



## INSTRUCTIONS FOR LEGAL ENTITY

### 1. ALL APPLICANTS MUST:

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

### 2. ALL APPLICANTS MUST:

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

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

**(NOT COPY OF LICENSE)**

### 4. ALL APPLICANTS MUST:

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

### 5. ALL APPLICANTS: FEES

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

### REGARDING SALESPERSONS WHO ARE AFFILIATED WITH YOUR INDIVIDUAL BROKER LICENSE:

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

Official Use Only

Type or Print Your Answers

**Check ALL Applicable Boxes:**

**APPLICATION STATUS:**  NEW LEGAL ENTITY  REINSTATEMENT

**CHANGES:**  DESIGNATED BROKER  COMPANY NAME  OWNERSHIP

### SECTION I

1. \_\_\_\_\_  
Name of Legal Entity
2. \_\_\_\_\_  
Street Address City, State Zip Code  
\_\_\_\_\_  
Mailing Address City, State Zip Code
3. Telephone \_\_\_\_\_ FAX \_\_\_\_\_
4. Will you be using a Trade Name?  YES  NO If yes, attach a copy of the Trade Name Certificate.

### SECTION II

1. \_\_\_\_\_  
Name of Designated Broker
2. \_\_\_\_\_  
Date of Birth Social Security #
3. \_\_\_\_\_  
Residence Address City/State Zip Code
4. \_\_\_\_\_  
Business Phone Cell Phone  
\_\_\_\_\_  
Fax Email Address
5. How do you prefer we contact you? Email  Mail  Fax

**APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER**

**SECTION III**

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

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

**SECTION IV – ALL NON-RESIDENT ENTITIES**

**CONSENT FOR SERVICE OF PROCESS**

KNOW ALL MEN BY THESE PRESENTS:

THAT \_\_\_\_\_ OF \_\_\_\_\_  
City, State

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

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

AT \_\_\_\_\_

ON THE \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_\_

*Signature of Applicant (Designee)*

*Printed Name*

**SECTION V - ALL APPLICANTS MUST COMPLETE THIS SECTION**

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

SUBSCRIBED AND SWORN TO BEFORE ME \_\_\_\_\_  
CITY OR TOWN STATE

THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_\_

*Signature of Designated Broker*

*Signature of Notary Public*

*My Commission Expires*



Type or Print Clearly

AFFIDAVIT OF OWNERSHIP

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

NAME OF LEGAL ENTITY

EMAIL ADDRESS

NAME OF DESIGNATED BROKER

DATE OF THIS REPORT

Please Check One: (mandatory)

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

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

Attachment Required: (copies acceptable)

- Partnership Agreement
Articles of Organization
Articles of Incorporation

(ATTACH AS MANY OF THESE FORMS AS NEEDED)

MEMBERS/OFFICERS

NAME

NAME

TITLE

TITLE

STREET

STREET

TOWN/CITY STATE ZIP CODE

TOWN/CITY STATE ZIP CODE

SALESPERSON BROKER UNLICENSED

SALESPERSON BROKER UNLICENSED

CONNECTICUT LICENSE #

CONNECTICUT LICENSE #

% OF OWNERSHIP

% OF OWNERSHIP

% OF STOCK INTEREST

% OF STOCK INTEREST

NAME

NAME

TITLE

TITLE

STREET

STREET

TOWN/CITY STATE ZIP CODE

TOWN/CITY STATE ZIP CODE

SALESPERSON BROKER UNLICENSED

SALESPERSON BROKER UNLICENSED

CT LICENSE #

CT LICENSE #

% OF OWNERSHIP

% OF OWNERSHIP

% OF STOCK INTEREST

% OF STOCK INTEREST

EFFECTIVE OCTOBER 1, 2005 - READ CAREFULLY

REQUIRED NOTARIZATION: ALL APPLICANTS MUST COMPLETE THIS SECTION

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

SUBSCRIBED AND SWORN TO BEFORE ME THIS DAY OF 20

Signature of Designated Broker

Signature of Notary Public

My Commission Expires