

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
INSTRUCTIONS – TELEPHONE CHARITABLE SOLICITATIONS
SDCL 37-30
CSF-90

Applications for registration of telephone solicitations shall be made on forms prescribed by the Attorney General, and must be fully completed. No certificate of registration can be issued until all pertinent information is supplied. **Applicants must submit their applications no less than thirty days prior to conducting any solicitation.** The initial registration for a paid solicitor shall be valid for one year and may be renewed for an additional one year period if the solicitation campaign lasts more than one year. The solicitor must register each campaign with the Attorney General and may also renew the campaign if it lasts more than one year.

All applications must be accompanied by the following:

- Registration Statement yearly on anniversary date
- Proper Bond Form (\$10,000 or \$20,000) (SDCL 37-30-5)-yearly
- Solicitation Notice (SDCL 37-30-6)-yearly
Including Attachments:
 - Approval of Script Form-must have two (2) different officer signatures
 - Script of solicitation to be made orally
 - Copies of all campaign solicitation
- Copy of Contract between paid solicitor and charitable organization (SDCL 37-30-7)-contract must state percentage (%) that is retained by the Charitable Organization.
- Consent to Make Solicitation Notice (SDCL 37-30-8)-must have two (2) different signatures
- Donation of Tickets Agreement, if applicable (SDCL 37-30-9)

Upon completion of the campaign, the paid solicitor is required to file a financial report with the Attorney General no more than ninety days (90) after a solicitation campaign has been completed. (SDCL 37-30-11)

A completed Financial Report form furnished by the Attorney General must be submitted within this time period. Any paid solicitor who fails to report as provided by this section is guilty of a Class 1 misdemeanor.

All solicitors are required to make written report as to material changes in filed information not more than thirty days after such change occurs. **However, any materials change to the campaign solicitation literature filed with the Attorney General pursuant to the Solicitation Notice (SDCL 37-30-6) shall be reported in writing by the paid solicitor to the Attorney General not more than seven days after such change occurs.** Any violation of this section is a Class 2 misdemeanor.

TELEPHONE SOLICITATION

- Section**
- 37-30-1. Definition of terms.
- 37-30-2. Sale of items associated with charity as solicitation – Includes offer or attempt to sell.
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- 37-30-11. Solicitor required to file financial report – Time period – Form and contents – Failure to file reports as misdemeanor.
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- 37-30-29. Registrant responsible for automatic dialer requirements.

§ 37-30-1. Definition of terms.

Terms used in this chapter mean:

- (1) "Charitable organization," any person who is or holds himself out to be established for any benevolent, educational, philanthropic, humane, scientific, patriotic, social welfare or advocacy, public health, environmental conservation, civic or eleemosynary purpose, or for the benefit of law enforcement officers, firefighters or other persons who protect the public safety;
- (2) "Charitable purpose," any benevolent, educational, philanthropic, humane, scientific, patriotic, social welfare or advocacy, public health, environmental conservation, civic or eleemosynary objective;
- (3) "Charitable sales promotion," any advertising or sales campaign, conducted by a commercial coventurer, which represents that the purchase or use of goods or services offered by the commercial coventurer are to benefit a charitable organization or purpose;
- (4) "Contribution," the grant, promise or pledge of money, credit, property, financial assistance or other thing of any kind or value in response to a solicitation. "Contribution" does not include bona fide fees, dues or assessments paid by

members, if membership is not conferred solely as consideration for making a contribution in response to solicitation;

- (5) "Gross revenue," income of any kind from all sources, including all amounts received and all amounts pledged as the result of any solicitation by a paid solicitor;
- (6) "Membership," that which entitle a person to the privileges, professional standing, honors or other direct benefit of the organization and the right to vote, elect officers and hold office in the organization;
- (7) "Paid solicitor," any person or for-profit organization, who for compensation, contracts for a charitable organization any service in connection with which contributions are solicited by such person or by any person directly or indirectly employed, procured or engaged to solicit for such compensation. A bona fide nontemporary salaried officer, employee or temporary employee of a charitable organization is not a paid solicitor.
- (8) "Solicit" and "solicitation," any request directly or indirectly for money, credit, property, financial assistance or other thing of any kind or value on the plea or representation that such money, credit, property, financial assistance or other thing of any kind or value is to be used for a charitable purpose or benefit a charitable organization.

Source: SL 1990, ch 314, § 1.

§ 37-30-2. Sale of items associated with charity as solicitation – Includes offer or attempt to sell.

For the purpose of this chapter, "solicitation" includes, the sale of, offer or attempt to sell, by telephone, any advertisement, advertising space, book, card, tag, coupon, device, magazine, membership, merchandise, subscription, flower, ticket, candy, light bulbs, cookies or other tangible item in connection with an appeal made for any charitable organization or purpose, or if the name of any charitable organization is used or referred to in any such appeal as an inducement or reason for making any such sale, or if in connection with any such sale, any statement is made that the whole or any part of the proceeds from any such sale is to be used for any charitable purpose or benefit any charitable organization.

Source: SL 1990, ch 314, § 2.

§ 37-30-3. Solicitor to register with attorney general – Registration periods – Information to be provided by solicitor – Failure to register as misdemeanor.

Every paid solicitor shall register each time with the attorney general no less than thirty days prior to conducting any solicitation. The initial registration for a paid solicitor shall be valid for one year and may be renewed for an additional one-year period if the solicitation campaign lasts more than one year. Application for the registration shall be made on forms prescribed by the attorney general.

The paid solicitor shall provide the following information on or with the registration form:

- (1) Legally established name;
- (2) Name or names under which it solicits contributions;
- (3) Form of organization;
- (4) Date and place of organization;
- (5) Street address of principal office in this state, or if none, the name and street address of the person having custody of books and records within this state;
- (6) Names and addresses of officers, directors, trustees and chief executive officer;
- (7) Federal and state tax status;
- (8) Denial at any time by any governmental agency or court of the right to solicit contributions;
- (9) Copy of the completed solicitation notice as provided by § 37-30-6;
- (10) Copy of the contract between the charitable organization and the paid solicitor as provided by § 37-30-7;
- (11) Copies of executed documents required by §§ 37-30-8 and 37-30-9; and
- (12) Such other information as the attorney general may require, by rules promulgated pursuant to chapter 1-26, to promote fairness of the solicitation and to assure full and fair disclosure of all material information to the attorney general.

The paid solicitor or authorized officer shall sign the registration form and shall certify that the statements therein are true and correct to the best of their knowledge. Any paid solicitor who fails to register as provided by this section is guilty of a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 3.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-4. Attorney general's approval of application required prior to solicitation – Period for review – Basis for denial of registration.

No paid solicitor may commence a solicitation until the application is reviewed and approved by the attorney general. The attorney general shall review the application within forty-five days of receiving the application. The attorney general, pursuant to chapter 1-26, may deny registration of a paid solicitor if the application fails to comply with this chapter and rules promulgated pursuant to chapter 1-26.

Source: SL 1990, ch 314, § 4.

§ 37-30-5. Applicant must file bond – Requirements as to bond – Failure to provide bond as misdemeanor.

An applicant for registration or for a renewal of registration as a paid solicitor shall, at the time of making such application, file with and have approved by the attorney general a bond from a surety company qualified to do business in the state. The bond shall be for the sum of twenty thousand dollars if the applicant would be collecting contributions solicited or otherwise having physical access to such contributions. The bond shall be for the sum of ten thousand dollars if the applicant would only be soliciting contributions and not be collecting or otherwise having physical access to such contributions. Registration of any additional solicitation campaigns during the paid solicitor's registration period does not require any additional bond. The paid solicitor shall maintain the bond in effect as long as the registration is in effect. The bond shall run to the state and to any person who may have a cause of action against the principal obligor of the bond for any liabilities resulting from the obligor's conduct of any activities subject to the provisions of this chapter, or arising out of a violation of this chapter or any rules adopted pursuant to this chapter. Any paid solicitor who fails to provide a bond as provided by this section is guilty of a Class 2 misdemeanor.

Source: SL 1990, ch 314, § 5.

Cross References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-3-6. Solicitation notice – Form and contents – Failure to comply as misdemeanor.

A solicitation notice shall be on forms prescribed by the attorney general, in writing and under oath, and shall include a description of the solicitation event or campaign, the location and telephone number from which the solicitation is to be conducted, the names and residence street addresses of all employees, agents or other persons however styled who are to solicit during such campaign and the account number and location of all bank accounts where receipts from such campaign are to be deposited. Copies of campaign solicitation literature, including the text of any solicitation to be made orally, shall be attached to the solicitation notice. The charitable organization on whose behalf the paid solicitor is acting shall certify that the solicitation notice and accompanying material are true and complete. Any violation of this section is a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 6.

Cross References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-7. Contract between solicitor and charitable organization – Requirements – Failure to comply as misdemeanor.

A contract between a paid solicitor and a charitable organization shall be in writing, shall clearly state the respective obligations of the paid solicitor and the charitable organization and shall state the minimum amount which the charitable organization shall receive as a result of the solicitation campaign, which minimum amount shall be stated as a percentage of the gross revenue. Such minimum amount may not include any amount which the charitable organization is to pay as expenses of the solicitation campaign. Any violation of this section is a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 7,

Cross References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-8. Solicitor required to have written consent before permitted to use name of charitable organization – Failure to comply as misdemeanor.

A paid solicitor may not represent that any part of the contributions received will be given or donated to any charitable organization unless such organization has consented in writing to the use of its name, prior to the solicitation. Such written

consent shall be signed by two authorized officers, directors or trustees of the charitable organization. Any violation of this section is a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 8.

Cross References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-9. Solicitor required to have written commitment where charitable organization agrees to accept donated tickets to an event – Failure to comply as misdemeanor.

No paid solicitor may represent that tickets to an event are to be donated for use by another, unless the paid solicitor has first obtained a commitment, in writing, from a charitable organization stating that it will accept donated tickets and specifying the number of tickets which it is willing to accept and provided no more contributions for donated tickets shall be solicited than the number of ticket commitments received from the charitable organization. Any violation of this section is a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 9.

Cross References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-10. Employee of paid solicitor – Requirements.

A paid solicitor shall require that any person be directly or indirectly employs, procures or engages to solicit comply with the provisions of §§ 37-30-8 and 37-30-9.

Source: SL 1990, ch 314, § 10.

§ 37-30-11. Solicitor required to file financial report – Time period – Form and contents – Failure to file reports as misdemeanor.

A paid solicitor shall file a financial report for the campaign with the attorney general no more than ninety days after a solicitation campaign has been completed, and on the anniversary of the commencement of any solicitation campaign which lasts more than one year. The financial report shall include gross revenue and an itemization of all expenditures incurred. The report shall be completed on a form prescribed by the attorney general. An authorized official of the paid solicitor and two authorized officials of the charitable organization shall sign such report and they shall certify, under oath, that such report is true and complete to the best of their knowledge. Any paid solicitor who fails to report as provided by this section is guilty of a Class 1 misdemeanor.

Source: SL 1990, ch 314, § 11.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-12. Solicitor required to maintain records – Time periods – Contents of records – Failure to keep records as misdemeanor.

A paid solicitor shall maintain during each solicitation campaign and for not less than three years after the completion of each such campaign the following records, which shall be available to the attorney general for inspection upon request:

- (1) The name and address of each contributor and the date and amount of the contribution, provided the attorney general shall not disclose this information except to the extent necessary for investigative or law enforcement purposes;
- (2) The name and residence of each employee, agent or other person involved in the solicitation; and
- (3) Records of all income received and expenses incurred in the course of the solicitation campaign.

Any paid solicitor who fails to keep records as provided by this section is guilty of a Class 2 misdemeanor.

Source: SL 1990, ch 314, § 12.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-13. Where solicitor sells tickets to an event – Record keeping requirements – Contents of records – Failure to comply as misdemeanor.

If a paid solicitor sells tickets to an event and represents that tickets will be donated for use by another, the paid solicitor shall maintain, for not less than three years after the completion of such event, the following records, which shall be available to the attorney general for inspection upon request:

- (1) The name and address of contributors donating tickets and the number of tickets donated by each contributor; and
- (2) The name and address of all organizations receiving donated tickets for use by others, including the number of tickets received by each organization.

Any paid solicitor who fails to keep records as provided by this section is guilty of a Class 2 misdemeanor.

Source: SL 1990, ch 314, § 13.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-14. All funds to be deposited in bank account – Charitable organization to have sole or joint control – Failure to comply as misdemeanor.

All funds collected by the paid solicitor shall be deposited in a bank account. The bank account shall be in the name of the charitable organization with whom the paid solicitor has contracted and the charitable organization shall have sole or joint control of the account. Any violation of this section is a Class 2 misdemeanor.

Source: SL 1990, ch 314, § 14.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-15. Solicitor required to make written report as to material changes in filed information – Time requirements – Failure to comply as misdemeanor.

Any material change in any information filed with the attorney general pursuant to this chapter shall be reported in writing by the paid solicitor to the attorney general not more than thirty days after such change occurs. However, any material change to the campaign solicitation literature filed with the attorney general pursuant to § 37-30-6 shall be reported in writing by the paid solicitor to the attorney general not more than seven days after such change occurs. Any violation of this section is a Class 2 misdemeanor.

Source: SL 1990, ch 314, § 15.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-16. Prior conviction of felony or certain misdemeanors precludes operation as solicitor.

No person may act as a paid solicitor if such person, any officer or director thereof, any person with a controlling interest therein, or any person the paid solicitor employs, engages or procures to solicit for compensation, has been convicted by a court of any state or the United States of any felony, or of any misdemeanor involving dishonesty or arising from the conduct of a solicitation for a charitable organization or purpose. Any denial, suspension or revocation of the registration of a paid solicitor based on a violation of this section shall be made in accordance with the provisions of chapter 1-26.

Source: SL 1990, ch 314, § 16.

§ 37-30-17. Misdemeanors involving knowing misrepresentations and false, misleading or unauthorized solicitation practices – Use of unregistered paid solicitor as misdemeanor.

It is a Class 1 misdemeanor for:

- (1) Any person to knowingly misrepresent the purpose or beneficiary of a solicitation;

- (2) Any person to knowingly misrepresent the purpose or nature of a charitable organization;
- (3) Any person to use or exploit the fact of registration so as to lead the public to believe that such registration constitutes an endorsement or approval by the state;
- (4) Any person to knowingly misrepresent that any other person sponsors or endorses a solicitation;
- (5) Any person to use the name of a charitable organization, or to display any emblem, device or printed matter belonging to or associated with a charitable organization without the express written permission of the charitable organization;
- (6) Any charitable organization to use the name which is the same as or confusingly similar to the name of another charitable organization unless the latter organization shall consent in writing to its use;
- (7) Any person to knowingly make any false or misleading statement on any document required by this chapter; or
- (8) Any charitable organization to use the services of an unregistered paid solicitor.

Source: SL 1990, ch 314, § 17.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§37-30-18. Attorney general may investigate complaint – Investigatory powers.

The attorney general may, upon receiving a complaint, conduct an investigation to determine whether any person has violated a provision of this chapter. For the purpose of any investigation or proceeding under this section the attorney general may administer oaths and affirmations, subpoena witnesses, compel their attendance, take evidence and require the production of any books, papers, correspondence, memoranda, agreements or other documents or records which the attorney general deems relevant or material to the inquiry.

Source: SL 1990, ch 314, § 18.

§ 37-30-19. Power of attorney general to compel testimony – Use of such testimony in criminal proceedings prohibited – Exceptions.

No individual is excused from attending and testifying or from producing any documents or records, or an obedience to the subpoena of the attorney general, or in any proceeding instituted by the attorney general, on the ground that the testimony or evidence, documentary or otherwise, required of him may tend to incriminate him. However, no testimony or other information compelled or any information directly or indirectly derived from the compelled testimony or information may be used against the individual in any criminal proceeding except for a prosecution for perjury, giving a false statement, or contempt.

Source: SL 1990, ch 314, § 19.

§ 37-30-20. Power of attorney general to deny, suspend or revoke registration of paid solicitor.

The attorney general may, pursuant to chapter 1-26, deny, suspend or revoke the registration of any paid solicitor which has violated any of the provisions of this chapter. The attorney general may accept a written assurance of compliance when the attorney general determines that a violation of this chapter is not material and the public interest would not be served by a denial, suspension or revocation of such registration.

Source: SL 1990, ch 314, § 20.

§37-30-21. Power of attorney general to bring action for injunction – Restraint of violations.

If it appears to the attorney general that a person has engaged or is about to engage in any act or practice constituting a violation of any provisions of this chapter, or any rule promulgated under the provisions of this chapter, the attorney general may bring an action in the circuit court to enjoin the acts or practices to enforce compliance with this chapters, or any rule promulgated under the provisions of this chapter. In addition, the attorney general may use the process provided by chapter 21-34 to restrain violations of this chapter.

Source: SL 1990, ch 314, § 21.

§ 37-30-22. Documents required to be filed – Status as public records – Exceptions.

Registration forms, annual reports and other documents required to be filed by this chapter shall become public records when filed in the office of the attorney general. However, investigative data obtained by the attorney general in anticipation of or in connection with litigation or an administrative proceeding are not public records.

Source: SL 1990, ch 314, § 22.

§ 37-30-23. “Automatic telephone dialing system” defined.

For the purpose of §§ 37-30-23 to 37-30-29, inclusive, an automatic telephone dialing system is any automatic terminal equipment which stores or produces numbers to be called randomly or sequentially and which delivers a prerecorded message to the number called without assistance of a live operator.

Source: SL 1991, ch 322, § 1.

§ 37-30-24. “Telephone solicitation” defined.

For the purpose of §§ 37-30-23 to 37-30-29, inclusive, a telephone solicitation is the unsolicited initiation of a telephone call to a residential telephone customer for the purpose of encouraging a person to purchase property, goods or services or soliciting donations of money, property, goods or services. Telephone solicitation does not include:

- (1) Calls made in response to a request or inquiry by the called party. This includes calls regarding an item that has been purchased by the called party from the company or organization during a period not longer than twelve months prior to the telephone contact;
- (2) Calls made for a not-for-profit organization to its own list of bona fide or active members of the organization;
- (3) Calls limited to polling or soliciting the expression of ideas, opinions or votes;
- (4) Business-to-business contacts or contacts with residential customers with whom a business or credit relationship exists; or
- (5) Calls utilized for relaying messages for private purposes, including voice messaging services or message delivery services.

Source: SL 1991, ch 322, § 2.

§ 37-30-25. Registration as to intended use of automatic telephone dialing system – Failure to comply as misdemeanor.

Any person intending to use an automatic telephone dialing system for a telephone solicitation in this state shall, at least ten business days prior to using the system, register with the public utilities commission, on forms prescribed by him, the following information:

- (1) Name of the registrant;
- (2) Telephone number of the registrant;
- (3) Address of the registrant;
- (4) Name under which the registrant is doing or intends to do business;
- (5) Complete street addresses of all locations from which the registrant will be conducting business; and
- (6) Nature of the solicitation.

A violation of this section is a Class 2 misdemeanor.

Source: SL 1991, ch 322 § 3.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-26. Required contents of message – Failure to comply as misdemeanor.

Any telephone solicitation message shall disclose immediately after telephone contact the name of the person, company or organization making the call and the purpose of the call and the goods or services being offered, if any. A violation of this section is a Class 2 misdemeanor.

Source: SL 1991, ch 322, § 4.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-27. Forbidden uses of automatic telephone dialing system – Failure to comply as misdemeanor.

No person may use an automated telephone dialing system to make a telephone solicitation to:

- (1) Any emergency telephone in this state including the emergency telephone numbers of any hospital, physician, health care facility, ambulance service or fire or law enforcement officer or facility;
- (2) Any paging or cellular phone within the state; or
- (3) Any unlisted, unpublished, toll-free long distance or direct inward dial telephone number within the state.

A violation of this section is a Class 2 misdemeanor.

Source: SL 1991, ch 322 § 6.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-28. Permissible hours as to use of automated telephone dialing system – Disconnection requirements – Failure to comply as misdemeanor.

No person may use an automated telephone dialing system to make a telephone solicitation to any telephone number in the state except weekdays between 9 a.m. and 9 p.m., according to the time in this state. In addition, the person using the device to place the call shall ensure that the device disconnects no more than twenty seconds following the disconnection of the telephone number called. A violation of this section is a Class 2 misdemeanor.

Source: SL 1991, ch 322, § 7.

Cross-References.

Penalties for classified misdemeanors, § 22-6-2.

§ 37-30-29. Registrant responsible for automatic dialer requirements.

The registrant is responsible for the automatic dialer requirements contained in §§ 37-30-27 and 37-30-28.

Source: SL 1991, ch 322, § 5.

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
REGISTRATION STATEMENT
SDCL 37-30-6
CSF-90

FOR YEAR ENDING _____

Mail to: Division of Consumer Protection
1302 E Hwy 14, Suite 3
Pierre, SD 57501-8503

INSTRUCTIONS: Type or print in ink the answer to all applicable items (enter NA for any item that is not applicable).
In all cases, "the firm" shall mean the applicant paid solicitor named in item 1; "representative of the firm" shall mean a principal, director or officer of the firm. This fully executed statement, along with a \$20,000 or \$10,000 Surety Bond notice of solicitation and other applicable forms should be sent to the above address. The bond should name the applicant as the Principal obligator (form enclosed). Please be sure to sign this statement where indicated and include all attachments, clearly labeled to reference any item requiring additional explanation.

NOTE: The Division of Consumer Affairs must be notified, in writing, within 30 days if any changes to the information provided in this statement occur during the period of registration. However, changes in campaign literature (i.e. scripts and written materials) shall be reported within seven (7) days of the change. SDCL 37-30-15

1. Full, Official Name and Address of the Firm

Telephone Number _____

FEDERAL TAX ID NUMBER _____ **South Dakota Sales Tax Number** _____

2. Principal South Dakota address, (if other than item 2).

Telephone Number _____

3. Location financial records are kept (if other than item 2).

4. List all other names under which the firm may be known (do not include clients names).

5. Type of business entity (check one and complete)

____ Corporation-State in which incorporated

Date incorporated _____

____ Partnership-City and state in which organized

Date organized _____

____ Individual-City and state in which organized

6. Enter name, residence address and title or relationship to the business of all persons in charge of overall management.

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

7. Has the firm or any representative of the firm ever been, or are they now, associated with any charitable or other organization with which the firm has contracted to act as paid solicitor?

_____yes _____no

If yes, complete the following:

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

Name _____

Address _____

Title or relationship to business _____

8. Has the firm or any representative of the firm ever been or are they now, associated with any other paid solicitor?

_____yes _____no

If yes, complete the following:

Name _____

Address _____

Title or relationship to business _____

Name _____
Address _____

Title or relationship to business _____

Name _____
Address _____

Title or relationship to business _____

9. Is the firm registered as a paid solicitor or professional fund raiser with any other state or local government?

_____yes _____no

If the answer is yes give the following information: Name, address of government agency and date of authorization.

Name _____
Address _____

Date of authorization _____

10. Has the firm or any person listed in item 6, ever had any license, registration or permit denied, cancelled, suspended or revoked; or has any official disciplinary or legal action ever been taken, or is one currently pending, against the firm or any representative of the firm in relation to any fund raising activity?

_____yes _____no

If yes, complete the following:

Name of government agency _____
Address _____

Nature of action and what was or is being taken:

11. Is a notice of solicitation filed with the registration statement?

_____yes _____no

If a notice of solicitation is not filed with this registration form, complete the following:

12. Does the firm intend to have physical access to the funds or bank accounts?

_____yes _____no

13. Have you entered into a contract(s) (SDCL 37-30-7) with a charitable organization?

_____yes _____no

If yes, attach a copy. If no, a copy must be attached to the Notice of Solicitation form prior to beginning a charitable campaign.

14. Have you obtained a Consent Agreement (SDCL 37-30-7) from a charitable organization?

_____yes _____no

If yes, attach the Consent Agreement form.

15. Does the firm intend to sell tickets to an event?

_____yes _____no

If yes, and the firm intends to donate tickets to a charitable organization, the Donor ticket Form must be completed and attached to the notice of solicitation. (SDCL 37-30-9)

I, the registrant, certify, under penalty of perjury, that the statements made in this document and in any accompanying papers are true to the best of my knowledge and belief.

Signature of Registrant

Title

Date

Name printed or typed

Title of Registrant

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
MEMORANDUM
SDCL 37-30
CSF-90

TO: TELEPHONE CHARITABLE SOLICIATION REGISTRIES
FROM: DIVISION OF CONSUMER PROTECTION, OFFICE OF ATTORNEY GENERAL
RE: **EXECUTION OF BONDS**

The Division of Consumer Protection, Office of Attorney General is charged with all regulatory and administrative functions relating to telephone charitable solicitation registration under SDCL Ch 37-30 (1990). SDCL 37-30-5 requires a telephone solicitor to file a bond in the sum of ten thousand dollars (\$10,000) if the applicant would only be soliciting contributions and not be collecting or otherwise having physical access to such contributions. The telephone solicitor is required to file a twenty thousand dollar (\$20,000) bond if the applicant would be collecting contributions solicited or otherwise have physical access to such contributions.

The Attorney General is required by law to examine all bonds filed with state agencies. As an aid to having your bond approved, please review the following:

As to form, the bond must:

1. Be executed on behalf of the principal;
2. Be executed on behalf of the surety;
3. Be acknowledged by the principal;
4. Be acknowledged by the surety(s);
5. Show representative capacities (officer, partner, attorney-in-fact, etc.)
6. Be signed by all partners (if a partnership);
7. Have corporate seal affixed, or notation that none is required, (if a corporation);
8. Have attached evidence of authority (if a corporation and executed by someone other than a corporate officer);

The following is a check list to facilitate the accurate completion of your bond:

- A. General provisions:
 1. Select the bond with the correct amount of premium.
 2. Complete the section pertinent to counter-signature of South Dakota resident, including name of resident South Dakota agent, bonding agent and address, unless statutory exemption applies.
 3. Complete principal's signature and title (the principal of the firm, cooperative or corporation by statute must be president, vice president, secretary, or treasurer). **The name and title of the principal must be identical in all sections of the bond.**
 4. Complete the surety's name and provide the signature of surety or attorney-in-fact.
 5. Complete the term of the bond.
 6. The bond must be dated.

B. Acknowledgements:

1. **Acknowledgement of principal must be completed and dated on or after the contract date of the bond.** Do not predate this acknowledgement **before** contract date of the bond. Do not predate this acknowledgement before the date of the acknowledgement of surety or attorney-in-fact. (The principal of statute includes **president, vice president, secretary or treasurer of a firm, cooperative or corporation.**) **The principal acknowledging the bond must be the same party who signs on the face of the bond.** For example, if the president of a corporation signs as principal on the face of the bond, he must also complete the acknowledgement of the bond.
2. Bonds must be acknowledged by surety or attorney-in-fact and **dated on the contract date of the bond.** Do not predate this acknowledgement before contract date of the bond.
3. Power of attorney must be attached to the bond and dated the contract date of the bond. The attorney-in-fact acknowledging the bond must be identified in the power of attorney as having the power to bind the surety. Do not have two different attorneys-in-fact acknowledge your bond and power of attorney.
4. Check to be sure that each section is correctly completed by the notary, including the notary's signature and **date of commission.**

C. Certificate of authority:

If the principal executing the bond is not the president, vice president, secretary or treasurer of a firm, cooperative, or corporation, the certificate of authority to bind the company must be completed.

For example, if the manager of a company is signing and acknowledging as principal, the certificate of authority must be signed by an officer (president, vice president, secretary of treasurer). **Do not execute the certificate of authority with the signature of the same party.** This error occurs too frequently and delays the approval of many bonds. A company officer (president, vice president, secretary of treasurer) must verify that the manager (include title) has the authority to execute bonds on behalf of the firm, cooperative or corporation and include his title in the certificate of authority.

Thank you for your cooperation.

STATE OF SOUTH DAKOTA

SURETY BOND

(SDCL 37-30-5 CHARITABLE TELEPHONE SOLICITATIONS)

KNOW ALL MEN BY THESE PRESENTS:

BOND # _____

That we (name of company, address & phone number)

hereinafter called the Principal, and

hereinafter called the Surety, or Sureties, are held and firmly bound unto the State of South Dakota and all persons with whom the Principal engages in business, in the penal sum of **Twenty Thousand Dollars (\$20,000)** for the payment hereof, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS, the Principal has applied for registration to commence and engage within the State of South Dakota in the activities as a paid solicitor under the provisions of SDCL 37-30.

NOW, THEREFORE, this bond shall be for the purpose of reimbursing the State of South Dakota and the citizens thereof for any claims for which the principal or his agents may become liable in the conduct of activities as a paid solicitor or arising out of a violation of any provision of SDCL ch. 37-30 or rules adopted pursuant thereto.

This bond shall be effective for the period _____, _____,
(month) (day)
_____ through _____,
(year) (month) (day)

_____ or until such time as the Bonding Company rescinds the bond with thirty (30) days prior written notification
(year)

to the Office of Consumer Protection.

Dated this _____ day of _____, 20_____ .

(Principal Signature)

(Principal Name Printed or Typed)

(Principal Title)

Countersigned by:

South Dakota Resident Agent

Surety

Address & Phone Number:

Address & Phone Number:

Attorney-in-Fact
(Attach Power of Attorney)

Please complete acknowledgement forms on reverse side.

ACKNOWLEDGEMENT OF PRINCIPAL

(individual)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ known to me to be the person who is described in and who executed the above and foregoing instrument, and acknowledged to me that he executed the same.

Notary Public

My Commission Expires: _____
(firm)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be one of the members of the firm of _____ and that he, as such member, being authorized so to do, executed the foregoing instrument, for the purposes therein contained, by signing the name of the firm by himself as a member.

Notary Public

My Commission Expires: _____
(corporation)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be the _____ of _____, a corporation, and that he as such _____ being authorized to do executed the foregoing instrument for the purposes therein contained, by signing the name of the corporation by himself as _____.

Notary Public

My Commission Expires: _____

ACKNOWLEDGEMENT OF SURETY
(corporation)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be the _____ of _____, a corporation, and that he as such _____ being authorized to do executed the foregoing instrument for the purposes therein contained, by signing the name of the corporation by himself as _____.

Notary Public

My Commission Expires: _____

STATE OF SOUTH DAKOTA

SURETY BOND

(SDCL 37-30-5 CHARITABLE TELEPHONE SOLICITATIONS)

KNOW ALL MEN BY THESE PRESENTS:

BOND # _____

That we (name of company, address & phone number)

hereinafter called the Principal, and

hereinafter called the Surety, or Sureties, are held and firmly bound unto the State of South Dakota and all persons with whom the Principal engages in business, in the penal sum of **Ten Thousand Dollars (\$10,000)** for the payment hereof, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

WHEREAS, the Principal has applied for registration to commence and engage within the State of South Dakota in the activities as a paid solicitor under the provisions of SDCL 37-30.

NOW, THEREFORE, this bond shall be for the purpose of reimbursing the State of South Dakota and the citizens thereof for any claims for which the principal or his agents may become liable in the conduct of activities as a paid solicitor or arising out of a violation of any provision of SDCL ch. 37-30 or rules adopted pursuant thereto.

This bond shall be effective for the period _____, _____,
(month) (day)
_____ through _____,
(year) (month) (day)

_____ or until such time as the Bonding Company rescinds the bond with thirty (30) days prior
(year)
written notification to the Office of Consumer Protection.

Dated this _____ day of _____ 20_____ .

(Principal Signature)

(Principal Name Printed or Typed)

(Principal Title)

Countersigned by:

South Dakota Resident Agent

Address & Phone Number:

Surety

Address & Phone Number:

Attorney-in-Fact
(Attach Power of Attorney)

*Please complete acknowledgement forms on reverse side.

ACKNOWLEDGEMENT OF PRINCIPAL

(individual)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ known to me to be the person who is described in and who executed the above and foregoing instrument, and acknowledged to me that he executed the same.

Notary Public

My Commission Expires: _____
(firm)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be one of the members of the firm of _____ and that he, as such member, being authorized so to do, executed the foregoing instrument, for the purposes therein contained, by signing the name of the firm by himself as a member.

Notary Public

My Commission Expires: _____
(corporation)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be the _____ of _____, a corporation, and that he as such _____ being authorized to do executed the foregoing instrument for the purposes therein contained, by signing the name of the corporation by himself as _____.

Notary Public

My Commission Expires: _____

ACKNOWLEDGEMENT OF SURETY
(corporation)

STATE OF _____)

SS

COUNTY OF _____)

On this _____ day of _____, 20____ before me, a Notary Public, personally appeared _____ who acknowledged himself to be the _____ of _____, a corporation, and that he as such _____ being authorized to do executed the foregoing instrument for the purposes therein contained, by signing the name of the corporation by himself as _____.

Notary Public

My Commission Expires: _____

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
SOLICITATION NOTICE
SDCL 37-30-6
CSF-90

This notice must be completed, by an applicant registered paid solicitor, with the Division of Consumer Protection no less than 30 days prior to the start of each solicitation campaign. Please read the instructions before filling out the form. Mail completed Solicitation Notice and attachments to: Division of Consumer Protection, Office of the Attorney General, 1302 E Hwy 14, Suite 3, Pierre, SD 57501-8503.

1. Name and address of paid solicitor:

Phone Number: _____

2. Name and address of charitable organization:

Phone Number: _____

3. Is this solicitation a renewal or an original: _____ renewal _____ original

4. Where soliciting will take place: _____

5. Date soliciting begins: _____

Date soliciting ends: _____

6. In addition to telephone, business will be conducted by: (check all that apply)

_____ Business to Business	_____ Consumer Calling
_____ Cash Donations	_____ Donations/Advertising
_____ TV, Radio, Newspapers, Magazines	_____ Donations
_____ other (describe: _____)	

7. If persons solicited will be contracted by both telephone and other means, how will the initial contact be made? _____ telephone _____ other (please specify) _____

8. State the address and telephone number for each location from which telephone solicitation calls will be made, and the name of the office manager or other person in charge at each

location:
(If more than two locations, continue on a separate sheet.)

(a) Address: _____ (b) Address: _____

Phone: _____ Phone: _____
Manager: _____ Manager: _____

9. Will the solicitation campaign include the sale of goods or services? ____yes ____no

If yes, check one or more of the following that apply:
____ Tickets to an event or performance
____ Advertising space in a program book, journal or other publication
____ Other (Describe: _____.)

10. If tickets to an event or performance will be sold, state:
Date of event _____ Location of event _____
Nature of event _____

11. If tickets are sold, does the solicitation campaign include representations that tickets to an event are to be donated to for use by another?
____yes ____no

If yes, the paid solicitor must obtain a commitment, in writing, from the charitable organization being represented that they will accept tickets donated. (Refer to SDCL 37-30-9) A solicitor cannot sell more tickets than the charitable organizations agrees to accept.

12. List the names and residence addresses of all individuals who will solicit during the campaign:
(If more space is needed continue on separate sheet.)

Names:	Addresses:
_____	_____
_____	_____
_____	_____
_____	_____

13. Will you or your agents and employees have physical access to contributions obtained during the solicitation campaign?
____yes ____no

If yes, state the account number and location of each bank account where receipts from the solicitation campaign will be deposited: (If more than two accounts, continue on separate sheet.)

(a) Account number: _____ (b) Account number: _____

Bank name and address:

Bank name and address:

14. Have any of the persons listed in response to #7 or #11 ever been convicted by a court of any state or the United States of any felony, or any misdemeanor involving misappropriation of funds, dishonesty or arising from the conduct of a solicitation for a charitable organization or purpose?

_____no _____yes (If yes, attach a detailed explanation.)

15. Attach the text or script of oral solicitations.

16. Will a portion of the solicitation be the distribution (including mailing) of printed material?

_____yes _____no

If yes, attach a sample of each piece.

17. Have you entered into a contract (SDCL 37-30-7) with a charitable organization?

_____yes _____no

If yes, attach copy of the contract.

18. Is the contract between the paid solicitor and the charitable organization already on file?

_____yes _____no If no, is it attached to this notice? _____yes _____no

19. No paid solicitor may represent that any part of the contributions received will be given or donated to any charitable organization unless such organization has consented in writing to the use of its name, prior to the solicitation. (Refer to SDCL 37-30-8) Is the Consent to Make Solicitation form for this charitable solicitation campaign already on file?

_____yes _____no If no, is it attached to this notice? _____yes _____no

Any changes to the information provided in this notice must be reported to the Division of Consumer Affairs within seven (7) days of the change.

I, _____, certify, under penalty of perjury, that the solicitation notice and accompanying materials are true and complete to the best of my knowledge and belief.

Signature Title Date

Name printed or typed

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
CONSENT TO MAKE SOLICITATION
SDCL 37-30-8
CSF-90

Pursuant to Section 37-30-9, the undersigned hereby gives consent to

(Name of Professional Fundraiser)

whose address is _____

to solicit charitable contributions for the organization listed below
or to use its name in the solicitation of contributions for

(Name of Organization Sponsoring Campaign)

This authorization shall be valid for the period _____
to _____ (not to exceed 1 year).

NOTE: The authorization must be signed by two (2) officers
of the charitable organization and filed with the
Division of Consumer Protection, Office of Attorney General, 1302 E Hwy 14,
Suite 3, Pierre, South Dakota 57501.

(Name of Charitable Organization)

(Address)

(City, State, Zip Code)

(Phone Number)

(See Reverse)

By: _____

(Authorized Representative)

(Name printed or typed)

(Title)

(Date)

By:

(Authorized Representative)

(Name printed or typed)

(Title)

(Date)

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
APPROVAL OF SCRIPT
SDCL 37-30-6

We hereby acknowledge that we have read, fully understand and approve
the contents of the script to be used for telephone solicitations by

(Name of Paid Solicitor)

whose address is _____

on behalf of _____.

(Name of Charitable Organization Sponsoring Campaign)

We understand that the paid solicitor will be submitting the script,
samples of printed materials and any amendments thereto with the
financial reports at the conclusion of the campaign.

(Name of Organization)

(Address)

(City, State, Zip Code)

(Phone Number)

(Signature of Authorized Representative)

(Name printed or typed)

(Title)

(Date)

(Signature of Authorized Representative)

(Name printed or typed)

(Title)

(Date)

STATE OF SOUTH DAKOTA
DIVISION CONSUMER PROTECTION
DONATION OF TICKETS
SDCL 37-30-9
CSF-90

Pursuant to Section 37-30-8, this is to acknowledge that
_____ agrees to accept
_____ (number of) tickets which will
admit _____ (number of) individuals to see
_____ on _____
at the _____
_____ sponsored by
_____.

THE PERSON BELOW ACKNOWLEDGES THAT HE HAS READ THE ABOVE STATEMENT AFFIRMS
THAT HE CAN REASONABLY EXPECT TO DISTRIBUTE THE NUMBER OF TICKETS LISTED ABOVE
REPRESENTING THE NUMBER OF INDIVIDUALS LISTED ABOVE.

Name of Group _____

Address _____

Officer's Signature _____

Name printed or typed _____

Title _____

Phone _____

Date _____

STATE OF SOUTH DAKOTA
DIVISION OF CONSUMER PROTECTION
FINANCIAL REPORT
SDCL 37-30
CSF-90

Date solicitation began _____ Date solicitation ended _____

ANNUAL FINANCIAL REPORT(S) FOR PAID SOLICITORS

Pursuant to SDCL 37-30-11, a copy of this form is to be completed and filed with the Office of Attorney General, Division of Consumer Protection, within ninety (90) days of the completion of a solicitation campaign or on the anniversary of the commencement of any solicitation campaign which lasts more than one year. This form must be completed for each solicitation campaign in which you were involved as a paid solicitor.

All pages of the form must be completed to the extent applicable. THE COMPLETED REPORT MUST BE CERTIFIED UNDER OATH BY AN AUTHORIZED OFFICIAL OF THE PAID SOLICITOR AND BY TWO OTHER AUTHORIZED OFFICIALS OF THE CHARITABLE ORGANIZATION.

All lines on this form may not be applicable to all types of solicitation campaigns. For example, lines 3a through 3k will apply only if a special event, such as a stage show, carnival, etc., is held in connection with a fund-raising activity. Use the preprinted line items to the extent possible, although blank lines are provided to tailor the form to different kinds of solicitation activities.

Please send the completed form to:

SD Attorney General's Office
Division of Consumer Protection
1302 E Hwy 14, Suite 3
Pierre, SD 57501-8503

General Instructions

Enter on line 1, column 3, the total money actually collected as a result of the campaign. This is the gross amount, without deducting any expenses. Uncollected pledges as of the date of this report are to be reported at the bottom of the form in the space provided.

Enter on line 2a through 2f, column 1, the fees, salaries and commissions paid to promoters, solicitors, office managers and any other person paid for managing, arranging, or conducting the fund-raising, or overseeing the promotion or staging of a special event. The amount reported should include payments to be made, as well as payments already made. Enter the total on line 2g, column 2.

Enter on lines 3a through 3j, column 1, expenses directly relating to holding a performance show or other special event. The amount reported should include payments to be made, as well as payments already made. Enter the total on line 3k, column 2.

Enter on lines 4a through 4n, column 1, other expenses which were not directly related to the holding of a performance show, or other kind of special event. These include costs associated with soliciting and collecting donations and obtaining sales of advertising space and tickets. The amount reported should include payments to be made, as well as payments already made. Enter the total on line 4o, column 2.

Enter on line 5, column 3, the total expenses paid in the fund raising campaign. This amount is the sum of lines 2g, 3k and 4o.

Enter on line 6, column 3, the amount retained by the charitable organization after all expenses, paid or accrued. (This figure is, in essence, the "profit" to the charity after all expenses, regardless of who is or was responsible for paying them and regardless of whether they have been actually paid yet.)

Note the bottom of the form: the sum of lines 5 & 6 should equal line 1. If it does not, attach a complete explanation. Also, enter in the space provided the amount of uncollected pledges as of the report date.

**SOLICITATION CAMPAIGN
FINANCIAL REPORT**

SOLICITOR _____

CHARITABLE ORGANIZATION _____

DATE SOLICITATION BEGAN _____ DATE SOLICITATION ENDED _____

This report should be filled out as completely as possible. Include both accrued expenses already paid as well as those not yet paid in sections 2 through 5. If you have additional expenses which cannot fit in the spaces provided below, please list them on a separate sheet.

Column 1 Column 2 Column 3

1. Gross Revenue..... \$ _____

(include only revenue actually collected, not merely pledged)

2. Fees, Salaries and Commissions
(accrued as well as incurred expenses)

a. Promotional fees..... \$ _____

b. Office manager's fees..... \$ _____

c. Total payroll..... \$ _____

Other (itemized)

d. _____ \$ _____

e. _____ \$ _____

f. _____ \$ _____

g. Total (add lines 2a through 2f) \$ _____

3. Direct Event Expenses.....
(accrued as well as incurred expenses)

a. Auditorium rental..... \$ _____

b. Booking fee..... \$ _____

c. Printing (tickets, program book)..... \$ _____

d. Event insurance..... \$ _____

e. Police and fire protection..... \$ _____

f. Show fee (performers)..... \$ _____

g. Sales tax..... \$ _____

Other Direct Expenses
(itemize)

h. _____	\$ _____	
i. _____	\$ _____	
j. _____	\$ _____	
k. Total (add lines 3a through 3k).....		\$ _____

4. Other Expenses

(accrued as well as incurred expenses)

a. Advertising (employment).....	\$ _____	
b. Collection fees.....	\$ _____	
c. Furniture and equipment.....	\$ _____	
d. Office expenses.....	\$ _____	
e. Office rental.....	\$ _____	
f. List rental.....	\$ _____	
g. Postage.....	\$ _____	
h. Printing (solicitation materials.....	\$ _____	
i. Printing (coupon books, year books).....	\$ _____	
j. Telephone.....	\$ _____	
k. Utilities.....	\$ _____	
l. _____	\$ _____	
m. _____	\$ _____	
n. _____	\$ _____	
o. Total (lines 4a through 4m).....		\$ _____

5. Total Expenses (add lines 2g, 3k, & 4o) \$ _____

6. Amount retained to date by charitable organization \$ _____

IMPORTANT: The sum of lines 5 and 6 should equal the amount shown on line 1. If it does not, fill out below and attach additional pages if necessary in order to provide a complete explanation of your financial activities.

Indicate here the total amount of uncollected pledges as of the date of the report: \$ _____

SOLICITATION CAMPAIGN REPORT

Name and address of Solicitor:

Name and address of charitable organization:

If this report is a final report, enter the date soliciting ended:_____

If a performance, show or other type of event was or will be held in connection with the solicitation campaign, state when and where it was or will be held:

Date:_____

Location:_____

Type of Event:_____

The attached Financial Report is an integral part of this report and must be completed. Books and records used in the preparation of this report are in the care of (provide full name and address):

We, and each of us, being duly sworn, depose and say that the foregoing statement, including the attached Financial Report, is accurate and complete to the best of our knowledge.

FOR THE SOLICITOR:

Signature

Print or Type name

Title

Subscribed and sworn to before me this _____ day of _____, 20_____

Notary

(Seal) FOR THE CHARITABLE ORGANIZATION

My commission Expires:_____

Signature #1

Print or type name

Title

Subscribed and sworn to before me this _____ day of _____, 20_____.

Notary Public

(Seal)

My Commission Expires: _____

Signature #2

Print or type name

Title

Subscribed and sworn to before me this _____ day of _____, 20_____.

Notary Public

(Seal)

My Commission Expires: _____