

Frequently Asked Questions

1. What should I do if an applicant has answered "yes" to one of the suitability questions on the first page of the application for registration?

A. DO NOT PROCEED WITH ONLINE RENEWAL FOR THIS APPLICANT

B. Forward the *original* application to RECA for processing along with the following additional documentation:

- a. a letter of explanation from the applicant detailing the circumstances of what he or she is declaring, to be sworn by affidavit, AND
 - i. in the case of refused registration, denied authorization, industry withdrawal or lifetime ban, registration/licence/authorization suspension or revocation, a copy of any correspondence sent to the applicant from the regulatory body or organization regarding the event
 - ii. in the case of discipline, a copy of the decision/discipline that was issued by the regulatory body or organization
 - iii. in the case of a judgment, a copy of the judgment
 - iv. in the case of bankruptcy, a copy of the complete "Summary Administration". This is issued by the trustee in bankruptcy
 - v. in the case of criminal conviction, a copy of the conviction/sentencing report
 - vi. in the case of criminal proceedings, a copy of the criminal charges and police report.

*NOTE: The above outline is to be used as a guide only. RECA may request further information and/or documentation from the applicant regarding any of the above situations at any time. The requirement to provide supporting documentation is waived if it has been previously provided to RECA. An applicant who has answered "yes" on a previous application is not required to restate this response. Questions are to be answered in terms of occurrences **since the date of last application.***

2. Why does an associate/associate broker's licensing status indicate a red light instead of a yellow light?

This industry member has a special circumstance. Please have the industry member contact RECA directly for further information.

- The applicant will then be advised as to the special circumstance and the steps that need to be taken, if any, to allow the application to be processed.

- If the special circumstance can be removed, the application will be processed by the Broker Online. If the special circumstances cannot be removed the original application will need to be sent to RECA for processing.
- If the application is processed by RECA the licensing and registration certificate will be forwarded to the industry member and the broker by email.

3. I wasn't able to print certificates for my associates/associate brokers.

- A. You are able to print certificates at any time using RECA ONLINE.
- B. Refer to the RECA ONLINE User Manual available for download on the main brokerage details screen.

4. I forgot to print the receipt for my associate, am I able to get one from RECA?

- A. RECA does not provide copies of receipts. RECA ONLINE currently affords users only one opportunity to print a transaction-specific receipt upon completion of the transaction.
- B. If you neglected to print the receipt, you can review & print transactions on your brokerage statement in RECA ONLINE. Refer to the RECA ONLINE User manual for further instructions.

Common Errors

The following are some common errors to watch for. Brokers must reject applications containing any of the errors listed below.

GENERAL ERRORS	
Incorrect Form	<ul style="list-style-type: none"> The application used is not for the 2011/2012 licensing period. Ensure applications are current by downloading them from www.reca.ca as needed. Do not keep old blank applications on file. Ensure the applicant has completed the correct <u>application for licence and registration</u> or <u>application for registration</u> form according to their current licence status.
INDIVIDUAL INFORMATION ERRORS	
Legal Name	<ul style="list-style-type: none"> Incomplete and/or illegible name information. Applications without a complete legal first name, legal middle name and last name cannot be processed. New industry members must provide identification to their broker along with their application. Acceptable identification includes a legible birth certificate or certificate of Canadian citizenship. The broker must verify all information contained in the application prior to processing. Once this has been done, return the identification to the applicant.
Residential Address	<ul style="list-style-type: none"> Incomplete and/or illegible address. A postal office box number is not acceptable for the applicant's residential address. A PO box can be used as a mailing address, however. Ensure that the address is complete and legible.
Birth Date	<ul style="list-style-type: none"> Birth date left blank or incomplete. This information must be complete for RECA's records. RECA's privacy policy can be found on the RECA Web site if the applicant has concerns.
Email Address	<ul style="list-style-type: none"> Email address left blank or incomplete. All industry members are required to provide an e-mail address to RECA. If an applicant does not have an e-mail address, they may provide an e-mail address for the brokerage, providing the brokerage is willing to undertake distributing information sent by RECA to the industry member.
SUITABILITY ERRORS	
Blank answers	<ul style="list-style-type: none"> Applicants must clearly check either "yes" or "no" on each of the suitability questions asked before the application is sworn by a Commissioner of Oaths.
"Yes" answers	<ul style="list-style-type: none"> If the applicant has answered "yes" to any of the suitability questions, please refer to section 1 of this guide and forward the original application to RECA for processing.
AFFIDAVIT ERRORS	
The applicant swore the affidavit under an invalid name	<ul style="list-style-type: none"> Applicants must swear their affidavit under their legal given and last name, not an assumed name. The commissioner/notary/lawyer swearing the oath will routinely ask for identification from the applicant.

<p>The date the application was sworn by affidavit is more than 30 days old</p>	<ul style="list-style-type: none"> • Licensing applications expire 30 days from the date the affidavit was sworn. • Answers to the suitability questions on the front page of the application can change over time. As such, brokers must only process applications that have a date sworn of no more than 30 days prior.
<p>The Commissioner for Oaths/Notary Public/Solicitor did not identify themselves adequately on the affidavit</p>	<ul style="list-style-type: none"> • Unless an official seal is used, the individual who administered the oath to the applicant must clearly print or stamp their name near their signature.
<p>The Commissioner for Oaths/Notary Public/Solicitor did not include their appointment expiry date</p>	<ul style="list-style-type: none"> • Commissioners for Oaths are legally required to indicate the date of expiry of their appointment. Notaries and lawyers commonly have appointments that do not expire; however they should be indicating such on the affidavit. • If an appointment has expired, the affidavit is not valid.
<p>The applicant's signature is missing from the affidavit portion of the application</p>	<ul style="list-style-type: none"> • If the applicant's signature is missing, a new application must be completed and sworn.
<p>The applicant signed the affidavit portion of the application prior to delivery to the Commissioner for Oaths/Notary Public/Solicitor</p>	<ul style="list-style-type: none"> • The applicant MUST sign the affidavit in the presence of a Commissioner for Oaths/Notary Public/Solicitor
<p>ERRORS ON BROKER ACKNOWLEDGEMENT</p>	
<p>The broker has not initialed in the boxes</p>	<ul style="list-style-type: none"> • The broker is responsible for reviewing the applicant's responses to the suitability questions and confirm the applicant's identification and must initial indicating that they have done so.
<p>The broker has not signed and/or dated the application</p>	<ul style="list-style-type: none"> • As the broker is responsible for all transactions within the brokerage, applications should not be processed on RECA ONLINE until the broker has signed and dated the application.