

ALABAMA STATE BOARD OF AUCTIONEERS

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Montgomery, Alabama 36106

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[www.auctioneer.alabama.gov](http://www.auctioneer.alabama.gov)

APPLICATION FOR RENEWAL OF AUCTION COMPANY LICENSE FOR THE YEAR 2020-2021.

YOUR CURRENT ALABAMA AUCTION COMPANY LICENSE EXPIRES SEPTEMBER 30, 2020.

COMPANY NAME: \_\_\_\_\_ License: C \_\_\_\_\_

MAILING ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_, STATE: \_\_\_\_\_, ZIP CODE: \_\_\_\_\_

\$200.00 Renewal Fee (\*\*RENEWALS ARE DUE ON WEDNESDAY, SEPT 30<sup>TH</sup>. ANYTHING POSTMARKED ON OR AFTER THE 30<sup>TH</sup> MUST INCLUDE THE LATE FEE.)

Also submit the following fees, if applicable:

\$ 5.00 Change of Address Fee  \$50.00 Late Fee (After 9/30/2020)

Please make your check payable to the Alabama State Board of Auctioneers.

**NO RENEWALS WILL BE ISSUED AFTER 11/30/2020. THIS LICENSE CANNOT BE RENEWED ONLINE.**

**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.**

**YOU MUST SUBMIT YOUR COMPLETED RENEWAL FORM AND FEE PAYMENT TOGETHER AT THE SAME TIME - INCOMPLETE APPLICATIONS WILL BE RETURNED.**

- 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)?  Yes  No  
If yes, please submit these changes in writing with a \$5.00 Change of Address fee and this renewal application.
- Name of principal auctioneer\* for the auction company listed above: \_\_\_\_\_  
Auctioneer License Number: \_\_\_\_\_ Office or Position with the auction company: \_\_\_\_\_  
E-mail address (must be provided): \_\_\_\_\_  
Have there been any changes during the previous year in the company's principal auctioneer?  Yes  No  
Has the principal auctioneer filed an Auctioneer License renewal application for 2019-2020?  Yes  No  
Does the principal auctioneer maintain an escrow or trustee account if required to do so?  Yes  No
- Have there been any changes in the company's name, form or ownership during the last year? If so, please describe: \_\_\_\_\_

\* Authority to transact business as an auctioneer under the company license shall be restricted to the principal auctioneer named in the license.

Has any partner, member, officer or director of the company ever been indicted or convicted on charges involving embezzlement, obtaining money under false pretenses, larceny or extortion?  Yes  No

Have any state or federal civil suits been filed against the auction company or against any partner, member, officer or director of the company within the last 12 months?  Yes  No

Are there any outstanding judgments against the company or any partner, member, officer or director?  Yes  No

Has any partner, member, officer or director of the company ever had an auctioneer's license, real estate broker's license or any other occupational license suspended, revoked, refused or disciplined in any jurisdiction?  Yes  No

If you answered yes to any of the above questions, documentation is:  Attached to this form  On file in the Board Office

I hereby attest that the information contained in this application is true to the best of my knowledge and belief.  
 I hereby certify that I have reviewed the requirements set forth in the Principal Auctioneer Affidavit and Auction Company Owner Affidavit and agree to comply therewith.

Signature of Principal Auctioneer: \_\_\_\_\_ Date: \_\_\_\_\_

## AUCTION COMPANY OWNER'S AFFIDAVIT

I hereby certify my understanding of and compliance with the following regulations governing my responsibilities as the Owner of an Alabama Auction Company (the "Company") in support of the renewal of my Auction Company License for the licensing year 2020-2021:

1. I understand that every company conducting auction business in the state of Alabama is required to have a Principal Auctioneer.
2. I understand that the Principal Auctioneer must be licensed as an Auctioneer in the state of Alabama and that his/her license must be in good standing with the Alabama State Board of Auctioneers. I understand that the Principal Auctioneer must also be an officer of the Company. I have provided a copy of the Company's official meeting minutes, resolution or other official action evidencing the Principal Auctioneer's election to that corporate office or his/her stated position in the Company.
3. I understand that if I am an Apprentice Auctioneer, I do not qualify to serve as the Company's Principal Auctioneer, even if I am the Company's owner. Only a duly licensed Auctioneer may serve as the Principal Auctioneer for an auction company.
4. I understand that if I am the sole owner and operator of the Company and a licensed Auctioneer in the state of Alabama, I am exempt from the requirement to obtain a separate auction company license, but I must still submit a completed auction company application form to the Alabama State Board of Auctioneers for its records. I do not have to submit an application or licensure fee for the auction company license if I am the sole owner and operator of the Company and a duly licensed Auctioneer in the state of Alabama.
5. I understand that if I am the sole owner and operator of the Company, I am exempt from the requirement to obtain a separate auction company license, but I must still submit a completed auction company application form to the Alabama State Board of Auctioneers for its records. I do not have to pay the auction company licensure fee as a sole owner and operator. And, I understand that if I am the sole owner and operator of the Company and a licensed Auctioneer in the state of Alabama, I am exempt from the requirement to obtain a separate auction company license, but I must still submit a completed auction company application form to the Alabama State Board of Auctioneers for its records. I do not have to pay the auction company licensure fee as a sole owner and operator.
6. I understand that only a licensed Auctioneer may offer, negotiate, or attempt to negotiate a contract for the sale of any goods or property, including real property, by means of public auction on behalf of the Company. I understand that it is a violation of Alabama law if an Auctioneer fails to enter into a written contract with the owner or cosignee of any property to be sold at public auction containing the terms and conditions on which the Auctioneer received the property for sale.
7. I understand that only a licensed Auctioneer may cry bids for any public auction held by the Company. I understand that once the Company obtains its auction company license, it may contract with other licensed Auctioneers to cry bids for the Company.
8. I understand that any Company advertisement for an auction sale must clearly and conspicuously identify the Principal Auctioneer's name and state license number, together with the name and state license number of any other Auctioneer responsible for the auction. In addition, Internet advertisements for specific auctions with online-bidding must also list the name and state license number of the Company's Principal Auctioneer.
9. I acknowledge and understand that any and all funds received from auction sales by the Company must be maintained in the Company's or the Principal Auctioneer's escrow account, as applicable.
10. I understand that as the Company's owner, I may keep account of and disperse any and all monies from the Company's or the Principal Auctioneer's escrow account, on terms agreed to by me, as the owner, and the Principal Auctioneer.
11. I understand that the Company and the Principal Auctioneer are both responsible to notify the Alabama State Board of Auctioneers if there is a change in the Company's Principal Auctioneer. I understand that this information must be provided to the Alabama State Board of Auctioneers in writing within thirty (30) days of such change.
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, including, but not limited to, the suspension or revocation of my Company's auction license.

**KEEP FOR YOUR RECORDS!**

## PRINCIPAL AUCTIONEER'S AFFIDAVIT

I hereby certify my understanding of and compliance with the following regulations governing my responsibilities as a Principal Auctioneer for an Alabama Auction Company (the "Company") in support of the renewal of my Auctioneer License for the licensing year 2020-2021:

1. I understand that every company conducting auction business in the state of Alabama is required to have a Principal Auctioneer.
2. I hereby certify that I am licensed as an Auctioneer in the state of Alabama and that my license is currently in good standing with the Alabama State Board of Auctioneers.
3. I understand that only a duly licensed Auctioneer may serve as the Principal Auctioneer for an auction company – Apprentice Auctioneers may not serve as Principal Auctioneers.
4. I also certify that I am an officer of the Company. I have provided a copy of the Company's official meeting minutes, resolution or other official action evidencing my election to that corporate office or my stated position in the Company.
5. I understand that if I am the sole owner and operator of the Company, I am exempt from the requirement to obtain a separate auction company license, but I must still submit a completed auction company application form to the Alabama State Board of Auctioneers for its records. I do not have to pay the auction company licensure fee as a sole owner and operator. And, I understand that if I am the sole owner and operator of the Company and a licensed Auctioneer in the state of Alabama, I am exempt from the requirement to obtain a separate auction company license, but I must still submit a completed auction company application form to the Alabama State Board of Auctioneers for its records. I do not have to pay the auction company licensure fee as a sole owner and operator.
6. I understand that as the Principal Auctioneer, I am responsible for all the auction activities conducted on behalf of the Company. I understand that the Company may also have other officers and/or employees who are licensed Auctioneers and who conduct auction business on behalf of the Company. I understand and acknowledge that only Auctioneers licensed in the state of Alabama may conduct auction business in Alabama on behalf of the Company.
7. I understand that only a licensed Auctioneer may offer, negotiate, or attempt to negotiate a contract for the sale of any goods or property, including real property, by means of public auction on behalf of the Company. I understand that it is a violation of Alabama law if an Auctioneer fails to enter into a written contract with the owner or cosignee of any property to be sold at public auction containing the terms and conditions on which the Auctioneer received the property for sale.
8. I understand that only a licensed Auctioneer may cry bids for any public auction held by the Company. I understand that once the Company obtains its auction company license, it may contract with other licensed Auctioneers to cry bids for the Company.
9. I understand that any Company advertisement for an auction sale must clearly and conspicuously identify my name and state license number, as the Principal Auctioneer, together with the name and state license number of any other Auctioneer responsible for the auction. In addition, Internet advertisements for specific auctions with online-bidding must also list my name and state license number as the Company's Principal Auctioneer.
10. I acknowledge and understand that any and all funds received from auction sales by the Company must be maintained in the Company's or the Principal Auctioneer's escrow account, as applicable.
11. I understand that the Company's owner may keep account of and disperse any and all monies from the Company's or the Principal Auctioneer's escrow account, on terms agreed to by the owner and the Principal Auctioneer.
12. I understand that I and the Company are both responsible to notify the Alabama State Board of Auctioneers if I am no longer serving as the Company's Principal Auctioneer. I understand that this information must be provided to the Alabama State Board of Auctioneers in writing within thirty (30) days of such change.
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, including, but not limited to, the suspension or revocation of my Auctioneer license.

**KEEP FOR YOUR RECORDS!!**