

INSTRUCTIONS FOR BROKER EXPERIENCE CERTIFICATE APPLICATION

Access this form via website at: www.hawaii.gov/hirec

READ THESE INSTRUCTIONS CAREFULLY. Your application will not be considered if it is incomplete. These instructions include the following sections:

1. **General Requirements for a Broker's License**
2. **Experience Requirement**
3. **Requirements for Equivalency for Experience in Another State**
4. **Instructions for Completing the Application**
5. **Instructions for Completing the Experience Certification Statement**
6. **Experience Certificate, Expiration Date, Duplicate**
7. **Oral Testimony for Equivalency Requests**
8. **Problems Securing an Experience Certification Statement**
9. **Making False Statement a Misdemeanor**

1. General Requirements for a Broker's License

An applicant for a real estate broker's license must satisfy ALL of the following:

- Be a United States citizen, a United States national, or an alien authorized to work in the United States, and of the age of majority;
 - Possess a reputation for or record of competency, honesty, truthfulness, financial integrity, and fair dealing;*
 - Fulfill the experience requirements (see section 2 below) and have a current approved "Experience Certificate" (issued upon approval of this application);
 - Prior to taking the broker's licensure examination, fulfill the prelicense education requirements for a broker and have a current approved Hawaii "School Completion Certificate" or a "Prelicensing Education Equivalency Certificate";
 - Pass the Hawaii real estate broker's licensure examination; and
 - Submit a complete application for a real estate broker's license within two (2) years of passing the examination.
 - Hold a current, unencumbered Hawaii real estate salesperson license, or a current, unencumbered real estate salesperson or broker license in another state or jurisdiction recognized by the Association of Real Estate License Law Officials (ARELLO), with an equivalent real estate licensing law as determined by the Real Estate Commission.
- * An applicant who has a background that may not meet this requirement should consider a preliminary decision by the Commission before committing to prelicensing education and the real estate examination. The decision will give the applicant a non-binding opinion as to successful or unsuccessful licensure in the future. Call (808) 586-2643 for more information.

2. Experience Requirement

Broker applicants must have experience as a full-time (averaging at least forty hours per week and no prorata credit given for part-time real estate salesperson activity) Hawaii-licensed real estate salesperson associated with a Hawaii-licensed real estate broker for at least three (3) years of the five-year period immediately prior to the submission of the broker experience certificate application, and have practical real estate salesperson experience. No credit is given for periods during which the applicant's license was inactive, forfeited, suspended, revoked, or terminated. Applicant's principal broker or broker in charge must certify the employment period, and the number of weeks the applicant devoted at least 40 hours per week to real estate license activity.

Equivalency for the experience requirement may be met by possessing a current, unencumbered real estate broker's or salesperson's license in another state or jurisdiction recognized by the Association of Real Estate License Law Officials (ARELLO), with an equivalent real estate licensing law as determined by the Commission. Unencumbered means that there are no conditions or disciplinary action attached to the real estate broker's license at the time of processing of this application. See "Requirements for Equivalency for Experience in Another State" below.

3. Requirements for Equivalency for Experience in Another State

If the applicant possess a current, unencumbered real estate broker's or salesperson's license in another state, the Commission may approve an equivalency to ALL or PART of the three (3) years of the five-year period under one of the following categories:

- a. Possess a **current, unencumbered real estate broker's license** in another state or jurisdiction recognized by the ARELLO at the time of this application.

(Continued)

For this Equivalency you must submit all of the following:

1. Application for Experience Certificate – Real Estate Broker (Form REC-02)
 2. Verification of License – Real Estate (Form REC-14. Must be completed and issued by the out-of-state agency not more than six months ago.)
 3. \$50 non-refundable application fee
- b. Possess a **current, unencumbered real estate salesperson's license** in another state or jurisdiction recognized by the ARELLO and have worked three years out of the five-year period immediately prior to the submission of the application full-time in another state(s) as a licensed real estate salesperson at the time of this application. Full time means the applicant devoted at least forty hours per week to real estate activity.

For this Equivalency you must submit all of the following:

1. Application for Experience Certificate – Real Estate Broker (Form REC-02)
2. Verification of License – Real Estate (Form REC-14. Must be completed and issued by the out-of-state agency not more than six months ago.)
3. Experience Certification Statement (Form REC-17)
4. \$50 non-refundable application fee

4. Instructions for Completing the Application

- a. Complete the application. Answer all questions and fill in all spaces using a typewriter or printing legibly in black ink. If not applicable, use "NA". Read and sign the applicant's certification.

SOCIAL SECURITY NUMBER

Your social security number is used to verify your identity for licensing purposes and for compliance with the below laws. **For a license to be issued you must provide your social security number or your application will be deemed deficient and will not be processed further.**

The following laws require that you furnish your social security number to our agency:

FEDERAL LAWS:

42 U.S.C.A. §666 (a)(13) requires the social security number of any applicant for a professional license or occupational license be recorded on the application for license; and

If you are a licensed health care practitioner, **45 C.F.R., Part 61, Subpart B, §61.7** requires the social security number as part of the mandatory reporting we must do to the Healthcare Integrity and Protection Data Bank (HIPDB), of any final adverse licensing action against a licensed health care practitioner.

HAWAII REVISED STATUTES ("HRS"):

§576D-13(j), HRS requires the social security number of any applicant for a professional license or occupational license be recorded on the application for license; and

§436B-10(4) HRS which states that an applicant for license shall provide the applicant's social security number if the licensing authority is authorized by federal law to require the disclosure (and by the federal cites shown above, we are authorized to require the social security number).

- b. In the employment history section, provide the requested information for ALL employers, including non-real estate related employment, for the past five years.
- c. **Submit** a NON-REFUNDABLE application fee of \$50. Make check payable to: COMMERCE AND CONSUMER AFFAIRS.

Note: If your check is returned unpaid by the financial institution, your broker experience certificate, if one is issued, shall be void as though it were never issued. In addition, any actions based on the void certificate, such as your test score or a broker's license issued to you, shall also be void. The Commission will consider the returned check in its deliberations on whether to approve or deny a real estate broker's license application. A \$25 service charge shall be assessed for payments that are dishonored for any reason.

- d. **Submit** a COMPLETE application, including experience certification statements signed by your principal broker(s) or broker(s) in charge, supporting documents, and the **\$50** non-refundable application fee to:

RECO Experience Certificate
DCCA, PVLD Licensing Branch
P.O. Box 3469
Honolulu, HI 96801

or deliver to:

335 Merchant Street, Room 301
Honolulu, HI 96813

- e. Applications are reviewed in the order they are received. Incomplete and deficient applications will be processed as time permits. Applicants will be notified of deficiencies by mail. If not corrected within the prescribed time, the Commission will terminate processing of the application, and the applicant will be required to submit a new application with the required application fee.

Denied applicants may reapply by submitting a new complete application with the required documents and the \$50 non-refundable application fee.

5. Instructions for Completing the Experience Certification Statement

- a. The principal broker or broker in charge for each brokerage firm with which applicant was associated in the past five years and applicant's current principal broker or broker in charge must each complete an "Experience Certification Statement" (Certification). The principal broker or broker in charge at the time the applicant was associated with the brokerage firm, or the brokerage firm's current principal broker or broker in charge may complete the Certification.
 - i. Type or print the applicant's name at the top of the page.
 - ii. Provide current information on the Principal Broker or Broker in Charge in Part I.
 - iii. In Part II:
 - (1) Indicate the period of time covered by the Certification, and the name and license number of the brokerage firm at the time.
 - (2) Provide the number of weeks that the applicant devoted at least 40 hours per week to real estate license activity, whether in or out of the office. Time spent on clerical and non-real estate duties should not be counted. No pro-rata credit given for part-time activity.
- b. Although the Certification is completed by the applicant's principal broker or broker in charge, both the applicant and the principal broker or broker in charge are responsible for its accuracy. Applicant will also certify, on the application form, that the information contained in the "Experience Certification Statement" is true and accurate and that applicant will provide verifying documents upon request by the Commission.

6. Experience Certificate, Expiration Date, Duplicate

An experience certificate is valid for two (2) years from the date of issuance and will be mailed to successful applicants. The certificate must be presented at the examination site at the time the applicant takes the broker's licensure examination and after the applicant passes the examination, submitted with the application for real estate license. Applicants will not be allowed to take the examination after the expiration of the certificate. Applicants with expired certificates must apply for a new broker experience certificate and will be subject to the same requirements as a first-time applicant.

7. Oral Testimony for Equivalency Requests

An applicant requesting an equivalency may present oral testimony at the meeting at which the application will be reviewed. The applicant must submit a written request. The request may be included with the written request for equivalency. The applicant will then be notified of the date, time, and place of the meeting. The Commission may limit oral testimony to a specified time period, but in no case shall the period be less than five minutes. If prepared testimony will be lengthy, it is suggested that the applicant summarize the testimony, emphasizing key points. The applicant may also submit written testimony. If so, submit 20 copies. The Commission will not allow any testimony which is irrelevant, immaterial, or unduly repetitious. Upon arriving at the meeting room, sign the "sign-in" sheet and identify yourself to one of the Commission's staff. You may want to consult the Commission's rules on oral testimony, Hawaii Administrative Rules, section 16-99-83.

8. Problems Securing an Experience Certification Statement

If an applicant has difficulty obtaining a completed "Experience Certification Statement" from an associating broker, the following steps are suggested:

- a. Send a written request to the principal broker or broker in charge by certified mail with a return receipt. Enclose a blank Experience Certification Statement and request that the broker complete and return the form within 10 days of receipt. Keep a copy of the letter.
- b. If the broker does not return the Experience Certification Statement within the 10 days of receipt, submit the original certified mail return receipt, a copy of the letter sent, any returned mail, a short explanation of the chronology of events with your application, and copies of evidence to substantiate full-time real estate salesperson activity.

This will lengthen the time required to review your application.

9. Making False Statement a Misdemeanor

Under §467-20, Hawaii Revised Statutes:

It shall be unlawful for any person or the person's agent to testify before or file with the commission, or the testing service agency designated by the commission, any notice, statement, or other document required under this chapter, that is false or untrue or contains any material misstatement of fact, or contains forgery. In addition to the sanctions or remedies as provided in this chapter, any violation of this section shall constitute a misdemeanor punishable pursuant to section 706-640 or 706-663, or both, and not pursuant to section 467-26.

APPLICATION FOR EXPERIENCE CERTIFICATE - REAL ESTATE BROKER

Access this form via website at: www.hawaii.gov/hirec

READ THE ATTACHED INSTRUCTIONS!

Applicants are subject to requirements, forms, and fees in effect at time of filing.

Complete and submit with the \$50 non-refundable application fee.

APPROVED Initials/Date: _____

DENIED Date Cert. Sent: _____

Legal Name (First, Middle)		(LAST)
Mailing Address (Include apt. no., city, state & zip code)		
Hawaii License No. RS-	Phone (days):	Social Security No.

FOR OFFICE USE

CIRCLE OR UNDERLINE YOUR RESPONSES TO THE FOLLOWING QUESTIONS:

1. Have you ever applied for a real estate broker's license in Hawaii? YES NO
If YES, when? _____
2. Have you ever applied for a broker's experience certificate in Hawaii? YES NO
If YES, when? _____
3. Have you been a full-time Hawaii licensed salesperson for at least three years of the five-year period immediately prior to the submission of this application? YES NO
 - a. If NO, you must request an equivalency for part of the experience based on one of the prescribed categories. (see Instructions, "Requirements for Equivalency for Experience in Another State")
 - b. Have you attached the prescribed documents for the category you are requesting? YES NO

Provide the information requested below for ALL employers, including non-real estate employers, for the 5 years immediately preceding the date of this application. **Attach** a separate sheet if necessary.

Name of Employer/Business	Address	Position Held with this Employer/Business	Hrs Weekly	Employment Date	Termination Date
1.					
2.					
3.					
4.					
5.					

CERTIFICATION: I understand that it is my responsibility to read the instructions thoroughly, file a complete application, and submit the required documents and fees in sufficient time to be reviewed and decided upon prior to registering for the broker's examination. I understand that any experience during a period that my real estate salesperson's license was inactive (whether voluntary or involuntary), forfeited, suspended, revoked, or terminated will not be recognized.

I hereby certify that the information provided in this application and the documents attached are true and correct, and that I will provide verifying documents upon request by the commission. I understand that falsification of information, any material misstatement of fact, or forgery is grounds for refusal or disciplinary action.

Date: _____

Signature of Applicant

This material can be made available for individuals with special needs. Please call the Licensing Branch Manager at (808) 586-3000 to submit your request.

App 580 \$50
Service Charge BCF \$25

EXPERIENCE CERTIFICATION STATEMENT

(To Be Completed By Principal Broker or Broker in Charge)

NAME OF BROKER APPLICANT: _____

1. Section 16-99-3(q), Hawaii Administrative Rules (HAR), requires a principal broker or broker in charge to provide an accurate experience certification statement.

Within ten days of receiving a written request, it shall be the responsibility of the principal broker or broker in charge of the brokerage firm to provide broker applicants formerly or presently employed by or associated with them with an accurate experience certification statement in the form provided by the commission attesting to the length of time that the broker applicant has been actively associated with or employed full-time by the brokerage firm. ***Falsification of information contained in the certification shall be cause for revocation or suspension of the broker's or brokerage firm's license and of the salesperson's license if that person is a party to the falsification.***

2. This form is in two parts. In Part I, provide current information about the principal broker or broker in charge who is completing this form. In Part II, provide information about the broker applicant during the relevant period.
3. Type or print all information in black ink. Fill in all blanks. Sign and return to the broker applicant. Incomplete or unsigned forms will **not** be accepted.

PART I. PRINCIPAL BROKER OR BROKER IN CHARGE COMPLETING THIS STATEMENT:

Name: _____ License No.: RB - _____

Current Brokerage Firm: _____ Telephone No.: _____

Address of Brokerage Firm: _____ License No.: RB - _____

PART II. PERIOD COVERED BY THIS STATEMENT. The applicant was associated with the brokerage firm indicated below for the stated period. I was the principal broker or broker in charge of the brokerage firm during the period, or I am the current principal broker or broker in charge of the brokerage firm and have records to verify the information provided below.

Period Covered: From (month/day/year): _____ To (month/day/year): _____

Name of Brokerage Firm: _____ License No.: RB _____

NUMBER OF WEEKS _____ the applicant devoted **40 hours per week** to Hawaii real estate salesperson license activity, whether in or out of the office (do not count time spent on clerical or other non-real estate duties.)

Certification: I certify that the information provided in this Experience Certification Statement is true and correct. I understand that falsification of information, any material misstatement of fact, or forgery is grounds for disciplinary action against me.

Signature of Principal Broker or Broker in Charge Date

Signature of Applicant Date

VERIFICATION OF LICENSE -- REAL ESTATE

PART I. TO BE COMPLETED BY APPLICANT

INSTRUCTIONS: A. Applicant to complete information in Part I only.
 B. Applicant to send this form to out-of-state licensing agency to complete Part II.
 C. Upon receipt of completed form from the out-of-state agency, applicant to attach completed form to application(s) and submit to Licensing Branch. Please note that only one (1) completed Verification of License form is required to be submitted if applicant is submitting multiple applications at the same time.

Applicant's Name (First, Middle)	(LAST)	Type of License held:	
Mailing Address (Include apt. no. & zip code)		SALESPERSON	BROKER
		License Number	Date Licensed

PART II. TO BE COMPLETED BY OUT-OF-STATE LICENSING AGENCY

The above-named person is applying for a real estate exam in Hawaii. Please supply the following information, and mail this form back to the above-named person.

Circle Type of License Issued: SALESPERSON BROKER	Has disciplinary action ever been taken against the license? YES NO Are there any pending disciplinary actions? YES NO Are there any conditions currently placed on this license? YES NO If yes, please explain:
Date Licensed	Is the license current and active? (not forfeited, escrowed, or inactive) YES NO If not active and current, date license expired, forfeited or placed inactive:
Expiration Date	Who placed the license on inactive/expired status?

- 1a) Was there a pre-license educational requirement at the time applicant was licensed? YES NO
 b) If yes, what was requirement? _____ hours.
- 2 Did the person named above fulfill the pre-license educational requirement? YES NO
- 3a) Was the pre-license educational requirement or a portion of the pre-license educational requirement waived? YES NO
 b) If yes, what portion of the pre-license educational requirement was waived and what was submitted in lieu of the requirement?

Requirement:

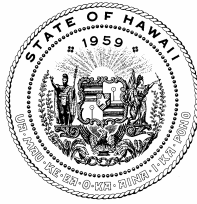
Waived due to:

- 4a) Did the applicant pass the uniform portion of the salesperson (or equivalent) examination in your state? YES NO
 b) If yes, please provide the date: _____
- 5a) Did the applicant pass the uniform portion of the broker (or equivalent) examination in your state? YES NO
 b) If yes, please provide the date: _____

Name of Out-of-state Agency	Signature	Date
Address of Out-of-state Agency	Name & Title	

LINDA LINGLE
GOVERNOR

JAMES R. AIONA, JR.
LIEUTENANT GOVERNOR



LAWRENCE M. REIFURTH
DIRECTOR

NOE NOE TOM
LICENSING ADMINISTRATOR

STATE OF HAWAII
REAL ESTATE BRANCH
PROFESSIONAL AND VOCATIONAL LICENSING DIVISION
DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS
KING KALAKAUA BUILDING
335 MERCHANT STREET, ROOM 333
HONOLULU, HAWAII 96813
<http://www.hawaii.gov/hirec>
hirec@dcca.hawaii.gov

May 1, 2006

MEMORANDUM

TO: Candidates for Prelicensing Schools or Anyone Considering a Real Estate License

FROM: Real Estate Commission

SUBJECT: Persons with a Questionable Background Issue(s)

Do you have a questionable background issue? Questionable background issues include, but is not limited to, criminal convictions (felony, misdemeanor, or court martial), or any civil/administrative/government action, against you, including DUIs, drug/alcohol issues, abuse situations, tax liens, unpaid tax obligations, judgments, unpaid judgments, disciplinary action (for another licensing area or from another state or country), applicants currently serving parole or probation, violations of administrative laws/court orders/government sanctions, etc. If you have a questionable background issue, the Commission highly recommends you review the attached application. If your answer to any of the questions from **1.b) through 5 will be "yes", immediately contact the Real Estate Branch at the above address or at (808) 586-2643. Do not enroll in any Prelicensing Real Estate course until you secured advice on how to proceed and/or, if applicable, submit the attached "Request for Preliminary Decision" application.**

Although a good number of applicants with questionable background issues have been granted licenses or conditional licenses, a good number of applicants with questionable background issues have been **denied licenses**. Denied applicants have spent monies for the prelicensing school, taking and passing the examination, and submitting an application, as well as expending a lot of time studying, attending classes, and taking the examination. Therefore, prior to expending monies and time on the process to eventually submit an application for a real estate license that may be denied, the applicant should submit a Request for Preliminary Decision Application to the Commission.

Upon receipt of a Request for Preliminary Decision application and prior to inclusion on the Commission's meeting agenda, the Real Estate Branch staff gathers all pertinent documentation from the applicant to support and explain any and all "yes" answer(s). The Commission then reviews each application on a case by case basis at its monthly meeting. The applicant is invited to appear at the Commission's meeting to answer questions the Commissioners may have, and/or to provide oral testimony. The Commission then decides whether they would most likely approve or most likely deny a real estate license application with the affected background issues. Although the Preliminary Decision is a non-binding decision and subject to further review upon receipt of the license application, the decision should provide the candidate with a fair indication as to how the Commission may vote on the actual license application.

Lastly, Hawaii Revised Statutes Section 467-20 states that any false statement provided by the applicant to the Commission is an unlawful act subject to administrative sanctions and constitutes a misdemeanor criminally punishable under the laws of the State of Hawaii. In the electronic age of the internet, open records law by federal, state, and county governments, various private services, and with governmental agencies sharing information, access to background information on individuals and entities are easier to obtain. Therefore, the worst act by an applicant for licensure would be to answer the questions in the application falsely or basically lie.

Please contact the Real Estate Branch at the above address or telephone (808) 586-2643, between 7:45 a.m. to 4:30 p.m. HST, Monday to Friday.

**REQUEST FOR PRELIMINARY DECISION:
REAL ESTATE SALESPERSON OR BROKER**

Access this form via website at: www.hawaii.gov/hirec

STATE OF HAWAII
DEPARTMENT OF COMMERCE & CONSUMER AFFAIRS
PROFESSIONAL & VOCATIONAL LICENSING DIVISION

Legal Name of Applicant (First, Middle):	(LAST)	For Official Use Only
Residence Address (Include street address, apt. no., city, state & zip code):		
Mailing Address, if different from above (Include apt. no., city, state & zip code):		
Type of License Preparing for (check one):	Social Security No.:	
_____ Salesperson	Daytime Telephone No.:	
_____ Broker		

Answer All Questions Below

	Yes	No
1a) Have you ever applied for, been granted, or held a real estate license in Hawaii or any other state? If yes, what state, license type, and license number? _____		
b) Has an application for license or a real estate license ever been denied, suspended, fined, involuntarily terminated, revoked, or otherwise subject to disciplinary action?		
c) Have any complaints or charges ever been filed against you, regardless of outcome, with the licensing agency of any state?		
d) Have any charges of unlicensed activity ever been filed against you, regardless of outcome, with the licensing agency of any state?		
e) Are there any pending disciplinary actions against you?		
2. During the past 20 years have you ever been convicted of a crime where there has not been an order annulling or expunging the conviction?		
3. Are there any pending lawsuits, unpaid judgments, outstanding tax obligations, or any other type of involuntary liens against you?		
4. Are you LESS than 18 years of age?		
5. Are you an alien WITHOUT authorization to work in the United States?		

Explain all "Yes" responses on a separate sheet with detailed information and supporting documents as described in the instructions.

READ AND SIGN THE CERTIFICATION ON THE REVERSE SIDE

Appl..... 580..... \$25
Service Charge..... BCF..... \$25

CERTIFICATION

I have read and understand §467-8, HRS. I understand that no license will be issued to any person who does not possess a reputation for or record of competency, honesty, truthfulness, financial integrity, and fair dealing.

I understand that this is NOT an application for license, this is a request for a preliminary decision to provide advisory guidance only and is not binding or subject to appeal. I understand that even if a preliminary decision is unfavorable to me, I may submit a complete license application and fees following successful completion of the precicensing requirements. I understand that if a preliminary decision is favorable to me, I must still successfully complete the precicensing requirements before applying for a license.

I understand that it is my responsibility to read the instructions thoroughly and to file a complete application, including required documents and fees. I hereby certify that the statements and answers on this application and accompanying documents are true and correct. I understand that any false or untrue statement or material misstatement of fact shall constitute grounds for refusal or subsequent revocation of license and is a misdemeanor under Hawaii law. (Sections 710-1017, 436B-19 and 467-20, HRS).

Applicant's Signature

Date

INSTRUCTIONS

This is **NOT** an application for license. This is a request for a preliminary decision to provide advisory guidance only and is not binding or subject to appeal. You are **NOT** considered an applicant for licensure. A preliminary decision that is unfavorable to you does not prevent you from submitting a complete license application and fees following successful completion of the preclicensing requirements. If a preliminary decision is favorable to you, you must still successfully complete the preclicensing requirements before applying for a license. If your application for license is received within six months of the preliminary decision, the preliminary decision will be considered together with your application for license.

1. Read the information below.
2. Complete the application form, being sure to answer ALL questions.
3. **Attach** supporting documents, as described below.
4. Submit the application form, supporting documents, and a \$25 nonrefundable fee to:

Mailing Address: DCCA, PVL, Licensing Branch
P.O. Box 3469
Honolulu, HI 96801

or

Deliver to office location at:
335 Merchant St., Room 301
Honolulu, HI 96813

NOTE: One of the numerous legal requirements that you must meet in order for your new license to be issued is the payment of fees as set forth in this application. You may be sent a license certificate before the payment you sent us for your required fees is honored by your bank. If your payment is dishonored, you will have failed to pay the required licensing fee and your license will not be valid, and you **may not** do business under that license. Also, a \$25.00 service charge shall be assessed for payments that are dishonored for any reason.

5. All applications must be reviewed and decided upon by the Real Estate Commission. The Commission meets once each month. The Commission will not review incomplete applications. Therefore, submitting a request without all applicable information and documents as described below will delay processing. If you wish to present oral testimony at the meeting, submit a written request. A courtesy notice with information on the date, time, and location of the meeting will be sent to you.

Instructions for "Yes" Answers

- A. The following documentation must be provided with your application. The application will not be considered without this material.
 - 1a) If you have applied for, been granted, or held a real estate license in Hawaii or any other jurisdiction, **list** the jurisdiction, license type, and license number in the space provided. Attach a separate page if more space is required.
 - 1b), 1c), 1d), or 1e) These questions refer to complaints, charges of unlicensed activity, or pending disciplinary actions for any profession, occupation, or license, both real estate and those other than real estate. If your answer is "yes" to one or more of these questions, you must **submit** the following:
 - i. A statement signed by you explaining the circumstances;
 - ii. Copies of any documents from the agency, including final orders, petitions, complaints, findings of fact and conclusions of law, and any other relevant documents;
 - iii. A resume of any employment, business activities, and education since the date of the action; and
 - iv. You may also include statements from employers, business associates, clients, and others who can attest to your reputation for or record of competency, honesty, truthfulness, financial integrity, and fair dealing.
- 2) If your application indicates a criminal conviction, you must **submit** the following:
 - i. A statement signed by you explaining the circumstances leading to the conviction and detailing all activities since the conviction, including employment and business involvements. Include job title, period of employment, employer's name, description of duties, training attended, and educational courses attended;
 - ii. A copy of the court order, verdict, and terms of sentence; written proof of completion and/or compliance with applicable terms of sentence, e.g., payment of fine(s) or restitution;

(CONTINUED ON REVERSE SIDE)

- iii. If applicable, a copy of the terms of probation and/or parole and a statement from your probation or parole officer as to your reputation for or record of competency, honesty, truthfulness, financial integrity, and fair dealing; and
 - iv. Signed statements from employers, business associates, clients, and others who can attest to your business dealings since the conviction, including a statement as to your reputation for or record of competency, honesty, truthfulness, financial integrity, and fair dealing.
- 3) If you have any pending lawsuits, unpaid judgments, outstanding tax obligations, or any other type of involuntary liens against you, submit the following:
- i. A statement signed by you explaining the circumstances and current status, and if no payment or payment arrangement has been made, the reason;
 - ii. A resume of employment and business activities; and
 - iii. Copies of the court complaint, judgment, documentation of payment arrangements, lien documents, records of any payments, and other relevant documents.