

Broker of Record Questionnaire

1. What are the license portability laws for the transaction state?
2. Do you have any licensing violations in any states? If so, please explain.
3. Have you ever had any complaints filed against you? If so, please explain.
4. What kind of experience do you have in dealing with regulatory agencies if there's ever an issue with one of our transactions?
5. Do you provide a regulatory compliance guarantee? If so, please explain.
6. How do you handle transaction audits by the regulatory agencies?

