



State of Utah

DEPARTMENT OF COMMERCE
DIVISION OF CONSUMER PROTECTION

**PROFESSIONAL FUND RAISER,
PROFESSIONAL FUND RAISING COUNSEL,
PROFESSIONAL FUND RAISING CONSULTANT
PERMIT APPLICATION FORM**

Annual Application fee: \$250.00 (Non-refundable)

Applicant's Name

Date of Application

OFFICE USE ONLY	
Date Issued:	_____
Permit Number:	_____
Approved:	_____
Denied:	_____
Expiration:	_____

Please indicate whether this is an application for an initial or renewal registration:

- INITIAL APPLICATION RENEWAL APPLICATION

Please indicate the type of application:

- PROFESSIONAL FUND RAISER
 PROFESSIONAL FUND RAISING COUNSEL/CONSULTANT

Important notice regarding business confidentiality claims pursuant to the Government Records Access and Management Act: If you wish to make a claim of business confidentiality with respect to any information in this application or with respect to records you provide to the Division, please be aware of the following law: "Any person who provides to a governmental entity a record that the person believes should be protected under 63G-2-305(1) [trade secrets] or (2) [commercial information or nonindividual financial information] or both Subsections 63G-2-305(1) and (2) shall provide with the record: (A) a written claim of business confidentiality; and (B) a concise statement of reasons supporting the claim of business confidentiality."

If you have any questions, please contact the Division at (801) 530-6601.

Please make application fee check or money order payable to the **State of Utah**. Please return the completed application form and check or money order to:

Department of Commerce Division of Consumer Protection
160 East 300 South
Box 146704
Salt Lake City, Utah 84114-6704

**See Instructions for Professional Fund Raiser, Professional Fund Raising Counsel,
Professional Fund Raising Consultant Permit Application Form.**

PART I: APPLICANT'S IDENTIFICATION

1. Applicant's Name: _____

2. Other Names that Applicant Uses: _____

3. Applicant's Street Address: _____

Street

City

State

Zip Code

Telephone Number: _____ Facsimile Number: _____

4. Contact Person Information (all correspondence will be addressed to individual listed):

Name: _____

Mailing Address: _____

City/State/Zip: _____

Telephone Number: _____ Facsimile Number: _____

Email address: _____

5. Type of Organization:

Individual

Partnership

Limited Liability Company

Association

Corporation

Joint Venture

Other _____

6. List the Applicant's business, occupation, or employment for the three (3) year period immediately preceding the date of this application.

PART II: VENDING DEVICE/VENDING DEVICE DECAL

1. Are vending devices/decals to be utilized by Applicant? Yes No
If "yes", complete this Part. If "no", go to Part III.

2. Indicate type of device.

3. Please explain the financial arrangement with each charitable organization with regards to the vending device/decal.

4. Please indicate the length of time that the vending device will be utilized, the type of vending device, and the number of devices utilized for each charitable organization.

Name of Charitable Organization	Beginning Date	Expiration Date	Type of Device	Number of Devices
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

5. Please list the location(s) of the vending device(s).

PART III: CHARITABLE ORGANIZATIONS

1. Please provide the name and address of each charitable organization utilizing Applicant’s services during this application period:

Name

Address

City State Zip Code

Contract Effective Date: _____

Contract Expiration Date: _____

Name

Address

City State Zip Code

Contract Effective Date: _____

Contract Expiration Date: _____

Name

Address

City State Zip Code

Contract Effective Date: _____

Contract Expiration Date: _____

Name

Address

City State Zip Code

Contract Effective Date: _____

Contract Expiration Date: _____

 Name

 Address

 City State Zip Code

Contract Effective Date: _____
 Contract Expiration Date: _____

 Name

 Address

 City State Zip Code

Contract Effective Date: _____
 Contract Expiration Date: _____

 Name

 Address

 City State Zip Code

Contract Effective Date: _____
 Contract Expiration Date: _____

 Name

 Address

 City State Zip Code

Contract Effective Date: _____
 Contract Expiration Date: _____

2. Attach a copy of all contract agreements with each charitable organization using Applicant’s services.
 NOTE: Renewal applications should include copies of current contracts.

PART IV: PROFESSIONAL FUND RAISER

1. Is Applicant a Professional Fund Raiser? Yes No
 If “yes”, complete this Part. If “no”, go to Part V.

2. State the purpose of the solicitation and use of the contributions to be solicited for each charitable organization.

3. Please check each of the applicable methods by which solicitations will be conducted and indicate the projected length of time that the solicitation will be conducted for each charitable organization. A response such as “see contract” is not acceptable.

Method of Solicitation	Dates of Commencement/Termination		Dates of Commencement/Termination
<input type="checkbox"/> telephone	_____ / _____	<input type="checkbox"/> sell advertising	_____ / _____
<input type="checkbox"/> direct mail	_____ / _____	<input type="checkbox"/> sell coupon	_____ / _____
<input type="checkbox"/> door-to-door	_____ / _____	<input type="checkbox"/> sell other item	_____ / _____
<input type="checkbox"/> special events	_____ / _____	<input type="checkbox"/> other (explain)	_____ / _____
<input type="checkbox"/> show or performance	_____ / _____		_____ / _____

4. Indicate the following information concerning the Applicant's revenue and expenses **anticipated during the application period** for each charitable organization declared in this application:

A. Name of Charitable Organization: _____

(1) Total amount of contributions projected to be made as a result of the solicitation \$ _____

(2) Amount of anticipated expenses of the solicitation

Applicant's fee \$ _____

Cost of collection \$ _____

Salaries \$ _____

Commissions \$ _____

Other expenses \$ _____

explain _____ Total Expenses: \$ _____

(3) Total amount of contributions projected to remain available to this charitable organization. \$ _____
[line (1) less line (2)]

(4) Percentage of total contributions that are projected to remain available to this charitable organization. _____
[line (3) divided by line (1)]

B. Name of Charitable Organization: _____

(1) Total amount of contributions projected to be made as a result of the solicitation \$ _____

(2) Amount of anticipated expenses of the solicitation

Applicant's fee \$ _____

Cost of collection \$ _____

Salaries \$ _____

Commissions \$ _____

Other expenses \$ _____

explain _____ Total Expenses: \$ _____

(3) Total amount of contributions projected to remain available to this charitable organization. \$ _____
[line (1) less line (2)]

(4) Percentage of total contributions that are projected to remain available to this charitable organization. _____
[line (3) divided by line (1)]

5. Are the amounts to be earned or received by applicant as set forth above based on a flat fee arrangement? Yes No If "yes", explain the facts that support the reasonableness of the fees to be paid by each charitable organization declared in this application.

6. Please provide the following accounting summary for all contributions **collected or received within the calendar year immediately preceding the date of this application:**

A. Name of Charitable Organization: _____

(1) Total amount of contributions collected or received by Applicant from Utah sources. \$ _____

(2) Total amount of contributions collected or received by Applicant from all Donors [including line (1)]. \$ _____

(3) Amount of expenses made from or the use made of the contributions Collected or received by Applicant.

Applicant's fee	\$ _____	
Cost of collection	\$ _____	
Salaries	\$ _____	
Commissions	\$ _____	
Other expenses	\$ _____	
Explain _____		Total Expenses \$ _____

(4) If applicable, state the total cost of product. \$ _____

B. Name of Charitable Organization: _____

(1) Total amount of contributions collected or received by Applicant from Utah sources. \$ _____

(2) Total amount of contributions collected or received by Applicant from all Donors [including line (1)]. \$ _____

(3) Amount of expenses made from or the use made of the contributions Collected or received by Applicant.

Applicant's fee	\$ _____	
Cost of collection	\$ _____	
Salaries	\$ _____	
Commissions	\$ _____	
Other expenses	\$ _____	
Explain _____		Total Expenses \$ _____

(4) If applicable, state the total cost of product. \$ _____

PART V: PROFESSIONAL FUND RAISING COUNSEL OR CONSULTANT

1. Is Applicant a Professional Fund Raising Counsel or Professional Fund Raising Consultant?
 Yes No If “yes”, complete this Part. If “no”, go to Part VI.

2. State the purpose of the plan, management, advise, counsel or preparation of materials for, or respect to the solicitation and use of the contributions to be solicited for each charitable organization.

3. Please check each of the applicable methods by which the plan, management, advise, counsel, or preparation of materials will be organized or coordinated and the projected length of time of the solicitation for each charitable organization.

Method of Solicitation	Dates of Commencement/Termination
<input type="checkbox"/> consulting	_____ / _____
<input type="checkbox"/> planning	_____ / _____
<input type="checkbox"/> directing/scheduling mailings	_____ / _____
<input type="checkbox"/> providing promotional materials	_____ / _____
<input type="checkbox"/> providing other services	_____ / _____
(explain): _____	

4. Indicate the following information concerning the Applicant’s revenue and expenses **anticipated during the application period** for each charitable organization declared in this application.

A. Name of Charitable Organization: _____

- (1) Total amount of fees projected. \$ _____
- (2) Total amount of Applicant’s anticipated expenses. \$ _____
- (3) Total net fees that are projected to be earned or received by Applicant. \$ _____
 [line (1) less line (2)]

B. Name of Charitable Organization: _____

- (1) Total amount of fees projected. \$ _____
- (2) Total amount of Applicant’s anticipated expenses. \$ _____
- (3) Total net fees that are projected to be earned or received by Applicant. \$ _____
 [line (1) less line (2)]

5. Are the amounts to be earned or received by Applicant as set forth above based on a flat fee arrangement? Yes No If "yes", explain the facts that support the reasonableness of the fees to be paid by each charitable organization declared in this application.

6. Please provide the following accounting summary for all contributions **collected or received by the Applicant within the calendar year immediately preceding the date of this application:**

A. Name of Charitable Organization: _____

(1) Total amount of fees earned or received by Applicant: \$ _____

(2) Total amount of Applicant's expenses made from Applicant's fee.

<u>List of payees</u>	<u>Amounts Paid</u>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
	Total Expenses: \$ _____

(3) Net fees earned or received by Applicant. \$ _____
[line (1) less line (2)]

B. Name of Charitable Organization: _____

(1) Total amount of fees earned or received by Applicant: \$ _____

(2) Total amount of Applicant's expenses made from Applicant's fee.

<u>List of payees</u>	<u>Amounts Paid</u>
_____	\$ _____
_____	\$ _____
_____	\$ _____
_____	\$ _____
	Total Expenses: \$ _____

(3) Net fees earned or received by Applicant. \$ _____
[line (1) less line (2)]

PART VI: HISTORY

1. List all previous permits or licenses by state and date of issuance.

2. Has there been any injunction, judgment, or administrative order by a federal, state, or local agency against the Applicant? Yes No

3. Has the Applicant been convicted of any crime involving moral turpitude? Yes No
 If “yes”, please explain in detail including nature of proceeding, date, location and current status. Please provide a copy of the order.

4. Has there been any injunction, judgment, or administrative order or conviction of any crime involving moral turpitude with respect to any officer, director, manager, operator, or principal of the Applicant? Yes No If “yes”, please explain in detail including nature of proceeding, date, location and current status. Please provide a copy of the order.

PART VII: ORGANIZATION IDENTIFICATION

1. Provide the following information for Applicant’s Registered Agent:

Name	
Street Address	
City / State / Zip Code	
Phone Number	Facsimile Number

2. List the following information concerning the Applicant’s partners, principals, officers and directors.

<u>Name</u>	<u>Address</u>	<u>Telephone Number</u>

PART VIII: SOLICITING WITHOUT PERMIT

1. If this is an initial application or a renewal application after the applicant has let its permit expire, has the applicant conducted activities regulated by the Charitable Solicitations Act, Utah Code Title 13, Chapter 22, without being duly registered with the Division?

This includes providing fund raising, fundraising counsel or consultant services, planning, managing, advising, counseling, consulting, preparing material, or coordinating and scheduling solicitations (including direct mail, telephonic, and email solicitations) on behalf of any charitable organization into the state of Utah.

Yes No

2. If “yes”, please explain in detail, including the name of the charitable organization, the dates involved, and the method of the solicitation.

PART IX: SIGNATURE / ACKNOWLEDGEMENT

By signing this application, the professional fund raiser, professional fund raising counsel, or professional fund raising consultant:

- affirms that this application is complete and not misleading; and
- acknowledges that fund raising in Utah will not commence until both the charitable organization, its parent foundation, if any, and the professional fund raiser or professional fund raising counsel or consultant are registered and in compliance with the Utah Charitable Solicitations Act.

DATED: _____

APPLICANT: _____

SIGNED BY: _____

TITLE: _____

LIST OF DOCUMENTS TO ATTACH

ATTACH A COPY OF EACH OF THE FOLLOWING DOCUMENTS:

- A. The Applicant's articles of incorporation or other organizational documentation showing its current legal status (initial application only, unless amended);
- B. The Applicant's current by-laws or other policies and procedures governing its day-to-day operations (initial application only, unless amended);
- C. Signed copies of current contracts with charitable organizations;
- D. Vending device decal, if applicable; and
- E. Telephone script, if applicable.