

ENTITY/EMPLOYING BROKER LICENSE APPLICATION/STATUS CHANGE

Use this form to apply for a new entity, close an existing entity, or to change the Designated Broker associated with the entity. Please note that any incoming Designated Broker must have the license status 'Eligible' prior to submitting this application. If changing Designated Brokers, each broker must complete a separate copy of this form.

This completed form must be accompanied by the following, as applicable:

As an incoming Designated Broker:

1. If applying for a new entity - Entity Name Reservation Request Form approved with ADRE within 90 days;
2. Copy of Articles of Organization, Articles of Incorporation, Articles of Amendment, or Partnership Agreement as applicable
 - a. Note that if the entity is an LLC, the Designated Broker must be listed in the Articles as a Member or Manager, depending on how the LLC is controlled;
3. Resolution to appoint the incoming Broker as Designated Broker of the entity, signed by all officers/members/managers of the entity.
4. List of names and addresses of all officers, directors, shareholders, members, managers, or partners who hold a 10% or more interest in the company/corporation/partnership.
5. A completed Disciplinary Action Disclosure Form for each person listed in section 4 of this application.
6. Copies of Broker Management Certificates reflecting completion of BMC #1, BMC #2, and BMC #3A or #3B, as applicable.
7. Notification Of Storage And Electronic Management Systems Form, if brokerage records are stored offsite or electronically

As an outgoing Designated Broker:

1. Letter of Resignation, signed and dated by the current Designated Broker stating, "I _____ resign as DB for _____ (company) effective immediately."
2. Broker Audit Declaration, if one has not been completed in the prior 12 month period for the entity.

Once complete, this application and additional required documents should be submitted through our [Message Center](#) or [Licensee login](#).

TYPE OF APPLICATION	
Entity:	Broker:
☐ New Entity Application ☐ Close Entity and Sever DB ☐ Change Eligible Entity to Active and Hire DB ☐ Entity DB Change to New DB (1 form per broker)	☐ Eligible Broker change to Sole Proprietor (SE) ☐ Sole Proprietor (SE) change to Eligible Broker ☐ Resident Broker change to Non-Resident Broker

ENTITY INFORMATION		
Legal Name:		
DBA Name:		
EIN or Tax ID:	Entity License Number:	
☐ Record storage on-site	☐ Record storage off-site or electronically	☐ Statutory Agent
Statutory Agent Name, if applicable:		
Address of Record:		
City:	State:	ZIP:
Mailing Address:		
City:	State:	ZIP:
Email:	Phone:	

DESIGNATED BROKER (DB) / SOLE PROPRIETOR INFORMATION		
Complete this section for an incoming DB only.		
As a Broker, have the Broker Management Clinic courses been completed within 23 months prior to completing this application? ARS §32-2136(C) If not, stop here and complete these courses before continuing.	☐ Yes	☐ No
Does the incoming DB/SE have a PC or PLLC? If yes, complete the Professional Corporation (PC) or Professional Limited Liability Company, PLLC) Application/Change Form.	☐ Yes	☐ No
If the DB/SE has a PC or PLLC, is it a joint PC or PLLC? If yes, file an amendment with the Arizona Corporation Commission to change this to a single PC or PLLC, or file with us to completely remove the PC or PLLC from your license.	☐ Yes	☐ No

TRUST ACCOUNT INFORMATION		
Complete this section for an incoming DB only.		
If you have more than one trust account, please provide the Trust Account Activity Form.		
Trust Account Name:	Trust Account Number:	
Financial Institution Name:	Phone:	
Physical Address:		
City:	State:	ZIP:
☐ Check here if using an Arizona based Title company instead of using a Trust Account		

DESIGNATED BROKER ATTESTATION	
I understand that it is my obligation to comply with the statutes, rules, and regulations set forth by Arizona Law, and that such laws may be referenced at azleg.gov .	
Broker Name:	License Number:
Broker Signature:	Date:

Notice to Applicant Pursuant to A.R.S. § 41-1030

An agency shall not base a licensing decision in whole or in part on a licensing requirement or condition that is not specifically authorized by statute, rule or state tribal gaming compact. A general grant of authority in statute does not constitute a basis for imposing a licensing requirement or condition unless a rule is made pursuant to that general grant of authority that specifically authorizes the requirement or condition.

This section may be enforced in a private civil action and relief may be awarded against the State. The court may award reasonable attorney fees, damages and all fees associated with the license application to a party that prevails in an action against the state for a violation of this section.

A State employee may not intentionally or knowingly violate this section. A violation of this section is cause for disciplinary action or dismissal pursuant to the Agency's adopted personnel policy.

This section does not abrogate the immunity provided by section 12-820.01 or 12-820.02

Notice to Applicant Pursuant to A.R.S. § 41-1093

An agency shall limit all occupational regulations to regulations that are demonstrated to be necessary to specifically fulfill a public health, safety or welfare concern. Pursuant to sections 41-1093.02 and 41-1093.03. Arizona Revised statutes, you have the right to petition this agency to repeal or modify the occupational regulation or bring an action in a court of general jurisdiction to challenge the occupational regulation and to ensure compliance with section 41-1093.01, Arizona Revised Statutes.

Notice to Applicant Pursuant to A.R.S. § 41-1093.08

Pursuant to Arizona Revised Statutes, Title 41, Chapter 6, Article 11, an applicant, licensee, registrant or certificate holder may petition the Office of Administrative Hearings to request a review of a denial, suspension or revocation of a license, registration or certificate for a prior criminal offense.