

Regulatory Analysis Form (Completed by Promulgating Agency)		INDEPENDENT REGULATORY REVIEW COMMISSION RECEIVED	
(All Comments submitted on this regulation will appear on IRRC's website)		MAR 10 2022	
(1) Agency Department of State, Bureau of Professional and Occupational Affairs, State Board of Auctioneer Examiners		Independent Regulatory Review Commission	
(2) Agency Number: 16A Identification Number: 6411		IRRC Number: 3337	
(3) PA Code Cite: 49 Pa. Code § 1.41			
(4) Short Title: Fees			
(5) Agency Contacts (List Telephone Number and Email Address): 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) jmcumurry@pa.gov 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			
(6) Type of Rulemaking (check applicable box): <input checked="" type="checkbox"/> Proposed Regulation <input type="checkbox"/> Final Regulation		<input type="checkbox"/> Emergency Certification Regulation <input type="checkbox"/> Certification by the Governor <input type="checkbox"/> Certification by the Attorney General	
(7) Briefly explain the regulation in clear and nontechnical language. (100 words or less) The State Board of Auctioneer Examiners ("Board") amends § 1.41 (relating to schedule of fees) to read as set forth in Annex A. The proposed rulemaking provides for graduated application fees increases for: auctioneers, apprentice auctioneers, auction companies, trading assistants, trading assistant companies, special licenses to conduct auctions and the fee to approve courses. The proposed rulemaking also implements graduated biennial renewal fee increases for auctioneers, apprentice auctioneers, auction companies, trading assistants and trading assistant companies.			
(8) State the statutory authority for the regulation. Include <u>specific</u> statutory citation. 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. 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 two-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)) notes 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.

(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 two-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 proposed rulemaking ensures the fiscal integrity of the Board and allows the Board to carry out its mission.

The majority 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 an annual report from the Department of State's Bureau of Finance and Operations (BFO) regarding the Board's income and expenses. Currently, 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 are 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 through 2021-2022, the Board anticipates receiving revenue of \$571,000 and anticipates incurring expenses of \$667,000, ending with a deficit of (\$372,136.32). For FYs 2022-2023 through 2023-2024, the Board projects receiving 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 two-year period in fiscal year 2018-2019 or thereafter.

Five graduated biennial renewal fee increases will be implemented under the proposed 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 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 proposed rulemaking will increase licensure application fees to reflect updated costs of processing applications. The following application fee increases will be implemented under the proposed 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 proposed 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 Budget Information Packet labeled as Attachment B, the new fee structure is projected to produce biennial revenues of \$571,000 in FYs 2020-2021 through 2021-2022 and will allow the Board to meet or exceed its projected expenditures of \$667,000; \$890,000 in revenue for FY 2022-2023 through 2023-2024 will allow the Board to meet or exceed its projected expenditures of \$687,000. The Board believes the fee increases 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 proposed 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 2018, the Commissioner of the Bureau of Professional and Occupational Affairs (Bureau) issued an executive report on the Review of State Professional and Occupational Licensure Board Requirements and Processes. The report compares 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). The report can be found at:

<https://www.dos.pa.gov/ProfessionalLicensing/Documents/EO2017-03-Executive-Report-Occupational-Licensing.pdf>

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 two years and require an application fee of \$200; Vermont has a license period of two years and requires an application fee of \$100.

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, Ohio and Vermont each have biennial renewals of \$200. 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. Pennsylvania does more auctions per year than smaller states; the Board does not believe an increase of \$140 will deter licensees from practicing in Pennsylvania.

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.

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 biennial license fee of \$200 for an auction corporation.

Pennsylvania biennial renewal fee of \$400 (effective with the 2023-2025 biennial renewal) is comparatively larger than Ohio's biennial renewal fee for an auction corporation at \$200.

Trading Assistants - a license is not required by any other comparison state in the Northeast Region for this profession.

Trading Assistant Companies - a license is not required by any other comparison state in the Northeast Region for this profession.

(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 that the licensure renewal fees should not be the same. In regard to the application fees, the Board compromised and decided that the 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, they decided that those application fees should be the same because they required 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 two-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.

(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, the vast majority of 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 a large number 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 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 two-year period, the Board must increase those fees by regulation so that the projected revenues will meet or exceed projected expenditures.

The proposed 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 proposed 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 proposed 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 proposed 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.

The Board will incur a minimal cost to revise its print and online application forms and online renewal platform to indicate the increased fees. The Board would incur no other increase in administrative costs by implementing the proposed rulemaking. There are no other costs or savings to state government associated with implementation of the proposed 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 proposed rulemaking will not require any additional record keeping nor will there be any legal, accounting or consulting procedures required for implementation of the proposed 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 "A", 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.

	Current FY Year (21-22)	FY +1 Year (22-23)	FY +2 Year (23-24)	FY +3 Year (24-25)	FY +4 Year (25-26)	FY +5 Year (26-27)
SAVINGS:						
Regulated Community	\$800	\$800	\$0	\$0	\$0	\$0
Local Government						
State Government						
Total Savings	\$800	\$800	\$0	\$0	\$0	\$0
COSTS:						
Regulated Community	\$10,735	\$332,075	\$2,245	\$177,270	\$2,245	\$70,920
Local Government						
State Government						
Total Costs	\$10,735	\$332,075	\$2,245	\$177,270	\$2,245	\$70,920
REVENUE LOSSES:						
Regulated Community						
Local Government						
State Government						
Total Revenue Losses	\$0	\$0	N/A	N/A	N/A	N/A

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

Program	FY - 3 18-19 (Actual)	FY - 2 19-20 (Actual)	FY -1 20-21 (Budget)	Current FY 21-22 (Projected)
State Board of Auctioneer Examiners	\$315,672.83	\$335,469.28	\$321,000	\$346,000

(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 that term is defined by the Regulatory Review Act and the SBA, that employ licensees would be subject to the proposed 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 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 Board considered an alternative fee increase that did not include a graduated fee schedule. The Board believes the graduated application fee and biennial renewal fee increases are beneficial because the application fee increases are reflective of actual costs to process applications and biennial renewal fees coincide more closely with the projected expenses for each biennium.

(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 proposed 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 the BFO Financial Report and fee report forms that provide the breakdown of costs for application fees. (See, Attachment "B")

(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.
- 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 publication in the PA 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. The Board is scheduled to meet in 2021-2022 on the following dates: November 8, 2021, January 10, 2022, March 14, 2022, May 09, 2022, July 11, 2022, September 12, 2022, November 14, 2022.

ATTACHMENT A

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
 2801 NORTH THIRD STREET
 HARRISBURG, PA 17110

PHONE: 717-783-3397
FAX: 717-705-5540
EMAIL: st-auctioneer@pa.gov
WEB: www.dos.pa.gov/auct

APPLICATION FOR APPROVED COURSE OF STUDY

~~80.00~~ 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
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 AUCTIONEER EXAMINERS
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PHONE: 717-783-3397
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APPLICATION FOR APPROVED COURSE OF STUDY

~~200.00~~ 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.

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Signature _____

Date _____

2025

STATE BOARD OF AUCTIONEER EXAMINERS

MAILING ADDRESS
 STATE BOARD OF
 AUCTIONEER EXAMINERS
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 HARRISBURG, PA 17105

COURIER ADDRESS
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WEB: www.dos.pa.gov/auct

APPLICATION FOR APPROVED COURSE OF STUDY

~~120000~~ 220 00

FEE: ~~\$45.00~~ **\$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.

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APPRAISAL	
AUCTION LAW	
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Signature

Date

**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 \$30.00 <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"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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.

CheckList Name	Instructions
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: 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 \$39.00 ^{160.00} is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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.

CheckList Name	Instructions
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: 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 \$30.00 ^{175.00} is required. Please note that all fees are non-refundable.
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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 CIIRC 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.

CheckList Name	Instructions
Supporting Documents	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"> • To be Eligible for Licensure by Reciprocity, 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. • The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth. • 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.
Application	<ul style="list-style-type: none"> • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. • To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country. • The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. • Applicants must demonstrate competency in the profession. • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.
Application Fee	<p>An application fee of \$50.00 ^{180.00} is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>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.</p> <p>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.</p> <p>Email Address: st-auctioneer@pa.gov 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

2023

CheckList Name	Instructions
	<ul style="list-style-type: none"> • To be Eligible for Licensure by Reciprocity, 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. • The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth. • 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.
Application	<ul style="list-style-type: none"> • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. • To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country. • The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. • Applicants must demonstrate competency in the profession. • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.
Application Fee	<p>An application fee of \$59.00 ^{200.00} is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>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> 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>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> 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: st-auctioneer@pa.gov</i> <i>Mailing Address:</i> <i>State Board of Auctioneer Examiners</i> <i>PO Box 2649</i> <i>Harrisburg PA 17105</i></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"> • To be Eligible for Licensure by Reciprocity, 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. • The requirements for licensure in your current licensing state must be commensurate with the licensure requirements in the Commonwealth. • 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. • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. • To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an apprentice auctioneer in another state, territory or country. • The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. • Applicants must demonstrate competency in the profession. • Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth.
Application Fee	<p>An application fee of \$50.00 <u>222.00</u> is required. Please note that all fees are non-refundable.</p>
Bond	<p>Required Bond Information:</p> <ul style="list-style-type: none"> • 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 that it is for an "Apprentice Auctioneer." • Bond form must be signed, 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.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>License Certification</p>	<p>1. If applying for licensure by reciprocity, <i>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.</i> 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>2. If applying for licensure by endorsement, <i>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.</i> 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: st-auctioneer@pa.gov</i> <i>Mailing Address:</i> <i>State Board of Auctioneer Examiners</i> <i>PO Box 2649</i> <i>Harrisburg PA 17105</i></p>
<p>Sponsoring Auctioneer</p>	<p>To qualify as a sponsor, an auctioneer must be currently licensed and reside in the Commonwealth of Pennsylvania.</p>
<p>Supporting Documents</p>	<p>If you are a minor you must submit a copy of your work permit.</p>

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. 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. 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

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.	YES	NO
<p>1. Do you hold a current bond?</p> <p>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. 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 ²⁰²³
EXPIRATION DATE: FEBRUARY 28, ~~2021~~
FEE: ~~\$200.00~~

250.00

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. 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. Online renewal is not available after March 31, ~~2021~~. After March 31, ~~2021~~, contact the Board Office for a reactivation application. ₂₀₂₃ ₂₀₂₃

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ and request inactive status. No fee is required. ₂₀₂₃
- 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.

250.00
~~\$200.00~~
BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

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.	YES	NO
<p>1. Do you hold a current bond?</p> <p>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. 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 ²⁰²⁵
EXPIRATION DATE: FEBRUARY 28, ~~2021~~ ²⁰²⁵
FEE: ~~\$200.00~~ ^{300.00}

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.pais.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-stpalsnotify@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.

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ ²⁰²⁵ 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~~ ²⁰²⁵. 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

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.	YES	NO
<p>1. Do you hold a current bond?</p> <p>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. 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

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»

«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.					
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					
<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.					
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	\$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 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: _____	
PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.	
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, 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.					
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					
<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.					
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	\$130.00	Total Due	\$130.00	250.00	

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 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: _____	
PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.	
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»

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
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.					
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					
<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.					
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	\$138.00	Total Due	\$138.00	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 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.

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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: _____	
PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF THE APPRENTICE AUCTIONEER LICENSE APPLICATION.	
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.

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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>Auction Company-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>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 \$50.00 is required. Please note that all fees are non-refundable. <i>120.00</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>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: 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, ra-corps@pa.gov, http://www.dos.pa.gov/corps.</p>
<p>Auctioneer of Record</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>Bond</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>Fictitious Name Registration</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, ra-corps@pa.gov, www.dos.pa.gov/corps</p>

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

2023

CheckList Name	Instructions
Application	<p>Auction Company-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>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 \$50.00 is required. Please note that all fees are non-refundable. 135.00</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>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: 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, ra-corps@pa.gov, http://www.dos.pa.gov/corps.</p>
<p>Auctioneer of Record</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>Bond</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>Fictitious Name Registration</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, ra-corps@pa.gov, www.dos.pa.gov/corps</p>

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

2025

CheckList Name	Instructions
Application	<p>Auction Company-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>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 \$50.00 <u>150.00</u> 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 and as otherwise requested:</p> <p>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement.</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: 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, ra-corps@pa.gov, http://www.dos.pa.gov/corps.</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>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>
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, ra-corps@pa.gov, www.dos.pa.gov/corps</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. 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. 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 to download an application to request changes to an auction company license.
- Auction Company has changed ownership. Access 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>
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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
<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? 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>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.</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~~ 475.00
 2023

License No. AY _____

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. 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~~ ²⁰²³ within approximately 7-10 business days. If you need assistance, email ra-stpalsnotify@pa.gov. Online renewal is not available after March 31, ~~2021~~ ²⁰²³. After March 31, ~~2021~~ ²⁰²³, contact the Board Office for a reactivation application.

- Auction Company has closed or will be closing effective February 28, ~~2021~~ ²⁰²³ and request out of business status. No fee is required.
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<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 ²⁰²³. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p>475.00 \$400.00 BIENNIAL RENEWAL</p>
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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? 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>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.</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

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. To process your online renewal, click on 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 within approximately 7-10 business days. If you need assistance, email 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.

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- Auction Company has change of name and/or address. Access www.dos.pa.gov/auct to download an application to request changes to an auction company license.
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<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>\$400.00 500.00 BIENNIAL RENEWAL</p>
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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? 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>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.</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 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 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 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.					
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 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	\$260.00 400.00	Total Due	\$260.00 400.00
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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

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- The Auction Company has a change of Auctioneer of Record. Access 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 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.					
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 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	475.00 \$260.00	Total Due	\$260.00 475.00
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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: _____

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	\$200.00 500.00	Total Due	\$200.00 500.00
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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?		

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Signature of Owner: _____ Date: _____
(Owner/Officer/Partner)

Signature of Auctioneer of Record: _____

E-Mail Address: _____

Phone Number: _____

**AUCTIONEER
OBTAINED BY EXAMINATION**

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

2021

CheckList Name	Instructions
Application	<p>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</p> <ul style="list-style-type: none"> • 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. • 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. • 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. <p>Schools currently approved by the board:</p> <ul style="list-style-type: none"> • Harrisburg Area Community College (HACC), • Reading Area Community College (RACC) • Clarion University-Venango Campus.
Application Fee	<p>An application fee of \$50.00 180.00 is required. Please note that all fees are non-refundable.</p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ul style="list-style-type: none"> • The 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 that it is for an "Auctioneer." • The bond form must be signed and witnessed. • The bonding company MUST sign the bond and imprint their seal in the appropriate area. • A certified copy of the Power of Attorney MUST be attached to the bond.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>
Educational Transcripts	Request an official transcript be sent directly from the college/university to Dasher.
Eligibility Letter	
Employment Verification	
Experience	<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>
Fees to Testing Organizations	<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>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</p>
Pennsylvania Exam	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>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</p> <ul style="list-style-type: none"> • 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. • 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. • 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. <p>Schools currently approved by the board:</p> <ul style="list-style-type: none"> • Harrisburg Area Community College (HACC), • Reading Area Community College (RACC) • Clarion University-Venango Campus.
Application Fee	<p>An application fee of \$50.00 <u>20.00</u> is required. Please note that all fees are non-refundable.</p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ul style="list-style-type: none"> • The 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 that it is for an "Auctioneer." • The bond form must be signed and witnessed. • The bonding company MUST sign the bond and imprint their seal in the appropriate area. • A certified copy of the Power of Attorney MUST be attached to the bond.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>
Educational Transcripts	Request an official transcript be sent directly from the college/university to Dasher.
Eligibility Letter	
Employment Verification	
Experience	<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>
Fees to Testing Organizations	<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>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</p>
Pennsylvania Exam	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>To qualify for an auctioneer license, a person must have passed the prescribed examination after having:</p> <ul style="list-style-type: none"> • 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. • 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. • 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 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.</u> <p>Schools currently approved by the board:</p> <ul style="list-style-type: none"> • Harrisburg Area Community College (HACC), • Reading Area Community College (RACC) • Clarion University-Venango Campus.
Application Fee	<p>An application fee of \$38.00 is required. Please note that all fees are non-refundable. <u>200.00</u></p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ul style="list-style-type: none"> • The 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 that it is for an "Auctioneer." • The bond form must be signed and witnessed. • The bonding company MUST sign the bond and imprint their seal in the appropriate area. • A certified copy of the Power of Attorney MUST be attached to the bond.
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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>
Educational Transcripts	Request an official transcript be sent directly from the college/university to Dasher.
Eligibility Letter	
Employment Verification	
Experience	<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>
Fees to Testing Organizations	<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>This fee must be paid over the phone via credit card or debit card. Please call 877-883-1370 to pay the fee.</p>
Pennsylvania Exam	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"> To be Eligible for Licensure by Reciprocity, 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. The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth. The licensing laws of your current licensing state must extend to licensees of <u>this Commonwealth 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. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <ol style="list-style-type: none"> To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an auctioneer in another state, territory or country. The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. Applicants must demonstrate competency in the profession. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <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: \$50.00 <u>180.00</u> NON-REFUNDABLE AND NON-TRANSFERABLE.</p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ol style="list-style-type: none"> 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 that it is for an "Auctioneer." Bond form must be signed, along with a witness. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.

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 http://epatch.state.pa.us.</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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>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 auctioneer license, whether active or inactive, current or expired.</u> 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>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 auctioneer license, whether active or inactive, current or expired.</u> 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: st-auctioneer@pa.gov</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"> To be Eligible for Licensure by Reciprocity, 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. The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth. The licensing laws of your current licensing state must extend to licensees of <u>this Commonwealth 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. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <ol style="list-style-type: none"> To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an auctioneer in another state, territory or country. The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. Applicants must demonstrate competency in the profession. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <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: \$50.00 <u>200.00</u> NON-REFUNDABLE AND NON-TRANSFERABLE.</p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ol style="list-style-type: none"> 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 that it is for an "Auctioneer." Bond form must be signed, along with a witness. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.

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 http://epatch.state.pa.us.</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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>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 auctioneer license, whether active or inactive, current or expired.</u> 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>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 auctioneer license, whether active or inactive, current or expired.</u> 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: st-auctioneer@pa.gov</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"> To be Eligible for Licensure by Reciprocity, 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. The requirements for licensure in your current licensing state must be commensurate to the licensure requirements in the Commonwealth. 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. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <ol style="list-style-type: none"> To be Eligible for Licensure by Endorsement, a person must be licensed in good standing as an auctioneer in another state, territory or country. The requirements for licensure in your current licensing jurisdiction must be substantially equivalent or exceed the requirements for licensure in the Commonwealth. Applicants must demonstrate competency in the profession. Applicants must satisfy all the requirements of licensees and applicants for licensure in this Commonwealth. <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: <u>220.00</u> NON-REFUNDABLE AND NON-TRANSFERABLE.</p>
Bond	<p>REQUIRED BOND INFORMATION:</p> <ol style="list-style-type: none"> 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 that it is for an "Auctioneer." Bond form must be signed, along with a witness. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.

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>
<p>Criminal History Check</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 http://epatch.state.pa.us.</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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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>License Certification</p>	<p>1. If applying for licensure by reciprocity. 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 the respective licensing entity. Copies of licenses or certifications from applicants will not be accepted.</p> <p>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 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.</p> <p><i>Email Address: st-auctioneer@pa.gov</i> <i>Mailing Address:</i> <i>State Board of Auctioneer Examiners</i> <i>PO Box 2649</i> <i>Harrisburg PA 17105</i></p>
<p>Resume</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. 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. 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

<p>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.</p>	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
EXPIRATION DATE: FEBRUARY 28, 2021

FEE: \$400.00

475100

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. 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 ²⁰²³ within approximately 7-10 business days. If you need assistance, email 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 I will not be practicing this profession in Pennsylvania after February 28, 2021 and request inactive status. No fee is required. ²⁰²³
- 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.

⁴⁷⁵¹⁰⁰
~~\$400.00~~
BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

<p>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.</p>	<p>YES</p>	<p>NO</p>
<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 ²⁰²⁵
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

²⁰²⁵
Your license will expire on February 28, ~~2021~~. To process your online renewal, click on 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-stpalsnotify@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~~ ²⁰²⁵ 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~~ 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

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>		
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<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>		

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Signature (Mandatory): _____

Date: _____

AUCTIONEER REACTIVATION

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

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – AUCTIONEER
 Biennial Renewal Cycle – March 1, 2019 – February 28, 2021
2021 *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 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.						
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.						
<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.				
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<table border="1"> <tr> <td>Renewal Fee</td> <td>\$250.00 <i>400.00</i></td> <td>Total Due</td> <td>\$250.00 <i>400.00</i></td> </tr> </table>	Renewal Fee	\$250.00 <i>400.00</i>	Total Due	\$250.00 <i>400.00</i>
Renewal Fee	\$250.00 <i>400.00</i>	Total Due	\$250.00 <i>400.00</i>	

**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 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?		
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Signature: _____ Date: _____

Social Security Number: _____

Date of Birth: _____

E-mail Address: _____

Phone Number: _____

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

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
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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.						
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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.				
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Licensee Signature

Date

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Signature: _____ Date: _____

Social Security Number: _____

Date of Birth: _____

E-mail Address: _____

Phone Number: _____

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

STATE BOARD OF AUCTIONEER EXAMINERS

REACTIVATION APPLICATION – AUCTIONEER
 Biennial Renewal Cycle – March 1, 2015 – February 28, 2017

«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.

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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.						
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Renewal Fee	500.00	Total Due	500.00	

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Licensee Signature

Date

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Signature: _____ Date: _____

Social Security Number: _____

Date of Birth: _____

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 at least 20 days 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>PLEASE NOTE: 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>Application Fee: \$200.00 NON-REFUNDABLE AND NON-TRANSFERABLE. 100.00</p>
Bond	<p>Required Bond Information:</p> <ol style="list-style-type: none"> 1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania. 2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania." 3. Bond must indicate that it is for an "Special License." 4. Bond form must be signed, along with a witness. 5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area. 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. 8. <u>*See the bond exception for certain applicants.</u> <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><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 DIRECTLY 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>Resume/Curriculum Vitae</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 at least 20 days 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>PLEASE NOTE: 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>Application Fee: \$200.00 NON-REFUNDABLE AND NON-TRANSFERABLE. 135.00</p>
Bond	<p>Required Bond Information:</p> <ol style="list-style-type: none"> 1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania. 2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania." 3. Bond must indicate that it is for an "Special License." 4. Bond form must be signed, along with a witness. 5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area. 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. 8. <u>*See the bond exception for certain applicants.</u> <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><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 DIRECTLY 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>
Resume/Curriculum Vitae	<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 at least 20 days 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>PLEASE NOTE: 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>Application Fee: \$200.00 NON-REFUNDABLE AND NON-TRANSFERABLE. 150.00</p>
Bond	<p>Required Bond Information:</p> <ol style="list-style-type: none"> 1. Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania. 2. Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania." 3. Bond must indicate that it is for an "Special License." 4. Bond form must be signed, along with a witness. 5. Bonding company must sign the bond and imprint their seal/stamp in the appropriate area. 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. 8. *See the bond exception for certain applicants. <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 DIRECTLY 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.pals.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>Resume/Curriculum Vitae</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 at least 20 days 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)). PLEASE NOTE: 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 \$200.00 ^{120.00} 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><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> 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: St-auctioneer@pa.gov 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 at least 20 days 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)). PLEASE NOTE: 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 ^{135.00} is required. Please note that all fees are non-refundable.
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
License Certification	<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: St-auctioneer@pa.gov 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	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)). PLEASE NOTE: 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 \$200.00 150.00 is required. Please note that all fees are non-refundable.
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>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: St-auctioneer@pa.gov State Board of Auctioneer Examiners PO Box 2649 Harrisburg PA 17105</i></p>

**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 interactive computer server:</p>
	<ol style="list-style-type: none"> 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 2. Allowing prospective buyers access to the hardware or software.
Application Fee	<p>An application fee of \$100.00^{120.00} 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>

CheckList Name	Instructions
	<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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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 interactive computer server:</p>
	<ol style="list-style-type: none"> 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 2. Allowing prospective buyers access to the hardware or software.
Application Fee	<p>An application fee of \$100.00 ^{135.00} 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>

CheckList Name	Instructions
	<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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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"> 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 2. Allowing prospective buyers access to the hardware or software.
Application Fee	<p>An application fee of \$186.00 ^{150.00} 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>

CheckList Name	Instructions
	<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 https://www.fbi.gov/services/cjis/identity-history-summary-checks.</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

Registration No.

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

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. 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. 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>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.</p>	<p>YES</p>	<p>NO</p>
<p>1. Do you hold a current bond?</p> <p style="text-align: center;">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>		

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~~ ²⁰²³

FEE: \$200.00

250.00

2023

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~~ ²⁰²³. To process your online renewal, click on 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~~ ²⁰²³ within approximately 7-10 business days. If you need assistance, email ra-bpoa@pa.gov. Online renewal is not available after March 31, ~~2021~~ ²⁰²³. After March 31, ~~2021~~ ²⁰²³, contact the Board Office for a reactivation application.

- I will not be practicing this profession in Pennsylvania after February 28, ~~2021~~ ²⁰²³ 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~~ ²⁰²³. Fees are non-refundable.
Processing fee of \$20.00 charged for returned payment.

250.00
~~\$200.00~~
BIENNIAL RENEWAL

THE FOLLOWING QUESTIONS MUST BE ANSWERED

<p>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.</p>	<p>YES</p>	<p>NO</p>
<p>1. Do you hold a current bond?</p> <p style="text-align: center;">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>		

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
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Address: _____

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Signature (Mandatory): _____ Date: _____

TRADING ASSISTANT REACTIVATION

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

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.

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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.						
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.						
<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.					
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**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 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.		
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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
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New Name:

ADDRESS CHANGE
Address:
City:
State and Zip Code:

COMPLETE ONE OF THE FOLLOWING SECTIONS:

SECTION 1					
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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.					
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Renewal Fee	250.00	Total Due	\$100.00	250.00	

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 REACTIVATION APPLICATION GOOD FOR 30
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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»

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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 \$100.00 120.00 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>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement (which will also identify your LLLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</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 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>
Fictitious Name Registration	<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, ra-corps@pa.gov, www.dos.pa.gov/corps</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 \$100.00 is required. Please note that all fees are non-refundable. 135.00</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>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement (which will also identify your LLLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</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 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>
Fictitious Name Registration	<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, ra-corps@pa.gov, www.dos.pa.gov/corps</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 \$100.00 ^{150.00} 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>Pennsylvania Corporation: Copy of the approved Articles of Incorporation.</p> <p>Out-of-State Corporation: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania Limited Liability Company: Copy of the approved Certificate of Organization.</p> <p>Out-of-State Limited Liability Company: Copy of the approved Foreign Registration Statement.</p> <p>Pennsylvania General Partnership or Out-of-State Partnership: Copy of the Partnership Agreement.</p> <p>Pennsylvania Limited Partnership: 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>Out-of-State Limited Partnership: Copy of the Foreign Registration Statement (which will also identify your LLLP status, if elected in home state).</p>

CheckList Name	Instructions
	<p>Pennsylvania Professional Association: Copy of the Articles of Association and Certification of Officers (Board of Governors and Associates).</p> <p>Out-of-State Professional Association: Copy of the Foreign Registration Statement and Certification of Officers (Board of Governors and Associates).</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 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>
Fictitious Name Registration	<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, ra-corps@pa.gov, www.dos.pa.gov/corps</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. 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. 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 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 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, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p>\$100.00 200.00 BIENNIAL RENEWAL</p>
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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 Trading Assistant Company bond?</p> <p style="margin-left: 20px;">If yes, provide your Pennsylvania Trading Assistant Company bond number: _____</p>			
<p>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.</p>			

	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~~ ²⁰²³
 FEE: \$100.00 ^{250.00}

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~~ ²⁰²³. To process your online renewal, click on 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~~ ²⁰²³ within approximately 7-10 business days. If you need assistance, email ra-stpalsnotify@pa.gov. Online renewal is not available after March 31, ~~2021~~ ²⁰²³. After March 31, ~~2021~~ ²⁰²³, contact the Board Office for a reactivation application.

- Trading Assistant Company has closed or will be closing effective February 28, ~~2021~~ ²⁰²³ 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 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 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, 2021 ²⁰²³. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p>\$100.00 ^{250.00} BIENNIAL RENEWAL</p>
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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 Trading Assistant Company bond?</p> <p>If yes, provide your Pennsylvania Trading Assistant Company bond number: _____</p>		
<p>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.</p>		

	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 ²⁰²⁵

FEE: \$100.00
 300.00

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. 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 ²⁰²⁵ within approximately 7-10 business days. If you need assistance, email 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 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 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, 2021. Fees are non-refundable. Processing fee of \$20.00 charged for returned payment.</p>	<p>300.00 100.00 BIENNIAL RENEWAL</p>
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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 Trading Assistant Company bond?</p> <p>If yes, provide your Pennsylvania Trading Assistant Company bond number: _____</p> <p>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.</p>		

	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: _____

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~~ 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 Trading Assistant Company has a change of business name and/or address. Access 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 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	\$
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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	200.00 \$100.00	Total Due	\$100.00	200.00
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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 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 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	\$
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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	250.00 \$100.00	Total Due	\$	250.00	\$
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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

«FULL_NAME»
 «M_ADDRESS_LINE_1»
 «M_ADDRESS_LINE_2»
 «M_ADDRESS_LINE_3»
 «M_ADDRESS_LINE_4»

2015 2027

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 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 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	\$
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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: _____

ATTACHMENT B

12/3/2021

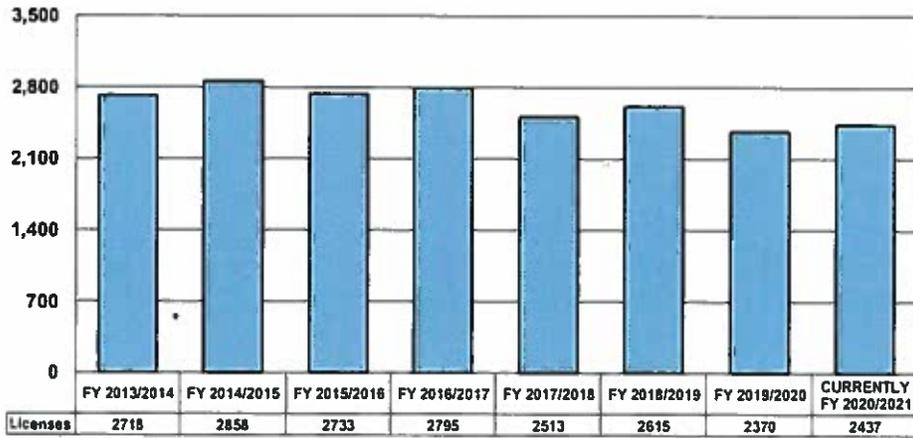
State Board of Auctioneer Examiners

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

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

Prepared by:
Bureau of Finance and Operations
Division of Fiscal Management

**STATE BOARD OF AUCTIONEERS
RENEWABLE LICENSEE COUNTS**



LICENSEES BY CLASS

	<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
TOTAL	2,513	2,615	2,370	2,437

State Board of Auctioneers
Expense and Revenue History Comparison

12/3/2021

Cost Center	Actual Expenses FY 12-13	Actual Expenses FY 13-14	Actual Expenses FY 14-15	Actual Expenses FYTD 15-16	Actual Expenses FY 16-17	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 Administraton 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
TOTAL	\$ 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 FY 13-14	Actual Revenue FY 14-15	Actual Revenue FY 15-16	Actual Revenue FY 16-17	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	9,895.00	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	9,648.00	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
TOTAL REVENUE	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**

12/3/2021

LICENSE CLASSES

LICENSE CLASS	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
TOTAL RENEWAL REVENUE:	2,437		\$ 591,460.00
TOTAL NON-RENEWAL OTHER REVENUE:			\$ 23,000.00
TOTAL BOARD REVENUE:			\$ 614,460.00

Renewal February of odd years

Last fee increase effective February 2015, Board approved 7/2012

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:	(214,006.30)	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)

Prepared by:
Bureau of Finance and Operations
Division of Fiscal Management

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

12/3/2021

RENEWAL LICENSE CLASSES	LICENSE COUNT	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	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	\$ 280.00	\$ 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	2,437		\$ 912,800.00	2,437		\$ 937,170.00	2,437		\$ 949,355.00
TOTAL RENEWAL REVENUE:			\$ 591,460.00			\$ 912,800.00			\$ 937,170.00			\$ 949,355.00
TOTAL NON-RENEWAL OTHER REVENUE:			\$ 23,000.00			\$ 44,470.00			\$ 48,960.00			\$ 53,450.00
TOTAL BOARD REVENUE:			\$ 614,460.00			\$ 957,270.00			\$ 986,130.00			\$ 1,002,805.00
Renewal Year			\$ 594,000.00			\$ 922,000.00			\$ 948,000.00			\$ 962,000.00
Non-Renewal Year			\$ 21,000.00			\$ 36,000.00			\$ 38,000.00			\$ 40,000.00

FINANCIAL STATUS	CURRENT FEE			PROJECTED FEE RENEWAL PERIODS					
	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	38,000.00	922,000.00	38,000.00	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	326,579.86	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

Prepared by
Bureau of Finance and Operations
Division of Fiscal Management

Application - Current vs. Proposed

12/3/2021

Licensee Type	Current				1st Renewal Period				2nd Renewal Period				3rd Renewal Period			
	Annual	Biennial	Cost	Total	Annual	Biennial	Cost	Total	Annual	Biennial	Cost	Total	Annual	Biennial	Cost	Total
Apprentice Auctioneer app	40	80	\$ 30.00	\$ 2,400.00	40	80	\$ 145.00	\$ 11,600.00	40	80	\$ 180.00	\$ 12,800.00	40	80	\$ 175.00	\$ 14,000.00
Auctioneer app	25	50	\$ 50.00	\$ 2,500.00	25	50	\$ 180.00	\$ 9,000.00	25	50	\$ 200.00	\$ 10,000.00	25	50	\$ 220.00	\$ 11,000.00
Course of study application	1	2	\$ 45.00	\$ 90.00	1	2	\$ 180.00	\$ 360.00	1	2	\$ 200.00	\$ 400.00	1	2	\$ 220.00	\$ 440.00
Licensed Auction Company app	45	90	\$ 50.00	\$ 4,500.00	45	90	\$ 120.00	\$ 10,800.00	45	90	\$ 135.00	\$ 12,150.00	45	90	\$ 150.00	\$ 13,500.00
Reciprocal Auctioneer app																
Special License app	10	20	\$ 200.00	\$ 4,000.00	10	20	\$ 120.00	\$ 2,400.00	10	20	\$ 135.00	\$ 2,700.00	10	20	\$ 150.00	\$ 3,000.00
Trading Assistant app	10	20	\$ 100.00	\$ 2,000.00	10	20	\$ 120.00	\$ 2,400.00	10	20	\$ 135.00	\$ 2,700.00	10	20	\$ 150.00	\$ 3,000.00
Trading Assistant Co. app	10	20	\$ 100.00	\$ 2,000.00	10	20	\$ 120.00	\$ 2,400.00	10	20	\$ 135.00	\$ 2,700.00	10	20	\$ 150.00	\$ 3,000.00
				\$ 17,490.00				\$ 38,980.00				\$ 43,450.00				\$ 47,940.00

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

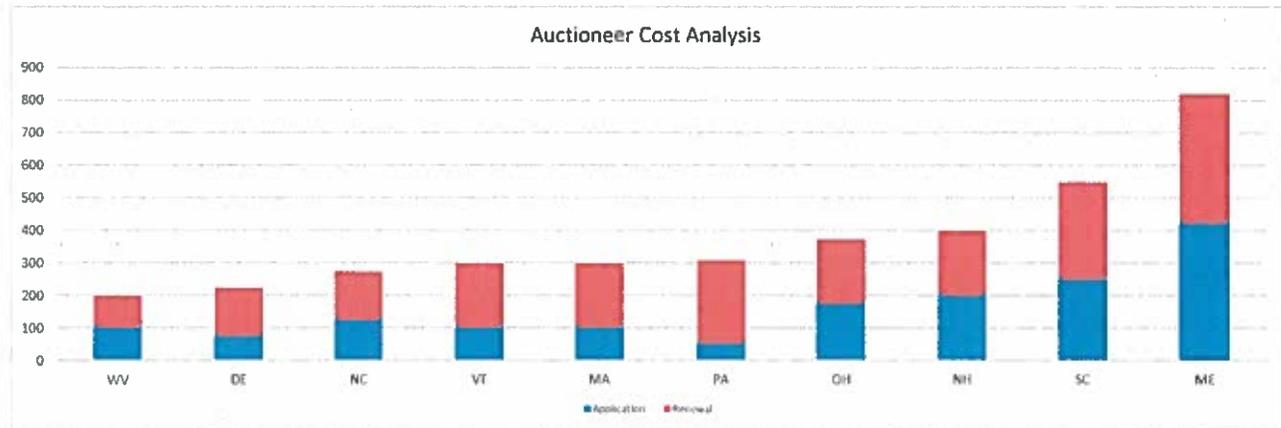
12/3/2021

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

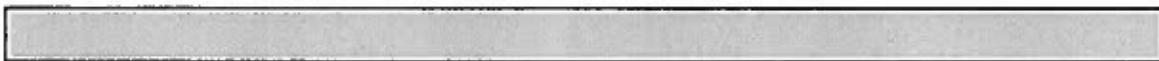
continued ...

	VT	DE	NC	SC
Auctioneer				
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.



Commonwealth of Pennsylvania

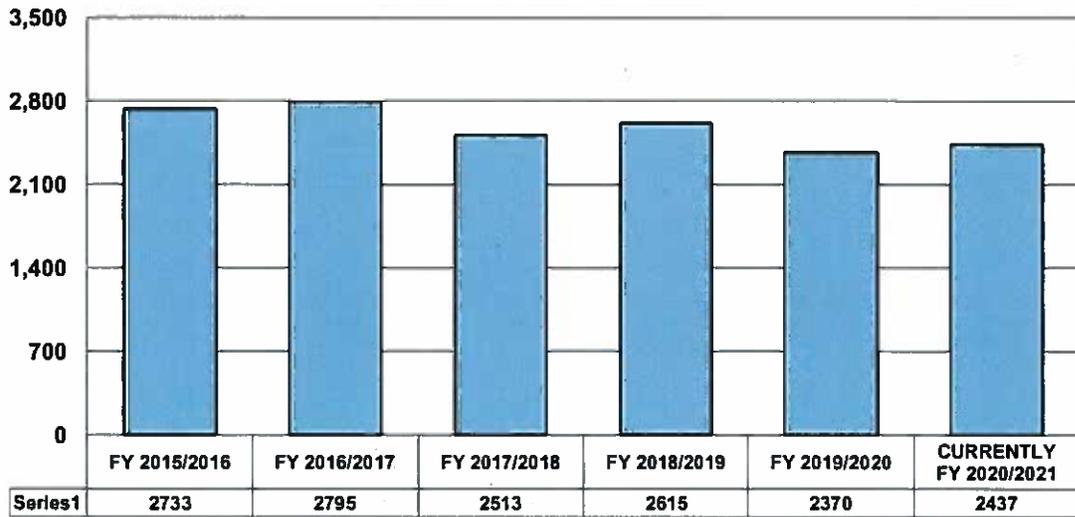


DEPARTMENT OF STATE

**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**



<u>LICENSEES BY CLASS</u>	<u>FY 18-19</u>	<u>FY 19-20</u>	<u>FY 20-21</u>
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
TOTAL	2,615	2,370	2,437

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>
TOTAL REVENUE	<u>568,940.15</u>	<u>20,671.94</u>	<u>589,612.09</u>

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
ADMINISTRATIVE COSTS:				
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
LEGAL COSTS:				
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
TOTAL BOARD COSTS:	315,672.83	335,469.28	321,000.00	121,580.31

FINANCIAL STATUS	ACTUAL FY 18-19	ACTUAL FY 19-20	BUDGET FY 20-21	PROPOSED BUDGET FY 21-22	PROJECTED FY 22-23*	PROJECTED FY 23-24
BEGINNING BALANCE:	(214,606.30)	38,661.02	(276,136.32)	(46,136.32)	(372,136.32)	151,863.68
REVENUE:	568,940.15	20,671.94	551,000.00	20,000.00	855,000.00	35,000.00
TOTAL REVENUE:	354,333.85	59,332.96	274,863.68	(26,136.32)	482,863.68	186,863.68
EXPENSES/BUDGET:	315,672.83	335,469.28	321,000.00	346,000.00	331,000.00	356,000.00
REMAINING BALANCE:	38,661.02	(276,136.32)	(46,136.32)	(372,136.32)	151,863.68	(169,136.32)

* 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
<u>BOARD MEMBER EXPENSES:</u>					
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
TOTAL:	\$8,931.95	\$7,606.00	\$10,000.00	\$1,342.09	\$10,000.00

CDL-1

FACE SHEET
FOR FILING DOCUMENTS
WITH THE LEGISLATIVE REFERENCE BUREAU
(Pursuant to Commonwealth Documents Law)

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MAR 10 2022

Independent Regulatory
Review Commission

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<p>Copy below is hereby approved as to form and legality. Attorney General</p> <p>BY: <u>Amy M. Elliott</u> (DEPUTY ATTORNEY GENERAL)</p> <p><u>3/1/22</u> 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><u>State Board of Auctioneer Examiners</u> (AGENCY)</p> <p>DOCUMENT/FISCAL NOTE NO. <u>16A-6411</u></p> <p>DATE OF ADOPTION: _____</p> <p>BY: <u>Nevin B. Rentzel</u> Nevin B. Rentzel</p> <p>TITLE <u>Board Chair</u> (EXECUTIVE OFFICER, CHAIRMAN OR SECRETARY)</p>	<p>Copy below is hereby approved as to form and legality. Executive or Independent Agencies</p> <p>BY: _____</p> <p><u>February 3, 2022</u> DATE OF APPROVAL</p> <p><u>Deputy General Counsel</u> (Chief Counsel, Independent Agency) (Strike inapplicable title)</p> <p><input type="checkbox"/> Check if applicable. No Attorney General approval or objection within 30 days after submission.</p>
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PROPOSED 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) proposes to amend § 1.41 (relating to schedule of fees) to read as set forth in Annex A.

This proposed rulemaking would increase application fees to reflect updated costs of processing applications and would increase all the Board's biennial renewal fees to ensure its revenue meets or exceeds the Board's current and projected expenses. The proposed rulemaking would 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 proposing graduated biennial renewal fee increases 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

The proposed rulemaking would be effective upon 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 July 1, 2025, and July 1, 2027.

The increased biennial renewal fees would be implemented beginning with the March 1, 2023—February 28, 2025, biennial renewal period. Thereafter, the subsequent graduated increases will be implemented with the biennial renewal for March 1, 2025—February 28, 2027, and for March 1, 2027—February 28, 2029.

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. 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 two-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)) notes 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.

Background and Purpose

The Board is currently in a deficit projected to amount to over \$46,000 for FY 2020-2021 and a projected amount of over \$372,000 in FY 2021-2022. Therefore, the revenues generated by fees, fines and civil penalties imposed in accordance with the provisions of the act are not sufficient to match expenditures over a two-year period.

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. The majority of 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 2016, the Bureau and the Board began to review its application fees and determined that the existing fee schedule did not reflect the costs of the services provided by the Board. The Board receives an annual report from the Department of State's Bureau of Finance and Operations (BFO)

regarding the Board's income and expenses. During the Board's January 9, 2018, board meeting, BFO presented its annual report of the Board's income and expenses. The Board reviewed the fees charged for applications and determined that the current application fees did not accurately reflect the actual cost of processing applications in most instances due to the fact that application fees have not been increased since 2001. During the review, it was determined that the fees needed to be amended to reflect the actual cost of processing. This resulted in a decision to increase some fees, keep some fees the same, and reduce one fee. The cost of processing the "special license to conduct auction" application was determined to currently exceed the actual cost of processing this application. Therefore, the Board is proposing a decrease to this application fee. Also, the Board found that the cost for processing certain applications and requests (application fee to change sponsor, application fee to change auction company license, certification of scores, permit or registration, and verification of license, registration, permit or approval) did not incur any additional cost so those fees remained unchanged. Absent those exceptions, the Board decided to increase all other application fees to accurately reflect the cost of processing applications. In addition, the 2016 amendments to the act removed the provisions relating to licensing "auction houses" and also "Nonresident licensees." Therefore, the changes to the fee schedule also reflect the need to delete fees regarding the licensure and renewal of "auction houses" as well as the fee associated with the "Nonresident exam eligibility review" based on the amendments to the act under Act 88 of 2016, which deleted "auction houses" and "Nonresident licenses."

Increasing application fees alone, however, does not produce sufficient revenue to meet or exceed the Board's projected expenditures. The Board last increased its biennial renewal fees in 2015 when the biennial renewal fee for auctioneer licensee increased from \$200 to \$260, the biennial renewal fees for apprentice auctioneer increased from \$100 to \$130, and the biennial renewal fee for auction houses and auction companies increased from \$200 to \$260. See 31 Pa. B. 6941. This regulation proposes graduated biennial renewal fee increases 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.

On January 9, 2018, May 14, 2018, and September 9, 2019, the BFO reviewed the Board's finances. Based upon data presented, the BFO recommended that the Board consider an increase in biennial renewal fees and application fees. At the Board's May 14, 2018 meeting, the Board approved a schedule of proposed biennial renewal fees and application fees, and a subsequent exposure draft was released to stakeholders and interested parties. One comment was received from the Pennsylvania Auctioneers Association recommending that trading assistant and trading assistant company fees should be the same as auctioneer and auction 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, 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, the Board decided that those application fees should be the same because they required the same type of review and work during the evaluation of the application for approval.

After the exposure draft, the Board moved forward with drafting the regulatory package. In 2019, the Board revisited the structure of its fee schedules. As a part of the BFO's fee increase recommendations, the BFO recommended graduated application and biennial renewal fee increases so that the application fee increases are reflective of actual costs to process applications in each biennium and biennial renewal fees coincide more closely with the projected expenses for each biennium. Based upon the financial information presented to the Board on September 9, 2019, by the BFO, the Board adopted graduated fee increases for applications and biennial renewals.

During the Board's January 6, 2020 meeting, the BFO presented its annual report of the Board's income and expenses. After consideration of the more up-to-date data, the BFO recommended a revised schedule of fees, and the Board reconsidered an increase in biennial renewal fees. During the March 9, 2020 Board meeting, the Board reviewed the proposed annex again and voted to approve it and noted that the BFO would be returning to discuss any additional changes needed. During the September 14, 2020 Board meeting, the Board voted to approve the preamble to the regulation package. During the January 11, 2021 Board meeting, the BFO presented its annual report of the Board's income and expenses, and the Board adopted the currently proposed graduated fee schedule to both minimize the initial impact of increased fees on licensees and ensure that the Board's fees are commensurate with its obligations and expenditures.

In determining appropriate fee increases, the Board considered the breakdown of sources for revenue. For example, during the FY 2016-2017 and 2017-2018 biennial period, 94% of revenue was received from renewals, 4% of revenue was received from applications and 2% was received from miscellaneous charges such as letters of good standing and civil penalties. While application fees only make up less than 4% of the Board's revenue, the Board, with the encouragement and support of the Bureau, determined that a re-evaluation of all application fees was appropriate, especially given that the Board has not updated its application fees since 2001.

During the January 11, 2021, meeting, the BFO presented updated summaries of the Board's revenue and expenses 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 BFO anticipates a deficit balance of \$372,136.22. For FYs 2022-2023 and 2023-2024, with the implementation of this proposed 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. The BFO's data demonstrates that the Board is not able to meet expenditures over a two-year period.

Therefore, in addition to increased application fees, the BFO recommended an increase in biennial renewal fees beginning in FY 2023-2025.

Description of Proposed Amendments

The Board proposes to amend § 1.41 to set forth graduated fee schedules for application fees and biennial renewal fees. In doing so, the Board is deleting the existing fee schedule and adding a new schedule, organized by profession. New subsection (a) lists the graduated schedule of fees for applications for licensure, registration and services with corresponding fees and effective dates. Fees not associated with a profession are set forth under a miscellaneous fee category. The Board also proposes to add subsection (b), which lists the schedule of fees and corresponding effective dates for biennial renewal.

Under § 1.41(a), 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 proposed application fees increase 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. Actual cost calculations for application fees are based upon the following formula:

$$\begin{aligned} & \text{number of minutes to perform the function} \\ & \qquad \times \\ & \text{pay rate for the classification of the personnel performing the function} \\ & \qquad + \\ & \text{a proportionate share of administrative overhead} \end{aligned}$$

Application fees for FY 2021-2022 are based on 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.

The proposed biennial renewal fees would also increase on a graduated basis for auctioneer, apprentice auctioneer, auction company, trading assistant and trading assistant company. The graduated biennial renewal fee schedule is set forth under § 1.41(b), which lists all renewal fees and corresponding effective dates.

The new fee structure will be implemented beginning FYs 2022-2023 through 2023-2024 and will allow the Board to meet or exceed its projected expenditures of \$687,000.00.

Proposed Application Fees

As set forth as follows and in § 1.41(a), the proposed graduated increases will impact approximately 141 applicants annually as follows:

Auctioneer

The Board receives approximately 25 auctioneer applications per year. The graduated application fee increases will generate additional revenue as follows:

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.

Apprentice Auctioneer

The Board receives approximately 40 apprentice auctioneer applications per year. The graduated application fee increases will generate additional revenue as follows:

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.

Auction Company

The Board receives approximately 45 applications for license to practice as an auction company per year. The graduated application fee increases will generate additional revenue as follows:

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.

Trading Assistant

The Board receives approximately 10 applications for registration to practice as a trading assistant per year. The graduated application fee increases will generate additional revenue as follows:

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.

Trading Assistant Company

The Board receives approximately 10 trading assistant company applications per year. The graduated application fee increases will generate additional revenue as follows:

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.

Special License

The Board receives approximately 10 special license applications per year. The graduated application fee will decrease in FY 21-22 and FY 22-23, decreasing revenue for each year by \$800. Increases will generate revenue as follows:

FY 21-22: The fee decrease (\$200 to \$120) will decrease revenue by \$800 in application fees.

FY 22-23: The fee decrease will continue to decrease revenue by \$800 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.

Course of Study

The Board receives approximately 1 application to approve a course per year. The graduated application fee increases will generate additional revenue as follows:

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.

Proposed Biennial Renewal Fees

As set forth as follows and in § 1.41(b), the proposed graduated increases will impact approximately 2,437 licensees, registrants and certificate holders annually as follows:

Auctioneer

There are approximately 1,809 auctioneers who will be impacted by the proposed biennial renewal fee increases. The graduated biennial renewal fee increases will generate additional revenue as follows:

FY 21-22 & FY 22-23: The fee increase (\$260 to \$400) will generate an additional \$253,260 in revenue.

FY 23-24 & FY 24-25: The fee increase (\$400 to \$475) will generate an additional \$135,675 in revenue.

FY 25-26 & FY 26-27: The fee increase (\$475 to \$500) will generate an additional \$45,225 in revenue.

Apprentice Auctioneer

There are approximately 248 apprentice auctioneers who will be impacted by the proposed biennial renewal fee increases. The graduated biennial renewal fee increases will generate additional revenue as follows:

FY 21-22 & FY 22-23: The fee increase (\$130 to \$200) will generate an additional \$17,360 in revenue.

FY 23-24 & FY 24-25: The fee increase (\$200 to \$250) will generate an additional \$12,400 in revenue.

FY 25-26 & FY 26-27: The fee increase (\$250 to \$300) will generate an additional \$12,400 in revenue.

Auction Company

There are approximately 318 auctioneer companies who will be impacted by the proposed biennial renewal fee increases. The graduated biennial renewal fee increases will generate additional revenue as follows:

FY 21-22 & FY 22-23: The fee increase (\$260 to \$400) will generate an additional \$44,520 in revenue.

FY 23-24 & FY 24-25: The fee increase (\$400 to \$475) will generate an additional \$23,850 in revenue.

FY 25-26 & FY 26-27: The fee increase (\$475 to \$500) will generate an additional \$7,950 in revenue.

Trading Assistant & Trading Assistant Company

There are approximately 62 trading assistants and trading assistant companies who will be impacted by the proposed biennial renewal fee increases. The graduated biennial renewal fee increases will generate additional revenue as follows:

FY 21-22 & FY 22-23: The fee increase (\$100 to \$200) will generate an additional \$6,200 in revenue.

FY 23-24 & FY 24-25: The fee increase (\$200 to \$250) will generate an additional \$3,100 in revenue.

FY 25-26 & FY 26-27: The fee increase (\$250 to \$300) will generate an additional \$3,100 in revenue.

Fiscal Impact and Paperwork Requirements

At the end of FY 2020-2021, the Board is projected to have a deficit of \$46,136.32. The new fee structure is projected to produce biennial revenues of \$875,000 in FY 2021-2022 through FY 2022-2023, allowing the Board to begin to reduce the deficit spending. In FY 2022-2023 through FY 2023-2024, the new fee structure is projected to produce biennial revenues of \$890,000 and the deficit balance will continue to decrease to \$169,136.32. Therefore, the new fee structure is projected to allow the Board to meet or exceed its projected expenditures and will 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
<u>FY 25-27:</u>	<u>\$ 68,675</u>
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 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 this proposed rulemaking and a copy of a Regulatory Analysis Form 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). A copy of this material is available to the public upon request.

Under section 5(g) of the Regulatory Review Act, IRRC may convey any comments, recommendations or objections to the proposed rulemaking within 30 days from the close of the public comment period. The comments, recommendations or objections must specify the regulatory review criteria that have not been met. The Regulatory Review Act specifies detailed procedures for review, prior to final publication of the rulemaking, by the Board, the General Assembly and the Governor of comments, recommendations and objections raised.

Public Comment

Interested persons are invited to submit written comments, recommendations or objections regarding this proposed rulemaking to Regulatory Counsel for the Department of State, State Board of Auctioneer Examiners by mail at P.O. Box 69523, Harrisburg, PA 17106-9523 or by email at RA-STRegulatoryCounsel@pa.gov within 30 days following publication of this proposed rulemaking in the Pennsylvania Bulletin. Please reference (16A-6411) Fees when submitting comments.

Nevin B. Rentzel
Chairperson

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>
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(5) Trading assistant company

<u>Application for registration to practice as a trading assistant company</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
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6) Miscellaneous

<u>Special license to conduct auction</u>	<u>\$120</u>	<u>\$135</u>	<u>\$150</u>
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<u>Application fee to approve course</u>	<u>\$180</u>	<u>\$200</u>	<u>\$220</u>
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<u>Certification of scores, permit or registration</u>	<u>\$25</u>	<u>\$25</u>	<u>\$25</u>
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<u>Verification of license, registration, permit or approval</u>	<u>\$15</u>	<u>\$15</u>	<u>\$15</u>
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(b) An applicant for biennial renewal of a license, certificate or registration shall pay the following fees:

	<u>Effective March 1, 2023</u>	<u>Effective March 1, 2025</u>	<u>Effective March 1, 2027</u>
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(1) Auctioneer

<u>Biennial renewal</u>	<u>\$400</u>	<u>\$475</u>	<u>\$500</u>
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(2) Apprentice auctioneer

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
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(3) Auction company

<u>Biennial renewal</u>	<u>\$400</u>	<u>\$475</u>	<u>\$500</u>
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(4) Trading assistant

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
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(5) Trading assistant
company

<u>Biennial renewal</u>	<u>\$200</u>	<u>\$250</u>	<u>\$300</u>
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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

March 10, 2022

The Honorable George D. Bedwick, Chairman
INDEPENDENT REGULATORY REVIEW COMMISSION
14th Floor, Harrisstown 2, 333 Market Street
Harrisburg, Pennsylvania 17101

Re: Proposed Regulation
State Board of Auctioneer Examiners
16A-6411: Fees

Dear Chairman Bedwick:

Enclosed is a copy of a proposed 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
Pamela Iovino, 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

From: Bulletin
To: Zappasodi, Brittany
Subject: [External] RE: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Date: Thursday, March 10, 2022 8:49:13 AM

ATTENTION: This email message is from an external sender. Do not open links or attachments from unknown sources. To report suspicious email, forward the message as an attachment to CWOPA_SPAM@pa.gov.

Good morning Brittany,

Thank you for sending these three proposed rulemakings. Someone from our office will contact you regarding publication in the Pennsylvania Bulletin.

Take care,

Ernest L. Engvall | Legal Assistant

eengvall@palrb.us | 717.783.1531

Legislative Reference Bureau

Code and Bulletin Office

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**Independent Regulatory
Review Commission**

From: Zappasodi, Brittany <bzappasodi@pa.gov>
Sent: Thursday, March 10, 2022 8:40 AM
To: Bulletin <bulletin@palrb.us>
Subject: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Importance: High

Please provide written (email) confirmation of receipt of the delivery of the attached rulemakings.

Please be advised that the State Board of Crane Operators, the State Board of Auctioneer Examiners and the State Board of Veterinary Medicine are delivering the following proposed rulemakings:

- 16A-7104 Licensure by Endorsement
- 16A-6411 Fees
- 16A-5726 Euthanasia

Brittany Zappasodi | Legal Assistant II

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

bzappasodi@pa.gov | www.dos.pa.gov

PRIVILEGED AND CONFIDENTIAL COMMUNICATION

From: Orchard, Kari L.
To: Zappasodi, Brittany
Subject: RE: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Date: Thursday, March 10, 2022 3:34:10 PM

Good afternoon, Brittany,

Thank you for sharing all three of these proposed rulemakings. We are in receipt of them and look forward to reviewing them.

Sincerely,
Kari

Kari Orchard
Executive Director (D) | House Professional Licensure Committee
Chairman Frank Burns, 72nd Legislative District

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From: Zappasodi, Brittany <bzappasodi@pa.gov>
Sent: Thursday, March 10, 2022 3:28 PM
To: Orchard, Kari L. <KOrchard@pahouse.net>
Subject: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Importance: High

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Governor's Office of General Counsel
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From: Emily Hackman
To: Zappasodi, Brittany
Cc: Nicole Sidle
Subject: RE: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Date: Thursday, March 10, 2022 9:15:13 AM

Received.

EMILY EPLER HACKMAN | ADMINISTRATIVE ASSISTANT II

David S. Hickernell, Majority Chairman
Professional Licensure Committee
98th Legislative District
Room 43, East Wing
Harrisburg, PA 17120-2098
717-783-2076

Representative Mindy Fee
37th Legislative District
Room 47, East Wing
Harrisburg, PA 17120-2037
717-772-5290

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From: Zappasodi, Brittany <bzappasodi@pa.gov>
Sent: Thursday, March 10, 2022 8:38 AM
To: Nicole Sidle <Nsidle@pahousegop.com>; Emily Hackman <Eepler@pahousegop.com>
Subject: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Importance: High

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Brittany Zappasodi | Legal Assistant II
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

From: [Livingston, Jerry](#)
To: [Zappasodi, Brittany](#); [Vazquez, Enid](#)
Subject: Re: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726
Date: Thursday, March 10, 2022 4:31:39 PM

I have received them, apologies I was off today and not checking emails diligently. Thank you!

J.J. Livingston

Executive Director
Office of Senator Lisa Boscola

Phone 717-787-4236
Jerry.Livingston@pasenate.com

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MAR 10 2022

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Sent via mobile device. Please excuse any typing or grammatical errors.

From: Zappasodi, Brittany <bzappasodi@pa.gov>
Sent: Thursday, March 10, 2022 4:06:35 PM
To: Livingston, Jerry <Jerry.Livingston@pasenate.com>; Vazquez, Enid <Enid.Vazquez@pasenate.com>
Subject: RE: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726

■ EXTERNAL EMAIL ■

We haven't receive a reply that you received these regulations so I am following up on confirmation of delivery.

Thank you,

Brittany Zappasodi | Legal Assistant II
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
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From: Zappasodi, Brittany
Sent: Thursday, March 10, 2022 8:39 AM
To: Livingston, Jerry <Jerry.Livingston@pasenate.com>; Vazquez, Enid

<Enid.Vazquez@pasenate.com>

Subject: DELIVERY: Regulations 16A-7104, 16A-6411 & 16A-5726

Importance: High

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From: [Blauch, Tammy](#)
To: [Zappasodi, Brittany](#); [Smeltz, Jennifer](#)
Subject: RE: DELIVERY: Regulations 16A-7104 & 16A-6411
Date: Thursday, March 10, 2022 9:10:28 AM

Good morning,
Confirming your email.

Have a great day.

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

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From: Zappasodi, Brittany <bzappasodi@pa.gov>
Sent: Thursday, March 10, 2022 8:37 AM
To: Smeltz, Jennifer <jmsmeltz@pasen.gov>; Blauch, Tammy <tblauch@pasen.gov>
Subject: DELIVERY: Regulations 16A-7104 & 16A-6411
Importance: High

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