



INSTRUCTIONS FOR LEGAL ENTITY

1. ALL APPLICANTS MUST:

- **Already hold a Connecticut Real Estate Broker's License;**
OR
- **Have an Individual Broker's License in a Reciprocal State by examination;**
OR
- **The Legal entity holds Broker's License in a Reciprocal State and the broker of record is licensed by examination;**
OR
- **Have passed the Connecticut Real Estate Broker's Exam but have not paid for the initial license.**

2. ALL APPLICANTS MUST:

<input type="checkbox"/> REGISTER YOUR LEGAL ENTITY WITH THE CONNECTICUT SECRETARY OF STATE	SECRETARY OF STATE - (860) 509-6002 www.sots.ct.gov
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3. ALL APPLICANTS LICENSED IN OTHER STATES ARE REQUIRED TO:

OBTAIN A CERTIFICATION OF LICENSE HISTORY from the licensing authority in every state in which you currently or ever held a real estate license.

(NOT COPY OF LICENSE)

4. ALL APPLICANTS MUST:

<input type="checkbox"/> COMPLETE <u>APPLICATION FOR LEGAL ENTITY TO BECOME A BROKER</u>	ATTACH ONE OF THE FOLLOWING:
<input type="checkbox"/> COMPLETE ATTACHED <u>AFFIDAVIT OF OWNERSHIP</u> verifying ownership & stock interest for each Member/Officer	<input type="checkbox"/> Partnership Agreement <input type="checkbox"/> Articles of Organization (limited liability company) <input type="checkbox"/> Articles of Incorporation (corporation)

5. ALL APPLICANTS: FEES

<input type="checkbox"/> \$120.00 Application Fee for Designated Broker <i>(If you are not licensed as a Connecticut Individual Broker)</i>	ALL CHECKS PAYABLE TO: "TREASURER, STATE OF CONNECTICUT"
<input type="checkbox"/> \$120.00 Application Fee for Legal Entity	
<input type="checkbox"/> \$565.00 Initial License Fee for Legal Entity	
<input type="checkbox"/> \$20.00 Guaranty Fund Fee for Legal Entity	

REGARDING SALESPERSONS WHO ARE AFFILIATED WITH YOUR INDIVIDUAL BROKER LICENSE:

Connecticut licensed Salespersons currently working for you must complete a <u>Salesperson Transfer Form</u> to become affiliated with your new legal entity. \$25.00 Transfer Fee for each salesperson.	Salespersons <u>not licensed in Connecticut</u> must apply for a Connecticut license if they will engage in the real estate business in Connecticut on behalf of your company: See instructions for candidates licensed in other states.
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APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER or REINSTATE

Official Use Only

Type or Print Your Answers

Check ALL Applicable Boxes:

APPLICATION STATUS: NEW LEGAL ENTITY REINSTATEMENT

CHANGES: DESIGNATED BROKER COMPANY NAME OWNERSHIP

SECTION I

1. _____
Name of Legal Entity
2. _____
Street Address City, State Zip Code

Mailing Address City, State Zip Code
3. Telephone _____ FAX _____
4. Will you be using a Trade Name? YES NO If yes, attach a copy of the Trade Name Certificate.

SECTION II

1. _____
Name of Designated Broker
2. _____
Date of Birth Social Security #
3. _____
Residence Address City/State Zip Code
4. _____
Business Phone Cell Phone

Fax Email Address
5. How do you prefer we contact you? Email Mail Fax

APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER

SECTION III

- 1. Have you or any officers or members of this legal entity been convicted of a felony crime or a crime related to forgery, embezzlement, obtaining money under false pretenses, extortion, criminal conspiracy to defraud, or any like offense? YES NO
- 2. Have you or any officers/members of this legal entity ever been refused a real estate license or ever had their real estate license suspended revoked in Connecticut or any other State? YES NO
- 3. Has any complaint been filed against you or any officer/member of this legal entity with this office or any other State? YES NO

If you answered "YES" to any question in Section III, please attach a detailed statement of the facts.

SECTION IV – ALL NON-RESIDENT ENTITIES

CONSENT FOR SERVICE OF PROCESS

KNOW ALL MEN BY THESE PRESENTS:

THAT _____ OF _____
City, State

Being an applicant for license as a Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes and subsequent amendments thereto, does hereby irrevocably consent that suits and actions may be commenced against such applicant in the proper court in any judicial district of the state in which a cause of action may arise or in which the plaintiff may reside, and that in the event proper service of process cannot be made upon such applicant in any such proceeding, service may be made by service of process or pleading authorized by the laws of Connecticut on the Chairperson of the Connecticut Real Estate Commission, hereby stipulating and agreeing that such service of such process or pleading upon the said Chairperson of the Connecticut Real Estate Commission shall be taken and held in all courts to be as valid and binding as if service had been made upon said applicant in the State of Connecticut.

In Witness Whereof, the above named applicant has signed and sealed this instrument

AT _____

ON THE _____ DAY OF _____ 20 _____

Signature of Applicant (Designee)

Printed Name

SECTION V - ALL APPLICANTS MUST COMPLETE THIS SECTION

I, being duly sworn to law, hereby affirm that the answers given above are true to the best of my knowledge and belief, and that this Application is made for the sole purpose of obtaining a Real Estate Broker License in the State of Connecticut.

SUBSCRIBED AND SWORN TO BEFORE ME _____
CITY OR TOWN STATE

THIS _____ DAY OF _____ 20 _____

Signature of Designated Broker

Signature of Notary Public

My Commission Expires



Type or Print Clearly

AFFIDAVIT OF OWNERSHIP

All changes in ownership or control of a legal entity shall be reported within 30 days of such change by filing a new Affidavit of Ownership.

NAME OF LEGAL ENTITY

EMAIL ADDRESS

NAME OF DESIGNATED BROKER

DATE OF THIS REPORT

Please Check One: (mandatory)

- PUBLICLY-TRADED STOCK CORPORATION
- CLOSED STOCK CORPORATION
- NON-STOCK CORPORATION
- PARTNERSHIP
- LIMITED LIABILITY COMPANY

Attachment Required: (copies acceptable)

- Partnership Agreement
- Articles of Organization
- Articles of Incorporation

(ATTACH AS MANY OF THESE FORMS AS NEEDED)

LICENSED INDIVIDUAL REAL ESTATE BROKERS OR SALESPERSONS WHO ENGAGE IN THE REAL ESTATE BUSINESS AS A PARTNERSHIP, CORPORATION, OR LIMITED LIABILITY COMPANY SHALL OBTAIN A BROKER LICENSE IN THE NAME OF THAT LEGAL ENTITY. THERE MUST BE ONE (OR MORE) LICENSED BROKER(S) WHO OWNS 51% OF THE LEGAL ENTITY. **NO SALESPERSON MAY HAVE A CONTROLLING INTEREST IN THE LEGAL ENTITY.**

(REFER TO COMPLETE PUBLIC ACT 05-115 ATTACHED.)

MEMBERS/OFFICERS

NAME _____

NAME _____

TITLE _____

TITLE _____

STREET _____

STREET _____

TOWN/CITY _____ STATE _____ ZIP CODE _____

TOWN/CITY _____ STATE _____ ZIP CODE _____

SALESPERSON BROKER UNLICENSED

SALESPERSON BROKER UNLICENSED

CONNECTICUT LICENSE # _____

CONNECTICUT LICENSE # _____

% OF OWNERSHIP _____

% OF OWNERSHIP _____

% OF STOCK INTEREST _____

% OF STOCK INTEREST _____

NAME _____

NAME _____

TITLE _____

TITLE _____

STREET _____

STREET _____

TOWN/CITY _____ STATE _____ ZIP CODE _____

TOWN/CITY _____ STATE _____ ZIP CODE _____

SALESPERSON BROKER UNLICENSED

SALESPERSON BROKER UNLICENSED

CT LICENSE # _____

CT LICENSE # _____

% OF OWNERSHIP _____

% OF OWNERSHIP _____

% OF STOCK INTEREST _____

% OF STOCK INTEREST _____

EFFECTIVE OCTOBER 1, 2005 – READ CAREFULLY

REQUIRED NOTARIZATION: ALL APPLICANTS MUST COMPLETE THIS SECTION

I hereby attest under penalty of Law the information contained in this "Affidavit of Ownership" is accurate to the best of my knowledge.

SUBSCRIBED AND SWORN TO BEFORE ME THIS _____ DAY OF _____ 20_____

Signature of Designated Broker

Signature of Notary Public

My Commission Expires

PUBLIC ACT #05-115

**AN ACT CONCERNING THE OWNERSHIP
OF REAL ESTATE BROKERAGE
COMPANIES**

Section 20-312(a) No person shall act as a real estate broker or real estate salesperson without a license issued by the commission, unless exempt under this chapter. The Commissioner of Consumer Protection may enter into any contract for the purpose of administratively processing the renewal of licenses on behalf of the commission.

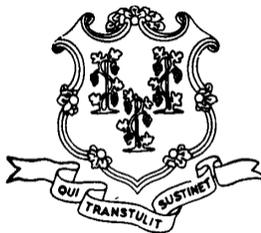
(b) The practice of or the offer to practice real estate brokerage business in this state by individual licensed real estate brokers or real estate salespersons as a corporation, limited liability company or partnership, a material part of the business of which includes real estate brokerage, is permitted, provided (1) the personnel of such corporation, limited liability company or partnership who engage in the real estate brokerage business as real estate brokers or real estate salespersons, and the real estate brokers whose ownership, control, membership or partnership interest is credited toward the requirements of subdivision (3) of this subsection, are licensed or exempt from licensure under this chapter, (2) the corporation, limited liability company or partnership has been issued a real estate broker license by the commission as provided in this section and has paid the license or renewal fee required for a real estate broker's license as set forth in section 20-314, and (3) except for a publicly-traded corporation (a) with respect to a corporation other than a nonstock corporation, one or more real estate brokers own or control fifty-one per cent or more of the total issued shares of the corporation, (b) with respect to a nonstock corporation, one or more real estate brokers constitute at least fifty-one per cent of the members of the nonstock corporation, (c) with respect to a limited liability company, one or more real estate brokers own or control at least fifty-one per cent of the interest in the limited liability company, as defined in section,

34-101, or (d) with respect to a partnership, one or more real estate brokers' partnership interest, as defined in section 34-301, constitutes at least fifty-one per cent of the total partnership interest. No such corporation, limited liability company or partnership shall be relieved of responsibility for the conduct or acts of its agents, employees or officers by reason of its compliance with this section, nor shall any individual practicing real estate brokerage be relieved of responsibility for real estate services performed by reason of the individual's employment or relationship with such corporation, limited liability company or partnership. The Real Estate Commission may refuse to authorize the issuance or renewal of a license if any facts exist that would entitle the commission to suspend or revoke an existing license.

(c) A corporation, limited liability company or partnership desiring a real estate broker license shall file with the commission an application on such forms and in such manner as prescribed by the Department of Consumer Protection. Each such corporation, limited liability company or partnership shall file with the commission a designation of at least one individual licensed as a real estate broker in this state who shall be in charge of the real estate broker business of such corporation, limited liability company or partnership in this state. Such corporation, limited liability company or partnership shall notify the commission of any change in such designation not later than thirty days after such change becomes effective.

(d) The Real Estate Commission may impose a fine of not more than one thousand dollars on any corporation, limited liability company or partnership that engages in real estate business without a license required by this section.

STATE OF CONNECTICUT
 DEPARTMENT OF CONSUMER PROTECTION
 REAL ESTATE UNIT
 Email: real.estate@ct.gov
 Web site: www.ct.gov/dcp



For Official Use Only

Real Estate Salesperson Transfer Form

→ Instructions:

- 1) This form must be completed by the individual applying for transfer and by the sponsoring broker.
- 2) A check or money order in the amount of **\$25.00 made payable to "Treasurer, State of Connecticut"** must accompany this form.
- 3) This completed form and fee must be received by this department before you can represent a new broker.
- 4) An updated license certificate will be mailed to the main office of the sponsoring broker as indicated below.
- 5) Connecticut licensed Real Estate Brokers are not required to complete this form or submit a fee.

→ Return your completed form and fee to:

Department of Consumer Protection, License Services Division, 165 Capitol Avenue, Hartford, CT 06106

SALESPERSON INFORMATION

First Name	Middle Initial	Last Name		
Street Address	City	State	Zip Code	

Real Estate Salesperson License Number to be Transferred:

I request that my active real estate salesperson license be transferred to the sponsoring broker listed below.

Signature of Salesperson	Date
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SPONSORING BROKER INFORMATION

Legal Name of Sponsoring Broker	Sponsoring Broker Current License #		
Street Address	City	State	Zip Code

I accept the sponsorship for the licensed real estate salesperson listed above.

Signature of Sponsoring Broker	Date
Print Name of Sponsoring Broker	