ARIZONA DEPARTMENT Licensing www.a 2910 N. 44 th Street			sion ov		JANICE K. BRE GOVERNO JUDY LOW COMMISSION	R
	ENTITY/BROKER S					
SELI	ECT TYPE OF CHANGE(S)					
Ir A	ntity Legal Name/DB Name DB Change For Ex nactive Broker Change to Active DB Associate Broker ssociate Broker Change to SE New Broker Licen resident Broker Change to Non-Resident Broker (out-of-state Principal Of	DB for Existing Entity	Activ Chan	hange to SE e DB Change to Inactive ge Entity to Inactive Inactive	2	
SELI	ECT BUSINESS TYPE					
	orporation (CO) Limited Liability Company (LC) imited Liability Partnership (PA)	=	rtnership (PA) esignated Broker (DB)	_	Sole Proprietor (SE) Salesperson	
	TION 1:DESIGNATED BROKER (DB)/SOLE PROPRIETOR (SE)				Salesperson	
	SE/Licensee Name (First MI Last)		Licensee License #		Sellicensee License Ex	vniro Dato
DB/3		DB/3E/	Licensee License #	DB	Service License En	cpire Date
Emai	1	Phone:		Fax		
	Questions	Res	ponses			
1.	How is the Incoming Licensee currently licensed?		(DB) (SE) (attach LI-201A)		Associate Broker	Salesperson
2.	Is the Incoming DB/Sole Proprietor currently employed as "active status"	'?	☐ Yes		No – go to questic	on 6
3.	Is the prior current/prior licensed entity closing?		Yes – go to Question 5		□ No	
4.	Is the prior licensed entity appointing a new DB (if not closing)?		Yes – go to Question 6		No	
5.	Does the prior licensed entity have "active" agents?		Yes – refer to Instructions		No	
6.	As the changing Broker, are continuing education (CE) requirements curr ARS §32-2130	rent?	Yes		No – STOP , Reappl	y when current
7.	As the changing Broker, has a 9-hour Broker Management Clinic been completed within 23 months prior to this application? ARS §32-2136 (C)		Yes – Date		No – STOP, Reappl	y when current
8.	Is there a joint PC or PLLC with ADRE for the incoming DB's name? ARS §32-2125 (B)		Yes - STOP , Amend to single P PLLC with the ACC and reapply	°C or	□ No	
9.	Does this DB have a PC or PLLC in good standing with the Arizona Corpor Commission?	ation	Yes			Not Applicable
10.	Will this DB reside outside of the State of Arizona		Yes – complete Non-Reside Broker section below	nt	□ No	
SEC	SECTION 2: ENTITY/EMPLOYING BROKER INFORMATION					
Lega	Legal Name (as approved by ADRE)					fication Required)
Doin	g Business as (DBA) – if any (as approved by ADRE)				-	

City

City

State

State

Fax:

Zip

Zip

Suite

Suite

Phone:

Entity License Number:	Entity Expiration Date (Aligned)

Physical Address of Entity

Email

Mailing Address of Entity:

Same as Physical Address

SECTION 3: SELECT BUSINESS TYPE OF CHANGE(S) BEING MADE

	ENTITY LEGAL/DBA NAME CHANGE	If CO or LLC amended articles stamped "FILED" by the Arizona Corporation Commission (ACC). Do not submit until a stamped "FILED" copy is received.
		If Partnership, copy of addendum/amendment to Partnership Agreement showing change.
		ADRE Entity/Employing Broker Name Reservation Notice (ADRE Approval Notice)
	DESIGNATED BROKER (DB) CHANGE FOR EXISTING ENTITY	A copy of the resolution signed by all officers and directors electing/appointing a DB as a corporate officer, naming the office held and stating that the individual was appointed to act as the DB for the corporation.
		Amended Articles stamped "Filed" by the AZ Corporation Commission (ACC). If an LLC entity, the amendment must name the DB as a member/manager of the LLC. Do not submit until a stamped "Filed" copy is received.
		Letter of resignation of outgoing DB (attached).
		Incoming DB severed on-line, if not a Branch Manager at prior company.
		Copy of Salesperson/Associate Broker Change Form LI-202 signed by prior DB, if incoming DB was a Branch Manager at prior company. (Attached)
		Copy of Certificate of Broker Management Clinic taken within prior 23 months.
	DESIGNATED BROKER (DB)	Letter of resignation as outgoing DB (attached).
	CHANGE TO SOLE PROPRIETOR	Copy of Certificate of Broker Management Clinic taken within prior 23 months.
	(SE)	When current Entity closing, follow closing procedure with Auditing.
		ADRE Approved Entity/Employing Broker Name Reservation Notice.
		Sever licensees online, only when instructed by ADRE to do so.
	INACTIVE BROKER CHANGE TO ACTIVE DESIGNATED BROKER	When becoming Designated Broker (DB) for an existing Entity, complete "Designated Broker (DB) Change For Existing Entity" on Form LI-216.
	(DB)	Unlawful License Activity Statement Form LI-555.
	ASSOCIATE BROKER CHANGE	Sever from current Broker.
	TO DESIGNATED BROKER (DB)	When becoming Designated Broker for existing entity, complete the "Designated Broker Change For Existing
	FOR EXISTING ENTITY	Entity" on Form LI-216.
	ACTIVE DESIGNATED BROKER	Letter of resignation from current Entity.
	(DB) CHANGE TO INACTIVE	Sever all licensees by using the Online Licensing System after notifying them of change. All Licensees may then
		rehire Online from their personal page.
	ASSOCIATE BROKER CHANGE	Sever online from prior entity.
	TO SOLE PROPRIETORSHIP (SE)	When Branch Manager – "Salesperson/Associate Broker Change Form LI-202" signed by prior DB.
		Copy of Certificate of Broker Management Clinic taken within prior 23 months.
		When Inactive to Active – confirm continuing education (CE) is up-to-date.
	NEW BROKER LICENSEE	All documents for Original Broker Application.
	CHANGE TO DESIGNATED	When becoming Designated Broker for existing entity, complete the "Designated Broker Change for Existing
	BROKER (DB) FOR EXISTING	Entity" on this Form LI-216.
	ENTITY	
	CHANGE ENTITY TO INACTIVE	Letter of Resignation of DB.
1	STATUS	Procedure for closing office with Auditing completed.
		Complete Form LI-216

RESIDENT BROKER CHANGE TO A NON-RESIDENT BROKER (Out-of-State Principal Office Address)

TRUST ACCOUNT INFORMATION - established with a Financial Institution located in Arizona

AAC R4-28-302(A)

Check if using Arizona Based Title Company only									
Trust Account Name					Trust	Account Num	ber		
Financial Institution Name			Phone:		Fax:				
Branch Address: Street # Street Name			Suite		City		State	Zip	

Additional account information attached.

NON-RESIDENT EMPLOYING BROKER INFORMATION - ARS §§32-2151.01(A); 32-2163 and R4-28-302(L)

A non-resident broker who maintains a principal office outside of Arizona shall:

 Maintain all records of transaction in Arizona – Appoint a Custodian of Records 						
Custodian Name:						
Address:						
Email Phone: Fax:						

A non-resident Employing Broker who employs any licensee(s) in the State of Arizona shall complete below:

Establish a branch office and appoint an Arizona licensed Branch Manager other than self.

Branch Office Information (of non-resident Employing Broker)

Establish a trust account in Arizona

Legal Name			Phone:		
Doing Business As (DBA) – if any			Fax:		
Business Address:	Suite	City		State	Zip
Mailing Address: 🔲 Same as above	Suite	City		State	Zip

Branch Manager (of non-resident Employing Broker)

Name (First MI Last):	License #:	License Expiration Date:
Email:	Phone:	Fax:

Describe the authority vested in the branch manager – ARS §32-2127 and AAC R4-28-304

Describe how the licensed employee(s) will be supervised - R4-28-302(L) & AAC R4-28-1103

Branch Manager Name

_____acknowledge that I have read and understand the responsibilities set forth above.

Branch Manager Signature	Branch	Manager	Signature
--------------------------	--------	---------	-----------

Print Designated Broker/ Broker/ SE Licensee Name_

Designated Broker/ Broker/ SE/ Licensee Signature_

FOR ADRE USE ONLY						
Effective Date			Date Stamp	Receipt		
Input Date						
Time Frames	TF 1	TF 2				
Processed By						

__ Date ___

_____Date_____