

<h1>Regulatory Analysis Form</h1> <p>(Completed by Promulgating Agency)</p> <p><b>(All Comments submitted on this regulation will appear on IRRC's website)</b></p>		<p><b>INDEPENDENT REGULATORY REVIEW COMMISSION</b></p> <p><b>RECEIVED</b></p> <p>SEP 19 2022</p> <p>Independent Regulatory Review Commission</p>	
<p>(1) Agency Department of State, Bureau of Professional and Occupational Affairs, State Board of Auctioneer Examiners</p>		<p>IRRC Number: 3337</p>	
<p>(2) Agency Number: 16A Identification Number: 6411</p>			
<p>(3) PA Code Cite: 49 Pa. Code § 1.41</p>			
<p>(4) Short Title: Fees</p>			
<p>(5) Agency Contacts (List Telephone Number and Email Address):</p> <p>Primary Contact: Jason E. McMurry, Board Counsel, State Board of Auctioneer Examiners, 401 North Street, Room 306, Harrisburg, PA 17120 (phone 717-705-4597) (fax 717-214-9899) jmcmurry@pa.gov</p> <p>Secondary Contact: Jacqueline A. Wolfgang, Senior Regulatory Counsel, Department of State, P.O. Box 69523, Harrisburg, PA 17106-9523 (phone 717-783-7200) (fax 717-787-0251) jawolfgang@pa.gov</p>			
<p>(6) Type of Rulemaking (check applicable box):</p> <p><input type="checkbox"/> Proposed Regulation</p> <p><input checked="" type="checkbox"/> Final Regulation</p>		<p><input type="checkbox"/> Emergency Certification Regulation</p> <p><input type="checkbox"/> Certification by the Governor</p> <p><input type="checkbox"/> Certification by the Attorney General</p>	
<p>(7) Briefly explain the regulation in clear and nontechnical language. (100 words or less)</p> <p>The State Board of Auctioneer Examiners ("Board") amends § 1.41 (relating to schedule of fees) to read as set forth in Annex A. The final rulemaking provides for graduated application fee increases for: auctioneers, apprentice auctioneers, auction companies, trading assistants, trading assistant companies, special licenses to conduct auctions and the fee to approve courses. The final rulemaking also implements graduated biennial renewal fee increases for auctioneers, apprentice auctioneers, auction companies, trading assistants and trading assistant companies.</p>			
<p>(8) State the statutory authority for the regulation. Include <u>specific</u> statutory citation.</p> <p>Under sections 6(a) and (b) of the Auctioneer Licensing and Trading Assistant Registration Act (act) (63 P.S. §§ 734.6(a) and (b)), the license and examination fees and all other fees imposed under the provisions of this act shall be fixed by the Board by regulation and shall be subject to review in accordance with the</p>			

act of June 25, 1982 (P.L.633, No.181), known as the Regulatory Review Act (71 P.S. §§ 745.1—745.14). If the revenues generated by fees, fines and civil penalties imposed in accordance with the provisions of this act are not sufficient to match expenditures over a 2-year period, the Board shall increase these fees by regulation, subject to review in accordance with the Regulatory Review Act, such that the projected revenues will meet or exceed projected expenditures. If the Bureau of Professional and Occupational Affairs (Bureau) determines that the fees established by the Board are inadequate to meet the minimum enforcement efforts required, then the Bureau, after consultation with the Board, shall increase the fees by regulation, subject to review in accordance with the Regulatory Review Act, such that adequate revenues are raised to meet the required enforcement effort. In addition to the above cited authority, other sections of the act support the Board's authority to amend its fees by regulation when necessary.

Section 32 of the act (63 P.S. § 734.32) provides that "[t]he board may adopt rules and regulations necessary for the proper administration and enforcement of this act." Section 33(a) of the act (63 P.S. § 734.33(a)) provides that "all fees fixed pursuant to section 203 of the act of July 1, 1978 (P.L.700, No.124), known as the Bureau of Professional and Occupational Affairs Fee Act, shall continue in full force and effect until changed by the board." Regarding fees for trading assistant registration, the act of October 8, 2008 (P.L. 1080, No. 89) (Act 89 of 2008) established trading assistant registration by adding section 10.1. Section 10.1(c) specifically required that a registration fee of \$100 be included with each application for registration. When the act was amended by the act of July 20, 2016 (P.L.789, No.88) (Act 88 of 2016), it added section 5.1 requiring trading assistants and trading assistant companies to register with the Board and repealed section 10.1. Section 5.1(c) established an initial \$100 registration fee for trading assistants and trading assistant companies and expressly added the new language of allowing the Board to establish this fee by regulation. 63 P.S. § 734.5.1(c). According to the fiscal notes for Act 88 of 2016 from the House and Senate Appropriations Committees, the statutory fee of \$100 for the registration and renewal of trading assistants established by section 10.1 was removed and the new section 5.1(c) provided language giving the Board the authority to increase this fee for both trading assistants and trading assistant companies when needed to increase its revenue. Here, section 5.1 expressly provides the authority for the Board to establish this fee by regulation and with the other sections of the act cited above provides the Board with the authority to amend this initial fee by regulation when necessary.

The Commissioner is appointed by the Governor and has a number of powers and duties. Specifically, under 71 P.S. § 279.1(a)(7), the Commissioner has the power and duty, "[u]nless otherwise provided by law, to fix the fees to be charged by the several professional and occupational examining boards within the department."

(9) Is the regulation mandated by any federal or state law or court order, or federal regulation? Are there any relevant state or federal court decisions? If yes, cite the specific law, case or regulation as well as, any deadlines for action.

Except as set forth in paragraph (8), the regulation is not mandated by any federal or state law or court order or federal regulation.

(10) State why the regulation is needed. Explain the compelling public interest that justifies the regulation. Describe who will benefit from the regulation. Quantify the benefits as completely as possible and approximate the number of people who will benefit.

The act requires the Board to set fees by regulation so that revenues match expenditures over a 2-year period. The general operating expenses of the Board are borne by the licensee population through revenue

generated by applications and the biennial renewal of licenses. The final rulemaking ensures the fiscal integrity of the Board and allows the Board to carry out its mission.

Most of the Board's costs are personnel related, and much of those costs are not within the Board's control. Staff are generally employees of the Commonwealth, most of whom are civil service personnel, and many are union positions. For these employees, the Board is bound by the negotiated contract that the unions have with the Commonwealth. Personnel costs associated with investigation and enforcement depend largely on the number of complaints received that need to be investigated, and the number of those matters that result in disciplinary action. The Board has no control over the number of complaints that are filed against licensees and unlicensed individuals, nor may they control which matters are or are not prosecuted.

The Board receives annually a budget report from the Department of State's Bureau of Finance and Operations (BFO) regarding the Board's income and expenses. The Board voted to increase its renewal and application fees based on reviewing the Board's revenue and expenses for fiscal years (FYs) 2018-2019 and 2019-2020 and the projected revenue and expenses through FY 2021-2022. They were as follows: during FYs 2018-2019 through 2019-2020, the Board received revenue of \$589,612.09, incurred expenses of \$651,142.11, and ended with a deficit of (\$276,136.32). For FYs 2020-2021 and 2021-2022, the Board anticipates receiving biennial revenue of \$571,000 and anticipates incurring expenses of \$667,000. At the end of FY 2020-2021, BFO anticipates a deficit balance of (\$372,136.22). For FYs 2022-2023 and 2023-2024, with the implementation of this fee increase, the Board projects receiving biennial revenue of \$890,000 and projects incurring expenses of \$687,000, ending with a deficit of (\$169,136.32).

Thus, at the end of FY 2023-2024, BFO's data demonstrates that the Board's revenue has not been sufficient to match its expenditures over a 2-year period in FY 2018-2019 and thereafter. Furthermore, BFO notes the Board continues to be in a deficit, and that deficit continues to increase as anticipated by BFO.

Five graduated biennial renewal fee increases will be implemented under the final rulemaking. Biennial renewal fee increases will be implemented for: auctioneers, apprentice auctioneers, auction companies, trading assistants, and trading assistant companies. Approximately 2,437 individuals who possess current licenses and registrations will be required to pay more for biennial renewals. While licensed individuals will be impacted economically, the graduated increase as opposed to a flat fee increase will ensure that fees charged coincide more closely with the projected expenses for each biennium.

As a part of the Board's final rulemaking, the Board reviewed the fees charged for licensure applications and determined that the current application fees do not accurately reflect the actual cost of processing applications. Accordingly, the Board also adopted increases in application fees so that the application fees more accurately reflect the cost of processing applications. Increasing the application fees alone, however, does not produce sufficient revenue to match the Board's projected expenditures. The final rulemaking will increase licensure application fees to reflect updated costs of processing applications. The following application fee increases will be implemented under the final rulemaking: auctioneers, apprentice auctioneers, auction companies, trading assistants, trading assistant companies, special licenses to conduct auctions and the fee to approve courses.

Approximately 141 applicants will be impacted by this final regulation. While applicants will be impacted economically, the graduated increase as opposed to a flat fee increase will ensure that fees charged to licensees are reflective of costs for processing each application during that biennial period.

In reviewing page 7 of the Board's FY 2020-2021 Annual Board Budget Report labeled as Attachment "A", the new fee structure is projected to produce biennial revenues that will allow the Board to meet or exceed its projected expenditures and return the Board to a fiscally sound position through at least FY 2025-2026.

The fee increases for application and biennial renewal fees will enable the Board to meet its operating expenses and prevent further deficits from accruing. The final rulemaking will benefit every citizen of the Commonwealth in that it ensures the fiscal integrity of the Board so that it can continue to carry out its mission of protecting the public by its enforcement of the licensure act and its continued regulation of the profession of auctioneering to ensure and promote fairness in the industry to the Board's licensees. The costs to applicants and licensees are outweighed by the Board's duty to license and regulate the practice of auctioneering in the public's interest.

(11) Are there any provisions that are more stringent than federal standards? If yes, identify the specific provisions and the compelling Pennsylvania interest that demands stronger regulations.

No, there are no federal licensure standards applicable to the subject matter of the regulation.

(12) How does this regulation compare with those of the other states? How will this affect Pennsylvania's ability to compete with other states?

In comparing professional licensing in Pennsylvania to states in the Northeast Region (Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Rhode Island, Vermont and West Virginia), about half of the states regulate auctioneers to varying degrees. Some only require them to register as a business for tax purposes; others require auctioneers to be licensed. Based on this information, the Board believes the application fees and biennial renewal fees will not put Pennsylvania at a competitive disadvantage. Please see the following:

**Auctioneers** - Pennsylvania, Maine, Massachusetts, New Hampshire, Ohio, Vermont, West Virginia are the only states in the Northeast Region that license auctioneers. In comparing Pennsylvania's application fee of \$180, Maine has a license period of one year and requires an application fee of \$271; Massachusetts and West Virginia each have a license period of one year and require an application fee of \$100. New Hampshire and Ohio each have a license period of 2 years and require an application fee of \$200; Vermont has a license period of 2 years and requires an application fee of \$100. Therefore, while the initial application fee increase from \$50 to \$180 represents an increase for Pennsylvania, the increase itself is actually just bringing Pennsylvania closer to the average application fees for auctioneers being charged by the surrounding states. The Board finds that this will not put Pennsylvania in a competitive disadvantage especially because Pennsylvania carries out more auctions per year than smaller states. Professional licensure provides a comfort to the consumers that the auction being conducted is being done so in accordance with the law. This is important and works as a competitive advantage for the Commonwealth over the states that do not license the profession and because the Commonwealth is the fifth largest state by population based on the 2020 U.S. Census there is more opportunity here for auctioneers to conduct a profitable business and as such, the Board finds that an increase in fees would not put the Commonwealth at a competitive disadvantage.

In comparing Pennsylvania's biennial renewal fee of \$400 (effective with the 2023-2025 biennial renewal), Maine has an annual renewal of \$200, Massachusetts has an annual renewal of \$100 and West Virginia has an annual renewal of \$50. New Hampshire and Ohio each have biennial renewals of \$200 and Vermont is \$240. While the Board's biennial renewal fee is higher than other states, the Board does not believe it

will make Pennsylvania less competitive as compared to other states. As stated earlier, because of the large population size and the fact that Pennsylvania conducts more auctions per year than the smaller surrounding states, the Board does not believe an increase of \$140 will deter licensees from practicing in Pennsylvania and put Pennsylvania at a competitive disadvantage.

**Apprentice Auctioneers** – Pennsylvania, Ohio and West Virginia are the only states in the Northeast Region that license apprentice auctioneers. In comparing Pennsylvania's application fee of \$145, Ohio and West Virginia each have an application fee of \$100.

Pennsylvania's biennial renewal fee of \$200 (effective with the 2023-2025 biennial renewal) is comparable to the annual rates for Ohio at \$100 and West Virginia at \$100.

**Auction Company** - Pennsylvania is the only state in the Northeast Region that licenses an auction company. Ohio licenses an auction corporation, partnership or association, but not a company. Pennsylvania's application fee of \$120 in 2023, \$135 in 2025, and \$150 in 2027 is comparatively lower than Ohio's application license fee of \$200 for an auction corporation.

Pennsylvania's biennial renewal fee of \$400 (effective with the 2023-2025 biennial renewal) is comparatively higher than Ohio's biennial renewal fee for an auction corporation at \$200, but the Board does not feel that this would put Pennsylvania at a competitive disadvantage because Pennsylvania is the only state in the region that licenses auction companies. Ohio's licensure differs from Pennsylvania's in that it requires that at least fifty percent of the owners of an auction corporation, partnership, or association also have an auctioneer's license. Pennsylvania's auction company license does not require this and as such, holds an advantage over Ohio's due to the lack of that ownership element. Pennsylvania's license only requires that an auctioneer of record be on file with the auction company and that person does not have to be an owner. Thus, it is easier for more auction type companies to do business in Pennsylvania as opposed to the neighboring states which is a competitive advantage. Thus, charging a higher fee than Ohio should not put Pennsylvania at a competitive disadvantage.

**Trading Assistants** - A license is not required by any other comparison state in the Northeast Region for this profession. Trading assistants and trading assistant companies are licenses granted to those individuals looking to sell other people's property using only an online auction format and not an in-person auction. Having a licensure requirement to conduct online only auctions without having to have a full auctioneer's license is a competitive advantage for Pennsylvania because it allows more individuals to engage in this business, while providing the security of accountability that is provided through the licensure of professionals. Pennsylvania is the only state in the region that issues this type of license, therefore; the Board does not anticipate that the fee increase will put Pennsylvania in a competitive disadvantage.

**Trading Assistant Companies** – A license is not required by any other comparison state in the Northeast Region for this profession. Pennsylvania is the only state in the region that issues this type of license, therefore; the Board does not anticipate that the fee increase will put Pennsylvania in a competitive disadvantage.

(13) Will the regulation affect any other regulations of the promulgating agency or other state agencies? If yes, explain and provide specific citations.

No.

(14) Describe the communications with and solicitation of input from the public, any advisory council/group, small businesses and groups representing small businesses in the development and drafting of the regulation. List the specific persons and/or groups who were involved. ("Small business" is defined in Section 3 of the Regulatory Review Act, Act 76 of 2012.)

The Board released an exposure draft of a proposed annex reflecting fee increases, but not graduated fee increases, for public comment from stakeholders, interested parties and representatives of the licensed professions on August 20, 2018. A second exposure draft of a proposed annex reflecting graduated fee increases was sent to stakeholders on August 25, 2020. The Board also discussed the proposed rulemaking on: January 7, 2019; September 9, 2019; January 6, 2020; March 9, 2020; September 14, 2020 and January 11, 2021, during the Board's regularly scheduled meetings which are routinely attended by representatives of the regulated community. One public comment to the initial exposure draft was received from the Pennsylvania Auctioneers Association (PAA) stating that the auctioneer and auctioneer company fees should be equal to the trading assistant and trading assistant company fees. The Board considered the comment and decided that because individuals licensed as auctioneers can do more types of auctioneering than trading assistants under the act, the licensure renewal fees should not be the same. Regarding the application fees, the Board compromised and decided that because the type of review required by the Board regarding applications by trading assistants and trading assistant companies was more in line with the type of auctioneering performed by auction companies, that those application fees should be the same because they require the same type of review and work during the evaluation of the application for approval.

Regarding application fees, the increase in auctioneer application fees is designed to cover the cost to process applications. This fee is borne by individual applicants. Subsequent increases are calculated at a 9.5% increase, based upon raises under current commonwealth union contracts. Application fees are almost entirely dependent upon personnel related costs. Application fees have not been increased since 2001. This fee increase is appropriate so that the applicants, and not existing licensees, bear the cost of processing those applications.

Regarding the increase in biennial renewal fees, the Board is duty bound to ensure that the Board is fiscally sound. By the end of FY 2018-2019, the Board was in deficit funding and, thus, increasing fees is critical to sustain the operations of the Board. The Board is statutorily obligated to increase fees by regulation when revenues raised by fees, fines and civil penalties under the act are insufficient to meet expenditures over a 2-year period.

The Board is statutorily mandated to increase fees by regulation if the projected revenues do not match projected expenditures. Delaying an increase in fees is not fiscally feasible because the Board is in a deficit situation. The fee increases for application and biennial renewal fees will enable the Board to meet its operating expenses and prevent further deficits from accruing.

This rulemaking was published as proposed in the Pennsylvania Bulletin on March 26, 2022 (52 Pa.B. 1736). A public comment period of 30 days was provided, and the Board did not receive any public comments.

At its July 11, 2022 public meeting, the Board considered the HPLC and IRRC's comments regarding the proposed rulemaking. After considering the comments, the Board voted on July 11, 2022, to approve the final rulemaking.

(15) Identify the types and number of persons, businesses, small businesses (as defined in Section 3 of the Regulatory Review Act, Act 76 of 2012) and organizations which will be affected by the regulation. How are they affected?

On an annual basis, approximately 141 applicants will be affected by the following increased application fees: auctioneers, apprentice auctioneers, auction companies, trading assistants, trading assistant companies, special licenses to conduct auctions and the fee to approve courses.

A total of approximately 2,437 licensees will be affected by the biennial renewal fee increases comprising of approximately 1,809 auctioneers, 248 apprentice auctioneers, 318 auction companies, 52 trading assistants and 10 trading assistant companies.

According to the Small Business Administration (SBA), there are approximately 1,041,905 businesses in Pennsylvania; of which 1,037,737 are small businesses. Of the 1,037,737 small businesses, 225,847 are small employers (those with fewer than 500 employees) and the remaining 811,890 are non-employers. Thus, most businesses in Pennsylvania are considered small businesses.

Small businesses are defined in Section 3 of the Regulatory Review Act, (71 P.S. § 745.3) which provides that a small business is defined by the SBA's Small Business Size Regulations under 13 CFR Ch. 1 Part 121. These size standards have been established for types of businesses under the North American Industry Classification System (NAICS). In applying the NAICS standards to the types of auctioneer licensees, a small business in Subsector 453 (Miscellaneous Store Retailers) includes auction companies in the category of "All Other Miscellaneous Store Retailers" (NAICS Code #453998) and is one that has average annual receipts of \$8.0 million or less. Likewise, auctioneers are included in NAICS Sector 56 (administrative and support, waste management and remediation services) under Subsector 561 (administrative and support services) in the category "AH Other Support Services" (NAICS Code # 561990), which also has a small business threshold of \$12.0 million or less in average annual receipts. Therefore, for purposes of determining the economic impact on small businesses, the Board believes that many of its licensees either are or work for small businesses as that term is defined by the SBA and Pennsylvania's Regulatory Review Act. The Board has concluded that virtually all auction companies in Pennsylvania are small businesses; and likewise, all auctioneers, trading assistants and apprentice auctioneer either are themselves small businesses or are employed by small businesses. The regulation's impact should not extend to those businesses as there are no direct costs that would be passed on to the licensee's employer, unless the employer voluntarily assumes those costs. It would, therefore, be up to the business to determine the benefit of paying employee licensing fees.

(16) List the persons, groups or entities, including small businesses, that will be required to comply with the regulation. Approximate the number that will be required to comply.

The amendments will increase the application and biennial renewal fees for all licensee/certificate holders of the Board. Specifically, those affected are:

**APPLICANTS** - Approximately 141 applicants will be impacted annually by the increased application fees, including: 25 auctioneers, 40 apprentice auctioneers, 45 auction companies, 10 trading assistants, 10 trading assistant companies, as well as 10 special licenses and 1 course of study application.

**LICENSEES/CERTIFICATE HOLDERS (Biennial Renewal)** - There are approximately 2,437 individuals who will be required to pay more to renew their licenses, certifications and registrations,

including: 1,809 auctioneers, 248 apprentice auctioneers, 318 auction companies, 52 trading assistants and 10 trading assistant companies.

The fees may be paid by applicants, licensees, certificate holders or employers, if employers choose to pay these fees. The regulation should have no other fiscal impact on the private sector, the general public or political subdivisions of the Commonwealth.

The rulemaking will require the Board to alter its online applications to reflect the new fees; however, the amendments will not create additional paperwork for the regulated community or for the private sector.

(17) Identify the financial, economic and social impact of the regulation on individuals, small businesses, businesses and labor communities and other public and private organizations. Evaluate the benefits expected as a result of the regulation.

The Board proposes to amend § 1.41 to update its fee schedules. The amendments will increase the application and biennial renewal fees for licensees of the Board. Specifically, those affected are as follows:

#### **APPLICANTS**

Approximately 141 applicants will be impacted annually by the graduated application fee increase.

#### **25 Auctioneers**

FY 21-22: The fee increase (\$50 to \$180) will generate an additional \$3,250 in application fees.

FY 22-23: The fee increase will continue to generate an additional \$3,250 in application fees.

FY 23-24: The fee increase (\$180 to \$200) will generate an additional \$500 in application fees.

FY 24-25: The fee increase will continue to generate an additional \$500 in application fees.

FY 25-26: The fee increase (\$200 to \$220) will generate an additional \$500 in application fees.

FY 26-27: The fee increase will continue to generate an additional \$500 in application fees.

#### **40 Apprentice Auctioneers**

FY 21-22: The fee increase (\$30 to \$145) will generate an additional \$4,600 in application fees.

FY 22-23: The fee increase will continue to generate an additional \$4,600 in application fees.

FY 23-24: The fee increase (\$145 to \$160) will generate an additional \$600 in application fees.

FY 24-25: The fee increase will continue to generate an additional \$600 in application fees.

FY 25-26: The fee increase (\$160 to \$175) will generate an additional \$600 in application fees.

FY 26-27: The fee increase will continue to generate an additional \$600 in application fees.

#### **45 Auction Companies**

FY 21-22: The fee increase (\$50 to \$120) will generate an additional \$3,150 in application fees.

FY 22-23: The fee increase will continue to generate an additional \$3,150 in application fees.

FY 23-24: The fee increase (\$120 to \$135) will generate an additional \$675 in application fees.

FY 24-25: The fee increase will continue to generate an additional \$675 in application fees.

FY 25-26: The fee increase (\$135 to \$150) will generate an additional \$675 in application fees.  
FY 26-27: The fee increase will continue to generate an additional \$675 in application fees.

**10 Trading Assistants**

FY 21-22: The fee increase (\$100 to \$120) will generate an additional \$200 in application fees.  
FY 22-23: The fee increase will continue to generate an additional \$200 in application fees.  
FY 23-24: The fee increase (\$120 to \$135) will generate an additional \$150 in application fees.  
FY 24-25: The fee increase will continue to generate an additional \$150 in application fees.  
FY 25-26: The fee increase (\$135 to \$150) will generate an additional \$150 in application fees.  
FY 26-27: The fee increase will continue to generate an additional \$150 in application fees.

**10 Trading Assistant Companies**

FY 21-22: The fee increase (\$100 to \$120) will generate an additional \$200 in application fees.  
FY 22-23: The fee increase will continue to generate an additional \$200 in application fees.  
FY 23-24: The fee increase (\$120 to \$135) will generate an additional \$150 in application fees.  
FY 24-25: The fee increase will continue to generate an additional \$150 in application fees.  
FY 25-26: The fee increase (\$135 to \$150) will generate an additional \$150 in application fees.  
FY 26-27: The fee increase will continue to generate an additional \$150 in application fees.

**10 Special Licenses to Conduct**

FY 21-22: The fee decrease (\$200 to \$120) will amount to \$800 less in application fees.  
FY 22-23: The fee decrease will continue to result in \$800 less in application fees.  
FY 23-24: The fee increase (\$120 to \$135) will generate an additional \$150 in application fees.  
FY 24-25: The fee increase will continue to generate an additional \$150 in application fees.  
FY 25-26: The fee increase (\$135 to \$150) will generate an additional \$150 in application fees.  
FY 26-27: The fee increase will continue to generate an additional \$150 in application fees.

**1 Course of Study to Approve**

FY 21-22: The fee increase (\$45 to \$180) will generate an additional \$135 in application fees.  
FY 22-23: The fee increase will continue to generate an additional \$135 in application fees.  
FY 23-24: The fee increase (\$180 to \$200) will generate an additional \$20 in application fees.  
FY 24-25: The fee increase will continue to generate an additional \$20 in application fees.  
FY 25-26: The fee increase (\$200 to \$220) will generate an additional \$20 in application fees.  
FY 26-27: The fee increase will continue to generate an additional \$20 in application fees.

**Total Economic Impact to Applicants**

Based upon the above application fee increases, the total economic impact per fiscal year is as follows:

FY 21-22: \$10,735  
FY 22-23: \$10,735  
FY 23-24: \$ 2,245  
FY 24-25: \$ 2,245  
FY 25-26: \$ 2,245  
FY 26-27: \$ 2,245

TOTAL: \$31,250

**BIENNIAL RENEWAL FEES**

Approximately 2,437 licensees will be impacted by the graduated biennial fee structure.

**1,809 Auctioneers**

FY 21-23: The fee increase (\$260 to \$400) will generate an additional \$253,260 in revenue.

FY 23-25: The fee increase (\$400 to \$475) will generate an additional \$135,675 in revenue.

FY 25-27: The fee increase (\$475 to \$500) will generate an additional \$45,225 in revenue.

**248 Apprentice Auctioneers**

FY 21-23: The fee increase (\$130 to \$200) will generate an additional \$17,360 in revenue.

FY 23-25: The fee increase (\$200 to \$250) will generate an additional \$12,400 in revenue.

FY 25-27: The fee increase (\$250 to \$300) will generate an additional \$12,400 in revenue.

**318 Auctioneer Companies**

FY 21-23: The fee increase (\$260 to \$400) will generate an additional \$44,520 in revenue.

FY 23-25: The fee increase (\$400 to \$475) will generate an additional \$23,850 in revenue.

FY 25-27: The fee increase (\$475 to \$500) will generate an additional \$7,950 in revenue.

**62 Trading Assistants and Trading Assistant Companies**

FY 21-23: The fee increase (\$100 to \$200) will generate an additional \$6,200 in revenue.

FY 23-25: The fee increase (\$200 to \$250) will generate an additional \$3,100 in revenue.

FY 25-27: The fee increase (\$250 to \$300) will generate an additional \$3,100 in revenue.

**Total Economic Impact to Licensees**

Based upon the above biennial renewal fee increases, the economic impact is as follows:

FY 21-23: \$321,340  
FY 23-25: \$175,025\*  
FY 25-27: \$ 68,675\*\*  
TOTAL: \$565,040

*\* The amount in this fiscal year includes the additional costs incurred for this biennium only; this figure does not include the costs incurred as a result of the prior fiscal year increases in FY 21-23.*

*\*\* The amount in this fiscal year includes the additional costs incurred for this biennium only; this figure does not include the costs incurred as a result of the prior fiscal year increases in FY 21-23 or FY 23-25.*

The above application and renewal fees may be paid by applicants, licensees, registrants or employers, should employers choose to pay these fees. The Board does not expect this rulemaking to have any other financial, economic or social impact on individuals, small businesses, businesses or labor communities or other public or private organizations.

This increase is necessary to ensure the fiscal integrity of the Board and to ensure that the Board's mandate to protect the health, safety and welfare of the public is carried out. The new fee structure for application fees is beneficial for licensees generally as the costs associated with each application will be paid by the applicant rather than distributed among the Board's licensees. Additionally, the Board's graduated fee approach is beneficial because the application fee increases are reflective of actual costs during each biennium and biennial renewal fees and coincide more closely with the projected expenses for each biennium.

(18) Explain how the benefits of the regulation outweigh any cost and adverse effects.

The Board is a statutorily created board which has powers and duties set forth in the act, including power to: determine qualifications and fitness of applicants; adopt and revise regulations; refuse, revoke or suspend licensees; establish fees for the operation of the board; and conduct hearings. The Board's expenses include Bureau administration, Commissioner's and Revenue office services, Departmental services, legal office services, hearing expenses, enforcement and investigation costs, Professional Compliance Office costs, and board member expenses. Under Section 6 of the act, if the revenues raised by fees, fines and civil penalties imposed under this act are insufficient to meet expenditures over a 2-year period, the Board must increase those fees by regulation so that the projected revenues will meet or exceed projected expenditures.

The final rulemaking would benefit every citizen of the Commonwealth in that it would ensure the fiscal integrity of the Board and allow the Board to continue to carry out its mission of protecting the public by its enforcement of the licensure act and its continued regulation of the profession of auctioneering to ensure and promote fairness in the industry for the Board's licensees. The costs to applicants and licensees are outweighed by the Board's duty to license and regulate the profession of auctioneering. Additionally, application fees will more accurately address the actual cost of resources devoted to processing applications.

The regulatory amendment is mandated by section 6(a) of the act (63 P.S. § 734.6(a)) and is necessary to assure the fiscal integrity of the Board so that it may continue to carry out its mission.

(19) Provide a specific estimate of the costs and/or savings to the regulated community associated with compliance, including any legal, accounting or consulting procedures which may be required. Explain how the dollar estimates were derived.

As reflected in the Board's response to Question 17, the regulated community will incur additional costs as a result of the graduated application and biennial renewal fee increases. By adding the costs for the graduated application fees with biennial renewal fees per fiscal year, the Board estimates that the cost to licensees and applicants is as follows: FY 2021-2022 at \$10,735; FY 2022-2023 at \$332,075; FY 2023-2024 at \$2,245; FY 2024-2025 at \$177,270; FY 2025-2026 at \$2,245; and FY 2026-2027 at \$70,920. The Board does not anticipate additional administrative, legal, accounting or consulting costs to the Board, applicants or licensees by implementing the final rulemaking. The regulatory amendment will permit the Board to continue to fund the costs of its operations. There are no other costs or savings to the regulated community associated with compliance with the final rulemaking.

(20) Provide a specific estimate of the costs and/or savings to the **local governments** associated with compliance, including any legal, accounting or consulting procedures which may be required. Explain how the dollar estimates were derived.

There are no costs or savings to local governments associated with compliance with the final rulemaking.

(21) Provide a specific estimate of the costs and/or savings to the **state government** associated with the implementation of the regulation, including any legal, accounting, or consulting procedures which may be required. Explain how the dollar estimates were derived.

To implement this regulation, paper and online applications will have to be revised to reflect the new fees. The Board will incur a minimal cost to revise these forms to indicate the new fees. Paper documents will be revised by Board administrative staff, who will change the fee amounts on an electronic copy of the paper document; this process will take about fifteen minutes of staff time to complete the revisions per renewal year to revise the documents, as well as fifteen minutes for the BPOA Business Licensing Division Chief, BPOA Deputy Commissioner and Board Counsel to each review and sign-off on the revisions. Online applications will be revised in PALS by Board administrative staff. This process will take about one hour of staff time to complete the revisions per renewal year as well as fifteen minutes for the BPOA Business Licensing Division Chief, BPOA Deputy Commissioner and Board Counsel to each review and sign-off on the revisions. The total estimated cost to revise paper and online documents is \$381; \$127 in FY 22-23 and \$127 in FY 24-25 and \$127 in FY 26-27. The Board would incur no other increase in administrative costs by implementing the final rulemaking. There are no other costs or savings to state government associated with implementation of the final rulemaking.

(22) For each of the groups and entities identified in items (19)-(21) above, submit a statement of legal, accounting or consulting procedures and additional reporting, recordkeeping or other paperwork, including copies of forms or reports, which will be required for implementation of the regulation and an explanation of measures which have been taken to minimize these requirements.

This final rulemaking will not require any additional record keeping nor will there be any legal, accounting or consulting procedures required for implementation of the final rulemaking. The new fees will require no additional paperwork, as these fees are being imposed to cover the Board's costs associated with services that are already being provided and paperwork that is already required.

(22a) Are forms required for implementation of the regulation? Yes, the Board will have to revise its print and online application forms and online renewal platform to indicate the increased fees.

(22b) If forms are required for implementation of the regulation, **attach copies of the forms here**. If your agency uses electronic forms, provide links to each form or a detailed description of the information required to be reported.

In October of 2016, the Bureau launched the Pennsylvania Licensing System (PALS), which provides for an online application and biennial renewal system. Most of the Board's applications and biennial renewals are in PALS. As reflected in Attachment "B", the only remaining hard copy forms are reactivation forms for auctioneer, apprentice auctioneer, auction company, trading assistant, and trading assistant company and application forms for approved course of study. Regarding all the other initial applications, because the Board no longer uses paper applications, the Board is providing online "checklists" that correlate with

each application. For biennial renewals, the Board has attached copies of biennial renewal forms that are reflective of the online content.

(23) In the table below, provide an estimate of the fiscal savings and costs associated with implementation and compliance for the regulated community, local government, and state government for the current year and five subsequent years.

	<b>Current FY Year (22-23)</b>	<b>FY +1 Year (23-24)</b>	<b>FY +2 Year (24-25)</b>	<b>FY +3 Year (25-26)</b>	<b>FY +4 Year (26-27)</b>	<b>FY +5 Year (27-28)</b>
<b>SAVINGS:</b>						
<b>Regulated Community</b>	<b>\$800</b>	<b>\$800</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Local Government</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>State Government</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Total Savings</b>	<b>\$800</b>	<b>\$800</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>COSTS:</b>						
<b>Regulated Community</b>	<b>\$10,735</b>	<b>\$332,075</b>	<b>\$2,245</b>	<b>\$177,270</b>	<b>\$2,245</b>	<b>\$70,920</b>
<b>Local Government</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>State Government</b>	<b>\$127</b>	<b>\$0</b>	<b>\$127</b>	<b>\$0</b>	<b>\$127</b>	<b>\$0</b>
<b>Total Costs</b>	<b>\$10,862</b>	<b>\$332,075</b>	<b>\$2,372</b>	<b>\$177,270</b>	<b>\$2,372</b>	<b>\$70,920</b>
<b>REVENUE LOSSES:</b>						
<b>Regulated Community</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Local Government</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>State Government</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
<b>Total Revenue Losses</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

(23a) Provide the past three-year expenditure history for programs affected by the regulation.

<b>Program</b>	<b>FY - 3 19-20 (Actual)</b>	<b>FY - 2 20-21 (Actual)</b>	<b>FY -1 21-22 (Budget)</b>	<b>Current FY 22-23 (Projected)</b>

<b>State Board of Auctioneer Examiners</b>	<b>\$336,579.86</b>	<b>\$354,735.32</b>	<b>\$376,000</b>	<b>\$365,000</b>
--	---------------------	---------------------	------------------	------------------

(24) For any regulation that may have an adverse impact on small businesses (as defined in Section 3 of the Regulatory Review Act, Act 76 of 2012), provide an economic impact statement that includes the following:

- (a) An identification and estimate of the number of small businesses subject to the regulation.
  - (b) The projected reporting, recordkeeping and other administrative costs required for compliance with the proposed regulation, including the type of professional skills necessary for preparation of the report or record.
  - (c) A statement of probable effect on impacted small businesses.
  - (d) A description of any less intrusive or less costly alternative methods of achieving the purpose of the proposed regulation.
- (a) All “small businesses” as the term is defined by the Regulatory Review Act and the SBA, that employ licensees would be subject to the final rulemaking. The Board does not collect data relating to the size of the businesses that employ its licensees. Please also see the response to Question 15.
- (b) There are no projected reporting or recordkeeping costs required for compliance. There are only negligible additional administrative costs required to revise online applications for increased fees.
- (c) The probable effect on impacted small businesses may be an increase in application and biennial renewal fees for applicants or licensees employed by small businesses, should the businesses choose to pay these fees for employees.
- (d) The Board has evaluated and considered increasing fees since 2018. As previously discussed, the Board’s expenditures exceed its revenue. Section 6 of the act mandates a fee increase when expenditures outpace revenue. Thus, based upon the insufficient revenue and the deficit spending, the Board determined that fee increases are the only way to sustain operations, ensuring public health and safety.

(25) List any special provisions which have been developed to meet the particular needs of affected groups or persons including, but not limited to, minorities, the elderly, small businesses, and farmers.

No groups with particular needs have been identified.

(26) Include a description of any alternative regulatory provisions which have been considered and rejected and a statement that the least burdensome acceptable alternative has been selected.

The Board considers the regulation to be the least burdensome and acceptable alternative, consistent with public health, safety and welfare. This increase is necessary to ensure the fiscal integrity of the Board and to assure that the Board’s mandate to protect the health, safety and welfare of the public is carried out. The Board initially considered an alternative fee increase that did not include a graduated fee schedule but decided to not move forward with that version because the Board believes that the graduated application fee and graduated biennial renewal fee increases are more beneficial to the Board and to the licensees. The application fee increases on a graduated basis are more reflective of the actual costs to process applications over time which is more beneficial to the licensees to spread the needed increase in fees over time and not

try to reduce the Board's deficit all at once with higher fees. A nongraduated fee increase would have been much larger and would have put Pennsylvania at a competitive disadvantage to the other states in the region based on those higher fees. Additionally, the new fee structure for application fees is beneficial for licensees generally as the costs associated with each application will be paid by the applicant rather than distributed among the Board's licensees. The same is true for the graduated increase to the biennial renewal fees because increasing fees in this manner coincides more closely with the projected expenses for each biennium and is less impactful on the licensee population by spreading the needed fee increase out over several renewal cycles instead of implementing a much higher fee all at once.

(27) In conducting a regulatory flexibility analysis, explain whether regulatory methods were considered that will minimize any adverse impact on small businesses (as defined in Section 3 of the Regulatory Review Act, Act 76 of 2012), including:

- a) The establishment of less stringent compliance or reporting requirements for small businesses;
  - b) The establishment of less stringent schedules or deadlines for compliance or reporting requirements for small businesses;
  - c) The consolidation or simplification of compliance or reporting requirements for small businesses;
  - d) The establishment of performance standards for small businesses to replace design or operational standards required in the regulation; and
  - e) The exemption of small businesses from all or any part of the requirements contained in the regulation.
- 
- a) All applicants pay the application fees at the time the application is submitted, and all licenses renew biennially. The Board did not consider less stringent reporting requirements for small businesses or for licensees who work for small businesses.
  - b) All applicants pay the application fees at the time the application is submitted, and all licenses renew biennially. The Board did not consider less stringent schedules or deadlines for compliance or reporting requirements for small businesses.
  - c) There are no compliance or reporting requirements that could be consolidated or simplified. The application and biennial renewal processes are the same whether a particular licensee or applicant is, or is employed by, a small business or a large business.
  - d) The regulation does not contain design or operational standards that need to be altered for small businesses.
  - e) To exclude any applicants or licensees from the requirements contained in the final rulemaking based on the size of the business would not be consistent with public health and welfare because it would prevent the Board from obtaining adequate revenue to meet projected expenditures and it would not be able to carry out its legislative mandate.

(28) If data is the basis for this regulation, please provide a description of the data, explain in detail how the data was obtained, and how it meets the acceptability standard for empirical, replicable and testable data that is supported by documentation, statistics, reports, studies or research. Please submit data or supporting materials with the regulatory package. If the material exceeds 50 pages, please provide it in a searchable electronic format or provide a list of citations and internet links that, where possible, can be

accessed in a searchable format in lieu of the actual material. If other data was considered but not used, please explain why that data was determined not to be acceptable.

The Board relied on data contained in the Bureau's executive report on the Review of State Professional and Occupational Licensure Board Requirements and Processes. The report can be found at: <https://www.dos.pa.gov/ProfessionalLicensing/Documents/EO2017-03-Executive-Report-Occupational-Licensing.pdf>

The Board relied on financial records of the Board presented by BFO, including an Annual Board Budget Report, the Fee Increase Report and fee report forms that provide the breakdown of costs for application fees. (See, Attachment "A").

Fees for biennial license renewal; however, are not determined in the same way as fees for initial application. Renewing a license is an online process through PALS where a licensee answers several questions and pays the appropriate fee. Generally, PALS automatically renews the license.

Unlike initial application fees, biennial renewal fees are designed to cover the operational costs of the Board, including salaries for administrative and legal staff, as well as the costs for investigation of complaints, enforcement of statutory and regulatory requirements, hearing expenses, and board member expenses. Most of the Board's operational costs are personnel-related, and much of those costs are not within the Board's control. Staff are generally employees of the Commonwealth, most of whom are civil service personnel; many are in union positions. For these employees, the Board is bound by the negotiated contract. Personnel costs associated with investigation and enforcement depend largely on the number of complaints received that need to be investigated, and the number of those matters that result in disciplinary action. The Board has no control over the number of complaints that are filed against licensees and unlicensed individuals, nor may they control which matters are, or are not, prosecuted. The biennial fees are calculated to ensure that the Board can meet or exceed its operational costs. Since biennial renewal fees are based on operating expenses and do not reflect the cost to process a renewal application, fee report forms are not utilized for biennial renewal fees. These fees were calculated by BFO using the Board's licensure population numbers and what level of increase in renewal fees would be needed based on that licensee population to ensure that the Board can meet or exceed its operational costs in the future.

(29) Include a schedule for review of the regulation including:

- A. The length of the public comment period: 30 days from publication in the PA Bulletin
- B. The date or dates on which any public meetings or hearings will be held: The proposed rulemaking was discussed at public Board meetings on January 9, 2018, May 14, 2018, January 7, 2019, September 9, 2019, January 6, 2020, March 9, 2020, September 14, 2020, January 11, 2021 and March 8, 2021. The final rulemaking was discussed and adopted at the public Board meeting on July 11, 2022. The Board is scheduled to meet in 2022 on November 14, 2022.
- C. The expected date of delivery of the final-form regulation: Fall 2022
- D. The expected effective date of the final-form regulation: Fall 2022
- E. The expected date by which compliance with the final-form

regulation will be required:

Upon notice or publication  
in the Pennsylvania Bulletin as final.

F. The expected date by which required permits, licenses or other  
approvals must be obtained:

N/A

(30) Describe the plan developed for evaluating the continuing effectiveness of the regulations after its implementation.

The Board regularly evaluates the effectiveness of its regulations. Additionally, the Board regularly reviews requests by licensees and members of the public to amend its regulations causing the Board to evaluate the regulations' impact and necessity. The Board reviews all regulatory proposals at regularly scheduled meetings.

# Attachment A

Commonwealth of Pennsylvania

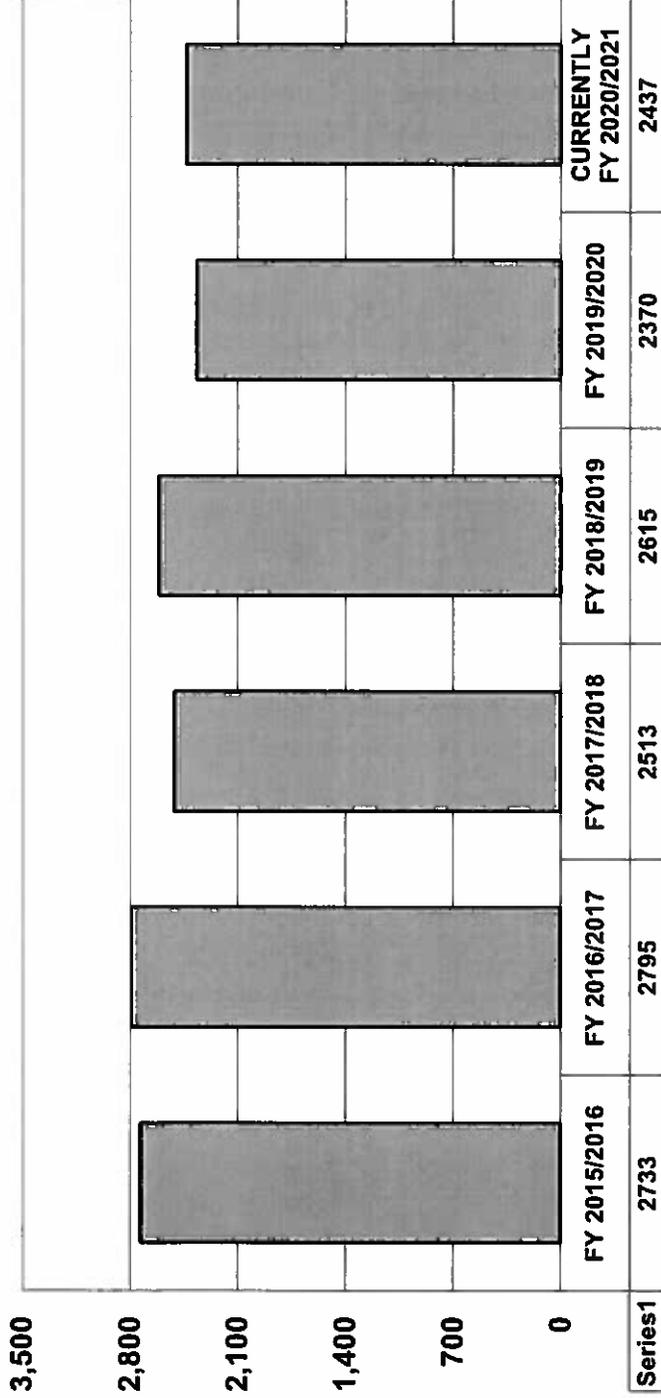


**DEPARTMENT OF STATE**

**STATE BOARD OF AUCTIONEER  
EXAMINERS**

**FY 2019-2020 EXPENDITURES  
FY 2020-2021 BUDGET INFORMATION  
FY 2021-2022 BUDGET PLANNING**

**STATE BOARD OF AUCTIONEERS  
RENEWABLE LICENSEE COUNTS**



LICENSEES BY CLASS	FY 18-19	FY 19-20	FY 20-21
Apprentice Auctioneer	283	241	248
Auctioneer	1,938	1,767	1,809
Licensed Auction Company	341	307	318
Trading Assistant Company	-	6	10
Trading Assistant	53	49	52
<b>TOTAL</b>	<b>2,615</b>	<b>2,370</b>	<b>2,437</b>

## REVENUE BY SOURCE DEFINITIONS

**Renewals:** Revenue collected from license and certificate renewal fees during the renewal period.

**Applications:** Revenue collected for applications received from candidates for new licensure, certification or registration.

**Letters of Good Standing/Certifications:** Revenue collected for requests from licensees and certificate holders for Letters of Good Standing and Certifications. These letters and certifications are used by the licensees or certificate holders to send to other jurisdictions to verify that the holder of the license or certificate is in "good standing" with the Commonwealth of PA.

**Act 48:** Revenue collected from citations issued and civil penalties imposed by the Bureau of Enforcement and Investigation's inspectors for non-compliance to standards found during routine inspections.

**Fines:** Revenue deposited as a result of penalties imposed for an offense that violates the Board or Commission's licensing laws and/or regulations.

**Licensee List:** Revenue collected for licensee list requests from the public through the Bureau of Professional and Occupational Affairs. The information provided on these lists include name, address, license number, county, certification and expiration date.

**Investigations:** Revenue collected for the reimbursement of investigations.

DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS

STATE BOARD OF AUCTIONEER EXAMINERS  
FY17-18 AND FY18-19 SOURCES OF REVENUE

<u>REVENUE BY SOURCE</u>	<u>FY18-19 ACTUAL</u>	<u>FY19-20 ACTUAL</u>	<u>BIENNIAL TOTAL</u>
Renewals	555,705.00	9,620.00	565,325.00
Applications	8,305.00	6,730.00	15,035.00
Letters of Good Standing/Certifications	480.00	510.00	990.00
Fines	2,900.00	2,500.00	5,400.00
Act 48	0.00	0.00	0.00
Investigations	0.00	0.00	0.00
Licensee List	<u>1,550.15</u>	<u>1,311.94</u>	<u>2,862.09</u>
<b>TOTAL REVENUE</b>	<b><u>568,940.15</u></b>	<b><u>20,671.94</u></b>	<b><u>589,612.09</u></b>

Renewal Fees: Renew February odd years - last fee increase 2015 (board approved biennial renewal fee increase on 9/9/19 starting in FY22-23)  
Trading Assistant: \$100 biennially (FY22-23: \$200; FY24-25: \$210; FY26-27: \$215)  
Trading Assistant Company: \$100 biennially (FY22-23: \$200; FY24-25: \$210; FY26-27: \$215)  
Apprentice Auctioneer: \$130 biennially (FY22-23: \$200; FY24-25: \$210; FY26-27: \$215)  
Auctioneer: \$260 biennially (FY22-23: \$400; FY24-25: \$410; FY26-27: \$415)  
Licensed Auction Company: \$260 biennially (FY22-23: \$400; FY24-25: \$410; FY26-27: \$415)

## COST CATEGORY DEFINITIONS

**Board Administration:** Timesheet based staff expenses (personnel, operating and fixed assets) for the licensing divisions in the Bureau of Professional and Occupational Affairs. Direct charges, such as printing and mailing costs for board and commission renewal notices, informational handouts, Acts, Rules and Regulations are included in this cost category. Operating and fixed asset expenses that are distributed based on their benefit to the board using licensee population, such as License 2000, copy paper, Data PowerHouse, staff augmentations for BPOA, Penn Center lobby security, and interagency billings (i.e., Civil Service Commission, Comptroller's Office, etc.).

**Commissioner's Office:** Timesheet based staff expenses (personnel, operating and fixed asset charges) for those staff assigned to the Commissioner's Office.

**Revenue Office:** Timesheet based staff expenses (personnel, operating and fixed asset charges) for those staff assigned to the Revenue Office, which handles license renewals and application fees as well as other sources of revenue.

**Departmental Services:** Timesheet based charges for support provided by the various support offices within the agency. These include the Executive Office, which consists of offices of the Secretary of the Commonwealth, the Executive Deputy Secretary, the Deputy of Administration, the Deputy Secretary of Regulatory Programs, the Deputy Secretary of Planning and Service Delivery, Office of Policy, Office of Chief Counsel, Office of Communications and Press, and Office of Legislative Affairs. In addition, costs are included for the offices of Bureau of Management Information Services, Bureau of Finance and Operations and Human Resource Office.

**Legal Office:** Timesheet based staff expenses (personnel, operating and fixed assets) for board counsel, board prosecutors, legal review of policy and regulatory matters, and support staff. Examples of direct charges are expert witness services and advertising costs of license suspensions, revocations or fines assessed.

**Hearing Expenses:** Timesheet based staff expenses (personnel, operating and fixed assets) for staff assigned to the Hearing Examiners' Office. There are also direct charges for hearing related expenses such as court reporting services.

**Enforcement and Investigation:** Timesheet based staff expenses (personnel, operating and fixed assets) are captured for headquarters and the four regional offices.

**Board Member Expenses (direct charges):** Board member per diem, conference registration fees, business cards, travel expenses and membership dues for national professional organizations.

DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

A	B	C	D	E
COST CATEGORY	FY 2018-2019 ACTUAL EXPENSES	FY 2019-2020 ACTUAL EXPENSES	FY 2020-2021 BUDGET	FY 2020-2021 EXPENSES AS OF 12/29/20
<b>ADMINISTRATIVE COSTS:</b>				
Board Administration	129,233.24	110,140.22	120,000.00	44,291.20
Commissioner's Office	2,590.67	2,189.52	2,000.00	532.92
Revenue Office	1,099.60	993.62	1,000.00	328.16
Departmental Services	15,021.60	10,567.20	12,000.00	5,797.10
Board Member Expenses	8,931.95	7,606.00	10,000.00	1,342.08
<b>LEGAL COSTS:</b>				
Legal Office				
Administration	2,559.97	6,134.33	10,000.00	3,770.41
Prosecution	45,063.47	43,837.55	43,000.00	17,178.43
Counsel	33,534.11	71,204.96	73,000.00	30,760.77
Hearing Expenses	556.03	9,122.25	3,000.00	64.35
Enforcement and Investigation	77,082.19	73,673.63	47,000.00	17,514.89
<b>TOTAL BOARD COSTS:</b>	<b>315,672.83</b>	<b>335,469.28</b>	<b>321,000.00</b>	<b>121,580.31</b>

FINANCIAL STATUS	ACTUAL FY 18-19	ACTUAL FY 19-20	PROPOSED		PROJECTED FY 23-24
			BUDGET FY 20-21	BUDGET FY 21-22	
<b>BEGINNING BALANCE:</b>	(214,606.30)	38,661.02	(276,136.32)	(46,136.32)	(372,136.32)
<b>REVENUE:</b>	568,940.15	20,671.94	551,000.00	20,000.00	855,000.00
<b>TOTAL REVENUE:</b>	<b>354,333.85</b>	<b>59,332.96</b>	<b>274,863.68</b>	<b>(26,136.32)</b>	<b>482,863.68</b>
<b>EXPENSES/BUDGET:</b>	<b>315,672.83</b>	<b>335,469.28</b>	<b>321,000.00</b>	<b>346,000.00</b>	<b>356,000.00</b>
<b>REMAINING BALANCE:</b>	<b>38,661.02</b>	<b>(276,136.32)</b>	<b>(46,136.32)</b>	<b>(372,136.32)</b>	<b>151,863.68</b>
					<b>(169,136.32)</b>

\* Biennial renewal fee and application increase approved to occur in FY22-23

## CATEGORY DESCRIPTION

**BOARD WAGES:** Per diem of \$60/day per board member.

**BOARD BENEFITS:** Paid benefits for social security, medicare, etc against the per diem of \$60/day per board member.

**BOARD TRAVEL:** Regularly scheduled board meetings; special board meetings, hearings, committee meetings; conferences, trainings, special requested board meeting attendance. All travel includes hotel rooms, meals, ground transportation, airline tickets, and shuttle costs per person.

**BOARD CONFERENCE REGISTRATIONS:** Registrations for each participant who is required to pay a conference fee.

**BOARD OFFICE SUPPLIES:** Office supplies used to sustain the board's needs.

**BOARD FREIGHT CHARGES:** Overnight mailing charges to send items to board members.

**BOARD PRINTING COSTS:** Cost to print business cards for board members.

**MEMBERSHIP DUES:** The costs attributed to membership in national and state associations related to board operations.

DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

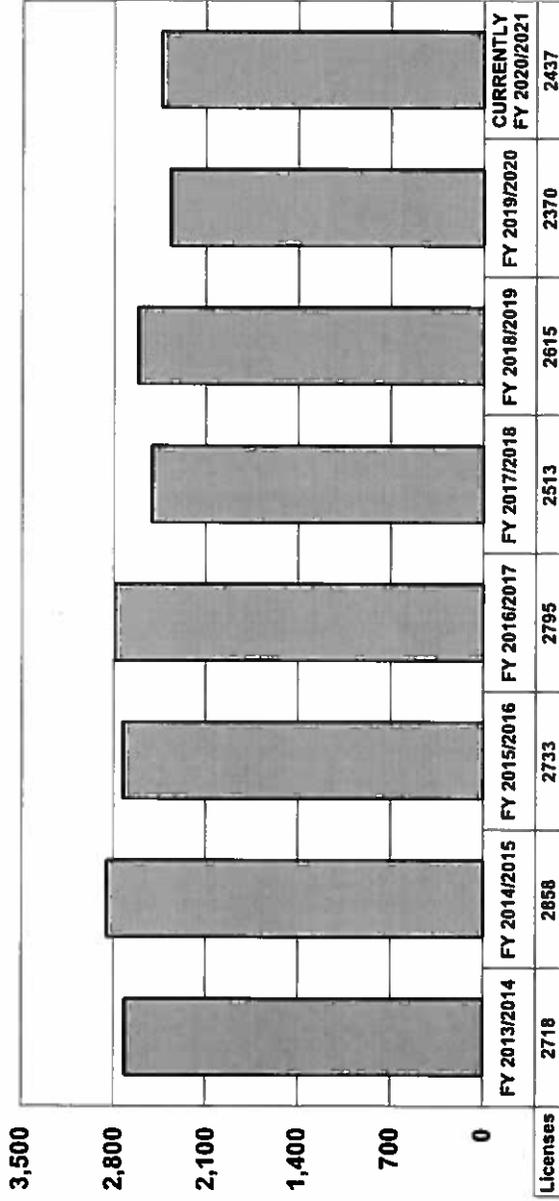
CATEGORY	FY18-19 ACTUAL EXPENSES	FY19-20 ACTUAL EXPENSES	FY20-21 BUDGETED	FY20-21 EXPENSES AS OF 12/29/20	FY21-22 REQUEST
<b><u>BOARD MEMBER EXPENSES:</u></b>					
Board Per Diems	\$2,580.00	\$3,720.00	\$2,950.00	\$960.00	\$2,950.00
Board Benefits	\$225.39	\$318.06	\$600.00	\$82.09	\$600.00
Board Travel	\$4,740.04	\$2,967.94	\$5,000.00	\$0.00	\$5,000.00
Board Conference Registrations	\$1,075.00	\$300.00	\$1,000.00	\$0.00	\$1,000.00
Board Office Supplies	\$11.52	\$0.00	\$50.00	\$0.00	\$50.00
Board Freight Charges	\$0.00	\$0.00	\$50.00	\$0.00	\$50.00
Board Printing Costs	\$0.00	\$0.00	\$50.00	\$0.00	\$50.00
Membership Dues	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00
<b>TOTAL:</b>	<b>\$8,931.95</b>	<b>\$7,606.00</b>	<b>\$10,000.00</b>	<b>\$1,342.09</b>	<b>\$10,000.00</b>

## State Board of Auctioneer Examiners

<b>Actual Biennial Revenue</b>	<b>\$579,735</b>
<b>Actual Biennial Budget/Expenses</b>	<b>\$695,515</b>
<b>Actual Biennial Balance</b>	<b>(\$115,780)</b>

Actual biennial revenue and expenses from FY19-20 and FY20-21 were used to show actual biennial balance.

**STATE BOARD OF AUCTIONEERS  
RENEWABLE LICENSEE COUNTS**



<u>LICENSEES BY CLASS</u>	<u>FY 17-18</u>	<u>FY 18-19</u>	<u>FY 19-20</u>	<u>FY 20-21</u>
Apprentice Auctioneer	283	283	241	248
Auctioneer	1,865	1,938	1,767	1,809
Licensed Auction Company	316	341	307	318
Trading Assistant Company	-	-	6	10
Trading Assistant	49	53	49	52
<b>TOTAL</b>	<b>2,513</b>	<b>2,615</b>	<b>2,370</b>	<b>2,437</b>

State Board of Auctioneers  
Expense and Revenue History Comparison

Cost Center	Actual Expenses FY 12-13	Actual Expenses FY 13-14	Actual Expenses FY 14-15	Actual Expenses FYTD 15-16	Actual Expenses FY16-17	Actual Expenses FY 17-18	Actual Expenses FY 18-19	Actual Expenses FY 19-20	Actual Expenses FY 20-21
BPOA Administration	\$ 68,319.72	\$ 79,504.14	\$ 94,286.30	\$ 84,707.53	\$ 122,976.51	\$ 92,883.10	\$ 129,233.24	\$ 111,294.85	\$ 123,061.83
Commissioner's Office	\$ 2,637.27	\$ 1,982.02	\$ 1,800.99	\$ 1,972.55	\$ 2,449.35	\$ 2,436.70	\$ 2,590.67	\$ 2,181.45	\$ 1,597.50
Revenue Office	\$ 1,115.32	\$ 1,026.15	\$ 1,336.36	\$ 1,144.99	\$ 1,322.82	\$ 1,074.09	\$ 1,099.60	\$ 993.65	\$ 825.76
Departmental Services	\$ 12,173.86	\$ 11,932.60	\$ 13,547.15	\$ 12,350.37	\$ 12,157.58	\$ 14,291.92	\$ 15,021.60	\$ 10,567.20	\$ 11,594.20
Board Member Expenses	\$ 6,373.57	\$ 7,132.57	\$ 6,535.90	\$ 3,358.27	\$ 3,717.94	\$ 6,952.55	\$ 8,931.95	\$ 7,606.00	\$ 2,496.64
Legal Administration Expenses	\$ 75,387.38	\$ 110,869.24	\$ 139,791.89	\$ 6,336.55	\$ 3,298.55	\$ 1,259.77	\$ 2,559.97	\$ 6,145.77	\$ 7,053.02
Prosecution Expenses	\$ 13,451.12	\$ 15,853.16	\$ 34,270.01	\$ 58,717.80	\$ 100,286.01	\$ 87,469.74	\$ 45,063.47	\$ 43,830.74	\$ 66,372.21
Legal Counsel Expenses	\$ -	\$ -	\$ -	\$ 32,094.91	\$ 54,176.45	\$ 84,648.46	\$ 33,534.11	\$ 71,600.32	\$ 49,358.40
Hearing Expenses	\$ 9,026.91	\$ 34,906.70	\$ 38,195.32	\$ 13,700.83	\$ 8,182.74	\$ 8,065.43	\$ 556.03	\$ 9,122.25	\$ 2,411.31
Bur. Of Enforcement & Invest. Expenses	\$ 109,543.60	\$ 125,564.28	\$ 73,021.73	\$ 67,030.49	\$ 80,140.10	\$ 94,225.68	\$ 77,082.19	\$ 73,237.63	\$ 94,164.15
<b>TOTAL</b>	\$ 298,028.75	\$ 388,770.86	\$ 402,785.65	\$ 281,414.29	\$ 388,708.05	\$ 393,307.44	\$ 315,672.83	\$ 336,579.86	\$ 358,935.02

Revenue By Source	Actual Revenue FY 12-13	Actual Revenue FY13-14	Actual Revenue FY 14-15	Actual Revenue FY 15-16	Actual Revenue FY16-17	Actual Revenue FY 17-18	Actual Revenue FY 18-19	Actual Revenue FY 19-20	Actual Revenue FY 20-21
Renewals	472,165.00	13,120.00	478,055.00	9,695.00	548,195.00	9,790.00	555,705.00	10,010.00	517,370.00
Applications	12,465.00	12,250.00	9,140.00	7,840.00	13,220.00	9,640.00	8,305.00	6,517.00	6,000.00
Letters of Good Standing	625.00	990.00	980.00	505.00	420.00	405.00	480.00	418.44	2,400.00
Civil Penalties	3,750.00	7,500.00	12,231.92	6,190.00	0.00	500.00	2,900.00	2,231.87	17,917.64
Act 48 Citations	2,860.00	4,000.00	4,000.00	8,500.00	1,000.00	8,500.00	0.00	0.00	5,687.83
Investigations	0.00	0.00	1,387.07	0.00	0.00	0.00	0.00	0.00	5,934.14
Licensee Lists	3,004.31	3,704.52	4,154.82	3,916.49	2,341.08	1,594.02	1,550.15	1,267.63	3,980.00
<b>TOTAL REVENUE</b>	494,869.31	41,564.52	509,948.81	36,646.49	565,176.08	30,429.02	568,940.15	20,444.94	559,289.61

State Board of Auctioneer Examiners  
No Change

Renewal February of odd years  
Last fee increase effective February 2015, Board approved 7/2012

LICENSE CLASSES	LICENSE COUNT	CURRENT RENEWAL FEE	TOTAL RENEWAL FEES
Apprentice Auctioneer	248	\$ 130.00	\$ 32,240.00
Auctioneer	1,809	\$ 260.00	\$ 470,340.00
Licensed Auction Company	318	\$ 260.00	\$ 82,680.00
Trading Assistant Company	10	\$ 100.00	\$ 1,000.00
Trading Assistant	52	\$ 100.00	\$ 5,200.00
	<b>2,437</b>		<b>\$ 591,460.00</b>
			<b>\$ 23,000.00</b>
			<b>\$ 614,460.00</b>

TOTAL RENEWAL REVENUE: \$ 591,460.00  
 TOTAL NON-RENEWAL OTHER REVENUE: \$ 23,000.00  
 TOTAL BOARD REVENUE: \$ 614,460.00

Renewal Year \$ 594,000.00  
 Non-Renewal Year \$ 21,000.00

FINANCIAL STATUS	Actual FY 18-19	Actual FY 19-20	Actual FY 20-21	Projected FY 21-22	Projected FY 22-23	Projected FY 23-24	Projected FY 24-25	Projected FY 25-26	Projected FY 26-27
Beginning Balance:	(214,606.30)	38,661.02	(277,473.90)	(77,119.31)	(402,674.37)	(174,384.76)	(509,939.82)	(291,650.21)	(429,915.66)
Revenue:	568,940.15	20,444.94	559,289.61	20,444.94	559,289.61	20,444.94	559,289.61	20,444.94	559,289.61
Total Available:	354,333.85	59,105.96	281,815.71	(56,674.37)	156,615.24	(153,939.82)	49,349.79	(271,205.27)	129,373.95
Expenses/Budget:	315,672.83	336,579.86	358,935.02	346,000.00	331,000.00	356,000.00	341,000.00	367,000.00	351,000.00
Remaining Balance:	38,661.02	(277,473.90)	(77,119.31)	(402,674.37)	(174,384.76)	(509,939.82)	(291,650.21)	(638,205.27)	(221,626.05)

State Board of Auctioneer Examiners  
**PROPOSED BIENNIAL RENEWAL FEE INCREASE - EFFECTIVE FY 21-22**

RENEWAL LICENSE CLASSES	CURRENT RENEWAL FEE		TOTAL RENEWAL FEES		FY 22-23 & FY 23-24 (Increase Application and Renewal Fees)			FY 24-25 & FY 25-26 (Increase Application and Renewal Fees)			FY 25-26 & FY 26-27 (Increase Application and Renewal Fees)		
	LICENSE COUNT	RENEWAL FEE	LICENSE COUNT	RENEWAL FEES	LICENSE COUNT	RENEWAL FEE	RENEWAL FEES	LICENSE COUNT	RENEWAL FEE	RENEWAL FEES	LICENSE COUNT	RENEWAL FEE	RENEWAL FEES
Apprentice Auctioneer	248	\$ 130.00	\$ 32,240.00	248	\$ 200.00	\$ 49,600.00	248	\$ 210.00	\$ 52,080.00	248	\$ 215.00	\$ 53,320.00	
Auctioneer	1,809	\$ 260.00	\$ 470,340.00	1,809	\$ 400.00	\$ 723,600.00	1,809	\$ 410.00	\$ 741,690.00	1,809	\$ 415.00	\$ 750,735.00	
Licensed Auction Company	318	\$ 260.00	\$ 82,680.00	318	\$ 400.00	\$ 127,200.00	318	\$ 410.00	\$ 130,380.00	318	\$ 415.00	\$ 131,970.00	
Trading Assistant Company	10	\$ 100.00	\$ 1,000.00	10	\$ 200.00	\$ 2,000.00	10	\$ 210.00	\$ 2,100.00	10	\$ 215.00	\$ 2,150.00	
Trading Assistant	52	\$ 100.00	\$ 5,200.00	52	\$ 200.00	\$ 10,400.00	52	\$ 210.00	\$ 10,920.00	52	\$ 215.00	\$ 11,180.00	
	2,437	\$ 591,460.00	\$ 591,460.00	2,437	\$ 912,800.00	\$ 912,800.00	2,437	\$ 937,170.00	\$ 937,170.00	2,437	\$ 949,355.00	\$ 949,355.00	
		\$ 591,460.00	\$ 591,460.00		\$ 912,800.00	\$ 912,800.00		\$ 937,170.00	\$ 937,170.00		\$ 949,355.00	\$ 949,355.00	
		\$ 23,000.00	\$ 23,000.00		\$ 44,470.00	\$ 44,470.00		\$ 48,960.00	\$ 48,960.00		\$ 53,450.00	\$ 53,450.00	
		\$ 614,460.00	\$ 614,460.00		\$ 957,270.00	\$ 957,270.00		\$ 986,130.00	\$ 986,130.00		\$ 1,002,805.00	\$ 1,002,805.00	

TOTAL RENEWAL REVENUE: \$ 591,460.00  
 TOTAL NON-RENEWAL OTHER REVENUE: \$ 23,000.00  
 TOTAL BOARD REVENUE: \$ 614,460.00

Renewal Year \$ 594,000.00  
 Non-Renewal Year \$ 21,000.00  
 \$ 922,000.00  
 \$ 36,000.00  
 \$ 948,000.00  
 \$ 38,000.00

FINANCIAL STATUS	RENEWAL PERIOD 1			RENEWAL PERIOD 2			RENEWAL PERIOD 3		
	Actual FY 18-19	Actual FY 19-20	Actual FY 20-21	Projected FY 21-22	Projected FY 22-23	Projected FY 23-24	Projected FY 24-25	Projected FY 25-26	Projected FY 26-27
Beginning Balance:	(214,606.30)	38,661.02	(277,473.90)	(77,119.31)	(387,119.31)	203,880.69	(114,119.31)	492,880.69	165,880.69
Revenue:	588,940.15	20,444.94	559,289.61	36,000.00	922,000.00	36,000.00	948,000.00	40,000.00	962,000.00
Total Available:	354,333.85	59,105.96	281,815.71	(41,119.31)	534,880.69	241,880.69	833,880.69	532,880.69	1,127,880.69
Expenses/Budget:	315,672.83	336,579.86	358,935.02	346,000.00	331,000.00	356,000.00	341,000.00	367,000.00	351,000.00
Remaining Balance:	38,661.02	(277,473.90)	(77,119.31)	(387,119.31)	203,880.69	(114,119.31)	492,880.69	165,880.69	776,880.69

Application - Current vs. Proposed

Licensee Type	Current			1st Renewal Period			2nd Renewal Period			3rd Renewal Period			
	Annual	Biennial	Cost	Annual	Biennial	Cost	Annual	Biennial	Cost	Annual	Biennial	Cost	Total
Apprentice Auctioneer app	40	80	\$ 30.00	40	80	\$ 145.00	40	80	\$ 160.00	40	80	\$ 175.00	\$ 14,000.00
Auctioneer app	25	50	\$ 50.00	25	50	\$ 180.00	25	50	\$ 200.00	25	50	\$ 220.00	\$ 11,000.00
Course of study application	1	2	\$ 45.00	1	2	\$ 180.00	1	2	\$ 200.00	1	2	\$ 220.00	\$ 440.00
Licensed Auction Company app	45	90	\$ 50.00	45	90	\$ 120.00	45	90	\$ 135.00	45	90	\$ 150.00	\$ 13,500.00
Reciprocal Auctioneer app	10	20	\$ 200.00	10	20	\$ 120.00	10	20	\$ 135.00	10	20	\$ 150.00	\$ 3,000.00
Special License app	10	20	\$ 100.00	10	20	\$ 120.00	10	20	\$ 135.00	10	20	\$ 150.00	\$ 3,000.00
Trading Assistant app	10	20	\$ 100.00	10	20	\$ 120.00	10	20	\$ 135.00	10	20	\$ 150.00	\$ 3,000.00
Trading Assistant Co. app			\$ 17,490.00			\$ 38,960.00			\$ 43,450.00			\$ 47,940.00	

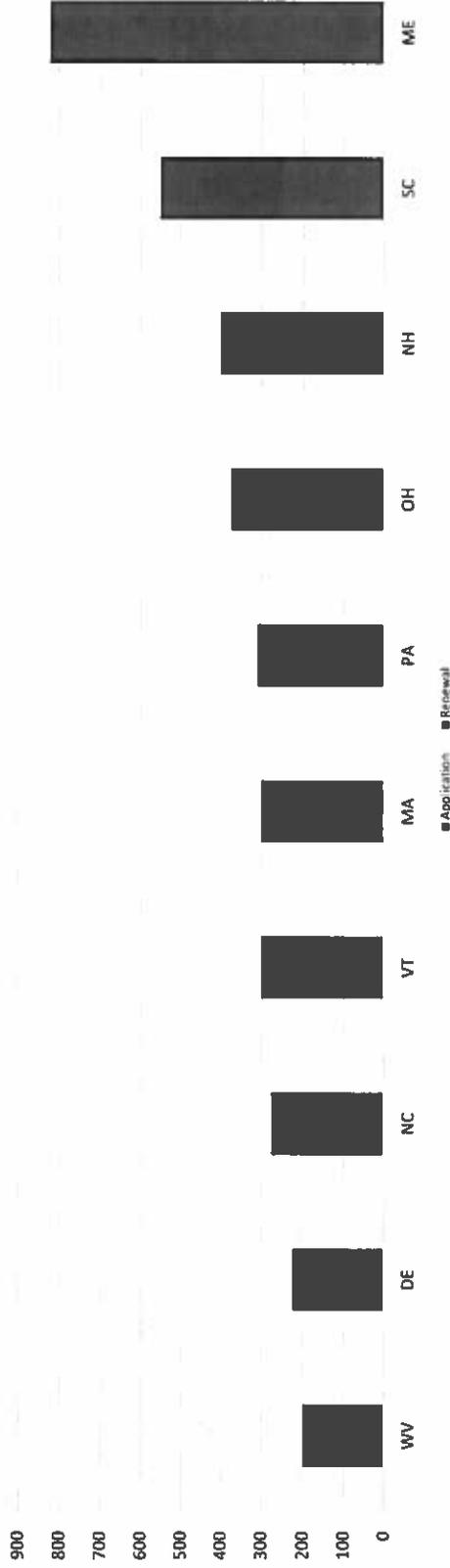
State Board of Auctioneer Examiners  
Application and Renewal Rates as Compared to Surrounding States

	PA	OH	WV	ME	MA	NH
<b>Auctioneer</b>						
Initial Licensing	\$50	\$125-\$225	\$100	\$421	\$100	\$200
Renewal Fees	\$260	\$200	\$100	\$400	\$200	\$200

continued...	VT	DE	NC	SC
<b>Auctioneer</b>				
Initial Licensing	\$100	\$75	\$125	\$200-\$300
Renewal Fees	\$200	\$150	\$150	\$300

Information based on chart provided by: The Knee Center for the Study of Occupational Regulation.

Auctioneer Cost Analysis



# FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

## Fee Title, Rate and Estimated Collections:

Auctioneer Application:		\$180.00
Estimated yearly revenue:	\$4,500	(25 applications x \$180.00)

## Fee Description:

The fee will be charged to every applicant for an Auctioneer license.

## Fee Objective:

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

## Fee-Related Activities and Costs:

Clerical Staff review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Board Administrator review	(1hr)	\$60.77
Transaction Fee		\$4.36
Administrative Overhead:		\$10.00
	Total Estimated Cost:	\$178.89
	Proposed Fee:	\$180.00

### **Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$180.00 be established for processing an application for an Auctioneer license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

# FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

## Fee Title, Rate and Estimated Collections:

Apprentice Auctioneer application: \$145.00

Estimated yearly revenue: \$5,800 (40 applications x \$145.00)

## Fee Description:

The fee will be charged to every applicant for an Apprentice Auctioneer license.

## Fee Objective:

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

## Fee-Related Activities and Costs:

Clerical Staff review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Board Attorney review	(.25hr)	\$26.88
Transaction Fee		\$3.52
Administrative Overhead:		\$10.00
	<b>Total Estimated Cost:</b>	<b>\$144.16</b>
	<b>Proposed Fee:</b>	<b>\$145.00</b>

### **Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$145.00 be established for processing an application for an Apprentice Auctioneer license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

## FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

### **Fee Title, Rate and Estimated Collections:**

Licensed Auction Company Application: \$120.00

Estimated yearly revenue: \$5,400 (45 applications x \$120.00)

### **Fee Description:**

The fee will be charged to every applicant for a Licensed Auction Company license.

### **Fee Objective:**

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

### **Fee-Related Activities and Costs:**

Clerical Staff review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Transaction Fee		\$2.84
Administrative Overhead:		\$10.00
	Total Estimated Cost:	\$116.60
	Proposed Fee:	\$120.00

**Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$120.00 be established for processing an application for a Licensed Auction Company license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

## FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

### **Fee Title, Rate and Estimated Collections:**

Auction School Course of Study application:	\$180.00
Estimated yearly revenue: \$180	(1 application x \$180.00)

### **Fee Description:**

The fee will be charged to every applicant for an Auction School Course of Study license.

### **Fee Objective:**

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

### **Fee-Related Activities and Costs:**

Board Administrator review	(1hr)	\$60.77
Board Member review	(1hr)	\$104.00
Transaction Fee		\$4.37
Administrative Overhead:		\$10.00
	Total Estimated Cost:	\$179.14
	Proposed Fee:	\$180.00

### **Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$180.00 be established for processing an application for an Auction School Course of Study license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

## FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

### **Fee Title, Rate and Estimated Collections:**

Trading Assistant application: \$120.00

Estimated yearly revenue: \$1,200 (10 applications x \$120.00)

### **Fee Description:**

The fee will be charged to every applicant for a Trading Assistant license.

### **Fee Objective:**

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

### **Fee-Related Activities and Costs:**

Clerical review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Transaction Fee		\$2.84
Administrative Overhead:		\$10.00
	Total Estimated Cost:	\$116.60
	Proposed Fee:	\$120.00

### **Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$120.00 be established for processing an application for a Trading Assistant license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

## FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

### **Fee Title, Rate and Estimated Collections:**

Trading Assistant Company application: \$120.00

Estimated yearly revenue: \$1,200 (10 applications x \$120.00)

### **Fee Description:**

The fee will be charged to every applicant for a Trading Assistant Company license.

### **Fee Objective:**

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

### **Fee-Related Activities and Costs:**

Clerical review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Transaction Fee		\$2.84
Administrative Overhead:		\$10.00
	<b>Total Estimated Cost:</b>	<b>\$116.60</b>
	<b>Proposed Fee:</b>	<b>\$120.00</b>

### **Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$120.00 be established for processing an application for a Trading Assistant Company license.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

## FEE REPORT FORM

**Agency:** State - BPOA

**Date:** August 14, 2019

**Contact:** K. Kalonji Johnson, Acting Commissioner  
Bureau of Professional & Occupational Affairs

**Phone No.** 783-7194

### **Fee Title, Rate and Estimated Collections:**

Special License application: \$120.00

Estimated yearly revenue: \$1,200 (10 applications x \$120.00)

### **Fee Description:**

The fee will be charged to every applicant for a Special License.

### **Fee Objective:**

The fee should (1) offset the identifiable costs incurred by the State Board of Auctioneer Examiners to process an application and (2) defray a portion of the Board's administrative overhead.

### **Fee-Related Activities and Costs:**

Clerical Staff review	(1hr)	\$49.21
Clerical Supervisor review	(1hr)	\$54.55
Transaction Fee		\$2.84
Administrative Overhead:		\$10.00
	Total Estimated Cost:	\$116.60
	Proposed Fee:	\$120.00

**Analysis, Comment, and Recommendation:**

It is recommended that a fee of \$120.00 be established for processing an application for a Special License.

Board Staff – Applications are received online and through the mail. Staff opens, date stamps, and distributes the applications received via mail. Paper applications, including any supporting documents, are scanned into the licensing system. Miscellaneous paperwork that was received prior to the application is pulled and scanned into the licensing system. Staff reviews the application by ensuring all documents are received, complete and correct. Staff makes appropriate notations in the applicant's file through the licensing system. If any documents are not received and/or are incorrect, staff makes notations in the licensing system and an email is generated. In addition to evaluating the materials received, applications may require staff to complete additional research or clearance reports online. Applications with disciplinary/legal issues will require staff to review lengthy legal documents. When complete, staff electronically sends any applications with disciplinary/legal action to the Board's Legal Counsel for review. When an application is ready to be issued, staff issues the license through the licensing system.

# Attachment B

**AUCTIONEER  
OBTAINED BY EXAMINATION**

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Auctioneer  
 → Obtained By: Examination

2021

CheckList Name	Instructions
Application	<p><b>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</b></p> <ul style="list-style-type: none"> <li>• Served an apprenticeship as a licensed apprentice auctioneer for a period of not less than two years in the employ of a qualified auctioneer and participated for compensation in no less than 30 auctions.</li> <li>• Successfully completed a prescribed course of study in auctioneering of at least 20 credit hours, including two credit hours of practicum or cooperative practical experience, at a school approved by the board.</li> <li>• Successfully complete a prescribed course of study in auctioneering which <u>requires fewer than 20 credit hours and served an apprenticeship as a licensed apprentice auctioneer</u> for a period of not less than one year in the employ of a qualified sponsor and participating for compensation in no less than 15 auctions.</li> </ul> <p><b>Schools currently approved by the board:</b></p> <ul style="list-style-type: none"> <li>• Harrisburg Area Community College (HACC),</li> <li>• Reading Area Community College (RACC)</li> <li>• Clarion University-Venango Campus.</li> </ul>
Application Fee	<p>An application fee of \$80.00 is required. Please note that all fees are non-refundable. <u>80.00</u></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ul style="list-style-type: none"> <li>• The bonding company <b>MUST</b> be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania. • Bond must indicate that it is for an "Auctioneer."</li> <li>• The bond form must be signed and witnessed.</li> <li>• The bonding company <b>MUST</b> sign the bond and imprint their seal in the appropriate area.</li> <li>• A certified copy of the Power of Attorney <b>MUST</b> be attached to the bond.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this</p>

CheckList Name	Instructions
	<p>application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
<b>Educational Transcripts</b>	Request an official transcript be sent directly from the college/university to Dasher.
<b>Eligibility Letter</b>	
<b>Employment Verification</b>	
<b>Experience</b>	<p>If applying based on at least a two year apprenticeship-provide employing auctioneer data and a list of at least 30 auctions you have conducted over the previous two years.</p> <p>If applying based on the completion of a prescribed course of study and at least a one year apprenticeship-provide employing auctioneer data and a list of at least 15 auctions.</p>
<b>Fees to Testing Organizations</b>	<p>Examination fees for state-specific examinations are established by agreement between the Commonwealth and the third-party testing organizations that develop, administer and grade the examinations. Examination candidates shall pay the required examination fees directly to the relevant testing organizations. Examination fees are paid separate from the application fees.</p> <p><b>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</b></p>
<b>Pennsylvania Exam</b>	Auctioneer examination result must be received DIRECTLY from the testing service.

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Auctioneer

→ Obtained By: Examination

2023

CheckList Name	Instructions
Application	<p><b>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</b></p> <ul style="list-style-type: none"> <li>• Served an apprenticeship as a licensed apprentice auctioneer for a period of not less than two years in the employ of a qualified auctioneer and participated for compensation in no less than 30 auctions.</li> <li>• Successfully completed a prescribed course of study in auctioneering of at least 20 credit hours, including two credit hours of practicum or cooperative practical experience, at a school approved by the board.</li> <li>• Successfully complete a prescribed course of study in auctioneering which requires fewer than 20 credit hours and served an apprenticeship as a licensed apprentice auctioneer for a period of not less than one year in the employ of a qualified sponsor and participating for compensation in no less than 15 auctions.</li> </ul> <p><b>Schools currently approved by the board:</b></p> <ul style="list-style-type: none"> <li>• Harrisburg Area Community College (HACC),</li> <li>• Reading Area Community College (RACC)</li> <li>• Clarion University-Venango Campus.</li> </ul>
Application Fee	<p>An application fee of \$3000 is required. Please note that all fees are non-refundable. <i>2000</i></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ul style="list-style-type: none"> <li>• The bonding company MUST be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania. • Bond must indicate that it is for an "Auctioneer."</li> <li>• The bond form must be signed and witnessed.</li> <li>• The bonding company MUST sign the bond and imprint their seal in the appropriate area.</li> <li>• A certified copy of the Power of Attorney MUST be attached to the bond.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this</p>

CheckList Name	Instructions
	<p>application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
<b>Educational Transcripts</b>	Request an official transcript be sent directly from the college/university to Dasher.
<b>Eligibility Letter</b>	
<b>Employment Verification</b>	
<b>Experience</b>	<p>If applying based on at least a two year apprenticeship-provide employing auctioneer data and a list of at least 30 auctions you have conducted over the previous two years.</p> <p>If applying based on the completion of a prescribed course of study and at least a one year apprenticeship-provide employing auctioneer data and a list of at least 15 auctions.</p>
<b>Fees to Testing Organizations</b>	<p>Examination fees for state-specific examinations are established by agreement between the Commonwealth and the third-party testing organizations that develop, administer and grade the examinations. Examination candidates shall pay the required examination fees directly to the relevant testing organizations. Examination fees are paid separate from the application fees.</p> <p><b>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</b></p>
<b>Pennsylvania Exam</b>	Auctioneer examination result must be received DIRECTLY from the testing service.

Evaluation results:  
 → Board/Commission: Auctioneer Examiners  
 → License Type: Auctioneer  
 → Obtained By: Examination

2025

CheckList Name	Instructions
Application	<p><b>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</b></p> <ul style="list-style-type: none"> <li>• Served an apprenticeship as a licensed apprentice auctioneer for a period of not less than two years in the employ of a qualified auctioneer and participated for compensation in no less than 30 auctions.</li> <li>• Successfully completed a prescribed course of study in auctioneering of at least 20 credit hours, including two credit hours of practicum or cooperative practical experience, at a school approved by the board.</li> <li>• Successfully complete a prescribed course of study in auctioneering which <u>requires fewer than 20 credit hours and served an apprenticeship</u> as a licensed apprentice auctioneer for a period of not less than one year in the employ of a qualified sponsor and participating for compensation in no less than 15 auctions.</li> </ul> <p><b>Schools currently approved by the board:</b></p> <ul style="list-style-type: none"> <li>• Harrisburg Area Community College (HACC),</li> <li>• Reading Area Community College (RACC)</li> <li>• Clarion University-Venango Campus.</li> </ul>
Application Fee	<p>An application fee of <del>\$300</del> is required. Please note that all fees are non-refundable. <u>200.00</u></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ul style="list-style-type: none"> <li>• The bonding company <b>MUST</b> be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania. • Bond must indicate that it is for an "Auctioneer."</li> <li>• The bond form must be signed and witnessed.</li> <li>• The bonding company <b>MUST</b> sign the bond and imprint their seal in the appropriate area.</li> <li>• A certified copy of the Power of Attorney <b>MUST</b> be attached to the bond.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency <b>that is the official repository for criminal history record information</b> for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this</p>

CheckList Name	Instructions
	<p>application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
<b>Educational Transcripts</b>	Request an official transcript be sent directly from the college/university to Dasher.
<b>Eligibility Letter</b>	
<b>Employment Verification</b>	
<b>Experience</b>	<p>If applying based on at least a two year apprenticeship-provide employing auctioneer data and a list of at least 30 auctions you have conducted over the previous two years.</p> <p>If applying based on the completion of a prescribed course of study and at least a one year apprenticeship-provide employing auctioneer data and a list of at least 15 auctions.</p>
<b>Fees to Testing Organizations</b>	<p>Examination fees for state-specific examinations are established by agreement between the Commonwealth and the third-party testing organizations that develop, administer and grade the examinations. Examination candidates shall pay the required examination fees directly to the relevant testing organizations. Examination fees are paid separate from the application fees.</p> <p><b>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</b></p>
<b>Pennsylvania Exam</b>	Auctioneer examination result must be received DIRECTLY from the testing service.

**AUCTIONEER**  
**OBTAINED BY RECIPROCITY/ENDORSEMENT**

Evaluation results:  
 → Board/Commission: Auctioneer Examiners  
 → License Type: Auctioneer  
 → Obtained By: Reciprocity/Endorsement

2021

CheckList Name	Instructions
Application	<p>The Board has the authority to grant licensure by reciprocity or endorsement to applicants for auctioneer license:</p> <ol style="list-style-type: none"> <li><b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth.</li> <li>The licensing laws of your current licensing state must extend to licensees of this Commonwealth <u>the same reciprocal rights and privileges in your state</u> without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <ol style="list-style-type: none"> <li><b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an auctioneer in another state, territory or country.</li> <li>The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>Applicants must demonstrate competency in the profession.</li> <li>Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <p>All items listed must be completed in order to process the application. If the application is not completed in its entirety or the required documents are not received, processing time will be delayed.</p>
Application Fee	<p>Application Fee: <del>\$50.00</del> <u>150.00</u> <b>NON-REFUNDABLE AND NON-TRANSFERABLE.</b></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ol style="list-style-type: none"> <li>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>Bond must indicate that it is for an "Auctioneer."</li> <li>Bond form must be signed, along with a witness.</li> <li>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> </ol>

CheckList Name	Instructions
	<p>6. A certified copy of the Power of Attorney must be attached to the bond.</p> <p>7. Date of the bond and Power of Attorney must be the same.</p>
Criminal History Check	<p>Provide a recent Criminal History Record Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. This report can be sent to you and forwarded to the Board with your application. For a Pennsylvania CHRC, this can be done online at <a href="http://epatch.state.pa.us">http://epatch.state.pa.us</a>.</p> <p>For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p>
	<p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
License Certification	<p><b>1. If applying for licensure by reciprocity.</b> Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><b>2. If applying for licensure by endorsement.</b> Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a></i>  <i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>PO Box 2649</i>  <i>Harrisburg PA 17105</i></p>
Resume	<p>If you have not been established in the business of auctioneering for the previous two years, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Auctioneer  
 → Obtained By: Reciprocity/Endorsement

2023

CheckList Name	Instructions
Application	<p>The Board has the authority to grant licensure by reciprocity or endorsement to applicants for auctioneer license:</p> <ol style="list-style-type: none"> <li><b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth.</li> <li>The licensing laws of your current licensing state must extend to licensees of this Commonwealth <u>the same reciprocal rights and privileges in your state</u> without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <ol style="list-style-type: none"> <li><b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an auctioneer in another state, territory or country.</li> <li>The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>Applicants must demonstrate competency in the profession.</li> <li>Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <p>All items listed must be completed in order to process the application. If the application is not completed in its entirety or the required documents are not received, processing time will be delayed.</p>
Application Fee	<p><b>Application Fee: \$50.00 NON-REFUNDABLE AND NON-TRANSFERABLE.</b></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ol style="list-style-type: none"> <li>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>Bond must indicate that it is for an "Auctioneer."</li> <li>Bond form must be signed, along with a witness.</li> <li>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> </ol>

CheckList Name	Instructions
	<p>6. A certified copy of the Power of Attorney must be attached to the bond. 7. Date of the bond and Power of Attorney must be the same.</p>
Criminal History Check	<p>Provide a recent Criminal History Record Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. This report can be sent to you and forwarded to the Board with your application. For a Pennsylvania CHRC, this can be done online at <a href="http://epatch.state.pa.us">http://epatch.state.pa.us</a>.</p> <p>For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p>
	<p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
License Certification	<p><b>1. If applying for licensure by reciprocity.</b> Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><b>2. If applying for licensure by endorsement.</b> Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a></i> <i>Mailing Address:</i> <i>State Board of Auctioneer Examiners</i> <i>PO Box 2649</i> <i>Harrisburg PA 17105</i></p>
Resume	<p>If you have not been established in the business of auctioneering for the previous two years, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Auctioneer

→ Obtained By: Reciprocity/Endorsement

2025

CheckList Name	Instructions
Application	<p>The Board has the authority to grant licensure by reciprocity or endorsement to applicants for auctioneer license:</p> <ol style="list-style-type: none"> <li>1. <b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>2. The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth.</li> <li>3. The licensing laws of your current licensing state must extend to licensees of this Commonwealth the same reciprocal rights and privileges in your state without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>4. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <ol style="list-style-type: none"> <li>1. <b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an auctioneer in another state, territory or country.</li> <li>2. The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>3. Applicants must demonstrate competency in the profession.</li> <li>4. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ol> <p>All items listed must be completed in order to process the application. If the application is not completed in its entirety or the required documents are not received, processing time will be delayed.</p>
Application Fee	<p><b>Application Fee: \$30.00 NON-REFUNDABLE AND NON-TRANSFERABLE.</b></p>
Bond	<p><b>REQUIRED BOND INFORMATION:</b></p> <ol style="list-style-type: none"> <li>1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>3. Bond must indicate that it is for an "Auctioneer."</li> <li>4. Bond form must be signed, along with a witness.</li> <li>5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> </ol>

CheckList Name	Instructions
	<p>6. A certified copy of the Power of Attorney must be attached to the bond.</p> <p>7. Date of the bond and Power of Attorney must be the same.</p>
<p><b>Criminal History Check</b></p>	<p>Provide a recent Criminal History Record Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. This report can be sent to you and forwarded to the Board with your application. For a Pennsylvania CHRC, this can be done online at <a href="http://epatch.state.pa.us">http://epatch.state.pa.us</a>.</p> <p>For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
<p><b>License Certification</b></p>	<p><b>1. If applying for licensure by reciprocity.</b> Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><b>2. If applying for licensure by endorsement.</b> Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a></i>  <i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>PO Box 2649</i>  <i>Harrisburg PA 17105</i></p>
<p><b>Resume</b></p>	<p>If you have not been established in the business of auctioneering for the previous two years, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

# **AUCTIONEER RENEWAL**

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

AUCTIONEER  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: \$400.00

License No. AU \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

2021

Your license will expire on February 28, 2019. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required.
- I have a change of name and/or address. Complete only if name and/or address differs from above information.

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

New Name: \_\_\_\_\_

**ADDRESS CHANGE**

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

**FEE – Payable to “Commonwealth of Pennsylvania”**  
**Write your license number on your payment. ⇨ ⇨**  
**LATE FEE - \$5.00 per month assessed when renewing**  
**after February 28, 2021. Fees are non-refundable.**  
**Processing fee of \$20.00 charged for returned payment.**

**\$400.00**  
**BIENNIAL RENEWAL**

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

If you answer YES to questions 3 through 8 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
<p>1. Do you hold a current bond? If yes, provide your Pennsylvania bond number: _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:</p>		
<p>3. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>6. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		
<p>9. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

AUCTIONEER  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: ~~\$400.00~~ 475.00

2023  
License No. AU \_\_\_\_\_

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

2023  
Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required.
- I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

New Name: \_\_\_\_\_

ADDRESS CHANGE

Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State and Zip Code: \_\_\_\_\_

FEE - Payable to "Commonwealth of Pennsylvania"  
Write your license number on your payment. ⇨ ⇨  
LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable.  
Processing fee of \$20.00 charged for returned payment.

475102  
~~\$400.00~~  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

If you answer YES to questions 3 through 8 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
<p>1. Do you hold a current bond? If yes, provide your Pennsylvania bond number: _____</p> <p>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:</p>		
<p>3. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>6. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		
<p>9. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

AUCTIONEER  
RENEWAL APPLICATION <sup>2025</sup>  
EXPIRATION DATE: FEBRUARY 28, ~~2021~~  
FEE: ~~\$400.00~~  
500.00

License No. AU \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

<sup>2025</sup>  
Your license will expire on February 28, ~~2021~~. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, ~~2021~~ <sup>2025</sup> within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ <sup>2025</sup> and request inactive status. No fee is required.
- I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

New Name: \_\_\_\_\_

ADDRESS CHANGE

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇔ ⇔  
LATE FEE - \$5.00 per month assessed when renewing after February 28, ~~2021~~ <sup>2025</sup>. Fees are non-refundable.  
Processing fee of \$20.00 charged for returned payment.

~~\$400.00~~  
500.00  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

If you answer YES to questions 3 through 8 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
<p>1. Do you hold a current bond? If yes, provide your Pennsylvania bond number: _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:</p>		
<p>3. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>6. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		
<p>9. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

# AUCTIONEER REACTIVATION

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – AUCTIONEER  
 Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2					
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$260.00</td> <td>Total Due</td> <td>\$260.00</td> <td>400.00</td> </tr> </table>	Renewal Fee	\$260.00	Total Due	\$260.00	400.00
Renewal Fee	\$260.00	Total Due	\$260.00	400.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am **REQUIRED** pursuant to Act 6 of 2018 to **NOTIFY** the Bureau of Professional and Occupational Affairs **WITHIN 30 DAYS** of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction: _____ _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – AUCTIONEER  
 Biennial Renewal Cycle – March 1, 2019 – February 28, 2021  
 2023 2025

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b><u>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</u></b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2					
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b><u>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</u></b>					
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$240.00</td> <td>Total Due</td> <td>\$240.00</td> <td>475100</td> </tr> </table>	Renewal Fee	\$240.00	Total Due	\$240.00	475100
Renewal Fee	\$240.00	Total Due	\$240.00	475100	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____ _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – AUCTIONEER  
 Biennial Renewal Cycle – March 1, 2025 – February 28, 2027

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2				
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>				
<table border="1"> <tr> <td>Renewal Fee</td> <td>500.00</td> <td>Total Due</td> <td>500.00</td> </tr> </table>	Renewal Fee	500.00	Total Due	500.00
Renewal Fee	500.00	Total Due	500.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**APPRENTICE AUCTIONEER OBTAINED BY  
APPLICATION**

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Application

2021

CheckList Name	Instructions
Application	To qualify for an apprentice auctioneer license, an individual must be sponsored and employed for compensation by a qualified sponsor who employs no more than one other apprentice auctioneer.
Application Fee	An application fee of <del>\$39.00</del> <u>145.00</u> is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
Sponsoring Auctioneer	To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.

<b>CheckList Name</b>	<b>Instructions</b>
<b>Supporting Documents</b>	If you are a minor you must submit a copy of your work permit.

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	To qualify for an apprentice auctioneer license, an individual must be sponsored and employed for compensation by a qualified sponsor who employs no more than one other apprentice auctioneer.
Application Fee	An application fee of <del>\$30.00</del> <sup>160.00</sup> is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency <b>that is the official repository for criminal history record information</b> for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
Sponsoring Auctioneer	To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.

<b>CheckList Name</b>	<b>Instructions</b>
<b>Supporting Documents</b>	If you are a minor you must submit a copy of your work permit.

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Application

2025

CheckList Name	Instructions
Application	To qualify for an apprentice auctioneer license, an individual must be sponsored and employed for compensation by a qualified sponsor who employs no more than one other apprentice auctioneer.
Application Fee	An application fee of <del>\$30.00</del> <sup>175.00</sup> is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency <b>that is the official repository for criminal history record information</b> for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
Sponsoring Auctioneer	To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.

<b>CheckList Name</b>	<b>Instructions</b>
<b>Supporting Documents</b>	If you are a minor you must submit a copy of your work permit.

**APPRENTICE AUCTIONEER OBTAINED BY  
RECIPROCITY/ENDORSEMENT**

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Reciprocity/Endorsement

2021

CheckList Name	Instructions
Application	<ul style="list-style-type: none"> <li>• <b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an apprentice auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>• The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth.</li> <li>• The licensing laws of your current licensing state must extend to licensees of this Commonwealth the same reciprocal rights and privileges in your state without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> <li>• <b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country.</li> <li>• The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>• Applicants must demonstrate competency in the profession.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ul>
Application Fee	An application fee of <del>\$50.00</del> <sup>150.00</sup> is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed

CheckList Name	Instructions
	<p>professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
<p><b>License Certification</b></p>	<p><b>1. If applying for licensure by reciprocity, Certification/Verification of License is required from all states in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired.</b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><b>2. If applying for licensure by endorsement, Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired.</b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a></i>  <i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>PO Box 2649</i>  <i>Harrisburg PA 17105</i></p>
<p><b>Sponsoring Auctioneer</b></p>	<p>To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.</p>
<p><b>Supporting Documents</b></p>	<p>If you are a minor you must submit a copy of your work permit.</p>

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Reciprocity/Endorsement

2023

CheckList Name	Instructions
Application	<ul style="list-style-type: none"> <li>• <b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an apprentice auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>• The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth.</li> <li>• The licensing laws of your current licensing state must extend to licenses of this Commonwealth the same reciprocal rights and privileges in your state without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> <li>• <b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country.</li> <li>• The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>• Applicants must demonstrate competency in the profession.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ul>
Application Fee	<p>An application fee of <del>\$50.00</del> <sup>200.00</sup> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed</p>

CheckList Name	Instructions
	<p>professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
License Certification	<p><b>1. If applying for licensure by reciprocity, <u>Certification/Verification of License is required from all states in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired.</u></b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><b>2. If applying for licensure by endorsement, <u>Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired.</u></b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a>  Mailing Address:  State Board of Auctioneer Examiners  PO Box 2649  Harrisburg PA 17105</p>
Sponsoring Auctioneer	To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.
Supporting Documents	If you are a minor you must submit a copy of your work permit.

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Apprentice Auctioneer  
 → Obtained By: Reciprocity/Endorsement

2025

CheckList Name	Instructions
Application	<ul style="list-style-type: none"> <li>• <b>To be Eligible for Licensure by Reciprocity</b>, a person must be licensed in good standing as an apprentice auctioneer in another state and provide a verification/certification of the license issued to the applicant by the applicant's current licensing state.</li> <li>• The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth.</li> <li>• The licensing laws of your current licensing state must extend to licensees of this Commonwealth the same reciprocal rights and privileges in your state without the necessity of the licensees in this Commonwealth to obtain additional or further licenses or authority from any political subdivision of that state.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> <li>• <b>To be Eligible for Licensure by Endorsement</b>, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country.</li> <li>• The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth.</li> <li>• Applicants must demonstrate competency in the profession.</li> <li>• Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.</li> </ul>
Application Fee	An application fee of <del>\$50.00</del> <sup>220.00</sup> is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> <li>• Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>• Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>• Bond must indicate that it is for an "Apprentice Auctioneer."</li> <li>• Bond form must be signed, along with a witness.</li> <li>• Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>• A certified copy of the Power of Attorney must be attached to the bond.</li> <li>• Date of the bond and Power of Attorney must be the same.</li> </ul>
Criminal History Check	Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed

CheckList Name	Instructions
	<p>professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>
License Certification	<p><b>1. If applying for licensure by reciprocity, Certification/Verification of License is required from all states in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent DIRECTLY to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</b></p> <p><b>2. If applying for licensure by endorsement, Certification/Verification of License is required from all states, territories or countries in which you have ever held/hold an apprentice auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent DIRECTLY to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</b></p> <p>Email Address: <a href="mailto:st-auctioneer@pa.gov">st-auctioneer@pa.gov</a>  Mailing Address:  State Board of Auctioneer Examiners  PO Box 2649  Harrisburg PA 17105</p>
Sponsoring Auctioneer	To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.
Supporting Documents	If you are a minor you must submit a copy of your work permit.

# APPRENTICE AUCTIONEER RENEWAL

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

License No. AA \_\_\_\_\_

APPRENTICE AUCTIONEER  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: \$200.00

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required.
- I have a change of name and/or address. Complete only if name and/or address differs from the above information.

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

NEW NAME: \_\_\_\_\_

**ADDRESS CHANGE**

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇔ ⇔  
LATE FEE - \$5.00 per month assessed when renewing after  
February 28, 2021. Fees are non-refundable. Processing  
fee of \$20.00 charged for returned payment.

\$200.00  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 5 through 10 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	YES	NO
<p>1. Do you hold a current bond?</p> <p><b>If yes, provide your Pennsylvania bond number:</b> _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. In the last (5) five years have you engaged in the auction profession?</p> <p><b>If yes, provide current sponsor name:</b> _____</p>		
<p>3. Has your sponsoring auctioneer changed at any time during the last five (5) years?</p> <p><b>If yes, list every former sponsor in the last 5 years:</b></p> <p>Former sponsor name: _____</p> <p>Former sponsor name: _____</p>		
<p>4. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b></p>		
<p>5. <b>Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</b></p>		
<p>6. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>7. <b>Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</b></p>		
<p>8. <b>Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</b></p>		
<p>9. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>10. <b>Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</b></p>		
<p>11. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

License No. AA \_\_\_\_\_

APPRENTICE AUCTIONEER  
RENEWAL APPLICATION <sup>2023</sup>  
EXPIRATION DATE: FEBRUARY 28, ~~2021~~  
FEE: ~~\$200.00~~  
<sup>250.00</sup>

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

<sup>2023</sup>  
Your license will expire on February 28, ~~2021~~. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, <sup>2023</sup> within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, ~~2021~~. After March 31, ~~2021~~, contact the Board Office for a reactivation application. <sup>2023</sup> <sup>2023</sup>

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ and request inactive status. No fee is required. <sup>2023</sup>
- I have a change of name and/or address. Complete only if name and/or address differs from the above information.

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

NEW NAME:

**ADDRESS CHANGE**

Address:

City:

State and Zip Code:

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇨ ⇨  
LATE FEE - \$5.00 per month assessed when renewing after February 28, ~~2021~~. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

<sup>250.00</sup>  
~~\$200.00~~  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 5 through 10 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	<p><b>YES</b></p>	<p><b>NO</b></p>
<p>1. Do you hold a current bond?</p> <p>If yes, provide your Pennsylvania bond number: _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. In the last (5) five years have you engaged in the auction profession?</p> <p>If yes, provide current sponsor name: _____</p>		
<p>3. Has your sponsoring auctioneer changed at any time during the last five (5) years?</p> <p>If yes, list every former sponsor in the last 5 years:</p> <p>Former sponsor name: _____</p> <p>Former sponsor name: _____</p>		
<p>4. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:</p>		
<p>5. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>6. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>7. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>8. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>9. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>10. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		
<p>11. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

License No. AA \_\_\_\_\_

APPRENTICE AUCTIONEER  
RENEWAL APPLICATION <sup>2025</sup>  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: ~~\$200.00~~  
300.00

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

<sup>2025</sup>  
Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application. <sup>2025</sup> <sup>2025</sup>

- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required. <sup>2025</sup>
- I have a change of name and/or address. Complete only if name and/or address differs from the above information. <sup>2025</sup>

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

NEW NAME: \_\_\_\_\_

**ADDRESS CHANGE**

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇨ ⇨  
LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

300.00  
~~\$200.00~~  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 5 through 10 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	YES	NO
<p>1. Do you hold a current bond?</p> <p>If yes, provide your Pennsylvania bond number: _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. In the last (5) five years have you engaged in the auction profession?</p> <p>If yes, provide current sponsor name: _____</p>		
<p>3. Has your sponsoring auctioneer changed at any time during the last five (5) years?</p> <p>If yes, list every former sponsor in the last 5 years:</p> <p>Former sponsor name: _____</p> <p>Former sponsor name: _____</p>		
<p>4. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:</p>		
<p>5. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>6. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>7. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>8. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>9. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>10. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		
<p>11. Do you engage in online trading assistant consignment sales transactions?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

# APPRENTICE AUCTIONEER REACTIVATION

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – APPRENTICE AUCTIONEER  
 Biennial Renewal Cycle – March 1, 2021 – February 28, 2023

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the relaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2					
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$130.00</td> <td>Total Due</td> <td>\$130.00</td> <td>200.00</td> </tr> </table>	Renewal Fee	\$130.00	Total Due	\$130.00	200.00
Renewal Fee	\$130.00	Total Due	\$130.00	200.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am **REQUIRED** pursuant to Act 6 of 2018 to **NOTIFY** the Bureau of Professional and Occupational Affairs **WITHIN 30 DAYS** of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

## APPLICATION FOR SPONSOR

APPRENTICE AUCTIONEER NAME: \_\_\_\_\_

SPONSOR NAME: _____	
SPONSOR LICENSE NUMBER: _____	
SPONSOR ADDRESS:	_____
CITY, STATE, ZIP CODE:	_____
DAYTIME TELEPHONE NUMBER:	_____
BOND NUMBER: _____	
<b>PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.</b>	
SPONSOR EMAIL ADDRESS:	_____
May we contact you about your application via the e-mail address provided? Yes <input type="checkbox"/> No <input type="checkbox"/>	

### SPONSOR AGREEMENT:

I agree to notify the Board within 10 days of a change in status of the apprentice that would affect the ability of the apprentice to complete the apprenticeship as required by §1.22 (e) of the State Board of Auctioneer Examiners rules and regulations.

I have read, understand and agree to be bound by the requirements of §1.31 of the State Board of Auctioneer Examiners rules and regulations, entitled "*Sponsorship and employment of apprentice auctioneers*".

Pursuant to §1.21 of the State Board of Auctioneer Examiners rules and regulations, I will sponsor and employ for compensation the apprentice listed above and I will not sponsor and employ more than one other apprentice auctioneer.

### VERIFICATION STATEMENT:

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

\_\_\_\_\_  
Signature of Sponsor

\_\_\_\_\_  
Date

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE.

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – APPRENTICE AUCTIONEER  
Biennial Renewal Cycle – March 1, ~~2019~~ – February 28, ~~2021~~

«License\_No»  
«Last\_Name»

2023 2025

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
Renewal Fee	«RENEWAL_FEE»	Late Fee	\$	Total Due	\$

SECTION 2					
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
Renewal Fee	\$130.00	Total Due	\$130.00	253.00	

250.00

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

# APPLICATION FOR SPONSOR

APPRENTICE AUCTIONEER NAME: \_\_\_\_\_

SPONSOR NAME: _____	
SPONSOR LICENSE NUMBER: _____	
SPONSOR ADDRESS:	_____
CITY, STATE, ZIP CODE:	_____
DAYTIME TELEPHONE NUMBER:	_____
BOND NUMBER: _____	
<b>PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.</b>	
SPONSOR EMAIL ADDRESS:	_____
May we contact you about your application via the e-mail address provided? Yes <input type="checkbox"/> No <input type="checkbox"/>	

### SPONSOR AGREEMENT:

I agree to notify the Board within 10 days of a change in status of the apprentice that would affect the ability of the apprentice to complete the apprenticeship as required by §1.22 (e) of the State Board of Auctioneer Examiners rules and regulations.

I have read, understand and agree to be bound by the requirements of §1.31 of the State Board of Auctioneer Examiners rules and regulations, entitled "*Sponsorship and employment of apprentice auctioneers*".

Pursuant to §1.21 of the State Board of Auctioneer Examiners rules and regulations, I will sponsor and employ for compensation the apprentice listed above and I will not sponsor and employ more than one other apprentice auctioneer.

### VERIFICATION STATEMENT:

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

\_\_\_\_\_  
Signature of Sponsor

\_\_\_\_\_  
Date

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – APPRENTICE AUCTIONEER  
 Biennial Renewal Cycle – March 1, ~~2019~~ – February 28, ~~2021~~

«License\_No»  
 «Last\_Name»

2025 2027

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE	
<p>You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.</p>	
New Name: _____	

ADDRESS CHANGE	
Address: _____	
City: _____	
State and Zip Code: _____	

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<p><b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b></p>					
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$

SECTION 2					
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<p><b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b></p>					
Renewal Fee	\$130.00	Total Due	\$130.00	300.00	

300.00

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

## APPLICATION FOR SPONSOR

APPRENTICE AUCTIONEER NAME: \_\_\_\_\_

SPONSOR NAME: _____	
SPONSOR LICENSE NUMBER: _____	
SPONSOR ADDRESS:	_____
CITY, STATE, ZIP CODE:	_____
DAYTIME TELEPHONE NUMBER:	_____
BOND NUMBER: _____	
<b>PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.</b>	
SPONSOR EMAIL ADDRESS:	_____
May we contact you about your application via the e-mail address provided? Yes <input type="checkbox"/> No <input type="checkbox"/>	

### SPONSOR AGREEMENT:

I agree to notify the Board within 10 days of a change in status of the apprentice that would affect the ability of the apprentice to complete the apprenticeship as required by §1.22 (e) of the State Board of Auctioneer Examiners rules and regulations.

I have read, understand and agree to be bound by the requirements of §1.31 of the State Board of Auctioneer Examiners rules and regulations, entitled "*Sponsorship and employment of apprentice auctioneers*".

Pursuant to §1.21 of the State Board of Auctioneer Examiners rules and regulations, I will sponsor and employ for compensation the apprentice listed above and I will not sponsor and employ more than one other apprentice auctioneer.

### VERIFICATION STATEMENT:

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

\_\_\_\_\_  
Signature of Sponsor

\_\_\_\_\_  
Date

**AUCTION COMPANY  
OBTAINED BY APPLICATION**

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Licensed Auction Company

→ Obtained By: Application

2021

CheckList Name	Instructions
Application	<p><b>Auction Company</b>-A legally recognized entity that sells or attempts to sell property at auction or performs, or offers to perform, any of the functions or activities requiring licensure as an auction company under section 3(a)(1) of the Auctioneer Licensing and Trading Assistant Registration Act, Act 88 of 2016. The term includes any legally recognized entity that holds itself out as engaged in the business of selling property at action.</p> <p><b>Legally Recognized Entity</b>-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of <del>\$50.00</del> is required. Please note that all fees are non-refundable. 20.00</p>
Articles/Agreements	<p><b>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations and as otherwise requested:</b></p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p> <p><b>Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">http://www.dos.pa.gov/corps</a>.</b></p>
<p><b>Auctioneer of Record</b></p>	<p>Each auction company shall designate an individual licensed as an auctioneer to serve as the auction company's auctioneer-of-record. The auctioneer-of-record may be an owner, shareholder, member, partner, employee, independent contractor or other agent of the auction company. The auctioneer-of-record is principally responsible for the conduct of the auctions of the auction company in accordance with the law.</p>
<p><b>Bond</b></p>	<p>Required bond information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for a "Licensed Auction Company."</p> <p>Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
<p><b>Fictitious Name Registration</b></p>	<p>If the auction company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Licensed Auction Company  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	<p><b>Auction Company</b>-A legally recognized entity that sells or attempts to sell property at auction or performs, or offers to perform, any of the functions or activities requiring licensure as an auction company under section 3(a)(1) of the Auctioneer Licensing and Trading Assistant Registration Act, Act 88 of 2016. The term includes any legally recognized entity that holds itself out as engaged in the business of selling property at action.</p> <p><b>Legally Recognized Entity</b>-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of \$50.00 is required. Please note that all fees are non-refundable. <i>135.00</i></p>
Articles/Agreements	<p>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations and as otherwise requested:</p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p> <p>Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">http://www.dos.pa.gov/corps</a>.</p>
Auctioneer of Record	<p>Each auction company shall designate an individual licensed as an auctioneer to serve as the auction company's auctioneer-of-record. The auctioneer-of-record may be an owner, shareholder, member, partner, employee, independent contractor or other agent of the auction company. The auctioneer-of-record is principally responsible for the conduct of the auctions of the auction company in accordance with the law.</p>
Bond	<p><b>Required bond information:</b></p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for a "Licensed Auction Company."</p> <p>Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
Fictitious Name Registration	<p>If the auction company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Licensed Auction Company  
 → Obtained By: Application

2025

CheckList Name	Instructions
Application	<p><b>Auction Company</b>-A legally recognized entity that sells or attempts to sell property at auction or performs, or offers to perform, any of the functions or activities requiring licensure as an auction company under section 3(a)(1) of the Auctioneer Licensing and Trading Assistant Registration Act, Act 88 of 2016. The term includes any legally recognized entity that holds itself out as engaged in the business of selling property at action.</p> <p><b>Legally Recognized Entity</b>-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of \$<del>50.00</del> is required. Please note that all fees are non-refundable. <u>150.00</u></p>
Articles/Agreements	<p><b>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations and as otherwise requested:</b></p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p> <p><b>Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">http://www.dos.pa.gov/corps</a>.</b></p>
<b>Auctioneer of Record</b>	<p>Each auction company shall designate an individual licensed as an auctioneer to serve as the auction company's auctioneer-of-record. The auctioneer-of-record may be an owner, shareholder, member, partner, employee, independent contractor or other agent of the auction company. The auctioneer-of-record is principally responsible for the conduct of the auctions of the auction company in accordance with the law.</p>
<b>Bond</b>	<p><b>Required bond information:</b></p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for a "Licensed Auction Company."</p> <p>Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
<b>Fictitious Name Registration</b>	<p>If the auction company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

# AUCTION COMPANY RENEWAL

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

LICENSED AUCTION COMPANY  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: \$400.00

License No. AY \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- Auction Company has closed or will be closing effective February 28, 2021 and request out of business status. No fee is required.
- Auction Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license.
- Auction Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

<p>FEE – Payable to “Commonwealth of Pennsylvania” Write your license number on your payment.   ⇒   ⇒ LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p>\$400.00 BIENNIAL RENEWAL</p>
--	--------------------------------------

THE FOLLOWING QUESTIONS MUST BE ANSWERED

	YES	NO
<p>For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.</p> <p>If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</p>		
<p>1. Do you hold a current Auction Company bond?</p> <p>If yes, provide your Pennsylvania Auction Company bond number: _____</p>		
<p>NOTE: You cannot renew your license without a current Auction Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</p>		

	YES	NO
<p>2. Do you have an Auctioneer of Record?</p> <p>If yes, provide the name of the Auctioneer of Record. Print Name: _____</p> <p><b>NOTE: You cannot renew your license without an Auctioneer of Record. The name of the Auctioneer of Record must match the existing record on file with the Board. The Auctioneer of Record must hold a current license and bond. Providing incorrect/incomplete information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
3. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:		
4. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
5. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
7. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
8. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
9. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		
10. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

LICENSED AUCTION COMPANY  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: \$400.00

License No. AY \_\_\_\_\_

475100 2023

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

<sup>2023</sup> Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, <sup>2023</sup> within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

2023

2023

- Auction Company has closed or will be closing effective February 28, 2021 and request out of business status. No fee is required.
- Auction Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license.
- Auction Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. → →  
LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

475100  
\$400.00  
BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

	YES	NO
For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.		
If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.		
1. Do you hold a current Auction Company bond?  If yes, provide your Pennsylvania Auction Company bond number: _____		
NOTE: You cannot renew your license without a current Auction Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.		

	YES	NO
<p>2. Do you have an Auctioneer of Record?</p> <p>If yes, provide the name of the Auctioneer of Record. Print Name: _____</p> <p><b>NOTE: You cannot renew your license without an Auctioneer of Record. The name of the Auctioneer of Record must match the existing record on file with the Board. The Auctioneer of Record must hold a current license and bond. Providing incorrect/incomplete information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
3. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:		
4. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
5. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
7. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
8. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
9. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		
10. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
 DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

LICENSED AUCTION COMPANY  
 RENEWAL APPLICATION  
 EXPIRATION DATE: FEBRUARY 28, 2021  
 FEE: ~~\$400.00~~ 500.00 2025

License No. AY \_\_\_\_\_

Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
 State Board of Auctioneer Examiners  
 PO Box 8420  
 Harrisburg, PA 17105-8420

*2025*  
 Your license will expire on February 28, ~~2021~~ *2025*. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, ~~2021~~ *2025* within approximately 7-10 business days. If you need assistance, email [ra-stopsnotify@pa.gov](mailto:ra-stopsnotify@pa.gov). Online renewal is not available after March 31, ~~2021~~ *2025*. After March 31, ~~2021~~ *2025*, contact the Board Office for a reactivation application.

- Auction Company has closed or will be closing effective February 28, ~~2021~~ *2025* and request out of business status. No fee is required.
- Auction Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license.
- Auction Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

FEE – Payable to “Commonwealth of Pennsylvania”  
 Write your license number on your payment.   ⇒   ⇒  
 LATE FEE - \$5.00 per month assessed when renewing after February 28, ~~2021~~ *2025*. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

~~\$400.00~~ 500.00  
 BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.	YES	NO
If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.		
1. Do you hold a current Auction Company bond?  If yes, provide your Pennsylvania Auction Company bond number: _____		
NOTE: You cannot renew your license without a current Auction Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.		

	YES	NO
<p>2. Do you have an Auctioneer of Record?</p> <p>If yes, provide the name of the Auctioneer of Record. Print Name: _____</p> <p><b>NOTE: You cannot renew your license without an Auctioneer of Record. The name of the Auctioneer of Record must match the existing record on file with the Board. The Auctioneer of Record must hold a current license and bond. Providing incorrect/incomplete information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
3. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:		
4. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
5. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
7. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
8. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
9. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		
10. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

# AUCTION COMPANY REACTIVATION

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE.

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – LICENSED AUCTION COMPANY  
Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

*2021*                      *2023*

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

- The Auction Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.
- The Auction Company has a change of Auctioneer of Record. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

Business Name and/or Address Change
Business Name Change:
New Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
<input type="checkbox"/> YES, THIS AUCTION COMPANY HAS BEEN OPERATING in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.					
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$

**SECTION 2**

**NO, THIS AUCTION COMPANY HAS NOT BEEN OPERATING in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.**

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	\$258.00	Total Due	\$260.00
	400.00		460.00

**THE FOLLOWING INFORMATION MUST BE COMPLETED:**

1. Name and license number of the Auctioneer of Record.

Print Name: \_\_\_\_\_

Auctioneer License Number: AU- \_\_\_\_\_

**The Auction Company must have an Auctioneer of Record. The license will not be renewed without the name of an actively licensed Auctioneer of Record.**

	YES	NO
2. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

Signature of Auctioneer of Record: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE.

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – LICENSED AUCTION COMPANY  
Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

2023 2025

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

- The Auction Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.
- The Auction Company has a change of Auctioneer of Record. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

Business Name and/or Address Change
Business Name Change:
New Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
<input type="checkbox"/>	YES, THIS AUCTION COMPANY HAS BEEN OPERATING in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$

**SECTION 2**

**NO, THIS AUCTION COMPANY HAS NOT BEEN OPERATING** in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. **FEES ARE NON-REFUNDABLE.**

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	\$260.00	Total Due	\$260.00
	475.00		475.00

**THE FOLLOWING INFORMATION MUST BE COMPLETED:**

1. Name and license number of the Auctioneer of Record.

Print Name: \_\_\_\_\_

Auctioneer License Number: AU- \_\_\_\_\_

**The Auction Company must have an Auctioneer of Record. The license will not be renewed without the name of an actively licensed Auctioneer of Record.**

	YES	NO
2. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

Signature of Auctioneer of Record: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE.

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – LICENSED AUCTION COMPANY  
Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

2025 2027

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

- The Auction Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.
- The Auction Company has a change of Auctioneer of Record. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to an auction company license. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new auction company license application.

Business Name and/or Address Change
Business Name Change:
New Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
<input type="checkbox"/>	YES, THIS AUCTION COMPANY HAS BEEN OPERATING in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>					
Renewal Fee	«RENEWAL_FEE»	Late Fee	\$	Total Due	\$

**SECTION 2**

**NO, THIS AUCTION COMPANY HAS NOT BEEN OPERATING** in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. **FEEES ARE NON-REFUNDABLE.**

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	<del>\$200.00</del> 500.00	Total Due	<del>\$260.00</del> 500.00
-------------	----------------------------	-----------	----------------------------

**THE FOLLOWING INFORMATION MUST BE COMPLETED:**

1. Name and license number of the Auctioneer of Record.

Print Name: \_\_\_\_\_

Auctioneer License Number: AU- \_\_\_\_\_

The Auction Company must have an Auctioneer of Record. The license will not be renewed without the name of an actively licensed Auctioneer of Record.

	YES	NO
2. Do you engage in online trading assistant consignment sales transactions?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

Signature of Auctioneer of Record: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

2021

# STATE BOARD OF AUCTIONEER EXAMINERS

**MAILING ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 P.O. BOX 2649  
 HARRISBURG, PA 17105

**COURIER ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 2601 NORTH THIRD STREET  
 HARRISBURG, PA 17110

**PHONE:** 717-783-3397  
**FAX:** 717-705-5540  
**EMAIL:** [st-auctioneer@pa.gov](mailto:st-auctioneer@pa.gov)  
**WEB:** [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct)

## APPLICATION FOR APPROVED COURSE OF STUDY

*proposed 180.00*

**FEE: \$45.00 NON-REFUNDABLE APPLICATION FEE.** CHECK OR MONEY ORDER MADE PAYABLE TO THE "COMMONWEALTH OF PENNSYLVANIA." THERE IS A \$20.00 CHARGE FOR ALL CHECKS RETURNED "NOT PAID" REGARDLESS OF THE REASON FOR NON-PAYMENT.

THIS APPLICATION SHOULD ACCOMPANY ANY ADDITIONAL INFORMATION, I.E. COURSE OUTLINES, ETC.

**COMPLETE THIS SECTION**

NAME OF SCHOOL:		
STREET ADDRESS:		
CITY, STATE & ZIP CODE:		
CONTACT NAME & TELEPHONE NUMBER:	NAME:	NUMBER: ( )
EMAIL ADDRESS:		
Would you like us to communicate with you regarding this application via e-mail? Yes <input type="checkbox"/> No <input type="checkbox"/>		

**COMPLETE THE NUMBER OF CREDIT HOURS IN EACH PRESCRIBED COURSE OF STUDY.** THE PRESCRIBED COURSE OF STUDY IN AUCTIONEERING SHALL CONSIST OF TWENTY (20) CREDIT HOURS OF INSTRUCTION. A CREDIT HOUR OF INSTRUCTION IS DEFINED AS FIFTEEN (15) STANDARD HOURS OF INSTRUCTION, EACH OF WHICH IS COMPOSED OF FIFTY (50) MINUTES.

CREDIT WILL ONLY BE GIVEN FOR A COURSE OF STUDY WHICH HAS BEEN APPROVED BY THE BOARD.

SUBJECT	NUMBER OF HOURS
AUDIENCE COMMUNICATION	
PROCUREMENT OF MERCHANDISE FOR AUCTION	
APPRAISAL	
AUCTION LAW	
PREPARATION FOR AUCTION	
CONDUCTING AN AUCTION	
TOTAL	

**VERIFICATION STATEMENT:**

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

2023

# STATE BOARD OF AUCTIONEER EXAMINERS

**MAILING ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 P.O. BOX 2649  
 HARRISBURG, PA 17105

**COURIER ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 2601 NORTH THIRD STREET  
 HARRISBURG, PA 17110

**PHONE:** 717-783-3397  
**FAX:** 717-705-5540  
**EMAIL:** [st-auctioneer@pa.gov](mailto:st-auctioneer@pa.gov)  
**WEB:** [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct)

## APPLICATION FOR APPROVED COURSE OF STUDY

*200.00*

**FEE:** ~~\$45.00~~ **NON-REFUNDABLE APPLICATION FEE.** CHECK OR MONEY ORDER MADE PAYABLE TO THE "COMMONWEALTH OF PENNSYLVANIA." THERE IS A \$20.00 CHARGE FOR ALL CHECKS RETURNED "NOT PAID" REGARDLESS OF THE REASON FOR NON-PAYMENT.

THIS APPLICATION SHOULD ACCOMPANY ANY ADDITIONAL INFORMATION, I.E. COURSE OUTLINES, ETC.

### COMPLETE THIS SECTION

NAME OF SCHOOL:		
STREET ADDRESS:		
CITY, STATE & ZIP CODE:		
CONTACT NAME & TELEPHONE NUMBER:	NAME:	NUMBER: ( )
EMAIL ADDRESS:		
Would you like us to communicate with you regarding this application via e-mail? Yes <input type="checkbox"/> No <input type="checkbox"/>		

**COMPLETE THE NUMBER OF CREDIT HOURS IN EACH PRESCRIBED COURSE OF STUDY.** THE PRESCRIBED COURSE OF STUDY IN AUCTIONEERING SHALL CONSIST OF TWENTY (20) CREDIT HOURS OF INSTRUCTION. A CREDIT HOUR OF INSTRUCTION IS DEFINED AS FIFTEEN (15) STANDARD HOURS OF INSTRUCTION, EACH OF WHICH IS COMPOSED OF FIFTY (50) MINUTES.

CREDIT WILL ONLY BE GIVEN FOR A COURSE OF STUDY WHICH HAS BEEN APPROVED BY THE BOARD.

SUBJECT	NUMBER OF HOURS
AUDIENCE COMMUNICATION	
PROCUREMENT OF MERCHANDISE FOR AUCTION	
APPRAISAL	
AUCTION LAW	
PREPARATION FOR AUCTION	
CONDUCTING AN AUCTION	
<b>TOTAL</b>	

**VERIFICATION STATEMENT:**

**I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.**

**I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.**

**Signature** \_\_\_\_\_

**Date** \_\_\_\_\_

2025

# STATE BOARD OF AUCTIONEER EXAMINERS

**MAILING ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 P.O. BOX 2649  
 HARRISBURG, PA 17105

**COURIER ADDRESS**  
 STATE BOARD OF  
 AUCTIONEER EXAMINERS  
 2601 NORTH THIRD STREET  
 HARRISBURG, PA 17110

**PHONE:** 717-783-3397  
**FAX:** 717-705-5540  
**EMAIL:** [st-auctioneer@pa.gov](mailto:st-auctioneer@pa.gov)  
**WEB:** [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct)

## APPLICATION FOR APPROVED COURSE OF STUDY

~~2020~~ 2020

**FEE:** ~~\$45.00~~ **NON-REFUNDABLE APPLICATION FEE.** CHECK OR MONEY ORDER MADE PAYABLE TO THE "COMMONWEALTH OF PENNSYLVANIA." THERE IS A \$20.00 CHARGE FOR ALL CHECKS RETURNED "NOT PAID" REGARDLESS OF THE REASON FOR NON-PAYMENT.

THIS APPLICATION SHOULD ACCOMPANY ANY ADDITIONAL INFORMATION, I.E. COURSE OUTLINES, ETC.

### COMPLETE THIS SECTION

NAME OF SCHOOL:		
STREET ADDRESS:		
CITY, STATE & ZIP CODE:		
CONTACT NAME & TELEPHONE NUMBER:	NAME:	NUMBER: ( )
EMAIL ADDRESS:		
Would you like us to communicate with you regarding this application via e-mail? Yes <input type="checkbox"/> No <input type="checkbox"/>		

COMPLETE THE NUMBER OF CREDIT HOURS IN EACH PRESCRIBED COURSE OF STUDY. THE PRESCRIBED COURSE OF STUDY IN AUCTIONEERING SHALL CONSIST OF TWENTY (20) CREDIT HOURS OF INSTRUCTION. A CREDIT HOUR OF INSTRUCTION IS DEFINED AS FIFTEEN (15) STANDARD HOURS OF INSTRUCTION, EACH OF WHICH IS COMPOSED OF FIFTY (50) MINUTES.

CREDIT WILL ONLY BE GIVEN FOR A COURSE OF STUDY WHICH HAS BEEN APPROVED BY THE BOARD.

SUBJECT	NUMBER OF HOURS
AUDIENCE COMMUNICATION	
PROCUREMENT OF MERCHANDISE FOR AUCTION	
APPRAISAL	
AUCTION LAW	
PREPARATION FOR AUCTION	
CONDUCTING AN AUCTION	
TOTAL	

**VERIFICATION STATEMENT:**

**I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.**

**I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**TRADING ASSISTANT  
OBTAINED BY APPLICATION**

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Trading Assistant

→ Obtained By: Application

2021

CheckList Name	Instructions
Application	<p>Trading Assistant - An individual who, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale transaction, or who performs, or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Online Trading Assistant Consignment Transaction - A transaction pursuant to which a registrant or licensee describes and lists personal property of another for sale through the use of hardware or software that enables computer access by multiple users to an <b>interactive computer server</b>:</p> <ol style="list-style-type: none"> <li>1. Allowing individual sellers, and those acting on behalf of sellers, to list and offer the property for sale at a set price, or best offer, or through competitive and progressive offers that may include a buy-it-now feature and</li> <li>2. Allowing prospective buyers access to the hardware or software.</li> </ol>
Application Fee	<p>An application fee of <del>\$100.00</del> <sup>120.00</sup> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</p> <p>Bond must indicate that it is for a "Trading Assistant."</p> <p>Bond form must be signed, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency <b>that is the official repository for criminal history record information</b> for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is</p>

<b>CheckList Name</b>	<b>Instructions</b>
	<p>required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>

Evaluation results:  
 → Board/Commission: Auctioneer Examiners  
 → License Type: Trading Assistant  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	<p>Trading Assistant - An individual who, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale transaction, or who performs, or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Online Trading Assistant Consignment Transaction - A transaction pursuant to which a registrant or licensee describes and lists personal property of another for sale through the use of hardware or software that enables computer access by multiple users to an <b>interactive computer server</b>:</p> <ol style="list-style-type: none"> <li>1. Allowing individual sellers, and those acting on behalf of sellers, to list and offer the property for sale at a set price, or best offer, or through competitive and progressive offers that may include a buy-it-now feature and</li> <li>2. Allowing prospective buyers access to the hardware or software.</li> </ol>
Application Fee	<p>An application fee of <del>\$100.00</del> <sup>135.00</sup> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</p> <p>Bond must indicate that it is for a "Trading Assistant."</p> <p>Bond form must be signed, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency <b>that is the official repository for criminal history record information</b> for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is</p>

<b>CheckList Name</b>	<b>Instructions</b>
	<p>required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Trading Assistant

→ Obtained By: Application

2025

CheckList Name	Instructions
Application	<p>Trading Assistant - An individual who, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale transaction, or who performs, or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Online Trading Assistant Consignment Transaction - A transaction pursuant to which a registrant or licensee describes and lists personal property of another for sale through the use of hardware or software that enables computer access by multiple users to an interactive computer server:</p> <ol style="list-style-type: none"> <li>1. Allowing individual sellers, and those acting on behalf of sellers, to list and offer the property for sale at a set price, or best offer, or through competitive and progressive offers that may include a buy-it-now feature and</li> <li>2. Allowing prospective buyers access to the hardware or software.</li> </ol>
Application Fee	<p>An application fee of <del>\$180.00</del> <sup>150.00</sup> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</p> <p>Bond must indicate that it is for a "Trading Assistant."</p> <p>Bond form must be signed, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
Criminal History Check	<p>Provide a recent Criminal History Records Check (CHRC) from the state police or other state agency that is the official repository for criminal history record information for every state in which you have lived, worked, or completed professional training/studies for the past five (5) years. The report(s) must be dated within 90 days of the date the application is submitted. For applicants living, working, or completing training/studies in Pennsylvania, your CHRC request will be automatically submitted to the Pennsylvania State Police upon submission of this application. The PATCH fee will be included at checkout. Your PA CHRC will be sent directly to the Board/Commission. You will be notified if additional action is</p>

<b>CheckList Name</b>	<b>Instructions</b>
	<p>required. For individuals living, working, or completing training/studies outside of Pennsylvania during the past five (5) years, in lieu of obtaining individual state background checks, you may elect to provide BOTH a state CHRC from the state in which you currently reside, AND your FBI Identity History Summary Check, available at <a href="https://www.fbi.gov/services/cjis/identity-history-summary-checks">https://www.fbi.gov/services/cjis/identity-history-summary-checks</a>.</p> <p>Please note: For applicants currently living, working, or completing training/studies in California, Arizona, or Ohio: Due to the laws of these states, the Board is not an eligible recipient of CHRC's or your CHRC will not be issued to you for upload to the Board. Please obtain your Federal Bureau of Investigation (FBI) Identity History Summary Check, available at the link noted above.</p>

# TRADING ASSISTANT RENEWAL

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

REGISTERED TRADING ASSISTANT  
RENEWAL APPLICATION  
EXPIRATION DATE: FEBRUARY 28, 2021  
FEE: \$200.00

Registration No.

TRA \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:

State Board of Auctioneer Examiners  
PO Box 8420  
Harrisburg, PA 17105-8420

Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-bpoa@pa.gov](mailto:ra-bpoa@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. **No fee is required.**
- I have a change of name and/or address. **Complete only if name and/or address differs from above information.**

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. **Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.**

New Name: \_\_\_\_\_

**ADDRESS CHANGE**

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to "Commonwealth of Pennsylvania"  
Write your license number on your payment. ⇨ ⇨  
LATE FEE - \$5.00 per month assessed when renewing  
after February 28, 2021. Fees are non-refundable.  
Processing fee of \$20.00 charged for returned payment.

**\$200.00  
BIENNIAL RENEWAL**

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 3 through 7 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	<p>YES</p>	<p>NO</p>
<p>1. Do you hold a current bond?</p> <p><b>If yes, provide your Pennsylvania bond number:</b> _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b></p>		
<p>3. <b>Since your initial application or last renewal, whichever is later,</b> have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. <b>Since your initial application or last renewal, whichever is later,</b> have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>6. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_

Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

Registration No. \_\_\_\_\_

REGISTERED TRADING ASSISTANT  
RENEWAL APPLICATION

TRA \_\_\_\_\_

EXPIRATION DATE: FEBRUARY 28, ~~2021~~ <sup>2023</sup>

FEE: ~~\$200.00~~ <sup>250.00</sup>

Name: \_\_\_\_\_

RETURN ADDRESS:

Address: \_\_\_\_\_

State Board of Auctioneer Examiners

City: \_\_\_\_\_

PO Box 8420

State: \_\_\_\_\_ Zip: \_\_\_\_\_

Harrisburg, PA 17105-8420

<sup>2023</sup>  
Your license will expire on February 28, ~~2021~~ <sup>2023</sup>. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, ~~2021~~ <sup>2023</sup> within approximately 7-10 business days. If you need assistance, email [ra-bpoa@pa.gov](mailto:ra-bpoa@pa.gov). Online renewal is not available after March 31, ~~2021~~ <sup>2023</sup>. After March 31, ~~2021~~ <sup>2023</sup>, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ <sup>2023</sup> and request inactive status. **No fee is required.**
- I have a change of name and/or address. **Complete only if name and/or address differs from above information.**

NAME CHANGE

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. **Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.**

New Name: \_\_\_\_\_

ADDRESS CHANGE

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇔ ⇔  
LATE FEE - \$5.00 per month assessed when renewing after February 28, ~~2021~~ <sup>2023</sup>. Fees are non-refundable.  
Processing fee of \$20.00 charged for returned payment.

<sup>250.00</sup>  
~~\$200.00~~  
BIENNIAL RENEWAL

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 3 through 7 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	<p>YES</p>	<p>NO</p>
<p>1. Do you hold a current bond?</p> <p><b>If yes, provide your Pennsylvania bond number:</b> _____</p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b></p>		
<p>3. <b>Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</b></p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. <b>Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</b></p>		
<p>6. <b>Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</b></p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. <b>Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</b></p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

Registration No.

REGISTERED TRADING ASSISTANT  
RENEWAL APPLICATION

TRA \_\_\_\_\_

EXPIRATION DATE: FEBRUARY 28, 2021

FEE: ~~\$200.00~~

300.00

2025

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:

State Board of Auctioneer Examiners

PO Box 8420

Harrisburg, PA 17105-8420

*2025*  
Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-bpoa@pa.gov](mailto:ra-bpoa@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- 2025*
- I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required.
  - I have a change of name and/or address. Complete only if name and/or address differs from above information.

**NAME CHANGE**

Submit an 8½ X 11 photocopy of a legal document verifying your new name. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required document will result in your license being renewed in the name as shown above.

New Name: \_\_\_\_\_

**ADDRESS CHANGE**

Address: \_\_\_\_\_

City: \_\_\_\_\_

State and Zip Code: \_\_\_\_\_

FEE – Payable to “Commonwealth of Pennsylvania”  
Write your license number on your payment. ⇨ ⇨  
LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable.  
Processing fee of \$20.00 charged for returned payment.

*300.00*  
~~\$200.00~~  
**BIENNIAL RENEWAL**

**THE FOLLOWING QUESTIONS MUST BE ANSWERED**

<p><b>If you answer YES to questions 3 through 7 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.</b></p>	YES	NO
<p>1. Do you hold a current bond?</p> <p><b>If yes, provide your Pennsylvania bond number: _____</b></p> <p><b>NOTE: You cannot renew your license without a current bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.</b></p>		
<p>2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b></p>		
<p>3. <b>Since your initial application or last renewal, whichever is later,</b> have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?</p>		
<p>4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>5. <b>Since your initial application or last renewal, whichever is later,</b> have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?</p>		
<p>6. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.</p>		
<p>7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?</p>		
<p>8. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?</p>		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

# TRADING ASSISTANT REACTIVATION

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – TRADING ASSISTANT REGISTRATION  
 Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2				
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>				
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$100.00</td> <td>Total Due</td> <td>\$100.00</td> </tr> </table>	Renewal Fee	\$100.00	Total Due	\$100.00
Renewal Fee	\$100.00	Total Due	\$100.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction: _____ _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – TRADING ASSISTANT REGISTRATION  
 Biennial Renewal Cycle – March 1, 2023 – February 28, 2025

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL_FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL_FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL_FEE»	Late Fee	\$	Total Due	\$	

SECTION 2				
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>				
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$100.00</td> <td>Total Due</td> <td>\$100.00</td> </tr> </table>	Renewal Fee	\$100.00	Total Due	\$100.00
Renewal Fee	\$100.00	Total Due	\$100.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction: _____ _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – TRADING ASSISTANT REGISTRATION

Biennial Renewal Cycle – March 1, ~~2019~~ <sup>2025</sup> – February 28, ~~2021~~ <sup>2027</sup>

«License\_No»  
 «Last\_Name»

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

I have a change of name and/or address. Complete only if name and/or address differs from above information.

NAME CHANGE
You must submit a photocopy of a legal document verifying name change. The only acceptable documents are a marriage certificate, divorce decree which indicates the retaking of a maiden name, court order indicating retaking of a maiden name, or a court order approving a legal name change. Copies of driver's license or Social Security cards are not acceptable. Failure to submit required documentation will result in your license being renewed in the name currently on record.
New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1						
<input type="checkbox"/> YES, I HAVE PRACTICED this profession in Pennsylvania after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L_Expiration_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.						
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>						
<table border="1"> <tr> <td>Renewal Fee</td> <td>«RENEWAL FEE»</td> <td>Late Fee</td> <td>\$</td> <td>Total Due</td> <td>\$</td> </tr> </table>	Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$	

SECTION 2				
<input type="checkbox"/> NO, I HAVE NOT PRACTICED this profession in Pennsylvania at any time after «L_Expiration_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.				
<b>YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.</b>				
<table border="1"> <tr> <td>Renewal Fee</td> <td>\$100.00</td> <td>Total Due</td> <td>\$100.00</td> </tr> </table>	Renewal Fee	\$100.00	Total Due	\$100.00
Renewal Fee	\$100.00	Total Due	\$100.00	

**ACKNOWLEDGEMENT OF DUTY TO SELF-REPORT DISCIPLINARY CONDUCT  
AND CERTAIN CRIMINAL ACTIVITY (mandatory for all licensees; signature required)**

I, \_\_\_\_\_, hereby acknowledge that in addition to any existing reporting requirement required by a specific board or commission, I am REQUIRED pursuant to Act 6 of 2018 to NOTIFY the Bureau of Professional and Occupational Affairs WITHIN 30 DAYS of the occurrence of any of the following: (1) A disciplinary action taken against me by a licensing board or agency in another jurisdiction; (2) A finding or verdict of guilt, an admission of guilt, a plea of nolo contendere, probation without verdict, a disposition in lieu of trial or an Accelerated Rehabilitative Disposition (ARD) of any felony or misdemeanor offense in a criminal proceeding. I further acknowledge that failure to comply with these mandatory reporting requirements may subject me to disciplinary action by the Board. I acknowledge my understanding that to self-report a disciplinary action or criminal matter as set forth above, I may log in to the Pennsylvania Licensing System (PALS) at [www.pals.pa.gov](http://www.pals.pa.gov) and select "Mandatory Reporting by Licensee" under the heading "Your Licenses."

\_\_\_\_\_  
Licensee Signature

\_\_\_\_\_  
Date

**THE FOLLOWING QUESTIONS MUST BE ANSWERED:**

If you answer YES to questions 2 through 4 – provide written details AND attach certified copies of legal document(s). Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.	YES	NO
1. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, list the profession and state or jurisdiction:  _____ _____		
2. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?  <input type="checkbox"/> Check here if action taken in PA. Certified Copies Not Required.		
3. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
4. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Social Security Number: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**TRADING ASSISTANT COMPANY  
OBTAINED BY APPLICATION**

- Evaluation results:  
 → Board/Commission: Auctioneer Examiners  
 → License Type: Trading Assistant Company  
 → Obtained By: Application

2021

CheckList Name	Instructions
Application	<p>Trading Assistant Company-a legally recognized entity that, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale, or that performs or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Legally Recognized Entity-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of <del>\$100.00</del> is required. Please note that all fees are non-refundable. <u>20.00</u></p>
Articles/Agreements	<p>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations:</p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement (which will also identify your LLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p>
<b>Bond</b>	<p>Required bond information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for an "Trading Assistant Company."</p> <p>Bond form must be signed by an owner, officer, partner or member of the trading assistant company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
<b>Fictitious Name Registration</b>	<p>If the trading assistant company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

Evaluation results:  
 → Board/Commission: Auctioneer Examiners  
 → License Type: Trading Assistant Company  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	<p>Trading Assistant Company-a legally recognized entity that, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale, or that performs or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Legally Recognized Entity-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of \$<del>100.00</del> <sup>135.00</sup> is required. Please note that all fees are non-refundable.</p>
Articles/Agreements	<p>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations:</p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement (which will also identify your LLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p>
<b>Bond</b>	<p>Required bond information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for an "Trading Assistant Company."</p> <p>Bond form must be signed by an owner, officer, partner or member of the trading assistant company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
<b>Fictitious Name Registration</b>	<p>If the trading assistant company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Trading Assistant Company

→ Obtained By: Application

2025

CheckList Name	Instructions
Application	<p>Trading Assistant Company-a legally recognized entity that, for a commission or fee, conducts or intends to conduct a business within this Commonwealth of selling, or offering to sell, the personal property of another through an online trading assistant consignment sale, or that performs or offers to perform, any of the functions or activities requiring registration under section 5.1(a) of the Auctioneer Licensing and Trading Assistant Registration Act.</p> <p>Legally Recognized Entity-A partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state.</p>
Application Fee	<p>An application fee of <del>\$180.00</del> is required. Please note that all fees are non-refundable. <u>150.00</u></p>
Articles/Agreements	<p><b>Submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations:</b></p> <p><b>Pennsylvania Corporation:</b> Copy of the approved Articles of Incorporation.</p> <p><b>Out-of-State Corporation:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania Limited Liability Company:</b> Copy of the approved Certificate of Organization.</p> <p><b>Out-of-State Limited Liability Company:</b> Copy of the approved Foreign Registration Statement.</p> <p><b>Pennsylvania General Partnership or Out-of-State Partnership:</b> Copy of the Partnership Agreement.</p> <p><b>Pennsylvania Limited Partnership:</b> Copy of Certificate of Limited Partnership. Copy of Statement of Registration or must have provision in Certificate of Limited Partnership regarding electing limited liability limited partnership (LLLP) status.</p> <p><b>Out-of-State Limited Partnership:</b> Copy of the Foreign Registration Statement (which will also identify your LLLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p><b>Pennsylvania Professional Association:</b> Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p><b>Out-of-State Professional Association:</b> Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</p>
<b>Bond</b>	<p><b>Required bond information:</b></p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for an "Trading Assistant Company."</p> <p>Bond form must be signed by an owner, officer, partner or member of the trading assistant company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p>
<b>Fictitious Name Registration</b>	<p>If the trading assistant company is doing business under a fictitious name, a copy of the approved Fictitious Name Registration is required. If the corporation, limited liability company, general partnership, limited partnership, or professional association is doing business under a fictitious name or assumed name, the name of the entity must specifically appear on the fictitious name registration. Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, <a href="mailto:ra-corps@pa.gov">ra-corps@pa.gov</a>, <a href="http://www.dos.pa.gov/corps">www.dos.pa.gov/corps</a></p>

# TRADING ASSISTANT COMPANY RENEWAL

COMMONWEALTH OF PENNSYLVANIA  
 DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

TRADING ASSISTANT COMPANY REGISTRATION License No. TRAC \_\_\_\_\_  
 RENEWAL APPLICATION  
 EXPIRATION DATE: FEBRUARY 28, 2021  
 FEE: ~~\$100.00~~  
 200.00

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
 State Board of Auctioneer Examiners  
 PO Box 8420  
 Harrisburg, PA 17105-8420

Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- Trading Assistant Company has closed or will be closing effective February 28, 2021 and request out of business status. No fee is required.
- Trading Assistant Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration.
- Trading Assistant Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

FEE – Payable to “Commonwealth of Pennsylvania”  
 Write your license number on your payment. ⇒ ⇒  
 LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

~~\$100.00~~ 200.00  
 BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

	YES	NO
For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.		
If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.		
1. Do you hold a current Trading Assistant Company bond?  If yes, provide your Pennsylvania Trading Assistant Company bond number: _____		
NOTE: You cannot renew your license without a current Trading Assistant Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.		

	YES	NO
2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b>		
3. <b>Since your initial application or last renewal, whichever is later,</b> have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. <b>Since your initial application or last renewal, whichever is later,</b> have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
8. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
 DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

TRADING ASSISTANT COMPANY REGISTRATION License No. TRAC \_\_\_\_\_  
 RENEWAL APPLICATION

EXPIRATION DATE: FEBRUARY 28, ~~2021~~ <sup>2023</sup>  
 FEE: \$100.00 <sup>250.00</sup>

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
 State Board of Auctioneer Examiners  
 PO Box 8420  
 Harrisburg, PA 17105-8420

<sup>2023</sup>  
 Your license will expire on February 28, ~~2021~~ <sup>2023</sup>. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, ~~2021~~ <sup>2023</sup> within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, ~~2021~~ <sup>2023</sup>. After March 31, ~~2021~~ <sup>2023</sup>, contact the Board Office for a reactivation application.

- Trading Assistant Company has closed or will be closing effective February 28, ~~2021~~ <sup>2023</sup> and request out of business status. No fee is required.
- Trading Assistant Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration.
- Trading Assistant Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

<p>FEE – Payable to “Commonwealth of Pennsylvania”          Write your license number on your payment.   ⇒   ⇒          LATE FEE - \$5.00 per month assessed when renewing after February 28, <del>2021</del> <sup>2023</sup>. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p><sup>250.00</sup>  <del>\$100.00</del>          BIENNIAL RENEWAL</p>
---	---

THE FOLLOWING QUESTIONS MUST BE ANSWERED

	YES	NO
For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.		
If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.		
1. Do you hold a current Trading Assistant Company bond?  If yes, provide your Pennsylvania Trading Assistant Company bond number: _____		
NOTE: You cannot renew your license without a current Trading Assistant Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.		

	YES	NO
2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? If yes, provide the profession and state or jurisdiction:		
3. Since your initial application or last renewal, whichever is later, have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. Since your initial application or last renewal, whichever is later, have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. Since your initial application or last renewal, whichever is later, have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
8. Since your initial application or last renewal, whichever is later, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
 DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

TRADING ASSISTANT COMPANY REGISTRATION License No. TRAC \_\_\_\_\_  
 RENEWAL APPLICATION

EXPIRATION DATE: FEBRUARY 28, 2021 <sup>2025</sup>

FEE: ~~\$100.00~~  
 300.00

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

RETURN ADDRESS:  
 State Board of Auctioneer Examiners  
 PO Box 8420  
 Harrisburg, PA 17105-8420

<sup>2025</sup>  
 Your license will expire on February 28, 2021. To process your online renewal, click on [www.pals.pa.gov](http://www.pals.pa.gov). If you previously renewed online, your User ID and Password are still valid. You will need a valid credit card (VISA, Mastercard, Discover or American Express). Follow all instructions, and you will have immediate confirmation that your renewal is being processed. You will receive your updated license indicating an expiration date of February 28, 2023 <sup>2025</sup> within approximately 7-10 business days. If you need assistance, email [ra-stpalsnotify@pa.gov](mailto:ra-stpalsnotify@pa.gov). Online renewal is not available after March 31, 2021. After March 31, 2021, contact the Board Office for a reactivation application.

- Trading Assistant Company has closed or will be closing effective February 28, 2021 <sup>2025</sup> and request out of business status. No fee is required.
- Trading Assistant Company has change of name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration.
- Trading Assistant Company has changed ownership. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

FEE – Payable to “Commonwealth of Pennsylvania”  
 Write your license number on your payment.   ⇒   ⇒  
 LATE FEE - \$5.00 per month assessed when renewing after February 28, 2021. <sup>2025</sup> Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.

<sup>300.00</sup>  
~~\$100.00~~  
 BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

	YES	NO
For the purposes of this renewal application, the word “you” shall mean a licensed partnership, association, corporation, limited liability company or other entity recognized under the laws of this Commonwealth or any other state or any member of the partnership or any officer of the association, corporation, limited liability company or other entity.		
If you answer YES to questions 4 through 9 – provide a full written explanation AND certified copies of any and all relevant Board, court and/or legal documents, including documentation of your successful completion of any sentencing requirements and the final disposition. Certified copies of legal documents are not required if disciplinary action was taken against your PA license to practice this profession.		
1. Do you hold a current Trading Assistant Company bond?  If yes, provide your Pennsylvania Trading Assistant Company bond number: _____		
NOTE: You cannot renew your license without a current Trading Assistant Company bond on file with the Board. Refer to your bond for the correct bond number. Providing incomplete/incorrect bond information will result in a discrepancy and will delay the processing of your renewal application.		

	YES	NO
2. Do you hold, or have you ever held, a license, certificate, permit, registration or other authorization to practice a profession or occupation in any state or jurisdiction? <b>If yes, provide the profession and state or jurisdiction:</b>		
3. <b>Since your initial application or last renewal, whichever is later,</b> have you had disciplinary action taken against a professional or occupational license, certificate, permit, registration or other authorization to practice a profession or occupation issued to you in any state or jurisdiction or have you agreed to voluntary surrender in lieu of discipline?		
4. Do you currently have any disciplinary charges pending against your professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
5. <b>Since your initial application or last renewal, whichever is later,</b> have you withdrawn an application for a professional or occupational license, certificate, permit or registration, had an application denied or refused, or for disciplinary reasons agreed not to apply or reapply for a professional or occupational license, certificate, permit or registration in any state or jurisdiction?		
6. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted (found guilty, pled guilty or pled nolo contendere), received probation without verdict or accelerated rehabilitative disposition (ARD), as to any criminal charges, felony or misdemeanor, including any drug law violations? Note: You are not required to disclose any ARD or other criminal matter that has been expunged by order of a court.		
7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
8. <b>Since your initial application or last renewal, whichever is later,</b> have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of forgery, embezzlement, obtaining money under false pretenses, extortion, conspiracy to defraud or other like offenses, or at any time, have you been convicted in a court of competent jurisdiction in this or any other state or in federal court of a misdemeanor related to the profession of auctioneering or of any felony?		

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature (Mandatory): \_\_\_\_\_ Date: \_\_\_\_\_

# TRADING ASSISTANT COMPANY REACTIVATION

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – TRADING ASSISTANT COMPANY REGISTRATION  
Biennial Renewal Cycle – March 1, ~~2018~~ <sup>2021</sup> – February 28, ~~2021~~ <sup>2023</sup>

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

- The Trading Assistant Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration. **THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.**

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

Business Name and/or Address Change
Business Name Change:
New Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

**SECTION 1**

- YES, THIS TRADING ASSISTANT COMPANY HAS BEEN OPERATING in Pennsylvania after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L\_Expiration\_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
-------------	---------------	----------	----	-----------	----

**SECTION 2**

- NO, THIS TRADING ASSISTANT COMPANY HAS NOT BEEN OPERATING in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	<del>\$100.00</del> <sup>200.00</sup>	Total Due	<del>\$100.00</del> <sup>200.00</sup>
-------------	---------------------------------------	-----------	---------------------------------------

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Date Issued: \_\_\_\_\_  
 REACTIVATION APPLICATION GOOD FOR 30  
 DAYS UPON ISSUANCE BY BOARD OFFICE.

COMMONWEALTH OF PENNSYLVANIA  
 DEPARTMENT OF STATE  
 BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
 STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – TRADING ASSISTANT COMPANY REGISTRATION  
 Biennial Renewal Cycle – March 1, ~~2019~~ – February 28, ~~2021~~

2023 2025

«FULL\_NAME»  
 «M\_ADDRESS\_LINE\_1»  
 «M\_ADDRESS\_LINE\_2»  
 «M\_ADDRESS\_LINE\_3»  
 «M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
 PO Box 2649  
 Harrisburg, PA 17105-2649

The Trading Assistant Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration. **THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.**

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

Business Name and/or Address Change
Business Name Change:
New Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

**SECTION 1**

YES, THIS TRADING ASSISTANT COMPANY HAS BEEN OPERATING in Pennsylvania after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L\_Expiration\_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
-------------	---------------	----------	----	-----------	----

**SECTION 2**

NO, THIS TRADING ASSISTANT COMPANY HAS NOT BEEN OPERATING in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	\$180.00	Total Due	\$100.00	250.00
-------------	----------	-----------	----------	--------

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Date Issued: \_\_\_\_\_  
REACTIVATION APPLICATION GOOD FOR 30  
DAYS UPON ISSUANCE BY BOARD OFFICE.

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

«License\_No»

REACTIVATION APPLICATION – TRADING ASSISTANT COMPANY REGISTRATION  
Biennial Renewal Cycle – March 1, 2019 – February 28, 2021

2025                      2027

«FULL\_NAME»  
«M\_ADDRESS\_LINE\_1»  
«M\_ADDRESS\_LINE\_2»  
«M\_ADDRESS\_LINE\_3»  
«M\_ADDRESS\_LINE\_4»

State Board of Auctioneer Examiners  
PO Box 2649  
Harrisburg, PA 17105-2649

The Trading Assistant Company has a change of business name and/or address. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download an application to request changes to a trading assistant company registration. THE CHANGE APPLICATION AND FEE MUST BE SUBMITTED ALONG WITH THIS REACTIVATION APPLICATION AND FEE.

IF THE OWNERSHIP HAS CHANGED, DO NOT COMPLETE THIS REACTIVATION APPLICATION. Access [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct) to download a new trading assistant company registration application.

Business Name and/or Address Change	
Business Name Change:	
New Address:	
City:	
State and Zip Code:	

COMPLETE ONE OF THE FOLLOWING SECTIONS:

**SECTION 1**

YES, THIS TRADING ASSISTANT COMPANY HAS BEEN OPERATING in Pennsylvania after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee(s) and applicable late renewal fees. A late renewal fee of \$5.00 per month is assessed when postmarked after «L\_Expiration\_Date». Make fees payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	«RENEWAL FEE»	Late Fee	\$	Total Due	\$
-------------	---------------	----------	----	-----------	----

**SECTION 2**

NO, THIS TRADING ASSISTANT COMPANY HAS NOT BEEN OPERATING in Pennsylvania at any time after «L\_Expiration\_Date» and I want to reactivate my license at this time by paying the renewal fee. Make fee payable to the "Commonwealth of PA." Write your license number on your payment. A \$20.00 fee charged for returned payments. FEES ARE NON-REFUNDABLE.

**YOU MUST ATTACH PROOF OF A CURRENT BOND ISSUED BY A BONDING COMPANY LICENSED BY THE PA INSURANCE DEPARTMENT TO OPERATE IN PA. THE BOARD WILL NOT ACCEPT A BILLING STATEMENT, PREMIUM STATEMENT OR RECEIPT AS PROOF OF A CURRENT BOND. A NOTICE OF RESCISSION, NOTICE OF REINSTATEMENT, CONTINUATION CERTIFICATE OR PROOF OF A NEW BOND MUST BE SUBMITTED.**

Renewal Fee	300.00 \$100.00	Total Due	\$100.00	300.00
-------------	--------------------	-----------	----------	--------

I verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information pursuant to 18 Pa.C.S. §4911.

I verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

Signature of Owner: \_\_\_\_\_ Date: \_\_\_\_\_  
(Owner/Officer/Partner)

E-Mail Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

**SPECIAL LICENSE  
OBTAINED BY APPLICATION**

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Special License  
 → Obtained By: Application

2021

CheckList Name	Instructions
Application	<p>The Special License Application must be received <u>at least 20 days</u> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3(g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)).</p> <p><b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Special License will not be issued.</p>
Application Fee	<p><b>Application Fee: <del>\$200.00</del> NON-REFUNDABLE AND NON-TRANSFERABLE. 120.00</b></p>
Bond	<p><b>Required Bond Information:</b></p> <ol style="list-style-type: none"> <li>1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>3. Bond must indicate that it is for an "Special License."</li> <li>4. Bond form must be signed, along with a witness.</li> <li>5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>6. A certified copy of the Power of Attorney must be attached to the bond.</li> <li>7. Date of the bond and Power of Attorney must be the same.</li> <li>8. <u>*Sec the bond exception for certain applicants.</u></li> </ol> <p><b>Bond Exception:</b></p> <p>If an applicant for a Special License intends to use a current Bond previously submitted to the Board as a requirement of a past Special License Application, the applicant must submit to the Board (in lieu of a new Bond) a letter from the Surety Company that documents your name, the Bond number, the current effective dates of the Bond, and a statement that indicates that the Bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.</p>
License Certification	<p><u>Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired.</u> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from</p>

CheckList Name	Instructions
	<p>the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: st-auctioneer@pa.gov</i></p> <p><i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>PO Box 2649</i>  <i>Harrisburg PA 17105</i></p>
<p><b>Resume/Curriculum Vitae</b></p>	<p>If you are not licensed by another state or jurisdiction or your state of residence does not license auctioneers, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Special License  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	<p>The Special License Application must be received <u>at least 20 days</u> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3(g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)).</p> <p><b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Special License will not be issued.</p>
Application Fee	<p><b>Application Fee: <del>\$200.00</del> NON-REFUNDABLE AND NON-TRANSFERABLE.</b> 135.00</p>
Bond	<p>Required Bond Information:</p> <ol style="list-style-type: none"> <li>1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>3. Bond must indicate that it is for an "Special License."</li> <li>4. Bond form must be signed, along with a witness.</li> <li>5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>6. A certified copy of the Power of Attorney must be attached to the bond.</li> <li>7. Date of the bond and Power of Attorney must be the same.</li> <li>8. *See the bond exception for certain applicants.</li> </ol> <p>Bond Exception:</p> <p>If an applicant for a Special License intends to use a current Bond previously submitted to the Board as a requirement of a past Special License Application, the applicant must submit to the Board (in lieu of a new Bond) a letter from the Surety Company that documents your name, the Bond number, the current effective dates of the Bond, and a statement that indicates that the Bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.</p>
License Certification	<p>Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from</p>

CheckList Name	Instructions
	<p>the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:sl-auctioneer@pa.gov">sl-auctioneer@pa.gov</a></i></p> <p><i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>PO Box 2649</i>  <i>Harrisburg PA 17105</i></p>
<p><b>Resume/Curriculum Vitae</b></p>	<p>If you are not licensed by another state or jurisdiction or your state of residence does not license auctioneers, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Special License  
 → Obtained By: Application

2025

CheckList Name	Instructions
Application	<p>The Special License Application must be received <b>at least 20 days</b> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3(g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)).</p> <p><b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Special License will not be issued.</p>
Application Fee	<p><b>Application Fee: <del>\$200.00</del> NON-REFUNDABLE AND NON-TRANSFERABLE. 150.00</b></p>
Bond	<p><b>Required Bond Information:</b></p> <ol style="list-style-type: none"> <li>1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</li> <li>2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."</li> <li>3. Bond must indicate that it is for an "Special License."</li> <li>4. Bond form must be signed, along with a witness.</li> <li>5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</li> <li>6. A certified copy of the Power of Attorney must be attached to the bond.</li> <li>7. Date of the bond and Power of Attorney must be the same.</li> <li>8. *Sec the bond exception for certain applicants.</li> </ol> <p><b>Bond Exception:</b></p> <p>If an applicant for a Special License intends to use a current Bond previously submitted to the Board as a requirement of a past Special License Application, the applicant must submit to the Board (in lieu of a new Bond) a letter from the Surety Company that documents your name, the Bond number, the current effective dates of the Bond, and a statement that indicates that the Bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.</p>
License Certification	<p><b>Certification/Verification of License is required from all states in which you have ever held/hold an auctioneer license, whether active or inactive, current or expired. The Certification/Verification of License must be sent DIRECTLY to the Pennsylvania State Board of Auctioneer Examiners from</b></p>

CheckList Name	Instructions
	<p>the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: st-auctioneer@pa.gov</i></p> <p><i>Mailing Address:</i>  <i>State Board of Auctioneer Examiners</i>  <i>P.O. Box 2649</i>  <i>Harrisburg PA 17105</i></p>
<p><b>Resume/Curriculum Vitae</b></p>	<p>If you are not licensed by another state or jurisdiction or your state of residence does not license auctioneers, you must provide a detailed resume and a list of at least 30 auctions you have conducted over at least two years.</p>

**COMPANY SPECIAL LICENSE  
OBTAINED BY APPLICATION**

- Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Company Special License  
 → Obtained By: Application

2021

CheckList Name	Instructions
Application	<p>The Auction Company Special License Application must be received in the Board office <u>at least 20 days</u> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3 (g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)). <b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Company Special License will not be issued.</p>
Application Fee	<p>An application fee of <del>\$200.00</del> <u>120.00</u> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required bond information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for a "Company Special License."</p> <p>Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p> <p>Bond Exception:</p> <p>If an applicant for an Auction Company Special License intends to use a current bond previously submitted to the Board as a requirement of a past Auction Company Special License Application, the applicant must submit to the Board (in lieu of a new bond) a letter from the Surety Company that documents the auction company name, bond number, the current effective date of the bond, and a statement that indicates that the bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.</p>

CheckList Name	Instructions
License Certification	<p><b><u>Certification/Verification of License is required from all states in which you have ever held/hold an auction company license, whether active or inactive, current or expired.</u></b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:St-auctioneer@pa.gov">St-auctioneer@pa.gov</a> State Board of Auctioneer Examiners PO Box 2649 Harrisburg PA 17105</i></p>

Evaluation results:  
 Board/Commission: Auctioneer Examiners  
 → License Type: Company Special License  
 → Obtained By: Application

2023

CheckList Name	Instructions
Application	The Auction Company Special License Application must be received in the Board office <b>at least 20 days</b> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3 (g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)). <b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Company Special License will not be issued.
Application Fee	An application fee of \$200.00 is required. Please note that all fees are non-refundable. <i>135.00</i>
Bond	Required bond information:  Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.  Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.  Bond must indicate it is for a "Company Special License."  Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.  Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.  A certified copy of the Power of Attorney must be attached to the bond.  Date of the bond and Power of Attorney must be the same.  Bond Exception:  If an applicant for an Auction Company Special License intends to use a current bond previously submitted to the Board as a requirement of a past Auction Company Special License Application, the applicant must submit to the Board (in lieu of a new bond) a letter from the Surety Company that documents the auction company name, bond number, the current effective date of the bond, and a statement that indicates that the bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.

CheckList Name	Instructions
<b>License Certification</b>	<p><b><u>Certification/Verification of License is required from all states in which you have ever held/hold an auction company license, whether active or inactive, current or expired.</u></b> The Certification/Verification of License must be sent <b>DIRECTLY</b> to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:St-auctioneer@pa.gov">St-auctioneer@pa.gov</a>                      State Board of Auctioneer Examiners                      PO Box 2649                      Harrisburg PA 17105</i></p>

Evaluation results:

Board/Commission: Auctioneer Examiners

→ License Type: Company Special License

→ Obtained By: Application

2025

CheckList Name	Instructions
Application	<p>The Auction Company Special License Application must be received in the Board office <b>at least 20 days</b> in advance of the auction or sale at auction and must include the name and address of the seller or owner of all items to be sold. (See Section 3 (g.1) of the Auctioneer Licensing and Trading Assistant Registration Act, 63 P.S. § 734.3(g.1)). <b>PLEASE NOTE:</b> All required documents must be received prior to the date of the auction. If all required documents are not received, the application will be disapproved and a Company Special License will not be issued.</p>
Application Fee	<p>An application fee of \$<del>200</del>.00 is required. Please note that all fees are non-refundable. <u>150.00</u></p>
Bond	<p>Required bond information:</p> <p>Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.</p> <p>Bond must be in the amount of \$5,000 payable to the Commonwealth of Pennsylvania.</p> <p>Bond must indicate it is for a "Company Special License."</p> <p>Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.</p> <p>Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.</p> <p>A certified copy of the Power of Attorney must be attached to the bond.</p> <p>Date of the bond and Power of Attorney must be the same.</p> <p>Bond Exception:</p> <p>If an applicant for an Auction Company Special License intends to use a current bond previously submitted to the Board as a requirement of a past Auction Company Special License Application, the applicant must submit to the Board (in lieu of a new bond) a letter from the Surety Company that documents the auction company name, bond number, the current effective date of the bond, and a statement that indicates that the bond is payable to the "Commonwealth of Pennsylvania" in the amount of \$5,000. The letter must contain an original signature from the Surety Company.</p>

CheckList Name	Instructions
<b>License Certification</b>	<p>Certification/Verification of License is required from all states in which you have ever held/hold an auction company license, whether active or inactive, current or expired. The Certification/Verification of License must be sent DIRECTLY to the Pennsylvania State Board of Auctioneer Examiners from the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p><i>Email Address: <a href="mailto:St-auctioneer@pa.gov">St-auctioneer@pa.gov</a> State Board of Auctioneer Examiners PO Box 2649 Harrisburg PA 17105</i></p>

CDL-1

**FACE SHEET  
FOR FILING DOCUMENTS  
WITH THE LEGISLATIVE REFERENCE BUREAU**

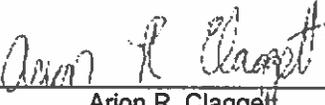
**(Pursuant to Commonwealth Documents Law)**

**RECEIVED**

SEP 19 2022

**Independent Regulatory  
Review Commission**

DO NOT WRITE IN THIS SPACE

<p>Copy below is hereby approved as to form and legality. Attorney General</p> <p>BY: _____ (DEPUTY ATTORNEY GENERAL)</p> <p>_____ DATE OF APPROVAL</p> <p><input type="checkbox"/> Check if applicable Copy not approved. Objections attached.</p>	<p>Copy below is here by certified to be a true and correct copy of a document issued, prescribed or promulgated by:</p> <p><b><u>Bureau of Professional and Occupational Affairs and the State Board of Auctioneer Examiners</u></b> (AGENCY)</p> <p>DOCUMENT/FISCAL NOTE NO. <u>16A-6411</u></p> <p>DATE OF ADOPTION: _____</p> <p>BY:  Nevin B. Rentzel</p> <p>TITLE <u>Board Chair</u> (EXECUTIVE OFFICER, CHAIRMAN OR SECRETARY)</p> <p>BY:  Arion R. Claggett</p> <p>Acting Commissioner, Bureau of Professional and Occupational Affairs</p> <p>TITLE _____</p>	<p>Copy below is hereby approved as to form and legality. Executive or Independent Agencies.</p> <p>BY: </p> <p><u>September 14, 2022</u> DATE OF APPROVAL</p> <p><u>Deputy General Counsel</u> <del>(Chief Counsel, Independent Agency)</del> (Strike inapplicable title)</p> <p><input type="checkbox"/> Check if applicable. No Attorney General approval or objection within 30 days after submission.</p>
---	--	---

**FINAL RULEMAKING**

**COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS**

**TITLE 49 PA CODE, CHAPTER 1**

**49 Pa. Code § 1.41**

**FEES**

The State Board of Auctioneer Examiners (Board) and the Commissioner of the Bureau of Professional and Occupational Affairs (Commissioner) hereby amend Chapter 1 (relating to State Board of Auctioneer Examiners) by amending § 1.41 (relating to schedule of fees) to read as set forth in Annex A.

This final rulemaking will increase application fees to reflect updated costs of processing applications and will increase all the Board's biennial renewal fees to ensure its revenue meets or exceeds the Board's current and projected expenses. The final rulemaking will increase the following application fees on a graduated basis: auctioneer, apprentice auctioneer, auction company, trading assistant, trading assistant company, special license and course of study. Approximately 141 applicants will be impacted annually by the increased application fees.

The Board is also increasing the graduated biennial renewal fees for the following licenses and registrations: auctioneer, apprentice auctioneer, auction company, trading assistant and trading assistant company. There are approximately 2,437 individuals who possess current licenses and registrations issued by the Board who will be required to pay more to renew their licenses or registrations.

#### ***Effective Date***

This final rulemaking will be effective upon notice or final-form publication in the *Pennsylvania Bulletin*. The initial increase for application fees will be implemented immediately upon publication. Thereafter, the subsequent graduated increases for application fees will be implemented on a 2-fiscal-year basis on July 1, 2025, and July 1, 2027.

The increased biennial renewal fees will be implemented for the March 1, 2023—February 28, 2025, biennial renewal period. Thereafter, the subsequent graduated increases will be implemented for the March 1, 2025—February 28, 2027, biennial renewal period and then again for the March 1, 2027—February 28, 2029, biennial renewal period, and thereafter.

#### ***Statutory Authority***

Under sections 6(a) and (b) of the Auctioneer Licensing and Trading Assistant Registration Act (act) (63 P.S. §§ 734.6(a) and (b)), the license and examination fees and all other fees imposed under the provisions of this act shall be fixed by the Board by regulation and shall be subject to review in accordance with the act of June 25, 1982 (P.L.633, No.181), known as the Regulatory Review Act (71 P.S. §§ 745.1—745.14). If the revenues generated by fees, fines and civil penalties imposed in accordance with the provisions of this act are not sufficient to match expenditures over a 2-year period, the Board shall increase these fees by regulation, subject to review in accordance with the Regulatory Review Act, such that the projected revenues will meet or exceed projected expenditures. If the Bureau of Professional and Occupational Affairs (Bureau) determines that the fees established by the Board are inadequate to meet the minimum enforcement efforts required,

then the Bureau, after consultation with the Board, shall increase the fees by regulation, subject to review in accordance with the Regulatory Review Act, such that adequate revenues are raised to meet the required enforcement effort. In addition to the above cited authority, other sections of the act support the Board's authority to amend its fees by regulation when necessary.

Section 32 of the act (63 P.S. § 734.32) provides that "[t]he board may adopt rules and regulations necessary for the proper administration and enforcement of this act." Section 33(a) of the act (63 P.S. § 734.33(a)) provides that "all fees fixed pursuant to section 203 of the act of July 1, 1978 (P.L.700, No.124), known as the Bureau of Professional and Occupational Affairs Fee Act, shall continue in full force and effect until changed by the board." Regarding fees for trading assistant registration, the act of October 8, 2008 (P.L. 1080, No. 89) (Act 89 of 2008) established trading assistant registration by adding section 10.1. Section 10.1(c) specifically required that a registration fee of \$100 be included with each application for registration. When the act was amended by the act of July 20, 2016 (P.L.789, No.88) (Act 88 of 2016), it added section 5.1 requiring trading assistants and trading assistant companies to register with the Board and repealed section 10.1. Section 5.1(c) established an initial \$100 registration fee for trading assistants and trading assistant companies and expressly added the new language of allowing the Board to establish this fee by regulation. 63 P.S. § 734.5.1(c). According to the fiscal notes for Act 88 of 2016 from the House and Senate Appropriations Committees, the statutory fee of \$100 for the registration and renewal of trading assistants established by section 10.1 was removed and the new section 5.1(c) provided language giving the Board the authority to increase this fee for both trading assistants and trading assistant companies when needed to increase its revenue. Here, section 5.1 expressly provides the authority for the Board to establish this fee by regulation and with the other sections of the act cited above provides the Board with the authority to amend this initial fee by regulation when necessary.

The Commissioner is appointed by the Governor and has a number of powers and duties. Specifically, under 71 P.S. § 279.1(a)(7), the Commissioner has the power and duty, "[u]nless otherwise provided by law, to fix the fees to be charged by the several professional and occupational examining boards within the department."

### ***Background and Purpose***

Under section 6(a) of the act, the Board is required to support its operations from the revenue it generates from fees, fines and civil penalties. The act further provides that the Board shall increase fees when expenditures outpace revenue. Most of the general operating expenses of the Board are borne by the licensee population through revenue generated by the biennial renewal of licenses. A small percentage of its revenue comes from application fees, fines and civil penalties.

In January of 2021, the Board voted to increase its renewal and application fees based on its review of incoming revenue and biennial expenses. The Board's Fee Increase Report showed that for FYs 2018-2019 and 2019-2020 and the projected revenue and expenses through FY 2023-

2024. During FYs 2018-2019 through 2019-2020, the Board received biennial revenue of \$589,612.09, incurred expenses of \$651,142.11 and ended with a deficit of \$276,136.32. For FYs 2020-2021 and 2021-2022, the Board anticipates receiving biennial revenue of \$571,000 and anticipates incurring expenses of \$667,000. At the end of FY 2020-2021, the Department of State's Bureau of Finance and Operations (BFO) anticipates a deficit balance of \$372,136.22. For FYs 2022-2023 and 2023-2024, with the implementation of this fee increase, the Board projects receiving biennial revenue of \$890,000 and projects incurring expenses of \$687,000, ending with a deficit of \$169,136.32. BFO's data demonstrated that the Board was not able to meet expenditures over a 2-year period and recommended a fee increase.

The proposed fee increase regulation was published at 52 Pa.B. 1736 (March 26, 2022) for review and comment. Publication was followed by a 30-day public comment period during which the Board received no public comments. The SCP/PLC did not submit any comments. The HPLC and IRRC submitted comments as detailed below.

Since the proposed rulemaking was published, the Board continues to be in a deficit, and it continues to increase as anticipated by BFO.

#### ***Summary of Comments and the Board and Commissioner's Response***

In preparing the final-form rulemaking, the Board considered all comments submitted by the HPLC and IRRC.

#### ***HPLC comment regarding potential impact of the fee increase***

The HPLC questioned the Board regarding the potential impact the regulation could have on Pennsylvania's ability to compete with other states because the proposed increase to the fees for initial licensure and renewal for auctioneers are significantly higher than surrounding states that license auctioneers. IRRC shared the same concern.

The Board and the Commissioner find that the increases in fees for initial licensure and renewal for auctioneers are necessary to equate for the rising costs associated with reviewing and processing the initial applications and to help continue the Board's mission of providing public protection through licensure of the profession and the enforcement of the act. As described in detail below, the increase in the initial application fees will not deter applicants from applying for licensure in this Commonwealth or put this Commonwealth at a competitive disadvantage. Also, increasing initial application fees to cover the cost of processing those applications will lessen the burden on existing licensees regarding biennial fee increases. Adjusting the initial application fees to cover the costs of applications is a fair and equitable approach because existing licensees will not have to bear all of the burden of initial applicant costs through higher biennial licensure fee increases. Unfortunately, the increases to the initial application fees are not sufficient to alleviate the Board's financial deficit so the Board's decision to increase the renewal fees for licensure,

albeit at a lower amount than if the initial application fees were not increased, is also needed. The Board does not believe that the increase of these fees will put the Commonwealth at a competitive disadvantage as outlined below.

In comparing professional licensing in Pennsylvania to states in the Northeast Region (Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Ohio, Rhode Island, Vermont and West Virginia), about half of the states regulate auctioneers to varying degrees. Some only require them to register as a business for tax purposes; others require auctioneers to be licensed. Pennsylvania, Maine, Massachusetts, New Hampshire, Ohio, Vermont, West Virginia are the only states in the Northeast Region that license auctioneers. In comparing Pennsylvania's current application fee of \$50 to the other states, it is well below what the other states currently charge. For the new initial application fee of \$180, that fee is still lower than some of the other states and well within the range of fees among states. Maine has a license period of one year and requires an application fee of \$271; Massachusetts and West Virginia each have a license period of one year and require an application fee of \$100. New Hampshire and Ohio each have a license period of 2 years like Pennsylvania and require an application fee of \$200; Vermont has a license period of 2 years and requires an application fee of \$100. Therefore, while the initial application fee increase from \$50 to \$180 represents an increase for Pennsylvania, the increase itself is actually just bringing Pennsylvania closer to the average application fees for auctioneers being charged by the surrounding states. Thus, the Board does not believe the application fee increase will put Pennsylvania at a competitive disadvantage.

In addition to being a fair and necessary increase in fees, professional licensure provides assurance to the consumers that the auction being conducted is being done so in accordance with the law. This is important and works as a competitive advantage for the Commonwealth over the states that do not license the profession. Furthermore, the Commonwealth is the fifth largest state by population based on the 2020 U.S. Census so there is more opportunity here for auctioneers to conduct a profitable business. As such, the Board finds that an increase in fees would not put the Commonwealth at a competitive disadvantage.

In comparing Pennsylvania's biennial renewal fee for auctioneers of \$400 (effective with the 2023-2025 biennial renewal), Maine has an annual renewal of \$200, Massachusetts has an annual renewal of \$100 and West Virginia has an annual renewal of \$50. New Hampshire and Ohio each have biennial renewals of \$200 and Vermont's fee is \$240. While the Board's biennial renewal fee for auctioneers is higher than other states, the Board does not believe it will make Pennsylvania less competitive as compared to other states. As stated earlier, because of the large population size and the fact that Pennsylvania conducts more auctions per year than the smaller surrounding states, the Board does not believe an increase of \$140 (equating to \$70 per year over two years) will deter licensees from practicing in Pennsylvania or put Pennsylvania at a competitive disadvantage.

*IRRC Comments*

IRRC asked the Board to explain how the proposed application and biennial renewal fees were calculated and how it determined that the proposed fee increases to be implemented during the first phase, including those for applications and renewals for the five categories of licenses, are both appropriate and reasonable. IRRC also asked the Board to explain how the implementation schedule, particularly the first phase, is reasonable. IRRC also asked the Board to provide in the final-form rulemaking additional information and updates in the regulatory analysis form (RAF).

*Calculation of application and renewal fees; reasonableness of fee increases*

IRRC asked the Board to detail how the proposed application fees, to be implemented during the first phase, were calculated. All boards and commissions under the Bureau calculate and design initial application fees to cover the cost to process applications. Application fees are based on time study reports created within the Bureau that lay out each step in processing an application and the amount of time it takes to complete each step. That amount of time per application is multiplied by the total number of anticipated application requests for one year to get the total number of minutes per year necessary to process applications. (The number of minutes per year is multiplied by two since the increases are biennial). Initial application fees are based on a formula that multiplies the number of minutes to perform the processing function by the pay rate for the classification of the personnel performing the function and adding a proportionate share of administrative overhead. The corresponding fee report forms for each application fee describe in detail how the fees are calculated. For example, the application fee for an auctioneer license is calculated by taking the cost of one hour of clerical staff time to review the application and one hour of the clerical supervisor's time for review and sign off and then finally one hour of the Board's administrator's time to process the application along with standard administrative overhead costs to achieve a total cost. The Board finds that the fee increases are reasonable based on the fees charged by the neighboring states and are appropriate based on the fee report forms that outline the costs to the Board to review and process the applications.

As reflected in the annex, the application fees would increase on a graduated level for the licenses and registrations for auctioneer, apprentice auctioneer, auction company, trading assistant and trading assistant company. The application fees will be increased on a graduated basis so that the application fees collected during each biennium reflect the anticipated costs of processing applications for that biennium. These fees are designed to cover the cost to process applications and are borne by individual applicants. Application fees for FY 2021-2022 are based on the time study reports created within the Bureau giving each step in the process and the amount of time it takes to process one application. That amount is multiplied by the anticipated application requests for one year (times two since the increases are biennial). Increases effective July 1, 2025, and July 1, 2027, are calculated at a 9.5% increase based upon raises under current Commonwealth union contracts. Application fees are almost entirely dependent upon personnel-related costs.

IRRC also asked the Board to explain how it calculated the fee increases for biennial renewal of licenses for auctioneer, apprentice auctioneer, auction company, trading assistant and trading assistant company which will take effect beginning with the March 1, 2023, March 1, 2025 and March 1, 2027 biennium renewal periods. Biennial renewal fees were calculated by the BFO using the Board's revenues and expenses while using past histories of prior fee increases as well as changes in the licensee population as a guide in determining the graduated fee increases. The Board last increased its fees in 2015 and based on those fees if left unchanged the Board's current deficit would continue to grow. The biennial fee increases are calculated to ensure that the projected revenues will meet or exceed projected expenditures, as required by the act. In calculating the new renewal fees, BFO considered the licensure population and adjusted the current biennial renewal fees upward to an amount that would put the Board back on stable financial footing by the end of the 2027 renewal cycle.

IRRC asked the Board to explain how it determined that the proposed fee increases to be implemented during the first phase, including those for applications and renewals for these five categories of licenses, are both appropriate and reasonable. As indicated above, the first fee increase for application fees are calculated to cover the cost to process applications. This initial increase brings the application fee in line with the cost to process the applications. Because application fees are almost entirely dependent upon personnel-related costs, the subsequent increases effective July 1, 2025, and July 1, 2027, are calculated at a 9.5% increase based upon raises under current Commonwealth union contracts. Thus, moving forward, the Board anticipates that the subsequent increases will cover future costs to process applications. In determining the biennial renewal fees, BFO calculated the increase needed to allow the Board to meet its operational costs while also reducing the accumulated deficit in the most efficient manner. Most of the Board's operational costs are personnel-related, and much of those costs are not within the Board's control. Staff are generally employees of the Commonwealth, most of whom are civil service personnel; many are in union positions. For these employees, the Board is bound by the negotiated contract. Personnel costs associated with investigation and enforcement depend largely on the number of complaints received that need to be investigated, and the number of those matters that result in disciplinary action. The Board has no control over the number of complaints that are filed against licensees and unlicensed individuals, nor may they control which matters are, or are not, prosecuted. BFO also considered and incorporated the projected increases in initial application fees that could be used to help reduce the deficient by bringing those costs into alignment with the actual costs required to process the applications. Furthermore, it was noted that increases in expenses have steadily rose over the last few years. Some of the increase in expenses is simply due to personnel cost of living increases over time. However, over the last few fiscal years, the Board has had some sizable increases to expenses for a variety of reasons.

One of the largest financial impacts for the Board was the incorporation of The Pennsylvania Justice Network (JNET), due in part to the enactment of the act of February 15, 2018 (P.L. 14, No. 6) (Act 6 of 2018), which requires mandatory self-reporting of criminal convictions. The Board uses JNET to identify criminal convictions of licensees and to verify compliance with

Act 6 of 2018's mandatory reporting requirement. There was a sizable increase in the number of complaints being processed and opened for prosecution. The additional complaints resulted in increased expenses due to higher prosecutions, investigations, expert witness usage, and hearings. Since incorporation of JNET, expenses have increased steadily in all of these cost categories.

In addition to the legal expense increases, all 29 boards and commissions under the Bureau have undergone an information technology transformation upgrade with the incorporation of the Pennsylvania Licensing System (PALS). Expenses associated with PALS, including the initial build as well as ongoing maintenance, are proportionately spread across all entities based on licensee population to effectively share costs per licensee. While the initial build is in the past, it has contributed to higher administrative expenses for all boards during the last few fiscal years. Due to PALS' high functioning database with enhanced features over the Bureau's previous License 2000 platform, maintenance for this system requires a larger financial commitment from all boards and commissions than the previous system. As detailed in the BFO's Fee Increase Report, these costs were also considered in calculating the renewal fee increase.

As noted above in answering the comment received from the HPLC, because the application fees were calculated based on the current rates for processing auctioneer applications and they are in line with the other states' application fees, the Board finds them to be reasonable. The same applies to the renewal fees for auctioneers.

For apprentice auctioneers, Pennsylvania, Ohio and West Virginia are the only states in the Northeast Region that license apprentice auctioneers. In comparing Pennsylvania's application fee of \$145, Ohio and West Virginia each have an application fee of \$100. Pennsylvania's biennial renewal fee of \$200 (effective with the 2023-2025 biennial renewal) is comparable to annual rates for Ohio at \$100 and West Virginia at \$100.

Pennsylvania is the only state in the Northeast Region that licenses an auction company. Ohio licenses an auction corporation, partnership or association but not a company. Pennsylvania's application fee of \$120 in 2023, \$135 in 2025, and \$150 in 2027 is comparatively lower than Ohio's application fee of \$200 for an auction corporation. Pennsylvania's biennial renewal fee of \$400 (effective with the 2023-2025 biennial renewal) is comparatively higher than Ohio's biennial renewal fee for an auction corporation at \$200, but the Board does not believe that this would put Pennsylvania at a competitive disadvantage because Pennsylvania is the only state in the region that licenses auction companies. Ohio's licensure differs from Pennsylvania's in that it requires that at least fifty percent of the owners of an auction corporation, partnership, or association also have an auctioneer's license. Pennsylvania's auction company license does not require this and as such, holds an advantage over Ohio's due to the lack of that ownership element. Pennsylvania's license only requires that an auctioneer of record be on file with the auction company and that person does not have to be an owner. Thus, it is easier for more auction type companies to do business in Pennsylvania as opposed to the neighboring states which is a

competitive advantage. Thus, charging a higher fee than Ohio should not put Pennsylvania at a competitive disadvantage.

A license is not required by any other comparison state in the Northeast Region for trading assistants and trading assistant companies. Trading assistants and trading assistant companies are licenses granted to those individuals looking to sell other people's property using only an online auction format and not an in-person auction. Having a licensure requirement to conduct online only auctions without having to have a full auctioneer's license is a competitive advantage for Pennsylvania because it allows more individuals to engage in this business, while providing the security of accountability that is provided through the licensure of professionals. Pennsylvania is the only state in the region that issues these types of licenses, therefore; the Board does not anticipate that the fee increase will put Pennsylvania in a competitive disadvantage.

*Reasonableness of the implementation schedule*

IRRC asked the Board to explain how the implementation schedule, particularly the first phase, is reasonable. The Board and the Commissioner submit that the graduated application fee increases are appropriate and reasonable because the increased fees are projected to cover the cost to process the applications for that biennial period. The Board carefully considered the best way to implement an increase in application fees and determined that a graduated fee schedule is favorable because it aligns the actual cost to process applications in each biennial period with the fee for that period. While the Board is reluctant to put additional fiscal burdens on its applicants, the increased fees are not significant when looking at the total increase in dollars. Moreover, even with the implementation of the graduated application fee increase, the Board's fees are still comparable with other states.

The Board and the Commissioner further submit that the graduated increases to the biennial renewal fees are also appropriate and reasonable based on BFO's calculations. Significantly, the Board has not increased its fees since 2015. These needed increases are appropriate because they are necessary to ensure revenues meet or exceed expenses, as required by the act. Currently the Board has had a steady increase in its expenses, while its revenues have remained stagnant which has created a sizable deficit. The biennial renewal fee increases were calculated to reduce the deficit as quickly as possible. Therefore, the initial increase had to be higher. However, because the initial fee increase would not totally eliminate the Board's deficit, there was a need to implement additional smaller increases for the following renewal cycles. The needed biennial renewal fee increases are reasonable because they are made on a graduated basis to reduce the impact to the licensee population, while also allowing the Board to meet or exceed its projected expenditures in order to put the Board back on firm financial ground in the most efficient manner possible.

The Board submits that the implementation schedule is reasonable based on the current financial circumstances of the Board. Currently, the Board's expenses are exceeding its revenues

and while the Board can continue to do business through its reliance on dollars from the Professional Licensure Augmentation Account (PLAA), where 26 licensing boards under the Department of State deposit revenue; Boards cannot rely on PLAA funds to address its growing deficit. Thus, the Board has implemented a graduated fee schedule to reduce its deficit in the most efficient manner while lessening the immediate burden to applicants and the licensee population that would occur with a flat fee increase. While applicants and licensed individuals will be impacted economically, the graduated increases, as opposed to a flat fee increase, will ensure that fees charged coincide more closely with the projected expenses for each biennium.

The Board finds that implementation schedule for the application fees is reasonable and fair because the graduated application fee increases are designed to reflect the anticipated costs of processing applications for that biennium.

Additionally, the Board finds that the implementation schedule for the biennial renewal fees is also reasonable. As noted above, the need for the increased revenue through biennial renewal fees is necessary because the Board's expenses have increased based on the increase in complaints being filed because of the Board's use of JNET and the resulting increase in expenses due to higher prosecutions, investigations, expert witness usage, and hearings. More than likely, this new level of legal workload will be part of the financial picture for the Board going forward so any delays in implementing new fees will push the Board into a larger deficit. Furthermore, the Board continues to pay for the administrative expenses involving the upgrade to PALS and will continue to pay ongoing expenses in the form of yearly maintenance costs for the foreseeable future. Thus, the Board's decision to implement the graduated biennial renewal fee schedule is reasonable based on its current financial position and the need to implement the higher fees in a manner to reduce its deficit in a quick and efficient manner in order to return the Board to a financial stable environment.

#### *Updates to the Regulatory Analysis Form*

Finally, IRRC asked the Board to update the RAF to include a dollar estimate in its response to RAF question #21 for the cost to implement the regulation or explain why it is not possible to do so; to elaborate on any alternative regulatory provisions in response to RAF question #26, which the Board considered and rejected; to provide fee report forms provisions in response to RAF question #28 for the fees described herein; and to delete any meeting dates provisions in response to RAF question #30 that have passed. The Board has updated the RAF as requested.

Regarding RAF question #21, in order to implement this regulation, paper and online applications will have to be revised to reflect the new fees. Paper documents will be revised by Board administrative staff, who will change the fee amounts on an electronic copy of the paper document; this process will take about fifteen minutes of staff time to complete the revisions per renewal year to revise the documents, as well as fifteen minutes for the BPOA Business Licensing Division Chief, BPOA Deputy Commissioner and Board Counsel to each review and sign-off on

the revisions. Online applications will be revised in PALS by Board administrative staff; this process will take about one hour of staff time to complete the revisions per renewal year, as well as fifteen minutes for the BPOA Business Licensing Division Chief, BPOA Deputy Commissioner and Board Counsel to each review and sign-off on the revisions. The total estimated cost to revise paper and online documents is \$381; \$127 in FY 22-23 and \$127 in FY 24-25 and \$127 in FY 26-27.

Regarding RAF question #26, the Board considered an alternative fee increase that did not include a graduated fee schedule but decided to not move forward with that version because the Board believes that the graduated application fee and graduated biennial renewal fee increases are more beneficial to the Board and to the licensees. The application fee increases on a graduated basis are reflective of the actual costs to process applications over time, which is more beneficial to the licensees to spread the needed increase in fees over time and not try to reduce the deficit all at once with higher fees. A nongraduated fee increase would have been much larger and may have put Pennsylvania at a competitive disadvantage to the other states in the region based on those higher fees. The same is true for the graduated increase to the biennial renewal fees because increasing fees in this manner coincides more closely with the projected expenses for each biennium. This is less impactful on the licensee population by spreading the needed fee increase out over several renewal cycles instead of implementing a higher fee all at once.

Regarding RAF question #28, when calculating the new application fees, the Board relied on fee report forms which were inadvertently not included with the RAF in its prior submission. This error has been corrected as noted above and those reports are attached to the RAF in the final-form rulemaking.

Fees for biennial license renewal, however; are not determined in the same way as fees for initial applications. Renewing a license is an online process through PALS where a licensee answers several questions and pays the appropriate fee. Generally, PALS automatically renews the license. Thus, there are no fee report forms for the biennial renewal fees. As noted previously, unlike initial application fees, biennial renewal fees are designed to cover the operational costs of the Board. These costs include salaries for administrative and legal staff as well as the cost for investigation of complaints, enforcement of statutory and regulatory requirements, hearing expenses, and board member expenses. The biennial fees are calculated to ensure that the Board can meet or exceed its operational costs. Since biennial renewal fees are based on operating expenses and do not reflect the cost to process a renewal application, fee report forms are not utilized for biennial renewals fees.

*Miscellaneous amendments for clarity*

The Board and the Commissioner made minor amendments to the effective dates to clarify that the increase is applicable to each renewal period, and thereafter. In doing so, the effective dates of the biennial fee increases were amended to clarify that the first renewal fee increase will

be implemented for the March 1, 2023—February 28, 2025, biennial renewal period. Thereafter, the subsequent graduated increases will be implemented for the March 1, 2025—February 28, 2027, biennial renewal period and then again for the March 1, 2027—February 28, 2029, biennial renewal period, and thereafter.

***Fiscal Impact and Paperwork Requirements***

When the Board voted to increase the renewal and application fees, the Board was deficit spending and BFO noted that if the Board did not increase its fees that deficit would continue to increase. The new fee structure approved by the Board will eliminate the deficit spending and decrease the current deficit balance. This will allow the Board to meet or exceed its projected expenditures in the coming biennial renewal cycles and will eventually put the Board back on firm financial ground.

To accomplish this goal, the amendments will increase application and biennial renewal fees. All applicants, licensees and registrants will be required to comply with the regulation. The fees may be paid by applicants, licensees or registrants or may be paid by their employers, should their employers choose to pay these fees. The final-form regulation should have no other fiscal impact on the private sector, the general public or political subdivisions of the Commonwealth.

Approximately 141 applicants will be impacted annually by the increased application fees. Specifically, the number of applicants affected are as follows: 25 auctioneers, 40 apprentice auctioneers, 1 course of study, 45 auction companies, 10 special licenses, 10 trading assistants and 10 trading assistant companies.

Based upon the graduated application fee increases, the total economic impact per fiscal year is as follows:

FY 21-22:	\$10,735
FY 22-23:	\$10,735
FY 23-24:	\$ 2,245
FY 24-25:	\$ 2,245
FY 25-26:	\$ 2,245
<u>FY 26-27:</u>	<u>\$ 2,245</u>
Total:	\$31,250

There are approximately 2,437 individuals who possess current licenses and registrations issued by the Board who will be required to pay more to renew their licenses and registrations. Specifically, the number individuals affected are as follows:

Based upon the above biennial renewal fee increases, the economic impact is as follows:

FY 21-23: \$321,340  
FY 23-25: \$175,025  
FY 25-27: \$ 68,675  
Total: \$565,040

Thus, the total economic impact to applicants, licensees, registrants, or employers, if employers choose to pay application or licensing fees, is \$596,290. This amount reflects the economic impact that will occur between FY 2021-2022 through FY 2026-2027.

This rulemaking will require the Board to revise its printed and online application forms. The amendments will not create additional paperwork for the regulated community or for the private sector.

#### ***Sunset Date***

The Board continuously monitors the effectiveness of its regulations. Therefore, no sunset date has been assigned. Additionally, BFO provides the Board with an Annual Board Budget Report detailing the Board's financial condition. In this way, the Board continuously monitors the adequacy of its fee schedule.

#### ***Regulatory Review***

Under section 5(a) of the Regulatory Review Act (71 P. S. § 745.5(a)), on March 10, 2022, the Board submitted a copy of the proposed rulemaking and a copy of a RAF to the Independent Regulatory Review Commission (IRRC) and to the Chairpersons of the Senate Consumer Protection and Professional Licensure Committee (SCP/PLC) and the House Professional Licensure Committee (HPLC), published at 52 Pa.B. 1736 (March 26, 2022) for review and comment. Publication was followed by a 30-day public comment period during which the Board received no public comments.

Under section 5(c) of the Regulatory Review Act, IRRC, the HPLC and the SCP/PLC must be provided with copies of the comments received during the public comment period, as well as other documents when requested. The SCP/PLC did not submit comments. In preparing the final-form rulemaking, the Board and the Commissioner have considered all comments from IRRC and the HPLC.

Under section 5.1(a) of the Regulatory Review Act (71 P.S. § 745.5a(a)), on September 19, 2022, the Board and the Commissioner delivered this final-form rulemaking to IRRC, the HPLC and the SCP/PLC. Under section 5.1(g)(3) and (j.2) of the Regulatory Review Act (71 P.S. § 745.5a(g)(3) and (j.2)), on \_\_\_\_\_, the final-form rulemaking was deemed approved

by the HPLC and the SCP/PLC. Under section 5.1(e) of the Regulatory Review Act, IRRC met on \_\_\_\_\_, and approved the final-form rulemaking.

***Additional Information***

Additional information may be obtained by writing to Terri Kocher, Board Administrator, State Board of Auctioneer Examiners, P.O. Box 2649, Harrisburg, PA 17105-2649, [RA-AUCTIONEER@pa.gov](mailto:RA-AUCTIONEER@pa.gov).

***Findings***

The State Board of Auctioneer Examiners and the Commissioner find that:

- (1) Public notice of intention to adopt a regulation at 49 Pa. Code, Chapter 1, was given under sections 201 and 202 of the Act of July 31, 1968 (P.L. 769, No. 240) (45 P.S. §§ 1201-1202) and the regulations promulgated under those sections at 1 Pa. Code §§ 7.1-7.2.
- (2) A public comment period was provided as required by law and all comments were considered in drafting this final-form rulemaking.
- (3) The amendments to this final-form rulemaking do not enlarge the original purpose for the proposed regulation published at 52 Pa.B. 1736 (March 26, 2022).
- (4) These amendments to the regulations of the State Board of Auctioneer Examiners are necessary and appropriate for the regulation of the practice of auctioneering in the Commonwealth.

***Order***

The Board therefore ORDERS that:

- (A) The regulations of the State Board of Auctioneer Examiners, 49 Pa. Code, Chapter 1, are amended to read as set forth in Annex A.
- (B) The Board shall submit a copy of the final-form regulation to the Office of the Attorney General and the Office of General Counsel for approval as required by law.
- (C) The Board shall submit the final-form regulation to IRRC, the HPLC and the SCP/PLC as required by law.

- (D) The Board shall certify the final-form regulation and shall deposit it with the Legislative Reference Bureau as required by law.
- (E) The regulation shall take effect immediately upon publication in the *Pennsylvania Bulletin*.

Nevin B. Rentzel  
*Chairperson, State Board of Auctioneer Examiners*

Arion Claggett  
*Acting Commissioner, Bureau of Professional and  
Occupational Affairs*

16A-6411: Fees  
List of Public Commentators

No Comments Received

**Annex A**

**TITLE 49. PROFESSIONAL AND VOCATIONAL STANDARDS**

**PART I. DEPARTMENT OF STATE**

**Subpart A. PROFESSIONAL AND OCCUPATIONAL AFFAIRS**

**CHAPTER 1. STATE BOARD OF AUCTIONEER EXAMINERS**

\* \* \* \* \*

**FEES**

**§1.41. Schedule of fees.**

[Applicants shall pay the following fees:

Application fee for auctioneer license .....	\$50
Biennial renewal fee for auctioneer license .....	\$260
Application fee for apprentice auctioneer license .....	\$30
Biennial renewal fee for apprentice auctioneer .....	\$130
Application fee for auction house and auction company .....	\$50
Biennial renewal fee for auction house and auction company .....	\$260
Special license to conduct auction.....	\$200
Application fee to approve course.....	\$45
Application fee to change sponsor .....	\$15

Application fee to change auction house or auction company license .....	\$15
Nonresident exam eligibility review .....	\$25
Certification of scores, permit or registration .....	\$25
Verification of license, registration, permit or approval .....	\$15]

(a) An applicant for a license, certificate, registration or service shall pay the following fees at the time of application: (Editor's Note: The blank in the first column of effective dates refers to the date of publication of the final-form rulemaking in the Pennsylvania Bulletin).

	<u>Effective</u>	<u>Effective</u>	<u>Effective</u>
		July 1, 2025	July 1, 2027
<u>(1) Auctioneer</u>			
<u>Application for license to practice as an auctioneer</u>	<u>\$180</u>	<u>\$200</u>	<u>\$220</u>
<u>(2) Apprentice auctioneer</u>			
<u>Application for license to practice as an apprentice auctioneer</u>	<u>\$145</u>	<u>\$160</u>	<u>\$175</u>
<u>Application fee to change sponsor</u>	<u>\$15</u>	<u>\$15</u>	<u>\$15</u>
<u>(3) Auction company</u>			
<u>Application for license to practice as an auction company</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
<u>Application fee to change auction company license</u>	<u>\$15</u>	<u>\$15</u>	<u>\$15</u>
<u>(4) Trading assistant</u>			

	<u>Application for registration to practice as a trading assistant</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
<u>(5) Trading assistant company</u>				
	<u>Application for registration to practice as a trading assistant company</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
<u>6) Miscellaneous</u>				
	<u>Special license to conduct auction</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
	<u>Application fee to approve course</u>	<u>\$180</u>	<u>\$200</u>	<u>\$220</u>
	<u>Certification of scores, permit or registration</u>	<u>\$25</u>	<u>\$25</u>	<u>\$25</u>
	<u>Verification of license, registration, permit or approval</u>	<u>\$15</u>	<u>\$15</u>	<u>\$15</u>

(b) An applicant for biennial renewal of a license, certificate or registration shall pay the following fees:

	<u>Effective March 1, 2023—MARCH 1, 2023-FEBRUARY 28, 2025</u>	<u>Effective March 1, 2025 MARCH 1, 2025-FEBRUARY 28, 2027</u>	<u>Effective March 1, 2027-MARCH 1, 2027-FEBRUARY 28, 2029</u>
<u>(1) Auctioneer</u>	<u>BIENNIAL RENEWAL</u>	<u>BIENNIAL RENEWAL</u>	<u>BIENNIAL RENEWAL AND THEREAFTER</u>
	<u>Biennial renewal</u>	<u>\$400</u>	<u>\$475</u>
			<u>\$500</u>

(2) Apprentice auctioneer

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
-------------------------	--------------	--------------	--------------

(3) Auction company

<u>Biennial renewal</u>	<u>\$400</u>	<u>\$475</u>	<u>\$500</u>
-------------------------	--------------	--------------	--------------

(4) Trading assistant

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
-------------------------	--------------	--------------	--------------

(5) Trading assistant  
company

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
-------------------------	--------------	--------------	--------------



COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
BUREAU OF PROFESSIONAL AND OCCUPATIONAL AFFAIRS  
STATE BOARD OF AUCTIONEER EXAMINERS

Post Office Box 2649  
Harrisburg, Pennsylvania 17105-2649  
(717) 783-3397

September 19, 2022

The Honorable George D. Bedwick, Chairman  
INDEPENDENT REGULATORY REVIEW COMMISSION  
14<sup>th</sup> Floor, Harrisstown 2, 333 Market Street  
Harrisburg, Pennsylvania 17101

Re: Final Regulation  
State Board of Auctioneer Examiners  
16A-6411: Fees

Dear Chairman Bedwick:

Enclosed is a copy of a final rulemaking package of the State Board of Auctioneer Examiners pertaining to Fees.

The Board will be pleased to provide whatever information the Commission may require during the course of its review of the rulemaking.

Sincerely,

A handwritten signature in black ink, appearing to read "Nevin B. Rentzel".

Nevin B. Rentzel, Chairperson  
State Board of Auctioneer Examiners

NBR/jem  
Enclosure

cc: Arion R. Claggett, Acting Commissioner of Professional and Occupational Affairs  
K. Kalonji Johnson, Deputy Secretary of Regulatory Programs  
Marc Farrell, Deputy Director of Policy, Department of State  
Cynthia Montgomery, Deputy Chief Counsel, Department of State  
Jacqueline A. Wolfgang, Senior Regulatory Counsel, Department of State  
Jason E. McMurry, Board Counsel, State Board of Auctioneer Examiners  
State Board of Auctioneer Examiners

**Christman, William**

---

**From:** Blauch, Tammy <tblauch@pasen.gov>  
**Sent:** Monday, September 19, 2022 9:15 AM  
**To:** Christman, William; Smeltz, Jennifer  
**Subject:** RE: DELIVERY: Regulation 16A-6411 (Tomlinson)

Confirming receipt of your email and attached rulemaking.

Tammy Blauch  
Executive Secretary  
Office of Senator Robert M. Tomlinson  
Room 286 Main Capitol Building  
Harrisburg, PA 17120  
(717)-787-5072  
Fax: (717)772-2991  
[tblauch@pasen.gov](mailto:tblauch@pasen.gov)

**RECEIVED**

SEP 19 2022

Independent Regulatory  
Review Commission

**From:** Christman, William <wchristman@pa.gov>  
**Sent:** Monday, September 19, 2022 8:39 AM  
**To:** Blauch, Tammy <tblauch@pasen.gov>; Smeltz, Jennifer <jmsmeltz@pasen.gov>  
**Subject:** DELIVERY: Regulation 16A-6411 (Tomlinson)  
**Importance:** High

© CAUTION : External Email ©

**Please provide written (email) confirmation of receipt of the delivery of the attached rulemaking.**

Please be advised that the State Board of Auctioneer Examiners is delivering the following final rulemaking:

- 16A-6411: Fees

William Christman | Legal Assistant  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523  
Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*

**Christman, William**

---

**From:** Rolko, Seth <Seth.Rolko@pasenate.com>  
**Sent:** Monday, September 19, 2022 1:52 PM  
**To:** Christman, William; Vazquez, Enid  
**Subject:** Re: DELIVERY: Regulation 16A-6411 (Boscola)

**RECEIVED**

SEP 19 2022

Independent Regulatory  
Review Commission

Received. Thanks!

Get [Outlook for iOS](#)

---

**From:** Christman, William <wchristman@pa.gov>  
**Sent:** Monday, September 19, 2022 1:35:18 PM  
**To:** Rolko, Seth <seth.rolko@pasenate.com>; Vazquez, Enid <Enid.Vazquez@pasenate.com>  
**Subject:** RE: DELIVERY: Regulation 16A-6411 (Boscola)

■ EXTERNAL EMAIL ■

---

Good afternoon,

Following up for confirmation of receipt of the delivery of the rulemaking.

**William Christman** | Legal Assistant  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523  
Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*

**From:** Christman, William  
**Sent:** Monday, September 19, 2022 8:38 AM  
**To:** Rolko, Seth <seth.rolko@pasenate.com>; Vazquez, Enid <Enid.Vazquez@pasenate.com>  
**Subject:** DELIVERY: Regulation 16A-6411 (Boscola)  
**Importance:** High

**Please provide written (email) confirmation of receipt of the delivery of the attached rulemaking.**

Please be advised that the State Board of Auctioneer Examiners is delivering the following final rulemaking:

- 16A-6411: Fees

**William Christman** | Legal Assistant  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523

Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*

This message and any attachment may contain privileged or confidential information intended solely for the use of the person to whom it is addressed. If the reader is not the intended recipient then be advised that forwarding, communicating, disseminating, copying or using this message or its attachments is strictly prohibited. If you receive this message in error, please notify the sender immediately and delete the information without saving any copies.

**RECEIVED**

SEP 19 2022

**Independent Regulatory  
Review Commission**

**Christman, William**

---

**From:** Jennifer Weaver <Jweaver@pahousegop.com>  
**Sent:** Monday, September 19, 2022 9:03 AM  
**To:** Christman, William; Nicole Sidle; Emily Hackman  
**Subject:** RE: DELIVERY: Regulation 16A-6411 (Hickernell)

**RECEIVED**

SEP 19 2022

Independent Regulatory  
Review Commission

Received.

**From:** Christman, William <wchristman@pa.gov>  
**Sent:** Monday, September 19, 2022 8:39 AM  
**To:** Nicole Sidle <Nsidle@pahousegop.com>; Emily Hackman <Eepler@pahousegop.com>; Jennifer Weaver <Jweaver@pahousegop.com>  
**Subject:** DELIVERY: Regulation 16A-6411 (Hickernell)  
**Importance:** High

**Please provide written (email) confirmation of receipt of the delivery of the attached rulemaking.**

Please be advised that the State Board of Auctioneer Examiners is delivering the following final rulemaking:

- 16A-6411: Fees

**William Christman | Legal Assistant**  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523  
Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*

*The information transmitted is intended only for the person or entity to which it is addressed and may contain confidential and/or privileged material. Any review, retransmission, dissemination or other use of, or taking of any action in reliance upon, this information by persons or entities other than the intended recipient is prohibited. If you received this information in error, please contact the sender and delete the message and material from all computers.*

**Christman, William**

---

**From:** Orchard, Kari L. <KOrchard@pahouse.net>  
**Sent:** Monday, September 19, 2022 2:13 PM  
**To:** Christman, William; Barton, Jamie  
**Subject:** RE: DELIVERY: Regulation 16A-6411 (Burns)

Hi!

So sorry – this is received.

Thanks!  
Kari

**Kari Orchard**  
Executive Director (D) | House Professional Licensure Committee  
Chairman Frank Burns, 72<sup>nd</sup> Legislative District

**From:** Christman, William <wchristman@pa.gov>  
**Sent:** Monday, September 19, 2022 1:36 PM  
**To:** Orchard, Kari L. <KOrchard@pahouse.net>; Barton, Jamie <JBarton@pahouse.net>  
**Subject:** RE: DELIVERY: Regulation 16A-6411 (Burns)

Good afternoon,

Following up for confirmation of receipt of the delivery of the rulemaking.

**William Christman** | Legal Assistant  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523  
Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*

**From:** Christman, William  
**Sent:** Monday, September 19, 2022 8:39 AM  
**To:** Orchard, Kari L. <KOrchard@pahouse.net>; Barton, Jamie <JBarton@pahouse.net>  
**Subject:** DELIVERY: Regulation 16A-6411 (Burns)  
**Importance:** High

**Please provide written (email) confirmation of receipt of the delivery of the attached rulemaking.**

Please be advised that the State Board of Auctioneer Examiners is delivering the following final rulemaking:

- 16A-6411: Fees

**RECEIVED**

SEP 19 2022

Independent Regulatory  
Review Commission

**William Christman | Legal Assistant**  
Office of Chief Counsel | Department of State  
Governor's Office of General Counsel  
P.O. Box 69523 | Harrisburg PA 17106 - 9523  
Phone: 717.783.7200 | Fax: 717.787.0251  
[wchristman@pa.gov](mailto:wchristman@pa.gov) | [www.dos.pa.gov](http://www.dos.pa.gov)

**RECEIVED**

SEP 19 2022

**Independent Regulatory  
Review Commission**

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

*The information transmitted is intended only for the person or entity to whom it is addressed and may contain confidential and/or privileged material. Any use of this information other than by the intended recipient is prohibited. If you receive this message in error, please send a reply e-mail to the sender and delete the material from any and all computers. Unintended transmissions shall not constitute a waiver of the attorney-client or any other privilege.*