



# APPLICATION FOR COMMERCIAL TELEPHONE SALES LICENSE CONSUMER PROTECTION

501 Washington Avenue  
Post Office Box 300152  
Montgomery, Alabama 36130-0152

Telephone: (334) 242-7335  
Fax: (334) 242-2433  
www.ago.alabama.gov

1. Specify the name, including each name under which he or she intends to do business, the date of birth, driver license number, Social Security number, and home address of the person chiefly responsible for the management of the business.

Name: \_\_\_\_\_ Business Name: \_\_\_\_\_  
Social Security Number: \_\_\_\_\_ Date of Birth: \_\_\_\_\_  
Driver License & Issuing State: \_\_\_\_\_  
Home Address: \_\_\_\_\_

2. Specify each business or occupation engaged in by the applicant, the person identified in question 1, during the three years immediately preceding the date of the application, and the location thereof.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Describe any previous experience of the applicant as a commercial telephone seller or salesperson.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*In responding to questions 4 through 9, where applicable, identify the court or administrative agency rendering the conviction, judgment, or order against the person. Provide 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. Include all pending civil or criminal litigation.*

4. Indicate whether the applicant has previously been arrested for, convicted of, or is under indictment or information for a felony.

Yes       No

If so, state the nature of the felony. Conviction includes a finding of guilt where adjudication has been withheld.

\_\_\_\_\_  
\_\_\_\_\_

5. Indicate whether the applicant has previously been convicted of, or is under indictment or information for, racketeering or any offense involving fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property.

Yes       No

If so, provide appropriate information. Conviction includes a finding of guilt where adjudication has been withheld.

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6. Indicate whether there has ever been a judicial or administrative finding that the applicant has previously been convicted of acting as a salesperson without a license, or whether a license has previously been refused, revoked, or suspended in any jurisdiction.

Yes       No

If so, provide appropriate information.

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7. Indicate whether the applicant has worked for, or been affiliated with, a company that has had entered against it an injunction, a temporary restraining order, or a final judgment or order, including a stipulated judgment or order, an assurance of voluntary compliance, or any similar document, in any civil or administrative action involving racketeering, fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property or the use of any untrue, deceptive, or misleading representation or the use of any unfair, unlawful, or deceptive trade practice.

Yes       No

If so, provide appropriate information.

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8. Indicate whether the applicant has had entered against him or her an injunction, a temporary restraining order, or a final judgment or order, including a stipulated judgment or order, an assurance of voluntary compliance, or any similar document, in any civil or administrative action involving racketeering, fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property or the use of any untrue, deceptive, or misleading representation or the use of any unfair, unlawful, or deceptive trade practice; and whether or not there is any litigation pending against the applicant.

Yes       No

If so, provide appropriate information.

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9. Indicate whether the applicant has at any time during the previous seven years filed for bankruptcy, been adjudged bankrupt, or been reorganized because of insolvency.

Yes       No

If so, provide appropriate information.

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10. List the name of any parent or affiliated entity that:

- a. Will engage in a business transaction with the purchaser relating to any sale solicited by the applicant.

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- b. Accepts responsibility or is otherwise held out by the applicant as being responsible for any statement or act of the applicant relating to any sale solicited by the applicant.

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11. Give the complete street address of each location, designating the principal location, from which the applicant will be doing business. Disclose whether any location is a mail drop.

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12. List all telephone number(s) currently used or to be used by the applicant, with the address where each telephone having these numbers will be located.

Telephone Number	Address

13. Specify the name, current home address, date of birth, Social Security number, and all other names by which each person below is now known or was previously known:

- a. Principal officer, director, trustee, shareholder, owner, or partner of the applicant, and every other person responsible for the management of the business of the applicant.

Name	Address	DOB	SSN

- b. Office manager or other person principally responsible for a location from which the applicant will do business.

Name	Address	DOB	SSN

- c. Salesperson(s) or other person(s) to be employed by the applicant.

Name	Address	DOB	SSN

*Question 14 relates only to any salespersons employed by the applicant. Where applicable, identify the court or administrative agency rendering the conviction, judgment or order against the person. Include all pending civil or criminal litigation. Provide 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.*

14. Identity of any salesperson who:

- a. Has been convicted of, or is under indictment or information for, racketeering or any offense involving fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property. Conviction includes a finding of guilt where adjudication has been withheld.

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- b. Is involved in pending litigation or has had entered against him or her an injunction, a temporary restraining order, or final judgment or order, including a stipulated judgment or order, an assurance of voluntary compliance, or any similar document, in any civil or administrative action involving racketeering, fraud, theft, embezzlement, fraudulent conversion, or misappropriation of property or the use of any untrue, deceptive, or misleading representation or the use of any unfair, unlawful, or deceptive trade practice.

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c. Is, or ever has been, subject to any litigation, injunction, temporary restraining order, or final judgment or order, including a stipulated judgment or order, an assurance of voluntary compliance, or any similar document or any restrictive court order relating to a business activity as the result of any action brought by a governmental agency, including any action affecting any license to do business or practice an occupation or trade.

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d. Has at any time during the previous seven years filed for bankruptcy, been adjudged bankrupt, or been reorganized because of insolvency.

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e. Has been a principal, director, officer, or trustee of, or a general or limited partner in, or had responsibilities as a manager in, any corporation, partnership, joint venture, or other entity that filed for bankruptcy, was adjudged bankrupt, or was reorganized because of insolvency within one year after the person held that position. Provide the name and address of the person filing for bankruptcy, adjudged bankrupt, or reorganized because of insolvency, the date of the action, the court which exercised jurisdiction, and the docket number of the matter.

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15. Disclose the name, address, and account number of each institution where banking or similar monetary transactions are done by the applicant.

Institution	Address	Account No.

16. Attach a copy of any script, outline, or presentation the applicant will require or suggest a salesperson to use when soliciting, or, if no document is used, a statement to that effect. Also attach a copy of any sales information or literature to be provided by the applicant to a purchaser in connection with any solicitation.

17. If the applicant is other than a natural person, or if any parent or affiliated entity is identified in question 10(b), the applicant must, for itself and any entity, identify its place or organization and:

- a. In the case of a partnership, provide a copy of any written partnership agreement.
- b. In the case of a corporation, provide a copy of its articles of incorporation and bylaws.

**CERTIFICATION**

I, \_\_\_\_\_,  
certify that the information on this document and in any attachments is true and correct. I further certify  
that I am authorized to submit this form on behalf of

\_\_\_\_\_.

I also understand that I am under a continuing obligation to notify the Office of the Attorney  
General of any change in the information provided.

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
PHONE

*This Application must be accompanied by: 1) a bond of fifty thousand (\$50,000.00) or more, letter of credit, or  
certificate of deposit as required by the Alabama Telemarketing Act; 2) an annual license fee in the amount  
of five hundred dollars (\$500). Make check or money order made payable to the Alabama Attorney General's  
Office.*

\_\_\_\_\_  
STATE OF \_\_\_\_\_ )  
\_\_\_\_\_ COUNTY )

Before me, the undersigned authority, a Notary Public, in and for said State and County,  
personally appeared \_\_\_\_\_, who, after being first duly sworn before  
me, deposes on oath and says that he/she has read this instrument, has been advised of and understands  
its nature and effect, and that the facts contained therein are true and correct to the best of his/her  
knowledge and belief.

Sworn to and subscribed before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

[Notary Seal]

NOTARY PUBLIC \_\_\_\_\_

My Commission Expires: \_\_\_\_\_