



ARIZONA DEPARTMENT OF REAL ESTATE (ADRE)

Licensing Division

www.azre.gov

100 North 15th Avenue, Suite 201, Phoenix, Arizona 85007

KATIE HOBBS
GOVERNOR

SUSAN NICOLSON
COMMISSIONER

New Entity Guidelines & Submittal Checklist

BEFORE ANY SUBMITTAL YOU MUST FILE FOR NAME REQUEST

- ☐ LI-213 Entity/ Employing Broker Name Reservation Request
 - If you registered with the ACC first that does not mean name will be approved by ADRE
 - If name is **DENIED** and your Brokerage is already registered, you will have to amend, change, or create a new brokerage depending on your immediate need for having your request processed.
- ☐ Register the entity at the ACC.
- ☐ Obtain EIN number from IRS

TO CREATE NEW ENTITY SUBMIT:

- ☐ Name Approval Notice from ADRE before the name expires
- ☐ LI-212 Entity / Employing Broker License Application to license entity
- ☐ LI-214/244 Disciplinary Actions Disclosure
 - Submit form for each person/entity listed within the Articles or Amendment stamped FILED from the ACC (members/managers/officers/directors/partners)
 - Any "Yes" responses will require the completion and submission of all documents pursuant to the Disciplinary Actions Disclosure (Form LI-400) and, if disclosing criminal conviction, a Fingerprint Clearance Card issued by the Arizona Department of Public Safety (DPS).
- ☐ Copy of articles of Organization or Incorporation (or Application for Authority if Foreign entity) stamped "FILED" by the Arizona Corporation Commission (ACC) and any and all amendments stamped FILED by the ACC. ***DB doesn't need to be listed in articles for Corporations.
 - If an LLC
 - DB is listed within Articles of Organization as Member or Manager to qualify as DB, depending on the how the company is controlled. Check this on the ACC website.
 - If a General Partnership (PA)
 - A copy of the Partnership Agreement and any amendments from the county in which it is registered
 - If a Limited Partnership (LP)
 - A copy of the Application of Registration and any amendments stamped "FILED" by the Secretary of State
 - If a Limited Liability Partnership (LLP)
 - A copy of the Original Articles of Organization and any amendments stamped "FILED" BY THE Arizona Corporation Commission (ACC)
- ☐ Attach a copy of any and all articles for all entities listed within the articles as member, manager, or officer. Each entity must qualify to conduct business in Arizona.
- ☐ Copy of Corporate Status from the ACC proving entity is in "Good Standing" or check online.
 - FOREIGN ENTITIES must attach documentation from the state of origin proving a natural person is listed and certificate of "Good Standing" from state of origin
- ☐ 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 per R4-28-302

TO HIRE DB

- ☐ Resolution on a separate piece of paper to appoint the incoming DB as officer/member/manager, signed by all members/managers and DB (for Corporations, the person who is authorized to sign). Please see sample verbiage below:
 - Corporations (CO) – "_____ is appointed DB and holds the office of _____ for (NAME OF CO) effective immediately". Whoever is authorized to sign must sign.
 - Manager Controlled – "_____ is appointed DB and manager of (NAME OF LLC) effective immediately". All members and managers must sign.
 - Member Controlled – "_____ is appointed DB and member of (NAME OF LLC) effective immediately". All members must sign.
- ☐ Nine hours Brokers Management Clinic Certificates (BMC #1, BMC #2, BMC #3) completed within the past 23 months

This form is available in alternate formats by contacting the Operations Office at 602-771-7760. Questions regarding this communication can be sent to Jim Knupp, ADRE Deputy Commissioner, at 602-771-7769 or online through the ADRE Message Center.