

NEW BROKERAGE CHECKLIST

BROKER APPLICATION	✓/x
Original application submitted	
Correct form completed: <input type="checkbox"/> Application for Registration - for those who are currently or were previously licensed as a broker <input type="checkbox"/> Application for Licence & Registration – for those applying for a licence for the first time	
Form is for current licensing period	
Industry/class of licence are accurately identified	
Name is complete and reflects full legal name, including middle name	
On licence & registration application “Also Known As” name is a derivative of legal given name(s)	
Residential address is complete (PO Box not acceptable)	
Birth date is complete	
Primary phone number is complete	
Primary email address is complete (brokerage email address is acceptable)	
Section C (suitability) questions are complete and accurate	
Documentation to support “yes” answer is attached, if applicable	
On application for licence & registration , Section D (eligibility) has been completed accurately	
On application for licence & registration , Section E (reciprocity) has been completed only if applicant is applying for licence reciprocity and has purchased information materials	
Affidavit is current (within 30 days)	
Affidavit is sworn in legal name	
Commissioner for Oaths/notary public/lawyer is adequately identified on affidavit including expiry date	
Broker signature is on affidavit (must be dated ON or BEFORE brokerage acknowledgment was completed)	
Brokerage acknowledgement is completed in full (brokerage name, partner/director/officer/sole proprietor name and signature (other than the broker unless the broker has 51% or greater controlling interest in the ownership of the brokerage), contact phone number, date signed – must be dated ON or AFTER the date the affidavit was sworn by broker)	
Educational requirements are complete	
CRC items or CCRC attached or has been previously provided (new applicant's only)	
Fees indicated: <input type="checkbox"/> \$700 new applicant (licence & registration) <input type="checkbox"/> \$600 applicant who is licensed but has not been registered within the current licensing period <input type="checkbox"/> \$50 applicant who is currently or has been registered within the current licensing period	
BROKERAGE APPLICATION	✓/x
Original application submitted	
Correct form completed (Brokerage Licence Application)	
Form is for current licensing period	
Class of licence is identified	
Section B (legal entity information) is complete and accurate (compare with corporation/partnership/sole proprietorship/trade name filing documents)	
Section C (brokerage information) is complete and accurate	
Section D (trust accounting information) is complete and accurate	
Section E (suitability) questions are complete and accurate	
Documentation to support “yes” answer is attached, if applicable	
Brokerage acknowledgement is completed in full (brokerage name, partner/director/ officer/sole proprietor name and signature (other than the broker unless the broker has 51% or greater controlling interest in the ownership of the brokerage), contact phone number, date signed – must be dated ON or BEFORE the date the affidavit was sworn by broker)	
Affidavit is current (within 30 days)	

Affidavit is sworn in legal name	
Commissioner for Oaths/notary public/lawyer is adequately identified on affidavit including expiry date	
Broker signature is on affidavit (must be dated ON or AFTER the date the brokerage acknowledgment was completed)	
Fees indicated in Section J (\$300)	
REQUIRED SUPPORTING DOCUMENTATION	✓/x
Corporation Requirements:	
Certificate of Incorporation for corporation and any and all corporate shareholders (corporation name and registration number included on brokerage application)	
Articles of Incorporation for corporation and any and all corporate shareholders	
Current Corporation/Non-Profit Search from Alberta Registries for corporation and any and all corporate shareholders (required if certificate of incorporation over 6 months old)	
Proof of shareholders, officers and directors for corporation and any and all corporate shareholders	
Proof of Trade Name filing/Certificate of Amendment from Alberta Registries, if applicable (trade name included on brokerage application)	
Partnership Requirements:	
Partnership agreement	
Proof of Partnership Filing from Alberta Registries	
Proof of shareholders, officers and directors for any corporate partners, and any and all corporate shareholders of partners	
Proof of Trade Name filing/Certificate of Amendment from Alberta Registries, if applicable (trade name included on brokerage application)	
Sole Proprietorship Requirements:	
Proof of Trade Name filing/Certificate of Amendment from Alberta Registries, if applicable (trade name included on brokerage application)	
Broker of Record Agreement signed by broker AND separate official of corporation (required only if broker does NOT have 51% or greater controlling interest in the ownership of the brokerage)	
Original letter from Alberta financial institution verifying trust account including transit, institution and account number; must be on letterhead and stamped & initialed by teller (required only if brokerage has indicated they have or will maintain a trust account)	
Cancellation form OR letter of resignation OR Declaration of Undertaking: Ceasing Operations (required only if broker currently registered elsewhere)	
Proof of municipal zoning compliance (lease agreement, business permit, home occupation class 1 permit, zoning certificate, etc.) (address included on brokerage application)	
Copy of Franchise Agreement, if applicable	
Executed Electronic Filer Agreement	
Executed final page of RECA ONLINE User Manual	