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9 FAM 40.41 NOTES

(CT:VISA-1317; 09-24-2009)
(Office of Origin: CA/VO/L/R)

9 FAM 40.41 N1 BACKGROUND

(CT:VISA-1317; 09-24-2009)

Several pieces of legislation changed the "public charge" provisions of the law:

- (1) The Welfare Reform Act (officially The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA), Public Law 104-193 of August 22, 1996) added a new section, INA 213A, to the Immigration and Nationality Act (INA), which provides for legally binding affidavits of support (AOS) for the purpose of meeting the public charge requirements of INA 212(a)(4);
- (2) The Illegal Immigration and Reform and Immigrant Responsibility Act of 1996 (IIRIRA), Public Law 104-208 of September 24, 1996 amended INA 212(a)(4) to require that an INA 213A-compliant AOS be submitted for all family-based immigrant visa applications (other than self-petitions) and for certain employment-based immigrant visa applicants; and
- (3) Subsequent amendments to the Welfare Reform Act Public Law 105-33, *which* restricted the public benefits previously available to most aliens in the United States, thus affecting the scope of public charge.

9 FAM 40.41 N2 DEFINITION OF "PUBLIC CHARGE"

(CT:VISA-1317; 09-24-2009)

- a. For the purpose of determining inadmissibility under INA 212(a)(4) (8 U.S.C. 1182(a)(4)), the term "public charge" means that an alien, after admission into the United States, is likely to become primarily dependent on the U.S. Government for subsistence. This means either:
 - (1) The receipt of public cash assistance for income maintenance (see 9 FAM 40.41 N2.1 below); or

- (2) Institutionalization for long-term care at U.S. Government expense (see 9 FAM 40.41 N2.3.) Confinement in a medical institution for rehabilitation does not constitute primary dependence *on the U.S. Government for subsistence*.
- b. When considering the likelihood of an applicant becoming such a "public charge," you must take into account, at a minimum, the factors specified in INA 212(a)(4)(B) (see 9 FAM 40.41 N4) (in addition to any required Form I-134, Affidavit of Support), in order to base the determination on the totality of the alien's circumstances at the time of visa application.

9 FAM 40.41 N2.1 Defining "Public Cash Assistance"

(TL:VISA-230; 01-19-2001)

In the "public charge" context, "public cash assistance" for income maintenance includes:

- (1) Supplemental security income (SSI);
- (2) Cash temporary assistance for needy families (TANF), but not including supplemental cash benefits or any non-cash benefits provided under TANF; and
- (3) State and local cash assistance programs that provide for income maintenance (often called state general assistance).

9 FAM 40.41 N2.2 Benefits Not Considered "Public Cash Assistance for Income Maintenance"

(CT:VISA-1317; 09-24-2009)

- a. There are many forms of U.S. Government assistance that an alien may have accepted in the past, or that you may reasonably believe an alien might receive after admission to the United States, that are of a non-cash and/or supplemental nature *and would not create an inadmissibility under INA 212(a)(4)*. Certain programs are funded with public funds for the general good, such as public education and child vaccination programs, etc., and are not considered to be benefits for the purposes of INA 212(a)(4) (8 U.S.C. 1182(a)(4)). Although the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 *prohibit* aliens from receiving many kinds of public benefits, it specifically exempts *from this prohibition* several *of the public benefits* indicated below. Neither the past nor possible future receipt of such non-cash or supplemental assistance may be considered in determining whether an alien is likely to become a public charge. *As discussed at INA 213A, Note 1*, these *benefits that are not to be considered as public cash assistance or income*

include, but not limited to:

- (1) The Food Stamp Program;
 - (2) The Medicaid Program (other than payments under Medicaid for long-term institutional care);
 - (3) The Child Health Insurance Program (CHIP);
 - (4) Emergency medical services;
 - (5) The Women, Infants and Children (WIC) Program;
 - (6) Other nutrition and food assistance programs;
 - (7) Other health and medical benefits;
 - (8) Child-care benefits;
 - (9) Foster care;
 - (10) Transportation vouchers;
 - (11) Job training programs;
 - (12) Energy assistance, such as the low-income home energy assistance program (LIHEAP);
 - (13) Educational assistance, such as Head Start or aid for elementary, secondary, or higher education;
 - (14) Job training;
 - (15) In-kind emergency community services, such as soup kitchens and crisis counseling;
 - (16) State and local programs that serve the same purposes as the Federal in-kind programs listed above; and
 - (17) Any other Federal, State, or local program in which benefits are paid in-kind, by voucher or by any means other than payment of cash benefits to the eligible person for income maintenance.
- b. In all cases, the underlying nature of the program reveals whether it is considered a "public charge" (i.e., is the program intended to be a primary source of cash for income maintenance?). Some programs which provide cash benefits for special purposes are supplemental and not for income maintenance. They include such help as transportation or child care benefits paid in cash, or one-time emergency payments made under TANF to avoid the need for on-going cash assistance.
- c. Cash benefits that have been earned (e.g., social security payments, old age survivors disability insurance (OASDI), U.S. Government pension benefits, and veterans benefits) are *not considered public cash assistance for the purposes of* a public charge determination *under INA 212(a)(4)*.

9 FAM 40.41 N2.3 "Institutionalization for Long Term Care"

(TL:VISA-230; 01-19-2001)

For INA 212(a)(4) purposes, "institutionalization for long-term care" refers to care for an indefinite period of time for mental or other health reasons, rather than temporary rehabilitative or recuperative care even if such rehabilitation or recuperation may last weeks or months.

9 FAM 40.41 N3 APPLYING INA 212(A)(4) TO IMMIGRANTS

9 FAM 40.41 N3.1 Determining Likelihood of Inadmissibility

(CT:VISA-1126; 12-03-2008)

- a. INA 212(a)(4) (8 U.S.C. 1182(a)(4)) applies to all aliens seeking entry into the United States. With respect to immigrant visa applicants, the amount and type of evidence generally required is much greater than that required in a nonimmigrant case. In all cases, however, you must base their determination of the likelihood that the applicant will become a public charge on a reasonable future projection of the alien's present circumstances. You may not refuse a visa on the basis of "what if" type considerations (e.g., "what if the applicant loses the job before reaching the intended destination," or "what if the applicant is faced with a medical emergency."). Instead, you must assess only the "totality of the circumstances" existing at the time of visa application. (See 9 FAM 40.41 N4 below.) In short, you must be able to point to circumstances which make it not merely possible, but likely, that the applicant will become a public charge, as defined in 9 FAM 40.41 N2, above.
- b. It is possible, however, for an applicant to show he or she is not likely to become a public charge and yet be found inadmissible under INA 212(a)(4) because of the 1996 amendment to that provision. Specifically, an applicant subject to the requirement for a specific type of affidavit of support (AOS) must have such an AOS, regardless of any or all other circumstances. Therefore, if the relative petitioner of such an applicant does not, or cannot, properly execute a Form I-864, Affidavit of Support under Section 213A of the Act, that applicant must be considered ineligible for a visa as likely to become public charge.

9 FAM 40.41 N3.2 Applicants Required to Submit

Form I-864, Affidavit of Support Under Section 213A of the Act

(CT:VISA-1317; 09-24-2009)

a. Applicants in any of the following immigrant categories must present Form I-864, Affidavit of Support Under Section 213A of the Act, to you, properly executed in compliance with INA 213A, in order to establish their eligibility under INA 212(a)(4)(C):

- (1) Immediate relatives, including:
 - (a) Spouse of a U.S. citizen;
 - (b) Parent of a U.S. citizen;
 - (c) Child of a U.S. citizen (including adopted orphans unless the orphan would become a citizen upon lawful admission as an immigrant pursuant to section 320 of the Act); (See 9 FAM 40.41 N3.4-1); and
 - (d) K nonimmigrants adjusting to lawful permanent resident (LPR) status

NOTE: Certain children classified Immediate Relative (IR-2 or IR-3) do not need Form I-864 (*see 9 FAM 40.41 N3.4-1*).

- (2) Family-based preference applicants, including:
 - (a) Unmarried sons and daughters of U.S. citizens (F1);
 - (b) Spouses, children, and unmarried sons and daughters of permanent resident aliens (F2A/F2B);
 - (c) Married sons and daughters of U.S. citizens (F3); and
 - (d) Brothers and sisters of U.S. citizens (F4).
- (3) Certain employment-based preference applicants including:
 - (a) Beneficiary of a petition filed by a U.S. citizen or LPR alien relative who is the sole proprietor of the business filing the petition;
 - (b) Beneficiary of a petition filed by an entity in which a U.S. citizen or LPR relative of the alien has a 5 percent or greater ownership interest. (Note that in such cases, the petitioning entity cannot file Form I-134, Affidavit of Support, but must show intent to honor the employment offer.) The citizen or LPR relative of the applicant to be employed by the petitioning entity must file Form I-864 on behalf of the applicant;
 - (c) An accompanying or following-to-join family member of such

- immigrants, even if the principal applicant, at the time of his or her entry, was not required to submit Form I-864; and
- (d) Applicants not subject to the requirements of Form I-864 must still meet the requirements of INA 212(a)(4) in light of the totality of their circumstances.

9 FAM 40.41 N3.3 Effect of Form I-864, Affidavit of Support Under Section 213A of the Act, on Public Charge Determinations

(CT:VISA-1317; 09-24-2009)

A properly filed, non-fraudulent Form I-864, Affidavit of Support Under Section 213A of the Act, should normally be considered sufficient to overcome the INA 212(a)(4) requirements. In determining whether the INA 213A requirements creating a legally binding affidavit have been met, the credibility of an offer of support from a person who meets the definition of a sponsor and who has verifiable resources is not a factor - the affidavit is enforceable regardless of the sponsor's actual intent and should not be considered by you, unless there are significant public charge concerns relating to the specific case, such as if the applicant is of advanced age or has a serious medical condition. *If you have concerns about whether a particular Form I-864 may be "fraudulent", you should contact CA/FPP and your CA/VO/L/A desk officer for guidance.*

9 FAM 40.41 N3.4 Certain Applicants Do Not Require Form I-864, Affidavit of Support Under Section 213A of the Act

9 FAM 40.41 N3.4-1 Effect of Child Citizenship Act on Certain IR-2 and IR-3 Applicants

(CT:VISA-1317; 09-24-2009)

- a. Public Law 106-395 (The Child Citizenship Act of 2000) went into effect on February 27, 2001. The Act amended INA 320 (8 U.S.C. 1431) to confer automatic citizenship upon certain categories of children born abroad upon their admission to the United States as lawful permanent *residents (LPRs)*. Because the obligations that INA 213A imposes on a sponsor who executes a Form I-864 terminate when the sponsored alien acquires citizenship, Form I-864 *should* not be required for those categories of immigrants who will acquire citizenship upon admission to the United States. Instead, the intending immigrant (or U.S. citizen parent if the immigrant is under 14 years of age) must file Form I-864-W,

Intending Immigrant's Affidavit of Support Exemption. Although such a visa applicant is still subject to the public charge provisions of INA 212(a)(4) even without an affidavit of support requirement, *the public charge concern* will no longer *to the applicant* apply once the immigrant acquires citizenship. You should consider the applicant's likely acquisition of citizenship immediately upon admission when you determine whether the applicant is likely to become a public charge at any time while in the United States as an alien. (See 9 FAM 40.41 N3.4-3 b.)

- b. An intending immigrant must submit the Form I-864-W, instead of Form I-864, to establish that the intending immigrant is not required to submit the Form I-864 *where* he or she meets any of the following requirements:
 - (1) The intending immigrant has or can be credited with – 40 quarters of coverage under the Social Security Act (*See 9 FAM 40.41 N3.4-2*);
 - (2) The intending immigrant is the child of a U.S. citizen and will acquire citizenship under Section 320 of the Act if the application for admission as an immigrant or adjustment of status is approved; and
 - (3) *The intending immigrant is a widow or widower who may qualify for immigration benefits and who is self petitioning using Form I-360; or*
 - (4) *The intending immigrant is self-petitioning using Form I-360 as battered spouse or child of a U.S. citizen or permanent resident alien.*
- c. Form I-864 is, therefore, not required in any case in which the visa applicant qualifies for automatic citizenship under Section 320 of the Act upon admission. That would include the following categories of immigrants:
 - (1) Orphan classified IR-3, provided the child will be admitted to the United States while still under age 18 and will be residing permanently in the United States in the legal and physical custody of the adoptive U.S. citizen parent as of the time of admission;
 - (2) Adopted child classified IR-2 who meets the requirements of INA 101(b)(1)(E) (8 U.S.C. 1101(b)(1)(E)), provided the child will be admitted to the United States while under age 18 and will be residing permanently in the United States in the legal and physical custody of the adoptive U.S. citizen parent as of the time of admission; and
 - (3) Child classified IR-2 (born in or out of wedlock) to a parent who is now a U.S. citizen, provided the child will be admitted to the United States while still under age 18 and will be residing permanently in

the United States in the legal and physical custody of the U.S. citizen parent as of the time of admission.

- d. Except as explained in 9 FAM 40.41 N3.4-1, Form I-864, Affidavit of Support under Section 213A of the Act is required for all other family-based immigrants, including biological and adopted children of U.S. citizens who are not eligible for automatic naturalization upon admission as a legal permanent resident (LPR). Form I-864 is required for:
- (1) *An alien* classified IR-2 based on a stepparent and/or stepchild relationship with a U.S. citizen;
 - (2) *An alien* classified IR-2 or IR-3 who will be age 18 or over upon admission to the United States as a LPR;
 - (3) *An alien* classified IR-2 or IR-3 who will not be residing in the United States in the legal and physical custody of the U.S. citizen parent at the time of lawful admission; or
 - (4) *An alien* classified IR-4 orphan to be adopted in United States by a U.S. citizen.
- e. Apart from cases discussed in 9 FAM 41.3.4-2 below. The *Form I-864* requirement for *meeting INA 212(a)(4)* turns on whether the visa applicant will qualify for U.S. citizenship upon admission to the United States as a LPR, posts that have questions in this area should, in the first instance seek guidance from Consular Affairs/Overseas Citizens Services (CA/OCS) on the citizenship issue. If CA/OCS advises that the applicant will acquire U.S. citizenship at the moment of admission at the port of entry (POE), and not at any later point; then the applicant is exempt from the Form I-864 requirement, but the filing of Form I-864-W, Intending Immigrant's Affidavit of Support Exemption is necessary.

9 FAM 40.41 N3.4-2 Aliens With 40 Quarters of Work Under the Social Security Act (SSA)

(CT:VISA-1126; 12-03-2008)

- a. The requirement for visa petitioners to submit Form I-864 terminates:
- (1) Once the sponsored alien has worked in the U.S. in a job covered under Title II of the Social Security Act (SSA); and
 - (2) Can be credited with 40 qualifying quarters of coverage under Title II of the SSA.

Therefore, you must waive the Form I-864 requirement if the alien can demonstrate 40 quarters of work under the SSA. (See 9 FAM 40.41 PN3 for procedures to follow in such cases.) Post should advise immigrant visa (IV) beneficiaries seeking to demonstrate 40 quarters of the SSA coverage to submit Form I-864-W and to attach an earnings and benefits statement from

the SSA. To obtain an earnings and benefits statement from SSA, immigrant visa (IV) applicants should complete Form SSA-7004-SM, Request for Social Security Statement. Individuals in the United States can obtain this form by calling SSA's toll-free number, 1-800-772-1213.

b. The term "quarter" means:

- (1) The three-calendar-month period ending on March 31, June 30, September 30, or December 31 of any year;
- (2) Quarters of coverage are obtained by working at a job or as a self-employed individual, earning a specified minimum income, and making Social Security payments on the earnings; and
- (3) Quarters are calculated based on the amount of income earned during the course of the year, rather than the actual number of days worked within a given quarter.

c. Every year the SSA establishes the requisite per quarter minimum income. Any individual earning three times this established amount during the calendar year, for example, would be credited with three quarters of coverage, even if the individual worked for only one month. The sponsored immigrant is not to be credited with any quarter beginning after December 31, 1996 during which the sponsored immigrant received any federal means-tested public benefit.

d. INA 213A(a)(3)(B) states that, in determining the number of qualifying quarters of coverage under title II of the Social Security Act, an alien is to be credited with:

- (1) All of the qualifying quarters of coverage as defined under title II of the Social Security Act worked by a parent of such alien while the alien was under age 18; and
- (2) All of the qualifying quarters worked by a spouse of such alien during their marriage and the alien remains married to such spouse or such spouse is deceased.

e. A parent-child relationship need not have existed when the parent worked the 40 quarters. For example, an alien can claim those quarters that the parent worked prior to the alien's birth or adoption.

f. This Note applies to aliens seeking permanent residence as immediate relatives or as family preference immigrants, as well as to employment-based immigrants where a relative either filed Form I-140, Immigrant Petition for Alien Worker, or has a significant ownership interest in the firm that filed Form I-140.

9 FAM 40.41 N3.4-3 Aliens Exempt from Form I-864, Affidavit of Support Under Section 213A of the Act,

Requirement Still Must Satisfy INA 212(a)(4)

(CT:VISA-1126; 12-03-2008)

- a. An alien exempt from Form I-864, Affidavit of Support Under Section 213A of the Act requirement per 9 FAM 40.41 N3.4-1 or 9 FAM 40.41 N3.4-2 must still show that he or she is not likely to become public charge, and must file Form I-864-W, Intending Immigrant's Affidavit of Support Exemption.
- b. In cases involving immigrant visa applicants who will be acquiring citizenship upon admission, pursuant to INA 320 (see 9 FAM 40.41 N3.4-1), it is unlikely in the absence of unusual circumstances that the individual will become a public charge while still an alien prior to naturalization. For adoption cases, you should also keep in mind that the Department of Homeland Security (DHS) does not approve Form I-600, Petition to Classify Orphan as an Immediate Relative, or Form I-600-A, Application for Advance Processing of Orphan Petition, unless satisfied that the petitioners are capable of supporting the child.

9 FAM 40.41 N4 DETERMINING "TOTALITY OF THE CIRCUMSTANCES"

(CT:VISA-1317; 09-24-2009)

- a. In making a determination regarding an alien's admissibility under INA 212(a)(4), you must consider, at a minimum, the alien's:
 - (1) Age;
 - (2) Health;
 - (3) Family status;
 - (4) Assets;
 - (5) Financial status and resources; and
 - (6) Education or skills.
- b. These factors, and any other factors thought relevant by an officer in a specific case, will make up the "totality of the circumstances" that you must consider when making a public charge determination. As noted in 9 FAM 40.41 N3.2, a properly filed, non-fraudulent Form I-864, Affidavit of Support Under Section 213A of the Act, in those cases where it is required, should normally be considered sufficient to meet the INA 212(a)(4) requirements and satisfy the "totality of the circumstances" analysis. Nevertheless, the factors cited in 9 FAM 40.41 N4 above could be given consideration in an unusual case in which a Form I-864 has been submitted and should be considered in cases *where Form I-864 is not*

required.

9 FAM 40.41 N4.1 Consideration of Current or Prior Receipt of Public Assistance

(CT:VISA-911; 11-02-2007)

- a. The public charge provisions of INA 212(a)(4) are generally considered to be forward looking. You must, therefore, base findings of inadmissibility on the likelihood of the applicant becoming a public charge in the future. A finding of inadmissibility under INA 212(a)(4) cannot be based solely on the prior receipt of public benefits. Neither should you base a determination exclusively on even the current receipt of subsistence cash benefits or institutionalization. The determination should always be based upon all available factors. Past or current receipt of cash benefits for income maintenance by a family member of the visa applicant may be factored into the applicant's case only when such benefits also constitute(d) the primary means of subsistence of the applicant.
- b. Past or current receipt of other types of benefits, such as those listed in 9 FAM 40.41 N2.2, must not be considered. Further, you should not try to find out whether an alien has previously or is currently receiving benefits such as those listed in 9 FAM 40.41 N2.2.
- c. There is no provision in the law to indicate that the receipt of means-tested benefits by the sponsor would, in itself, result in a finding of inadmissibility for the applicant under INA 212(a)(4). The sponsor's reliance on such benefits, however, would clearly be an important factor in considering whether the applicant might have to become a public charge. If the sponsor or any member of his or her household has received public means-tested benefits within the past three years, you must review fully the sponsor's current ability to provide the requisite level of support, taking into consideration the kind of assistance provided and the dates received. You must review carefully Form I-864, Affidavit of Support under Section 213A of the Act, or Form I-134, Affidavit of Support, and all attachments submitted with Form I-134, as well as evidence of the sponsor's current financial circumstances, in such cases.

9 FAM 40.41 N4.2 Health

(CT:VISA-823; 07-14-2006)

You must take into consideration the panel physician's report regarding the applicant's health, especially if there is a prognosis that might prevent or ultimately hinder the applicant from maintaining employment successfully or indicate the likelihood that the alien will require institutionalization.

9 FAM 40.41 N4.3 Family Status

(CT:VISA-823; 07-14-2006)

You should consider the marital status of the applicant and, if married, the number of dependents for whom he or she would have financial responsibility.

9 FAM 40.41 N4.4 Applicant's Age

(CT:VISA-823; 07-14-2006)

You should consider the age of the applicant. If the applicant is under the age of 16, he or she will need the support of a sponsor. If the applicant is 16 years of age or older, you should consider what skills the applicant has to make him or her employable in the United States.

9 FAM 40.41 N4.5 Education and Work Experience

(CT:VISA-1126; 12-03-2008)

You should review the applicant's education and work experience to determine if these are compatible with the duties of the applicant's job offer (if any). You should consider the applicant's skills, length of employment, and frequency of job changes. Even if a job offer is not required, you should assess the likelihood of the alien's ability to become or remain self-sufficient, if necessary, within a reasonable time after entry into the United States. (See 9 FAM 40.41 N4.7.)

9 FAM 40.41 N4.6 Alien's Financial Resources

9 FAM 40.41 N4.6-1 Aliens Subject to INA 212(a)(4)(C)/(D)

(TL:VISA-594; 11-04-2004)

An alien who must have Form I-864, Affidavit of Support Under Section 213(A) of the Act, will generally not need to have extensive personal resources available unless considerations of health, age, skills, etc., suggest that the likelihood of his or her ever becoming self-supporting is marginal at best. In such cases, of course, the degree of support that the affiant will be able and likely to provide becomes more important than in the average case.

9 FAM 40.41 N4.6-2 Evidence of Support When Form I-864, Affidavit of Support Under Section 213A of the Act, Not Required

(CT:VISA-1317; 09-24-2009)

- a. An applicant relying solely on personal financial resources for support for him or herself and family members after admission into the United States should be presumed inadmissible for a visa under INA 212(a)(4) unless his or her income (including any to be derived from prearranged employment) will equal or exceed the poverty guideline level for the applicant and accompanying family members. You should refer to 9 FAM 40.41 Exhibit I, Poverty Income Guideline Table, published by the Department of Health and Human Services (HHS).
- b. Normally, all accompanying dependent family members and other dependent family members already in the United States are considered to be within the family unit for purposes of applying the poverty income guidelines. However, an applicant seeking to join a lawfully admitted permanent resident and two citizen children in the United States, who are receiving public assistance, may be determined to overcome the public charge provision if the applicant's prospective income will exceed on the poverty income guideline table for a single person. In this instance only, it does not matter that the applicant's prospective income will be below that shown in the poverty income guideline table for a family of four. It is quite possible that the admission of the applicant and the applicant's income in the United States may permit the lowering of the public assistance benefits the family members now receive.
- c. You should not rely exclusively on the submission of documents to determine whether an applicant is inadmissible under INA 212(a)(4). Repeated requests for documents in an effort to resolve every small doubt should be avoided. There is a limit to the value of documents in a situation in which the applicant must satisfy the officer of his or her future activities, intentions, and prospects.
- d. You should make every effort to inform applicants in advance of the visa interview of the required support documents. You should be in a position to issue or deny the visa under INA 212(a)(4) at the end of the initial visa interview, assuming that the applicant has made reasonable efforts to submit the evidence originally requested. (For example, in cases where a Form I-864, Affidavit of Support under Section 213A of the Act, is required, an application cannot be considered until that document and related information have been executed and considered satisfactory by you.) Applicants who are not likely to overcome the public charge provision even after the presentation of additional evidence should be refused *"under 212(a)(4) instead of 221(g)."* Adequate time and effort spent *prior to end* during the initial interview can save work for the post and the applicant in this respect.
- e. An applicant may establish the adequacy of financial resources by submitting evidence of bank deposits, ownership of property or real

estate, ownership of stocks and bonds, insurance policies, or income from business investments sufficient to provide for his or her needs, as well as those of any dependent family member, until suitable employment is located. (The amount sufficient will depend on the applicant's age, physical condition, and family circumstances and size.)

- (1) Bank Deposits—Applicants relying on bank deposits to meet the public charge requirements should present as evidence a letter signed by a senior officer of the bank over the officer's title, showing:
 - (a) The date the account was opened;
 - (b) The number and amount of deposits and withdrawals during the last 12 months;
 - (c) The present balance. This information may prevent attempted abuse such as an initial deposit of a substantial sum of money being made within a relatively short time prior to the immigrant visa application; and
 - (d) How the money, if in a foreign bank in foreign currency, is to be transferred to the United States.
 - (2) Real estate investments—Evidence of property ownership may be in the form of a title deed or equivalent or certified copies. The applicant must satisfy you as to the plans for disposal or rental of such property and the manner in which the income from the property (if abroad) is to be transferred to the United States for the applicant's support.
 - (3) Stocks and Bonds—Evidence of income from these sources should indicate present cash value or expected earnings and, if the income is derived from a source outside the United States, a statement as to how the income is to be transferred to the United States.
 - (4) Income from business investments; or
 - (5) Insurance policies.
- f. An applicant may also support a finding that he or she meets the public charge requirements by:
- (1) Evidence of employment of a permanent nature in the United States that will provide an adequate income. A certified Labor Department Form ETA-9089 Application for Permanent Employment Certification, or Form ETA-750-Part A & B, Application for Alien Employment Certification) will show this if the applicant is subject to the provisions of INA 212(a)(5)(A). If the labor certification provisions do not apply, the employer may submit a notarized letter of employment, in duplicate, on letterhead stationery attesting to

the offer of prearranged employment; or

(2) Assurance of support by relatives or friends in the United States.

g. Sufficient support from a combination of the above sources.

9 FAM 40.41 N4.6-3 Use of Form I-134, Affidavit of Support

(CT:VISA-1317; 09-24-2009)

- a. Because INA 212(a)(4)(C) and INA 213A require the use of Form I-864, Affidavit of Support Under Section 213A of the Act, for so many classes of immigrants, the use of Form I-134, Affidavit of Support, has been reduced considerably. Nevertheless, there still are circumstances when Form I-134 will be beneficial. This affidavit, submitted by the applicant at your request, is not legally binding on the sponsor and should not be accorded the same weight as Form I-864. Form I-134 should be given consideration as one form of evidence, however, in conjunction with the other forms of evidence mentioned below.
- b. If any of the following applicants need an Affidavit of Support to meet the public charge requirement, they must use Form I-134, as they are not authorized to use Form I-864:
 - (1) The self-petitioning spouse of a deceased U.S. citizen, and any children *of the self petitioner* (see INA 204(a)(1)(A)(ii));
 - (2) The self-petitioning spouse of a U.S. citizen, who has been battered by or subjected to extreme cruelty perpetrated by the spouse, *and any children of the self-petitioner* (see INA 204(a)(1)(A)(iii) and (iv));
 - (3) Returning resident aliens;
 - (4) Diversity visa applicants; and
 - (5) Fiancé(e)s.
- c. The simple submission of Form I-134, Affidavit of Support, however, is not sufficient to establish that the beneficiary is not likely to become a public charge. Although the income requirements of Form I-864, Affidavit of Support Under Section 213A of the Act, do not apply in such cases (e.g., the 125 percent minimum income), you must make a thorough evaluation of other factors, such as:
 - (1) The sponsor's motives in submitting the affidavit;
 - (2) The sponsor's relationship to the applicant (e.g., relative by blood or marriage, former employer or employee, schoolmates, or business associates);
 - (3) The length of time the sponsor and applicant have known each

other;

- (4) The sponsor's financial resources; and
- (5) Other responsibilities of the sponsor.

NOTE: When there are compelling or forceful ties between the applicant and the sponsor, such as a close family relationship or friendship of long standing, you may favorably consider the affidavit. On the other hand, an affidavit submitted by a casual friend or distant relative who has little or no personal knowledge of the applicant has more limited value. If the sponsor is not a U.S. citizen or lawful permanent resident (LPR), the likelihood of the sponsor's support of an immigrant visa (IV) applicant until the applicant can become self-supporting is a particularly important consideration.

- d. The degree of corroborative detail necessary to support the affidavit will vary depending upon the circumstances. For example, for a relatively short-term visitor, little, if any, would be required. In immigrant cases, however, the sponsor's statement should include:
 - (1) Information regarding income and resources;
 - (2) Financial obligations for the support of immediate family members and other dependents;
 - (3) Other obligations and expenses; and
 - (4) Plans and arrangements made for the applicant's support in the absence of a legal obligation toward the applicant.
- e. To substantiate the information regarding income and resources, the sponsor should attach to the affidavit a copy of the latest Federal income tax return filed prior to the signing of the Form I-134, including all supporting schedules. If you determine that the tax return and/or additional evidence in the file do not establish the sponsor's financial ability to carry out the commitment toward the immigrant for what might be an indefinite period of time, or there is a specific reason (other than the passage of time) to question the veracity of the income stated on the Form I-134 or the accompanying document(s), you should request additional evidence (i.e., statement from an employer showing the sponsor's salary and the length and permanency of employment, recent pay statements, or other financial data).
- f. If the sponsor has a well-established business and submits a rating from a recognized business rating organization, you do not need to insist on a copy of the sponsor's latest income tax return or other evidence.

9 FAM 40.41 N4.6-4 Considering Public Charge Bond

(CT:VISA-911; 11-02-2007)

- a. If the continued financial capability of the applicant or any sponsor(s) is questionable, you may consider requiring the sponsor to post an indemnity bond pursuant to INA 213. Although the posting of a public charge bond does not, in itself, establish that an applicant is not likely to become a public charge, it might be sufficient, depending upon the circumstances in a particular case, to make possible a finding that the applicant overcomes INA 212(a)(4). The bond should be used sparingly and only in borderline cases. When an applicant appears likely on the facts to become a public charge (for example because of an acute physical condition and lack of adequate resources), the filing of a bond would not serve any purpose if the needs of the applicant would easily overcome the value of the bond.
- b. The specifics of such a bond and the means of posting one are:
 - (1) The minimum amount is \$1,000 per person;
 - (2) If a family is proceeding as a unit to the United States, a bond may be required for more than one member of the family. You should specify the name(s) of the person(s) for whom a bond is being requested. If only the principal applicant is immigrating immediately, the number of remaining family members should not be taken into account until they are applying for visas;
 - (3) A public charge bond is canceled when the alien dies, leaves the United States permanently, or is naturalized. The Department of Homeland Security/U.S. Citizenship and Immigration Services (DHS/USCIS) may, however, cancel a bond at any time if the alien has not become and does not appear likely to become a public charge five years after the entry into the United States. The bond will be reviewed for cancellation upon the filing of Form I-356, Request for Cancellation of a Public Charge Bond, if the alien has not become a public charge during those five years;
 - (4) You should inform the alien, in these cases, that DHS/USCIS may require a larger bond to be posted at the time of application for admission; and
 - (5) The visa issued in such cases must carry a notation that the bond was required and the notification (or a certified copy thereof) from DHS that the bond had been posted must be attached to the visa.

9 FAM 40.41 N4.7 Employment Offer

9 FAM 40.41 N4.7-1 Applicant Subject to Affidavit of Support (AOS) Requirement

(CT:VISA-911; 11-02-2007)

You may not consider an offer of employment to an applicant in place of a required Form I-864, Affidavit of Support under Section 213A of the Act. You may consider the applicant's employment in determining whether the 125 percent minimum income requirement has been met in a visa case only if the beneficiary of Form I-864:

- (1) Is currently living in the United States, and
- (2) Working in the same job he or she will have after entry as an immigrant. Under these circumstances, the alien's income may be considered part of the sponsor's income. If the above criteria are met, and any of the applicant's family members will be accompanying him or her to the United States, the principal applicant in such cases may provide Form I-864-A, Contract between Sponsor and Household Member, on their behalf to help reach the additional income level that will be required.

9 FAM 40.41 N4.7-2 Immigrants Not Subject to Affidavit of Support (AOS) Requirement

(CT:VISA-1317; 09-24-2009)

- a. Many applicants who have been offered prearranged employment and are immigrating based on that offer of employment are subject to the labor certification requirement under INA 212(a)(5) (see 22 CFR 40.51 and 9 FAM 40.51 Notes.) You may assume, when a certification is granted, that the position is permanent and the wages will not be perceptibly lower than U.S. standards. However, a determination must still be made whether the proposed wages will be adequate to meet the living expenses of the applicant and family, taking into consideration such factors as the number, age and health of family members. Applicants who are not subject to the provisions of INA 212(a)(5), but who are relying on prearranged employment to meet the public charge provisions of the law, must have the employment offer submitted on a notarized letter, in duplicate, on letterhead stationery.
- b. You should discuss with the immigrant visa applicants the terms of the prearranged employment offer stated in Form ETA-9089, Application for Permanent Employment Certification or Form ETA-750-A and *Form* ETA-750-B, Application for Alien Employment Certification), or in the letter written on the employer's letterhead stationery. If the understanding of the applicant with regard to the salary to be paid, working hours per week, or possible repayment of transportation costs differs materially from the conditions indicated in the offer, you should require additional evidence, both to establish the validity of the INA 212(a)(5) certification or employer's letter, and to ensure that the applicant is not likely to become a public charge. You should also be reasonably satisfied that the

applicant is qualified for the prospective employment.

- c. The applicant's destination as stated on the visa application must coincide with the place of proposed employment.

9 FAM 40.41 N5 FORM I-864, AFFIDAVIT OF SUPPORT UNDER SECTION 213A OF THE ACT

(CT:VISA-911; 11-02-2007)

The purpose of Form I-864, Affidavit of Support under Section 213A of the Act:

- (1) Is to create a legally binding contract between certain immigrant visa applicants, their sponsor(s) and the U.S. Government;
- (2) It requires an applicant to have sponsorship at 125 percent of the Federally determined poverty income guidelines (or 100 percent if the sponsor is an active member of the U.S. Armed Forces, other than for training, and is sponsoring his or her spouse or child(ren)) to ensure that newly-arrived aliens will be able to subsist for an extended period at a level above the poverty level; and
- (3) The intention is to encourage immigrants to become and remain self-reliant, one of the oldest tenets of national immigration policy, and to provide the government with indemnification if they do not.

9 FAM 40.41 N5.1 Affidavit of Support (AOS) Packet

(CT:VISA-911; 11-02-2007)

- a. The documents listed below, make up the affidavit of support packet and are designed to assist the sponsor's understanding and proper completion of the affidavit of support (AOS) required by INA 213A:
 - (1) Form I-864 or Form I-864-EZ, Affidavit of Support under Section 213A of the Act;
 - (2) Current Federal Poverty Guidelines Schedule, Form I-864-P;
 - (3) Form I-864-A, Contract Between Sponsor and Household Member;
 - (4) Form I-865, Sponsor's Notice of Change of Address; and
 - (5) Checklist for preparing Form I-864.
- b. The National Visa Center (NVC) will include the checklist and other documents in the Instruction Package for Immigrant Visa Applicants, indicating the supporting documents required with Form I-864 or Form I-864-EZ. Posts may reproduce the checklist for local use and include it

with Form I-864 or Form I-864-EZ that are distributed locally. Posts should also, when possible, make it available through Web sites and information units. Posts must maintain updated poverty guidelines and ensure that they are included with all AOS forms. NVC and posts should also make sponsors aware of the facts that their income must meet the poverty guidelines at the time of AOS filing with NVC or with post.

- c. This documentation, supported by items listed in 9 FAM 40.41 N5.1, constitutes the primary (but not sole) evidence for establishing that the applicant is not inadmissible under INA 212(a)(4)(C) for those categories specified in 9 FAM 40.41 N3.2 above, and establishes the sponsor's income and, if need be, assets.
- d. The validity of Form I-864 or Form I-864-EZ is indefinite from the time the sponsors and contributing household members have signed Form I-864, Form I-864-EZ and Form I-864-A. The AOS is based on the Federal Poverty Guidelines in effect at the time of its submission in support of an IV application. 9 FAM 40.41 N5.4 describes circumstances in which additional documentation and/or consideration of income on the basis of the current poverty guidelines may be necessary at post. Newly issued poverty guidelines generally become effective for INA 213A affidavit purposes at the beginning of the second month after being published in the Federal Register (FR). However, you must review the text of the FR notice to determine the exact date on which new poverty guidelines become effective.
- e. A sponsor may use the Form I-864-EZ in place of Form I-864 if he or she meets all of the following requirements:
 - (1) The sponsor is the visa petitioner (who filed the Form I-130, Petition for Alien Relative);
 - (2) The affidavit of support is filed on behalf of only one intending immigrant, who is the only person listed on the Form I-130;
 - (3) The sponsor is seeking to qualify based solely on his or her income from salary or pension (not on the basis of any other income or assets) as shown on the most recent Federal income tax return that the sponsor filed prior to the time of signing the Form I-864-EZ; and
 - (4) All of the sponsor's income is shown on one or more IRS Form W-2, Wage and Tax Statement to demonstrate employment income, and/or Form IRS-1099, Miscellaneous Income to document pension income (except, in cases where the copy of the tax return is an IRS-generated transcript, a copy of the W-2 or 1099 is not necessary). The Form I-864-EZ may not be filed if the sponsor will be submitting a Form I-864-A, if a joint sponsor will be required, or if the sponsor is an "alternative sponsor" who is substituting for the

original sponsor, who has died (see 9 FAM 40.41 N5.3-1).

9 FAM 40.41 N5.2 Defining "Sponsor"

(CT:VISA-1126; 12-03-2008)

- a. To qualify as a sponsor, an individual must be a natural person (not a corporation or other business entity) who:
 - (1) Is a citizen, national, or lawful permanent resident (LPR) of the United States (including conditional residents);
 - (2) Is at least 18 years of age;
 - (3) Filed the petition which forms the basis for the visa application (or has a substantial interest in the entity which filed the petition); and
 - (4) Is domiciled in any of the 50 States of the United States, the District of Columbia, or any territory or possession of the United States. (See 9 FAM 40.41 N6.)
- b. If the relative petitioner does not meet the qualifying criteria to be a sponsor (for example, by being under 18 years of age or not domiciled in the United States), the visa applicant must be found ineligible for a visa under INA 212(a)(4) until such circumstance no longer exists.

9 FAM 40.41 N5.2-1 Petitioner Must Submit Form I-864 or Form I-864-EZ, Affidavit of Support Under Section 213A of the Act

(CT:VISA-1126; 12-03-2008)

In most cases, the petitioner must submit Form I-864 or Form I-864-EZ, Affidavit of Support under Section 213A of the Act. This is true even if he or she cannot meet the requirements outlined in 9 FAM 40.41 N5.2. Such adverse circumstances would not necessarily mean that the applicant would be inadmissible under INA 212(a)(4), since a joint sponsor may be used to overcome the Federal poverty level income requirements. If a joint sponsor is used, the petitioner may not use Form I-864-EZ and must use Form I-864. (See 9 FAM 40.41 N8.) The petitioner must submit a Form I-864, even in the case of a following-to-join derivative beneficiary of the petition where the principal applicant has adjusted status in the United States. There are, however, two exceptions to the requirement of the petitioner completing Form I-864. (See 9 FAM 40.41 N5.3 and 9 FAM 40.41 N5.3-1 below for the exceptions.)

9 FAM 40.41 N5.2-2 Limiting Number of Applicants Sponsored

(CT:VISA-823; 07-14-2006)

A petitioner may limit sponsorship to just the principal applicant and any dependents that will be traveling to the United States at the same time. By limiting the number of sponsored individuals, the petitioner will reduce the household size and thereby lower the income requirement. The petitioner could file another affidavit of support (AOS) on behalf of the other (following-to-join) dependents at a later date when the petitioner and the principal applicant have improved their financial situation.

9 FAM 40.41 N5.3 Sponsor When the Petitioner is a Business Entity

(CT:VISA-1126; 12-03-2008)

When the petitioner is a business entity, a U.S. citizen or lawful permanent resident (LPR) relative who has a significant ownership interest in the petitioning entity, the petitioner must submit Form I-864, Affidavit of Support under Section 213A of the Act. The alternative sponsor must meet the other criteria outlined in 9 FAM 40.41 N5.2.

9 FAM 40.41 N5.4 Sponsor When the Petitioner Has Died

(CT:VISA-1317; 09-24-2009)

- a. The Family Sponsor Immigration Act of 2002 remedies the situation of an alien whose petitioner has died by amending INA 212(a)(4)(C)(ii) and INA 212A(f)(5) Public Law 107-150. The amended INA 213A (f)(5) creates a way in which a person other than the visa petitioner can sponsor an alien. Section 213A(f)(5)(B) now allows certain family members to become "substitute sponsors" if a visa petitioner dies following approval of the visa petition, but before the beneficiary obtains his or her permanent residence. If the visa petition was approved prior to the death of the petitioner, the Secretary of Homeland Security (DHS), may, in its discretion, reinstate the petition for humanitarian reasons, (8 CFR 205.1(a)(i)(C), and that the original sponsor's petition should not be revoked. (See 9 FAM 42.42 PN2.) The alternative sponsor must be the spouse, parent, mother-in-law, father-in-law, sibling, child (at least 18 years of age), son, daughter, son-in-law, daughter-in-law, sister-in-law, brother-in-law, grandparent, or grandchild of the sponsored alien, or the legal guardian of the sponsored alien. The alternative sponsor must meet the other criteria outlined in 9 FAM 40.41 N5.2.*
- b. Eligibility of derivative applicants seeking to follow-to-join a principal applicant who has already acquired lawful permanent resident (LPR) status is dependent on the continuing LPR status of the principal, not on*

the status of the petitioner. Therefore, if the petitioner dies after the principal applicant has already become an LPR and one or more derivative applicants seek to follow to join the principal applicant, the derivatives retain eligibility to follow-to-join despite the death of the petitioner, and there is no need for reinstatement of the petition. In such circumstances, the derivative applicant seeking to follow-to-join is inadmissible unless an alternative sponsor, as described in paragraph a above, executes a Form I-864 with respect to the derivative applicant. The alternative sponsor may not file a Form I-864-EZ.

9 FAM 40.41 N5.5 Supporting Evidence Must Be Submitted with Form I-864, Affidavit of Support Under Section 213A of the Act

(CT:VISA-1317; 09-24-2009)

- a. The "sponsor" is the petitioner; anyone else is a joint or co-sponsor. All references to requirements for the "sponsor" or "sponsors" would apply not only to the petitioner sponsor, but also to any co-sponsor household members executing Form I-864-A and joint sponsors submitting a supplementary Form I-864. The sponsor(s) must provide the following documentation to satisfactorily complete Form I-864, Affidavit of Support under Section 213A of the Act:*
 - (1) Sponsor's Federal income tax returns for the most recent tax year:*
 - (a) Each sponsor must submit with Form I-864 a photocopy or Internal Revenue Service (IRS)-generated transcript of the most recent income tax return that the sponsor had filed prior to the time of the AOS signing. A person may obtain a free IRS-generated transcript by filing IRS Form 4506-T (form IRS-4506-T), Request for Transcript of Tax Return. Ordinarily, the sponsor's signature on Form I-864 is sufficient to qualify the photocopy or transcript as a "certified" copy. In those cases where you question the submitted tax return or transcript, you may require the sponsor to submit an IRS-certified copy of the tax return.*
 - (b) A person obtains an IRS-certified copy by submitting form IRS-4506, Request for Copy of Tax Return, and paying the requisite filing fee. In such cases, you should generally require that the sponsor have the IRS-certified copy sent directly to post by the IRS. The sponsor should ask the IRS to include the applicant's name and case number on the form so that it can be readily attached to the correct file upon receipt at post. You may not require IRS-certified copies of tax returns of all sponsors prior to review of the submitted*

tax return. IRS-certified copies may only be required on a case-by-case basis when you question the validity of the submitted tax return.

- (c) *Failure to file a required income tax return does not excuse the sponsor from the requirement for tax returns as supporting documents. If a tax return should have been filed, the affidavit will not be considered sufficient until the sponsor has done so and supplied the appropriate copies for consideration with Form I-864, Affidavit of Support under Section 213A of the Act. If the income requirement cannot be met, but the sponsor claims to have under-reported his or her income, an amended return will be necessary.*

NOTE: You do not have the authority to require an individual to pay taxes or correctly report income. You may, however, advise applicants or sponsors that an original or amended tax return will be required in order to process the immigrant visa (IV) application to conclusion.

- (d) *If a photocopy of a tax return provided by the sponsor lists income that should have been reflected in a Form W-2, Wage and Tax Statement, or Form 1099, Miscellaneous Income, but such form was not submitted to post with the tax return and Form I-864, you should consider the record, taken as a whole, and determine whether it establishes that information on the tax return is true and correct. If you conclude that the information is true and correct, it is not necessary to require a copy of the Form W-2 or Form IRS-1099. Further, in cases where the copy of the tax return is an IRS-generated transcript, it is not necessary to require a copy of the Form W-2 or Form 1099.*

- (2) *Tax returns of other household members: If the sponsor is relying on income from any household member or dependents (as defined at 9 FAM 40.41 N7.1 below) to reach the minimum income requirement, an IRS transcript or a copy of each such individual's most recent tax return is also required, and each such person must complete a Form I-864-A, Contract Between Sponsor and Household member;*

- (3) *Employment evidence:*

- (a) *Except as provided in 9 FAM 40.41 N5.4 a(3)(c) and (d), below, if the information on the Affidavit of Support (AOS) and tax return establish that the sponsor's current income meets or exceeds the poverty guidelines for the year the sponsor submitted Form I-864 in support of the Immigrant*

Visa (IV) application, either by submitting to NVC directly or to post at the time of application, you must determine that Form I-864 is sufficient without requesting any further evidence. (See 9 FAM 40.41 Exhibit I, Poverty Income Guidelines.)

(b) If the AOS or tax return reflects income below the poverty guidelines for the year Form I-864 was submitted, you should request additional evidence:

- (1) Current employment or self-employment; and*
- (2) Recent pay statements, a letter from the employer on business letterhead - showing dates of employment, wages paid, and type of work performed - or other financial data.*

If the sponsor with income below the poverty guidelines is unemployed or retired, you should request evidence of ongoing income from other means, such as retirement benefits, other household members' income, or other significant assets.

(c) You should request additional evidence (i.e., employment letter, recent pay statements, or other financial data) only if there is a specific reason (other than the passage of time) to question the veracity of the income stated on Form I-864 or the accompanying document(s).

(d) If you determine either that the tax return and/or additional evidence in the file do not establish that the sponsor meets the poverty guidelines in effect at the time Form I-864 was filed, or that the facts of the case, as supported by evidence in the record, provide a specific reason other than the passage of time for questioning whether the sponsor's income information is accurate or still meets the guidelines, you should request current year income information. In this situation, the sufficiency of Form I-864 is determined based upon the additional evidence as it relates to the applicable poverty guidelines for the current year, rather than the poverty guidelines for the calendar year in which the sponsor signed Form I-864.

(4) Evidence of Sponsorship Eligibility—Evidence to establish eligibility as a sponsor, including citizenship or lawful permanent resident (LPR) status, age and domicile (as defined in 9 FAM 40.41 N5.2).

b. Tax-free income (such as a housing allowance for clergy or military personnel) and other tangible benefits in lieu of salary are considered income. The sponsor bears the burden of proving the nature and amount

of income.

- c. Assembling the documents is the sponsor's responsibility. If Form I-864, Affidavit of Support under Section 213A of the Act, and supporting documents are incomplete or poorly assembled, the post must refuse the applicant under INA 221(g) and return the entire package to the applicant with a copy of the checklist. However, you should no longer refuse applicants under INA 221(g) just for failing to provide the three most recent federal tax returns.*

9 FAM 40.41 N5.6 Assets Evidence

(CT:VISA-1317; 09-24-2009)

- a. The Form I-864 does not require sponsors to submit evidence of assets, if income alone is sufficient to meet the minimum Federal poverty guidelines income requirement described in 9 FAM 40.41 N5 (2). The mere fact that the petitioner and/or sponsor has met the minimum requirement, however, does not preclude a finding of inadmissibility under INA 212(a)(4). You may request evidence of assets and liabilities, if such information is necessary to determine the applicant's eligibility. If a sponsor or joint sponsor uses assets to prove the ability to support the sponsored immigrant, he or she may not use the Form I-864-EZ.*
- b. The sponsor or joint sponsor may include his or her assets (and offsetting liabilities), and/or the assets of any household members signing Form I-864-A, as income to make up any shortfall toward meeting the Federal poverty guidelines. The assets (bank accounts, stock, other personal property, real estate) must be available in the United States for the applicant's support and must be readily convertible to cash within one year. In most cases, the sponsor must present evidence as described in 9 FAM 40.41 N4.6-2, establishing location, ownership and value of each asset listed, including liens and liabilities for each asset listed. The combined cash value of all the assets (i.e., the total value of the assets less any offsetting liabilities) must total at least five times the difference between the total household income and the minimum Federal poverty income requirement.*
- c. Sponsors of immediate relative spouses and children of U.S. citizens, however, must only show a combined cash value of assets in the amount of three times the difference between the poverty guideline and actual household income. In addition, sponsors of alien orphans who will acquire citizenship after admission to the United States need only prove a combined cash value of assets in the amount of the difference between the poverty guideline and actual household income.*
- d. Sponsors of alien orphans who will acquire citizenship after admission to the United States based upon either adoption in the United States*

subsequent to admission, or a need to obtain formal recognition of a foreign adoption under the law of the State of proposed residence because at least one of parents did not see the child before or during the foreign adoption, need only prove a combined cash value of assets in the amount of the difference between the poverty guidelines and actual household income.

- e. *If assets of the sponsored applicant are being used in such a fashion, the sponsored applicant is not required to submit Form I-864-A, but must show the same kinds of evidence as described in and show that the assets can be converted into cash within one year.*

9 FAM 40.41 N5.7 Defining Income

(CT:VISA-1317; 09-24-2009)

"Income", for the purpose of Form I-864, means the total unadjusted income as shown on the tax return, before deductions. Total unadjusted income includes not only salary (if any) but also monetary gains from any other source, such as rent, interest, dividends, etc.

9 FAM 40.41 N6 "DOMICILE"

9 FAM 40.41 N6.1 Definition

(CT:VISA-1126; 12-03-2008)

For the purposes of INA 213A, "domicile" means:

- (1) The place where a sponsor has his or her principal "residence" (as defined in INA 101(a)(33)) in the United States, with the intention to maintain that residence for the foreseeable future.
- (2) A legal permanent resident alien (LPR) living abroad temporarily is considered to have a domicile in the United States, if he or she has applied for and obtained the preservation of residence benefit under INA 316(b) or INA 317.
- (3) A U.S. Citizen living abroad whose employment meets the requirements of INA 319(b)(1) is considered to be domiciled of the United States.

9 FAM 40.41 N6.1-1 Maintaining U.S. Domicile

(CT:VISA-1317; 09-24-2009)

- a. Unless the petitioner meets the conditions outlined in 9 FAM 40.41 N6.1-2 below, a petitioner who is maintaining a *principal* residence outside the

United States could not normally claim a U.S. domicile and would be ineligible to submit Form I-864, Affidavit of Support Under Section 213A of the Act. In order to provide an AOS for his or her relative, such a petitioner would have to reestablish a domicile in the United States. (See 9 FAM 40.41 N6.1-3, below.)

- b. However, in a situation in which the petitioner has maintained both a U.S. residence and a residence abroad, you must determine which is the principal abode. Some petitioners have remained abroad for extended periods but still maintain a principal residence in the United States (i.e., students, contract workers, and non-governmental organization (NGO) volunteers). To establish that one is also maintaining a domicile in the United States, the petitioner must satisfy you that he or she:
- (1) Departed the United States for a limited, and not indefinite, period of time;
 - (2) Intended to maintain a U.S. domicile at the time of departure; and,
 - (3) Can present convincing evidence of continued ties to the United States.

9 FAM 40.41 N6.1-2 Establishing U.S. Domicile

(CT:VISA-1317; 09-24-2009)

- a. A petitioner living abroad not meeting the criteria in 9 FAM 40.41 N6.1-1 who wishes to qualify as a sponsor must satisfy you:
- (1) That he or she has taken steps to establish a domicile in the United States;
 - (2) That he or she has either already taken up physical residence in the United States or will do so currently with the applicant;
 - (3) The sponsor does not have to precede the applicant to the United States but, if he or she does not do so, he or she must at least arrive in the United States concurrently with the applicant;
 - (4) The sponsor must establish an address (a house, an apartment, or arrangements for accommodations with family or friend) and either must have already taken up physical residence in the United States; or
 - (5) Must at a minimum to satisfy you that he or she intends to take up residence there no later than the time of the applicant's immigration to the United States.
- b. Although there is no time frame for the resident to establish residence, you must be satisfied that the sponsor has, in fact, taken up *principal* residence in the United States. Evidence that the sponsor has established a domicile in the United States and is either physically residing there or

intends to do so before or concurrently with the applicant *may* include the following:

- (1) Opening a bank account;
 - (2) Transferring funds to the United States;
 - (3) Making investments in the United States;
 - (4) Seeking employment in the United States;
 - (5) Registering children in U.S. schools;
 - (6) Applying for a Social Security number; and
 - (7) Voting in local, State, or Federal elections.
- c. If a petitioner cannot satisfy the domicile requirement, *the petitioner fails to qualify as a "sponsor" for the purposes of submitting Form I-864*, and a joint sponsor cannot be accepted and the applicant must be refused pursuant to INA 212(a)(4).

9 FAM 40.41 N6.1-3 U.S. Domicile for Employment-Based Petitioner

(CT:VISA-1317; 09-24-2009)

Employment-based beneficiaries who are petitioned for by U.S. citizen or permanent resident alien relatives or by entities in which such a relative has a significant ownership interest are required to submit a Form I-864, Affidavit of Support Under Section 213A of the Act. However, the DHS/USCIS has determined that Congress did not intend to impose this requirement on a petitioning relative, or a relative with a substantial interest in a business enterprise who is not a U.S. citizen or a lawful permanent resident (LPR) and is not domiciled in the United States. In these cases only, the lack of Form I-864 will not be an impediment to admissibility. We concur with this finding; therefore, in these cases, lack of a Form I-864 would not be an impediment to visa issuance.

9 FAM 40.41 N6.2 Employment Abroad Meeting Requirements of INA 319(b)(1)

(CT:VISA-911; 11-02-2007)

- a. A U.S. citizen who is living abroad temporarily is considered to be domiciled in the United States if the citizen's employment meets the requirements of INA 319(b)(1) (8 U.S.C. 1430(b)(1)). That section requires, for qualifying "employment abroad," that the citizen be in the employ of:
- (1) The U.S. Government;

- (2) A U.S. institution of research recognized as such by the Secretary of Homeland Security (DHS);
 - (3) A U.S. firm or corporation engaged in whole or in part in the development of foreign trade and commerce with the United States or a subsidiary thereof;
 - (4) A public international organization in which the United States participates by treaty or statute;
 - (5) A religious denomination having a bona fide organization in the United States, if the individual concerned is authorized to perform the ministerial or priestly functions thereof; and
 - (6) A religious denomination or an interdenominational mission organization having a bona fide organization in the United States, if the person concerned is engaged solely as a missionary.
- b. See INA 316 and 317 regarding continuous residence requirements for LPRs.

9 FAM 40.41 N7 "HOUSEHOLD MEMBER"

9 FAM 40.41 N7.1 Definition

(CT:VISA-1317; 09-24-2009)

Household members for determining the applicable Federal poverty line levels and all other associated purposes include:

- (1) The sponsor; *(see 9 FAM 40.41. N5.4)*;
- (2) The sponsor's spouse; and the sponsor's children by birth, marriage, or adoption living in the sponsor's residence;
- (3) Any other dependents of the sponsor (if identified as such on the sponsor's Federal income tax return for the most recent year, regardless of whether they are related to the sponsor or have the same principal address as the sponsor);
- (4) Any immigrants previously sponsored using Form I-864, Affidavit of Support under Section 213A of the Act, if the obligation has not terminated;
- (5) Family members immigrating at the same time or within six months of the principal immigrant listed in the chart in Part 3 of Form I-864; and
- (6) Any other relatives residing in the sponsor's household who are not dependents, if they complete a Form I-864-A, Contract Between Sponsor and Household Member, promising to make their income

and/or assets available to the sponsor and intending immigrants.

9 FAM 40.41 N7.2 Use of Form I-864-A, Contract Between Sponsor and Household Member

(CT:VISA-911; 11-02-2007)

- a. If a sponsor's individual income meets or exceeds the required level of the Poverty Guidelines, no other evidence is necessary. In cases in which the sponsor's individual income is insufficient, however, a Form I-864-A, Contract between Sponsor and Household Member, must be submitted by any household member who is willing for his or her income to be used by the sponsor to meet the guidelines. The primary sponsor must include the names of these individuals and their contributions on his or her Form I-864, Affidavit of Support under Section 213A of the Act.
- b. Under Form I-864-A, the household member agrees to provide as much financial assistance as may be necessary to enable the sponsor to maintain the sponsored immigrant(s) at the required annual income level. The household member will be legally liable for any reimbursement obligations that the sponsor may incur.

9 FAM 40.41 N7.3 Applicant's Use of Form I-864-A, Contract Between Sponsor and Household Member

(CT:VISA-911; 11-02-2007)

- a. If the sponsored immigrant has accompanying family members and the sponsor seeks to rely on the sponsored immigrant's continuing income in the United States to establish the sponsor's ability to support the accompanying family members, the sponsored immigrant must sign Form I-864-A, Contract between Sponsor and Household Member. Income shown in a sponsored immigrant's Form I-864-A cannot be based on an offer of employment that has not yet been effected. (See 9 FAM 40.41 N4.6 above.)
- b. If the sponsored immigrant does not have accompanying family members, he or she cannot submit Form I-864-A. His or her income may be counted in the household income, however, if he or she will continue to work in the same job after he or she immigrates to the United States. You may request evidence of the applicant's income such as pay statements and tax returns, if he or she was required to file them, and should request a letter from the employer certifying that the employment will continue after the applicant's immigration to the United States.

9 FAM 40.41 N8 DEFINING "JOINT

SPONSOR"

(CT:VISA-911; 11-02-2007)

- a. A "joint sponsor" is one who is not the petitioner for the sponsored immigrant but who otherwise meets the citizenship, residence, age, and household income requirements, as set forth in 9 FAM 40.41 N5.2, and has executed a separate Form I-864, Affidavit of Support Under Section 213A of the Act, on behalf of the intending immigrant. If a petitioner or sponsor meets the minimum income requirements, no joint sponsor may submit Form I-864 unless you or the immigration officer specifically requires it.
- b. Two joint sponsors can be used per family unit intending to immigrate based upon the same petition. No individual may have more than one joint sponsor, but it is not necessary for all family members to have the same joint sponsor. If two joint sponsors are used, each joint sponsor is responsible only for the intending immigrant(s) listed on the joint sponsor's Form I-864.
- c. A joint sponsor is jointly and severally liable with petitioning sponsor and any household members who have signed a Form I-864-A. He or she must individually meet the minimum income requirements as set forth above. Anyone outside the petitioner's household may be considered a joint sponsor. Joint sponsors may include the income and assets of members of their own household and dependents to meet the income requirement.
- d. In the event a sponsor has died before all family members have followed to join the principal, a joint sponsor is permitted to execute a Form I-864. In such a case, there is no requirement that you must request a joint sponsor. The new sponsor may submit a Form I-864, regardless of the status of the deceased petitioner's estate.

9 FAM 40.41 N9 LEGAL OBLIGATIONS OF SPONSORS

(CT:VISA-1317; 09-24-2009)

- a. The execution of Form I-864, Affidavit of Support Under Section 213A of the Act, creates a legally-binding contract between the sponsor(s) (including any household members who have executed Form I-864-A, Contract Between Sponsor and Household Member, and any joint sponsor), and any Federal, State, local, or private entities that provide means-tested public benefits throughout the duration of the contract. By executing Form I-864, the sponsor agrees to:

- (1) Provide financial support necessary to maintain the sponsored immigrant at an income that is at least 125 percent of the Federal poverty guidelines for the indicated family size (see 9 FAM 40.41 Exhibit I, Poverty Income Guidelines); and
 - (2) Reimburse any agencies that provide means-tested benefits to a sponsored alien.
- b. In most cases, an alien is not eligible to receive any Federal benefits during *his or her* first five years in the United States. Although the alien may obtain public benefits thereafter, disbursing entities may seek reimbursement from the alien's sponsor for certain means-tested benefits received by the alien, for the duration of the validity of the affidavit of support. In the event that petitioner's Form I-864 does not meet the minimum Federal poverty guideline amount and a joint sponsor is necessary, the petitioner is still responsible for any amount of income or assets included in his or her Form I-864.

9 FAM 40.41 N9.1 Public Charge Aspects of Medical Treatment Cases Under INA 212(g)

(CT:VISA-911; 11-02-2007)

Some hospitals and sanatoria are operated by State or Federal agencies and do not make provisions for collecting fees from patients accepted for treatment. Thus, even if the institution is supported by public funds and will not be reimbursed for services rendered, an applicant eligible for the benefits of INA 212(g) is not considered inadmissible under INA 212(a)(4).

9 FAM 40.41 N9.2 Duration of Obligation Under Form I-864, Affidavit of Support Under Section 213A of the Act

(CT:VISA-911; 11-02-2007)

Sponsors, joint sponsors, and household members (who have executed Form I-864, Affidavit of Support under Section 213A of the Act or Form I-864-A, Contract between Sponsor and Household Member) are bound by the contract terms until the applicant:

- (1) Is naturalized;
- (2) Has worked, or can be credited with, 40 qualifying quarters of work;
- (3) Leaves the United States permanently; or
- (4) Dies.

9 FAM 40.41 N9.3 Death of the Sponsor

(TL:VISA-342; 01-08-2002)

In the event that a sponsor dies, the sponsor's estate remains liable for the duration of the contract. If the sponsor dies after the principal applicant has immigrated, but before the qualified family members who are following to join have immigrated, the applicants must get another sponsor, although no new petition need be filed. If the principal applicant can meet the requirements to be a sponsor, he or she may submit Form I-864, Affidavit of Support under Section 213A of the Act, for his or her family members.

9 FAM 40.41 N10 "MEANS-TESTED" BENEFITS

(CT:VISA-1317; 09-24-2009)

- a. During the life of the contract, a sponsor is liable for "means-tested benefits" received by the sponsored applicant. Federal, State, and local agencies will define which benefits are "means-tested" and whether they wish to seek reimbursement.
- b. The agency supplying the means-tested benefit must have designated the program *as such* prior to the sponsor's submission of Form I-864, Affidavit of Support Under Section 213A of the Act, *for expenses relating to that benefit* to be reclaimable from the sponsor. Moreover, the agency must request reimbursement. In the absence of such a request, the sponsor is not liable.
- c. It must be noted, moreover, that the participation of an applicant or sponsor in a supplemental program is not to be considered in a "public charge" determination. Only those programs that are paid in cash and are the primary source of the alien's income should be part of the totality of the circumstances for that alien.
- d. As the Department of State has no role with respect to designating means-tested benefits or with reimbursement, *any question regarding whether a benefit should be considered a means-tested benefit is outside the scope of your inquiry into an applicant's eligibility for a visa.*

9 FAM 40.41 N11 PUBLIC CHARGE CONSIDERATION IN NONIMMIGRANT CASES

9 FAM 40.41 N11.1 Qualifying Nonimmigrants Under INA 212(a)(4)

(CT:VISA-1317; 09-24-2009)

With the exception of nonimmigrants who qualify under INA 101(a)(15)(A) or (G), who are exempt from the public charge provisions of the law under INA 102 (other than those classifiable as A-3 or G-5), all nonimmigrants must overcome the public charge presumption. In determining admissibility under INA 212(a)(4), you must be aware of the differences in the requirements imposed on a would-be immigrant as opposed to a nonimmigrant applicant. The amount and type of evidence generally required in an immigrant case is much greater than that required in a nonimmigrant case. Evidence that establishes the applicant is entitled to a nonimmigrant classification is generally sufficient to meet the requirements of INA 212(a)(4), *absent evidence that gives you reason to believe that a public charge concern exist*. For example, a temporary worker who is the beneficiary of an approved petition or an information media representative who presents evidence of employment by a foreign information medium would not ordinarily have to present additional public charge evidence.

9 FAM 40.41 N11.2 Support Evidence for Nonimmigrant Cases

(CT:VISA-911; 11-02-2007)

- a. Your extensive inquiry into the question of the possible public charge inadmissibility of a nonimmigrant visa (NIV) applicant should be rare if the alien is otherwise qualified for the visa category for which the alien has applied. Ordinarily, a nonimmigrant would be required to provide evidence on the question of public charge only when there are clear indications, based on the usual evidence required to support the application, that the alien does not have sufficient resources to sustain assistance.
- b. However, if the evidence of nonimmigrant status submitted does not indicate adequate provision for the applicant's support while in the United States and for the return abroad, you may request specific financial evidence. Such evidence may take the form of a letter of invitation, Form I-134, Affidavit of Support, from a sponsor that clearly indicates the sponsor's willingness to act in such capacity and the extent of financial responsibility undertaken for the applicant, or a public charge bond (see 9 FAM 40.41 N11.8).
- c. Unless you are satisfied that the sponsor's financial position is sound, the affidavit of support (AOS) should contain evidence of the sponsor's ability to carry out the commitment. Such AOS's for NIV are not legally-binding contracts, and it is at your discretion to determine if such evidence would assist a nonimmigrant alien in overcoming a finding of inadmissibility because of the likelihood of becoming a public charge after entering the

United States. If the applicant is proceeding to the United States for a brief visit, the presentation of evidence of the sponsor's financial condition may not be necessary.

9 FAM 40.41 N11.3 Unwarranted Requirements

(CT:VISA-1317; 09-24-2009)

Under U.S. law, no individual can make binding assertions about another person's possible future actions. If you determine that a Form I-134, is necessary, the sponsor (meaning the individual who has completed the Form I-134) is not required to declare that the applicant will neither seek nor accept employment in the United States nor apply for permanent residence. Under certain circumstances, nonimmigrants are permitted to work or, if not permitted to work at the time of admission, they may be permitted to work after their nonimmigrant classification has been changed under INA 248. Moreover, a nonimmigrant in the United States is entitled to apply for adjustment of status under INA 245 if eligible therefore.

9 FAM 40.41 N11.4 Reserved

9 FAM 40.41 N11.5 Alien's Government Requiring Evidence of Support

(CT:VISA-823; 07-14-2006)

Some foreign governments require their nationals to present evidence of support from a U.S. sponsor prior to the issuance of a passport or exit permit. Such documentation is usually required in the form of an AOS guaranteeing that, while in the United States, the alien will not become a burden on the applicant's country. Consular officers who are serving in a country with this requirement should not automatically require all aliens applying for visas to submit a copy of the support evidence submitted to the alien's government. However, in some instances, you may decide such evidence would be advisable.

9 FAM 40.41 N11.6 Aliens Seeking Admission for Medical Treatment

(CT:VISA-911; 11-02-2007)

If the personal resources of an applicant seeking admission to the United States for medical treatment are not sufficient or are unavailable for use outside the country of residence, you may accept a sponsorship affidavit. The affidavit should include explicit information regarding the arrangements made for the alien's support, medical care, and, if applicable, assurance that

a bond will be posted if required by the DHS/USCIS.

9 FAM 40.41 N11.7 Alien Seeking Admission as K Nonimmigrant

(CT:VISA-1317; 09-24-2009)

Since K-1 (fiancé(e) of a U.S. citizen) and K-2 (child of the fiancé(e) of a U.S. citizen), K-3 (spouse of U.S. citizen), and K-4 (child of K-3) applicants are technically applying for nonimmigrant visas (NIV), they must use Form I-134, Affidavit of Support, if you determine that a Form I-134 is necessary. You *must* not require or accept Form I-864, Affidavit of Support under Section 213A of the Act in K visa cases. Such applicants will, however, have to submit Form I-864, to the DHS/USCIS at the time of adjustment of status to that of a lawful permanent resident (LPR).

9 FAM 40.41 N11.8 Maintenance of Status Bond

(CT:VISA-823; 07-14-2006)

You may suggest the posting of a public charge bond pursuant to INA 213 in the case of an applicant who appears to qualify for the nonimmigrant visa (NIV), except that the financial evidence submitted is not sufficient to establish the applicant is eligible to receive a visa under INA 212(a)(4), even with the presentation of a Form I-134, Affidavit of Support. The procedures for posting bond for NIVs are the same as those for immigrant visas (IV). (See 9 FAM 40.41 N4.6-4.)

9 FAM 40.41 N12 INA 221(G) VS. INA 212(A)(4) REFUSALS

(CT:VISA-1126; 12-03-2008)

The determination of whether INA 221(g) or INA 212(a)(4) is the appropriate ground of refusal is determined by the common sense distinction between what is "documentary" and what is "substantive."

- (1) For example, if Form I-134, Affidavit of Support is technically deficient or requires updated information, it is a documentary problem; i.e., it is a matter of that document needing some correction or completion and the refusal should be based on INA 221(g).
- (2) On the other hand, if the AOS is technically complete, but does not reflect sufficient financial resources, even after any possible joint sponsors have submitted an AOS; or the applicant has no Form I-864, Affidavit of Support Under Section 213A of the Act, because

the petitioner or sponsor does not meet the qualifying criteria set forth in INA 213A, that is a substantive problem and you must refuse the visa under INA 212(a)(4).

- (3) You should note that applications refused under INA 212(a)(4), unlike those refused under INA 221(g), are not subject to termination under INA 203(g).

9 FAM 40.41 N13 REFERRAL OF QUESTIONABLE CASES

(CT:VISA-1126; 12-03-2008)

Whenever the facts in the case do not present a clear outcome, you should refer the case to the Office of Legislation and Advisory Opinions Division (CA/VO/L/A).