



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 certified check, money order, or cashier's check made payable to the North Carolina Auctioneer Licensing Board. If the funds are NOT submitted as noted above, your application will not be accepted. The correct fee must be submitted.

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

Required Application Documents:

- Required Fees. See Apprentice Auctioneer License Application Instructions for details.
- Copy of applicant's high school diploma or proof of equivalency, college diploma or transcript from high school or college. You must be 18 years old and have graduated from high school or equivalent pursuant to N.C.G.S. 85B-4(b).
- A clear "2 x 2" photograph of the applicant's head and shoulders taken within the past 6 months.
- Fingerprint Card and Authority to Release Form. See Apprentice Auctioneer License Application Instructions for details.
- Certified Local Criminal History Search. 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 #13 through #19 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. Criminal history records search by the Clerk of Superior Court (or equivalent official in other jurisdictions) in each county where the applicant has resided and maintained a business within the last 60 months (five years). Each original document must be validated by having the Clerk's official stamp or seal attached and dated no more than 30 days prior to the NCALB office receiving your application.
3. Copy of the applicant's high school diploma or proof of equivalency. The NCALB will only accept a GED or high school diploma issued by accredited institutions. A college diploma, high school transcript or college transcript is acceptable.
4. Social Security Information Form.
5. Employee Classification Form.
6. Supervisor Applicant Form. Each proposed sponsor 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 sponsor 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.
7. Fingerprint Card, Fee, and Authority of Information to Release Form pursuant to N.C.G.S. § 85B-3.2;
Each applicant is required to complete a **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 or this office, upon request, will mail you one.*

DO NOT FOLD THE FINGERPRINT CARD

(You may obtain a fingerprint card at a Sheriff's Office or Police Department)
FD-258 (REV. 3-1-10)

8. 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)	
(c) Fingerprint Processing fee:	
Resident fingerprint background fee	\$14.00
Non-resident fingerprint background fee	\$38.00

***If applicant has resided less than 5 years in NC, the applicant must pay \$38.00, otherwise the fee is \$14.00**

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 sponsor.
- (2) If the applicant's apprenticeship license is approved by the board, a blank log form will be sent to your sponsor. 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 the sponsoring auctioneer. This means the sponsor 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 sponsor 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.

IMPORTANT
Properly answering questions on the application

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

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

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

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

N.C.G.S. 85B-3.1(a)(3)

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

N.C.G.S. 85B-8(a)(1)

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

21 NCAC 4B .0404(a)(2) and (6)

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

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

Application Fee _____

Examination Fee _____

License Fee _____

Background Fee _____

Recovery Fund _____

Total Fees _____

EXAM

Date _____ Grade _____

Hold Until July 1st

Yes _____

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

TYPE OR PRINT (Do not use pencil) PRINT LEGIBLY

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

(1) Full Name Mr. Mrs. Ms.

First	Full Middle Name (or Maiden Name)	Last
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(2) Residence Address

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

Street Address or PO Box	City	State	Zip (9-digit if known)
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(4) Legal Resident of

State	County	Country	(5) Date of Birth	Mo.	Day	Yr.
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(6) Home Phone () _____ (7) Cell Phone () _____

(8) Business () _____ (9) Email _____

(10) Website _____ (11) High School Graduate or GED (yes or no)

- (12) 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(s) 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 |
|---|--------------------------|--------------------------|
| (13) 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (14) 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (15) 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (16) Have you ever been charged or arrested with a criminal offense (other than <u>minor</u> traffic offenses; DUI/DWI are <u>not</u> minor traffic offenses)?
(If "yes", attach a separate statement giving complete details.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (17) Have you ever been convicted of any criminal offense (other than <u>minor</u> 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (18) 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (19) 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.) | <input type="checkbox"/> | <input type="checkbox"/> |
| (20) 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? _____

(26) **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:

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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)

(27) **Proposed Sponsoring 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
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Supervising Auctioneer's Printed Name	License Number
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Business Name (printed)

Business Address (printed)	City	State	Zip
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Mailing Address (printed)	City	State	Zip
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APPRENTICE SUPERIVSOR APPLICATION FORM

The following information must be completed by the proposed sponsoring auctioneer and submitted with the Apprentice Auctioneer package.

Name of Apprentice Applicant: _____

Name of Sponsoring Auctioneer: _____

Address of Sponsoring Auctioneer : _____

Sponsor Auctioneer license number: _____

Issue date of Sponsor 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 Sponsor

Signature of Applicant

FOR STAFF USE ONLY

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

Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
--------------------------	-----------------------	--

Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number — —
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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 Statutes 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!



NORTH CAROLINA AUCTIONEER LICENSING BOARD

CHAIRMAN:

LISA D. YORK
NEW HILL, NC

VICE CHAIRMAN:

BUCK LATTIMORE
RALEIGH, NC

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

CHARLES F. DIEHL, EXECUTIVE DIRECTOR

BOARD MEMBERS:

DANIEL H. DEVANE
GARNER, NC

WILLIE A. JOHNSON
GREENSBORO, NC

ALLISON H. PANT
RALEIGH, NC

AUTHORITY OF INFORMATION TO RELEASE FORM

I authorize the North Carolina Department of Justice through the State Bureau of Investigation, Division of Criminal Information to perform a fingerprint search of the State's criminal history record file and/or the Federal Bureau of Investigation for a national criminal history record check in connection with my fitness to be an auctioneer licensed by the North Carolina Auctioneers Commission pursuant to N.C.G.S. 114-19.8 and N.C.G.S. 85B-3.2.

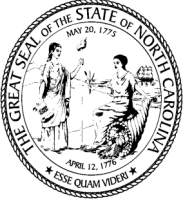
LAST NAME	FIRST	MIDDLE	MAIDEN
_____	_____	_____	_____
(Print or Type)			
SOCIAL SECURITY NUMBER	DOB	SEX	RACE
_____	_____	_____	_____

I understand that the North Carolina State Bureau of Investigation, Division of Criminal Information, and its officials and employees shall not be held legally accountable in any way for providing this information to the North Carolina Auctioneers Commission 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 North Carolina Auctioneers Commission cannot release the results of this criminal history record check to me.

Applicant's Signature

Date

Office use:
ORR #NCAUCT000 – NC AUCTIONEERS COMMISSION
FINGERPRINT CARD STATE CHECK - \$14.00 _____
FINPERPRINT CARD FEDERAL CHCK - \$24.00 _____



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

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

Board Meeting Dates:

January 14, 2019 (Monday)

February 11, 2019 (Monday)

March 11, 2019 (Monday)

April 9, 2019 (Tuesday)

May 13, 2019 (Monday)

June 10, 2019 (Monday)

July 8, 2019 (Monday)

August 12, 2019 (Monday)

September 9, 2019 (Monday)

October 14, 2019 (Monday)

November 12, 2019 (Tuesday)

December 9, 2019 (Monday)

Application Deadline Dates:

January 2, 2019 (Wednesday)

January 30, 2019 (Wednesday)

February 27, 2019 (Wednesday)

March 27, 2019 (Wednesday)

May 1, 2019 (Wednesday)

May 29, 2019 (Wednesday)

June 26, 2019 (Wednesday)

July 31, 2019 (Wednesday)

August 28, 2019 (Wednesday)

October 2, 2019 (Wednesday)

October 31, 2019 (Thursday)

November 27, 2019 (Wednesday)

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