

## INSTRUCTIONS FOR FILING APPLICATION FOR REGISTRATION AS A CHARITABLE ORGANIZATION IN RHODE ISLAND

### EXEMPTIONS

Under the new law, those organizations claiming to be exempt from the registration requirements are not required to submit or file for an exemption. However, any organization claiming to be exempt from registration requirements shall submit such information as the director may request to substantiate an exemption. **(See Reverse)**

### REGISTRATIONS

If you cannot claim exemption from the registration requirements of the law, please complete the application for registration. Completely answer each question; incomplete forms will be returned. You must submit an audited financial statement if the gross income of the organization is over \$500,000; if the gross income is equal or less than \$500,000 submit a compiled financial statement prepared by an independent or certified public accountant or submit a copy of the organization's Form 990. **ALL ORGANIZATIONS MUST SUBMIT FINANCIAL STATEMENTS.** The filing fee is \$75 annually.

If your application is deficient, you will receive a letter indicating the deficiency(ies). If your application is complete, after review of the application, you will receive written notification from this office to indicate approval of your application. This notification will state the expiration date of the registration and we will send you renewal forms at that time for your next filing. It will be your responsibility to file a renewal application.

(OVER)

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(rev. 7/22/99)

**5.53.1-3 CERTAIN PERSONS EXEMPTED.** -- (a) The following persons shall not be required to file a registration statement with the department.

(1) Educational institutions, including parent-teacher associations, the curricula of which in whole or in part are registered or approved by a governmental agency as well as all other educational institutions within this state who are recognized or certified as educational institutions by a generally recognized and accepted regional or national educational accrediting organization.

(2) Persons requesting any contributions for the relief of any individual, specified by name at the time of the solicitation, if all of the contributions collected, without any deductions whatsoever, are turned over to the named beneficiary.

(3) Any charitable organization which does not intend to solicit and receive and does not actually raise or receive contributions in excess of twenty-five thousand dollars (\$25,000) during a fiscal year of such charitable organization, provided none of its fundraising functions are carried on by professional fund raisers and no part of its assets or income inures to the benefit of or is paid to any officer, director, member (if a limited liability company), trustee, partner or member of such charitable organization.

For the purpose of this paragraph (3), contributions received from corporations, charitable foundations, government agencies, or a duly registered federated fund, incorporated community appeal, or United Way, shall not be included in determining the total amount of contributions received.

If, during the fiscal year of any such charitable organization, the gross contributions received by such charitable organization, during that fiscal year exceed twenty-five thousand dollars (\$25,000), it shall within thirty (30) days after the date it shall have received total contributions in excess of twenty-five thousand dollars (\$25,000) register with the director as required by section 5-53.1-2.

(4) Organizations which solicit only from their own membership. The term membership shall not include those persons who are granted a membership upon making a contribution as the result of a solicitation.

(5) Persons soliciting contributions solely from corporations, charitable foundations, or governmental agencies.

(6) Foundation or associations exclusively for the benefit of religious organizations, education institutions, non-profit or charitable hospitals and public libraries.

(7) Hospitals which are non-profit and charitable.

(8) Veterans' organizations and their auxiliaries so long as the veterans' organizations are chartered under chapter 6 of title 7.

(9) Public libraries.

(10) Historical societies duly organized under the laws of this state.

(11) Free, not for profit public art museums.

(12) Grange organizations and their auxiliaries.

(13) Churches or recognized denominations and religious organizations, societies and institutions operated, supervised or controlled by a religious organization or society which solicit from other than their own membership. Institutions indirectly or affiliated with but which are not operated, supervised or controlled by any religious organizations or religious society which own, maintain and operate homes for the aged, orphanages and homes for unwed mothers.

(14) Volunteer Fire and Rescue Associations.

(b) Any charitable organization claiming to be exempt from the registration requirements of this chapter shall submit such information as the director may request to substantiate an exemption under this section.

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS  
DEPARTMENT OF BUSINESS REGULATION  
SECURITIES DIVISION  
CHARITABLE ORGANIZATION SECTION  
233 RICHMOND STREET, SUITE 232  
PROVIDENCE, RI 02903-4232

Website address: [www.rilin.state.ri.us/Statutes/Title5/5-53-1/INDEX.HTM](http://www.rilin.state.ri.us/Statutes/Title5/5-53-1/INDEX.HTM)

INITIAL APPLICATION

RENEWAL APPLICATION

**FILING FEE: \$75.00**

**A charitable organization is deemed to have met the filing requirements below by submitting a copy or duplicate original of Form 990; provided, however, that such organization responds to items numbered 1 through 4, 14, 15, 16, and 18 below:**

1. Organization name: \_\_\_\_\_
2. Organization's principal address: \_\_\_\_\_
  - a. Name and address of preparer: \_\_\_\_\_
3. Addresses of any office(s) in this state and all other addresses of the organization: \_\_\_\_\_  
\_\_\_\_\_  
(Use separate sheet if necessary)
4. If no R..I. office, give name and address of person having custody of financial records: \_\_\_\_\_  
\_\_\_\_\_
5. Name or names under which organization intends to solicit contributions: \_\_\_\_\_  
\_\_\_\_\_
6. Names and addresses of officers, director's trustees, partners, senior level executive employees, as well as those persons responsible for the day to day operations of the organization : \_\_\_\_\_  
\_\_\_\_\_
7. Name and address of any chapters, branches, affiliates or other organizations that during the immediately preceding fiscal year of the organization share the contributions or other revenue raised in this state. Contributions of another organization which are merely transferred by or through a United Way or federated fund or an incorporated community appeal, which organization is selected by the donor need not be included. \_\_\_\_\_  
\_\_\_\_\_
8. Date and place of organization: \_\_\_\_\_
9. Form of organization: \_\_\_\_\_
10. Tax exempt status under Internal Revenue code: \_\_\_\_\_
11. Submit a copy of Form 990 or a compiled financial statement for the immediately preceding fiscal year. A charitable organization having annual gross income of more than five hundred thousand dollars (\$500,000) shall file an audited financial statement prepared by an independent certified public accountant with the director.
12. A general description of all the uses for which contributions to be solicited will be used:  
\_\_\_\_\_
13. Date Fiscal Year ends: \_\_\_\_\_

14. Other States where licensed: \_\_\_\_\_  
 \_\_\_\_\_
- a. Has any governmental agency or court enjoined the applicant, its directors, members, trustees or senior level executives from soliciting contributions? If yes, describe:  
 \_\_\_\_\_
- b. Has applicant's license or registration been suspended or canceled by any governmental agency. If yes, describe: \_\_\_\_\_  
 \_\_\_\_\_
15. Name and address of any professional fundraisers or fundraising counsels (and submit copy of contract for services): \_\_\_\_\_  
 \_\_\_\_\_
16. State the percentage of contributions received in the immediately preceding fiscal year which is spent for fund raising and administration: \_\_\_\_\_ .
17. Name and amount of compensation of those five (5) individuals whose annual compensation exceeds the reporting requirements on IRS Form 990: \_\_\_\_\_  
 \_\_\_\_\_
18. Has any director, officer, member, trustee, partner, senior level executive employee or employer of the charitable organization been convicted of a felony, pled nolo contendere to a felony charge, or held liable in a civil action involving fraud, embezzlement, fraudulent conversion or misappropriation of property? If yes, provide details: \_\_\_\_\_  
 \_\_\_\_\_

**THE APPLICATION WILL BE SIGNED BY TWO AUTHORIZED OFFICIALS OF THE ORGANIZATION ONE OF WHOM SHALL BE A DIRECTOR OR TRUSTEE.**

*I CERTIFY UNDER PENALTY OF PERJURY THAT I HAVE READ THIS APPLICATION AND KNOW THAT ALL STATEMENTS THEREIN ARE TRUE.*

DATE: \_\_\_\_\_

\_\_\_\_\_  
 (Print Applicant's Name & Telephone Number)

\_\_\_\_\_  
 (Authorized Signature --- Director or Trustee)

\_\_\_\_\_  
 (Authorized Signature)