Pre-Licensing/Pre-Education Frequently Asked Questions

What is the most important application response concern? Be thorough and honest. Incorrect or incomplete response information can and does cause license applications to be denied.

What other application issue frequently creates problems? Failure to realize that the word ever means **EVER**. *(The exception is that subsequently expunged criminal history information does not need to be disclosed.)*

Will a criminal record keep me from being approved for an auctioneer or auction firm license? Possibly, but each application is reviewed on its own merits, and on a case-by-case basis. Further, any criminal history-based denial decision can only come following consideration and analysis of the factors listed in N.C.G.S. 93B-8.1(b)(b1) and N.C.G.S. 85B-3.2(d).

I happen to have some criminal record issues in my past. Prior to beginning any education or sending in a license application, is there a way that I can learn if my particular situation will preclude me from being issued a license? YES. Information regarding a predetermination can be found at www.ncalb.org or by contacting NCALB staff.

Do I have to complete auctioneering school before seeking a predetermination decision from the Board? No. If you suspect that your criminal history may ultimately keep you from being approved for a license, you may want to request a predetermination decision from the Board prior to investing the time, energy, and expense involved in attending auction school.

Why does the application ask about financial matters? Upon being issued a license, auctioneers are permitted to assume the fiduciary duty of being trusted with the property (and proceeds from the sale of property) of their auction clients.

Will adverse financial information in my past preclude me from being approved for a license? Possibly. The Board assesses the past and current status of applicants and may deny licensure upon determination that a demonstrated lack of financial responsibility exists.

Do I have to provide a credit report? The Board may require a current credit report in certain circumstances, including bankruptcies, unsatisfied judgments, and worthless check criminal convictions.

Can I get a pre-determination decision regarding financial issues from the Board regarding financial issues prior to submitting a license application? No. North Carolina law requires occupational licensing boards to make criminal history-based predetermination decisions when requested, but not for any other reason.

If my application is not approved by the Board, is there any opportunity to appeal that decision? Yes. Any applicant whose license application has initially been denied has 30 days from the date of notification to request a formal administrative hearing before the Board. This is an opportunity to challenge information, present evidence, present witnesses, and offer testimony prior to the Board reaching any final agency decision.

North Carolina Auctioneers Licensing Board
108 Ber Creek Drive
Fuquay-Varina, NC 27526

PREDETERMINATION OF LICENSURE

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

Licensure 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 Auctioneer Licensing Board
108 Ber Creek Drive
Fuquay-Varina, NC 27526
www.ncalb.org
info@ncalb.org

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.

FINGERPRINT RESULTS MUST BE RECEIVED BY THE NCALB PRIOR TO ANY LICENSE BEING ISSUED.

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.

3. Social Security Information Form.

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 applicant and the official taking the fingerprints must complete the card. ***The fingerprint lines/ridges must be clearly visible.***

   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
   ($50 application fee, $100 license fee, $50 recovery fund fee)
   (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 apprenticeship 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 auctioneer. 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 auctioneer 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 account 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; however, 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.

NORTH CAROLINA AUCTIONEER LICENSING BOARD
APPLICATION for NC RESIDENT APPRENTICE AUCTIONEER LICENSE

Required with each application:

PHOTOGRAPH
Attach a clear full-face, passport quality photo (2" x 2") of head and shoulders taken within the past 6 months.

108 Ber Creek Drive
Fuquay-Varina, N.C. 27526
Voice (919) 567-2844
Fax (919) 567-2865
E-mail info@ncalb.org
Website www.ncalb.org

FOR BOARD USE ONLY

License Issued Date _____ **License #** _____

Board Initials: _____ _____ _____ _____ _____

FEES		EXAM	
Application Fee		Date	Grade
Examination Fee			
License Fee			
Background Fee		Hold Until July 1st	
Recovery Fund		Yes	
Total Fees			

APPLICANTS MUST READ THE ACCOMPANYING INSTRUCTION MATERIALS AND THE NORTH

TYPE OR PRINT (Do not use pencil) PRINT LEGIBLYPRINT ONE-SIDED**DO NOT STAPLE**

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 an 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) Are you active military? ☐ Yes ☐ No

(3) Are you a military veteran? ☐ Yes ☐ No

(4) Full

First	Middle Name	Last

(5) Residence Address

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

(6) Mailing Address (if different)

Street Address or PO Box	City	State	Zip (9-digit if known)

(7) Legal Resident of

State	County	Country

(8) Date of Birth

Mo.	Day	Yr.

(9) Home Phone ( )

(10) Cell Phone ( )

(11) Business ( )

(12) Email

(13) Website

(14) High School Graduate or GED (yes or no)

(15) 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):

Name	Type of License	License Number	State	From mo./yr.	To mo./yr.

		Yes	No
(16)	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.)	☐	☐
(17)	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.)**	☐	☐
(18)	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.)**	☐	☐
(19)	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.)**	☐	☐
(20)	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.)**	☐	☐
(21)	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.)**	☐	☐
(22)	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.)**	☐	☐

(23) **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)
_____ (Company)
How long have you known the applicant? _____
In what capacity? _____

2. _____ (Printed name of endorser)
_____ (Signature of endorser)
_____ (Address) (City) (State)
_____ (Phone) (Occupation)
_____ (Company)
How long have you known the applicant? _____
In what capacity? _____

(24) List all places of residence during past seven years – **list present address first** – (attach additional sheets if needed).

Street Address or Highway Number	City	State	From mo./yr.	To mo./yr.

(25) Are you presently employed? ☐ Yes ☐ No

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

Name of Company	Street Address or Highway Number	City	State	Telephone

Position	Duties	From Mo./Yr.	To Mo./Yr.

Name of Company	Street Address or Highway Number	City	State	Telephone

Position	Duties	From Mo./Yr.	To Mo./Yr.

Name of Company	Street Address or Highway Number	City	State	Telephone

Position	Duties	From Mo./Yr.	To Mo./Yr.

Name of Company	Street Address or Highway Number	City	State	Telephone

Position	Duties	From Mo./Yr.	To Mo./Yr.

(27) 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:

(28) **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).

(29) **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)

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(30) **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.

Supervising Auctioneer's Signature	Date

Supervising Auctioneer's Printed Name	License Number

Business Name (printed)

Business Address (printed)	City	State	Zip

Mailing Address (printed)	City	State	Zip

APPRENTICE SUPERIVSOR APPLICATION FORM

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 _____

SOCIAL SECURITY NUMBER INFORMATION

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.

Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___

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.

Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number ___ ___

North Carolina Auctioneer Licensing Board

Public Notice Statement

Required by N.C.Gen. Stat. § 143-764(a)(5), effective December 31, 2017

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: _____

IMPORTANT
All information must be completed on the fingerprint card in order for the card to be processed by the State Bureau of Investigation. Any omission will result in the card being returned to the applicant for completed information and having to be resubmitted!

AUTHORITY FOR RELEASE OF INFORMATION FORM

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 (Optional*)	**DOB**	**SEX**	**RACE**
_____	_____	_____	_____

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)

Board Meeting Dates

North Carolina Auctioneer Licensing Board
108 Ber Creek Drive, Fuquay-Varina, North Carolina 27526
Voice (919) 567-2844 Fax (919) 567-2865
www.ncalb.org

All Application materials are required to be submitted prior to the Application deadline. Be advised that all completed applications are presented to the Auctioneer Licensing Board for review and approval. 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 are subject to change.

Board Meeting Dates:	Application Deadline Dates:
January 12, 2026 ((Monday)	December 30, 2025 (Tuesday)
February 9, 2026 (Monday)	January 28, 2026 (Wednesday)
March 9, 2026 (Monday)	February 25, 2026 (Wednesday)
April 13, 2026 (Monday)	March 31, 2026 (Tuesday)
May 11, 2026 (Monday)	April 29, 2026 (Wednesday)
June 8, 2026 (Monday)	May 27, 2026 (Wednesday)
July 13, 2026 (Monday)	June 30, 2026 (Tuesday)
August 10, 2026 (Monday)	July 29, 2026 (Wednesday)
September 14, 2026 (Monday)	September 1, 2026 (Tuesday)
October 12, 2026 (Monday)	September 30, 2026 (Wednesday)
November 9, 2026 (Monday)	October 28, 2026 (Wednesday)
December 14, 2026 (Monday)	December 2, 2026 (Wednesday)