Arizona Department of Real Estate (ADRE)
Licensing Division
www.azre.gov
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Disclosure Document Checklist (LI-400)

For All Renewal and Original License Applications and Disclosures as Required

The LI-400 is a checklist used when applicants are required to answer "YES" to one or more questions on the LI-214/244 - Disciplinary Actions Disclosure form. All disclosures may be submitted online through the Message Center under the Disciplinary Actions Disclosure topic.

Civil Action	Criminal Conviction	Disciplinary Action
Civil actions may include an order, judgment or adverse decision involving fraud or dishonesty; order, judgment or adverse decision involving conduct of any business in or involving a transaction in real estate, cemetery property, timeshare intervals or membership camping. ARS § 32-2108.01(C)(3)(e) If the applicant had an order, judgment or adverse decision as described above: **1. The applicant MUST provide the following CERTIFIED documents as they apply from the Court:** ☐ Statement written by applicant explaining detail of action or claim, judgment and judgment date, court name and location, and classes and total monetary damages awarded and paid to date. ☐ Complaint and/or Amended Complaint ☐ Judgment ☐ Satisfaction of Judgment ☐ If the record has been purged, destroyed or is no longer available, attach an official statement/letter from the Court or agency stating the reason the document is no longer available.	Criminal Convictions include a conviction for any and all misdemeanor or felony or deferral of a judgment or sentencing for a misdemeanor or felony offense. ARS § 32-2108.01(C)(3)(a) If the applicant had a criminal conviction, deferral of a judgment, or sentencing for a misdemeanor or felony offense: **1. The applicant MUST provide the following CERTIFIED documents as they apply from the Court:** ☐ Statement written by applicant explaining detail and circumstances of action or claim, judgment and judgment date, court name and location, and classes and total monetary damages awarded and paid to date. ☐ Judgment/Sentencing document or deferral document and plea agreement ☐ Order of Dismissal from Probation (Felonies) ☐ Order Expunging, dismissing, set aside, pardon, sealed or vacating a conviction and restoring civil rights ☐ Any Certificates of Second Chance received from the Court ☐ If the record has been purged, destroyed or is no longer available, attach an official statement/letter from the Court or agency stating the reason the document is no longer available. ADRE is prohibited from issuing a license to an individual who was convicted of a felony and remains on probation, parole, under community supervision or incarcerated as a result of that conviction. A.R.S. 32-2124(M).	Disciplinary actions may include a restriction, suspension, revocation, civil penalty, imposed under the license; and/or denial of a: professional license, occupational license, registration currently or previously held; order, judgment or decree: permanently or temporarily enjoining from engaging or continuing any conduct or practice in connection with the sale or purchase of: real estate, cemetery, timeshare, membership camping; securities; involving: consumer fraud; violation of racketeering laws; payment from a recovery fund; or payment from a fund of last resort. ARS § 32-2108.01(C)(3)(d) If the applicant had any disciplinary action as described above: **1. The applicant MUST provide the following CERTIFIED documents as they apply:** ☐ Statement written by applicant explaining detail of action or claim, judgment and judgment date, court name and location, and classes and total monetary damages awarded and paid to date. ☐ Final Administrative Order ☐ Consent or Settlement Agreement ☐ License history from any agency where professional license is/was held involving any action on the licensee ☐ Documents that show detail of a case

2. Copy of front and back of a Valid Fingerprint Clearance Card (FCC) from Department of Public Safety

- ADRE requires a valid FCC upon application for original licensure and application for renewal when disclosing a criminal conviction that has not previously been disclosed to or reviewed by the ADRE. If you currently have a suspended FCC, you will be required to obtain a Valid FCC through DPS.
- Contact DPS through their website at azdps.gov or by calling 602-223-2279 for current processing information.

If deemed necessary by the Department, an applicant may be required to submit a ten (10) year work history, to include employers' names, addresses, supervisors' names and telephone numbers, dates of employment and positions held. A.R.S. § 32-2123(B)(2).

All disclosures are permitted to be submitted online through the Message Center under the Disciplinary Actions Disclosure topic. Disclosures are also welcome to be submitted in person or by US Mail. INCOMPLETE PACKAGES WILL BE RETURNED UNPROCESSED.

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.