INSTRUCTIONS FOR LEGAL ENTITY

1. ALL APPLICANTS:

Broker Completing this Application must:

- Already hold a Connecticut Real Estate Broker’s License;  OR
- Have an Individual Broker’s License in a Reciprocal State by examination;  OR
- Passed the Connecticut Real Estate Broker’s Exam but have not paid for license.

2. ALL APPLICANTS:

☐ FIRST REGISTER YOUR LEGAL ENTITY WITH THE CONNECTICUT SECRETARY OF STATE

SECRETARY OF STATE - (860) 509-6002

3. RECIPROCAL BROKERS ARE ALSO REQUIRED TO:

☐ OBTAIN A “CERTIFICATION OF LICENSE HISTORY” from your State Licensing Authority indicating that the LEGAL ENTITY is licensed as a Real Estate Broker.

☐ COMPLETE CPR-73

Select the appropriate Consent Form included herein for your type of legal entity.

THIS “CERTIFICATION OF LICENSE HISTORY” MUST INDICATE THAT YOU HAVE PASSED THE BROKER LICENSING EXAM IN THAT RECIPROCAL STATE WHEREIN YOU HOLD YOUR BROKER LICENSE IN THE NAME OF YOUR LEGAL ENTITY.

NOT COPY OF LICENSE

4. ALL APPLICANTS (including Reciprocal Brokers) ARE REQUIRED TO:

☐ OBTAIN A “CERTIFICATION OF LICENSE HISTORY” FROM EACH STATE (EXCEPT CT) IN WHICH YOU CURRENTLY HAVE OR HAD A LICENSE.

NOT COPY OF LICENSE

5. ALL APPLICANTS: ONLY AFTER YOU HAVE REGISTERED YOUR LEGAL ENTITY WITH THE CT SECRETARY OF STATE

☐ COMPLETE APPLICATION FOR LEGAL ENTITY TO BECOME A BROKER

☐ COMPLETE ATTACHED AFFIDAVIT OF OWNERSHIP

verifying ownership interest & stock interest for each Member/Officer

☐ ATTACH ONE OF THE FOLLOWING:

- Partnership Agreement
- Articles of Organization (limited liability company)
- Articles of Incorporation (corporation)

6. REGARDING SALESPERSONS WHO ARE AFFILIATED WITH YOUR CURRENT BROKER LICENSE:

☐ NOTE:

Connecticut licensed Salespersons currently working for you must complete a Salesperson Transfer Form to become affiliated with your new legal entity.

$25.00 Transfer Fee for each.

Salesperson Transfer Form is attached.

☐ NOTE:

Salespersons not Connecticut licensed must apply for a Connecticut license if they will also engage in the real estate business in Connecticut on behalf of your company:

[A] Salespersons from a reciprocal state – Select Reciprocal Individuals from website.

[B] Salespersons from a non-reciprocal state – Select Applicants with Out-of-State Courses from website.

7. ALL APPLICANTS: FEE

☐ $60.00 Application Fee*

for Designated Broker

*NOTE: This $60.00 fee is not required if you already hold a Connecticut Broker License OR you have recently passed the Connecticut Real Estate Broker’s Exam.

8. ALL APPLICANTS: FEE

☐ LICENSE FEE FOR LEGAL ENTITY and APPLICATION FEE FOR LEGAL ENTITY

See Pro-Rated License Fee Schedule

ALL CHECKS PAYABLE TO: “TREASURER, STATE OF CONNECTICUT”
# BROKER
## PRO-RATED LICENSE FEE SCHEDULE

IF PAYMENT IS MADE BETWEEN:

<table>
<thead>
<tr>
<th>Period</th>
<th>License Fee</th>
<th>Legal Entity Application Fee</th>
<th>Total Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>4/1 - 6/30</td>
<td>$470.00</td>
<td>$60.00</td>
<td>$530.00</td>
</tr>
<tr>
<td>7/1 - 9/30</td>
<td>$357.50</td>
<td>$60.00</td>
<td>$417.50</td>
</tr>
<tr>
<td>10/1 - 12/31</td>
<td>$245.00</td>
<td>$60.00</td>
<td>$305.00</td>
</tr>
<tr>
<td>1/1 - 1/31</td>
<td>$132.50</td>
<td>$60.00</td>
<td>$192.50</td>
</tr>
</tbody>
</table>

**NOTE:**
If you are submitting Application between 2/1 and 3/31, include the correct Renewal Fee payment to avoid a delay in processing your active license.

<table>
<thead>
<tr>
<th>Period</th>
<th>License Fee</th>
<th>Legal Entity Application Fee</th>
<th>Total Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>2/1 - 3/31</td>
<td>$132.50</td>
<td>$60.00</td>
<td>$192.50</td>
</tr>
</tbody>
</table>

$192.50 plus $308.00 Renewal Fee on the **even years** = $500.50

or

$192.50 plus $300.00 Renewal Fee on the **odd years** = $492.50

MAKE YOUR CHECK PAYABLE TO:
“TREASURER, STATE OF CONNECTICUT”

Note: If you are not licensed as a Connecticut Individual Broker, you must include Two $60.00 Application Fees (one to qualify as a broker and one for the legal entity)
APPLICATION FOR A LEGAL ENTITY TO BECOME A BROKER or REINSTATE

Type or Print your Answers

SECTION I

Check ALL Applicable Boxes:

□ CORPORATION  □ LIMITED LIABILITY COMPANY  □ PARTNERSHIP  
□ LIMITED LIABILITY PARTNERSHIP  □ ASSOCIATION  □ LTD PARTNERSHIP

APPLICATION STATUS:  □ NEW LEGAL ENTITY  □ REINSTATEMENT/RENEWAL  □ RECIPROCAL

CHANGES:  □ CHANGE OF DESIGNEE  □ COMPANY NAME CHANGE must be same type of legal entity if not, apply as a New Legal Entity.

1. NAME OF LEGAL ENTITY_____________________________________________________________________________________________

2. BUSINESS ADDRESS________________________________________________________________________________________________
   Street                                               City/State                                       Zip Code

SECTION II

1. NAME OF DESIGNATED BROKER:______________________________________________________________________________________
   First                                             Middle                                                  Last

2. HAVE YOU EVER CHANGED YOUR NAME? □ YES  □ NO  If Yes, Give Name(s)_________________________________________________

3. DATE OF BIRTH____________________________________  SOCIAL SECURITY #________________________________________________

4. RESIDENCE ADDRESS________________________________________________________________________________________________
   Street                                                           City/State                                       Zip Code

5. TELEPHONE:  RESIDENCE _______ _________________________ Residence FAX _________________________
   BUSINESS _______   _________________________ Business FAX _________  ________________________________
   CELL PHONE_______________________________________________________
   E-MAIL ADDRESS_________________________________________________________________________________ 

SECTION III

1. Has the name of the legal entity ever been changed? □ YES  □ NO  If yes, Give name(s):
   _______________________________________________________________________________________________________

2. Is your legal entity up-to-date with the Secretary of State’s Office? □ YES  □ NO

3. Will you be using a Trade Name? □ YES  □ NO

4. If yes, what is the Trade Name?_________________________________________________________________________________ 

5. Have you registered your Trade Name at the Town Clerk’s Office where your business is located? □ YES  □ NO  □ Not Necessary

6. Has any complaint been filed against you or any officer/member of this legal entity with this office or with any other State?
   □ YES  □ NO
   If yes, give details___________________________________________________________________________________________________ 

7. 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
   If yes, please attach a description of the circumstances relating to each conviction(s) providing date(s) of conviction(s), court(s)
   where the cases were decided, and COMPLETE THE CRIMINAL CONVICTION APPLICATION WORKSHEET (see website)

8. Has legal entity ever held a real estate license in any other State?
   What State?_____________________________________________  Dates held_________________________________________ 8. □ YES  □ NO

9. Does legal entity currently hold a real estate license in Connecticut or any other State?
   What State?_____________________________________________ License #_______________________________ 9. □ YES  □ NO
APPLICATION FOR LEGAL ENTITY TO BECOME A BROKER

SECTION IV – DESIGNATED BROKER

1. Do you currently hold a real estate broker’s license in your own name in Connecticut or any other State? ☐ YES ☐ NO

   LICENSE # ________________________ STATE(S) ________________________

2. Have you ever held a real estate license in Connecticut or any other State? ☐ YES ☐ NO

   If yes, give name of State ________________________ Dates Held ________________________
   Type of license ________________________ License # ________________________

3. ATTACH CERTIFICATION(S) OF LICENSE HISTORY FROM EACH STATE (EXCEPT CT)
   IN WHICH YOU HAVE OR HAD A REAL ESTATE LICENSE IN YOUR OWN NAME. (Not copy of license.) ☐ YES ☐ NO

4. Have you ever been refused a real estate license in Connecticut or any other State? ☐ YES ☐ NO

   If yes, give name of State(s) ________________________ Dates Held ________________________
   Details __________________________________________

5. Have you read the Connecticut Real Estate Licensing Laws and Regulations? ☐ YES ☐ NO

6. Do you agree to return immediately any license, when required by the Real Estate Commission, and to conform to all rules and regulations promulgated by the Commission and this Department? ☐ YES ☐ NO

SECTION V – ALL NON-RESIDENTS

CONSENT FOR SERVICE OF PROCESS FOR INDIVIDUALS

KNOW ALL MEN BY THESE PRESENTS:

THAT THE UNDERSIGNED ________________________

COUNTY OF ________________________ STATE OF ________________________

Being an applicant for license as a Real Estate Broker or Real Estate Salesperson 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

SECTION VI - 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.

STATE ________________________ CITY OR TOWN ________________________ COUNTY OF ________________________ DATE ________________________

SUBSCRIBED AND SWORN TO BEFORE ME THIS ________________________ DAY OF ________________________ 20 __________

________________________________________________________
Signature of Notary Public

________________________________________________________
Signature of Designated Broker
# 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. I HEREBY ATTEST TO THE ACCURACY OF THE INFORMATION PROVIDED BELOW UNDER PENALTY OF LAW.

<table>
<thead>
<tr>
<th>NAME OF LEGAL ENTITY</th>
<th>DATE OF THIS REPORT:</th>
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<table>
<thead>
<tr>
<th>NAME OF DESIGNATED BROKER</th>
<th>EFFECTIVE OCTOBER 1, 2005 – READ CAREFULLY</th>
</tr>
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<tbody>
<tr>
<td>PUBLICLY-TRADED STOCK CORPORATION</td>
<td>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. REFER TO COMPLETE PUBLIC ACT 05-115 ATTACHED.</td>
</tr>
<tr>
<td>CLOSED STOCK CORPORATION</td>
<td>ATTACH AS MANY OF THESE FORMS AS NEEDED</td>
</tr>
<tr>
<td>NON-STOCK CORPORATION</td>
<td></td>
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<tr>
<td>PARTNERSHIP</td>
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<tr>
<td>LIMITED LIABILITY COMPANY</td>
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| Please Check One (mandatory) | |
|-----------------------------||
| PUBLICLY-TRADED STOCK CORPORATION | |
| CLOSED STOCK CORPORATION | |
| NON-STOCK CORPORATION | |
| PARTNERSHIP | |
| LIMITED LIABILITY COMPANY | |

| Attachment Required: (copies acceptable) | |
|------------------------------------------||
| Partnership Agreement | |
| Articles of Organization | |
| Articles of Incorporation | |

## MEMBERS/OFFICERS

<table>
<thead>
<tr>
<th>NAME</th>
<th>TITLE</th>
<th>STREET</th>
<th>TOWN/CITY</th>
<th>STATE</th>
<th>ZIP CODE</th>
<th>SALESPERSON</th>
<th>BROKER</th>
<th>UNLICENSED</th>
<th>CONNECTICUT LICENSE #</th>
<th>% OF OWNERSHIP</th>
<th>% OF STOCK INTEREST</th>
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<th>CONNECTICUT LICENSE #</th>
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<th>% OF STOCK INTEREST</th>
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## REQUIRED NOTARIZATION: 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.

<table>
<thead>
<tr>
<th>STATE</th>
<th>CITY OR TOWN</th>
<th>COUNTY OF</th>
<th>DATE</th>
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SUBSCRIBED AND SWORN TO BEFORE ME THIS ________________________ DAY OF ____________ 20____

Signature of Notary Public ________________________________

Signature of Designated Broker ________________________________
Section 20-312(a) No person shall act as a real estate broker or real estate salesperson without a license issued by the commission, unless exempt under this chapter. The Commissioner of Consumer Protection may enter into any contract for the purpose of administratively processing the renewal of licenses on behalf of the commission.

(b) The practice of or the offer to practice real estate brokerage business in this state by individual licensed real estate brokers or real estate salespersons as a corporation, limited liability company or partnership, a material part of the business of which includes real estate brokerage, is permitted, provided (1) the personnel of such corporation, limited liability company or partnership who engage in the real estate brokerage business as real estate brokers or real estate salespersons, and the real estate brokers whose ownership, control, membership or partnership interest is credited toward the requirements of subdivision (3) of this subsection, are licensed or exempt from licensure under this chapter, (2) the corporation, limited liability company or partnership has been issued a real estate broker license by the commission as provided in this section and has paid the license or renewal fee required for a real estate broker’s license as set forth in section 20-314, and (3) except for a publicly-traded corporation (a) with respect to a corporation other than a nonstock corporation, one or more real estate brokers own or control fifty-one per cent or more of the total issued shares of the corporation, (b) with respect to a nonstock corporation, one or more real estate brokers constitute at least fifty-one per cent of the members of the nonstock corporation, (c) with respect to a limited liability company, one or more real estate brokers own or control at least fifty-one per cent of the interest in the limited liability company, as defined in section, 34-101, or (d) with respect to a partnership, one or more real estate brokers’ partnership interest, as defined in section 34-301, constitutes at least fifty-one per cent of the total partnership interest. No such corporation, limited liability company or partnership shall be relieved of responsibility for the conduct or acts of its agents, employees or officers by reason of its compliance with this section, nor shall any individual practicing real estate brokerage be relieved of responsibility for real estate services performed by reason of the individual’s employment or relationship with such corporation, limited liability company or partnership. The Real Estate Commission may refuse to authorize the issuance or renewal of a license if any facts exist that would entitle the commission to suspend or revoke an existing license.

(c) A corporation, limited liability company or partnership desiring a real estate broker license shall file with the commission an application on such forms and in such manner as prescribed by the Department of Consumer Protection. Each such corporation, limited liability company or partnership shall file with the commission a designation of at least one individual licensed as a real estate broker in this state who shall be in charge of the real estate broker business of such corporation, limited liability company or partnership in this state. Such corporation, limited liability company or partnership shall notify the commission of any change in such designation not later than thirty days after such change becomes effective.

(d) The Real Estate Commission may impose a fine of not more than one thousand dollars on any corporation, limited liability company or partnership that engages in real estate business without a license required by this section.
CONSENT FOR SERVICE OF PROCESS FOR CORPORATIONS

CERTIFIED COPY OF RESOLUTION DULY PASSED BY THE BOARD OF DIRECTORS

OF THE ___________________________________________ CORPORATION

ON THE ______________________ DAY OF ___________________________ 20__________.

At a meeting of the Board of directors of the

_________________________________________ CORPORATION

held on the ______________________ day of ___________________________ 20__________.

a quorum being present, the following resolution was passed by said Board:

RESOLVED that this Corporation being an applicant for a license as a Connecticut Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes, entitled “Real Estate Brokers and Salespersons”, does irrevocably consent that suits and actions may be commenced against the Corporation 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 this Corporation in any such proceeding, service of process may be made therein by the service of any process or pleadings authorized by the laws of Connecticut on the Chairman of the Connecticut Real Estate Commission, hereby stipulating and agreeing that such service of process or pleadings upon said Chairman 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 the Corporation in the State of Connecticut and the President and Secretary of this Corporation are authorized to execute such instruments as may be necessary to effectuate this resolution.

SEAL OF CORPORATION

I hereby certify that the above is a true copy

the Resolution of the Directors of such Corporation

authorizing the irrevocable consent for suits and actions in the State of Connecticut.

____________________________  ________________________________________________
Date                                                     Secretary signature

STATE OF_________________________________}                      SS

COUNTY OF _______________________________}                      SS

On this ______________________ day of ___________________________ 20__________, personally appeared

_________________________________________ title: _______________________________ of the

_________________________________________ Corporation

who acknowledged the foregoing instrument to be his (her) free act and deed and the free act and deed of the said corporation, and that the seal affixed to said instrument is the corporate seal of said corporation; and that the said corporate seal and signature were duly affixed and subscribed to by the authority and direction of said Corporation.

WITNESS, my hand and official seal at

in the County and State aforesaid, the
day, date, and year above written.

NOTARY PUBLIC
CONSENT FOR SERVICE OF PROCESS FOR LIMITED LIABILITY COMPANY

THE NAME OF THE LIMITED LIABILITY COMPANY
IS____________________________________________________________________________________________________

IT IS REGISTERED UNDER THE LAWS OF____________________________________________________________________

AND THE ADDRESS OF ITS EXECUTIVE OFFICE
IS____________________________________________________________________________________________________

The limited liability company, being an applicant for a license as a Real Estate Broker under the provisions of Chapter 392 of the Connecticut General Statutes, entitled “Real Estate Brokers and Salespersons”, does irrevocably consent that suits and actions may be commenced against the limited liability company 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, by the service of any process or pleading, authorized by the laws of the State of Connecticut, on the Chairman of the Connecticut Real Estate Commission. The limited liability company stipulates and agrees that such service of process or pleading upon said Chairman 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 the limited liability company in the State of Connecticut.

DATED AT_________________________________________ THIS__________________ DAY OF ___________________________, 20__________

_______________________________________________________ MANAGER

STATE OF_____________________________________

COUNTY OF______________________________________ __________________________________, 20__________

PERSONALLY
APPEARED                                          AND

AND ACKNOWLEDGED THE SAME TO BE THEIR FREE ACT AND DEED, BEFORE ME.

_______________________________________________________ NOTARY PUBLIC
REAL ESTATE SALESPERSON TRANSFER FORM

All spaces must be completed - please print in ink or type. This application **must be accompanied by a check or money order in the amount of $25.00**, Payable to: “Treasurer, State of Connecticut”.

**Note:** This completed form and fee **must be received by this Department before you can represent a new broker.**

### SALESPEerson INFORMATION

<table>
<thead>
<tr>
<th>LAST NAME (Print Clearly)</th>
<th>FIRST NAME</th>
<th>Middle Initial</th>
<th>CURRENT LICENSE #</th>
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<tbody>
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<table>
<thead>
<tr>
<th>RESIDENCE STREET ADDRESS</th>
<th>TOWN</th>
<th>STATE</th>
<th>ZIP CODE</th>
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<table>
<thead>
<tr>
<th>E-MAIL ADDRESS</th>
<th>TELEPHONE NUMBER</th>
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<table>
<thead>
<tr>
<th>SIGNATURE OF SALESPERSON</th>
<th>DATE</th>
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</table>

### SPONSORING BROKER INFORMATION

<table>
<thead>
<tr>
<th>LEGAL NAME OF CORPORATION, LIMITED LIABILITY COMPANY, or PARTNERSHIP</th>
<th>LICENSE # (Not Issued Yet)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW LEGAL ENTITY</td>
<td></td>
</tr>
<tr>
<td>ADDRESS</td>
<td>PRINT NAME OF DESIGNATED BROKER</td>
</tr>
<tr>
<td>E-MAIL ADDRESS</td>
<td>TELEPHONE NUMBER</td>
</tr>
<tr>
<td>DESIGNATED BROKER’S SIGNATURE</td>
<td>DATE</td>
</tr>
</tbody>
</table>

**Excerpt from General Statutes of Connecticut**

**Sec. 20-319a.** Change of salesperson's employment or affiliation. Fees. (a) Any licensed real estate **salesperson** who transfers his employment from one broker to another or his affiliation with a broker as an independent contractor shall register such transfer with, and pay a registration fee of twenty-five dollars to, the Real Estate Commission.

*Note: Brokers who affiliate with another Broker are not required to complete this form or submit the above fee.*