

ALABAMA STATE BOARD OF AUCTIONEERS

2777 Zelda Road
Montgomery, Alabama 36106
Phone: 334/420-7235

auctioneers@warrenandco.com
www.auctioneer.alabama.gov

APPLICATION FOR RENEWAL OF AUCTIONEER LICENSE FOR THE YEAR 2019-2020.
YOUR CURRENT ALABAMA AUCTIONEER LICENSE EXPIRES SEPTEMBER 30, 2019.

NAME: License No.
MAILING ADDRESS:
CITY: STATE: ZIP CODE

Table with 2 columns: AUCTIONEER (A) and APPRENTICE (AA). Includes renewal fees, change of address fees, and late fees. Yellow highlights: NO RENEWALS WILL BE ISSUED AFTER 11/30/19.

6 hours of CE are due this year. Check you status on the Board's website.

- All renewals must be filed online at www.auctioneer.alabama.gov. Your license will be mailed to you within 10-14 business days after submitting your online application.

Important Note: Please read the following information carefully and provide ALL information requested on this form. This form contains different questions from those provided in previous renewal forms. Failure to provide full and adequate disclosure may result in disciplinary action or delay the processing of your application.

Have there been any changes during the previous year to the address listed above for which the Board has not already been notified pursuant to Ala. Code § 34-4-21 (1975)?

If yes, please submit these changes in writing with a \$5.00 Change of Address fee and this renewal application.

E-mail address (must be provided):

Are you the principal auctioneer for any business entity? Business Name

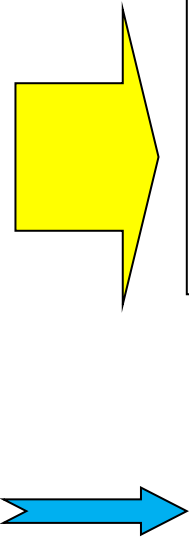
Are you a sponsor for an apprentice auctioneer? List all Apprentices' names and license numbers

Apprentices must provide their sponsor's name and license number

Do you have a current surety bond on file with the Board?
Have you ever had an auctioneer license denied, suspended, revoked or surrendered in any state or jurisdiction?
Have you ever been disciplined by the licensing authorities in any state or jurisdiction or is there now a pending disciplinary action against you by any auctioneer board or real estate commission in any state?
Have you ever been convicted of or arrested for any criminal offense or is there any criminal charge now pending against you in any jurisdiction?
Have you become a party to any state or federal civil court actions during the last 12 months?
Are there any unpaid judgments of any kind outstanding against you?
If you answered yes to any of the above questions, documentation is:

- I hereby attest that the information contained in this application is true to the best of my knowledge and belief.
(Sponsors) I hereby certify that I have reviewed the requirements set forth in the Apprentice Auctioneer Affidavit and Sponsoring Auctioneer Affidavit and agree to comply therewith.
(Apprentices) I hereby certify that I have reviewed the requirements set forth in the Apprentice Auctioneer Affidavit and agree to comply therewith.

Signature: Date:



## APPRENTICE AUCTIONEER'S AFFIDAVIT

I hereby certify my understanding of and compliance with the following regulations governing my apprenticeship in support of the renewal of my Apprentice Auctioneer License for the licensing year 2019-2020:

1. I understand that my Sponsoring Auctioneer must directly supervise any auction sale that I conduct and that he/she must be present at the auction sale site. In the event my Sponsoring Auctioneer cannot attend a particular sale, he/she must make a written appointment of a qualified, licensed Auctioneer to act in his/her stead at that sale in compliance with the Board's requirements and file the appointment with the Board office in advance of the sale.
2. I understand that I may not call bids at an auction unless my Sponsoring Auctioneer or his/her designee is present at the auction.
3. I understand that I may not enter into an agreement to conduct an auction without my Sponsoring Auctioneer's express written consent noted on the document; I may sign a contract in order to indicate that I procured the client and the auction.
4. I understand that any advertisement for an auction sale must clearly and conspicuously identify the name and ASBA license number of my Sponsoring Auctioneer in equal prominence with my name and state license number, if I will be conducting auction business.
5. I acknowledge and understand that any and all funds I receive from auction sales must be maintained in my Sponsoring Auctioneer's escrow account and that the Sponsoring Auctioneer is solely responsible for keeping the account of and dispersing any and all monies received at auction. I further understand that I may not sign a closing statement or have an escrow account in my name as a depository for auction proceeds; however, I may take part in the closing and settlement proceedings of an auction.
6. I understand that both I and my Sponsoring Auctioneer are required to maintain current bonds as required under Alabama law.
7. I understand that my license must remain in my Sponsoring Auctioneer's possession and that my license remains valid only so long as I remain under my Sponsoring Auctioneer's employment or supervision. In the event I am discharged/terminated from my employment with my Sponsoring Auctioneer, I understand that my Sponsoring Auctioneer will immediately deliver my license to the Board office or mail it to the Board office by First Class or Certified Mail, together with the written notice of termination, within thirty days of the termination of my sponsorship. I understand that I may not conduct any auction business or perform any acts under my license until I obtain a new Sponsoring Auctioneer and a new license bearing the name and address of the new Sponsoring Auctioneer.
8. I understand that in order to meet the requirements for licensure as an Auctioneer, I must serve at least two years under the Sponsoring Auctioneer and have been the principal auctioneer in at least ten auctions of real or personal property during my apprenticeship. If I completed the prescribed course of study at an accredited auctioneer school approved by the Board, I must serve a one-year apprenticeship and must have been the principal auctioneer in at least five or more auctions of real or personal property during my apprenticeship.
9. When I have completed the required number of months as an Apprentice and conducted the required number of sales, I understand that, along with the list of required auctions, I must submit proof that my Sponsoring Auctioneer's name was included on the advertisements for all such auctions and copies of cancelled checks showing that the auction funds went through the escrow account of my Sponsoring Auctioneer.
10. I understand that an Apprentice Auctioneer cannot be named as the principal auctioneer for any auction company.
11. I understand that while I am an Apprentice, I may be employed by another licensed auctioneer (other than the Sponsoring Auctioneer) if I notify the Board of such employment, as required by the Board office. The notification must include my Sponsoring Auctioneer's written agreement and the agreement of the non-sponsoring employer auctioneer to assume the duties of the Sponsoring Auctioneer during the term of employment. The form must be signed by me, the Sponsoring Auctioneer and the non-sponsoring employer auctioneer. The non-sponsoring employer auctioneer must meet the same requirements as the Sponsoring Auctioneer, including being currently licensed as an auctioneer in good standing in the state of Alabama and a resident of this state.
12. I acknowledge and understand that my failure to abide by these requirements and any other applicable laws or Board rules may result in disciplinary action being taken against me and/or my Sponsoring Auctioneer, including, but not limited to, the suspension or revocation of either license.
13. I understand that the revocation of my Sponsoring Auctioneer's license will automatically suspend my Apprentice Auctioneer license. I may retain my license by transferring to the employment of another licensed Auctioneer within twenty-one days.

**KEEP FOR YOUR RECORDS!**

## **SPONSORING AUCTIONEER'S AFFIDAVIT**

I hereby certify my understanding of and compliance with the following regulations governing my sponsorship of an Apprentice Auctioneer(s) in support of the renewal of my Auctioneer License for the licensing year 2019-2020.

1. I hereby certify that I am a resident of the state of Alabama, that I have been licensed as an Auctioneer in this state for at least two years and that my license is currently in good standing with the Alabama State Board of Auctioneers.
2. I agree to assume responsibility for the acts of the Apprentice Auctioneer in the conduct of auction business and sales, and I agree to be present at the sale site and directly supervise any auction sale conducted by the Apprentice Auctioneer. In the event I cannot attend a particular sale, I agree to make a written appointment of a qualified, licensed Auctioneer to act in my stead at that sale in compliance with the Board's requirements and file the appointment with the Board office in advance of the sale.
3. I understand that the Apprentice Auctioneer may not call bids at an auction unless I, or, if I am unable to be present, my designee are present at the auction.
4. I acknowledge my responsibility as Sponsoring Auctioneer to execute any legal document relating to conducting or offering to conduct any auction. I understand that the Apprentice Auctioneer may not enter into an agreement to conduct an auction without my express written consent noted on the document. The Apprentice Auctioneer may sign a contract in order to indicate that he/she procured the client and the auction.
5. I understand that any advertisement for an auction sale must clearly and conspicuously identify my name and ASBA license number, as the Sponsoring Auctioneer, in equal prominence with the name and state license number of the Apprentice Auctioneer, if he/she will be conducting auction business.
6. I acknowledge and understand that any and all funds received from auction sales by the Apprentice Auctioneer must be maintained in my escrow account as the Sponsoring Auctioneer and that I am solely responsible for keeping the account of and dispersing any and all monies received at auction. I further understand that the Apprentice Auctioneer may not sign a closing statement or have an escrow account in his/her name as a depository for auction proceeds; however, the Apprentice Auctioneer may take part in the closing and settlement proceedings of an auction.
7. I understand that both I, as Sponsoring Auctioneer, and the Apprentice Auctioneer are required to maintain current bonds, as required under Alabama law.
8. I understand that the Apprentice Auctioneer's license must remain in my possession and that the Apprentice Auctioneer's license remains valid only so long as the Apprentice Auctioneer remains under my employment or supervision. In the event I discharge/terminate my employment with the Apprentice Auctioneer, I agree to immediately deliver the Apprentice Auctioneer's license to the Board office or mail it to the Board office by First Class or Certified Mail, together with the written notice of termination, within thirty (30) days of the termination of the sponsorship. I understand that the Apprentice Auctioneer may not conduct any auction business or perform any acts under his/her license until he/she obtains a new Sponsoring Auctioneer and a new license bearing the name and address of the new Sponsoring Auctioneer.
9. I understand that in order to meet the requirements for licensure as an Auctioneer, the Apprentice Auctioneer must serve at least two(2) years under the Sponsoring Auctioneer and have been the principal auctioneer in at least ten (10) auctions of real or personal property during his/her apprenticeship. An Apprentice Auctioneer who has completed the prescribed course of study at an accredited auctioneer school approved by the Board must serve a one (1)-year apprenticeship and

must have been the principal auctioneer in at least five (5) or more auctions of real or personal property during his/her apprenticeship.

10. When the Apprentice Auctioneer has completed the required number of months as an Apprentice and conducted the required number of sales, he/she must submit, along with the list of required auctions, proof that the Sponsoring Auctioneer's name was included on the advertisements for all such auctions and copies of cancelled checks showing that the auction funds went through the escrow account of the Sponsoring Auctioneer.

11. I understand that an Apprentice Auctioneer cannot be named as the principal auctioneer for any auction company.

12. I understand that the Apprentice Auctioneer may be employed by another licensed auctioneer (other than the Sponsoring Auctioneer) if the Apprentice notifies the Board of such employment as required by the Board office. The notification must include my written agreement as the Sponsoring Auctioneer and the agreement of the non-sponsoring employer auctioneer to assume the duties of the Sponsoring Auctioneer during the term of employment. The form must be signed by me as the Sponsoring Auctioneer, the Apprentice Auctioneer and the non-sponsoring employer auctioneer. The non-sponsoring employer auctioneer must meet the same requirements as the Sponsoring Auctioneer, including being currently licensed as an auctioneer in good standing in the state of Alabama and a resident of this state.

13. I acknowledge and understand that my failure to abide by these requirements and any other applicable laws or Board rules may result in disciplinary action being taken against me and/or the Apprentice Auctioneer, including, but not limited to, the suspension or revocation of either license.

14. I understand that revocation of my Auctioneer license will automatically suspend the Apprentice's Auctioneer license. The Apprentice Auctioneer may retain his/her license by transferring to the employment of another licensed Auctioneer within twenty-one days.

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