



What Broker's need to know...

A guide to creating broker specific content

Nakia Brooks  
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# Class Policies

- GREC Approved Course
  - No Recruiting
  - Must remain attendance
- Cell Phones
- Questions



# Discussion:

- Do we need broker specific courses?
- Should there be a change in how broker's get licensed?
- As instructors, what do you see a need for?
- Where do you see violations occurring?



# What does the commission say?

- Top 10 violations
- CE Requirements coming
- Commission is wanting Broker Specific Courses



# Agenda

- Top 10 violations
- Possible upcoming Broker CE Requirements
- Creating ideals in group settings



This is a discussion...

“the smartest person in the room is never as smart as all the people in the room.” ~ John C. Maxwell



# Broker – what is that?

- Negotiates or attempts to negotiate, or assists in procuring prospects for the listing, sale, purchase, exchange, renting, lease, or option for any real estate or the improvements thereon;

Excerpt From...

Georgia Real Estate Licensing and Appraiser Laws and  
Regulations Annotated ~ LexisNexis



# Broker – what is that?

- Holds themselves out as a referral agent...
- Collects, rents, assessments, or other trust funds
- Collects advance fees
- Performs property management services or community management services
- Provides consulting services

Excerpt From...

Georgia Real Estate Licensing and Appraiser Laws and  
Regulations Annotated ~ LexisNexis





# Broker – How you be one...

- Background Check
- Age requirement
- GED
- Broker Course
- Test
- “experience”
- Fee

Excerpt From...

[grec.state.ga.us/obtaining-a-license/real-estate/#broker](http://grec.state.ga.us/obtaining-a-license/real-estate/#broker)



2022 EDITION

GEORGIA  
REAL ESTATE  
LICENSING  
AND  
APPRAISER LAWS  
AND  
REGULATIONS  
ANNOTATED



Broker – What are they doing wrong?



# Broker – What are they doing wrong?

Failing to supervise advertising by their affiliates and ensure that the advertising meets GREC's Rules

Excerpt From...  
43-40-18(1)



# Advertising Rules for Real Estate

*To identify requirements, begin with rules for "All Advertising" and build, by adding "Advertising a Specific Property" and "Advertising Licensee Owned Property", if applicable.*

## **All Advertising:**

**520-1-.09**

1. Is not misleading
2. Does not discriminate
3. Is in the name of the broker
4. Is reviewed and approved by the broker

## **Advertising a Specific Property**

5. Must have owner's permission
6. Broker's name equal or greater size, frequency or prominence than agent(s)
7. Broker's telephone number equal or greater size, frequency or prominence than agent(s)

## **Advertising Licensee Owned Property**

8. Written notification to Broker
9. Broker's written consent and approval
10. Includes appropriate licensee disclosure

Complete rules on advertising can be found in Chapter **520-1-.09**



# Broker – What are they doing wrong?

Failing to supervise advertising by their affiliates and ensure that the advertising meets GREC's Rules

- Create course that help with systems
- Random audits
- Systems



# Broker – What are they doing wrong?

Failing to supervise advertising by their affiliates and ensure that the advertising meets GREC's Rules

- But I am too busy... I have too many agents?



# Broker – What are they doing wrong?

Failing to have the proper agreements in place for affiliates who have unlicensed assistants

Excerpt From...  
GREC – 520-1-.07 (6)(d)1





# Broker – What are they doing wrong?

Failing to have the proper agreements in place for affiliates who have unlicensed assistants

- Auditing of agents
- Meetings with Teams
- Educating your Teams



# Broker – What are they doing wrong?

Failing to limit unlicensed assistants to the activities allowed in the license law and rules – They are engaging in licensed activities such as open houses and cold calling

Excerpt From...  
GREC – 520-1-.07 (6)(e)(f)



# Broker – What are they doing wrong?

Failing to limit unlicensed assistants to the activities allowed in the license law and rules –  
They are engaging in licensed activities such as open houses and cold calling

- Signed agreement in place
- Create Checklists of things allowed | not allowed

Excerpt From...  
GREC – 520-1-.07 (6)(e)(f)



# Broker – What are they doing wrong?

Failing to limit unlicensed assistants to the activities allowed in the license law and rules –  
They are engaging in licensed activities such as open houses and cold calling

## AGREEMENT FOR LICENSEE USE OF A REAL ESTATE ASSISTANT



2022 Printing



THIS AGREEMENT for the use of a real estate assistant ("Agreement") is entered into this date of \_\_\_\_\_, by and between \_\_\_\_\_ (hereinafter "Broker") and \_\_\_\_\_ (hereinafter "Licensee") and \_\_\_\_\_ ("Assistant") is intended as a three party Agreement between Broker, Licensee and Assistant;

NOW, THEREFORE, for and in consideration of Ten Dollars (\$10.00) and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged by all parties, Broker, Licensee and Assistant do hereby agree as follows:

1. **Nature of Agreement.** This Agreement is intended to serve as the following:
  - A. The agreement between Broker and Licensee authorizing the use of an Assistant on the terms and conditions set forth herein.
  - B. The agreement between Broker and Assistant setting forth the basis upon which Assistant shall perform Assistant's duties hereunder and the scope of Broker's duties to supervise Assistant.
  - C. The agreement between Licensee and Assistant setting forth the duties and obligations of each of the parties in working together in a Licensee-Assistant capacity including the compensation of Assistant.

2. **Nature of Relationship.** All parties agree that Assistant is:  
[Check all that apply, the boxes not checked shall not be a part of this Agreement.]

- |  |  |
|--|--|
| <input type="checkbox"/> An employee of Licensee | <input type="checkbox"/> An Independent Contractor of Licensee |
| <input type="checkbox"/> An employee of Broker   | <input type="checkbox"/> An Independent Contractor of Broker   |

If Assistant is licensed, Assistant certifies that Assistant has entered into an Independent Contractor Agreement with Broker.

3. **Disclaimer and Compensation of Licensee.** Unless expressly designated above Broker and Licensee agree that at no time shall Assistant be considered an employee of Broker, nor shall Broker have any responsibility to compensate Assistant for services rendered

Excerpt From...  
GAR FORM C07



# Broker – What are they doing wrong?

Failing to limit unlicensed assistants to the activities allowed in the license law and rules –  
They are engaging in licensed activities such as open houses and cold calling

## 7. Duties of Assistant.

### A. Licensed Assistant

- (1) A Licensed Assistant may perform such duties and tasks for and on behalf of Licensee to increase the business productivity of Licensee. The work shall include those brokerage activities permitted pursuant to O.C.G.A. § 43-40, the rules of the Georgia Real Estate Commission, and the Independent Contractor Agreement executed with Broker and any and all duties specifically assigned by Licensee.
- (2) If, during the term of this Agreement, the real estate license of Assistant either lapses or becomes inactive, then at such time and until the license is again active and in good standing, Assistant shall only perform the duties and tasks of an Unlicensed Assistant set forth below.

### B. Unlicensed Assistant

- (1) Work Unlicensed Assistant may perform. Unlicensed Assistant agrees that he or she shall not perform any duties or tasks of a Georgia Real Estate Licensee. Assistant shall only perform such ministerial duties as are set forth in Commission Rule 520-1-.07(6) (e), which are designed to increase the business productivity of Licensee:
  - (a) Answer the phone and forward calls to Licensee;
  - (b) Submit data on listings to a multiple listing service;
  - (c) Check on the status of loan commitments after a contract has been negotiated;
  - (d) Assemble documents for closings;
  - (e) Secure documents that are public information from the courthouse and other sources available to the public;
  - (f) Have keys made for company listings and installing or removing lockboxes from company listings;
  - (g) Write advertisements and promotional materials for the approval of the licensee and supervising broker;
  - (h) Place advertisements in magazines, newspapers, and other media as directed by the supervising broker;
  - (i) Receive, record and deposit earnest money, security deposits, and advance rents;
  - (j) Type contract forms as directed by the licensee and the supervising broker;
  - (k) Monitor personnel files and license reports from the Commission;
  - (l) Compute commission checks;
  - (m) Place signs on property and remove such signs;
  - (n) Order items of routine repair as directed by Licensee;
  - (o) Act as a courier service for such purposes as delivering documents or picking up keys [the Licensee shall remain responsible for assuring delivery of contracts and closing documents as required by O.C.G.A. § 43-40-25(a)(19) and (20);
  - (p) Schedule appointments with the owner or the owner's agent in order for a licensee to show listed property;
  - (q) Arrange dates and times for inspections;
  - (r) Arrange dates and times for the mortgage application, the preclosing walk-through, and the closing;

Excerpt From...  
GAR FORM C07



# Broker – What are they doing wrong?

Failing to limit unlicensed assistants to the activities allowed in the license law and rules –  
They are engaging in licensed activities such as open houses and cold calling

- (2) Work Unlicensed Assistant May Not Perform. Assistant shall not perform or undertake any of the activities prohibited to an Unlicensed Assistant set forth in Commission Rule 520-1-.07(6)(f) as follows:
- (a) Make cold calls by telephone or in person or otherwise contacting the public for the purpose of securing prospects for listings, leasing, sales, exchanges, or property management;
  - (b) Host open houses, kiosks, home show booths, or fairs;
  - (c) Prepare promotional materials or advertisements without the review and approval of licensee and supervising broker;
  - (d) Show property;
  - (e) Answer any questions on title, financing, or closings (other than the time and place);
  - (f) Answer any questions regarding a listing except for information on price and amenities expressly authorized in writing by the licensee;
  - (g) Discuss or explain a contract, listing, lease, agreement, or other real estate document with anyone outside the firm;
  - (h) Negotiate or agree to any commission, commission split, management fee, or referral fee on behalf of a licensee;
  - (i) Discuss the attributes or amenities of a property, under any circumstances, with a prospective purchaser or lessee;
  - (j) Discuss with the owner of real property, the terms and conditions of the real property offered for sale or lease;
  - (k) Collect or hold deposit monies, rent, other monies or anything of value received from the owner of real property or from a prospective purchaser or lessee;
  - (l) Provide owners of real property or prospective purchasers or lessees with any advice, recommendations or suggestions as to the sale, purchase, exchange, or leasing of real property that is listed, to be listed, or currently available for sale or lease; and
  - (m) Hold himself or herself out in any manner, orally or in writing, as being licensed or affiliated with a particular firm or real estate broker as a licensee.

Excerpt From...  
GAR FORM C07





# Broker – What are they doing wrong?

Failing to properly disburse trust funds in accordance with the contract and/or the license law



# Broker – What are they doing wrong?

Failing to properly disburse trust funds in accordance with the contract and/or the license law

- Review contracts regularly
- Systems
- Coaching

Excerpt From...  
GREC – 520-1-.08 (3)





# Broker – What are they doing wrong?

Failing to have all trust accounts  
registered with the Commission



# Broker – What are they doing wrong?

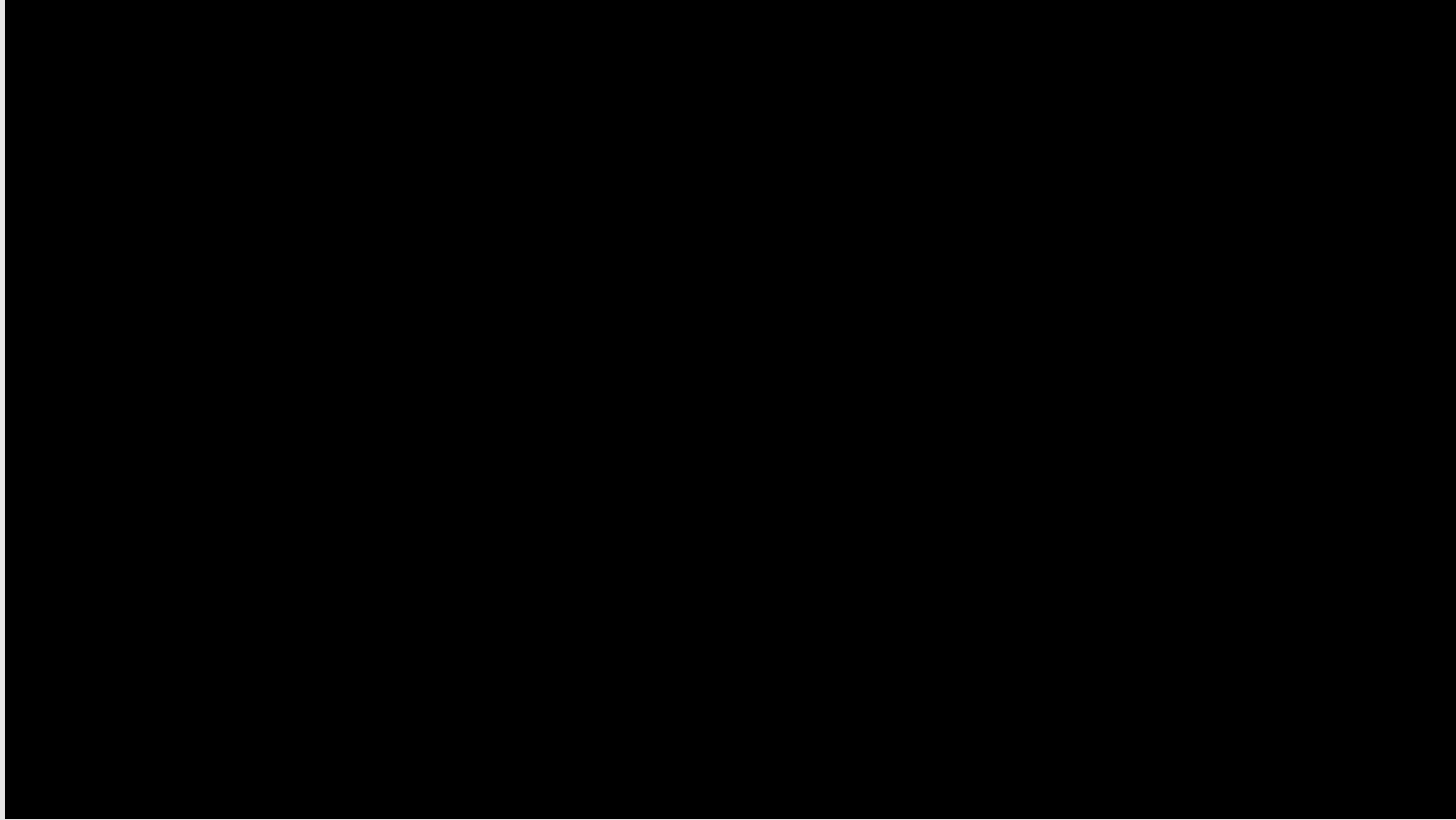
Failing to have all trust accounts registered with the Commission

- Create Operational Videos

Excerpt From...  
GREC – 520-1-.08 (1)



# Broker – What are they doing wrong?



Excerpt From...  
GREC – 520-1-.08 (1)



# Broker – What are they doing wrong?

Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures



# Broker – What are they doing wrong?

Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures

## **(5) Transferring Licensees Into or Out of a Firm.**

(a) Any broker seeking to have a licensee affiliate with the broker's firm shall enter into a written agreement specifying the terms under which the licensee will be compensated for work during the time of their affiliation and specifying how the licensee will be compensated for work begun but not completed prior to the termination of their affiliation. Other than to

Excerpt From...  
GREC – 520-1-.07(5)



# Broker – What are they doing wrong?

Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures

## INDEPENDENT CONTRACTOR AGREEMENT



2022 Printing

This Agreement made the date of  \_\_\_\_\_, by and between \_\_\_\_\_, hereinafter referred to as "Broker," and \_\_\_\_\_, hereinafter referred to as "Licensee."

WHEREAS, Broker and Licensee are duly licensed under the laws of the State of Georgia; and

WHEREAS, Broker and Licensee desire to work together in the real estate brokerage business in a broker-licensee relationship as set forth in this Agreement.

NOW, THEREFORE, IN CONSIDERATION of the mutual covenants contained herein, the parties agree as follows:

**1. Obligations of Licensee.** Licensee covenants and agrees to:

- A.** work diligently to sell, lease, rent, and/or manage any and all real estate listed with Broker, to solicit additional real estate brokerage business from customers and clients of Broker, and otherwise to promote the business of Broker in real estate transactions.
- B.** maintain real estate license in good standing pursuant to the laws of the State of Georgia. Licensee will be solely responsible for the payment of all professional license fees.
- C.** be a member in good standing at Licensee's sole expense of a local board of REALTORS® (approved by Broker) within Georgia.
- D.** abide by the Code of Ethics of the National Association of REALTORS®.
- E.** maintain such property, casualty, liability, errors and omissions, and other insurance coverages as set forth in the following:  
☐ Exhibit "\_\_\_\_\_", ☐ policy and procedures manual, **OR** ☐ as may be required by Broker upon fifteen (15) days written notice to Licensee.
- F.** indemnify and hold Broker harmless from and against any and all claims, causes of action, lawsuits, damages, liabilities, fines, costs, expenses and deductibles (hereinafter collectively referred to as "Claims") arising out of or related to any violation of this Agreement by Licensee, or Licensee's negligent acts, intentional acts of wrongdoing, or acts outside the scope of Licensee's authority, or

Excerpt From...  
GAR FORM C01



# Broker – What are they doing wrong?

Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures

The screenshot shows the NAR website's 'Real Estate Topics' section. The header includes the NAR logo, a search bar, and navigation links: REALTOR® Store, Contact, Pay Dues, and Sign In. The main navigation bar lists: Real Estate Topics, Membership, Research & Statistics, Advocacy, Education, News & Events, About NAR, and More. The 'Real Estate Topics' section is expanded, showing a list of topics with right-pointing chevrons. The topics are: Competition in Real Estate, Marketing, Being a Real Estate Professional, Residential Real Estate, Legal, and Commercial Real Estate. The 'Being a Real Estate Professional' topic is highlighted with a blue background and contains a list of links: Starting Your Career, Being a Broker, Being an Agent, and View More. A red arrow points from the text 'Excerpt From... nar.realtor' to the 'Being a Broker' link. Other topics like 'Competition in Real Estate' and 'Marketing' also have brief descriptions and 'View More' links. The 'Residential Real Estate' and 'Legal' topics have lists of sub-topics. The 'Commercial Real Estate' topic has a brief description and a 'View More' link. A 'View All' button is located at the bottom of the 'Real Estate Topics' section. A 'More' button is located at the bottom right of the page.

**Real Estate Topics**

Your resource for all things Real Estate. Including Legal, Agent & Broker, and Property Rights Issues.

**Competition in Real Estate**

Local broker marketplaces ensure equity and transparency.

**Marketing**

- Social Media
- Sales Tips & Techniques
- MLS & Online Listings
- View More

**Being a Real Estate Professional**

- Starting Your Career
- Being a Broker
- Being an Agent
- View More

**Residential Real Estate**

- Condominiums
- Smart Growth
- Vacation, Resort, & 2nd Homes
- FHA Programs
- View More

**Legal**

- Arbitration & Dispute Resolution
- Fair Housing
- Copyright
- View More

**Commercial Real Estate**

Commercial research and other tools for practitioners to succeed in commercial real estate.

[View All](#)

[More](#)

Excerpt From...  
nar.realtor



# Broker – What are they doing wrong?

Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures

Excerpt From...  
nar.realtor

Being a Broker > Managing Your Office

## Real Estate Office Policy Manuals

### References



Overview Statement

### Quick Takeaways

- Include your company's mission statement
- State any legal declarations
- Include department-specific policies

Source: [Creating an Employee Handbook](#)  (Indeed, Dec. 3, 2021)

Get real estate-specific ideas for policy manuals. Sign in to the REALTOR® Store to purchase the Sample Employee Manual Download for the member price.

### Latest on this topic

#### 2019's Big Takeaways for Real Estate

December 31, 2019



#### How to Create Your Office Policy Manual

June 12, 2017



#### Creating a Gramm-Leach-Bliley Disclosure Form

April 6, 2012

#### Creating an Office Policy

April 5, 2012





## Broker – What are they doing wrong?

Failing to release the license of an affiliate upon request – requiring an exit interview before releasing a license



# Broker – What are they doing wrong?

Failing to release the license of an affiliate upon request – requiring an exit interview before releasing a license


(b) When a licensee requests that a release form be signed, the releasing broker shall immediately sign the release and forward the wall certificate of licensure of the departing licensee to the Commission or notify the Commission in writing that the wall certificate of licensure has been forwarded to the new broker for whom the licensee will act. If a licensee


Excerpt From...  
GREC – 520-1-.07(5)(b)



# Broker – What are they doing wrong?

Failing to release the license of an affiliate upon request – requiring an exit interview before releasing a license





We hate to see you go – We understand that from time to time people have to do other things!  
We wish you the best!

In preparation of us releasing your license so that you can move on, we need to know a few things for your smooth transition!

If you have any questions, please let us know, you can email [ops@bkgatl.com](mailto:ops@bkgatl.com) for an immediate response!

---

1 Contact Information

2 Contract Status

3 Important Stuff

---

**Name \***

First Last

**License Number \***


Next Page


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Next Page

1 / 3



# Broker – What are they doing wrong?

Failing to release the license of an affiliate upon request – requiring an exit interview before releasing a license

- Changes to come????



## Broker – What are they doing wrong?

Failing to ensure that the affiliates are following the license law in regards to personally owned rental properties



# Broker – What are they doing wrong?

Failing to ensure that the affiliates are following the license law in regards to personally owned rental properties

## **520-1-.11 Licensees Acting as Principals.**

**(1) Written Notification to Broker.** No licensee shall be permitted to list, sell, buy, exchange, rent, lease, or option or offer to list, sell, buy, exchange, rent, lease, or option real estate, either in individual or multiple parcels, in the licensee's own name or in the name of any other firm or entity in which the licensee is an officer, employee, beneficiary, or member of such firm or other entity acting as principal without first advising, in writing, the broker for whom the real estate licensee is acting.

Excerpt From...  
GREC – 520-1-.11  
GREC – 520-1-.08(9)





# Broker – What are they doing wrong?

Failing to ensure that the affiliates are following the license law in regards to personally owned rental properties

**(9) Trust Account Requirements for Non-Broker Licensee Owned Property.**  
**O.C.G.A. Section 43-40-20(h)** authorizes a non-broker licensee to open a trust account for the deposit of trust funds received on properties the non-broker licensee owns if the broker holding the non-broker licensee's license approves the opening of such an account and if the non-broker licensee provides the broker with regular reports accounting for the funds in such an account. The Commission shall deem a property "owned by a licensee" if the deed for such property reflects either (a) only the name of the licensee or (b) only the name of a business entity of which the licensee is the sole owner, member, or stockholder. Whenever a licensee (a) owns any interest in a property that is less than one hundred percent and (b) receives any trust funds on such property, such licensee must deposit those trust funds into the trust account of a firm licensed under this chapter.

Excerpt From...  
GREC – 520-1-.11  
GREC – 520-1-.08(9)



## Broker – What are they doing wrong?

Failing to review contracts for completeness and compliance with the license law



# Broker – What are they doing wrong?

Failing to review contracts for completeness and compliance with the license law

(3) Reviewing for compliance with this chapter and its rules and regulations all listing contracts, leases, sales contracts, and management agreements to buy, sell, lease, or exchange real property and any offer to buy, sell, lease, or exchange real property accepted within the time limit of said offer secured or negotiated by the firm's associates. This review shall take place within 30 days of the date of the offer or contract;

Excerpt From...  
OCGA – 43-40-18



Broker – What are they doing wrong?

Allowing affiliates to work while their license is lapsed or inactive – occasionally for months or even years!



# Broker – What are they doing wrong?

Allowing affiliates to work while their license is lapsed or inactive – occasionally for months or even years!

HEARTLAND REAL ESTATE LLC - #80183		Status: Active
<b>HEARTLAND REAL ESTATE LLC:</b> License Number: 80183 Status: Active Renewal Due Date: 10/31/2026 Type: Limited Liability Company	<a href="#">Change Address</a>	
<b>QUALIFYING BROKER:</b> APRIL THOMPSON WEAVER - #358152	<a href="#">Trust Accounts</a>	
	<a href="#">Agents</a>	
<b>LOCATION ADDRESS:</b> PO BOX 399 BRASELTON, GA 30517	<a href="#">Online Users</a>	
	<a href="#">Status Report</a>	
<b>MAIL ADDRESS:</b> PO BOX 399 BRASELTON, GA 30517	<a href="#">Print License</a>	
	<a href="#">Payment History</a>	

[ata.grec.state.ga.us](http://ata.grec.state.ga.us)



# Broker – What are they doing wrong?

Allowing affiliates to work while their license is lapsed or inactive – occasionally for months or even years!



## Firm Listing

\*\*\* THIS IS NOT A CERTIFICATION OF CURRENT LICENSE STATUS OF ANY INDIVIDUAL WHOSE NAME APPEARS HEREON \*\*\*

### HEARTLAND REAL ESTATE LLC

470-655-1976

PO BOX 399  
BRASELTON, GA 30517

**Company ID:** 80183  
**Type:** Limited Liability Company  
**Status:** Active  
**End of Renewal Period:** 10/31/2026

### Qualifying Broker

**Name:** APRIL THOMPSON WEAVER  
**License Number:** 358152  
**Status:** ACTIVE  
**End of Renewal Period:** 4/30/2026

### Trust Accounts

Bank Name	Account Number
-----------	----------------

### Agents

License Type	License Number	Licensee Name	Issue Date	Entered This Firm	End of Renewal Period	Post License Due Date
SLSP	389902	ADISA AHMETSPAHIC	1/17/2020	10/5/2022	12/31/2023	
SLSP	420521	AMANDA GRACE AUSTIN	2/8/2022	10/5/2022	7/31/2026	
SLSP	394059	RODNEY ALUSTIN	7/8/2019	10/5/2022	10/31/2023	





Status:

Active

End of Renewal Period:

10/31/2026

**Qualifying Broker**

Name: APRIL THOMPSON WEAVER  
License Number: 358152  
Status: ACTIVE  
End of Renewal Period: 4/30/2026

**Trust Accounts**

Bank Name	Account Number
-----------	----------------

**Agents**

License Type	License Number	Licensee Name	Issue Date	Entered This Firm	End of Renewal Period	Post License Due Date
SLSP	389902	ADISA AHMETSPAHIC	1/17/2020	10/5/2022	12/31/2023	
SLSP	420521	AMANDA GRACE AUSTIN	2/8/2022	10/5/2022	7/31/2026	
SLSP	394059	RODNEY AUSTIN	7/8/2019	10/5/2022	10/31/2023	
SLSP	407540	KARLEY BEYER	12/4/2020	10/11/2022	9/30/2024	
ABKR	315107	NAKIA R BROOKS	10/5/2022	10/5/2022	8/31/2023	
SLSP	380419	CAROLINA COLONNA	5/25/2021	10/12/2022	8/31/2025	
SLSP	384041	CHERRI D COOPER	8/18/2022	10/12/2022	8/31/2026	
SLSP	409131	ALLISON MILLER CORRAO	1/25/2021	10/5/2022	7/31/2025	
SLSP	412702	JOHNATHAN ROBERT CREGO	5/4/2021	10/5/2022	11/30/2025	
SLSP	385640	ALENA DROTENKO	4/26/2022	10/10/2022	4/30/2026	
SLSP	375593	DEANA ENGLISH	8/2/2021	10/5/2022	11/30/2025	
SLSP	415949	ERIKA LEE FELBER-SCHUNK	8/16/2021	10/11/2022	6/30/2025	
SLSP	329239	DIANA MARIE FOSTER	12/31/2019	10/5/2022	12/31/2023	
SLSP	403793	EMA GALLACHER	7/22/2020	10/5/2022	6/30/2024	
SLSP	274991	MISTY D GAMBLE	10/6/2020	10/5/2022	10/31/2024	
SLSP	415971	ASHLEY ERIN GREENWALD	8/16/2021	10/5/2022	12/31/2025	
SLSP	323913	DORA GRUBB	6/15/2007	10/5/2022	7/31/2023	



What does the commission want our help on?

43-40-18

520-1-.07





# Top 10

- Failing to supervise advertising by their affiliates and ensure that the advertising meets GREC's rules
- Failing to have the proper agreements in place for affiliates who have unlicensed assistants
- Failing to limit unlicensed assistant to the activities allowed in the License Law and rules – they are engaging in licensed activities such as open houses and cold calling
- Failing to properly disburse trust funds in accordance with the contract and/or the license law
- Failing to have all trust accounts registered with the Commission



# Top 10

- Failing to have independent contractor agreements in place for all affiliates and failure to provide them with policies and procedures
- Failing to release the license of an affiliate upon request – requiring an exit interview before releasing a license
- Failing to ensure that the affiliates are following the License Law in regards to personally owned rental properties
- Failing to review contracts for completeness and compliance with the License Law
- Allowing affiliates to work while their license is lapsed or inactive – occasionally for months or even years



What have we missed

Top Questions you have as instructors?



# CE Requirements Changing...

In the works with target of 2024



# What does the commission want our help on?

- instruction/examples on what to do as a broker to ensure compliance with theses by setting up systems/checklists etc.
- check and balances that are used in the day-to-day operation of the firm
- Courses on trust accounts
- tailored for firms that do:
  - Residential
  - Commercial
  - CAM or property management or property management



# Resources for course content...

- nar.realtor
  - Broker content
  - Certified Real Estate Brokerage Manager (CRB)
- Inman
- Social Media Groups – Specific to brokers



What are you teaching – Specific to brokers?



Other Content Sources – Specific to brokers?





# Questions



# Nakia Brooks





What Broker's need to know...

A guide to creating broker specific content

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