

## 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. [Petition for Predetermination](#)

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

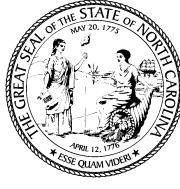
**Why does the application ask about financial matters?** Upon being issued a license, auctioneers are permitted to assume the fiduciary duty of being trusted with the property (and proceeds from the sale of property) of their auction clients.

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

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

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

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



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

### **PREDETERMINATION OF LICENSURE**

An individual with a criminal history may petition a board at any time, including before an individual starts or completes any mandatory education or training requirements, for a predetermination of whether the individual's criminal history will likely disqualify the individual from obtaining a license.

For instructions on requesting a predetermination, please contact the office at (919) 567-2844 or email [info@ncalb.org](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.

## Addition to Auction Firm License Application Instructions

### General Instructions—Information

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

READ **North Carolina Auctioneer Laws, Rules and Regulations**, which can be found at [www.ncalb.org](http://www.ncalb.org).

This application should be submitted for new principals, officers, directors, and new designated person(s) for a firm. If applicant is being added as a principal/officer/director only of a firm and he/she will not be doing business transactions as described below, no auction firm examination is required.

**Authority to transact business under a firm license is limited to the person or persons so designated on the application.** Only designated person(s) for an auction firm have the authority to transact business under the firm license. This includes arranging, managing, soliciting, and contracting auctions; the supervision of the auction staff; the supervision of the acceptance of consignments of items for sale at auction; the supervision of the advertising of an auction; and the supervision of the acceptance of payment and disbursement of monies for items sold at auction. This authority is limited to the designated person(s) only. They are not required to be principals, officers and/or directors of the firm. See 21 NCAC 4B .0606.

The designated person or persons are required to satisfactorily pass a written examination on the Auctioneer Law and Rules pursuant to N.C.G.S. 85B-4(g). The examination was designed to determine if the designated person has a working knowledge of the Auctioneer Laws and Rules. The examination involves a possible score of 100 points, with a required minimum score of 75 points to pass the examination. You are given one (1) hour to take the exam. However, certain exemptions apply.

- **Applicant—Non-auctioneer designated person.** A firm examination is required. The examination is on the North Carolina Auctioneer Laws, Rules and Regulations.
- **Applicant—Auctioneer designated person.** A active licensed North Carolina auctioneer who is the designated person is not required to take the auction firm examination.
- **Licensed real estate broker and real estate firm.** A broker is exempt from the examination so long as they are involved in the selling of real property only (no personal property) at auction. Firm License required. If the broker is also engaging in the selling of personal property at auction, an auction firm examination is required.

**Firm Examinations are given on Mondays and Thursdays at 1:30 p.m. at the Board's office located at 108 Ber Creek Dr. Fuquay-Varina, NC 27526. The office will contact (preferred method email) you regarding the auction firm examination information upon receipt of the firm application, supporting documents, and fees. The firm examination is graded within 3 business days. Examination scores are sent by email. If examinee does not have an email address, the score will be sent by regular mail.**

READ CAREFULLY each provision of the application and instructions. The application must be properly completed, signed, notarized, accompanied by all required documents, proper fees, if applicable, 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 and not postmarked. If any part of the application is incorrect or incomplete, or if required attachments are not included, the application may be returned, resulting in a delay in the licensing process.

Type or print legibly in ink and mail the application package to the Board office. Application may not be submitted by email or fax.

All applications and supporting documentation are subject to the approval of the Licensing Board.

## Addition to Auction Firm License Instructions

### Required Application Attachments:

1. Applicants that are **currently** a North Carolina licensed auctioneer or an approved designated person or principal/officer/director must submit the following:
  - Completed application without the need to provide information for item number 21-Character Endorsement. The application cannot be dated more than 30 days prior to the NCALB office receiving the application.
  - No fee is required.
2. Applicants that are **not currently** a North Carolina licensed auctioneer or are **not currently** an already approved designated person or principal/officer/director, including real estate brokers, must submit the following:
  - Completed application. The application cannot be dated more than 30 days prior to the NCALB office receiving the application.
  - Copy of 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 accept-able.
  - Fingerprint Card, Fee, and Authority for Release of Information Form. The fingerprints must be obtained by a law enforcement agency, such as the Police Department or Sherriff'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 obtained from your local Police Department or Sheriff's Office.

DO NOT FOLD THE FINGERPRINT CARD  
(You may obtain a fingerprint card at a Sheriff's Office or Police Department)  
(FORM—FD-258)
- Fingerprint Processing Fee: \$38.00. A check payable to the NCALB.
3. Auction Firm Exam Fee \$50.00, if applicable. The exam fee and fingerprint fee may be combined in one check made payable to NCALB. 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.
4. Social Security Information Form.
5. Written detailed statement for questions #12 through #18 if answered **"YES."** Complete details must be given. Attached a separate statement.
6. Submit a letter of good standing (license status) from each Board or Commission where the applicant holds an active apprentice auctioneer license, auctioneer, and/or auction firm license, if applicable. **(If you are licensed in North Carolina, you are exempt.)**
7. If applicant is applying as a real estate broker designated person, provide a copy of the real estate license and real estate firm license if applicable.

# NORTH CAROLINA AUCTIONEER LICENSING BOARD

## APPLICATION FOR ADDITION TO FIRM LICENSE

Office Use Only	
Exam Needed:	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____ Date	_____ Grade
_____ Date	_____ Grade
Fees	Approval Date
Exam Fee _____	_____
Fingerprint Fee _____	_____
Total _____	_____

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



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

**TYPE OR PRINT IN BLACK INK (Do not use pencil) \*\*PRINT ONE-SIDE\*\* DO NOT STAPLE**

(1) Indicate type of addition desired: (Check all that apply)

- Principal as it pertains to auction firms shall mean director(s), officer(s) and /or partner(s).
- Designated person—Non-auctioneer
- Designated person—Auctioneer
- Designated person—Real Estate Broker

(2) Name of Firm

(3) Firm #

(4) Firm's Address

Street Address	City	State	Zip
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(5) New Designated Person or Principal

First	Middle Name	Last
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(6) Email

(7) Address

Street Address	City	State	Zip
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(8) Date of Birth

(9) Home Phone (  ) (10) Business Phone (  ) (11) Cell Phone (  )

- |  |                          | YES                      | NO                       |
|--|--------------------------|--------------------------|--------------------------|
| (12) 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 <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (13) 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 <b>connection</b> 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 <b>complete</b> details.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (14) 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 <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (15) Have you ever been <b>charged or arrested</b> with a criminal offense (other than minor traffic offenses: DUI/DWI <b>are not</b> minor traffic offenses)? (If "yes", attach a separate statement giving <b>complete</b> details.)   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| (16) Have you ever been <b>convicted</b> of any criminal offense (other than minor traffic offenses; DUI/DWI <b>are not</b> 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"/> | <input type="checkbox"/> |
| (17) 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"/> | <input type="checkbox"/> |

- (18) Have you ever been discharged in bankruptcy or are 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.) YES  NO
- (19) Have you ever held any type of auction or real estate license in any state, including North Carolina? (If "yes", indicate below and attach additional sheets if needed.)

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

(20) **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, any principal's and any designated person'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)*

(21) **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? \_\_\_\_\_

## 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  —                    —
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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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Applicant's Printed Name	Applicant's Signature	Applicant's Social Security Number  —                    —
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**IMPORTANT**

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

**AUTHORITY FOR RELEASE OF INFORMATION FORM**

I authorize the North Carolina Department of Justice through the STATE BUREAU OF INVESTIGATION to perform a fingerprint search of the State's criminal history record file and, if applicable, a fingerprint search of the FEDERAL BUREAU OF INVESTIGATION'S files for a national criminal history record check in connection with my application for licensure by the **North Carolina Auctioneer Licensing Board - State and Federal - NCGS143B-937 and 85B-3.2**. I understand my rights to complete or challenge the accuracy of the information contained in the FBI identification record. The procedures for obtaining a change, correction, or update of an FBI identification records are set forth in Title 28, CFR, 16.34.

**LAST NAME**

**FIRST**

**MIDDLE**

**MAIDEN**

\_\_\_\_\_  
(Print or Type)

**SOCIAL SECURITY NUMBER**

**DOB**

**SEX**

**RACE**

(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 Auction Firm Examination Information

## 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, which can be found at [www.ncalb.org](http://www.ncalb.org).
2. Other helpful information can be found at [www.ncalb.org](http://www.ncalb.org).
3. An applicant should have sufficient educational background to be able to read with comprehension.
4. Prior experience as an apprentice auctioneer, or any experience gained by working at auctions as a clerk, cashier, or groundman will be helpful.

Persons experienced in the sale of goods or real estate at auction may be a helpful source of information.

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## EXAMPLES OF QUESTIONS ON THE AUCTION FIRM EXAMINATION

### THE EXAMINATION INCLUDES MULTIPLE CHOICE AND LISTING QUESTIONS AS FOLLOWS:

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

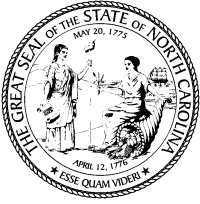
1. The Auctioneer Licensing Board may deny, suspend, or revoke a license upon which of the following grounds?
  - a) violation of any provision of Chapter 85B of the General Statutes
  - b) failure to possess truth, honesty and integrity
  - c) violation of any federal or state statute or rule relating to the auctioneering profession
  - d) any of these grounds
2. The annual fee to renew an auction firm license is:
  - a) \$100.00
  - b) \$150.00
  - c) \$175.00
  - d) \$200.00
3. 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
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

### **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. Licenses that have been lapsed for more than how many months may not be renewed?
4. The Auctioneer Recovery Fund must maintain a minimum level of what amount for recovery and guaranty purposes?

Answers will be found in the NC Auctioneers Law and North Carolina Auctioneer Licensing Board Rules and Regulations, N.C.G.S. 85B, 21 NCAC 4B, and Uniform Commercial Code (UCC) § 25.2.328 Sale by Auction.



# 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 13, 2025 (Monday)

February 10, 2025 (Monday)

March 10, 2025 (Monday)

April 14, 2025 (Monday)

May 12, 2025 (Monday)

June 9, 2025 (Monday)

July 14, 2025 (Monday)

August 11, 2025 (Monday)

September 8, 2025 (Monday)

October 13, 2025 (Monday)

November 10, 2025 (Monday)

December 8, 2025 (Monday)

### Application Deadline Dates:

December 31, 2024 (Tuesday)

January 29, 2025 (Wednesday)

February 26, 2025 (Wednesday)

April 2, 2025 (Wednesday)

April 30, 2025 (Wednesday)

May 28, 2025 (Wednesday)

July 1, 2025 (Tuesday)

July 30, 2025 (Wednesday)

August 26, 2025 (Tuesday)

October 1, 2025 (Wednesday)

October 29, 2025 (Wednesday)

November 24, 2025 (Monday)