



## ASBA FORM 2 — CONTINUED

**EDUCATION:**

PROGRAM	NAME OF INSTITUTION	DEGREE	DATE AWARDED
High School			
G.E.D.			
College			

Have you graduated from an approved auction school?     Yes     No

If "Yes", please complete the following:

Name of School: \_\_\_\_\_

Date Graduated: \_\_\_\_\_

*Please include a copy of diploma if apprentice.*

**EMPLOYMENT EXPERIENCE:** List all places of employment during the past five (5) years, listing your current employer first. If self-employed, give details.

◆

NAME OF COMPANY \_\_\_\_\_

ADDRESS \_\_\_\_\_

POSITION HELD \_\_\_\_\_

DUTIES \_\_\_\_\_

DATES OF EMPLOYMENT \_\_\_\_\_

◆

NAME OF COMPANY \_\_\_\_\_

ADDRESS \_\_\_\_\_

POSITION HELD \_\_\_\_\_

DUTIES \_\_\_\_\_

DATES OF EMPLOYMENT \_\_\_\_\_

# ASBA FORM 2 — CONTINUED

## EMPLOYMENT EXPERIENCE (CONTINUED)



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT



NAME OF COMPANY

ADDRESS

POSITION HELD

DUTIES

DATES OF EMPLOYMENT

**RESIDENCE HISTORY:** List all places of residence in the past five (5) years, beginning with present address.

ADDRESS	CITY	STATE	ZIP	DATES

**ASBA FORM 3 — QUALIFYING QUESTIONNAIRE**

*Check "Yes" or "No" for each question. Do not leave any question unanswered.*

**1. Have you ever held an Auctioneer License in Alabama or any other state?**

Yes     No

If "Yes", please complete the following: (use additional sheets if necessary)

State \_\_\_\_\_ License No. \_\_\_\_\_

Date License Held: \_\_\_\_\_ to \_\_\_\_\_

State \_\_\_\_\_ License No. \_\_\_\_\_

Date License Held: \_\_\_\_\_ to \_\_\_\_\_

State \_\_\_\_\_ License No. \_\_\_\_\_

Date License Held: \_\_\_\_\_ to \_\_\_\_\_

State \_\_\_\_\_ License No. \_\_\_\_\_

Date License Held: \_\_\_\_\_ to \_\_\_\_\_

**2. Have you ever been denied an Auctioneer License in Alabama or any other state or jurisdiction?**     Yes     No

If "Yes," please explain (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**3. Have you ever had an Auctioneer License suspended, revoked, or surrendered or have you ever been disciplined by a Licensing Authority in Alabama or any other state or jurisdiction?**     Yes     No

If "Yes," please explain (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. Have you ever had any other business or professional license of any type suspended, revoked or surrendered in Alabama or any other state or jurisdiction?**

Yes     No

If "Yes," please explain (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**ASBA FORM 3 — CONTINUED**

5. Have you ever been arrested, indicted or convicted of any criminal offense, including misdemeanor arrests and motor vehicle or traffic violations, in Alabama or any other jurisdiction?     Yes     No

If "Yes," please explain (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

6. Have you been involved in a civil law suit within the past ten (10) years?

Yes     No

If "Yes," please explain, giving complete details including whether you were the plaintiff or defendant, what the suit alleged or involved, and the final disposition of the case (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

7. Are there any unpaid judgments of debt or garnishments now outstanding against you?     Yes     No

If "Yes," please explain (*use additional sheets as necessary*): \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

8. Do you, at this time, have an application for either an Auctioneer or Apprentice Auctioneer License pending before any Licensing Board or Commission?     Yes     No

If "Yes," list all pending applications: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

9. Have you read the Alabama Auctioneer License Law and the Rules and Regulations of the Alabama State Board of Auctioneers?     Yes     No

*If the answer to any of the above questions is "Yes," please enclose with this application complete information with respect to **ALL** circumstances and the final result, if such has been reached. A "Yes" answer does not necessarily mean the applicant will not be granted a license. However, additional documentation may be requested by the Board if the information submitted is insufficient.*

## ASBA FORM 4 — AFFIDAVIT OF ENDORSEMENT

I, \_\_\_\_\_, do hereby certify that I am not related to \_\_\_\_\_, the foregoing applicant; that I have owned real estate in \_\_\_\_\_ County, State of \_\_\_\_\_ for the past year; that I have been personally acquainted with the applicant in \_\_\_\_\_ County, State of \_\_\_\_\_, for the past two years; and that I know that the applicant bears a good reputation for honesty, truthfulness and fair dealing, and that he/she is competent to transact the business of an Auctioneer in such a manner as to safeguard the interest of the public; and I do hereby recommend that a license be granted to the applicant.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Phone Number

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, A.D. \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
My Commission Expires

(Notary Seal)

## ASBA FORM 4 — AFFIDAVIT OF ENDORSEMENT

I, \_\_\_\_\_, do hereby certify that I am not related to \_\_\_\_\_, the foregoing applicant; that I have owned real estate in \_\_\_\_\_ County, State of \_\_\_\_\_ for the past year; that I have been personally acquainted with the applicant in \_\_\_\_\_ County, State of \_\_\_\_\_, for the past two years; and that I know that the applicant bears a good reputation for honesty, truthfulness and fair dealing, and that he/she is competent to transact the business of an Auctioneer in such a manner as to safeguard the interest of the public; and I do hereby recommend that a license be granted to the applicant.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
Phone Number

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, A.D. \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
My Commission Expires

(Notary Seal)

**REGISTRATION FORM FOR THE  
AUCTIONEER/APPRENTICE EXAMINATION—ASBA 5**

The Alabama State Board of Auctioneers examination for Apprentice and Auctioneer are now computer based testing via PROV, Inc.

Application for examination must be in proper form and filed in the Board Office for an examination. The examination fee is \$100.00 each time the test is taken. Once your application has been approved to sit for the exam, the Board will mail you additional information on how to schedule your appointment with PROV, Inc. **Please be aware that the examination is given by appointment only!!!!!!**

If you received an application from the Board office; and, the following items were in your application package: a) Copy of the Law b) Copy of the Rules and Regulations, and c) Study Guide.

If you downloaded your application from the Board's website, these documents are available on the homepage, [www.auctioneer.alabama.gov](http://www.auctioneer.alabama.gov).

You must study these three documents in order to properly prepare for the Apprentice or Auctioneer Examination.

Please complete the following if you wish to request to sit for examination:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ ST: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ FAX: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Check the appropriate examination you wish to take:

- Apprentice                       Auctioneer

**\*\*Remember to enclose your \$100.00 check made payable to the Alabama State Board of Auctioneers and mail it to 2777 Zelda Rd, Montgomery, AL 36106**

## **ASBA 6 — SPONSORING AUCTIONEER'S INSTRUCTIONS AND AFFIDAVIT**

As Sponsoring Auctioneer, you have agreed to assume responsibility for the acts of your apprentice in the conduct of the auction business and sales and that you will be present (at the sale site) and supervise any auction sale conducted by your Apprentice. IN the event the Sponsoring Auctioneer cannot attend a particular sale, he/she must appoint a qualified, licensed Auctioneer to act in his/her stead. Any and all funds received from sales by apprentices must be maintained in the Sponsoring Auctioneer's escrow account.

Both the Apprentice Auctioneer and the Auctioneer must keep current bonds as required by Alabama Law.

Apprentice licenses are to remain in the custody of the Sponsoring Auctioneer. Apprentice licenses are valid only while the Apprentice is employed and supervised by the Sponsoring Auctioneer. When an Apprentice Auctioneer is discharged or terminates his/her employment with the Auctioneer for any reason, it shall be the immediate duty of the Auctioneer to deliver, or mail by certified mail, to the Board, the license of the Apprentice Auctioneer. It shall be unlawful for any Apprentice to perform any of the acts under the authority of his/her Apprentice license until he/she receives a new sponsor and a new license bearing the name and address of his/her new sponsor.

No Apprentice Auctioneer may enter into an agreement to conduct an auction without the express written consent of his/her Sponsoring Auctioneer and all contracts so entered into must be made in the name and on the behalf of the Sponsoring Auctioneer.

Any Apprentice who advertises must also indicate in his/her advertisement the name of the Auctioneer under whom he/she is licensed. The name of the Auctioneer shall be displayed in equal prominence with the name of the Apprentice in such advertisement.

An Apprentice must conduct ten or more auctions during his/her apprenticeship except that an applicant who has completed the prescribed course of study at an accredited auctioneer school approved by the Board must conduct five or more auctions during his/her apprenticeship.

The Auctioneer will be required to submit a notarized statement verifying that he/she sponsored the Apprentice at least 24 months and that during that period of time the Apprentice conducted at least ten or more auctions except that an applicant who has completed the prescribed course of study at an accredited auctioneering school approved by the Board shall be required to serve at least 12 months as an Apprentice, conducting at least five auctions during his/her apprenticeship.

When the Apprentice has completed the required number of months as an Apprentice and conducted the required number of sales, he/she must submit, along with the list of required auctions, proof that the Sponsoring Auctioneer's name was included on the advertisement during the apprenticeship and also submit a cancelled check showing that the money went through the escrow account of his/her Sponsoring Auctioneer.

**ASBA FORM 6 — CONTINUED**

This is to certify that \_\_\_\_\_, Apprentice applicant will, when properly licensed, be associated with or engaged by me in the capacity of an Apprentice Auctioneer and that I will exercise proper supervision over and assume responsibility for his/her acts as an Apprentice Auctioneer while associated with me, and that to the best of my knowledge he/she is a person of honesty, truthfulness and integrity, and that I will personally appear before the Alabama State Board of Auctioneers in connection with the application if requested to do so.

I further certify that I have read the completed application before signing.

Sponsor's Name: \_\_\_\_\_ License No. \_\_\_\_\_  
Business Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
E-mail address: \_\_\_\_\_

\_\_\_\_\_  
Sponsoring Auctioneer's Signature

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, A.D. \_\_\_\_\_.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
My Commission Expires

(Notary Seal)

## ASBA FORM 7 — CONSENT TO SERVICE OF JURISDICTION

*Instructions: Required for out-of-state applicants. Please complete and have notarized.*

### KNOW ALL MEN BY THESE PRESENTS:

The undersigned \_\_\_\_\_, being an applicant for license as a non-resident Auctioneer or Apprentice Auctioneer of the State of Alabama, does hereby irrevocably consent, stipulate and agree that suits and actions may be commenced against such applicant in the proper court of any county of the State of Alabama in which a case of action may arise in which the plaintiff may reside, by the service of any process or pleading authorized by the State of Alabama on the Secretary of the State Board of Auctioneers, and that such service of such process or pleadings on said Secretary shall be taken and held in all courts to be as valid and binding as if the service had been made upon said applicant in the State of Alabama.

Signed at \_\_\_\_\_  
on the \_\_\_\_\_ Day of \_\_\_\_\_, 20\_\_\_\_\_

Name of Applicant: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

State of \_\_\_\_\_

County of \_\_\_\_\_

Personally appeared \_\_\_\_\_ before the undersigned Notary Public in and for the above named County and State, the day and date above named, and acknowledged the execution of the foregoing instrument to be the voluntary act and deed of such applicant for the purposed therein set forth.

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
County

\_\_\_\_\_  
State

\_\_\_\_\_  
My Commission Expires

(NOTARY SEAL)

Upon Completion, please return to the Board Office which is located at the following address:

ASBA  
2777 Zelda Rd  
Montgomery, AL 36106  
**ASBA FORM 8 – BOND FORM**

INSTRUCTIONS: This form to be completed and sent with original bond and power of attorney. Please refer to your application checklist to determine when you should submit this form to the Board.

**Bond No.** \_\_\_\_\_ **Bond for Apprentice or Auctioneer**

KNOW ALL MEN BY THESE PRESENTS, that we \_\_\_\_\_

Of \_\_\_\_\_, as principal, and  
City/State

Name of Applicant

\_\_\_\_\_ as surety, are held and firmly bound

Name of Bonding Company

Unto the Alabama State Board of Auctioneers in the sum of Ten Thousand Dollars (\$10,000.00), lawful money of the United States, for the payment of which well and truly to be made, we and each of us, bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

The conditions of the above obligation are such that whereas the above-named principal has made application to the Alabama State Board of Auctioneers of the State of Alabama for a license as an auctioneer or apprentice auctioneer to engage in or continue in the business of auctioneer or apprentice auctioneer in accordance with the provisions of the act entitled: "Auctioneers License Act No. 811-1973", including all amendments made thereafter.

NOW, THEREFORE, if the said applicant, as principal, shall in the event said license be issued to him or her, conduct his/her business as an auctioneer or apprentice auctioneer in accordance with the provisions of said act, and shall indemnify any person in accordance with the provisions of said act, said principal hereby agreeing to indemnify any person damaged by any misrepresentation or fraud on the part of said principal or by reason of the violation of the terms of said act, then this obligation shall be void, other wise to remain in full force and effect.

It is expressly understood and agreed that the said liability of the surety for any and all claims hereunder shall in no event exceed the sum of Ten Thousand Dollars (\$10,000.00).

It is agreed and understood that this bond shall be in full force and effect indefinitely and that a continuation or renewal certificate is unnecessary.

The Surety may at any time cancel this bond by giving sixty days' written notice to the Alabama State Board of Auctioneers, the surety, however, remaining liable for any defaults under this bond committed prior to the expiration of such 60 day period.

Signed and Sealed at \_\_\_\_\_, Alabama this \_\_\_\_\_  
Day of \_\_\_\_\_, A.D. \_\_\_\_\_.

\_\_\_\_\_  
Agent Name

\_\_\_\_\_  
**Signature of Principal – Applicant**

\_\_\_\_\_  
Agent Signature

\_\_\_\_\_  
Signature of Authorized Agent

Address of Agent of Surety Company:

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City/State

**Request Criminal History Consumer Report**

**Alabama State Board of Auctioneers (Rep)** \_\_\_\_\_

Name: \_\_\_\_\_  
(Please Print) (First) (Middle) (Last)

Other names used and dates of use: 1. \_\_\_\_\_ Dates: \_\_\_\_\_

2. (Name) \_\_\_\_\_ Dates: \_\_\_\_\_

3. (Name) \_\_\_\_\_ Dates: \_\_\_\_\_

Social Security Number: \_\_\_\_\_ DL#: \_\_\_\_\_ State: \_\_\_\_\_

Date of birth\*: \_\_\_\_\_ Place of birth: \_\_\_\_\_ (County and State, or Country)

Height\*: \_\_\_\_\_ Weight\*: \_\_\_\_\_ Hair color\*: \_\_\_\_\_ Eye color\*: \_\_\_\_\_ Gender\*: \_\_\_\_\_ Race\*: \_\_\_\_\_

\*Used for identification only, not required.

Have you been convicted of a crime? \_\_\_\_\_ Yes \_\_\_\_\_ No If yes, give details (date, crime, location). \_\_\_\_\_

Note: Disclosure of convictions does not automatically disqualify you for employment.

List addresses, cities, states and counties of residence you have lived for the past ten years.

<u>Address</u>	<u>City</u>	<u>State</u>	<u>County</u>	<u>From</u>	<u>To</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

This is written notice that an investigative consumer report is being obtained from a consumer reporting agency (CRA) for employment purposes. Below authorizes and requests any present or former employer, school, police department, financial institution, division of motor vehicles, or other persons or agencies having personal knowledge about me to furnish bearer with any and all information in their possession regarding me, in connection with an application for employment. I give permission that a photocopy of this authorization be accepted with the same authority as the original.

Under the federal Fair Credit Reporting Act (FCRA) and other applicable state law, you have certain rights with regard to consumer reports obtained for employment purposes including, upon request, disclosure of information on you in the reporting agency's file at the time of the request, including the identification of persons who have procured a consumer report concerning you, and reasonable opportunity to respond to any information in the report that is disputed by you. The FCRA, 15 U.S.C. 1681, is designed to promote accuracy, fairness, and privacy of information in the files of every "consumer reporting agency" (CRA).

The undersigned hereby acknowledges that he/she has read or has had read to him/her the above statement and has understood it, and agrees to be bound by it.

\_\_\_\_\_  
Signature Date

Employer: By submitting this order, I expressly certify that any reports procured will be used for employment screening purposes only pursuant to FCRA Section 604(a)(3)(B); That prior to taking any adverse action, based on whole or in part upon said report, you will provide to the applicant a copy of the report and a copy of the publication, A Summary of Your Rights Under the Fair Credit Reporting Act; That said report will not be used in violation of any applicable Federal or State law or regulation including those specifically governing equal employment opportunity.

Employer Representative: \_\_\_\_\_ Date: \_\_\_\_\_  
Print Name and Signature

**CITIZENSHIP OR LAWFUL PRESENCE**

*This supplement to the Application/Renewal form is to be completed in compliance with Ala. Code §§ 31-13-7 and 34-4-21(b) (1975 as amended).*

**This section must be completed by the individual Applicant, or, if the Applicant is a business entity engaging in the business of auctioneering in Alabama, as defined in Ala. Code § 34-4-1, et seq., by the Principal Auctioneer to be named in the company license.**

1) Are you a citizen of the United States?

Yes  No If "yes" please read the declaration below, sign and provide the requested proof of citizenship.  
If "no," see question 2 below.

**YOU MUST PROVIDE PROOF OF CITIZENSHIP BY SUBMITTING A COPY OF ONE OF THE FORMS OF IDENTIFICATION INCLUDED ON THE ATTACHED LIST WITH YOUR LICENSE APPLICATION OR RENEWAL**

*I hereby declare that I am a citizen of the United States of America. I sign this declaration under penalty of perjury; making a false, fictitious, or fraudulent statement or representation in this declaration is perjury in the second degree, pursuant to Ala. Code § 13A-10-102.*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

2) If you are not a citizen of the United States, are you an alien who is lawfully present in the United States of America?

Yes  No If "yes" please read the declaration below, sign and provide the requested proof of lawful presence.

**YOU MUST PROVIDE PROOF OF LAWFUL PRESENCE IN THE UNITED STATES BY SUBMITTING A COPY OF ONE OF THE FORMS OF IDENTIFICATION INCLUDED ON THE ATTACHED LIST WITH YOUR LICENSE APPLICATION OR RENEWAL**

*I hereby declare that I am an alien lawfully present in the United States of America. I sign this declaration under penalty of perjury; making a false, fictitious, or fraudulent statement or representation in this declaration is perjury in the second degree, pursuant to Ala. Code § 13A-10-102.*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## **PROOF OF CITIZENSHIP**

*Ala. Code § 31-13-29(g)*

1. A driver's license or nondriver's identification card issued by the Alabama Department of Public Safety or the equivalent governmental agency of another state within the United States, provided that the governmental agency of another state within the United States requires proof of lawful presence in the United States as a condition of issuance of the driver's license or nondriver's identification card.
2. A birth certification indicating birth in the United States or one of its territories.
3. Pertinent pages of a United States valid or expired passport identifying the person and the person's passport number, or the person's United States passport.
4. United States naturalization documents on the number of certificate of naturalization.
5. Other documents or methods of proof of United States citizenship issued by the federal government pursuant to the Immigration and Nationality Act of 1952, as amended.
6. Bureau of Indian Affairs card number, tribal treaty card number, or tribal enrollment number.
7. A consular report of birthday abroad of a citizen of the United States of America.
8. A certification of citizenship issued by the United States Citizenship and Immigration Services.
9. A certification of report of birth issued by the United States Department of State.
10. An American Indian card, with KIC classification, issued by the United States Department of Homeland Security.
11. Final adoption decree showing the person's name and United States birthplace.
12. An official United States military record of service showing the applicant's place of birth in the United States.
13. An extract from a United States hospital record of birth created at the time of the person's birth indicating the place of birth in the United States.
14. AL-Verify.
15. A valid Uniformed Services Privileges and Identification Card.
16. Any other form of identification that the Alabama Department of Revenue authorizes through administrative rule promulgated pursuant to the Alabama Administrative Procedure Act, to be used to demonstrate or confirm a person's United States citizenship or lawful presence in the United States, provided that the identification requires proof of lawful presence in the United States as a condition of issuance.

**PROOF OF LAWFUL PRESENCE OF NON-CITIZEN**

*Ala. Code § 31-13-3(10)*

1. A valid, unexpired Alabama driver's license.
2. A valid, unexpired Alabama nondriver's identification card.
3. A valid tribal enrollment card or other form of tribal identification bearing a photograph or other biometric identifier.
4. Any valid United States federal or state government issued identification document bearing a photograph or other biometric identifier, if issued by an entity that requires proof of lawful presence in the United States before issuance.
5. A foreign passport with an unexpired United States Visa and a corresponding stamp or notation by the United States Department of Homeland Security indicating the bearer's admission to the United States.
6. A foreign passport issued by a visa waiver country with the corresponding entry stamp and unexpired duration of stay annotation or an I-94W form by the United States Department of Homeland Security indicating the bearer's admission to the United States.