



Disciplinary Actions Disclosure (LI-214/244) All Renewal and Original License Applications

[A.R.S. §§ 32-2108, 32-2123, and 32-2130](#)
[A.A.C. R4-28-301 and R4-28-303](#)

The Disciplinary Actions Disclosure is required by ADRE to determine qualifications and suitability of the licensee to hold an Arizona Real Estate License. Any and all civil actions arising from any business in or involving a transaction in real estate, cemetery property, timeshare intervals or membership camping, **criminal convictions**, and **occupational license disciplinary actions** must be included since your last license renewal UNLESS, the disclosure has been previously submitted in writing to ADRE and either ADRE approved the disclosure or entered into an Accelerated Settlement Agreement or Consent Order regarding the matter disclosed.

Failure to answer these questions truthfully may result in disciplinary actions including, but not limited to, suspension, revocation, and/or civil penalties.

NOTE: If you answer “Yes” to one or more of the questions below, use the [Disclosure Document Checklist \(Form LI-400\)](#) to ensure you submit a complete application, to include certified documents related to the disciplinary or criminal proceedings and a copy of a valid Fingerprint Clearance Card.

A.R.S. §§ 32-2153(B) and 32-2160.01

A.	Are you currently in a deferred period of judgment or sentencing, in a diversion program, or have you ever been convicted of a Misdemeanor or Felony? If “No,” check No to the right. If “Yes,” you must answer Questions 1 - 6.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
1.	Been convicted or entered into a plea agreement or a plea of NOLO CONTENDERE (no contest) to ANY felony - including a Class 6 Undesignated Felony - in Arizona and/or any other state, whether or not the plea or verdict was set aside, sealed, judgment or sentencing was deferred, conviction was dismissed or expunged, or has been pardoned, or the conviction is being appealed? (A.R.S. § 32-2108(C)(3)(a); A.R.S. § 32-2123 (B)(4))	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Been convicted or entered into a plea agreement or a plea of NOLO CONTENDERE (no contest) to ANY misdemeanor in Arizona or any other state, whether or not the plea or verdict was set aside, sealed, judgment or sentencing was deferred, the conviction was dismissed or expunged, or has been pardoned, or the conviction is being appealed? CONVICTIONS – DUI AND/OR RECKLESS DRIVING, EITHER MISDEMEANOR OR FELONY, MUST BE DISCLOSED. Minor traffic citations do not constitute a misdemeanor or felony offense. (A.R.S. § 32-2108(C)(3)(a); A.R.S. § 32-2123 (B)(4))	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	Was the conviction set aside and/or have you received a Certificate of Second Chance? (A.R.S. § 13-905)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.	Have you been convicted of a drug related offense that involves a violation of Title 13, Chapter 34 and/or 34.1, or an offense committed in another jurisdiction that has the same elements as an offense listed in Title 13, Chapter 34.1? (A.R.S. §§ 32-2108, 41-1093.06)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5.	Are you CURRENTLY in a diversion program or deferred period of judgment or sentencing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6.	Are you CURRENTLY incarcerated, paroled, and/or on probation because of ANY conviction? (A.R.S. § 32-2124(M))?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If No, Go To Next Question.

B. For all license, education, and public report types, whether approval or renewal, applicants must respond to ALL questions.		
1.	Had a professional or occupational license or registration in any state, of ANY kind, denied, suspended, restricted, or revoked? (Driver's License/CDL not included) (A.R.S. § 32-2108 (C)(3)(b), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	With the exception of an Accelerated Settlement Agreement (ASA) issued by the Arizona Department of Real Estate, had an administrative order and/or ANY other disciplinary action taken or are you CURRENTLY under investigation, involved in ANY pending disciplinary hearings and/or other administrative actions, against ANY license issued by any local, state, or federal regulatory agency - including ADRE? (A.R.S. § 32-2108(C)(3)(b), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Entered into ANY consent decree, and/or had an injunction (either temporary or permanent), a suspension, an order and/or a judgment issued which resulted in a civil penalty or continuing education requirement or otherwise prohibited or restricted them from engaging in ANY profession or occupation? (A.R.S. § 32-2108 (C)(3)(d), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Had any judgment and/or order against them by ANY court involving fraud, forgery, theft, burglary, larceny, bribery, embezzlement, money laundering, extortion, dishonesty, misrepresentation, unfair trade practice, or moral turpitude? (A.R.S. § 32-2108 (C)(3)(e), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Had any judgment and/or order entered against them by ANY court arising out of the conduct of any business in real estate, cemetery property, timeshare intervals, or membership campgrounds? (A.R.S. § 32-2108 (C)(3)(d)) and (A.R.S. § 32-2108 (C)(3)(e), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Had any payment made from the real estate recovery fund and/or ANY similar fund that was charged against them and/or against a business for which they were qualifying party? (A.R.S. § 32-2153(C), A.R.S. § 32-2108(I))	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Have you voluntarily surrendered ANY professional or occupational license during the course of an investigation or disciplinary proceeding? (A.R.S. § 32-4302(A)(5))	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	Have you had ANY subdivision public report or registration to sell real estate, timeshare, cemetery, lots, or campground memberships denied and/or suspended? (A.R.S. § 32-2108(C)(3)(c))	<input type="checkbox"/> Yes <input type="checkbox"/> No
9.	Held, and/or, currently holds 10% OR MORE ownership and/or controlling interest in any business, corporation, partnership, or limited liability company that would cause them to answer "YES" to any of the ABOVE questions? (A.R.S. § 32-2108(C), A.R.S. § 32-2194.03(B)(9))	<input type="checkbox"/> Yes <input type="checkbox"/> No

If you answered "Yes" to any of the questions above, have you already disclosed the matter to the Arizona Department of Real Estate?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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If you have disclosed it, indicate:

- **Approximate date of the Disclosure:**
- **Type of Disclosure:**

ATTESTATION: I attest, under penalty of perjury, under laws of the State of Arizona, that the foregoing answers and statements given in this application are true and correct. I certify that at the time of ADRE license issuance, I will be 18 years of age or older. I certify that while licensed, I will not violate any provisions of Real Estate Laws nor abuse the privileges of ADRE issued licenses.

Name	Signature of Applicant	Date
ADRE License #	Email Address	