



STATE OF TENNESSEE  
DEPARTMENT OF COMMERCE & INSURANCE

**AUCTIONEER COMMISSION**

DAVY CROCKETT TOWER 6<sup>th</sup> Floor  
500 JAMES ROBERTSON PARKWAY  
NASHVILLE, TN 37243-1152  
Phone: (615) 741-3600  
Fax: (615) 741-1245

[www.state.tn.us/commerce/boards/auction](http://www.state.tn.us/commerce/boards/auction)

**(Questions 1 Through 12 must be answered or application will be returned)**

**APPLICATION FOR FIRM LICENSE**

1. Business name in which license will be issued and advertising will be conducted.

\_\_\_\_\_

a) **Mailing** address \_\_\_\_\_  
(Street & Number) (City) (State) (Zip Code)

b) **Physical** address \_\_\_\_\_  
(Street & Number) (City) (State) (Zip Code)

c) **Business** address \_\_\_\_\_  
(Street & Number) (City) (State) (Zip Code)

d) Phone \_\_\_\_\_ Fax \_\_\_\_\_ E-Mail \_\_\_\_\_

2. Is applicant a corporation \_\_\_\_, partnership \_\_\_\_, association \_\_\_\_, company, \_\_\_\_ or proprietorship\_\_ (individual)

If corporation, indicate state in which incorporated. \_\_\_\_\_ (attach charter)  
(State)

3. Branch office(s) address (es), if any. \_\_\_\_\_

4. Will firm be engaged in auction business exclusively? **NO** \_\_\_\_ **YES** \_\_\_\_

5. State name of all persons interested in the business as principals, officers, directors, or managing agents. State the capacity (title) of each.

Name Capacity (title)

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

6. List all auctioneers and apprentice (include TN Auctioneer License #'s) who are to be affiliated with your firm. Indicate status, whether **apprentice** or **auctioneer**.

Name License No. Status

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

7. Has applicant ever engaged in auction activities in this state or any other state?  
**NO** \_\_\_\_ **YES** \_\_\_\_ If **Yes**, Where? \_\_\_\_\_ When \_\_\_\_\_

8. Has any partner, officer, or director ever been indicted or convicted on charges involving embezzlement, obtaining money under false pretenses, larceny, or extortion? **NO** \_\_\_\_\_ **YES** \_\_\_\_\_ (If **YES**, attach all court documentation and a letter of explanation).
9. Are there any civil suits or judgements pending against any partner, officer or director at this time? **NO** \_\_\_\_\_ **YES** \_\_\_\_\_ (If **YES**, attach all court documentation and a letter of explanation).
10. Has any partner, officer, or director ever had an auctioneer's license, real estate broker's or any other type of occupational license suspended, revoked, refused or disciplined by this State or any other State? **NO** \_\_\_\_\_ **YES** \_\_\_\_\_ (If **Yes**, attach a letter of explanation).  
Where? \_\_\_\_\_
11. Does the principal auctioneer for the firm understand and accept that he will be held accountable for all professional actions of all members and employees of the firm when operating within the scope of their professional activities?
12. If **non-auctioneer** firm owner(s), list name(s) and date exam passed  
Name \_\_\_\_\_ Date \_\_\_\_\_

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

**AFFIDAVIT**  
**(Read Carefully)**

The undersigned by submitting this application to the Tennessee Auctioneer Commission for a license to carry on the business under the provisions of the Auctioneer's License Act of 1967, as amended, swears (or affirms) that he or she has read and is thoroughly familiar with the provisions of the aforementioned Act, and agrees to fully comply with them. The undersigned further swears (or affirms) that all of the information given in this application is true to the best of his or her knowledge and belief.

\_\_\_\_\_  
Signature: Owner(s) of Business

\_\_\_\_\_  
Signature of Licensed Auctioneer

\_\_\_\_\_  
Print Name(s)

\_\_\_\_\_  
Print Name

Subscribed and sworn to before me this \_\_\_\_\_ of \_\_\_\_\_, \_\_\_\_\_  
Day Month Year

(SEAL)

My Commission expires \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Month Day Year

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

\_\_\_\_\_  
County State

**SEAL IS MANDATORY**

IN-0413 (Rev. 6/04)



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TENNESSEE AUCTIONEER COMMISSION

500 James Robertson Parkway  
Davy Crockett Tower, 6<sup>TH</sup> Floor  
Nashville, Tennessee, 37243-1152  
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Fax (615) 741-1245

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Pursuant to Tennessee Code Annotated §62-19-112(b)(4), the Tennessee Auctioneer Commission may suspend, revoke or refuse to renew any license issued by the Commission for failure to keep or maintain any money belonging to others in an escrow or trustee account. Accordingly, please complete the following:

\_\_\_\_\_ The undersigned does handle funds belonging to others or intends to do so in the future.

**PLEASE HAVE YOUR BANK COMPLETE THE FOLLOWING AND RETURN TO THIS OFFICE**

Firm/Auctioneer or Gallery Name and Address: \_\_\_\_\_

\_\_\_\_\_

Escrow Account Number: \_\_\_\_\_

Bank name / address / telephone number: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Bank Officer Signature

\_\_\_\_\_  
Date

I hereby certify that the foregoing information is true and correct to the best of my knowledge. I further understand that I have a continuing duty to notify the Commission in the event that any of the information contained herein changes. The Tennessee Auctioneer Commission, or its agent/designee, is hereby authorized to audit any escrow account(s) referenced above.

\_\_\_\_\_  
Auction Firm/Gallery Owner and Escrow Account Holder

\_\_\_\_\_  
(Please Print)

By:

\_\_\_\_\_  
(Authorized Signature)

\_\_\_\_\_  
(Printed Name)

\_\_\_\_\_  
(Date)

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

(SEAL)

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

(Revised 1/03)

## AUCTIONEER COMMISSION FEE LIST 2009

<b>Apprentice Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 125.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 225.00
<b>Auctioneer Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 175.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 275.00
<b>Firm Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 125.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 225.00
<b>Firm Branch Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 75.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 175.00
<b>Gallery Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 175.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 275.00
<b>Gallery Branch Initial License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 75.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 175.00
<b>Public Automobile Auctioneer License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 125.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 225.00
<b>Public Automobile Auction Firm License Fee -</b>	Application Fee	\$ 50.00
	License Fee	\$ 125.00
	<u>Recovery Fee</u>	<u>\$ 50.00</u>
		\$ 225.00

<b>If you are reciprocating from another state- please check the reciprocal license fees.</b>
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