

STATE BOARD OF AUCTIONEER EXAMINERS

MAILING ADDRESS

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

COURIER ADDRESS

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

PHONE: 717-783-3397

FAX: 717-705-5540

EMAIL: st-auctioneer@pa.gov

WEB: www.dos.pa.gov/auct

CHANGES TO AN AUCTION HOUSE AND/OR AUCTION COMPANY LICENSE

Follow Instructions Below and Submit ALL Required Documents

Application Fee: \$15.00 NON-REFUNABLE APPLICATION FEE. CHECK OR MONEY ORDER MADE PAYABLE TO THE "COMMONWEALTH OF PENNSYLVANIA." (\$20.00 CHARGE FOR ALL CHECKS RETURNED "NOT PAID" REGARDLESS OF THE REASON FOR NON-PAYMENT).

Page 1- MUST be completed in its entirety.

- Auction House and/or Auction Company license number.
- Name of Auction House and/or Auction Company.
- Name of owner.
- Daytime telephone number.
- E-mail address.
- Auctioneer-of-Record and license number.
- Business address.
- Mailing address (If different from the business address).
- Bond number.

Page 2- MUST complete applicable change(s).

If using a fictitious name, you must submit a time stamped or certified copy of the original fictitious name registration filed in the Corporation Bureau of the Department of State. The Corporation Bureau can be reached at 717-787-1057 or ra-corps@pa.gov or www.dos.state.pa.us/corps.

Limited Liability Companies must submit a time stamped or certified copy of the original Certificate of Organization showing the Certificate of Organization has been filed in the Corporation Bureau of the Department of State. The Corporation Bureau can be reached at 717-787-1057 or ra-corps@pa.gov or www.dos.state.pa.us/corps.

Page 3-Questions 1-9 MUST be completed by the Auctioneer-of-Record.

Page 4- Verification Statement MUST be signed by the owner and the Auctioneer-of-Record.

BOND INFORMATION:

- 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.
- If Bond is for an “Auction House” it must indicate that it is for an “Auction House.”
- If Bond is for an “Auction Company” it must indicate that it is for an “Auction Company.”

REQUIRED BOND INFORMATION FOR CHANGE OF BUSINESS NAME AND OR CHANGE OF ADDRESS:

If the existing bonding company name and bond number on file with the Board HAVE NOT CHANGED, you must obtain an updated rider or endorsement from your bonding company showing the name and/or address change of the auction house and/or company.

The updated rider or endorsement must provide the following information:

Name of bonding company, bond number, principal (name of auction house or auction company), obligee (Commonwealth of Pennsylvania), effective date of the change, and a reason for the change. The bonding company must sign the rider or endorsement, imprint their seal, and a certified copy of the Power of Attorney must be attached.

If the existing bonding company name and or bond number on file with the Board HAVE CHANGED, a new bond is required (blank form attached). The “Bond Information” listed above is required. The new bond must be signed and witnessed, the bonding company must sign the bond, imprint their seal, and a certified copy of the Power of Attorney must be attached to the bond.

The Consent of Nonresident Licensee must be completed (IF APPLICABLE).

PLEASE NOTE: ALL ITEMS LISTED ABOVE MUST BE COMPLETED IN ORDER TO PROCESS THE APPLICATION. IF THE APPLICATION IS NOT COMPLETED IN ITS ENTIRETY OR THE REQUIRED DOCUMENTS ARE NOT PROVIDED, PROCESSING TIME WILL BE DELAYED.

STATE BOARD OF AUCTIONEER EXAMINERS

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

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

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

CHANGES TO AN AUCTION HOUSE AND/OR AUCTION COMPANY LICENSE

FEE: \$15.00 NON-REFUNDABLE APPLICATION FEE.

Check All That Apply:

- CHANGE OF BUSINESS NAME** (If there is a change of ownership, do not use this form. You must submit a new Auction House and/or Auction Company License Application.)
- CHANGE OF AUCTIONEER-OF-RECORD**
- CHANGE OF ADDRESS**

BLACK INK ONLY

AUCTION HOUSE LICENSE NUMBER: _____ AUCTION COMPANY LICENSE NUMBER: _____	AH- _____ AY- _____
NAME OF AUCTION HOUSE: _____ NAME OF AUCTION COMPANY: _____ NAME OF OWNER(S): _____ DAYTIME TELEPHONE NUMBER: () _____ E-MAIL ADDRESS: _____ NAME OF AUCTIONEER-OF-RECORD AND LICENSE NUMBER: NAME: _____ LICENSE NUMBER: AU- _____	
(Please Note: Auctioneer-of-Record must have a current license and bond on file with the Board office.)	
BUSINESS ADDRESS: _____ <small>Street Address</small> : <small>P.O. Box (if applicable)</small> _____ <small>City:</small> <small>State:</small> <small>Zip Code:</small> _____	
MAILING ADDRESS (if different from the business address): _____ <small>Street Address</small> : <small>P.O. Box (if applicable)</small> _____ <small>City:</small> <small>State:</small> <small>Zip Code:</small> _____	
HOUSE BOND NUMBER: _____ COMPANY BOND NUMBER: _____	
PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF YOUR APPLICATION.	

CHANGE OF BUSINESS NAME

OLD AUCTION HOUSE NAME: _____
NEW AUCTION HOUSE NAME: _____
OLD AUCTION COMPANY NAME: _____
NEW AUCTION COMPANY NAME: _____

CHANGE OF AUCTIONEER-OF-RECORD

NAME OF AUCTIONEER-OF-RECORD: _____
LICENSE NUMBER: AU-_____ **DISASSOCIATION DATE:** _____

NAME OF NEW AUCTIONEER-OF-RECORD: _____
LICENSE NUMBER: AU-_____ **ASSOCIATION DATE:** _____

CHANGE OF ADDRESS

OLD BUSINESS ADDRESS: <i>(Required for Verification)</i>	_____

	City: _____ State: _____ Zip Code: _____
NEW BUSINESS ADDRESS:	_____

	City: _____ State: _____ Zip Code: _____

TO BE COMPLETED BY THE AUCTIONEER OF RECORD:

If you answered "yes" to any criminal or disciplinary question, provide a full written explanation AND a certified copy of any and all relevant Board, court and/or legal documents, including the criminal complaint, charging documents, documentation of the final disposition and sentence imposed, as well as documentation of your successful completion of any and all of the sentencing requirements that may have been imposed.

THE FOLLOWING QUESTIONS MUST BE ANSWERED:	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?		
2. If you answered yes to the above question, please provide the profession and state or jurisdiction.		
3. 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. 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? been convicted, found guilty or pleaded nolo contendere, or received probation without verdict or accelerated rehabilitative disposition (ARD) as to any felony or misdemeanor, including any drug law violations, or do you have any criminal charges pending and unresolved in any state or jurisdiction? You are not required to disclose any ARD or other criminal matter that has been expunged by order of the court.		
6. 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, felon 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 the court.		
7. Do you currently have any criminal charges pending and unresolved in any state or jurisdiction?		
8. Within five years prior to the issuance of the license in force, 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?		
9. Are you conducting sales via an online Internet bidding platform?		

THE AUCTION HOUSE AND OR AUCTION COMPANY OWNER AND THE AUCTIONEER OF RECORD MUST SIGN BELOW:

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 Auction Company/House Owner

Date

Signature of Auctioneer of Record

Date

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF STATE
STATE BOARD OF AUCTIONEER EXAMINERS
P. O. BOX 2649
HARRISBURG, PENNSYLVANIA 17105-2649
717-783-3397

BOND # _____

BOND

KNOW ALL PERSONS BY THESE PRESENTS, that the application for _____
Auction Company/Auction House

_____, a/an _____, with business located at
Name of Auction Company/House Individual/Partnership/Corporation/Limited Liability Company

Street

City State Zip Code

as PRINCIPAL, and _____ with a Certificate of Authority from the
Name of Surety Company

Pennsylvania Insurance Department and located at _____
Street

City State Zip Code

as SURETY, are held firmly bound unto the Commonwealth of Pennsylvania in the sum of \$5,000 (Five Thousand Dollars) lawful money of the United States of America, to be made payable to the said Commonwealth, for the use of the Commonwealth, its attorney or assigns, or any person or persons who may have a cause of action under the Auctioneer Licensing and Trading Assistant Registration Act (Act 85 of December 22, 1983), to which payment will and truly to be made, we do hereby bind ourselves, jointly and severally our heirs, executors, administrators, successors and assigns firmly by these presents. This agreement will continue in effect until written notification of cancellation by surety.

SIGNED SEALED AND DELIVERED THIS _____ DAY OF _____ 20 _____

WHEREAS, the above-bounded Principal desires to operate or conduct the business of

Auction Company/Auction House

within the Commonwealth in accordance with the provisions of the Auctioneer Licensing and Trading Assistant Registration Act and the rules and regulations adopted under and pursuant thereto.

NOW, THEREFORE, the condition of this obligation is such that if upon and after issuance of such license the above-bounded Principal shall fully and faithfully observe the provisions of all the laws of this Commonwealth and the rules and regulations promulgated by the State Board of Auctioneer Examiners as a licensee then this obligation shall be void; otherwise, it shall remain in full force, virtue and effect.

And, the obligors, jointly and severally, for themselves, their heirs, executors, administrators, successors and assigns, do agree with the Commonwealth that upon violation of the said Act, and the rules and regulations promulgated by the State Board of Auctioneer Examiners, or the applicable rules and regulations of the Department, Board or Commission of the Commonwealth thereunder or of any laws of this Commonwealth, and upon the revocation of the licensure and upon forfeiture of the bond, aforesaid, or upon the recovery of a judgment and in execution of that judgment on the bond, as specified at §13(c) of the Act, for any such violation during the continuance of such license, the full amount of this bond shall be due and payable.

And we, and each of us, do hereby confess judgment against us and each of us for the penal sum of \$5,000 (Five Thousand Dollars), with cost of suit and release of all errors, without stay of execution, waiving inquisition and condemnation of any real estate, and we, and each of us, do hereby waive the benefit of any law or laws now in force, or which may hereafter become a force exempting property from levy and sale upon execution, and we do hereby empower any attorney, or the Prothonotary, of any Court of Record within this Commonwealth or elsewhere, to appear for us and each of us, to confess judgment as expressed, and for the entering of such judgment and so doing this shall be sufficient warrant; a copy of bond being filed in said action, it shall be necessary to file the original as a warrant, any law or rule of Court notwithstanding.

INDIVIDUAL

WITNESS

SIGNATURE OF PRINCIPAL

WITNESS

**PARTNERSHIP/CORPORATION/
LIMITED LIABILITY COMPANY**

WITNESS

NAME OF BUSINESS

WITNESS

BY _____
NAME OF OFFICER

SIGNATURE OF OFFICER

SURETY:

NAME OF SURETY COMPANY

SIGNATURE OF SURETY

STREET ADDRESS OF ATTORNEY- IN- FACT

(BUSINESS SEAL)

CITY STATE ZIP CODE

CERTIFIED COPY OF POWER OF ATTORNEY NOMINATING, CONSTITUTING AND APPOINTING SAID ATTORNEY-IN-FACT FOR SAID CORPORATE SURETY MUST BE ATTACHED HERETO. DATE OF SAID CERTIFICATION AND DATE OF EXECUTION OF BOND MUST AGREE.

CONSENT OF NONRESIDENT LICENSEE

Whereas, the Auctioneer Licensing and Trading Assistant Registration Act in the Commonwealth of Pennsylvania requires that a nonresident licensee of the State Board of Auctioneer Examiners files a consent that suits and other legal actions may be commenced against a licensee in the proper court of any county of the Commonwealth in which a cause of action may arise or in which a plaintiff may reside.

Now witnesseth, that the undersigned _____

Name of Applicant

of _____

Street

City

State

Zip Code

an _____, hereby consents to the commencement of suits and other legal actions

Auction Company/Auction House

against the licensee in and county of the Commonwealth in which a cause of action may arise or in which a plaintiff may reside by service of any process of pleading authorized by the laws of the Commonwealth or the Secretary of the Commonwealth of Pennsylvania; and

That the undersigned stipulates and agrees that service of process or pleading as aforesaid on the Secretary of the Commonwealth, shall be taken and held in all courts to be as valid and binding as if due service had been made upon the undersigned within the Commonwealth of Pennsylvania; and

That the undersigned intends that this consent shall be and hereby is irrevocable.

State of _____ County of _____

SWORN TO AND SUBSCRIBED BEFORE ME THIS _____ DAY OF _____ 20__

MY COMMISSION EXPIRES: _____

Signature of Notary

Signature of Applicant