



CERTIFICATIONS BY OWNER(S)/OFFICER(S)/CONTROLLING PERSON FORM

Please print name of Owner/Officer/Controlling Person \_\_\_\_\_

Apply for a valid Arizona Department of Public Safety (DPS) Clearance Card.

Fingerprint Clearance Card/ Application Status:

Application Number: \_\_\_\_\_ (located upper right side of AZ DPS application form).

OR

Previously issued and current Arizona DPS Level One Clearance Card #: \_\_\_\_\_

If you answer "YES" to any question below, provide a signed, detailed statement describing the facts and circumstances, including the date and location of the incident or event. Please SUBMIT THE FOLLOWING: A. For CRIMINAL matters, a CERTIFIED copy of (1) Complaint and Indictment; (2) Information; (3) Plea agreement; (4) Presentence Report; (5) Judgment; (6) Sentencing documents; (7) Probation Papers; (8) Restoration of civil rights/expungement/dismissal documents. B. For CIVIL matters, a CERTIFIED copy of (1) Complaint; (2) Amended Complaint; (3) Judgment; (4) Satisfaction of Judgment; (5) Settlement Agreement. C. For DISCIPLINARY ACTIONS, a CERTIFIED copy of (1) Notice of hearing and/or complaint; (2) Answer; (3) Findings of Fact and Conclusions of Law; (4) Final Order/Administrative Ruling; (5) Consent or Settlement Agreement; (6) Certified Registered/License/Certificate History from each state, except Arizona, in which applicant/registrant is registered/licensed/certified at the time of application. D. Provide any other documentation that the applicant/registrant believes supports the applicant/registrant's qualifications for registration/licensure/certification. E. Any additional documentation that the Department may require. Note: If you attempt to obtain the required documents and are told that records have been destroyed or are otherwise unavailable, obtain a written statement to that effect from the agency and court. Do not detach or un-staple certified documents. Documents must remain in original order received.

Please note that the following questions are updates from your previous registration or renewal, whichever was later.

YES NO

- 1. Have you ever had any financial, appraisal, real estate or mortgage lending industry license or certificate issued by this state, or any other state, refused, denied, canceled, revoked or voluntarily surrendered? If so, provide a copy of the letter or order stating the reasons for the denial.
2. Have you ever been charged with, convicted of or pled nolo contendere (no contest) to a criminal offense, other than a minor traffic violation (please note DUI's and/or being placed on probation), in this or any other jurisdiction (i.e. locality)? You must answer "YES" even if you received a pardon, the conviction was set aside, the records were expunged, your civil rights were restored; whether or not a sentence was imposed or suspended.

**ARIZONA**  
DEPARTMENT OF  
FINANCIAL INSTITUTIONS

YES      NO

- \_\_\_\_      \_\_\_\_      3.    Have you ever been named as a defendant or respondent in any type of civil or criminal action involving appraisal(s), appraisal services, fraud, misrepresentation, or deceit in this or any other jurisdiction (i.e. locality) that resulted in a conviction or adverse judgment against you?
- \_\_\_\_      \_\_\_\_      4.    Have you, after June 18, 1990, attempted to do business or held yourself out as being entitled to do business as an appraiser in this state, without being the holder of a valid, current Arizona certificate or license authorizing you to do so?
- \_\_\_\_      \_\_\_\_      5.    Have you ever been or are you currently the subject of any complaint, investigation or disciplinary action against a license, certificate, registration, or membership by any state regulatory agency, or any professional or occupational credentialing authority in this or any other jurisdiction (i.e. locality) that resulted in an adverse judgment against you?
- \_\_\_\_      \_\_\_\_      6.    Have you ever voluntarily withdrawn, surrendered, allowed to lapse, canceled or resigned a license, certificate, registration or membership in lieu of disciplinary proceedings or sanctions of any kind by any state regulatory agency, or any professional or occupational credentialing authority in this or any other jurisdiction (i.e. locality)?
- \_\_\_\_      \_\_\_\_      7.    Have you ever used, been known as or called by another name or alias other than the name signed to this application? (*Examples: maiden name, prior married names, Jr., III, etc.*)

By signing below I attest that the above certifications are true and correct and I further understand that submitting false or misleading information to the Department may be grounds for disciplinary action.

\_\_\_\_\_  
(Print Name of Controlling Person)

\_\_\_\_\_  
(Print Title of Controlling Person)

\_\_\_\_\_  
(Signature of Controlling Person)

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