State of Rhode Island and Providence Plantations

DEPARTMENT OF ATTORNEY GENERAL
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Patrick C. Lynch, Attorney General

TELEPHONE SOLICITATION REGISTRATION FORM

1. Name (s) and address (es) of the seller:

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2. Business name and address (if different from above):

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3. Name (s) and address (es) of any parent or affiliated organization (1) that will engage in business transactions with purchasers relating to sales solicited by the seller or (2) that accepts responsibility for statements made by or acts of the seller relating to sales solicited by the seller:

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4. Please attach to this form the seller's business form and place of organization and, if the seller is a corporation, a copy of its articles of incorporation and bylaws and amendments thereto, or, if a partnership, a copy of the partnership agreement or if operating under a fictitious business name, the location where the fictitious name has been registered. All the same information shall be included for any parent or affiliated organization disclosed pursuant to questions 1, 2, and 3 above.

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5. List the complete street address or addresses of all locations, designating the principal location from which the telephonic seller will be conducting business. If the principal business location of the seller is not in this state, then the seller shall also designate which of its locations within the state is its main location in the state.

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6. List all telephone number to be used by the seller and the address where each telephone using each of these telephone numbers is located:

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7. List the name of, and the office held by, the seller's officers, directors, trustees, general and limited partners, sole proprietor, and owners, as the case may be, and the names of those persons who have management responsibilities in connection with the seller's business activities:

Name:	Office Held:
_____	_____
_____	_____
_____	_____
_____	_____

8. List the complete address of the principal residence, the date and place of birth and the driver's license number and state of issuance of each of the persons whose names are disclosed pursuant to question 7:

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9. List the name and principal residence address of each person the telephonic seller leaves in charge at each location from which the seller does business in this state, as defined in questions 1, 2, and 3, and the business location at which each of these persons is or will be in charge:

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10. Include a statement as to any person identified pursuant to questions 7 or 9 who: (1) has been convicted of a felony or misdemeanor involving an alleged violation of this section, or fraud, theft, embezzlement, fraudulent conversion or misappropriation of property. For purposes of this paragraph, a plea of nolo contendere is a conviction; (2) has had entered against him or her a final judgment or order in a civil or administrative action, including a stipulated judgment or order, if the complaint or petition in the civil or administrative action alleged acts constituting a violation of this section, fraud, theft, embezzlement, fraudulent conversion or misappropriation of property, the use of untrue or misleading representations in a attempt to sell or dispose of real or personal property, or the use of unfair, unlawful or deceptive business practices; (3) is subject to any currently effective injunction or restrictive court order relating to business activity as the result of an action brought by a federal, state, or local public agency or unit thereof including, but not limited to, an action affecting any vocational license; (4) has at any time during the previous seven (7) tax years filed in bankruptcy, been adjudged a bankrupt, been reorganized due to insolvency, or been a principal director, trustee, general or limited partner or had management responsibilities of any other venture or business entity, corporation, partnership, joint that has so filed or was so adjudicated or reorganized during or within one (1) year after the period that the person held that position.

For the purposes of paragraphs (1), (2), and (3), the statement required by this subdivision shall identify the person, the court or administrative agency rendering the conviction, judgment or order, the docket number of the matter, the date of the conviction, judgment or order, and the name of the governmental agency, if any, that brought the action resulting in the conviction, judgment or order. For the purposes of paragraph (4), the statement required by this subdivision shall include the name and location of the person filing in bankruptcy, adjudged a bankrupt or reorganized due to insolvency, and shall include the date thereof, the court which exercised jurisdiction and the docket number of the matter. Note N/A if not applicable. _____

11. List the names including date of birth and place of birth and principal residence addresses of sales persons who solicit on behalf of the telephonic seller and the names the salespersons use while so soliciting:

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12. Please attach a copy of all sales scripts the telephonic seller requires salespersons to use when soliciting prospective purchases, or if no sales script is required to be used, write a statement to that effect.

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13. Please attach a copy of all sales information and literature (including, but not limited to, scripts, outlines, instructions and information regarding how to conduct telephonic sales, sample introductions, sample closings, product information and contest or premium-award information) provided by the telephone seller to salespersons or of which the seller informs the salespersons, and a copy of all written materials the seller sends to any prospective or actual purchaser.

14. If the telephonic seller represents or implies or directs salespersons to represent or imply, to purchasers that the purchaser will receive certain specific items or one or more items from among bonuses, prizes, or otherwise, the filing shall include the following: (1) a list of the items offered; (2) the value or worth of each item described to prospective purchasers and the basis for the valuation; (3) the price paid by the telephonic seller to its supplier for each of these items and the name, address, and telephone number of each item's supplier.

15. If the purchaser is to receive fewer than all of the items described by the seller, the filing shall include the following: (1) the manner to which the telephonic seller decides which item or items a particular prospective purchaser is to receive; (2) the odds a single prospective purchaser has of receiving each described item; (3) the name and address of each recipient who has, during the preceding 12 months (or if the seller has not been in business that long, during the period the telephonic seller has been in business) received the item having the greatest value and the item with the smallest odds of being received.

16. Please attach the surety bond pursuant to the provisions of RIGL §5-61-3.1. The surety bond must be filed with the Consumer Protection Unit of the Department of Attorney General before confirmation of registration or renewal of a registration. The amount of the bond must be a minimum of thirty thousand dollars ($30,000).

17. All rules, regulations, terms and conditions a prospective purchaser must meet in order to receive the item must be filed.

18. If the telephonic seller is offering to sell any metal, stone or mineral, the filing shall include the following: (1) the name, address and telephone number of each of the seller's suppliers and a description of each metal, stone or mineral provided by the supplier; (2) if possession of any metal, stone or mineral is to be retained by the seller or will not be transferred to the purchases until the purchaser has paid in full, the filing shall include: (a) the address of each location where the metal, stone or mineral will be kept; (b) if not kept on premises owned by the seller or at an address or address set forth in compliance with this subdivision (c), the name of the owner of the business at which the metal, stone or mineral will be kept; (d) a copy of any contract or other document which evidences the seller's right to store the metal, stone or mineral at the address or addresses designated pursuant to subdivision (a).

19. If the seller is not selling the metal, stone or mineral from its own inventory, but instead purchases the metal, stone or mineral to fill orders taken from purchases, the filing shall include copies of all contracts or other documents evidencing the seller's ability to call upon suppliers to fill the seller's orders. Note N/A if not applicable.

20. If the seller makes any representation as to the earning or profit potential of purchases of any metal, stone or mineral, the filing shall include data to substantiate the claims made. If the representation relates to previous sales made by the seller or a related entity, substantiating data shall be based on the experiences of at least 50 percent of the persons who have purchased the particular metal, stone or mineral from the seller or related entity during the preceding six months (or if the seller or related entity has not been in business that long, during the period the seller or related entity has been in business) and shall include the raw data upon which the representation is based, including, but not limited to, all of the following: (1) the length of time the seller or related entity has been selling the particular metal, stone or mineral being offered; (2) the number of purchasers thereof from the seller or related entity known to the seller or related entity to have made at least the same earnings or profit as those represented; (3) the percentage that the number disclosed pursuant to subparagraph (2) represents of the total number of purchasers from the seller or related entity of the particular metal, stone or mineral.

21. If the telephonic seller is offering to sell an interest in oil, gas, or mineral fields, wells or exploration sites, the filing shall include disclosure of the following: (1) the seller's ownership interest, if any, in each field, well or site being offered for sale; (2) the total number of interests to be sold in each field, well or site being offered for sale; (3) if, in selling an interest in any particular field, well or site reference is made to an investigation of these fields, wells or sites by the seller or anyone else, the filing shall include the following: (a) the name, business address, telephone number and professional credentials of the person or persons who made the investigation; (b) a copy of the report and other documents relating to the investigation prepared by the person or persons.

22. If the seller makes any representation as to the earning or profit potential of purchases of any interest in these fields, wells or sites, the filing shall include data to substantiate the claims made. If the representation relates to previous sales made by the seller or related entity, then substantiating data shall be based on the experiences of a least 50 percent of the purchasers of the particular interests from the seller or the related entity during the preceding six months (or if the seller has not been in business that long, during the period the seller or related entity has been in business) and shall include the raw data upon which the representation is based, including but not limited to all of the following: (1) the length of time the seller or related entity has been selling the particular interests in the fields, wells or sites being offered; (2) the number of purchasers of the particular interests from the seller or related entity known to the seller to have made, at least the same earnings as those represented; (3) the percentage the number disclosed pursuant to subparagraph (2) represents of the total number of purchasers of the particular interests from the seller or related entity.

Any person, including but not limited to, the seller, a salesperson agent or representative of the seller or an independent contractor, who willfully violates any provision of this section or who directly or indirectly employs any device, scheme or artifice to deceive in connection with the offer or sale by any telephonic seller, or who willfully, directly or indirectly, engages in any act, practice or course of business which operates or would operate as a fraud or deceit upon any person in connection with a sale by any telephonic seller shall, upon conviction, be punished as follows:

(A) by a fine not exceeding ten thousand ($10,000) dollars for each unlawful transaction:

(B) by imprisonment in the state prison for not more than (1) year;

(C) by both fine and imprisonment specified in subdivisions (A) and (B).

_____	_____
Name	Date
_____	_____
Signature	City, State

Under Rhode Island General Laws §5-61-3(a), each principal of the telephone sales solicitation operation identified in Question 1 verifies the information contained herein by signing this Registration form under the penalty of perjury.