

UNIQUE ID NUMBER  
(for office use only)

EFF. DATE

FEE  
\$150

NYS Department of State  
Division of Licensing Services  
P.O. Box 22001  
Albany, NY 12201-2001

# Real Estate Broker/Associate Broker Application

Read the Instruction Sheet for details before completing this application form. You must answer each question and TYPE or PRINT responses in ink.

Application as (Check One):  Individual  Trade Name  Corporation  Associate Broker  
 Limited Partnership  Partnership  Limited Liability Company  Limited Liability Partnership

APPLICANT'S LAST NAME FIRST NAME M.I. SUFFIX

HOME ADDRESS - NUMBER AND STREET (PHYSICAL ADDRESS REQUIRED, PO BOX MAY BE ADDED TO ENSURE DELIVERY) APT/UNIT

CITY STATE ZIP+4 COUNTY

BUSINESS NAME SOCIAL SECURITY NUMBER (SEE PRIVACY NOTIFICATION)

BUSINESS ADDRESS - NUMBER AND STREET (PHYSICAL ADDRESS REQUIRED, PO BOX MAY BE ADDED TO ENSURE DELIVERY)

CITY STATE ZIP+4 COUNTY

DAYTIME TELEPHONE NUMBER OFFICE LICENSE/UNIQUE ID NUMBER (SEE INSTRUCTIONS) FEDERAL TAXPAYER ID (SEE PRIVACY NOTIFICATION)  
( )

E-MAIL ADDRESS (THIS ADDRESS WILL BE APPLICANT'S USER ID FOR ON-LINE ACCOUNT) HAS THIS E-MAIL ADDRESS CHANGED SINCE TAKING EXAMINATION?  
 YES  NO

FOR ASSOCIATE BROKERS ONLY:  PRINCIPAL OFFICE  
 BRANCH OFFICE

## 1 Background Data

YES NO

1. What is your date of birth? \_\_\_\_\_
2. Are you currently a member of the New York State Bar? \_\_\_\_\_
3. Have you ever held or do you currently hold a real estate license issued by the State of New York?  
 **IF "YES,"** in what year? \_\_\_\_\_ Under what name? \_\_\_\_\_  
License/Unique ID number \_\_\_\_\_
4. Have you ever been convicted in this state or elsewhere of any criminal offense that is a misdemeanor or a felony?  
 **IF "YES,"** you must submit with this application a written explanation giving the place, court jurisdiction, nature of the offense sentence and/or other disposition. You must submit a copy of the accusatory instrument (e.g., indictment, criminal information or complaint) and a Certificate of Disposition. If you possess or have receive a Certificate of Relief from Disabilities, Certificate of Good Conduct or Executive Pardon, you must submit a copy with this application.

(For Office Use Only – Revenue Unit)

# Real Estate Broker/Associate Broker Application

5. Are there any criminal charges (misdemeanor or felonies) pending against you in any court in this state or elsewhere? \_\_\_\_\_  
→ IF "YES," you must submit a copy of the accusatory instrument (e.g., indictment, criminal information or complaint.)

6. Has any license or permit issued to you or a company in which you are or were a principal in New York State or elsewhere ever been revoked, suspended or denied? \_\_\_\_\_  
→ IF "YES," you must provide all relevant documents, including the agency determination, (if any).

**For questions 7-11 please answer only the statement which applied to your particular licensing status.**

7. I own this business and the Trade Name Certificate has been filed in the Office of the County Clerk where the business is located. (copy enclosed) \_\_\_\_\_
8. I am a member of this partnership and the Certificate of Partnership has been filed in the Office of the County Clerk where the business is located. (copy enclosed) \_\_\_\_\_
9. I am a partner of this limited partnership and the Certificate of Limited Partnership has been filed with the NYS Department of State, Division of Corporations. (copy of filing receipt enclosed) \_\_\_\_\_
10. a. I am an officer of this corporation and the New York State Certificate of Incorporation has been filed with the NYS Department of State, Division of corporations. (copy of filing receipt enclosed) \_\_\_\_\_  
b. I am an officer of this foreign (out of state) corporation and an Application for Authority to do business has been filed with the NYS Department of State, Division of Corporations. (copy of filing receipt enclosed) \_\_\_\_\_  
c. I am currently a licensed Real Estate Salesperson for the above corporation and will be made an officer upon approval of this application. \_\_\_\_\_
11. I am a (member) (manager) of this Limited Liability Company, and a copy of the filing receipt has been filed with the NYS Department of State, Division of Corporations. (copy of filing receipt enclosed) \_\_\_\_\_

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## 2 Child Support Statement — You must complete this section. If you do not complete it, your application will be returned.

"X" A or B, below

I, the undersigned, do hereby certify that (You must "X" A or B, below):

- A.  I am not under obligation to pay child support. (SKIP "B" and go directly to Applicant Affirmation).
- B.  I am under obligation to pay child support (You must "X" any of the four statements below that are true and apply to you):
- I do not owe four or more months of child support payments.
  - I am making child support payments by income execution or court approved payment plan or by a plan agreed to by the parties.
  - My child support obligation is the subject of a pending court proceeding.
  - I receive public assistance or supplemental social security income.

**Applicant Affirmation** — I also affirm, under the penalties of perjury, that the statements made in this application are true and correct. I further affirm that I have read and understand the provisions of Article 12-A of the Real Property Law and the rules and regulations promulgated thereunder.

\_\_\_\_\_  
*Applicant Print Name*

X \_\_\_\_\_  
*Applicant's Signature*

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

**3. DMV Consent Section — IMPORTANT Information Regarding Your Photo ID**

The Department of State produces photo ID cards in cooperation with the NYS Department of Motor Vehicles (DMV). If you have a current NYS Driver License or Non-Driver ID card, please provide your 9-digit DMV ID Number in the space provided below. Then read the informed consent and sign this form. If you do not have a current NYS photo Driver License or Non-Driver ID card, please have your photo taken at any nearby DMV office BEFORE you complete this application. For more details, refer to our enclosed notice, "Request for Photo ID."

**INFORMED CONSENT**

I authorize the NYS Department of State and the NYS Department of Motor Vehicles (DMV) to produce an ID card bearing my DMV photo. I understand that DMV will send this card to the address I maintain with the Department of State. I also understand that the Department of State and DMV will use my DMV photo to produce all my subsequent ID Cards for as long as I maintain my license/registration with the Department of State.

DMV ID # \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

X \_\_\_\_\_  
*Applicant's Signature* *Date Signed*

**4 For Associate Broker Applicants Only**

*Association Statement* — I am sponsoring this applicant.

The sponsoring broker must print and sign their name as indicated below. In addition, they must provide their License/Unique ID number and the date signed.

*Sponsoring Broker* \_\_\_\_\_ *Sponsoring Broker* \_\_\_\_\_  
*(Print name)* *(Signature)*

*Sponsoring Broker's License/Unique ID Number* \_\_\_\_\_ *Date* \_\_\_\_\_



**Real Estate Broker/Associate Broker Application**  
**Licensed Salespersons Activity Only**

**APPLICANT NAME** (ENTER NAME EXACTLY AS SHOWN ON APPLICATION PAGE 1)

**License/Unique ID Number**

**Instructions for Completing Supplement A**

You must accumulate a minimum of **3500 points\*** to qualify for a broker's license based on experience as a real estate salesperson. Applicants must also be licensed as a real estate salesperson for a minimum period of two years\*.

1. In the Number of Transactions Performed column, enter the amount of your activity for each category.
2. Multiply the number of transactions performed by the point value indicated to arrive at the points earned for that category.
3. Add the points earned for each category to arrive at your total points.
4. Enter the total figure on the Total Qualifying Points Line. This is your final qualifying points earned.

\*Except those using combined experience.

You must also complete the experience report on the other side of this page to report your qualifying experience. Points earned for that experience must be calculated below.

<i>Category</i>	<i>Point Value X</i>	<i>Number of Transactions Performed</i>	=	<i>Total Points Earned</i>
<i>Residential Sales:</i>				
1. Single Family, condo, co-op unit, multi family (2 to 8 unit), farm (with residence, under 100 acres) . . . . .	250 X	_____	=	_____
2. Exclusive listings . . . . .	10 X	_____	=	_____
3. Open listings . . . . .	1 X	_____	=	_____
4. Binders effected . . . . .	25 X	_____	=	_____
5. Co-op unit transaction approved by seller and buyer that fails to win Board of Directors approval . . . . .	100 X	_____	=	_____
<i>Residential Rentals:</i>				
6. Rentals or subleases effected . . . . .	25 X	_____	=	_____
7. Exclusive Listings . . . . .	5 X	_____	=	_____
8. Open Listings . . . . .	1 X	_____	=	_____
9. Property Management - Lease renewal . . . . .	2 X	_____	=	_____
- Rent collections per tenant/per year . . . . .	1 X	_____	=	_____
<i>Commercial Sales:</i>				
10. Taxpayer/Storefront . . . . .	400 X	_____	=	_____
11. Office Building . . . . .	400 X	_____	=	_____
12. Apartment Building (9 units or more) . . . . .	400 X	_____	=	_____
13. Shopping Center . . . . .	400 X	_____	=	_____
14. Factory/Industrial warehouse . . . . .	400 X	_____	=	_____
15. Hotel/Motel . . . . .	400 X	_____	=	_____
16. Transient garage/parking lot . . . . .	400 X	_____	=	_____
17. Multi-unit commercial condominium . . . . .	400 X	_____	=	_____
18. Urban commercial development site . . . . .	400 X	_____	=	_____
19. Alternative sale type transaction . . . . .	400 X	_____	=	_____
20. Single-tenant commercial condo . . . . .	250 X	_____	=	_____
21. Listings . . . . .	10 X	_____	=	_____
<i>Commercial Leasing:</i>				
22. New Lease - aggregate rental \$1 to \$200,000 . . . . .	150 X	_____	=	_____
23. New Lease - aggregate rental \$200,000 to \$1 million . . . . .	250 X	_____	=	_____
24. New Lease - aggregate rental over \$1 million . . . . .	400 X	_____	=	_____
25. Renewal - aggregate rental \$1 to \$200,000 . . . . .	75 X	_____	=	_____
26. Renewal - aggregate rental \$200,000 to \$1 million . . . . .	125 X	_____	=	_____
27. Renewal - aggregate rental over \$1 million . . . . .	200 X	_____	=	_____
28. Listings . . . . .	10 X	_____	=	_____
<i>Commercial Financing (includes residential properties of more than four units):</i>				
29. \$1 to \$500,000 . . . . .	200 X	_____	=	_____
30. \$500,000 to \$5,000,000 . . . . .	300 X	_____	=	_____
31. Over \$5,000,000 . . . . .	400 X	_____	=	_____
<i>Miscellaneous:</i>				
32. Sale vacant lots, land (under 100 acres) . . . . .	50 X	_____	=	_____
33. Sale vacant land (more than 100 acres) . . . . .	150 X	_____	=	_____
34. Other, must be fully explained . . . . .	__ X	_____	=	_____
<b>Total Qualifying Points</b>				➤ _____

# Employment History

You must indicate all employment which is commensurate with the experience claimed on the other side of this form. Please make sure that you and the sponsoring broker complete and sign the certification and indicate the total points accumulated. If you were employed with another broker(s) and are claiming experience through that association, you must also have that broker sign the certification and indicate points accumulated while working under his/her sponsorship.

## Current Sponsoring Broker/Agency (please print or type)

NAME	LAST	FIRST	M.I.	SUFFIX
WORK ADDRESS	STREET ADDRESS (REQUIRED)			
	CITY	STATE	ZIP+4	COUNTY
LICENSE/UNIQUE ID NUMBER				

## Additional Salesperson Experience (if applicable)

Salesperson Experience - I was actively engaged as a licensed real estate salesperson as indicated below:

Broker's Name and Address:	Number of Hours/Week	From: Month/Day/Year	To: Month/Day/Year

*Notice to Applicant:* The information given on this application is subject to verification. In order to prevent any unnecessary return of your application, we request your cooperation by providing us with information that will help us contact you by telephone if needed.

Business Phone: ( ) \_\_\_\_\_ Home Phone: ( ) \_\_\_\_\_ Alternate: ( ) \_\_\_\_\_

All claimed transactions are subject to verification. In order to claim experience points, both the broker and salesperson applicant must be able to provide documentation which clearly demonstrates the active participation of the applicant in each transaction.

Failure to provide satisfactory supporting documentation may result in denial of the application and/or disciplinary action initiated against the applicant and broker.

We, the undersigned, jointly certify that the named applicant has accumulated a total of \_\_\_\_\_ points as indicated in the preceding qualifying experience report. We further certify that the information given above is true to the best of our knowledge and belief. We understand that any material misstatement made may result in the revocation or suspension of the license, if issued, as well as any existing license of the applicant and/or the broker.

Applicant Signature/Date \_\_\_\_\_ Broker Signature/Date \_\_\_\_\_

### Additional Affirmations if Necessary:

We, the undersigned, jointly certify that the named applicant has accumulated a total of \_\_\_\_\_ points as indicated in the preceding qualifying experience report. We further certify that the information given above is true to the best of our knowledge and belief. We understand that any material misstatement made may result in the revocation or suspension of the license, if issued, as well as any existing license of the applicant and/or the broker.

Applicant Signature/Date \_\_\_\_\_ Broker Signature/Date \_\_\_\_\_



APPLICANT NAME (ENTER NAME EXACTLY AS SHOWN ON APPLICATION PAGE 1)

License/Unique ID Number

Instructions for Completing Supplement B

You must accumulate a minimum of 5250 points\* to qualify for a broker's license based on equivalent experience in general real estate business. Applicants must also possess at least three years of experience in the real estate business equivalent to that of an active real estate salesperson\*.

- 1. In the Number of Transactions Performed column, enter the amount of your activity for each category.
2. Multiply the number of transactions performed by the point value indicated to arrive at the points earned for that category.
3. Add the points earned for each category to arrive at your total points.
4. Enter the total figure on the Total Qualifying Points Line. This is your final qualifying points earned.

\*Except those using combined experience.

You must also complete the experience report on the other side of this page to report your qualifying experience. Points earned for that experience must be calculated below.

Table with 4 columns: Category, Point Value X, Number of Transactions Performed, Total Points Earned. Rows include Residential Sales and/or Purchase, Residential Rentals, Commercial Sales, Commercial Leasing, Commercial Financing, and Miscellaneous categories.





APPLICANT NAME (ENTER NAME EXACTLY AS SHOWN ON APPLICATION PAGE 1) License/Unique ID Number

**Combined Experience as a Licensed Real Estate Salesperson  
and Equivalent Experience in General Real Estate Business  
Instructions for Completing Supplement C**

You must accumulate a minimum of **5250** points to qualify for a broker’s license based on combined experience in General Real Estate Business and Licensed Real Estate Salesperson Experience. Applicants must also possess at least three years of experience in the real estate business equivalent to that of an active real estate salesperson.

1. You must complete both sides of Supplement A for all licensed salesperson activity of less than two years. Please disregard the minimum point requirement indicated in Supplement A.
2. You must complete both sides of Supplement B for all equivalent experience in general real estate business. Please disregard the minimum point requirement indicated in Supplement B.
3. After completing Supplements A and B, use the following table for computing your total combined experience.

Enter in the box at right your qualifying points earned from Licensed Salesperson Activity (from the Total Qualifying Points box on Supplement A). <i>Multiply by two.</i> Enter this number in the box at the far right.		X 2	
Enter in the box at right your qualifying points earned from Equivalent Experience in General Real Estate Business (from the Total Qualifying Points box on Supplement B).			
Add your qualifying points from Licensed Salesperson Activity and Equivalent Experience in General Real Estate Business and enter in the box at right. This is your total qualifying points earned.			

**IMPORTANT** — You must earn at least **5250** total points (from Supplement A and Supplement B) to qualify under combined experience. Please be sure that Supplement A and Supplement B are completely filled out.