



BREA USE ONLY

APPRAISAL MANAGEMENT COMPANY (AMC) CONTROLLING PERSON APPLICATION

- ▶ Type or print clearly in blue or black ink and provide an original signature.
- ▶ All fees paid must be paid by pre-printed personal check, company check, cashier's check, certified check, money order, or credit card (see form REA 2030 to pay by credit card).
- ▶ By statute, all fees submitted are deemed earned upon receipt.
- ▶ Applications must be submitted with original signatures. Applications with electronic or faxed signatures will not be accepted.
- ▶ Please refer to <http://www.brea.ca.gov/html/LicensingFees.html> for current license application fees.
- ▶ **A separate application must be submitted for each Controlling Person listed on the Appraisal Management Company Certificate of Registration Application form REA 5001.**
- ▶ If you have any questions, please write to the address listed or call (916) 552-9000.
- ▶ Mail completed application, fee and qualifying documentation to:
BUREAU OF REAL ESTATE APPRAISERS
1102 Q Street, Suite 4100
Sacramento, CA 95811

PART I: Controlling Person Contact Information

1. Controlling Person's Name			
Last	First	M.I.	
2. Controlling Person's Title or Position			
3. Social Security / Taxpayer ID Number		4. Birth Date	
5. Name of Appraisal Management Company			
6. Mailing Address (Address of Record)			
Address			
City		State	Zip Code
7. Residence Telephone Number			
8. Email Address (optional)			

Please Answer the Following Questions:

9. Do you currently hold or have you ever held a California Real Estate Appraisers License? Yes No
If yes, please enter your license number.
 California Real Estate Appraiser License Number
10. Do you currently hold or have you ever held a real estate appraiser license in another state? Yes No
If yes, please list your license number and the state.
 Real Estate Appraiser License Number

*If you are currently licensed in another state as a real estate appraiser, you will need to submit a **Certificate of License History** or its equivalent, not more than 30 days old, from the state in which you are licensed, as part of this application.*

PART II: CONTROLLING PERSON BACKGROUND INFORMATION

FINGERPRINT BACKGROUND CHECK: All controlling person applicants who are NOT currently licensed with the Bureau of Real Estate Appraisers (BREA) MUST complete the background application process by having their fingerprints taken. If you reside in the State of California, You MUST print out and use the Request for Live Scan Service form (BCII 8016). If you reside outside of the State of California, submit two FD-258 fingerprint cards with your application.

BACKGROUND REVIEW QUESTIONS

- Have you ever used or been known by any name other than, or in addition to, the name listed on this application?
If yes, list all such other names.
 No Yes, explain: _____
- Have you ever been convicted of, or pled guilty or *nolo contendere* to any criminal or civil offense in the United States, its territories, or a foreign country? This includes every citation, infraction, misdemeanor and/or felony, including traffic violations. You are not required to report convictions that were adjudicated in the juvenile court, convictions under California Health and Safety Code sections 11357(b), (c), (d), (e) or section 11360(b) which are two years old, or traffic infractions resulting in a fine of \$500 or less. Convictions that were later dismissed pursuant to sections, 1203.4, 1203.4a, or 1203.41 of the California Penal Code or equivalent non-California law must be disclosed. If yes, complete "Conviction Details" section below. In addition to completing the "Conviction Details" section below, you must submit a certified copy of the police report and certified copies of the complaint and judgment or the order.
 No Yes, Complete "Conviction Details" below.
- Are you or have you ever been placed on probation or parole on terms which restricted or limited your contact or dealings with any financial or real estate-related activity or business or otherwise restricted your acting in a fiduciary capacity? If yes, attach a certified copy of the court records, including the complaint, complete docket, judgment and sentence, and probation report and attach a copy of the police report(s) and/or investigating agency records.
 No Yes, explain: _____
- Are there criminal charges pending against you at this time, or are you currently awaiting judgment and sentencing following entry of a plea or jury verdict? If yes, please specify the court in which the matter is pending, the case number and charges, and submit a copy of the police report and a certified copy of the complaint and docket.
 No Yes, explain: _____
- Do you currently hold a professional or vocational license issued by any governmental agency other than the BREA? If yes, please identify the license held, the license number and the issuing agency.
 No Yes, explain: _____
- Have you ever had a professional or vocational license, certificate or registration denied, suspended, restricted, revoked, surrendered or disciplined in any way in this state or any other state? If yes, complete "License Details" section below. In addition to completing the "License Details" section below, you must submit a certified copy of the police report or administrative agency's investigative report and certified copies of the court or administrative agency's docket, complaint, or accusation and judgement or other order.
 No Yes, Complete "License Details" below.
- Have you ever been or are you currently a Controlling Person or Designated Officer for an Appraisal Management Company in California or any other state?
 No Yes, Name of the AMC's, and state: _____

CONVICTION DETAILS

Complete one line for each violation and provide explanation below. If you are unable to provide this information, provide all the requested information you can obtain, with an explanation for the missing information. If the conviction status has been subsequently changed or reduced, note that fact in the area provided for additional information. Attachments for additional information should specify which lines you are referring to. **EACH ADDITIONAL SHEET MUST BE SIGNED BY THE APPLICANT.**

* CODE SECTION VIOLATED (i.e., 1014, 484, ETC) *** DISPOSITION (i.e., PROBATION, PAROLE, FINE, PENDING, ETC.)
 ** CODE VIOLATED (i.e., VEHICLE CODE, PENAL CODE, ETC.) **** DISMISSED (pursuant to sections, 1203.4, 1203.4a, or 1203.41 of the California Penal Code)

Court of Conviction (Name and Address)	Arresting Agency (Name and Address)	Date of Conviction	Type of Conviction	* Code Section Violated	** Code Violated	*** Disposition	Case Number	****Dismissed
<i>Example:</i> Sacramento Cnty. 456 Main St., Sac	Sacramento City Police 123 Main St., Sac	02/20/12	<input type="checkbox"/> Felony <input checked="" type="checkbox"/> Misdemeanor <input type="checkbox"/> Other	23152	Vehicle Code	6 months probation and \$200 fine	1234	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
1.			<input type="checkbox"/> Felony <input type="checkbox"/> Other <input type="checkbox"/> Misdemeanor					<input type="checkbox"/> Yes <input type="checkbox"/> No
2.			<input type="checkbox"/> Felony <input type="checkbox"/> Other <input type="checkbox"/> Misdemeanor					<input type="checkbox"/> Yes <input type="checkbox"/> No
3.			<input type="checkbox"/> Felony <input type="checkbox"/> Other <input type="checkbox"/> Misdemeanor					<input type="checkbox"/> Yes <input type="checkbox"/> No

ADDITIONAL INFORMATION: SPECIFY WHICH LINES YOU ARE REFERRING TO. ATTACH EXTRA SHEETS IF MORE ROOM IS NEEDED. EACH ADDITIONAL SHEET MUST BE SIGNED.

LICENSE DETAILS

Type of License	License ID No.	License Expiration Date	State
Action (revoked, etc.)	Date of Action	Date Action Terminated	Code Section Violated

ADDITIONAL INFORMATION: ATTACH EXTRA SHEETS IF MORE ROOM IS NEEDED. EACH ADDITIONAL SHEET MUST BE SIGNED AND DATED.

PART III: APPLICANT DECLARATION

I, _____ (name), certify under penalty of perjury in accordance with California law, that I am a Controlling Person as defined (herein) and duly authorized as such and understand and agree, individually and on behalf of _____ (name of AMC), to abide by all federal and California laws applicable to appraisal management companies receiving and maintaining a Certificate of Registration under California law. I declare under penalty of perjury in accordance with California law that I am 18 years of age or older and that the foregoing information and information provided on all attachments is true and correct and that I have answered each question fully and truthfully without any purpose of evasion. I understand that providing false information is grounds for denial or revocation of any certificate of registration and may subject me to disciplinary action and/or criminal prosecution and punishment by imprisonment in state prison for 2, 3, or 4 years pursuant to Penal Code section 126. I understand that any certification of registration issued in conjunction with this application entitles the applicant to act only for the appraisal management company so registered and not in an individual capacity.

I understand and certify that valid service of process on the appraisal management company _____ (name of AMC) by BREA also constitutes valid service of process on me as a Controlling Person for _____ (name of AMC), as certified by the Designated Officer for _____ (name of AMC) in the *Appraisal Management Company Certificate of Registration Application Form REA 5001* submitted by _____ (name of AMC), or by a subsequent Designated Officer identified by _____ (name of AMC) in an *Appraisal Management Company Change Notification and Miscellaneous Requests Form REA 5011*.

I understand that if I fail to qualify as a Controlling Person for any reason or withdraw this application, the Bureau of Real Estate Appraisers cannot refund the fees remitted with this application.

Executed this _____ day of _____, 20____ at _____ (city or county) _____ (state).

Signature _____

Name (please print) _____

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of _____, County of _____,

On _____, before me, _____ (insert name and title of the officer), personally appeared, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of _____ that the foregoing paragraph is true and correct. WITNESS my hand and official seal.

Signature
(Seal)

MUST BE SIGNED AND CERTIFIED BY A NOTARY PUBLIC IF EXECUTED OUTSIDE THE STATE OF CALIFORNIA

PART V: Instructions

A. INSTRUCTIONS PART I: *Controlling Person Contact Information*

1. CONTROLLING PERSON'S NAME- List your name. You **must** be listed as a Controlling Person on the *Appraisal Management Company Certificate of Registration Application* Form REA 5001.
2. TITLE OR POSITION – List your title or position.
3. SOCIAL SECURITY/TAXPAYER IDENTIFICATION NUMBER- List your social security or individual taxpayer identification number.
4. BIRTH DATE-List your date of birth.
5. APPRAISAL MANAGEMENT COMPANY-List the name of the appraisal management company for which you are named as a Controlling Person.
6. MAILING ADDRESS - List your address of record. **The information provided is a matter of public record.**
7. RESIDENCE TELEPHONE NUMBER-List your home phone number.
8. EMAIL ADDRESS-List your email address. (optional)
- 9-10. List the state in which you hold a real estate appraiser license and your license number, if applicable. Submit a Certificate of License History or its equivalent, not more than 30 days old, if you hold a real estate appraiser license in another state.

B. INSTRUCTIONS PART II: *Controlling Person Background Information*

1. FINGERPRINT BACKGROUND CHECK- Applicants not currently licensed or registered with the BREa must submit fingerprints in order to complete the background check portion of this application. Fingerprint background checks are submitted to the Department of Justice via a Request for Live Scan Service form or print cards. If you live in the State of California you must submit your fingerprints using the Request for Live Scan Service Form located on our website at www.brea.ca.gov. You must print out this form and visit a Live Scan fingerprinting location to have your fingerprints taken. Keep a copy of this form for your records and submit a copy along with this application to the BREa. If you reside outside of California, you must submit your fingerprints on two FD-258 fingerprint cards and submit these cards to BREa with your application.
Note: the Department of Justice no longer accepts fingerprint card submissions on Bid-7 cards from BREa applicants.
2. BACKGROUND REVIEW QUESTIONS-Completely answer all questions, 1-7 as instructed.

FEE

Controlling Person Application Fee	\$80
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C. INSTRUCTIONS PART III: *Applicant Declaration*

1. Business and Professions Code Section 11302(f): "Controlling person" means one or more of the following: (1) An officer or director of an appraisal management company, or an individual who holds a 10 percent or greater ownership interest in an appraisal management company. (2) An individual employed, appointed, or authorized by an appraisal management company that has the authority to enter into a contractual relationship with clients for the performance of appraisal services and that has the authority to enter into agreements with independent appraisers for the completion of appraisals. (3) An individual who possesses the power to direct or cause the direction of the management or policies of an appraisal management company.
2. APPLICANT DECLARATION - Read, sign and date the declaration presented on page 3. If executed outside of the State of California, this declaration must be signed before and certified by a notary public.

Privacy Information - Section 1798.17 of the Civil Code requires this notice be provided when collecting personal or confidential information from individuals. Each individual has the right to review personal information maintained by this Agency, unless access is exempted by law. General powers of the Chief, Sections 11310 and 11313 of the Business and Professions Code authorizes the maintenance of this information. Business and Professions Code Section 30, Chapter 1361, Section 1, requires each real estate appraiser licensee to initially provide to the Bureau of Real Estate Appraisers his or her social security number or individual taxpayer identification number which will be furnished to the Franchise Tax Board. Your social security number or individual taxpayer identification number shall not be deemed a public record and shall not be open to the public for inspection. The Franchise Tax Board will use your number to establish identification exclusively for tax purposes. The Real Estate Appraisers Law or Regulations of the Chief require applicants to provide the Bureau of Real Estate Appraisers with specific information. If all or any part of the required information is not provided, processing may be delayed. In addition, the Chief may suspend or revoke a license, or in the case of a license applicant, may deny the issuance for misstatements of facts (including a failure to disclose a material fact) in an application for a license. The information requested in this form is primarily used to furnish license status information to the Bureau of Real Estate Appraisers, and to answer inquiries and give information to the public on license status, mailing addresses and actions taken to deny, revoke, restrict or suspend licenses for cause. This information may be transferred to real estate appraisal licensing agencies in other states, law enforcement agencies (City Police, Sheriff's Departments, District Attorneys, Attorney General, F.B.I.), and any other regulatory agencies (included, but not limited to, Department of Business Oversight, Department of Insurance, Bureau of Real Estate, Department of Consumer Affairs, California Bar Association, Appraisal Subcommittee, California Community Colleges Chancellor's Office).

Bureau of Real Estate Appraisers Custodian of Records 1102 Q Street, Suite 4100 Sacramento, CA 95811 Telephone: (916) 552-9000
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