

## 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. You can see information to request a predetermination decision at <http://www.ncalb.org/pdfs/Form%201%20NCA.19%20NC%20Resident%20Auctioneer%20Application%20Exam%20Package.pdf> 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 fiscal 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](mailto: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.

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### 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](mailto: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

## **OUT OF STATE/NON RECIPROCAL APPLICATION FOR AUCTIONEER LICENSE TO SIT FOR THE STATE EXAM**

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](http://www.ncalb.org).

*You must complete Auctioneering School or complete the two-year apprenticeship program prior to applying for an auctioneer licensee and being allowed to take the North Carolina Auctioneer State Examination. Please see N.C.G.S. 85B-4.*

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 examination deadline established by the Board.***

***All fees may be combined in one check 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. Applicants will be notified by email (preferred method) the date, time, and place of the auctioneer examination. If applicant does not have an email address, a confirmation package will be sent by regular mail.***

### **Required Application Documents:**

- Required Fees. See Out of State/Non Reciprocal 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).
- Qualification for Examination: Documentation of required auctioneering schooling or apprenticeship. See Out of State/Non Reciprocal Auctioneer License Application Instructions for details
- 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 Out of State/Non Reciprocal Auctioneer License Application Instructions for details
- Written detailed statement for questions #15 through #21 if you answered "YES." Complete details must be given. Attached a separate statement.

## Out of State/Non Reciprocal 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. Documentation of required auctioneer schooling or apprenticeship;
  - (a) **School:** Applicants who base their application upon their successful completion of an NCALB approved school of auctioneering must submit a copy of their diploma or certificate of successful completion.
  - (b) **Apprenticeship:** Applicants who base their application upon successful completion of an apprenticeship must submit the following:
    - (1) A log maintained and completed during the two-year apprenticeship period, detailing the exact hours and dates on which the applicant obtained apprenticeship experience. Each entry must be verified and signed by the applicant's supervising auctioneer. ***A minimum of 100 hours of experience during the apprenticeship two-year period shall be obtained.*** The applicant must obtain a passing score of 75 on the auctioneer exam prior to the expiration of his apprentice auctioneer license.
    - (2) A letter of recommendation from the supervising auctioneer must be included, containing an evaluation of the applicant's performance during the two-year apprenticeship period.
4. 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 Office or Police Department)  
(FORM—FD-258)

5. Social Security Information Form.
6. Employee Classification Form.
7. Submit a letter of good standing (license status) from each Board or Commission where the applicant holds an active apprentice auctioneer, auctioneer, and/or auction firm license, if applicable.
8. Proper Filing Fees as required by 21 NCAC 4B .0202;

|  |          |
|--|----------|
| (a) Completion of an Accredited Auctioneering School<br>(\$50 application fee, \$50 exam fee, \$150 license fee, \$50 recovery fund fee) | \$300.00 |
| (b) Completion of two-year Apprenticeship<br>(\$50 exam fee, \$150 license fee)  | \$200.00 |
| (c) Fingerprint Processing fee:  | \$38.00  |

**\*Fingerprint card and fee are not required if applicant is applying to take the exam after completion of the two-year apprenticeship program.**

## Please note the following for **AUCTION FIRM LICENSE REQUIREMENTS**

An “Auction Firm” is defined in N.C.G.S. § 85B-1(6) of the North Carolina Auctioneers Law. The requirements for auction firms are explained in N.C.G.S. § 85B-4.

Should you need a firm license in addition to your auctioneer’s license depends upon how you plan to operate your business. If you are uncertain, contact the NCALB office for guidance.

***Sole Proprietorship:*** A licensed auctioneer who is the sole owner of an auction business is not required to obtain an auction firm license, but is required to personally supervise all auction sales, sign all contracts, and review all advertisements.

***Partnership:*** Licensed auctioneers who are partners in an auction business are required to have an auction firm license, as are all other partnerships. This requirement includes partnerships involving spouses or other family members.

***Corporation:*** All corporations are required to obtain an auction firm license.

## **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](http://www.ncalb.org).

# NORTH CAROLINA AUCTIONEER LICENSING BOARD

## NORTH CAROLINA OUT OF STATE APPLICATION for 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](mailto:info@ncalb.org)  
Website [www.ncalb.org](http://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            | _____ | _____               | _____ |
| Recovery Fund             | _____ | Hold Until July 1st |       |
| Total Fees                | _____ | 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**

(1) Indicate qualification for License Auctioneer:

- Completion of School: \$300.00 [\$50.00 Application; \$50.00 Examination; \$150.00 License; \$50.00 Recovery Fund]
- Completion of Apprenticeship: \$200.00 (\$50.00 Examination; \$150.00 License).

(2) 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.

Mr.

(3) Full Name Mrs.

Ms.

|       |                                   |      |
|-------|-----------------------------------|------|
| First | Full Middle Name (or Maiden Name) | Last |
|-------|-----------------------------------|------|

(4) Residence Address

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

(5) Mailing Address (if different)

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

(6) Legal Resident of

|       |        |         |  |                   |     |     |     |
|-------|--------|---------|--|-------------------|-----|-----|-----|
| State | County | Country |  | (7) Date of Birth | Mo. | Day | Yr. |
|-------|--------|---------|--|-------------------|-----|-----|-----|

(8) Home Phone

( ) \_\_\_\_\_

(9) Cell Phone

( ) \_\_\_\_\_

(10) Business

( ) \_\_\_\_\_

(11) Email

\_\_\_\_\_

(12) Website

\_\_\_\_\_

(13) High School Graduate or GED

(yes or no)

- (14) 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                       |
|---|--------------------------|--------------------------|
| (15) 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?<br>(If "yes", attach a separate statement giving <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> |
| (16) 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?<br>(If "yes", provide a copy of the licensing agency's order, if applicable, and attach a separate statement giving <b>complete</b> details.)  | <input type="checkbox"/> | <input type="checkbox"/> |
| (17) 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?<br>(If "yes", attach a separate statement giving <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> |
| (18) Have you ever been <b>charged or arrested</b> with a criminal offense ( <b>other than <u>minor</u> traffic offenses; DUI/DWI are <u>not</u> minor traffic offenses</b> )?<br>(If "yes", attach a separate statement giving <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> |
| (19) Have you ever been <b>convicted</b> of any criminal offense (other than <u>minor</u> traffic offenses; DUI/DWI <b>are not</b> minor traffic offenses) or is there any criminal charge now pending against you?<br>(If "yes", attach a separate statement giving <b>complete</b> details.)  | <input type="checkbox"/> | <input type="checkbox"/> |
| (20) Are there any unpaid judgements of debt now outstanding against you?<br>(If "yes", provide name of creditor, amount, date, current balance, and a <b>complete</b> explanation.)  | <input type="checkbox"/> | <input type="checkbox"/> |
| (21) Have you ever been discharged in bankruptcy or are you currently a debtor in a bankruptcy proceeding?<br>(If "yes", provide a copy of the bankruptcy order discharging you from debts, or bankruptcy petition if pending. Also, provide a <b>complete</b> explanation.)  | <input type="checkbox"/> | <input type="checkbox"/> |
| (22) <b>Character Endorsement</b> – 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. | <input type="checkbox"/> | <input type="checkbox"/> |

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? \_\_\_\_\_

\_\_\_\_\_



(28) **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)*

# 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<br>— — |
|--------------------------|-----------------------|---|

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<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|

|                          |                       |   |
|--------------------------|-----------------------|---|
| Applicant's Printed Name | Applicant's Signature | Applicant's Social Security Number<br>— — |
|--------------------------|-----------------------|---|



**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](mailto: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!**

**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.

|                               |              |               |               |
|-------------------------------|--------------|---------------|---------------|
| <b>LAST NAME</b>              | <b>FIRST</b> | <b>MIDDLE</b> | <b>MAIDEN</b> |
| _____                         | _____        | _____         | _____         |
| (Print or Type)               |              |               |               |
| <b>SOCIAL SECURITY NUMBER</b> | <b>DOB</b>   | <b>SEX</b>    | <b>RACE</b>   |
| (Optional*)                   |              |               |               |
| _____                         | _____        | _____         | _____         |

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

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

**Applicant's Signature**

**Date**

\_\_\_\_\_

\_\_\_\_\_

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

FINGERPRINT PROCESSING FEE — \$38.00 \_\_\_\_\_  
 (State & Federal)



## North Carolina Auctioneer Examination Information

The Auctioneer Examination is given in Fuquay-Varina six times a year at the Board's office. Contact the office of the Licensing Board or the website-[www.ncalb.org](http://www.ncalb.org) if you have questions concerning specific examination dates and deadline filing dates.

The examination was designed to determine if an applicant for auctioneer license has the requisite ability and general knowledge to properly contract, organize, advertise, conduct, and settle a sale of goods or real estate at auction. The examination tests an applicant's practical knowledge of the auction business, including fundamentals of auctioneering, contracts, advertising, settlement statements, and basic mathematics. Specific knowledge of the licensing law, rules and regulations is required, in addition to the Uniform Commercial Code relating to sell of goods at auction.

Approximately 45% of the examination relates to the North Carolina Auctioneers Law and Rules and Regulations of the Licensing Board; 15% concerns terms, conditions, procedures, and responsibilities associated with the general practice of auctioneering; 2% relates to real estate matters; 18% consists of mathematics; and, 20% involves a hypothetical sales situation that requires preparation of a contract, advertisement, and a final settlement statement.

Following a 15-minute orientation, a maximum of 3 1/2 hours is allowed to complete the written examination. Admittance to the Examination Room is not permitted once the written examination has begun. The Licensing Board provides all necessary material, such as work paper and pencils. Although not provided, **calculators may be used if they are noiseless battery (or solar) operated**, and do not possess the capability to store and display words or require a paper tape-printing function to be utilized.

A numbering system is used for the assignment and grading of examinations in order to eliminate any possible prejudice or influence in determining an applicant's score. The examination involves a possible score of 100 points with a required minimum score of 75 to pass the examination. Any person failing the examination for the first time will be re-scheduled for the next examination. No person shall be allowed to take the examination within six months after having failed it a second time.

Examinees must refrain from any conversation and from smoking, eating or drinking in the examination room. Examinees are honor bound to take the examination without referring to any written material and without giving or receiving assistance.

Contact the office of the North Carolina Auctioneer Licensing Board if additional information is needed. **DO NOT** call the office to inquire on the status of your examination, you will be notified by mail within ten days after the examination date. **THE EXAMINATION INCLUDES MULTIPLE CHOICE AND LISTING QUESTIONS, ALONG WITH MATHEMATICAL PROBLEMS AND A SPECIFIC SALES SITUATION. INFORMATION AND EXAMPLES OF QUESTIONS OR PROBLEMS FOLLOW:**

### **Multiple Choice:**

Darken the appropriate letter on the answer sheet that represents your choice. Examples:

1. The Auctioneer Licensing Board may deny, suspend, or revoke a license upon which of the following grounds?
  - a) violation of any provision of Chapter N.C.G.S. 85B of the General Statutes
  - b) failure to possess truth, honesty, and integrity
  - c) violation of any federal or state statute or rule relating to the auctioneering profession
  - d) any of these grounds
  
2. An apprentice auctioneer must document at least how many hours of bid calling during the apprenticeship period?
  - a) 25 hours
  - b) 50 hours
  - c) 75 hours
  - d) 100 hours
  
3. Which of the following statements is correct concerning the assigning of lot numbers to items to be sold at auction?
  - a) the Auctioneers Law requires the use of lot numbers
  - b) the assigning of lot numbers is at the auctioneer's discretion
  - c) lot numbers should only be used for expensive or unusual items
  - d) the Bulk Sales Act of the UCC requires the use of lot numbers
  
4. If an auction is conducted "with reserve",
  - a) the auctioneer must sell to the highest bidder, regardless of price
  - b) a retraction of a bid automatically revives a previous bid
  - c) the auctioneer may withdraw the goods at any time prior to the announcement of completion of sale
  - d) the auctioneer must announce the "reserve" amount
  
5. In order to conduct an auction in North Carolina, a licensee must first have a written agreement with the owner of the property to be sold. The licensee is required to do which of the following?
  - a) the agreement must contain the terms and conditions upon which the auctioneer received the goods for sale
  - b) provide the owner with a signed copy of the agreement
  - c) keep at least one copy of the agreement for his own records for two years from the date of the agreement
  - d) all of the above are required by the licensee

### **Listing:**

Place the correct answer in the appropriate space on your answer sheet. Examples:

1. The Auctioneer Law requires that written agreements of auction sales be maintained by the licensee for what period of time?
  
2. List two violations of the Auctioneers Law or Rules that can serve as grounds for suspension or revocation of an auctioneer's/auction firm's license.
  
3. No person shall be allowed to take the auctioneer examination within how many months after having failed it a second time?
  
4. The Auctioneer Recovery Fund must maintain a minimum level of what amount for recovery and guaranty purposes?

### **Mathematical Problems:**

A space is provided on the answer sheet for tabulations and answers. Examples:

1. The auctioneer's contract called for a 12% commission. The proceeds of the sale were \$82,500. What was the amount due the auctioneer?
2. A building 75 feet long and 48 feet wide sold at auction for \$32.00 per square foot. The auctioneer was paid a 12% commission and an advertising allowance of \$925.00. What was the total due the client?
3. Over a period of four weeks, an auction house had gross receipts of \$2,145.25; \$1,950.00; \$2,758.50; and \$3,500.25. If 75% of the receipts were returned to the consignors, what was the amount earned by the auction house?
4. The auctioneer's contract called for a 15% commission. Auction sale proceeds were \$53,750 and the auctioneer's expenses totaled \$1,750. What was the auctioneer's net profit from the sale?

### **Sales Situation Problem:**

This section involves a specific sales situation requiring the services of an auctioneer and/or auction firm. By using the information provided, you will:

1. Prepare a proper sales contract, using the standard form provided.
2. Prepare an advertisement for the auction sale, including all information required by the Auctioneers Law or Rules and basics of good advertising.
3. Prepare a final settlement statement, using the standard form provided.

## **INFORMATION THAT MAY BE HELPFUL IN PREPARING FOR THE EXAMINATION**

1. Be thoroughly familiar with the North Carolina Auctioneers Law and the North Carolina Auctioneer Licensing Board Rules and Regulations. Copies may be obtained from the office of the Licensing Board at no cost or printed from the website [www.ncalb.org](http://www.ncalb.org).
2. An applicant should have sufficient educational background to be able to read with comprehension and have a working knowledge of basic mathematics, including figuring percentages.
3. Personal attendance and successful completion of a course in auctioneering at an institution approved and accredited by the North Carolina Auctioneer Licensing Board should adequately prepare an applicant for the examination.
4. Some schools of auctioneering offer refresher courses, books, pamphlets, sample forms, and other information that may be helpful.
5. Persons experienced in the sale of goods or real estate at auction may be a helpful source of information.
6. Become familiar with the preparation of sales agreements, inventory lists, buyers registration forms, final settlement statements, contract forms, and auction advertisement requirements.
7. Prior experience as an apprentice auctioneer, or any experience gained by working at auctions as a clerk, cashier or grounds person will be helpful.
8. Libraries or bookstores may provide material dealing with the general practice of auctioneering.
9. Take the time to review all study materials that you complete.
10. Arrive at the examination prepared, rested and relaxed. As with any exam, your mental attitude and physical condition are very important.

# Examination Dates and Information

**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](http://www.ncalb.org)

**2021 Examination Dates:**

February 4, 2021  
April 1, 2021  
June 3, 2021  
August 5, 2021  
October 7, 2021  
December 2, 2021

**Deadline Filing Dates:**

January 20, 2021  
March 17, 2021  
May 19, 2021  
July 21, 2021  
September 22, 2021  
November 17, 2021

All Application materials are required to be submitted prior to the Application deadline date. ***Deadline filing date means that the original application must be received at the office of the Auctioneer Licensing Board by this date, not postmarked by this date. Applications that are faxed will not be accepted.***

Applications received after the deadline will be scheduled for the next examination. All dates are subject to change by action of the Licensing Board.

Please read the instructions in the application package **carefully** to ensure you have submitted all required documents and fees. Incomplete packages submitted could delay the application process.

**Specific instructions regarding time and place for the examination will be sent to each applicant by email. If an applicant does not have an email address, a letter will be sent by regular mail.**

Examinations will be graded within one week. Applicants will be notified of their scores by email, the preferred method, however if an applicant does not have an email address, a letter will be sent by regular mail.

**Please contact this office if you have any questions regarding the application or examination process.**

# 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](http://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:**

January 11, 2021 ((Monday)

February 8, 2021 (Monday)

March 8, 2021 (Monday)

April 12, 2021 (Monday)

May 10, 2021 (Monday)

June 14, 2021 (Monday)

July 12, 2021 (Monday)

August 9, 2021 (Monday)

September 13, 2021 (Monday)

October 11, 2021 (Monday)

November 8, 2021 (Monday)

December 13, 2021 (Monday)

### **Application Deadline Dates:**

December 30, 2020 (Wednesday)

January 27, 2021 (Wednesday)

February 24, 2021 (Wednesday)

March 31, 2021 (Wednesday)

April 28, 2021 (Wednesday)

June 2, 2021 (Wednesday)

June 30, 2021 (Wednesday)

July 28, 2021 (Wednesday)

September 1, 2021 (Wednesday)

September 29, 2021 (Wednesday)

October 27, 2021 (Wednesday)

December 1, 2021 (Wednesday)