



DISCLOSURE DOCUMENT CHECKLIST (LI-400)

- Form LI-400 form is being used for:

LICENSING – ARS §32-2123 & AAC R4-28-301

- Original Salesperson/Broker Application Disclosure
Renewal Disclosure
Timely Disclosure (10 business days from conviction, judgment, etc.)
Late Disclosure (over 10 business days from conviction, judgment, etc.)

ENTITY – ARS §32-2125 & AAC R4-28-302

- Corporation (CO)
Partnership (PA)
Limited Liability Company (CO)

PUBLIC REPORT – ARS §32-2183

- Subdivision Application
Unsubdivided Land Application
Time-Share Application
Membership Campground Application
Certificate of Authority to Operate a Cemetery

EDUCATION – AAC R4-28-301

- School Owner / Administrator

- The disclosure is for: (for multiple disclosures, use one form per disclosure):

CRIMINAL OFFENSE: (Complete Sections 2 & 5)

- Conviction for a misdemeanor or felony;
Deferral of a judgment or sentencing for a misdemeanor or felony;

CIVIL ACTION: (Complete Sections 3 & 5)

- Order, judgment or adverse decision involving fraud or dishonesty;
Order, judgment or adverse decision – Involving the conduct of any business/transaction in:
Real Estate Cemetery Time-Share Membership Camping;

DISCIPLINARY ACTION: (Complete Sections 4 & 5)

- Restriction, Suspension, Revocation, Civil Penalty imposed under the License; and/or
Denial of a:
Professional License Occupational License Registration currently or previously held;
Order, judgment or decree:
Permanently or temporarily enjoining from engaging or continuing any conduct or practice in connection with the sale or purchase of:
Real Estate Cemetery Time-Share Membership Camping; Securities;
Involving:
Consumer Fraud; Violation of Racketeering Laws;
Payment from a Recovery Fund; or Payment from a Fund of Last Resort

SECTION 1: APPLICANT / LICENSEE INFORMATION

NAME (Last, First MI)	License / Registration # (if any)
Email	Phone

SECTION 2: CRIMINAL OFFENSES – provide the following CERTIFIED Documents as they apply

<input type="checkbox"/> Judgment / Deferral	DO NOT REMOVE STAPLES FROM CERTIFIED DOCUMENTS AS IT NULLIFIES THE CERTIFICATION
<input type="checkbox"/> Order of Dismissal from Probation	
<input type="checkbox"/> Order Expunging, Dismissing, or Vacating a Conviction and restoring civil rights	
<input type="checkbox"/> Record has been purged, destroyed or is no longer available – attach an official statement from the court or agency stating the reason that the document is not longer available	
<input type="checkbox"/> Additional documents as outlined in Section 5	

SECTION 3: CIVIL ACTIONS – provide the following CERTIFIED Documents as they apply

<input type="checkbox"/> Complaint and/or Amended Complaint	DO NOT REMOVE STAPLES FROM CERTIFIED DOCUMENTS AS IT NULLIFIES THE CERTIFICATION
<input type="checkbox"/> Judgment	
<input type="checkbox"/> Satisfaction of Judgment	
<input type="checkbox"/> Additional documents as outlined in Section 5	

SECTION 4: DISCIPLINARY ACTIONS – provide the following CERTIFIED Documents

<input type="checkbox"/> Final Order of Administrative	DO NOT REMOVE STAPLES FROM CERTIFIED DOCUMENTS AS IT NULLIFIES THE CERTIFICATION
<input type="checkbox"/> Consent or Settlement Agreement	
<input type="checkbox"/> Order of Payment from a Recovery Fund	
<input type="checkbox"/> License History from any other agency where a professional license is/was held involving any type of action on the license in the last 5 years from disclosure	
<input type="checkbox"/> Additional documents as outlined in Section 5	

SECTION 5: ADDITIONAL DOCUMENTS

<input type="checkbox"/> Submit a signed, dated and detailed statement written by you- including the following (if it applies to your conviction, judgment, restriction, disciplinary action, civil judgment, or Recovery Fund Payment).						
Detail of offense-	Conviction Date-	Judgment, Sentence, or Type of Offense-	Arresting Agency Name-	Court Name & Location-	Time Served & total fines-	Classes- Probation Details- Termination of Probation-
<input type="checkbox"/> Three written, signed and dated references from individuals, 18 years or older and not related by blood or marriage, that have known the applicant for more than one year. Each letter cannot be dated more than one year from the date of the disclosure/application date.						
<input type="checkbox"/> 10 Year work history including the employer’s name and address, supervisor’s name and telephone number, dates of employment and position held. Include all periods of unemployment.						
<input type="checkbox"/> Legal Presence Documentation – if not previously provided. Visit www.azre.gov for a list of acceptable documents.						
Fingerprint Clearance Card (FCC) – application can be obtained through the Department of Public Safety (DPS). DPS contact information: <input type="checkbox"/> Phone: 602.223.2279 <input type="checkbox"/> Fax request to: 602.223.2947 The ADRE requires that a FCC application be submitted through DPS within 10 business days of disclosure.						

**FAILURE TO PROVIDE THE ADRE WITH THE REQUIRED DOCUMENTATION BY THE REQUIRED DATE
MAY DELAY AND OR AFFECT LICENSURE
ENSURE THAT ALL REQUIRED DOCUMENTS ON CHECKLIST ARE PROVIDED TO ADRE**