

CORPORATION LICENSE APPLICATION

RE 201 (Rev. 7/18)

DRE RECEIVED DATE

DRE USE ONLY

DRE USE ONLY

GENERAL INFORMATION

➤ ***This application may be used to license:***

- A corporation with a designated broker-officer,
- An additional broker-officer with a new or currently licensed corporation, OR
- A new officer as a substitute (replacement) for the existing designated broker-officer.

➤ **Read Sections III and IV before completing this application.**

➤ This application must be completed and signed on lines 30 and 34 by the *broker-officer applicant*.

- A Certificate of Status or Articles of Incorporation and the appropriate fee **must** accompany this form. Refer to Section IV.
- Any changes (addresses, DBA, etc.) to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A).

SECTION I — CORPORATION INFORMATION

1A. DOES THIS CORPORATION CURRENTLY HOLD OR HAS IT PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

DRE USE ONLY

YES IF YES, COMPLETE ITEMS 1B - 4D. NO IF NO, COMPLETE ITEMS 2A - 4D

1B. DRE CORPORATION LICENSE NUMBER

1C. EXPIRATION DATE

2A. CORPORATION NAME (PRINT NAME AS IT APPEARS ON CERTIFICATE OF STATUS, DO NOT LIST FICTITIOUS BUSINESS NAMES.)

2B. CALIFORNIA SECRETARY OF STATE IDENTIFICATION NUMBER (REFER TO PAGE 5)

2C. FEDERAL TAXPAYER IDENTIFICATION NUMBER
(REQUIRED - SEE PRIVACY NOTICE)

3A. MAILING ADDRESS (STREET ADDRESS OR POST OFFICE BOX)

3B. CITY

3C. STATE

3D. ZIP CODE

4A. MAIN OFFICE ADDRESS (STREET ADDRESS - MUST BE A PHYSICAL ADDRESS)

4B. CITY

4C. STATE

CA

4D. ZIP CODE

5. FICTITIOUS BUSINESS NAME (IF ANY) – ATTACH A COPY OF THE FICTITIOUS BUSINESS NAME STATEMENT AS FILED WITH THE COUNTY CLERK.

SECTION II — BROKER-OFFICER INFORMATION

6A. DO YOU CURRENTLY HOLD OR HAVE YOU PREVIOUSLY HELD A REAL ESTATE LICENSE IN CALIFORNIA?

YES IF YES, COMPLETE ITEMS 6B - 11. NO IF NO, COMPLETE ITEMS 7 - 11

6B. LICENSE IDENTIFICATION NUMBER

6C. TYPE OF LICENSE

6D. EXPIRATION DATE OF LICENSE

7. NAME OF BROKER-OFFICER (LAST, FIRST & MIDDLE)

8. SOCIAL SECURITY NUMBER OR INDIVIDUAL TAXPAYER ID NUMBER
(REQUIRED-SEE PRIVACY NOTICE)

9. BIRTH DATE (MM/DD/YYYY)

10. CORPORATE OFFICER TITLE

11. TYPE OF BROKER-OFFICER LICENSE REQUESTED: (CHECK ONE) REFER TO FEE SECTION ON PAGE 6.

- DESIGNATED BROKER-OFFICER
- ADDITIONAL BROKER-OFFICER *(Refer to Fees.)*
- SUBSTITUTION OF CURRENT DESIGNATED BROKER-OFFICER *(Refer to page 5, Section II Instructions, #11.)*

DRE USE ONLY

RESTRICTED LICENSE

FINGERPRINTS

FLAG CLEARANCE

VIOLATIONS

- CORPORATION
- OFFICER

- RECEIVED
- NOT NEEDED

CLEARANCE REC'D

RAP REC'D

NOTES

- DOJ
- FBI

- DOJ
- FBI

EXAM ID NUMBER

PROCESSOR # & DATE PROCESSED

LICENSE EFFECTIVE DATE

LICENSE EXPIRATION DATE

BROKER-OFFICER INFORMATION (CONTINUED)

12. DO YOU RESIDE IN THE STATE OF CALIFORNIA?

YES NO IF NO, THEN A CONSENT TO SERVICE OF PROCESS (RE 234) MUST ALSO BE COMPLETED. (Refer to #12 instruction on page 5.)

13. ARE YOU CURRENTLY SERVING IN THE U.S. MILITARY?

YES NO

14A. HAVE YOU PREVIOUSLY SERVED IN THE U.S. MILITARY?

YES NO

14B. IF YES, WERE YOU HONORABLY DISCHARGED?

YES NO (See page 6 for expedited processing instructions)

15. CURRENT PHONE NUMBER (REQUIRED)

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16. CURRENT EMAIL ADDRESS (REQUIRED - PRINT CLEARLY)

17. BUSINESS TELEPHONE NUMBER

()

18. BUSINESS CELL PHONE NUMBER

()

19. HAVE YOU EVER USED ANY OTHER NAMES (i.e., MAIDEN NAME, AKA, ETC.)?

YES IF YES, LIST NAMES USED: _____ NO

20. GENDER

MALE FEMALE

BACKGROUND INFORMATION

Carefully read and provide detailed answers to questions 21-26. You must provide a "yes" or "no" response to all questions, and completely and accurately provide the detailed information required. Attach additional sheets if you need more space. Each additional sheet must be signed by the applicant. Failure to disclose pertinent information may result in denial of your license application and/or delays.

"Convicted" as used in question 21 below includes:

- All state, commonwealth, possession, or federal misdemeanor and felony convictions, and all military and foreign convictions.
- A verdict of guilty by judge or jury, a plea of guilty, a plea of nolo contendere (or "no contest"), or a forfeiture of bail in the courts.
- **Convictions expunged under Penal Code sections 1203.4, 1203.4a and 1203.41 or equivalent non-California statute must still be disclosed. Proof that a conviction has been expunged under Penal Code sections 1203.4, 1203.4a and 1203.41 must be submitted with the application.**
- Convictions must be disclosed no matter how long ago they occurred and whether the convicted person was a minor (under 18 years of age, if tried as an adult).

Exceptions to "Convicted": DO NOT DISCLOSE

- Any Juvenile Court adjudication.
- Any conviction sealed under Penal Code section 1203.45 or Welfare and Institutions Code section 781.
- Any conviction under Health and Safety Code section 11357(b), (c), (d), or (e), or Health and Safety Code section 11360(b) **AFTER** at least two years have passed since the date of the conviction.

21. HAVE YOU EVER BEEN CONVICTED (SEE PARAGRAPH ABOVE) OF ANY VIOLATION OF THE LAW AT THE MISDEMEANOR OR FELONY LEVEL? **IF YES, COMPLETE ITEM 27 WITH INFORMATION ON EACH CONVICTION**.....

YES NO

22. ARE THERE CRIMINAL CHARGES PENDING AGAINST YOU AT THIS TIME, OR ARE YOU CURRENTLY AWAITING JUDGMENT AND SENTENCING FOLLOWING ENTRY OF A PLEA OR JURY VERDICT? **IF YES, COMPLETE ITEM 27**.....

YES NO

23. HAVE YOU EVER HAD A DENIED, SUSPENDED, RESTRICTED OR REVOKED BUSINESS OR PROFESSIONAL LICENSE (INCLUDING REAL ESTATE), IN CALIFORNIA OR ANY OTHER STATE? **IF YES, COMPLETE ITEM 28**.....

YES NO

24. ARE THERE ANY LICENSE DISCIPLINARY ACTIONS PENDING AGAINST A BUSINESS OR PROFESSIONAL LICENSE YOU HOLD AT THIS TIME? **IF YES, COMPLETE ITEM 28**.....

YES NO

25. HAVE YOU EVER BEEN REQUIRED TO REGISTER AS A SEX OFFENDER PURSUANT TO THE PROVISIONS OF SECTION 290 OF THE CALIFORNIA PENAL CODE OR ANY COMPARABLE LAW OF ANY STATE OR GOVERNMENTAL UNIT? **IF YES, COMPLETE ITEM 29**.....

YES NO

26. HAVE YOU EVER BEEN ORDERED TO CEASE, DESIST AND/OR REFRAIN FROM DOING AN ACT(S), OR FROM VIOLATING A LAW, RULE OR REGULATION BY, OR CITED FOR A BREACH OF ETHICS OR UNPROFESSIONAL CONDUCT, BY AN ADMINISTRATIVE AGENCY OR PROFESSIONAL ASSOCIATION IN CALIFORNIA OR ANY OTHER STATE? **IF YES, COMPLETE ITEMS 28-29**.....

YES NO

CONVICTION DETAILS

27. DETAILED EXPLANATION OF ITEM 21 AND/OR 22.

COMPLETE ONE LINE FOR EACH VIOLATION AND PROVIDE EXPLANATION BELOW. IF YOU ARE UNABLE TO PROVIDE THIS INFORMATION, PROVIDE ALL THE REQUESTED INFORMATION YOU CAN OBTAIN, WITH AN EXPLANATION FOR THE MISSING INFORMATION. IF THE CONVICTION STATUS HAS BEEN SUBSEQUENTLY CHANGED OR REDUCED, NOTE THAT FACT IN THE AREA PROVIDED FOR ADDITIONAL INFORMATION. ATTACHMENTS FOR ADDITIONAL INFORMATION SHOULD SPECIFY WHICH LINES YOU ARE REFERRING TO. **EACH ADDITIONAL SHEET MUST BE SIGNED BY APPLICANT.**

* CODE SECTION VIOLATED (i.e., 1014, 484, ETC.) ** CODE VIOLATED (i.e., VEHICLE CODE, PENAL CODE, ETC.) *** DISPOSITION (i.e., PROBATION, PAROLE, FINE, PENDING, ETC.)

COURT OF CONVICTION (Name and Address)	ARRESTING AGENCY (Name and Address)	DATE OF CONVIC-TION	TYPE OF CONVICTION	* CODE SECTION VIOLATED	** CODE VIOLATED	*** DISPOSITION	CASE NUMBER
<i>Example:</i> Sacramento Cnty. 456 Main St., Sac	Sacramento City Police 123 Main St., Sac	2/20/87	<input type="checkbox"/> Felony <input checked="" type="checkbox"/> Misdemeanor	484	Penal Code	6 months probation and \$200 fine	1234
27A.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
27B.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				
27C.			<input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor				

SECTION III — REGULATION 2746

Corporate Real Estate Brokers, Officers, Directors and Shareholders

- (a) At the time of application for, or in the reinstatement of, an original real estate broker license, the designated officer shall file a background statement of information for each director, the chief executive officer, the president, first level vice presidents, secretary, chief financial officer, subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, if such person has been the subject of any of the following:
 - (1) Received an order or judgment issued by a court or governmental agency during the preceding 10 years temporarily or permanently restraining or enjoining any business conduct, practice or employment;
 - (2) Has had a license to engage in or practice real estate or other regulated profession, occupation or vocation denied, suspended or revoked during the preceding 10 years;
 - (3) Engaged in acts requiring a real estate license of any state without the benefit of a valid license or permit authorizing that conduct during the preceding 10 years which have been enjoined by a court of law or administrative tribunal;
 - (4) Been convicted of a crime which is substantially related to the qualifications, functions or duties of a licensee of the Department as specified in Section 2910 of these Regulations (excluding drunk driving, reckless driving and speeding violations).
- (b) The background statement shall be set forth in DRE Form 212 and shall inquire only about the information to be disclosed pursuant to subdivision (a). The background statement must be verified and completed by each corporate officer, director or stockholder as named in subdivision (a) to the fullest extent of the signatory's actual knowledge.
- (c) Whenever there is a change in the person whose background statements are required to be on file with the Department for a corporate licensee pursuant to subdivision (a) or an addition to the persons required to file statements pursuant to subdivision (a), the designated officer of the corporation shall, within 30 days thereafter file with the Department a background statement of information for each new or changed person.

Note: Authority cited: Section 10080, Business and Professions Code. Reference: Section 10152, Business and Professions Code.

CERTIFICATION

I certify that I have read and understand the provisions described above. (NOTE: Failure to check one of the boxes below will delay the processing of your license application).

- I also certify that a Corporation Background Statement (RE 212) is not needed for any officers or persons owning or controlling more than ten percent of the corporation shares including myself.
- A completed Corporation Background Statement(s) (RE 212) is attached** for each officer, director or shareholder with a reportable item under Regulation 2746.

33. CORPORATION NAME

34. SIGNATURE OF BROKER-OFFICER APPLICANT (MUST BE ORIGINAL SIGNATURE) <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>	35. DATE <div style="border: 1px solid black; height: 20px; width: 100%; margin-top: 5px;"></div>
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SECTION IV — READ AND RETAIN FOR FUTURE REFERENCE

GENERAL INFORMATION

- Complete all information in Sections I and II according to the instructions.
- Type or print clearly in ink. *Penciled applications will be returned.*

Filing Period – Unless currently licensed either as a real estate broker or as a real estate broker-officer, your application and license fee are to be filed within one year from the date you successfully completed your examination. (Section 10201.6 of the Business and Professions Code.)

Certificate of Status – A corporation not currently licensed by this Department must include a Certificate of Status from the California Secretary of State. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the Articles were filed with the Secretary of State within six months preceding the date the application is submitted to our office. If the firm is not incorporated in California, either a Certificate of Qualification or Certificate of Foreign Corporation from the California Secretary of State is required. If a Certificate of Status, Certificate of Qualification, or Certificate of Foreign Corporation is submitted, the certificate must be executed no more than thirty days prior to the date the application is submitted to our office.

Corporation Background Statement (RE 212) – Regulation 2746 requires the designated officer who obtains the original corporation license to file an RE 212 for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, **IF** such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is not needed. **In all instances**, the broker-officer must complete and sign the certification in Part III of this application.

Branch Office License – Submit a completed Branch Office Application (RE 203) for each branch office to be licensed.

Continuing Education – Evidence of continuing education (completed within the previous four years) will be required for the issuance of an officer license, if the officer-applicant does not have current individual broker status. For more details/information, refer to the *Instructions to License Applicants* pamphlet or Section 10171.5 of the Business and Professions Code.

COMPLETION INSTRUCTIONS FOR SECTION I

Note: Any changes to a currently licensed corporation must be submitted on a Corporation Change Application (RE 204A) or Corporation License Application (RE 201) for substitution or adding an additional broker-officer.

- 1A Answer licensing question and complete 1B and 1C, if you answered YES.
- 2A-C **Corporation Name & ID** — Enter the complete name of corporation as shown on the Certificate of Status. If a foreign corporation, enter the name as the corporation will be licensed in California.
- Enter the California Secretary of State's identification number (as shown on the Articles of Incorporation) in Item 2B; **and** enter the Federal Taxpayer identification number in Item 2C.
- 3A-D **Mailing Address** — Enter the mailing address of the corporation. All mail sent by DRE will be delivered to this address. Note:

Business and license mailing addresses are public information and as such are posted on the Internet and available from DRE via telephone and written requests. Please consider this when identifying a license mailing address.

- 4A-D **Main Office Address** — Enter the primary place of business of the corporation (must be a physical California address).
- 5 **Fictitious Business Name** — Enter the name exactly as it appears on the Fictitious Business Name Statement (FBNS) as filed with the county clerk. The DBA must be filed in the county of the corporation's main office address.
- Prior to filing your FBNS with the county, you may wish to contact a local DRE district office, or check our Web site at www.dre.ca.gov to determine if the name is already in use by another broker.
 - Submit a copy of the FBNS with the "filed stamp" from the county clerk's office.
 - The corporation's name must appear as a registrant on the FBNS.

COMPLETION INSTRUCTIONS FOR SECTION II

- 6A Answer licensing question and complete 6B–D, if you answered YES.
- 7 **Name of Broker-Officer** — Enter the complete name of the broker-officer to be licensed.
- 8 **Social Security Number** — Your SSN is mandatory. Refer to Privacy Notice on page 6.
- 9 **Birth Date** — Enter your birth date.
- 10 **Corporate Officer Title** — Enter the official title (e.g., president, vice president, etc.) held within the corporation. "Broker of record" is not sufficient. The designated officer must be an official corporate officer.
- 11 **Type of Broker-Officer License Requested** — Check the appropriate box. Note: If "additional broker-officer" checked, submit appropriate fee. If "substitution of current designated broker-officer" checked, attach resignation of former designated officer or Resolution of Board indicating that employment has been terminated.
- 12 **California Residence** — Check the appropriate response.
- Non-California Residents** — If residing outside the State of California, a *notarized* Consent To Service of Process (RE 234) is also required, if not already on file.
- 13-14B **Military Service** — Mark the appropriate answers to these questions. If answer to 14B is yes, provide proof of honorable discharge for expedited processing. See page 6 of this form for more information.
- 15-17 **Business, Residence, & Cell Phone Telephone Numbers** — Enter the area code and phone numbers.
- 16 **Email Address** — Enter email address.
- Questions 19-29 must be answered and fully explained. Insufficient or no explanations will result in a significant delay in processing your license application.
 - Read **Officer Certification**; then sign item #30, date item #31, and type the name of the person signing on item #32.

COMPLETION INSTRUCTIONS FOR SECTION III

- Read **Regulation 2746**; type the name of corporation on item #33, sign item #34, and date item #35.
- **Note** — At least one box must be checked in the certification section.

FINGERPRINT INFORMATION

Completion & Submission of RE 237

One set of classifiable electronic fingerprints is required from every real estate license applicant. Fingerprints must be submitted through the California Department of Justice (DOJ) Live Scan Program. A Live Scan Service Request (RE 237) may be obtained online at www.dre.ca.gov.

After you have your fingerprints taken by the live scan service provider, submit a completed copy of the RE 237 with this application. Your license will not be issued until a report from the Department of Justice is received stating that there is no criminal history, or disclosing the existence of criminal history information. If prior criminal information is disclosed in the report, further background inquiry may be required before your license is issued.

Fingerprint Services (Contact the facility for fees/hours)

Many California law enforcement agencies and other private providers provide electronic fingerprint services. You may obtain a complete list of fingerprint service providers by visiting the Department of Justice's Web site at www.ag.ca.gov. Please note that the hours of operation for each provider may vary and an appointment may be required.

Out-of-state applicants

Out-of-state residents either need to make arrangements to get their fingerprints taken at a live scan service provider in California or get fingerprinted out of state using the FBI Applicant Fingerprint Card (FD-258 Rev. 5/99). A fingerprint card can be obtained by contacting the Licensing Section at **877-373-4542**. It should be taken to a local law enforcement agency for completion and submitted directly to DRE with the completed exam/license application, exam/license application fee, and \$49 fingerprint processing fee.

NOTICE ABOUT SAFE ACT

All DRE licensees who conduct residential mortgage loan activities, as outlined in the federal SAFE Act, must obtain a mortgage loan originator (MLO) license endorsement in order to perform these types of activities (SB 36, Calderon, Chapter 160, Statutes of 2009). MLO license endorsement applications must be submitted through the Nationwide Multistate Licensing System & Registry (NMLS) and applicants must successfully complete the National test with uniform State content, submit a MLO license endorsement filing

through NMLS and pay required license endorsement fees, submit fingerprints to NMLS, satisfy the 20 hour pre-license education requirement, and submit authorization for NMLS to obtain a credit report. All MLO license endorsements expire on December 31st and must be renewed annually by submitting a renewal filing through NMLS along with the appropriate fees, and evidence of completion of 8 hours of continuing education, as specified. Detailed information regarding obtaining a MLO license endorsement can be found on our Web site.

RE 866 Filing Requirements

All DRE licensees must report to the Department of Real Estate if they make, arrange, or service loans secured by residential property, 1 to 4 units, under the authority of the Real Estate Law. The report must be made within 30 days of commencing such activity and must be completed online using Form RE 866 – Mortgage Loan Activity Notification. Penalty fees can apply for failure to submit this required notification.

FEES AND MAILING INFORMATION

Fees — Refer to Exam & Licensing Fees (RE 206) for current fee schedule.

Acceptable payment methods — cashiers' check, money order, check or credit card.

- Make check or money order payable to:
Department of Real Estate
- Credit card payments must be submitted with a Credit Card Payment (RE 909) form.

Mail To: Department of Real Estate
P.O. Box 137004
Sacramento, CA 95813-7004

EXPEDITED PROCESSING FOR U.S. VETERANS

Honorably discharged veterans of the U.S. Armed Forces are eligible for expedited processing.

- In order to obtain expedited processing, please submit a copy of your U.S. DD Form 214, NGB-22 form, or Honorable Discharge certificate to confirm your condition of discharge, along with the application, supporting qualification documents, and fee.
- Please note that applications received to this P.O. Box from non-Honorably Discharged veterans will be processed in received date order.

Mail To: Department of Real Estate
P.O. Box 137014
Sacramento, CA 95813-7014
Attn: Expedited Military Processing

PRIVACY INFORMATION:

Section 1798.17 of the Civil Code requires this notice be provided when collecting personal or confidential information from individuals. Each individual has the right to review personal information maintained by this Agency, unless access is exempted by law.

Department of Real Estate Assistant Commissioner
1651 Exposition Blvd. Licensing & Administration
Sacramento, CA 95815 Telephone: 877-373-4542

General powers of the Commissioner, Sections 10050, 10071, and 10075 of the Business and Professions Code authorizes the maintenance of this information.

Business and Professions Code Sections 30, 31(e) and 494.5(d) require each real estate licensee to initially provide to the Department of Real Estate his or her social security number which will be furnished to the Franchise Tax Board. The Franchise Tax Board will use your number to establish identification exclusively for tax purposes. These code

sections also require that each application for a new license or renewal provides notification on the application, that the Board of Equalization and the Franchise Tax Board will share taxpayer information with the Department of Real Estate, and that failure to pay tax obligations may result in a suspension or denial of a license. The Board of Equalization and Franchise Tax Board require the Department to collect social security numbers and federal taxpayer identification numbers for the purposes of matching the names of the 500 largest tax delinquencies pursuant to Section 7063 or 19195 of the Revenue and Taxation Code. Your social security numbers and federal taxpayer identification number shall not be deemed public records and shall not be open to the public for inspection.

The Real Estate Law and the Regulations of the Commissioner require applicants to provide the Department with specific information. If all or any part of the required information is not provided, processing may be delayed. In addition, the Commissioner may suspend or revoke a

license, or in the case of a license applicant, may deny the issuance for misstatements of facts (including a failure to disclose a material fact) in an application for a license.

The information requested in this form is primarily used to furnish license status information to the Department's Enforcement Section, and to answer inquiries and give information to the public on license status, mailing and business addresses and actions taken to deny, revoke, restrict or suspend licenses for cause.

This information may be transferred to real estate licensing agencies in other states, law enforcement agencies (City Police, Sheriff's Departments, District Attorneys, Attorney General, F.B.I.), and any other regulatory agencies (i.e., Department of Business Oversight, Department of Insurance, Department of Consumer Affairs, California Bar Association).

CORPORATE LICENSE INSTRUCTIONS

RE 218 (Rev. 7/18)

P.O. Box 137004
Sacramento, CA 95813-7004
Telephone: (877) 373-4542

GENERAL INFORMATION

- This form discusses briefly how to license a corporation as a real estate broker and how to make changes once the corporation is licensed.
- The following forms are referenced in this instruction sheet:

Corporation License Application	RE 201
Branch Office Application	RE 203
Corporation Change Application	RE 204A
Examination & Licensing Fees	RE 206
Certification (Assignment of Supervisory Responsibility)	RE 210
Corporation Background Statement	RE 212
Salesperson Change Application	RE 214
- Business and license mailing addresses are public information and as such are posted on the Internet and available from DRE via telephone and written requests. Please consider this when identifying a license mailing address.

LICENSING A CORPORATION AS A REAL ESTATE BROKER

There are no provisions in the Business and Professions (B&P) Code which authorize a limited liability company (LLC) to become licensed as a real estate broker.

Refer to: Sections 10158, 10159, 10159.2, 10170.5 10180, and 10211 of the (B&P) Code. Sections 2740 through 2746 of the Commissioner's Regulations.

When a corporation wishes to act as a real estate broker, the firm must be licensed by the Department of Real Estate (DRE) through qualified broker-officers, who have either passed the broker license examination and are now qualified to obtain a broker license, or who are currently licensed as real estate brokers.

Note: A license as an individual broker and a license as a broker-officer are *separate entities* and the status is not transferable from one to the other. The status as a broker-officer of one corporation is not transferable to being a broker-officer of another corporation.

Fee and Applications Required

- **License Fee** — A license fee is required for *each* broker-officer to be licensed with the corporation. Refer to RE 206 for current fees.
- A **Corporation License Application** (RE 201) must be completed by the designated broker-officer applicant and each broker-officer who is to act for and on behalf of the corporation.
- **Corporation Background Statement** (RE 212) – The designated officer who obtains the original corporation license or who substitutes in as designated officer and is a new officer for an existing corporation must file an RE 212 for any director, chief executive officer, president, first level vice presidents, secretary, chief financial officer and subordinate officers with

responsibility for forming policy of the corporation and all natural persons owning or controlling more than ten percent of its shares, **only** if such a person has been subject of any of the items enumerated in the regulation. If none of the officers have been a subject of any of the items enumerated in the regulation, then an RE 212 is not needed. In all instances, the broker-officer must complete and sign the certification in Section III of RE 201.

- **Certificate of Status** — A corporation not currently licensed by this Department must include a Certificate of Status from the California Secretary of State. The certificate must be executed no more than thirty days prior to the date the application is submitted to our office. Articles of Incorporation will be accepted in lieu of the Certificate of Status provided the Articles were filed with the Secretary of State within six months preceding the date the application is submitted to DRE. If the firm is not incorporated in California, either a Certificate of Qualification or Certificate of Foreign Corporation from the California Secretary of State is required and must be executed no more than thirty days prior to the date the application is submitted to our office.
- **Fictitious Business Name (DBA)** — If the firm intends to use any name other than its own to conduct real estate business, submit a filed copy of the Fictitious Business Name Statement filed on behalf of the corporation. This document is obtained from the County Clerk's Office where the firm's principal place of business is located.
- **Branch Office** — To be licensed with a branch office complete and submit an RE 203.
- **Salespersons** — An RE 214 is required for each salesperson to be employed by the corporation.

GENERAL INFORMATION

NEW & CURRENTLY LICENSED CORPORATIONS

Assignment of Supervisory Responsibility — Section 10159.2 B&P Code permits the assignment of supervisory duties to licensed broker-officers, other than the broker-officer so designated pursuant to Section 10211 B&P, by resolution of the Board of Directors. Complete and submit an RE 210 and a copy of the resolution adopted by the Board of Directors to this Department. **Do not** submit RE 210 if the corporation has only one licensed broker-officer.

RECORD CHANGES

AFTER THE CORPORATION HAS BEEN LICENSED

Commissioner's Regulation 2746 requires corporations to file an RE 212 whenever there is an addition or a change in corporation officers or a natural person owning or controlling more than ten percent of the corporation shares, **if** such a person has been the subject of any of the items enumerated in the regulation.

Continued on reverse side

Broker-Officer Changes

- **Substitution of designated broker-officer with a new officer**
Only the designated broker-officer of a corporation may be replaced by another qualified broker during the licensed period. This may be accomplished by submitting an RE 201 from the new officer *and* either a copy of the personally signed resignation of the broker-officer leaving the firm, a copy of the Resolution of the Board bearing the corporate seal indicating this severance, *or* a signed statement providing the date of death of the currently licensed designated broker-officer. A licensed certificate will then be issued to the new broker-officer for the balance of the licensed period.

To keep the corporation continuously licensed with the Department, both the RE 201 and the resignation of the former broker-officer must be received in the same package. If all necessary documents are properly completed and in order, the effective date of the substitution on the records will be the received date of the package. If these documents are not received together, the licenses of the corporation and its branch offices will be cancelled and the working status of all salespersons will be terminated.

Note: No fee is required when the new officer is completing the balance of the license period.

- **Adding “additional” broker-officers** — Additional broker-officers may be licensed upon receipt of a completed RE 201 and the current license fee. Refer to RE 206 for current fees. Indicate on the application that the applicant is to be an “additional” broker-officer.
- **Adding a new officer to be the designated broker-officer and the current designated officer is remaining as an “additional” broker-officer** — A new broker-officer may be licensed as the designated broker-officer upon receipt of a completed RE 201, a license fee, and a personally signed statement from the current designated officer indicating that he will remain with the corporation as an “additional” broker-officer. If a new broker-officer applicant has passed the broker examination, but not applied for a license, and is substituting for a currently licensed broker officer, a license fee is required. (A fingerprint processing fee may also be required if the applicant has not held a real estate license in the previous two years.) Branch licenses will be reissued to match the term of the new “designated” broker-officer.

Note: A late fee must be submitted if an officer substitution is requested and the corporation license has expired. If an additional officer license is requested, a late fee must be submitted if the additional officer applicant does not have current valid broker license status. Refer to RE 206 for current fees.

- **Change of designated broker-officer with another currently licensed broker-officer** — Submit a completed RE 204A. No new license certificate will be issued to either broker-officer. However, if the license terms differ, new branch office licenses will be issued.

Note: The expiration date of the corporation is always the same as that of the designated officer. One license is issued for both the corporation and the designated broker-officer.

To Change a Main Office Address or Mailing Address

Submit a completed RE 204A signed by a licensed broker-officer.

To Add or Delete a Fictitious Business Name (DBA)

Submit a completed RE 204A signed by a licensed broker-officer.

Note: For additions, also submit a filed copy of the Fictitious Business Name Statement filed on behalf of the corporation in the county where the corporation main office is located.

Change of Corporation Name

Submit a completed RE 204A and the amended Articles of Incorporation or amended name statement by a foreign corporation reflecting the name change and bearing the endorsed or filed stamp of the California Secretary of State. If currently licensed with a DBA, a copy of the filed Fictitious Business Name Statement reflecting the new corporate name as registrant must be submitted.

Reactivating an Expired Corporation

To reactivate an expired corporation within the two year grace period, with a new appointed designated officer, submit a completed RE 201, Certificate of Status from the Secretary of State, and a late fee. Refer to RE 206 for current fees.

How to Cancel a Corporation

To cancel a corporation which is no longer conducting business for which a real estate license is required, submit a letter signed by *all* licensed broker-officers indicating that it is no longer conducting business. Upon cancellation of the corporate license, the working status of all salespersons licensed to the corporation will be terminated and all branch offices and DBAs will be cancelled.

Cancelling An Additional Officer

To cancel an “additional” broker-officer who is no longer conducting business on behalf of the corporation submit a personally signed letter of cancellation from the broker-officer, or a copy of the Resolution of the Board indicating the severance.

Re-Activating A Cancelled Corporation

Submit a completed RE 204A if the corporation is being reactivated by the previously licensed designated broker officer. Submit a completed RE 204A and RE 201 if the corporation is being reactivated by a *new* designated broker-officer.

eLicensing

Licensees can perform the following transactions using the *eLicensing* system at www.dre.ca.gov:

- Broker and salesperson renewals
- License certificate requests (broker, salesperson, officer and branch)
- Salesperson additions/changes of employing broker
- Broker discontinuation of salesperson employment
- Mailing address changes
- Broker main office address addition/changes
- Automated fee payment and processing

FEES AND MAILING INFORMATION

Fees — Refer to Exam & Licensing Fees (RE 206) for current fee schedule.

Acceptable payment methods — cashiers' check, money order, check or credit card.

- Make check or money order payable to:
Department of Real Estate
- Credit card payments must be submitted with a Credit Card Payment (RE 909) form.

Mail To: Department of Real Estate
P.O. Box 137004
Sacramento, CA 95813-7004

EXPEDITED PROCESSING FOR U.S. VETERANS

Honorably discharged veterans of the U.S. Armed Forces are eligible for expedited processing.

- In order to obtain expedited processing, please submit a copy of your U.S. DD Form 214, NGB-22 form, or Honorable Discharge certificate to confirm your condition of discharge, along with the application, supporting qualification documents, and fee.
- Please note that applications received to this P.O. Box from non-Honorably Discharged veterans will be processed in date received order.

Mail To — Department of Real Estate
P.O. Box 137014
Sacramento, CA 95813-7014
Attn: Expedited Military Processing

PRIVACY INFORMATION:

Section 1798.17 of the Civil Code requires this notice be provided when collecting personal or confidential information from individuals. Each individual has the right to review personal information maintained by this Agency, unless access is exempted by law.

Department of Real Estate Assistant Commissioner
1651 Exposition Blvd. Licensing & Administration
Sacramento, CA 95815 Telephone: 877-373-4542

General powers of the Commissioner, Sections 10050, 10071, and 10075 of the Business and Professions Code authorizes the maintenance of this information.

Business and Professions Code Sections 30, 31(e) and 494.5(d) require each real estate licensee to initially provide to the Department of Real Estate his or her social security number which will be furnished to the Franchise Tax Board. The Franchise Tax Board will use your number to establish identification exclusively for tax purposes. These code

sections also require that each application for a new license or renewal provides notification on the application, that the Board of Equalization and the Franchise Tax Board will share taxpayer information with the Department of Real Estate, and that failure to pay tax obligations may result in a suspension or denial of a license. The Board of Equalization and Franchise Tax Board require the Department to collect social security numbers and federal taxpayer identification numbers for the purposes of matching the names of the 500 largest tax delinquencies pursuant to Section 7063 or 19195 of the Revenue and Taxation Code. Your social security numbers and federal taxpayer identification number shall not be deemed public records and shall not be open to the public for inspection.

The Real Estate Law and the Regulations of the Commissioner require applicants to provide the Department with specific information. If all or any part of the required information is not provided, processing may be delayed. In addition, the Commissioner may suspend or revoke a

license, or in the case of a license applicant, may deny the issuance for misstatements of facts (including a failure to disclose a material fact) in an application for a license.

The information requested in this form is primarily used to furnish license status information to the Department's Enforcement Section, and to answer inquiries and give information to the public on license status, mailing and business addresses and actions taken to deny, revoke, restrict or suspend licenses for cause.

This information may be transferred to real estate licensing agencies in other states, law enforcement agencies (City Police, Sheriff's Departments, District Attorneys, Attorney General, F.B.I.), and any other regulatory agencies (i.e., Department of Business Oversight, Department of Insurance, Department of Consumer Affairs, California Bar Association).