An individual with a criminal history may petition a board at any time, including before an individual starts or completes any mandatory education or training requirements, for a predetermination of whether the individual’s criminal history will likely disqualify the individual from obtaining a license.

For instructions on requesting a predetermination, please contact the office at (919) 567-2844 or email info@ncalb.org.

Pursuant to House Bill 770, which was ratified on June 28, 2019, Occupational Licensing Boards have the power to deny a license due to a criminal conviction pursuant to 93B-8.1(b)(b1). However, the following factors must be considered:

1. The level and seriousness of the crime.
2. The date of the crime.
3. The age of the person at the time of the crime.
4. The circumstances surrounding the commission of the crime, if known.
5. The nexus between the criminal conduct and the prospective duties of the applicant as a licensee.
6. The prison, jail, probation, parole, rehabilitation, and employment records of the applicant since the date the crime was committed.
6a. The completion of, or active participation in, rehabilitative drug or alcohol treatment.
6b. A Certification of Relief granted pursuant to NCGA 15A-173.2.
7. The subsequent commission of a crime by the applicant.
8. Any affidavits or other written documents, including character references.

MILITARY-TRAINED APPLICANTS/MILITARY SPOUSES

Licenses for military-trained applicants/military spouses: If you are a military spouse or a military-trained (applies for some types of occupational licenses) applicant you may be eligible for endorsement without meeting all of the requirements described in this application. Please see http://www.ncalb.org/publications.cfm with information about the different requirements and contact the board staff for additional information and documentation requirements at info@ncalb.org or call 919-567-2844.
NORTH CAROLINA RESIDENT APPLICATION FOR APPRENTICE AUCTIONEER LICENSE

READ CAREFULLY all instructions in this application and the North Carolina Auctioneer Laws, Rules and Regulations. These are available on the Board’s website at www.ncalb.org.

The application must be properly completed, signed, notarized, accompanied by all required documents, proper fees, and dated no more than thirty (30) days prior to when your application is received by the office of the North Carolina Auctioneer Licensing Board (NCALB). It must be received, not postmarked, in the NCALB Office on, or before the deadline established by the Board.

All fees may be combined in one made payable to the North Carolina Auctioneer Licensing Board. The correct fees must be submitted. Please note that it is a violation of 21 NCAC 4B.0404 to submit a check to the Board in payment of required fees, which is returned unpaid.

Once the application is received and processed, the application fee is non-refundable.

Required Application Documents:

- Required Fees. See Apprentice Auctioneer License Application Instructions for details.

- Copy of applicant’s high school diploma or proof of equivalency, college diploma or transcript from high school or college. You must be 18 years old and have graduated from high school or equivalent pursuant to N.C.G.S. 85B-4(b).

- A clear “2 x 2” photograph of the applicant’s head and shoulders taken within the past 6 months.

- Fingerprint Card and Authority For Release of Information Form. See Apprentice Auctioneer License Application Instructions for details.

- Supervisor Application Form as required pursuant to 21 NCAC 4B.0403(a). See Apprentice Auctioneer License Application Instructions for details.

- Written detailed statement for questions #14 through #20 if you answered “YES.” Complete details must be given. Attached a separate statement.
North Carolina Resident Apprentice Auctioneer License Application Instructions

Each applicant must carefully read and complete (Print clearly) the application in its entirety and provide the following supporting documents:

1. A clear, focused passport type photograph (2” x 2”) of the applicant’s head and shoulders, taken within the last six months, suitable for identification purposes.

2. Copy of the applicant’s high school diploma or proof of equivalency. The NCALB will only accept a GED or high school diploma issued by accredited institutions. A college diploma, high school transcript or college transcript is acceptable.


4. Employee Classification Form.

5. Supervisor Application Form. Each proposed supervisor for an apprentice applicant shall complete the Supervisor Application Form. This form details the number and types of auctions conducted annually and include a summary of his/her background and experience. Each supervisor is required to possess a current active North Carolina Auctioneer License and have a minimum of 5 (five) years of active experience in the auction profession or an equivalent combination of training and experience.

6. Fingerprint Card, Fee, and Authority for Release of Information Form pursuant to N.C.G.S. § 85B-3.2; Each applicant is required to complete an Authority for Release of Information Form, a fingerprint card, and pay the processing fee to this Board. The fingerprints must be obtained by a law enforcement agency, such as the Police Department or Sheriff’s Office. The applicant and the official taking the fingerprints must complete the card. The fingerprint lines/ridges must be clearly visible. This card may be obtain from your local Police Department or Sheriff’s Office.

    **DO NOT FOLD THE FINGERPRINT CARD**
    (You may obtain a fingerprint card at a Sheriff’s Office or Police Department)
    (FORM—FD-258)

7. Proper Filing Fees as required by 21 NCAC 4B .0202:
   (a) Apprentice Application Fee: $200.00
   (b) Fingerprint Processing fee: $38.00
APPRENTICE AUCTIONEER LICENSE REQUIREMENTS

(1) Apprentice Auctioneers must maintain a log of the exact hours and dates on which they obtain specific apprentice-
ship experience, with each entry signed by their supervising auctioneer (supervisor).

(2) If the applicant’s apprenticeship license is approved by the board, a log form will be sent to your supervising auc-
tioneer. They are required to maintain this log as required by 21 NCAC 4B .0201(6)(B). The total minimum hours
of 100 must be obtained during the two-year apprenticeship period.

(3) An apprentice auctioneer license may be renewed three times. The applicant must apply and take the state auc-
tioneer exam and obtain a minimum passing score of 75 prior to the expiration of the third renewal period.

(4) All sales conducted by an apprentice must be done under the direct supervision of your supervisor. This means the
supervising auctioneer must be on the premises whenever you are conducting an auction. You may not contract for
or conduct an auction without the prior express written consent of the supervisor pursuant to 85B-4(c1) and 21
NCAC 4B .0403.

ESCROW ACCOUNT REQUIREMENTS

N.C.G.S. § 85B-7.1 Handling Clients Funds of the Auctioneers Law, and 21 NCAC 4B .0603 of the Rules and Regulations
specifies the requirements concerning escrow accounts. Money, which has come into your possession through an auction
sale, which is payable to the auctioneer or firm, and any portion that belongs to others, may not be commingled with your
own under any circumstances N.C.G.S. § 85B-8(a)(7). In addition, such funds must be deposited in a trust or escrow ac-
count in a bank or savings and loan association located in North Carolina, within three business days of receiving the
funds. Funds, which are disbursed to the seller on auction day, are not subject to the escrow account requirements; howev-
er, the Law and Rules specify certain record keeping requirements.

If you have any questions concerning these requirements or you determine that an auction firm application is needed, you
should contact this office or visit www.ncalb.org.
IMPORTANT
Properly answering questions on the application

The North Carolina Auctioneer Licensing Board has the authority to deny a license if there is any misrepresentation by the applicant. Accordingly, read each question carefully on the application and answer correctly.

Have you ever been charged or arrested with a criminal offense (other than minor traffic offenses; DUI/DWI are not minor traffic offenses)? If yes, attach a separate statement giving complete details. **You must disclose a charge or arrest even though it was later dismissed. Note: You will be asked about convictions in the following question.**

Have you ever been convicted of any criminal offense (other than minor traffic offenses; DUI/DWI are not minor traffic offenses) or is there any criminal charge now pending against you? If yes, attach a separate statement giving complete details. **If the final disposition of the matter is dismissal, there is no conviction. If you plead guilty, or are found guilty after trial or a fine is accessed and paid by the applicant on the initial charge or any related charge, this will be considered a conviction and must be disclosed.**

The authority for the denial of a license is found in N.C.G.S. 85B-3.1(a)(3); N.C.G.S. 85B-8(a)(1); and 21 NCAC 4B .0404(a)(2) and (6), that state as follows:

**N.C.G.S. 85B-3.1(a)(3)**
(a) The Commission shall have the following powers and duties: ... (3) To deny, suspend, and revoke licenses pursuant to N.C.G.S. 85B-8 ...

**N.C.G.S. 85B-8(a)(1)**
(a) The following shall be grounds for the assessment of a civil penalty in accordance with G.S. 85B-3.1(b) or the denial, suspension, or revocation of an auctioneer, auctioneer apprentice or auction firm license: (1) Any violation of this Chapter or any violation of a rule or regulation duly adopted by the Commission...; and

**21 NCAC 4B .0404(a)(2) and (6)**
(a) The Board may assess a civil penalty in accordance with N.C.G.S. 85B-3.1(b) or deny, suspend, or revoke a license, or issue a letter of reprimand to a licensee, upon any of the following grounds: (2) violation of any provision of the Rules under 21 NCAC, Subchapter 4B ... (6) failure to properly, completely and fully complete an application or making any false statement or giving any false information in connection with an application for a license, renewal or reinstatement of a license...
**APPLICATION** for NC RESIDENT APPRENTICE AUCTIONEER LICENSE

APPLICANTS MUST READ THE ACCOMPANYING INSTRUCTION MATERIALS AND THE NORTH CAROLINA AUCTIONEER LAWS AND RULES BEFORE FILING THEIR APPLICATION.

**TYPE OR PRINT (Do not use pencil) PRINT LEGIBLY**

Apprentice Auctioneer License Fee: $200.00 ($50.00 application; $100.00 Apprentice License; $50.00 Recovery Fund)

1. Are you an active military-trained auctioneer or a military spouse seeking licensure as a North Carolina Auctioneer under the provisions of N.C.G.S. 93B-15.1?
   - [ ] Yes  [ ] No
     If you answered yes, contact the office prior to submission of application for additional information and documentation requirements.

2. Full Name
   - [ ] Mr.  [ ] Mrs.  [ ] Ms.

3. Residence Address
   - Street Address
   - City
   - State
   - Zip (9-digit if known)

4. Mailing Address (if different)
   - Street Address or PO Box
   - City
   - State
   - Zip (9-digit if known)

5. Legal Resident of
   - State
   - County
   - Country
   - Date of Birth
     - Month
     - Day
     - Year

6. Home Phone
   - ( )

7. Business
   - ( )

8. Cell Phone
   - ( )

9. (10) Email

10. Website

11. High School Graduate or GED
    - (yes or no)
(13) Have you ever held any type of auction license in any state, including N.C.? □ Yes □ No
If “yes”, indicate below and provide a Letter of Good Standing from each state in which you are currently licensed.
(attach additional sheets if needed):

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<tr>
<th>Name</th>
<th>Type of License</th>
<th>License Number</th>
<th>State</th>
<th>From mo./yr.</th>
<th>To mo./yr.</th>
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(14) Have you ever been denied an auctioneer or auction firm license or any other business or professional license of any type in N.C. or any other state or jurisdiction?
(If “yes”, attach a separate statement giving complete details.)

(15) Have you ever had an auctioneer or auction firm license suspended, revoked or surrendered, or have you ever been disciplined by the licensing authorities in N.C. or any other state or jurisdiction, or is there any such action pending against you in connection with any auctioneer or auction firm license you hold?
(If “yes”, provide a copy of the licensing agency’s order, if applicable, and attach a separate statement giving complete details.)

(16) Have you ever had any other business or professional license suspended, revoked, or surrendered in N.C. or any other state or jurisdiction, or is there any disciplinary action pending against you in connection with any other license that you hold?
(If “yes”, attach a separate statement giving complete details.)

(17) Have you ever been charged or arrested with a criminal offense (other than minor traffic offenses; DUI/DWI are not minor traffic offenses)?
(If “yes”, attach a separate statement giving complete details.)

(18) Have you ever been convicted of any criminal offense (other than minor traffic offenses; DUI/DWI are not minor traffic offenses) or is there any criminal charge now pending against you?
(If “yes”, attach a separate statement giving complete details.)

(19) Are there any unpaid judgements of debt now outstanding against you?
(If “yes”, provide name of creditor, amount, date, current balance, and a complete explanation.)

(20) Have you ever been discharged in bankruptcy or are you currently a debtor in a bankruptcy proceeding?
(If “yes”, provide a copy of the bankruptcy order discharging you from debts, or bankruptcy petition if pending. Also, provide a complete explanation.)

(21) Character Endorsement – We, the undersigned, do hereby certify to the North Carolina Auctioneer Licensing Board that we reside in the community in which the applicant resides (or has resided); that we are not related to the applicant; that we are not presently nor do we propose to be associated with the applicant in the auction business; that the applicant is well known to us individually; and that he or she is of good moral character and bears a good reputation for honesty, truthfulness and integrity.

1. ____________________________
   (Printed name of endorser)
   (Signature of endorser)
   (Address) (City) (State)
   (Phone) (Occupation)
   How long have you known the applicant? ______
   In what capacity? __________________________

2. ____________________________
   (Printed name of endorser)
   (Signature of endorser)
   (Address) (City) (State)
   (Phone) (Occupation)
   How long have you known the applicant? ______
   In what capacity? __________________________
(22) List all places of residence during past seven years – **list present address first** – (attach additional sheets if needed).

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<tr>
<th>Street Address or Highway Number</th>
<th>City</th>
<th>State</th>
<th>From mo./yr.</th>
<th>To mo./yr.</th>
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(23) Are you presently employed?

☐ Yes  ☐ No

(24) Describe all employment during the past seven years – **list present employment first** – (attach additional sheets if needed).

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<tr>
<th>Name of Company</th>
<th>Street Address or Highway Number</th>
<th>City</th>
<th>State</th>
<th>Telephone</th>
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(25) Licenses are issued in the individual applicant’s name. If you plan to advertise and conduct auction business under any other name, trade name, or assumed name, you must file such name(s) with the Board. If this name is for a different entity other than yourself personally, such as an LLC, a Corporation, a Partnership, or an Association, you are required by Law to also obtain an auction firm license. You should indicate the name (if known) below:

__________________________________________________________________________

(26) **All licenses expire June 30th each year**, regardless of the date of issuance [N.C.G.S. 85B-4(e)]. Your application will be reviewed at the next regularly scheduled monthly meeting of the Board (following examination, if applicable) and, if approved, the license will be issued immediately after that meeting. Applicants should indicate their preference below:

☐ Issue license as soon as possible.  ☐ Hold license until beginning of next fiscal year (July 1st).
This affidavit to be executed by applicant before a Notary Public:

The undersigned, in making this application to the North Carolina Auctioneer Licensing Board, swears (or affirms):
1. That he/she is the applicant named herein;
2. That he/she has read and understands the North Carolina Auctioneer Licensing Law and the Rules and Regulations of the Licensing Board;
3. That he/she agrees to abide by the North Carolina Auctioneers Law and Rules;
4. That the answers and information contained herein are true to the best of his/her knowledge and belief;
5. That he/she understands that any omissions, inaccuracies or failure to make full disclosures may be deemed sufficient reason to deny permission to take an examination or to deny a license or to withhold renewal of or suspend or revoke a license issued by the Board;
6. That he/she understands that the Board may make such inquiry and investigation concerning the applicant’s character, record and background as the Board deems necessary, and said applicant further agrees to furnish any additional information or documentation requested by the Board.

Signature of applicant: 

Sworn and Subscribed to before me this __________ day of ______________, 20____

______________________________  __________________________
(Name of Notary Public)  (Signature of Notary Public)

My Commission Expires __________________

County __________________________ State ______

(AFFIX SEAL)

Proposed Supervising Auctioneer’s Endorsement of Apprentice Auctioneer Applicant – The auctioneer with whom the applicant will be associated must submit a brief written summary of his/her background and experience, which includes the number and types of auctions conducted annually, and must personally sign the following statement:

This is to certify that the above named applicant will, when properly licensed, be associated with or engaged by me in the capacity of an apprentice auctioneer; that I will exercise proper supervision over and assume responsibility for his/her acts as an apprentice auctioneer while associated with me; that to the best of my knowledge he/she is a person of honesty, truthfulness and integrity; that I will personally appear before the Licensing Board in connection with this application if requested to do so. I further certify that I have read the completed application before signing.

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<th>Supervising Auctioneer’s Signature</th>
<th>Date</th>
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<tr>
<td>Supervising Auctioneer’s Printed Name</td>
<td>License Number</td>
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<td>Business Name (printed)</td>
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<td>Business Address (printed)</td>
<td>City</td>
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<tr>
<td>Mailing Address (printed)</td>
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The following information must be completed by the proposed supervising auctioneer and submitted with the Apprentice Auctioneer package.

Name of Apprentice Applicant: __________________________________________________________

Name of Supervising Auctioneer: _____________________________________________________

Address of Supervising Auctioneer: ___________________________________________________

Supervising Auctioneer license number: ________________________________________________

Issue date of Supervising Auctioneer license number: ____________________________________
(Rules require at least 5 years of active experience or equivalent combination of training and experience)

Number of sales conducted annually: _________________________________________________

Types of sales conducted annually:
_______________________________________________________________________________
_______________________________________________________________________________
_______________________________________________________________________________
_______________________________________________________________________________
_______________________________________________________________________________
_______________________________________________________________________________
_______________________________________________________________________________

Signature of Proposed Supervising Auctioneer _______________________________________

Signature of Applicant ____________________________________________________________

FOR STAFF USE ONLY

Proposed Supervising Auctioneer does _______ does not _______ possess required training and experience/verified by ________

Form 20 SAAP.19
The purpose of the Board collecting your number is to positively identify you among credit history documents and other documents and records where the social security number has been used for identification. This is a requirement pursuant to N.C.G.S.93B-14.

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If you are applying for an auction firm license, please provide this form to each Director, Officer, Partner, and/or Designated Person for their disclosure of their social security number.

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Form 15 SSN.19
North Carolina Auctioneer Licensing Board

Public Notice Statement

Any worker who is defined as an employee by N.C. Gen. Stat. §§ 95-25.2(4)(NC Department Of Labor), 143-762(a) (3)(Employee Fair Classification Act), 96-1(b)(10)(Employment Security Act), 97-2(2)(Workers’ Compensation Act), or 105-163.1(4)(Withholding; Estimated Income Tax for Individuals) shall be treated as an employee unless the individual is an independent contractor. Any employee who believes that the employee has been misclassified as an independent contractor by the employee’s employer may report the suspected misclassification to the Employee Classification Section with the North Carolina Industrial Commission.

Employee Classification Section
North Carolina Industrial Commission
1233 Mail Service Center
Raleigh, NC 27699-1233
Telephone: (919) 807-2582
Fax: (919) 715-0282
Email: emp.classification@ic.nc.gov

Employee misclassification is defined as avoiding tax liabilities and other obligations imposed by Chapter 95, 96, 97, 105, or 143 of the North Carolina General Statues by misclassifying an employee as an independent contractor. [N.C. Gen. Stat. § 143-762(5)]

I certify that I have read the Public Notice Statement above and that I understand it.

(Check one of the following)
I have not been investigated ____ / I have been investigated ____ for employee misclassification and have attached the results of the investigation to this application/renewal.

Printed Name of Applicant: ________________________________

Signature of Applicant: ________________________________

Date: ________________

Form 19.EC.19
I authorize the North Carolina Department of Justice through the STATE BUREAU OF INVESTIGATION to perform a fingerprint search of the State’s criminal history record file and, if applicable, a fingerprint search of the FEDERAL BUREAU OF INVESTIGATION’S files for a national criminal history record check in connection with my application for licensure by the North Carolina Auctioneer Licensing Board - State and Federal - NCGS143B-937 and 85B-3.2. I understand my rights to complete or challenge the accuracy of the information contained in the FBI identification record. The procedures for obtaining a change, correction, or update of an FBI identification records are set forth in Title 28, CFR, 16.34.

LAST NAME ________________ FIRST ________________ MIDDLE ________________ MAIDEN ________________

(Print or Type)

SOCIAL SECURITY NUMBER ________________ DOB ________________ SEX ________________ RACE ________________

(Optional*)

I understand that the North Carolina State Bureau of Investigation, and its officials and employees shall not be held legally accountable in any way for providing this information to the above named agency, and I hereby release said agency and persons from any and all liability which may be incurred as a result of furnishing such information. I further understand that the agency cannot provide a HARD COPY of the results of this criminal history record check to me.

*Disclosure of social security number is entirely voluntary and not required. If disclosed, the social security number will be utilized to assist with accurate identification/exclusion of possible criminal history records.

Applicant’s Signature ______________________________

Date ______________________________

Board use only:
OCA #NCAUCT0000—NC Auctioneer Licensing Board

FINGERPRINT PROCESSING FEE — $38.00
(State & Federal)
Be advised that all applications are presented to the Auctioneer Licensing Board for review and approval. The Board meets only once each month, therefore, in order to have your application considered at a specific meeting, the application and all other required documents and information must be received in this office by the deadline date indicated. Licenses are not issued until approval by the Board. Individuals taking the auctioneer licensing exam should follow the examination filing schedule when making application.

**Board Meeting Dates:**

- January 21, 2020 (Tuesday)
- February 10, 2020 (Monday)
- March 9, 2020 (Monday)
- April 13, 2020 (Monday)
- May 11, 2020 (Monday)
- June 8, 2020 (Monday)
- July 13, 2020 (Monday)
- August 10, 2020 (Monday)
- September 14, 2020 (Monday)
- October 12, 2020 (Monday)
- November 9, 2020 (Monday)
- December 14, 2020 (Monday)

**Application Deadline Dates:**

- January 8, 2020 (Wednesday)
- January 29, 2020 (Wednesday)
- February 26, 2020 (Wednesday)
- March 31, 2020 (Tuesday)
- April 29, 2020 (Wednesday)
- May 27, 2020 (Wednesday)
- June 30, 2020 (Tuesday)
- July 29, 2020 (Wednesday)
- September 1, 2020 (Tuesday)
- September 30, 2020 (Wednesday)
- October 28, 2020 (Wednesday)
- December 2, 2020 (Wednesday)

All Application materials are required to be submitted on or before this Application deadline, which is, seven (7) working days prior to the Board Meeting date.