



## ARIZONA DEPARTMENT OF REAL ESTATE

[www.azre.gov](http://www.azre.gov)  
[broker.specialist@azre.gov](mailto:broker.specialist@azre.gov)  
2910 N 44<sup>TH</sup> STREET STE-100  
PHOENIX, AZ 85018

Janice K. Brewer  
Governor

Judy Lowe  
Commissioner

### NEW ENTITY INSTRUCTIONS & CHECKLIST

Submit this packet to [broker.specialist@azre.gov](mailto:broker.specialist@azre.gov), by fax to 602-955-6284, by mail, or in person.

**Correspondence is sent by email to the Designated Broker (DB) only.** Third party inquiries must correspond thru the DB.

**NO APPOINTMENT NEEDED** ADRE now accepts this packet by scan, fax, mail, or in person.

**DO NOT SEVER OR TRANSFER** yourself or any agents before speaking directly to a broker specialist or before submitting this packet.  
**DO NOT CLOSE** any offices. ADRE will guide you thru every step to ensure little or no down time.

**ADRE does not expedite.** All requests are processed on a first come first serve basis.

**CORRESPONDENCE AND RECEIPT** of this packet will go directly to the incoming DB only. All DB's will be sent an email regarding receipt of submittal, deficiencies, payment request, processing date, and a final email notification that the request has been processed. All licensees must maintain their personal information by logging into their personal page at [www.azrwe.gov](http://www.azrwe.gov), review information, and if necessary, update personal information before submittal of this and any of the forms here in. Third party requests, correspondence, and inquiries cannot be addressed do to the privacy rights of the licensee.

**FEES SCHEDULE** visit [www.azre.gov](http://www.azre.gov) for an up to date fee schedule. Fee is due before processing.

### **PROCESSING STEPS & REQUIRED DOCUMENTS**

Follow each step exactly to ensure approval of your submittal. Missing steps **CAN** delay the process. Complete the packet in full and ensure that all supporting documentation is submitted as part of your request. Partial packets or partial submittals **will not** be accepted.

1. Submit the **Entity Name Reservation Request**. Everyone must complete this step before going to the Secretary of State or the Arizona Corporation Commission to register an entity. ADRE reservations are free and names are held for 45 days, if you do not use the name before the expiration date, ADRE cannot ensure the name will still be available if you do not request an extension in writing before the expiration date. **Only 1 legal and 1 DBA reserved per customer.** You can resubmit another request only after current reservation expires or if the name was denied by the Secretary of State, the Arizona Corporation Commission (ACC), or ADRE. If denied from the Secretary of State or the ACC, you must submit a new reservation form with supporting denial documentation from division that denied the name. Multiple reservations are not allowed. Make sure you research and request you're submittal request to ensure the name is what you want.
2. Once name is approved with ADRE, you can register the brokerage with the ACC or Secretary of State.
3. Apply for an EIN number from IRS and set up any trust accounts before entity is licensed with ADRE.

### **NEW ENTITY DOCUMENT SUBMITTAL CHECKLIST**

Refer to each form for detailed instructions before submitting. Incomplete or blank forms will delay the process. Do not submit your request more than 2 weeks before the request needs to be processed.

- Employing Broker Change form.**
- Resolution. All entities must submit a Resolution.** Refer to Employing Broker Change form for instructions.
- Letter of Resignation** if you are currently the DB of an active entity.
- Application for an Employing Broker License.** Review instructions for the proper qualifications to set up a LLC with ADRE.
- Entity Name Reservation Notice.** Name must be approved and not expired.
- Aware Statement.**
- A list of all** members, managers if a LLC, or officers if a Corporation.
- List of owners** whom own 10% or more interest.
- Original License Questionnaire.**

#### **ALL ARTICLES AND AMENDED ARTICLES MUST**

- Be stamped "**FILED**" by the ACC or Secretary of State.
- **All articles must list a natural person** pursuant to rule R4-28-302.D.
- If articles are stamped "**RECEIVED**" you **must** submit proof of expedited payment.
- "**PENDING**" articles will not be accepted under any circumstance.
- Submit a copy of Articles of Organization, Articles of Incorporation, Application For Registration Of A Foreign Limited Liability Company, or an Application for Authority to Transact Business in Arizona.
- Submit a copy of **ANY** and **ALL** amendments to any of the above mentioned filings.
- Copies of articles for **ANY** and **ALL** entities listed within the new brokerage articles. Including trusts, only the page that states entity is part of said trust.
- Operating Agreement**, only if one is in place for a LLC.
- Submit a copy of **Brokers Management Certificate (BMC)**.
- Submit **Proof of Legal Presence**.

**NOTE** - Do not send instructions, tax forms, cover sheets, or requests over 20 pages. If your submittal is over 20 pages, you will need to submit by mail or in person.



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**ENTITY NAME RESERVATION REQUEST**

**SUBMIT** to [broker.specialist@azre.gov](mailto:broker.specialist@azre.gov), fax to 602-955-6284, or drop off your request in person.

**ADRE does not expedite or process this request over the counter. Allow up to 7 business days for research, review, and response of this form.** Only 1 legal and 1 DBA reserved per customer. If 1<sup>st</sup> choice is approved, 2<sup>nd</sup> choice will not be researched. Upon approval the name will be reserved for 45 days free of charge. An **Entity Name Reservation Notice** will be sent to you by email which must be submitted to ADRE for processing your request. Extensions must be requested in writing before expiration. You can resubmit a new name request only after a denial or if your 1<sup>st</sup> request has expired.

**WHO SHOULD SUBMIT A REQUEST** / All New Entities, Foreign Entities, or Sole Proprietors using a DBA.

**DO NOT SUBMIT A REQUEST IF** / A Professional Corporation or a Professional Limited Liability Company.

**COMMENTS FIELD** / If you are using initials for your request, please explain what the initials stand for in comments.

<b>I SUBMITTED REQUEST</b>		<input type="checkbox"/> In Person	<input type="checkbox"/> By Scan / Email	<input type="checkbox"/> By Fax
<b>I AM REQUESTING</b>		<input type="checkbox"/> New Legal Name	<input type="checkbox"/> New DBA	<input type="checkbox"/> Extension
		<input type="checkbox"/> Legal Name Change	<input type="checkbox"/> DBA Change	
<b>REQUESTOR</b>	<b>Print Your Name</b> (Should be DB or incoming DB's name)		<b>License Number</b>	<b>Date of Submittal</b>
	<b>Phone Number</b> (      )		<b>Fax Number</b> (      )	
	<b>Email Address</b>			
<b>LEGAL NAME</b>	1 <sup>st</sup> Choice			
	Comments			
	<input type="checkbox"/> MAY USE AS DBA	<input type="checkbox"/> EXTENDED	<input type="checkbox"/> DENIED	<input type="checkbox"/> APPROVED THRU / / PROCESSED BY
	2 <sup>ND</sup> Choice (ONLY REVIEWED IF 1 <sup>ST</sup> CHOICE WAS DENIED)			
	Comments			
	<input type="checkbox"/> MAY USE AS DBA	<input type="checkbox"/> EXTENDED	<input type="checkbox"/> DENIED	<input type="checkbox"/> APPROVED THRU / / PROCESSED BY
<b>DBA NAME</b>	1 <sup>st</sup> Choice			
	Comments			
		<input type="checkbox"/> EXTENDED	<input type="checkbox"/> DENIED	<input type="checkbox"/> APPROVED THRU / / PROCESSED BY
	2 <sup>nd</sup> Choice (ONLY REVIEWED IF 1 <sup>ST</sup> CHOICE WAS DENIED)			
	Comments			
	<input type="checkbox"/> EXTENDED	<input type="checkbox"/> DENIED	<input type="checkbox"/> APPROVED THRU / / PROCESSED BY	

**ADRE USE ONLY**

REVIEW DATE / /	PROCESSED DATE / /	CONFIRMATION SENT BY <input type="checkbox"/> FAX <input type="checkbox"/> EMAIL <input type="checkbox"/> IN PERSON	DATE STAMP
COMMENTS			

# ARIZONA DEPARTMENT OF REAL ESTATE

## EMPLOYING BROKER CHANGE FORM

This form is NOT for SALESPERSON or ASSOCIATE BROKER changes.

ORIGINAL SIGNATURE REQUIRED FOR IN OFFICE PROCESSING. **SOLE PROPRIETORS DO NOT NEED AN APPOINTMENT TO PROCESS A SOLE PROPRIETORSHIP.** EMAIL [broker.specialist@azre.gov](mailto:broker.specialist@azre.gov) for new entities, designated broker changes, and any broker inquiries before you make any changes, severances, or transfers to any license or licensee record. **Employing Brokers are businesses such as Sole Proprietorships, Corporations, Limited Liability Companies and Partnerships.**

### **BROKER SPECIALIST ASSISTANCE**

Contact a broker specialist in person or by email before submitting this packet to ADRE for processing. ADRE wants to ensure that your request is researched and reviewed accurately. Email all new entity requests, designated broker (DB) change requests, and all broker inquiries to [broker.specialist@azre.gov](mailto:broker.specialist@azre.gov).

**ENTITY (BROKERAGE) NAME RESERVATION FORM** - The Legal Entity Name and DBA (Doing Business As) name, if any, **MUST be approved by The Arizona Department of Real Estate** even if the Corporation Commission or Secretary of State has approved the name. It may not be available for use. If approved, the name will be reserved for 45 calendar days. If denied, you must resubmit until a name is approved. Limit reservations to one Legal and one DBA. Multiple requests not accepted.

**SEVERING LICENSEE'S** – **DO NOT** sever yourself, transfer, or sever any agents or close any offices until a Broker Specialist instructs you to do so. If agent cannot be severed online, DB must submit paper form with in office fees.

- LEGAL PRESENCE** – As of October 2008 **ALL LICENSEE'S** must prove legal residency. Acceptable documents as outlined by the legislation are online at [www.azre.gov](http://www.azre.gov).
- BROKER MANAGEMENT CLINIC** - Designated Brokers or incoming DB must have attended a Broker Management Clinic within the past 23 months in order to qualify as a DB. Submit copy along with this form.
- TITLE COMPANY OR TRUST ACCOUNTS** – Designated Broker should have a Trust Account set up and account information ready for submittal to ADRE before processing. If you are not using a Trust Account, please mark Title Company.
- FEDERAL TAX ID NUMBER OR EIN NUMBER** – EIN Number it should be on record with ADRE.

**FEES** - FEES MAY CHANGE WITHOUT NOTICE. Visit [www.azre.gov](http://www.azre.gov) for an up to date fee schedule.

### **INACTIVE STATUS BROKER CHANGING TO - ACTIVE STATUS DESIGNATED BROKER (FOR AN INACTIVE ENTITY)**

- Submit Unlawful License Activity Statement Form.
- Complete Employing Broker Change form as DB (of entity) – Change Being Made – To Active Status.
- Leave **Change From** side blank. Unless resigning as Sole Proprietor or DB from another entity, then you need to complete **Change From** side with business information you are departing from.
- Complete **Change To** side with current business information you're moving your license to.
- Provide proof of attendance at a Broker Management Clinic within the preceding 23 months.
- Provide new resolution signed by all members, managers, or officers as described below.

### **ACTIVE STATUS DESIGNATED BROKER CHANGING TO INACTIVE STATUS**

- Submit a letter of resignation as the designated broker or sole proprietor of departing entity. Once submitted be aware that your license will be placed in inactive status until further action is taken to change the status of employment. Associate broker's can hire online from their personal page.
- Sever all employees on Salesperson/Associate Broker Change form, (in office fees do apply), or by using the Online Licensing System. All Associate Brokers and Salesperson's can hire online from their personal page.

### **ASSOCIATE BROKER STATUS CHANGING TO DESIGNATED BROKER STATUS**

#### **For a Corporation, LLC, Partnership, or Foreign Entity**

- If you are a Branch Manager - Submit a paper severance signed by your current DB to sever you as an associate broker and remove branch manager status. Use the Salesperson/Associate Broker Change form.
- If you are not a branch manager, sever online from your personal page.
- Complete Employing Broker Change form as new designated broker or an original entity or Designated Broker Change if changing DB.
- Provide proof of attendance at a Broker Management Clinic within the preceding 23 months.
- Provide new resolution (described below).

**Designated Brokers utilizing a Professional Corporation (PC) or Professional Limited Liability Company (PLLC)** - Designated Brokers that hold a PC or PLLC status **CANNOT** share said PC or PLLC with any other person or persons. If incoming DB shares a PC or PLLC with any other person or persons must have the PC or PLLC amended to remove additional persons or have DB removed from said PC or PLLC and must submit the amended articles prior to setting the DB in place. See form LI-231 Application for Real Estate Salesperson or Broker PC/PLLC Application for requirements. See **A.R.S. §§ 32-2125, 32-2136 and A.A.C. R4-28-302 & R4-28-303.**

### **ASSOCIATE BROKER STATUS CHANGING TO SE STATUS (SOLE-PROPRIETORSHIP)**

- Submit Business Name Approval Form if using a DBA
- Complete Broker Change Form - Change Being Made – To Sole-Proprietorship – Leave **Change From** side blank. Complete **Change To** side with current business information you are moving to.
- **Branch Manager Status Associate Brokers** must submit a Salesperson / Associate Broker Change Form (LI-202) for severance with current DB signature. All other associate brokers can use the Online Licensing System.
- Provide proof of attendance at a Broker Management Clinic within the preceding 23 months.

# EMPLOYING BROKER CHANGE FORM

Continued

## EMPLOYING BROKER BUSINESS ADDRESS CHANGE

- Complete Employing Broker Change Form - Change Being Made – Business Address or Mailing Address Change. Complete **Change From** side with old business address information. Complete **Change To** side with updated information only.
- Attach current employee list or roster from the public database.

## DESIGNATED BROKER CHANGING TO SE (SOLE PROPRIETORSHIP) STATUS

- Submit a letter of resignation as current designated broker of employing entity.
- Complete Employing Broker Change Form - Change Being Made – From Sole Proprietor. Complete **Change From** side with business information you are departing from. Complete **Change To** side with sole proprietorship information.
- Submit Salesperson /Associate Broker Change Form to sever any or all **branch manager** status agents from departing entity. All other agents can submit a form in office or use the Online Licensing System to sever.
- If a DBA name is to be used, the DBA name must be approved by ADRE before submittal of any documentation. Submit Business Name Approval Form (LI-213) by fax to 602-955-6284. Allow 2 weeks for research and processing.
- Submit a copy of Broker Management Clinic. This certificate is only valid for 24 months and must be valid upon submittal.

## ENTITY'S CHANGE OF DESIGNATED BROKER

- Submit a letter of resignation from the current DB of the entity OR include a company resolution removing the current DB.
- Submit Employing Broker Change Form completed by the incoming DB. Change Being Made - DB Change. Complete the **Changing From** side with business information incoming DB is departing from. If incoming DB is inactive, leave blank.
- Submit a Resolution appointing incoming DB. See page 4 of this form.
- Submit a copy of Broker Management Clinic. This certificate is only valid for 24 months and must be valid upon submittal.
- **Possible fee** for realignment of branch offices depending on expiration date of incoming DB.
- If resigning designated broker is to become an associate broker, use a Salesperson/Associate Broker Change Form (LI-202) or request to be hired using the Online System to return to active status.

## \*RESIDENT BROKER CHANGE TO A NON-RESIDENT BROKER (OUT OF STATE ADDRESS)

- A non-resident broker who maintains the principal office outside Arizona shall:
  1. Place monies with an escrow company licensed and located in Arizona, or a trust account in Arizona for monies received from transactions in Arizona.
  2. Maintain copies of records in Arizona for all Arizona transactions handled by the broker.
  3. Provide a letter appointing a Custodian of Records stating name, address and phone number of the person, (residing in Arizona, such as a statutory agent or attorney, who will have possession of said records). This information must be kept current and on file with the Department.
- A non-resident broker who employs any licensee within the state shall:
  1. Immediately establish a branch office in Arizona,
  2. Appoint a branch manager and
  3. Provide a statement describing how the licensee shall be supervised, pursuant to R4-28-302 (K).  
See Branch Office Application Form and Salesperson / Associate Broker Change Form for requirements.
- Complete an Employing Broker Change Form.

### ALL ENTITIES MUST SUBMIT, SET UP, OR PROVIDE THE FOLLOWING;

- Submit the Entity Name Reservation Notice with name approval, (not expired) from ADRE.
- A natural person must be listed within the articles.
- Submit a Certificate of Good Standing if entity was established over one year ago or if a foreign entity.
- Have a Tax Id or Employer Identification Number (EIN) set up before submittal of this application.
- Submit a list of trust accounts if more than one and only if conducting property management.
- If an LLC, submit an operating agreement and any amendments only if one is in place.
- Appoint Designated Broker by resolution, even if you are the only member, manager, or officer.

### NOTE REGARDING RESOLUTION

- ❖ If member-managed LLC, **the DB must** be a member and listed within articles and appointed by resolution.
- ❖ If manager-managed LLC, **the DB does not** have to be listed within the articles but must be appointed manager by resolution and DB of said entity.
- ❖ If corporation, resolution must state the DB was appointed and state the office the DB holds.

### SUBMITTING ARTICLES

- All articles & amendments must be stamped "**FILED**" to be an expectable document for submittal.
- Any articles & amendments stamped "**RECEIVED**" must be expedited with the ACC. You must submit proof of expedited payment from the ACC to be an expectable document for submittal. A copy of a receipt or expedited stamp will be accepted.

### TYPES OF ENTITIES THAT ARE REQUIRED TO BE LICENSED BY ADRE ARE;

- **Limited Liability Companies**
- **Corporations**
- **Foreign Entities**
- **General Partnerships**
- **Limited Partnerships**
- **Limited Liability Partnership**



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**EMPLOYING BROKER CHANGE FORM**

Designated Broker Name (BR)					
License Number (BRXXXXXX000)		License Expiration Date			
Broker Management Clinic Date		Did input this course information into your personal page?		<input type="checkbox"/> NO	<input type="checkbox"/> YES
<b>DO YOU HAVE A PC OR PLLC?</b>	<input type="checkbox"/> NO	<input type="checkbox"/> YES	IF YES, IS IT IN GOOD STANDING WITH THE ACC?	<input type="checkbox"/> NO	<input type="checkbox"/> YES

**SELECT TYPE OF CHANGE OR CHANGES BEING MADE**

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> BUSINESS ADDRESS CHANGE    | <input type="checkbox"/> NEW DB FOR NEW ENTITY               | <input type="checkbox"/> CHANGE TO SOLE PROPRIETOR (SE)   |
| <input type="checkbox"/> MAILING ADDRESS CHANGE     | <input type="checkbox"/> DB CHANGE FOR EXISTING ENTITY       | <input type="checkbox"/> CHANGE FROM SOLE PROPRIETOR (SE) |
| <input type="checkbox"/> BUSINESS LEGAL NAME CHANGE | <input type="checkbox"/> *CHANGE TO NON RESIDENT BROKER      | <input type="checkbox"/> CHANGE TO ACTIVE STATUS          |
| <input type="checkbox"/> DBA ADD OR CHANGE          | <input type="checkbox"/> PHONE OR FAX NUMBER CHANGE (NO FEE) | <input type="checkbox"/> CHANGE TO INACTIVE STATUS        |

**SELECT BUSINESS TYPE**

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> CORPORATION (CO)     | <input type="checkbox"/> LIMITED LIABILITY COMPANY (LC) | <input type="checkbox"/> PARTNERSHIP (PA)                   |
| <input type="checkbox"/> SOLE PROPRIETOR (SE) | <input type="checkbox"/> FOREIGN ENTITY QUALIFIED IN AZ | <input type="checkbox"/> LIMITED LIABILITY PARTNERSHIP (PA) |

ADRE USE ONLY		ADRE USE ONLY	
CHECK ACC FOR GOOD STANDING	CSR INITIAL	CHECK ACC FOR GOOD STANDING	CSR INITIAL
<b>CHANGING FROM</b> OUTGOING DB MUST SUBMIT RESIGNATION <input type="checkbox"/> (If currently an Associate Broker or inactive leave blank)		<b>CHANGING TO ENTITY INFORMATION</b> INCOMING DB MUST SUBMIT RESOLUTION <input type="checkbox"/> (If going inactive leave blank)	
ENTITY LEGAL NAME		ENTITY LEGAL NAME	
DBA NAME (IF ONE IS USED)		DBA NAME (IF ONE IS USED)	
EIN # ENTITY TAX ID #		EIN # ENTITY TAX ID #	
ENTITY LICENSE NUMBER (SE, CO, PA, LC)		ENTITY LICENSE NUMBER (SE, CO, PA, LC)	
PHYSICAL BUSINESS ADDRESS		PHYSICAL BUSINESS ADDRESS	
SUITE OR UNIT #		SUITE OR UNIT #	
CITY, STATE, & ZIP CODE		CITY, STATE, & ZIP CODE	
MAILING ADDRESS OR PO BOX		BUSINESS MAILING OR PO BOX	
SUITE OR UNIT #		SUITE OR UNIT #	
CITY, STATE, & ZIP CODE		CITY, STATE, & ZIP CODE	
BUSINESS TELEPHONE		BUSINESS TELEPHONE	
FAX NUMBER		FAX NUMBER	

I WILL USE TITLE COMPANY (OR)  I WILL USE TRUST ACCOUNT. SEE SUBMITTAL CHECKLIST FOR REQUIRED BANK INFORMATION.

**X**

PRINT DESIGNATED BROKER NAME		ORIGINAL SIGNATURE REQUIRED		DATE
(If Sole Proprietor, in signing this form, I declare I am the ONLY person who owns, has exclusive title or legal right to the business.)				
<b>FOR ADRE USE ONLY</b>				
<b>EFFECTIVE DATE</b>			<b>DATE STAMP</b>	<b>RECEIPT</b>
<b>INPUT DATE</b>				
<b>TIMEFRAME</b>	TF 1	TF 2		
<b>PROCESSED</b>				

**ARIZONA DEPARTMENT OF REAL ESTATE**  
**APPLICATION for EMPLOYING BROKER LICENSE**  
**(NOT FOR SOLE PROPRIETORS OR SELF EMPLOYED BROKERS)**

**FOR A FOREIGN ENTITY QUALIFIED TO CONDUCT BUSINESS IN ARIZONA**

See further instructions under LLC or Corporation requirements for additional required documents.

- A **"FILED"** copy of the original Articles from the state of origin and all amendments.
- A certificate of good standing from the state in which the entity or brokerage originates.
- Submit a **"FILED"** copy of the Application of Authority to conduct business as a foreign entity in Arizona from the ACC.
- Copies of articles for any Corporation, LLC, or Partnership that is listed as a member within the articles who owns 10% or more within the said entity or brokerage must provide a copy of articles filed in Arizona. All said entities must be qualified to conduct business in Arizona.
- A list of the name and address of each members/managers, and the name and address of any person controlling or holding more than 10% of the membership interest in the limited liability company.

**FOR A LIMITED LIABILITY COMPANY (LLC)**

- A copy of the Original Articles of Organization and any and all amended articles.
- Copies of articles for any corporation, LLC, or partnership that is listed as a member or manager within the articles who owns 10% or more within the said entity.
- A copy of the operating agreement (only if one is in place), and any amendments.
- Resolution appointing DB signed by all members or managers.
- A list of the name and address of each members/managers, and the name and address of any person controlling or holding more than 10% of the membership interest in the limited liability company.

**FOR A CORPORATION (CO)**

- Submit a copy of the Articles of Incorporation and any amendments stamped **"FILED"** by the ACC.
- Any corporation, LLC or partnership** that is listed as a member within the articles who owns 10% or more within the said entity, you must provide a copy of articles filed in Arizona and said entity must qualify to conduct business in Arizona.
- A list of the name and address of each officer and director, and the name and address of each shareholder controlling or holding more than 10% of the issued and outstanding common shares, or of any other proprietary, beneficial, or membership interest in the corporation.

**FOR A GENERAL PARTNERSHIP**

- A copy of the Partnership Agreement and any amendments from the county in which it is registered in.
- The name and address of each partner, and the name of any other person with a beneficial or membership interest in the partnership.
- An agreement signed by all partners, stating the name of the partner appointed to act as designated broker.

**FOR A LIMITED PARTNERSHIP**

- A copy of the Application of Registration stamped **"FILED"** by the Secretary of State.
- A copy of the Partnership Agreement and any amendments.
- An agreement or resolution that states the name of the partner appointed to act as designated broker.
- The designated broker shall be:
  - A partner of the general partner if the general partner is a partnership
  - A member of the member-managed limited liability company or manager of the manager-managed limited liability company if the general partner is a limited liability company
  - A corporate officer of the corporate partner if the general partner is a corporation
  - A limited partner of a partnership shall not be designated broker for the partnership

**FOR A LIMITED LIABILITY PARTNERSHIP**

- A copy of the Articles of Organization stamped **"FILED"** by the Arizona Corporation Commission.
- A copy of the partnership Agreement and any amendments.
- An agreement or resolution that states the name of the partner appointed to act as designated broker.
- The designated broker shall be:
  - A partner of the general partner if the general partner is a partnership
  - A member of the member-managed limited liability company or manager of the manager-managed limited liability company if the general partner is a limited liability company
  - A corporate officer of the corporate partner if the general partner is a corporation; or a limited partner of a partnership shall not be designated broker for the partnership

**IMPORTANT NOTE:**

This is notification of one or more deficiencies in your application. Please correct or submit the deficiencies by the deadline noted or your application will be deemed incomplete and the file closed. The Department must grant or deny a license within a specific period of time once an application is complete. An applicant also has a specific period of time in which to correct any identified deficiency. If you do not provide or correct the identified item(s), or provide the additional information as requested, the application shall be deemed "incomplete" or "withdrawn" and the file closed. If you later wish to apply for a license, you must submit a new application, including applicable fees. R4-28-103. If the Department does not grant or deny a license *based on a completed application* within the allowed time period, the application fee is refunded to the applicant. A.R.S. § 41-1073 et seq.

"ADRE IS AN EQUAL EMPLOYMENT OPPORTUNITY AGENCY"



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PHOENIX, AZ 85018

TUCSON OFFICE  
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TUCSON, AZ 85701

## APPLICATION FOR AN EMPLOYING BROKER LICENSE (NOT FOR A SOLE PROPRIETORSHIP)

**TYPE OF BROKERAGE** – Select all that apply

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> LLC MEMBER CONTROLLED  | <input type="checkbox"/> GENERAL PARTNERSHIP | <input type="checkbox"/> LIMITED LIABILITY PARTNERSHIP |
| <input type="checkbox"/> LLC MANAGER CONTROLLED | <input type="checkbox"/> LIMITED PARTNERSHIP | <input type="checkbox"/> FOREIGN ENTITY                |
| <input type="checkbox"/> CORPORATION            |  |  |

**DO YOU HAVE AN OPERATING AGREEMENT IN PLACE?**

- YES.** Please submit copy to ADRE.       **NO**       **IN DRAFT** When complete submit copy for filing.

BROKERAGE INFORMATION		ADRE USE ONLY / LICENSE NUMBER		ADRE USE ONLY / EXPIRATION DATE (ALLIGNED)	
<b>NAME</b>	ENTITY LEGAL NAME				
	DBA – DOING BUSINESS AS				
<b>ADDRESS</b>	BUSINESS ADDRESS AND STE #				
	CITY	STATE	COUNTY	ZIP CODE	
	MAILING ADDRESS - STE # OR PO BOX				
	<input type="checkbox"/> IF SAME AS ABOVE MARK HERE				
	CITY	STATE	COUNTY	ZIP CODE	
	BUSINESS PHONE (    )		BUSINESS FAX (    )		
	EIN OR FEDERAL TAX ID #				

INCOMING DESIGNATED BROKER INFORMATION			
<b>DB</b>	PRINT DESIGNATED BROKER NAME HERE		
	BR LICENSE #	EXPIRES ON	

I WILL USE A     TITLE COMPANY     TRUST ACCOUNT / LIST ONE BELOW OR -     SEE LIST PROVIDED

<b>TRUST ACCOUNT</b>	TRUST ACCOUNT INFORMATION		
	BANK NAME		
	BANK ADDRESS		
	CITY	STATE	ZIP CODE
	ACCOUNT NAME	ACCOUNT NUMBER	

A.A.C. R428-303 (E) requires the Designated Broker to notify ADRE in writing within 10 days of a change in information submitted in this application.

**X**

PRINT INCOMING DESIGNATED BROKER NAME		ORIGINAL SIGNATURE REQUIRED		DATE
<b>FOR DEPARTMENTAL USE ONLY</b>				
EFFECTIVE DATE		DATE STAMP		RECEIPT
INPUT DATE				
TIMEFRAME	TF 1	TF 2		



**ARIZONA DEPARTMENT OF REAL ESTATE [www.azre.gov](http://www.azre.gov)**

PHOENIX OFFICE  
2910 N 44<sup>TH</sup> STREET STE-140  
PHOENIX, AZ 85018

TUCSON OFFICE  
400 W CONGRESS STE-523  
TUCSON, AZ 85701

**AWARE STATEMENT**

PROCESSED			
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The Legal and/or DBA name of the entity complies with A.R.S. § 29-245 and 4 A.A.C. 28, Article 10, and, is not likely to be misleading or confusing. Also see R4-28-302. (C)(4).

ENTITIES LEGAL NAME HERE →	
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The above named entity has applied for a broker's license in Arizona.

That each;  **officer/director**,  **member/manager**,  **partner**;

has read the complete application on the named entity as submitted to the Department.

All the information contained in the application is true.

That each;  **officer/director**,  **member/manager**,  **partner**;

is qualified to do business in Arizona.

	<b>X</b>	
(Print Designated Broker's Name)	(ORIGINAL Signature of DB)	(Date)

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This form is available in alternate formats by contacting the Operations Office at 602-771-7760 or by email at [forms@azre.gov](mailto:forms@azre.gov)



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## ORIGINAL LICENSURE QUESTIONNAIRE

The Arizona Department of Real Estate (**ADRE**) requires you to provide information to determine your qualifications and suitability to hold an Arizona Real Estate License, Employing Broker License, Cemetery License, or a Membership Camping License, under Arizona Revised Statutes, Title 32, Chapter 20, and Title 4, Chapter 28, of the Arizona Administrative Code. 1. *A.R.S. §§ 32-2123 (B)(4), (5) & (6), 32-2108 and A.A.C. R4-28-301*

You must answer these questions and submit them to ADRE, with your Application for an Original Arizona Real Estate License or an Original Entity License. You must answer every question. If you DO NOT answer **EVERY** question, your Application will be considered incomplete and it will be returned to you unprocessed.

Be certain you understand the questions and that your answers are truthful and correct. Failure to answer these questions truthfully may result in disciplinary actions including, but not limited to, suspension or revocation. 2. *A.R.S. § 32-2153 (B) (1)*. In addition, you may be subject to a civil penalty 3. *A.R.S. § 32-2160.01*

**If you answer "YES" to any question**, please provide a, detailed statement with an original signature describing the facts and circumstances, including the date, time and location of the incident or event. You must also provide the documents identified on the Disclosure Document Checklist (LI-400), regarding the type of incident, offense, crime, judgment, sentencing or conviction date, or any other action taken against you. You may include exculpatory or mitigating information, any evidence of rehabilitation, and any appropriate statement of remorse and acceptance of responsibility for the prior conduct. (Disclosure Document Checklist available from the ADRE offices or on its web page: [www.azre.gov](http://www.azre.gov)).

1. In the **PAST 10 YEARS**, have you had a professional or occupational license or registration of any kind denied, suspended, restricted, or revoked?  Yes  No
2. In the **PAST 10 YEARS**, have you had an administrative order or any other disciplinary action taken against any LICENSE issued to you by ANY local, state, or federal regulatory agency?  Yes  No
3. In the **PAST 10 YEARS**, have you voluntarily surrendered any license during the course of an investigation or disciplinary proceeding?  Yes  No
4. In the **PAST 10 YEARS**, have you entered into any consent decree, or had an injunction (either temporary or permanent), a suspension, an order, or a judgment issued which prohibited or restricted you from engaging in any profession or occupation?  Yes  No
5. In the **PAST 10 YEARS**, have you had any judgment or order entered against you by any court involving fraud, dishonesty, misrepresentation, unfair trade practice, or moral turpitude?  Yes  No
6. In the **PAST 10 YEARS**, have you had any judgment or order entered against you by any court arising out of the conduct of any business in real estate, cemetery property, time-shared intervals, or membership campgrounds?  Yes  No
7. In the **PAST 10 YEARS**, have you had any Subdivision Public Report or Registration to Sell real estate, time-shares, cemetery lots, or campground memberships denied or suspended?  Yes  No
8. Has **ANY** real estate recovery fund, or similar fund, ever made a payment that was charged against you or against a business for which you were the qualifying party?  Yes  No
9. Are there **ANY** disciplinary hearings, or other administrative actions **PENDING** against **ANY** professional or occupational licenses you hold in Arizona or in any other state?  Yes  No
10. Have you held or do you hold ownership interest of ten percent or more or exercise control in any business, corporation, partnership, or limited liability company **that would have to answer "YES" to questions # 1 through #9.**  Yes  No

If you answered **YES** to any question from #1 through #10, you **MUST** submit a current certified license history from the licensing agency of each state in which you or the business or businesses were licensed in. In response to Question #10, currently licensed or in which you or the business or businesses were licensed at any time during the past five years.

# ORIGINAL LICENSURE QUESTIONNAIRE

Continued

### IMPORTANT NOTE:

#### **Please read this carefully!**

You **must** disclose any and all convictions (misdemeanor or felony), even if it was a result of a plea agreement or a plea of *nolo contendere* (no contest). You must disclose all convictions whether or not the plea or verdict was set aside, judgment or sentencing was deferred, the conviction against you was dismissed or expunged, or if you have been pardoned.

11. Have you **EVER** been convicted of any **FELONY** in Arizona or any other state?  Yes  No

12. In the **PAST 10 YEARS**, have you been convicted of **ANY** misdemeanor in Arizona or **ANY** other state?  
**Note: You do not need to report minor traffic citations, which do not constitute a misdemeanor or felony offense. Conviction of D.U.I is not a minor traffic citation and must be reported.**  Yes  No

13. Are you **CURRENTLY** in a deferred period or a diversion program, having been convicted of a Class 6 undesignated offenses, **which has not yet been** designated as a FELONY or MISDEMEANOR to date of this application.  Yes  No

14. Are you **CURRENTLY** incarcerated, paroled, or on probation because of any conviction?  Yes  No

A. Have you (**as a natural person, a professional corporation (PC), or professional limited liability company (PLLC), owner of ten percent or more greater interest, or person exercising control in any business(es), corporation(s), partnership(s), or limited liability company(ies) EVER held or applied for a license of any kind issued by ADRE? Please check one below.**  Yes  No

SALESPERSON

BROKER LICENSE

B. In the **PAST 5 YEARS**, have you been licensed as a salesperson or broker in any state other than Arizona? **If "Yes", submit on a separate page OR list below the state(s) in which you are licensed or in which you have been licensed at any time during the past 5 years.**  Yes  No

LIST STATES BELOW

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## CERTIFICATION OF ANSWERS

I Certify under penalty of perjury, under the laws of the State of Arizona, that the foregoing answers and statements given in this application are true and correct. I certify that at the time of the issuance of license I will be 18 years of age or older. I certify that if licensed I will not violate any provisions of the Real Estate Law nor abuse the privileges of a license.

	<b>X</b>	
Print Name	Original Signature of Applicant	Date

Review your application and make sure you have an ORIGINAL SIGNATURE where required. Attach supporting documentation and the required fee **before** submitting your request to the ADRE. If ADRE receives an incomplete application, we will return the application to you **UNPROCESSED**.

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