



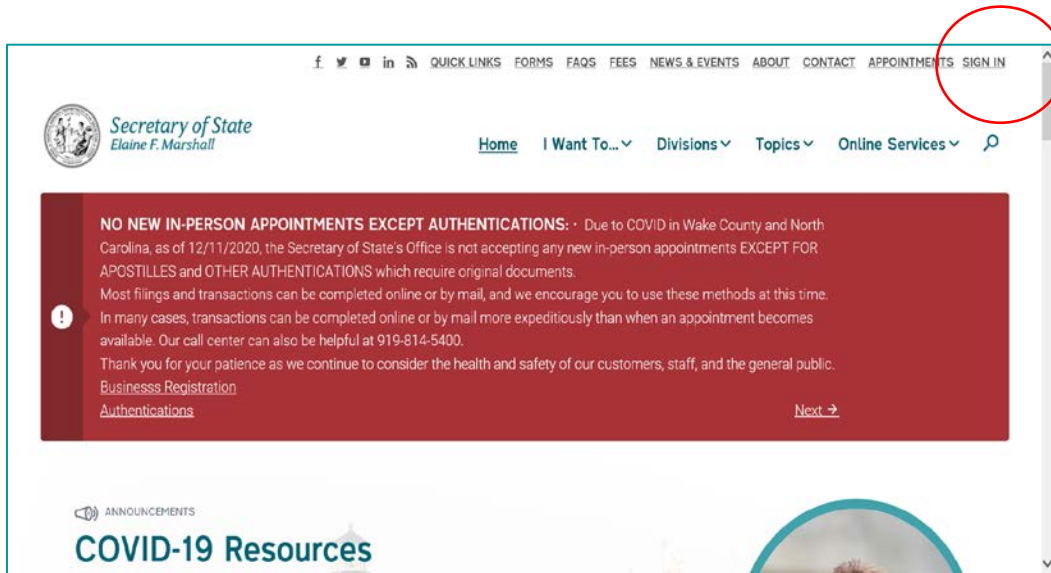
Secretary of State

Elaine F. Marshall

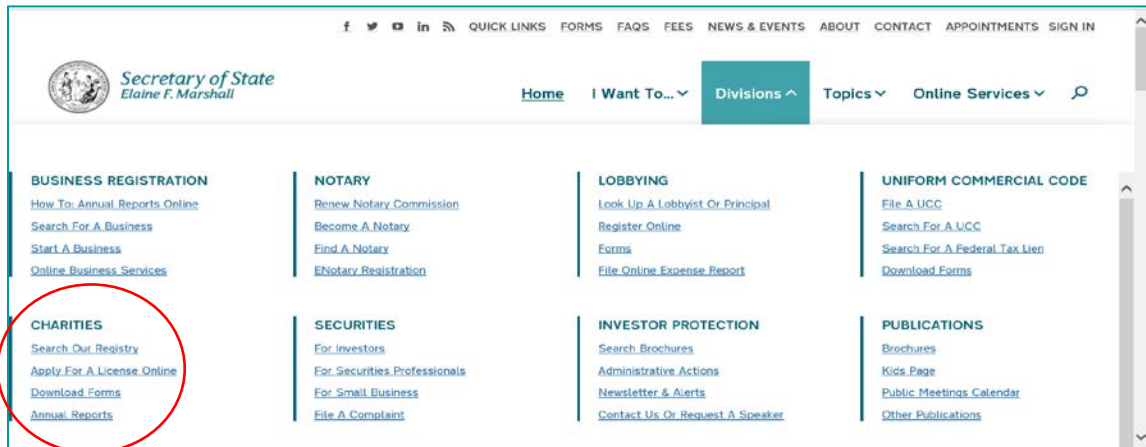
## Charitable Organization Licensure Online Instructions

The Charitable Solicitation Licensing (CSL) Division is implementing an enhanced digital platform. These instructions are designed to help applicants navigate the electronic application process.

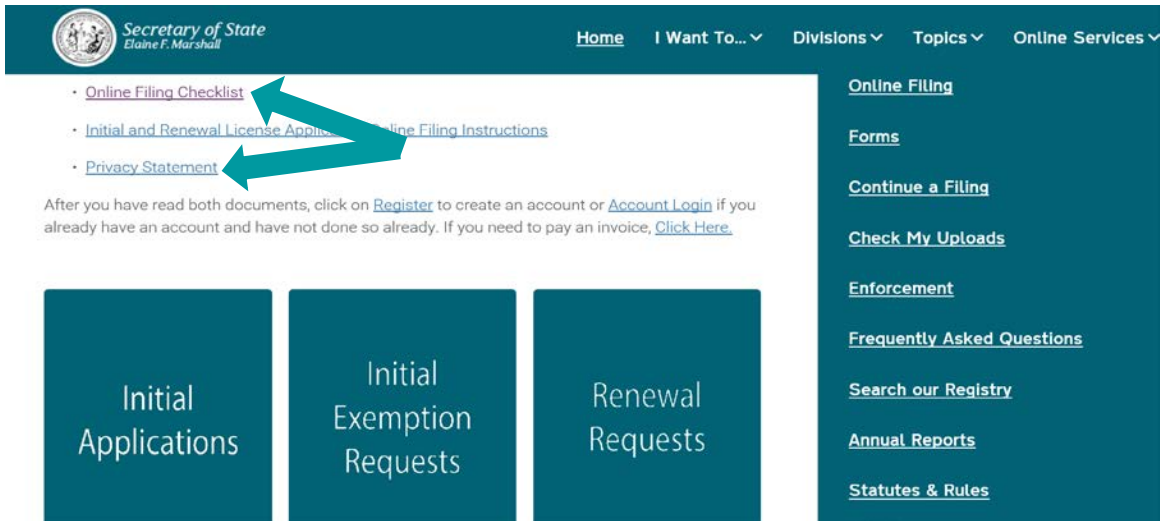
1. To begin, you will need an online account in order to file an application and to submit documents to the Charitable Solicitation Licensing (CSL) Division.
  - a. From the North Carolina Secretary of State's homepage, click "sign in" from the top right hand corner of the screen ;
  - b. Next, select **First Time User**, to create an online account;
  - c. Remember to store your user name and password in a secure location for future access.



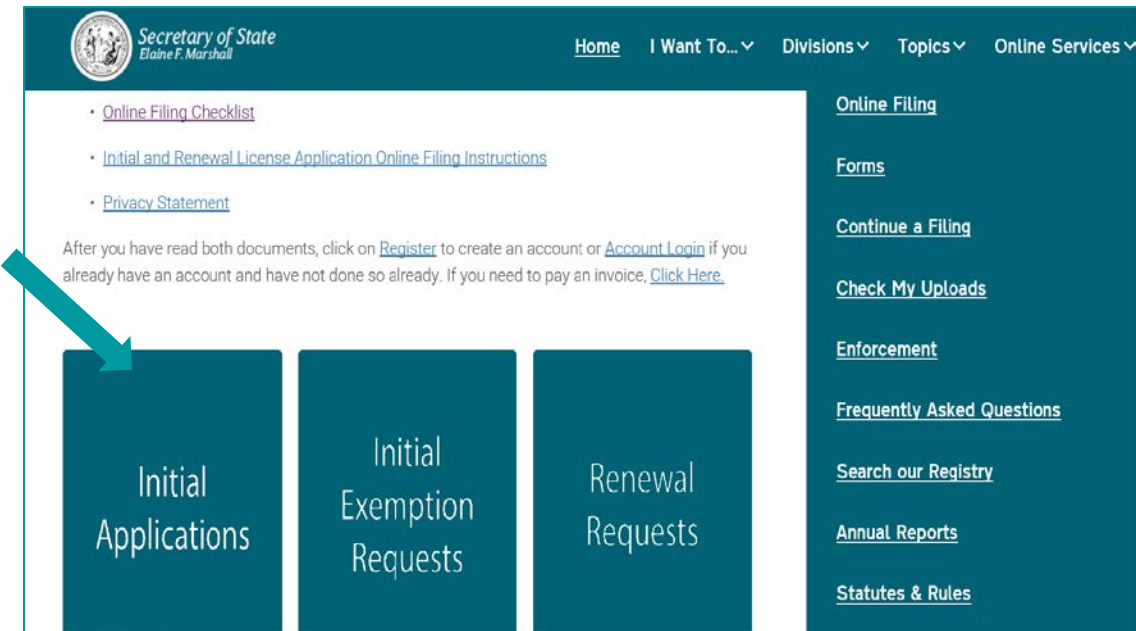
2. Once you have registered an online account, return to the homepage of the North Carolina Secretary of State's website.
  - a. Select the Divisions tab;
  - b. Then under Charities, click "Apply for A License Online."



3. There are 4 important steps that will help you submit a successful application.
  - a. Review the "Online Filing" Checklist document for helpful filing hints;
  - b. Read the Privacy Statement;
  - c. Read the Initial and Renewal License Application Online Filing Instructions; and
  - d. Have your Account Login information available.



4. Select the initial or renewal application button to begin your registration. At any time during the registration process, hover your mouse over the **bubble icon** to see more information related to a specific question.



## Q 1-2

5. If you are a first time filer, the **application type** is pre-set and you will not have a **Charitable Solicitation License Number**.

The screenshot shows the top navigation bar of the Secretary of State website, including the logo and the name Elaine F. Marshall. The main content area contains a form with two fields: '1. Application Type: ⓘ' with a dropdown menu showing 'Initial Charity/Sponsor' and a teal arrow pointing to it, and '2. N.C. Charitable Solicitation License Number: ⓘ' with a text input field containing 'N/A'. A teal sidebar on the right contains links for 'Continue an initial, renewal, or exemption.' and 'Maintain Your Profile'.

### Q 3-5

6. Enter the “**Legal Name**” and street address of your organization. Remember to use your Legal Name and not an assumed name.

### Q 6-9

7. Continue filling in the organizational information: the mailing address if different from the physical address, the organization’s telephone number, email address and website. **Please note that an email address is required for future electronic notifications. Click the Save and Continue button.**

### Q 10

8. Does your organization have more than one North Carolina location?
  - a. If the answer is yes, enter the addresses and contact information for each additional North Carolina location or upload a **pdf document** with list.
  - b. Otherwise, **Answer No**, then
  - c. **Click Previous button or Save and Continue.**

### Q 11-13

9. Describe the organization’s charitable purpose, how contributions will be used and major program activities.
  - a. You are limited to 2 lines of data, so, if needed add an attachment.

- b. **File name cannot contain** \ / < > # \$ \* % ^ !.
- c. **Click Previous button or Save and Continue.**

## Q 14

10. Enter your organization's **Fiscal Year End**. The fiscal year end is important because CSL uses this date to determine when your license will expire.

## Q 15

11. Has your organization received a federal tax exemption determination status from IRS?
- a. If your answer is yes and you have received a letter from IRS stating you are exempt, upload a **pdf copy** of the federal tax exemption letter, then select your IRS tax exemption code.
  - b. If you have a **pending** federal tax exemption **application** with IRS, your answer should be **No** and your IRS tax exemption code should be "**Not Determined.**"
  - c. If your answer is NO and you **do not have**, have **not applied** nor have a pending application for a federal tax exemption status, your IRS tax exemption code should be "**Non Tax Exempt Entity**"

## Q 16

12. **State and Date Established:** Proof of current legal existence is required before your organization is eligible for licensure.
- a. Select the **State** where your organization was established.
  - b. Be sure to review information in the **bubble icon** and enter **date** of establishment.
  - c. **Proof of Legal Existence:**

- i. Proof of legal existence will be verified for all North Carolina organizations. For all States **other than North Carolina**, you will need to upload proof of legal existence.
- ii. However, if your organization **was not incorporated** in North Carolina, then submit a Certificate of Existence or of Good Standing that was created no more than **6 months prior to date the application was signed**.
- iii. Also, effective December 1, 2017, NC entities that are not incorporated are required to submit a stamped copy of an Assumed Business Name Certificate from register of deeds. (Previously the "doing business as" or "assumed name" certificate).
- iv. **Click the Previous button or Save and Continue.**

## Q 17

13. List all **legally registered names** you plan to use in the solicitation of contributions and attach documentation of legal registration from state where registered. This list should include all Assumed Business Name Certificates.
  - a. **File name cannot contain \<>#\$\*%^!.**

## Q 18

14. Enter **None** if you do not solicit for contributions in any other State other than North Carolina. **Do not leave blank.**
  - a. **File name cannot contain \<>#\$\*%^!.**
  - b. **Click the Previous button or Save and Continue.**

## Q 19

15. Enter a list of the **names** and **street addresses** of your organization's board and salaried executive personnel for the **current fiscal year**. **To avoid your application from being delayed and possibly denied; Do not use PO Box addresses.**

- Here is an example of how you can answer question #19. A street address is listed for each board member. You can also use the physical address of the organization for each board member instead of his or her personal address.

<u>BOARD OF DIRECTORS (current FY)</u>	
<b>Christopher Robinson, Chair</b> 621 Camden Street Raleigh, NC 27642	<b>Tony Bird, Vice Chair</b> 102 Pulte Drive Wendell, NC 27601
<b>Sean Penn, Secretary</b> <b>c/o CSL Children Alliance (entity)</b> 2503 Highland Lane Raleigh, NC 27663	<b>Lisa McHenry, Treasurer</b> 421 Sumter Avenue Cary, NC 27622

**NOTE: The charity's street address may be used in lieu of personal addresses.**

## Q 20

16. List all individuals in charge of solicitation activities for the organization. You are limited to 2 lines of data, if needed add an attachment.

## Q 21

17. Enter a list of the **names**, **street addresses**, and **telephone numbers** for those who have custody and/or distribution of the contributions.

- a. You are limited to 2 lines of data.
- b. **File name cannot contain \<>#\$\*%^!.**
- c. **Click the Previous button or Save and Continue.**

## Q 22

18. If your organization has an office in North Carolina, enter NA. (**DO NOT LEAVE BLANK**) If your organization **do not** have an office in North Carolina, enter the **name, street address, and telephone number** for the individual who has custody of financial records. [Click the Previous button or Save and Continue.](#)

## Q 23

19. Provide financial information for the **immediate preceding year**. CSL accepts 3 major forms of financial documents:

- a. IRS 990 with Schedule A, 990PF or 990 EZ, or
- b. Audited Financial Statement, or
- c. North Carolina Annual Financial Report Form

20. **Additional information regarding financial documents:**

- a. The IRS 990 must be submitted with Schedule A. The 990, 990PF & 990 EZ must be **signed by an officer of the organization**.
- b. An **Audited Financial Statement** must be independently compiled and include a statement of revenue and expenses, statement of assets and liabilities, contributions received by applicant and **signed by the CPA**.
- c. The **North Carolina Annual Financial Report Form** is used to report financial information for the immediate preceding year if you do not have a 990 or an Audited Financial Statement available.
- d. For **newly established** applicants with no financial history, submit a **proposed budget** for the current fiscal year including projected revenues and expenses.
- e. Once you have uploaded your document, for example: Form 990, you can view the attachment or choose to remove it.



- f. CSL does NOT accept the 990N e-postcard as a major form of financial document because the e-postcard does not tell CSL if your annual receipts are more or less than \$25,000 or if you offer compensation.

Form **990-N**  
Department of the Treasury  
Internal Revenue Service

**Electronic Notice (e-Postcard)**  
for Tax-Exempt Organizations not Required To File Form 990 or 990-EZ

A For the 2011 calendar year, or tax year beginning 11/2011 and ending 12/31/2011.

B Check if applicable:  
 Terminated, Out of Business  
 Gross receipts are normally \$50,000 or less

C Name of organization (d/b/a):  
5

E Website: \_\_\_\_\_

F Name of Principal Officer: \_\_\_\_\_

Privacy Act and Paperwork Reduction Act Notice. We ask for the information on this form to carry out the Internal Revenue laws of the United States. Your information. We need it to ensure that you are complying with these laws.

The organization is not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid logo or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law governing the confidentiality of the Form 990-N is covered in Code section 6104.

The time needed to complete and file this form and related schedules will vary depending on individual circumstances. The estimated average times is 15 minutes.

**Note:** This image is provided for your records only. Do NOT mail this page to the IRS. The IRS will not accept this filing via file your Form 990-N (e-Postcard) electronically.

**Form 990-N (e-Postcard) is not accepted by CSL**

- g. [Click the Previous button or Save and Continue.](#)

## Q 24

21. Do you intend to or have you entered into a contract with a professional fundraiser?

- a. If you answered yes:
- Upload a **NC Fundraising Disclosure Form** for each contractual agreement;
  - Otherwise, answer No.
- b. **Have you had any solicitation contracts in the last 12 months:**
- If yes, upload a **NC Fundraising Disclosure Form** for each contractual agreement;
  - Otherwise, answer No.
  - [Click the Previous button or Save and Continue.](#)

## Q 25

27. **Parent organizations**, can file a **consolidate application** by including a list of subordinate chapters, branches, members or affiliates that are **located** in **North Carolina** and their corresponding financial information.

- a. Are you a parent organization filing a consolidated application?
- b. If your answer is yes, attach the required information for each subordinate organization.
- c. For additional information, hover your mouse of the **bubble icon**.
- d. **Click the Previous button or Save and Continue.**

## Q 26

30. Are you a Federated Fundraising Organization such as the United Way, United Arts Fund, community chest or similar entity that **solicit** and **distribute contributions** on behalf of a group of independent organizations? These organizations have **voluntarily joined** together in membership, **without giving authority** and **control** of their operations to the federated organization.

- a. If your answer is yes, attach a list of all member agencies with their contact information, whether they are exempted or licensed and the dollar amount allocated to the member agency.
- b. Here is an example of how to answer question #26 regarding Federated Fundraising Organizations.

<b>CSL Federated Children Alliance</b> ( <i>Federated Organization</i> )	
<b>Bluebird Charities</b> ( <i>member</i> )	<b>The Green Center for the Homeless</b> ( <i>member</i> )
Rhonda Howell	Stanley Lucas
621 Camden Street	102 Pulte Drive
Raleigh, NC 27642	Wendell, NC 27601
(P) 202-374-8269	(P) 202-374-8269
(F) 202-374-2122	(F) 202-374-2122
<b>EX000921 (Exempted)</b>	<b>SL000423 (Licensed)</b>
\$167,408	\$305,864

- c. **Click the Previous button or Save and Continue.**

## Q 27

31. If you offer compensation to any officer, trustee, organization, incorporator, fundraiser, or solicitor (*including executive director*), you **do not qualify** for an exemption based upon annual revenue of less than \$25,000 and a license is required.

According to IRS Instructions for Form 990 Return of Organization Exempt From Income Tax, (Washington, DC: 2019), page 27, at <https://www.irs.gov/pub/irs-pdf/i990.pdf>.

- *Executive Directors who has the ultimate responsibility for implementing the decisions of the governing body or for supervising the management, administration, or operation of the organization is considered an Officer; including an Executive Director.*

## Q 28

32. Attach a **written explanation** for each disciplinary action since your last application filing; if any officers, directors, trustees, or salaried executive personnel have been prohibited from soliciting for contributions.

## Q 29

33. Attach a **written explanation** if any officers, directors, trustees, or salaried executive personnel have been found to have engaged in unlawful solicitation activities within the last 5 years.

## Q 30

34. Attach a **written explanation** if you have had your authority denied, suspended, or revoked within the last 5 years.

- a. **Click the Previous button or Save and Continue.**

## Q 31

35. Attach a **written explanation** if you have been subject to a disciplinary action and entered into a voluntary promise of compliance or agreement within the last 5 years.

- a. In certain instances, “disciplinary” actions may prevent you from being licensed to solicit for charitable contributions in North Carolina.
- b. **Click the Save and Continue or Previous button.**

## Q 32

36. Enter the contribution amount for the preceding year and your licensing fee, if any, will be calculated plus a \$3.00 transaction fee. Use only numbers when entering contributions received to avoid getting an error message.

- a. **DO NOT** enter any dollar signs, decimals or commas.
- b. **NOTE:** To avoid getting an error message, **use only numbers** for the contribution amount. (i.e. 82000 for \$82,000)

37. If you are completing an online application, the licensing fee will be automatically be calculated based upon the dollar amount of the contributions you entered on line #32.

If you are submitting a paper application use the dollar amount of contributions entered for question #32, and choose one of the options below to calculate your required license fee.

### CHECK FEE THAT APPLY AND ENTER THE CALCULATED AMOUNT BELOW

- If applicant received less than \$25,000 and DID NOT** compensate (in any capacity) any officer, trustee, organizer, incorporator, fundraiser or solicitor in the immediate preceding fiscal year: **Applicant is EXEMPT, and there is no fee.**
- If applicant received less than \$5,000 and DID** compensate (in any capacity) any officer, trustee, organizer, or incorporator, fundraiser or solicitor in the immediate preceding fiscal year: **A License is required, but no there is no fee.**
- If applicant received \$5,000 but less than \$25,000 and DID** compensate(in any capacity) any officer, trustee, organizer, incorporator fundraiser or solicitor, in the immediate preceding fiscal year: **A License is required, \$50.00**
- If applicant received \$25,000 but less than \$100,000 in the immediate preceding fiscal year: \$50.00**
- If applicant received \$100,000, but less than \$200,000 in the immediate preceding fiscal year: \$100.00**
- If applicant received \$200,000 or more in the immediate preceding fiscal year: \$200.00**

Calculated license fee amount: ⓘ

Calculation of Late Fee: \$25.00 per month following expiration of last 60 or 90 day extension calculated on the fifteenth day of each month past the extension date.: ⓘ

Electronic transaction fee.: ⓘ

Total fee amount for this application: ⓘ

38. If this is your first time filing an application, you will not pay a late fee. Otherwise, if you are submitting your application late you must add your late here. Late fees accrue monthly on the 16<sup>th</sup> day each month you are late pass any extension of time to renew your application.

- a. For example, if your application renewal date is May 15<sup>th</sup>, with an extension date of July 15<sup>th</sup>, and you renew your application on September 16<sup>th</sup>, you will incur a late fee of \$75.00. [July 16<sup>th</sup>, August 16<sup>th</sup>, and September 16<sup>th</sup>.]

Calculated license fee amount: ⓘ

Calculation of Late Fee: \$25.00 per month following expiration of last 60 or 90 day extension calculated on the fifteenth day of each month past the extension date.: ⓘ

Electronic transaction fee.: ⓘ

Total fee amount for this application: ⓘ

- b. [Click the Previous button or Save and Continue.](#)

### Q 33

39. Occasionally, CSL may need to ask more questions arise regarding your application. Enter the contact information for an organizational member who can verify information if needed.

40. A completed and signed Notary Page must be submitted with your online application.

- If you did not complete a Notary Page before starting the renewal application, you can retrieve the form using this link:

A copy of the Notary Signature Form can be [found here](#).-->

- NOTE the following:
  - The completed Notary Signature Form must be uploaded as a PDF.
  - Submission of a blank notary page will result in automatic rejection of the application.
  - The Notary Seal must be legible on the uploaded form, otherwise your application will be rejected.
- You must also acknowledge several responsibilities associated with the submission of your application for licensure and agree to maintain a copy of the signed **Notary Page** in your records for 3 years.
- **Click the Previous button or Save and Continue.**

## Q 34

41. If applicable, enter the third party filer information.

The screenshot shows a web form titled "Enter Third Party Filer Information (If applicable)". The form is labeled "34. Filer Contact Information (optional)". It contains several input fields: "Name:" (text box), "Street Address: Address:" (text box), "City:" (text box), "State:" (dropdown menu with "North Carolina" selected), "Zip Code:" (text box), "Country:" (dropdown menu with "United States" selected), "Telephone number:" (text box), and "Filer's Email address:" (text box).

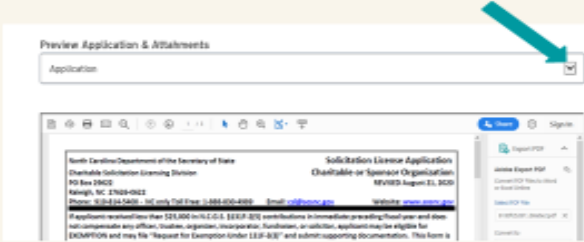
- a. **Click the Previous button or Save and Continue.**

43. At this stage, you can preview documents that you have uploaded. Under the Preview Applications and Attachments box, you can click the drop down menu to:

- b. Review your application before submission;
- c. Review the documents that you have uploaded with your application; next

### Document and Application Review

Here you can review your application before submission. Also, you can select the drop down menu to see other documents submitted.



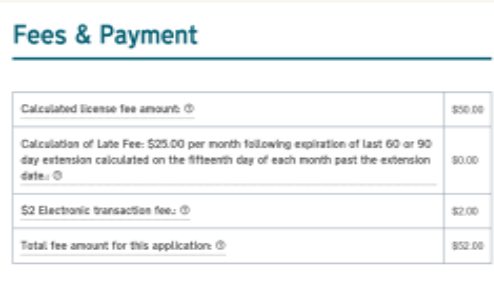
44. Once you have reviewed your application for licensure and the attachments, you have two options. You can:

- a. Select the **PREVIOUS button** if you want to make changes to the application or to an uploaded document.
- b. Select **CHECKOUT** if you are ready to submit your application and pay any required fees.

45. **Fees and Payments.** For online applications, the system will calculate the total fees due before a payment is required.

### Fees & Payment

The system will show you all the required payment for all fees before a payment is required.



Fees & Payment	
Calculated license fee amount: ⓘ	\$50.00
Calculation of Late Fee: \$25.00 per month following expiration of last 60 or 90 day extension calculated on the fifteenth day of each month past the extension date.: ⓘ	\$0.00
\$2 Electronic transaction fee: ⓘ	\$2.00
<b>Total fee amount for this application: ⓘ</b>	<b>\$52.00</b>

- a. For payment of required fees due, decide on your method of payment: ACH debit or Credit Card.
- b. For Checking Account (ACH), enter the routing and account numbers. Re-enter the account number for verification that the information was entered correctly.

## If Paying by ACH Debit

Enter :

- Bank Account Routing Number
- Bank Account Number
- Verify Bank information

**Then Click Pay & Submit**

Payment Type:

Routing Number:

Account Number:

Verify Account # (Hit Tab after verifying account to enable the submit button):

- c. For credit card payment, enter card number, expiration date, and CCV code.



## If Paying by Credit Card

Enter :

- Name & Address
- Card Number
- Expiration Month
- Expiration Year
- CCV 3-digit Security Code

Then Click **Submit**

Payment Type:

Name & Address (on card/optional):

Card Number:

Expiration Month:

Expiration Year:

CCV (Security) Number:

46. With this submission, you have completed the charitable application licensure process. Print a copy of the invoice for your records.

## Receipt

Be sure to print out a copy of your receipt.

Total fee amount for this application:  
\$52.00

1. This license application is incomplete until the fully completed, notarized signature page is received by CSL no later than 2/15/2018.
2. The ten (10) day review period for CSL to approve or deny this license application per N.C.G.S. §131F SHALL NOT BEGIN until the date on which CSL receives the fully completed, notarized signature page.
3. Applicable late fees are assessed based on the date this completed notarized document is received by CSL.

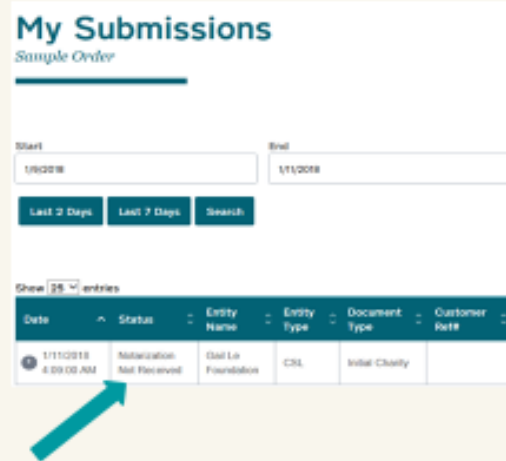
The notarized signature page may be reprinted from the "Check My Submissions" page  
[Print a receipt for your records - 14155009](#)

**Receipt**

47. You completed the application process.

# Check Your Submissions

Once you have completed the application process, click on the “+” to verify documents uploaded to your profile.



- a. The “**Status**” should change from “**Notarization Not Received**” to “**Scanned and Uncommitted**” as proof that the Notary Page was uploaded.
48. If you have additional questions, please contact the Charitable Solicitation Licensing Division at:

**csi@sosnc.gov | 919-814-5280 | 888-830-4989 (NC Residents)**