 of Title 9,
- (5) a charitable corporation organized and operated primarily as a religious organization, educational institution or hospital,
- (6) a health care service plan that is licensed pursuant to Section 1349 of the Health and Safety Code and reports annually to the Department of Managed Health Care,
- (7) corporate trustees which are subject to the jurisdiction of the Commissioner of Financial Institutions of the State of California or to the Comptroller of Currency of the United States. However, for testamentary trusts, such trustees should file a copy of a complete annual financial summary which is prepared in the ordinary course of business. See Probate Code sections 16060-16063.

### WHAT TO FILE

<u>ALL REGISTERED</u> charities, regardless of receipts or assets, except for those listed above as being exempt,

must file the Annual Registration Renewal Fee Report (RRF-1) with the Attorney General's Registry of Charitable Trusts four months and fifteen days after the close of the organization's calendar or fiscal year.

Charities with total gross revenue or assets of \$25,000 or more must file a copy of the IRS Form 990, 990-EZ, or 990-PF and attachments with the Attorney General's Registry of Charitable Trusts.

### EXTENSIONS FOR FILING

Extensions of time for filing the RRF-1 will be allowed if an organization has received an extension from the Internal Revenue Service for filing the IRS Form 990, 990-PF, or 990-EZ. An organization shall file both forms (RRF-1 and IRS Form 990, 990-PF, or 990-EZ) with the Registry of Charitable Trusts at the same time, along with copies of all requests to IRS for an extension and, where approval of the extension is not automatic, a copy of each approved extension request. IT IS NOT NECESSARY TO SEND A COPY OF THE EXTENSION REQUEST PRIOR TO FILING THE REPORT.

### ANNUAL REGISTRATION RENEWAL FEE

Charities and trustees registered with the Attorney General's Registry of Charitable Trusts must file the appropriate registration renewal fee with the Annual Registration Renewal Fee Report (RRF-1) based on the registrant's gross annual revenue for the preceding fiscal year, as follows:

Gross Annual Revenue	Fee
Less than \$25,000	0
Between \$25,000 and \$100,000	\$25
Between \$100,001 and \$250,000	\$50
Between \$250,001 and \$1 million	\$75
Between \$1,000,001 and \$10 million	\$150
Between \$10,000,001 and \$50 million	\$225
Greater than \$50 million	\$300

NOTE: A REGISTRATION FEE IS <u>NOT</u> DUE WITH AN <u>AMENDED</u> REPORT FOR ANY REPORT PERIOD IN WHICH A FEE HAS ALREADY BEEN PAID. RRF-1 INSTRUCTIONS PAGE 2

### STATE CHARITY REGISTRATION NUMBER

The State Charity Registration Number is the Charitable Trust (CT) number assigned to an organization by the Registry of Charitable Trusts at the time of registration. The State Charity Registration Number consists of no more than six digits. If you do not know the organization's State Charity Registration Number, check the "CT Number Search" on the Charitable Trusts' web site at <u>http://ag.ca.gov/charities/</u>. If you are unable to locate the State Charity Registration Number, leave that line blank and Registry staff will insert the number when it is received in the Registry of Charitable Trusts.

### **OTHER IDENTIFICATION NUMBERS**

The <u>corporate</u> number is assigned by the Office of the Secretary of State and is stamped on the organization's articles of incorporation.

The <u>organization</u> number is assigned by the Franchise Tax Board for non-corporate entities. Both are sevendigit numbers.

The <u>Federal Employer Identification Number</u> is assigned by the Internal Revenue Service. It is a nine- digit number.

The following will assist you in responding to the questions on the RRF-1 report:

#### PART B, QUESTION #1

If "yes," provide the following information on the attachment:

- 1) Full name of the director, trustee, or officer involved and position with the organization.
- 2) Nature of the transaction, e.g., Ioan to director, contract with officer's business, etc.
- Attach a copy of the board of directors' meeting minutes authorizing the transaction.
- 4) Include, if applicable, the date of transaction; purpose of transaction; amount of the loan or contract; interest rates; repayment terms; balance due; type of collateral provided; copy of contract, loan or other agreement; amount paid to director, trustee, or officer for the period; evidence of other bids received related to the transaction.

#### PART B, QUESTION #2

If "yes," provide the following information on the attachment:

- 1) Nature, date, amount of the loss.
- Description of the steps the organization took to recover the loss. Attach a copy of any police and/or insurance report.
- Description of the procedures the organization implemented to prevent a recurrence of the situation.

### PART B, QUESTION #3

If "yes," provide a signed statement listing the non-program expenditures and the reasons why they exceeded 50% of gross revenues. If you believe that non-program expenditures were reasonable, furnish a signed statement explaining the reasons why. If not, describe the steps the organization will take to lower non-program expenditures.

Non-program expenditures are any expenditures that do not meet the definition of "program services" set forth in the Internal Revenue Service Instructions for Form 990 and Form 990-EZ. The IRS Instructions are set forth on the Attorney General's web site (<u>http://ag.ca.gov/charities/</u>). See the IRS Instructions for a discussion of the expenses that are attributable to program services.

#### PART B, QUESTION #4

If "yes," provide the following information on the attachment:

- Description of the fine, penalty, or judgment and the circumstances that resulted in the payment. Also indicate the name and title of the person(s) responsible and why the payment was made with the organization's funds.
- Name of the organization or government agency that issued the fine, penalty or judgment; date of payment; and the amount of the fine, penalty, or judgment.
- 3) Copies of all communications with any governmental agency regarding the fine, penalty, or judgment.
- Description of procedures the organization implemented to prevent a reoccurrence of the fine, penalty, or judgment.

#### PART B, QUESTION #5

If "yes," provide an attachment listing the name, address, telephone number, and e-mail address of the commercial fundraiser, fundraising counsel, or commercial coventurer.

### PART B. QUESTION #6

If "yes," provide an attachment listing the name of the agency, mailing address, contact person, and telephone number.

#### PART B, QUESTION #7

If "yes," provide an attachment indicating the number of raffles and the date(s) they occurred.

#### PART B, QUESTION #8

If "yes," provide an attachment indicating whether the vehicle donation program is operated by the charity or whether the charity contracts with a commercial fundraiser.

## MAIL TO:

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Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 Tolephone: (916) 210-6400 445-2021

### ANNUAL **REGISTRATION RENEWAL FEE REPORT** TO ATTORNEY GENERAL OF CALIFORNIA

Sections 12586 and 12587, California Government Code 11 Cal. Code Regs. sections 301-307, 311 and 312

Failure to submit this report annually no later than four months and fifteen days after the end of the organization's accounting period may result in the loss of tax exemption and the assessment of a minimum tax of \$800, plus interest, and/or fines or filing penalties as defined in Government Code section 12586.1. IRS extensions will be honored,



WEB SITE ADDRESS:	
http://ag.ca.gov/charities/	

State Charity Registration Number			Check if: Change of address					
Name of Organization			Amended report					
Address (Number and Street)			Corporate or Organization No.					
City or Town, State and ZIP Code						<u>.</u>		
ANNUAL REGISTRATION RENEWAL FEE SCHEDULE (11 Cal. Code Regs. sections 301-307, 311 and 312) Make Check Payable to Attorney General's Registry of Charitable Trusts								
<u>Gros</u>	ross Annual Revenue Fee Gross Annual Revenue Fee Gross Annual Revenue				Gross Annual Revenue	Fee		
			\$50 \$75	Between \$1,000,001 and \$10 million Between \$10,000,001 and \$50 million Greater than \$50 million				
PART A - ACTIVITIES								
	For your most recent full account	ting period (b	eginning <u>j j j j</u>	len	ding	/ ) list:		1
	Gross annual revenue \$		Total as	sets \$				<u></u>
PAR	T B - STATEMENTS REGARD	NG ORGAN	IZATION DURING THE I	PERIOD	OF THI	S REPORT		
Note: If you answer "yes" to any of the questions below, you must attach a separate sheet providing an explanation and details for each "yes" response. Please review RRF-1 instructions for information required.								
<ol> <li>During this reporting period, were there any contracts, loans, leases or other financial transactions between the organization and any officer, director or trustee thereof either directly or with an entity in which any such officer, director or trustee had any financial interest?</li> </ol>					Yes	No		
2. During this reporting period, was there any theft, embezzlement, diversion or misuse of the organization's charitable property or funds?								
3. During this reporting period, did non-program expenditures exceed 50% of gross revenues?								
<ol> <li>During this reporting period, were any organization funds used to pay any penalty, fine or judgment? If you filed a Form 4720 with the Internal Revenue Service, attach a copy.</li> </ol>								
5.	5. During this reporting period, were the services of a commercial fundraiser or fundraising counsel for charitable purposes used? If "yes," provide an attachment listing the name, address, and telephone number of the service provider.							
6.	<ol> <li>During this reporting period, did the organization receive any governmental funding? If so, provide an attachment listing the name of the agency, mailing address, contact person, and telephone number.</li> </ol>							
7.	<ol> <li>During this reporting period, did the organization hold a raffle for charitable purposes? If "yes," provide an attachment indicating the number of raffles and the date(s) they occurred.</li> </ol>							
8.	Does the organization conduct a vehicle donation program? If "yes," provide an attachment indicating whether the program is operated by the charity or whether the organization contracts with a commercial fundraiser for charitable purposes.							
9. Did your organization have prepared an audited financial statement in accordance with generally accepted accounting principles for this reporting period?								
Organization's area code and telephone number ()								
Organization's e-mail address								
I declare under penalty of perjury that I have examined this report, including accompanying documents, and to the best of my knowledge and belief, it is true, correct and complete.								
	Signature of authorized of	officer	Printed N	lame		 Ţítle	Date	
								·

DT-NRP-1			DEPARTMENT OF JUSTICE	
(1-NKE-} Rev. <u>08/2017</u> <del>05/2011</del> )	NONPROFIT R	OR REGISTRATION AFFLE PROGRAM I Code section 320.5)	PAGE 1 of	
liberty and justice under law	After August 31, a new re A CHECK IN THE AMOU DEPARTMENT OF JUST REGISTRATION FORM	September 1 to August 31. gistration is required. JNT OF \$20 MADE PAYABLE TO FICE MUST ACCOMPANY THIS	MAIL TO: Office of the Attomey General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 STREET ADDRESS: 1300 I Street Sacramento, CA 95814 Telephone: (916) 210-6400 445-2921 WEBSITE ADDRESS: www.ag.ca.gov/charities	
roof of California Franchise Tax Board exempt gistration application. This application will ot turned to the organization.		(For Regis	try Use Only)	
		Raffle Registration Number:		
Name of Organization		Provide at least one of the fo	llowing:	
Address of Organization		Federal Employer Identification	Number (FEIN);	
City or Town, State and ZIP Code		····		
E-mail Address		Corporate Number:		
		Organization Number:		
Felephone Number			· · · · · · · · · · · · · · · · · · ·	
Fax Number		State Charity Registration Number State Charity Registration Number	er: ,	
Specify the organization's tax ·	avampt status pursus	nt to California Boyonya dar		
23701a Labor, agricultural, or horticu		23701g Nonprofit pleasure and		
23701b Fraternal beneficiary societi			corporations having common or	
23701d Religious, charitable, scienti		23701l Domestic fraternal soci		
literary, educational, amateur sports	or prevention of cruelty to			
literary, educational, amateur sports children or animals organization 23701e Business leagues, chamber boards, and boards of trade	or prevention of cruelty to	23701t Homeowners and asso	ciations	
literary, educational, amateur sports children or animals organization 23701e Business leagues, chambers	or prevention of cruelty to s of commerce, real estate	23701t Homeowners and asso     23701w Veterans organization		
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamber boards, and boards of trade</li> <li>23701f Civic leagues, social welfare</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local			
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamber boards, and boards of trade</li> <li>23701f Civic leagues, social welfare employee organizations</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local			
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamber boards, and boards of trade</li> <li>23701f Civic leagues, social welfare employee organizations</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local JIRED] (month/day/year) ation, I hereby certify all of t	he following:	s	
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamberr boards, and boards of trade</li> <li>23701f Civic leagues, social welfare employee organizations</li> <li>Proposed date(s) of raffle(s) [REQU</li> <li>By signing this application for registric or at least one year prior to the raffle</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local URED] (month/day/year) ation, I hereby certify all of t t organization, 2. Applicar first held and 3. all inform	23701w Veterans organization     23701w Veterans organization     he following:     thas been qualified to conduct be     nation provided on this application	s usiness in the State of California n is true and correct.	
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamberr boards, and boards of trade</li> <li>23701f Civic leagues, social welfare employee organizations</li> <li>Proposed date(s) of raffle(s) [REQU</li> <li>By signing this application for registr</li> <li>Applicant is a private, nonprofit</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local URED] (month/day/year) ation, I hereby certify all of t t organization, 2. Applicar first held and 3. all inform	23701w Veterans organization     23701w Veterans organization     he following:     thas been qualified to conduct be     nation provided on this application	s	
<ul> <li>literary, educational, amateur sports children or animals organization</li> <li>23701e Business leagues, chamberr boards, and boards of trade</li> <li>23701f Civic leagues, social welfare employee organizations</li> <li>Proposed date(s) of raffle(s) [REQU</li> <li>By signing this application for registric or at least one year prior to the raffle</li> </ul>	or prevention of cruelty to s of commerce, real estate organizations and local JIRED] (month/day/year) ation, I hereby certify all of t t organization, 2. Applicar first held and 3. all inform	23701w Veterans organization     23701w Veterans organization     he following:     thas been qualified to conduct be     nation provided on this application     pared This Form	s usiness in the State of California n is true and correct.	
literary, educational, amateur sports children or animals organization 23701e Business leagues, chamber boards, and boards of trade 23701f Civic leagues, social welfare employee organizations Proposed date(s) of raffle(s) [REQU By signing this application for registr [] Applicant is a private, nonprofit or at least one year prior to the raffle Signature of Authorized Of	or prevention of cruelty to s of commerce, real estate organizations and local JIRED] (month/day/year) ation, I hereby certify all of t t organization, 2. Applicar first held and 3. all inform	23701w Veterans organization     23701w Veterans organization     he following:     thas been qualified to conduct be     nation provided on this application     pared This Form	s usiness in the State of California n is true and correct. Date	

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TATE OF CALIFORNIA )T-NRP-2 Rev. <u>08/2017 66/291+</u> }	NONPROF		DEPARTMENT OF JUSTICE PAGE 1 of 2				
Biberty and justice under law Biberty and justice under law	A report must be which a raffle wa throu Reports are du	completed for each year in as conducted (September 1 agh August 31). e on or before October 1, nal Code section 320.5)	MAIL TO: Office of the Attorney General Registry of Charitable Trusts P.O. Box 903447 Sacramento, CA 94203-4470 STREET ADDRESS: 1300 I Street Sacramento, CA 95814 <del>Telophone:</del> (916) <u>210-6400</u> 445-2021 WEBSITE ADDRESS: <u>www.ag.ca.gov/charities</u>				
PART A: General Organization	n Reporting Info	rmation					
Name of Organization:	1	Provide at least one of the fol	lowing:				
Address of Organization:		Raffle Registration Number:					
Dity or Town, State and ZIP Code:		Federal Employee Identification Number (FEIN):					
		Corporate Number:					
Felephone Number:		Organization Number:					
Fax Number:		State Charity Registration Nur	nber:				
Part B: Raffle Information	·····						
1. Raffle year ending August 31,		· · · · · · · · · · · · · · · · · · ·	·				
	<u> </u>	(Year)					
2. Aggregate gross receipts from							
	· · · · · · · · · · · · · · · · · · ·	from the operation of raffle(s):					
4. Were funds from sources other than ticket sales used to pay for administration or other costs of conducting the raffle(s)?							
If yes, 4(A) Total funds <i>from sources</i> raffle(s)?	other than ticket sale	es used for the administration or	other costs of conducting the				
4(B) What was the source of the	nese funds?	· · · · · · · · · · · · · · · · · · ·					
<ul> <li>5. Describe the charitable or ben for which the raffle proceeds w</li> </ul>							
6. Were some or all of the raffle p	Were some or all of the raffle proceeds used for the benefit of another eligible organization?						
B(A) If the ensurer to B above	is use provide the fo	lowing information for apph are	anization for which the proceeds were				

CT-NRP-2	DF CALIFORNIA 22 22017 95/2014) NONPROFIT RAFFLE REPORT	DEPART		" JUSTICE AGE 2 of 2
Recipi	pient Organization \$	int of Proceeds to Recipient Or	ganiza	ation
Addre	ess of Recipient Organization Contact Person for	Recipient Organization		
City, S	State, and ZIP Code Telephone Numbe	r of Recipient Organization		
Part (	C: Certification by Authorized Officer or Director of Reporting (	Drganization		
For	r the raffle(s) held during the year ending August 31,, I hereby a (Year)	ertify that:	True	False
1)	At least 90% of the gross receipts (total dollar amount prior to deduction of expo of raffle tickets was used for the beneficial or charitable purposes of the eligible raffle or for the benefit of another eligible organization.	enses) received from the sale organization conducting the		
2)	None of the funds required to be used for beneficial or charitable purposes were provided to an officer, director or member (as defined by Corporations Code section 5056) of the organization which conducted the raffle(s).			
3)	No person involved in or connected with the conduct of the raffle(s) was compe conducting the raffle(s) from raffle proceeds required to be used for beneficial o	nsated by the organization r charitable purposes.		
4)	No gaming machine, apparatus or device, including but not limited to one which machine as described in California Penal Code sections 330a, 330b, or 330.1, v raffle(s).	n meets the definition of a slot was used in conducting the		
5)	No individual corporation, partnership or other legal entity has or holds a financi the raffle(s) other than the organization conducting the raffle(s) or any private, r which received funds from the raffle(s).	al interest in the conduct of onprofit eligible organization		
6)	No raffle was conducted, and no raffle tickets were sold, traded, or redeemed, within an operating racetrack enclosure, satellite wagering facility, or gambling establishment.			
7)	Tickets were not sold, traded, or redeemed over the Internet.			 

If the answer to any question in Part C, Items 1 through 7, was "False", please explain the circumstances that support the answer. Use additional sheets of paper, if necessary, for the explanation. If the answer to more than one question in Part C was "False", reference the question number next to each explanation.

In signing this Nonprofit Raffle Report, I hereby certify that all of the information contained herein is true and correct.

Signature of Authorized Officer or Director	Who Prepared the
Report	

*5* 

Date

Printed Name of Authorized Officer or Director

Title of Authorized Officer or Director