#### **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 EV-ER. (The exception is that subsequently expunged criminal history information does <u>not</u> 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. You can see information to request a predetermination decision at <a href="http://www.ncalb.org/pdfs/Form%201%20NCA.19%20NC%20Resident%20Auctioneer%20Application%20Exam%20Package.pdf">http://www.ncalb.org/pdfs/Form%201%20NCA.19%20NC%20Resident%20Auctioneer%20Application%20Exam%20Package.pdf</a> 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.

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

<u>Can I get a pre-determination decision regarding financial issues from the Board regarding financial issues prior to submitting a license application?</u> 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.
- 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 <a href="http://www.ncalb.org/publications.cfm">http://www.ncalb.org/publications.cfm</a> with information about the different requirements and contact the board staff for additional information and documentation requirements at <a href="mailto:info@ncalb.org">info@ncalb.org</a> 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 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)

\$200.00

7. Proper Filing Fees as required by 21 NCAC 4B .0202:

(a) Apprentice Application Fee: (\$50 application fee, \$100 license fee, \$50 recovery fund fee)

(b) Fingerprint Processing fee: \$38.00

Form 3.1 IRAP.19 2 of 3

### 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 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.

Form 3.1 IRAP.19 3 of 3

# 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

FUR	BOARD USE ONLY	
License Issued Date	License #	
Board Initials:		
FEES	EXAM	
Application Fee	Date	Grade
Examination Fee		_
icense Fee		_
ackground Fee	Hold Until July 1s	st
decovery Fund	Yes	_
Total Fees		

#### APPLICANTS MUST READ THE ACCOMPANYING INSTRUCTION MATERIALS AND THE NORTH

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

Apprentice Auction	eer License Fee:	\$200.00 (\$5	50.00 applicatio	n; \$100.	00 Apprentic	ce Lice	nse; \$50.00	Recovery Fund)	
(1) Are you an active m sions of N.C.G.S. 93B-		No. If		ontact the of				neer under the provi- dditional information and	
(2) Are you active milit	tary? 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) D	ate of Birth	Mo. Day Yr.	
(9) Home Phone (	)			(10) Cel	1 Phone (	)			
(11) Business (	)		(12) Email						
(13) Website				(14) H	igh School Gi	raduate	or GED	(yes or no)	

(15)		I any type of auction license is elow and provide a Letter of C heets if needed):		C	es No nich you are <b>currently</b> li	censed.	
	Name	Type of License	License Number	State	From mo./yr.	To mo./	yr.
(16)	any type in N.C. or	n denied an auctioneer or auct any other state or jurisdiction eparate statement giving <b>com</b>	n?	other busines	ss or professional license	e of Yes	No
(17)	been disciplined by pending against yo	an auctioneer or auction firm the licensing authorities in N u in connection with any auct a copy of the licensing age etails.)	N.C. or any other state or ioneer or auction firm lie	jurisdiction cense you ho	, or is there any such act old?	ion	
(18)	other state or jurison license that you ho	any other business or profess diction, or is there any discip ld? separate statement giving c	linary action pending ag				
(19)	DWI are not min	n charged or arrested with or traffic offenses)? separate statement giving c	•	er than <u>mi</u>	nor traffic offenses; D	UI/	
(20)	minor traffic offens	en <b>convicted</b> of any criminal cless) or is there any criminal cleseparate statement giving c	harge now pending agair	nor traffic onst you?	ffenses; DUI/DWI <u>are</u>	<u>not</u>	
(21)		id judgements of debt now ou name of creditor, amount, o		nd a <u>compl</u>	ete explanation.)		
(22)	(If "yes", provide	n discharged in bankruptcy or a copy of the bankruptcy o ovide a <u>complete</u> explanatio	order discharging you i	tor in a bank from debts,	ruptcy proceeding? or bankruptcy petition	n if	
(23)	reside in the comm	sement – We, the undersigned aunity in which the applicant the propose to be associated when the or she is of good moral	resides (or has resided); with the applicant in the	that we are auction busi	not related to the applicants	cant; that we a	are not not us
	1.		2.				
	(Printed name of endors	ser)		Printed name of end	lorser)		
	(Signature of endorser)			Signature of endorse	er)		
	(Address)	(City)	(State)	(Address)	(City)		(State)
	(Phone)	(Occupation)		(Phone)	(Occupation)		
	(Company)			(Company)			
	How long have	e you known the applicant?		_	ave you known the application		
	In what capaci	ty?		In what capa	eity?		

Form 3 RAP.19 Page 2 of 4

(24)	List all places of Street Address		g past seven years – l umber	list present addro Ci		state		ets if neede n mo./yr.	d). To mo./yr.
(25)	Are you presently	employed?				Yes	S	☐ No	<del></del>
(26)	Describe all empl	oyment during	the past seven years	– list present em	oloyment first	t – (attach	additic	nal sheets i	f needed).
Name of	Company		Street Address or Highway Nun	nber	City		State	Telephone	
Position		Duties					From M	o./Yr.	To Mo./Yr.
Name of	Company		Street Address or Highway Nun	nber	City		State	Telephone	
Position		Duties					From M	o./Yr.	To Mo./Yr.
Name of	Company		Street Address or Highway Nun	nber	City		State	Telephone	
Position		Duties					From M	o./Yr.	To Mo./Yr.
Name of	Company		Street Address or Highway Nun	nber	City	5	State	Telephone	
Position		Duties					From M	o./Yr.	To Mo./Yr.
(27)	name, trade name yourself personal	e, or assumed a lly, such as an	vidual applicant's na name, you must file s LLC, a Corporation, I indicate the name (i	such name(s) with a Partnership, or	the Board. I	f this nan	ne is fo	r a differen	t entity other that
(28)	viewed at the nex	kt regularly sch	each year, regardles leduled monthly meet ely after that meeting.	ting of the Board	(following exa	ımination,	if appl	icable) and	cation will be re- , if approved, the
	Issu	e license as soc	n as possible.	Hold	license until b	eginning	of next	fiscal year	(July 1 <sup>st</sup> ).

Form 3 RAP.19 Page 3 of 4

#### (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)	(Sig	gnature of Notary Public)
	My Commissio	n Expires
	County	State
(AFFIX SEAL)		

(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		T. N. 1	
Supervising Auctioneer's Printed Name		License Number	
Business Name (printed)			
Business Address (printed)	City	State	Zip
	City		7in
Mailing Address (printed)	City	State	Zip
Mailing Address (printed)	City	State	Zip

Form 3 RAP.19 Page 4 of 4

## APPRENTICE SUPERIVSOR APPLICATION FORM

The following information must be complet Auctioneer package.	ted by the proposed su	upervising auctioneer and submitted with the Apprentice
Name of Apprentice Applicant:		
Name of Supervising Auctioneer:		
Address of Supervising Auctioneer:		
Supervising Auctioneer license number:		
Issue date of Supervising Auctioneer license (Rules require at least 5 years of active experience)		combination of training and experience)
Number of sales conducted annually:		
Types of sales conducted annually:		
Signature of Proposed Supervisi	ng 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	r 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
	<u> </u>	
Applicant Drive d Name	Applicant's Signature	Analisanda Garriel Garriela Navalan
Applicant's Printed Name	Applicant 3 digitature	Applicant's Social Security Number
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number
Auglicont's Drinted Nome	Amiliant's Construs	L. F. A. G. Clark N. J.
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
	l	
Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number
	l .	



#### 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 <u>defined</u> 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)

(Check <u>one</u> of the following)		
I have not been investigated	/ I <u>have</u> been investigated	for employee misclassification and have
attached the results of the investig	gation 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.

LAS	T NAME	FIRST	MIDDLE	MAIDEN
(Print	or Type)			
SOC (Optio	CIAL SECURITY NUMBER nal*)	DOB	SEX	RACE
accountable persons from that the agen *Disclosure	that the North Carolina State Butin any way for providing this in any and all liability which may cy cannot provide a HARD COP of social security number is entire assist with accurate identification.  Signature	formation to the a y be incurred as a Y of the results of rely voluntary and	above named agency, and I result of furnishing such in this criminal history record not required. If disclosed, saible criminal history record	hereby release said agency and formation. I further understand I check to me.  the social security number will
Date				
			ard use only: A #NCAUCT0000—NC Auc	tioneer Licensing Board
		FIN	NGERPRINT PROCESSING I	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 <u>not</u> 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:**

January 13, 2025 ((Monday)

February 10, 2025 (Monday)

March 10, 2025 (Monday)

April 14, 2025 (Monday)

May 12, 2025 (Monday)

June 9, 2025 (Monday)

July 14, 2025 (Monday)

August 11, 2025 (Monday)

September 8, 2025 (Monday)

October 13, 2025 (Monday)

November 10, 2025 (Monday)

December 8, 2025 (Monday)

## **Application Deadline Dates:**

December 31, 2024 (Tuesday)

January 29, 2025 (Wednesday)

February 26, 2025 (Wednesday)

April 2, 2025 (Wednesday)

April 30, 2025 (Wednesday)

May 28, 2025 (Wednesday)

July 1, 2025 (Tuesday)

July 30, 2025 (Wednesday)

August 26, 2025 (Tuesday)

October 1, 2025 (Wednesday)

October 29, 2025 (Wednesday)

November 24, 2025 (Monday)