

# STATE BOARD OF AUCTIONEER EXAMINERS

**MAILING ADDRESS**

STATE BOARD OF  
AUCTIONEER EXAMINERS  
P.O. BOX 2649  
HARRISBURG, PA 17105

**COURIER ADDRESS**

STATE BOARD OF  
AUCTIONEER EXAMINERS  
2601 NORTH THIRD STREET  
HARRISBURG, PA 17110

**PHONE:** 717-783-3397

**FAX:** 717-705-5540

**EMAIL:** [st-auctioneer@pa.gov](mailto:st-auctioneer@pa.gov)

**WEB:** [www.dos.pa.gov/auct](http://www.dos.pa.gov/auct)

## CHANGES TO AN AUCTION COMPANY LICENSE

### Follow Instructions Below and Submit All Required Documents

**Application Fee: \$15.00 NON-REFUNDABLE APPLICATION FEE.** CHECK OR MONEY ORDER MADE PAYABLE TO THE "COMMONWEALTH OF PENNSYLVANIA." (**\$20.00 CHARGE FOR ALL CHECKS RETURNED "NOT PAID" REGARDLESS OF THE REASON FOR NON-PAYMENT).**

**Pages 1 and 2-** Must be completed in its entirety.

- Auction company license number.
- Name of auction company.
- Owner Information.
- Daytime telephone number.
- E-mail address.
- Business address.
- Mailing address (If different from the business address).
- Bond number.

**Page 3-** Complete applicable change(s) and submit the following documentation for the designated business entity as filed in the Pennsylvania Bureau of Corporations and Charitable Organizations:

**Fictitious Name-**Copy of the approved fictitious name registration.

**Association-**Copy of Articles of Association.

**Corporation-**Copy of the approved Articles of Incorporation.

**Limited Liability Company-**Copy of the approved Certificate of Organization.

Questions about entity filings and fictitious name registration should be directed to the Pennsylvania Bureau of Corporations and Charitable Organizations at 717-787-1057, [ra-corps@pa.gov](mailto:ra-corps@pa.gov), [www.dos.pa.gov/corps](http://www.dos.pa.gov/corps).

**Page 3-** Verification Statement must be signed by an Officer, Partner, Principal or Owner.

**BOND INFORMATION:**

- Bonding company must be licensed by the Pennsylvania Insurance Department to operate in the Commonwealth of Pennsylvania.
- Bond must be in the amount of \$5,000 payable to the "Commonwealth of Pennsylvania."
- Bond must indicate it is for an "Auction Company."
- Bond form must be signed by an owner, officer, partner and/or member of the auction company, along with a witness.
- Bonding company must sign the bond and imprint their seal/stamp in the appropriate area.
- A certified copy of the Power of Attorney must be attached to the bond.
- Date of the bond and Power of Attorney must be the same.

**REQUIRED BOND INFORMATION FOR CHANGE OF BUSINESS NAME AND/OR CHANGE OF ADDRESS:**

If the existing bonding company name and bond number on file with the Board **HAVE NOT CHANGED**, you must obtain an updated rider or endorsement from your bonding company showing the name and/or address change of the auction company.

The updated rider or endorsement must provide the following information:

Name of bonding company, bond number, name of auction company, obligee (Commonwealth of Pennsylvania), effective date of the change, and a reason for the change. The bonding company must sign the rider or endorsement, imprint their seal/stamp, and a certified copy of the Power of Attorney must be attached.

If the existing bonding company name and/or bond number on file with the Board **HAVE CHANGED**, a new bond is required. The "Bond Information" listed above is required. The new bond must be signed and witnessed, the bonding company must sign the bond, imprint their seal/stamp, and a certified copy of the Power of Attorney must be attached to the bond.

**PLEASE NOTE: ALL ITEMS LISTED ABOVE MUST BE COMPLETED IN ORDER TO PROCESS THE APPLICATION. IF THE APPLICATION IS NOT COMPLETED IN ITS ENTIRETY OR THE REQUIRED DOCUMENTS ARE NOT PROVIDED, PROCESSING TIME WILL BE DELAYED.**

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## CHANGES TO AN AUCTION COMPANY LICENSE

**FEE:** \$15.00 NON-REFUNDABLE APPLICATION FEE.

Check All That Apply:

- CHANGE OF BUSINESS NAME** (If there is a change of ownership, do not use this form. You must submit a new Auction Company License Application.)
- CHANGE OF AUCTIONEER-OF-RECORD**
- CHANGE OF ADDRESS**

**BLACK INK ONLY**

AUCTION COMPANY LICENSE NUMBER:

AY- \_\_\_\_\_

NAME OF INDIVIDUAL OWNER: \_\_\_\_\_

NAME OF AUCTION COMPANY (if different than individual owner name):  
\_\_\_\_\_

NAME OF EACH INDIVIDUAL PARTNER:  
\_\_\_\_\_

NAME OF AUCTION COMPANY (if different than individual partner names):  
\_\_\_\_\_

NAME OF CORPORATION: \_\_\_\_\_

NAME OF AUCTION COMPANY (if different than the corporation name):  
\_\_\_\_\_

NAME OF LIMITED LIABILITY COMPANY: \_\_\_\_\_

NAME OF AUCTION COMPANY (if different than the limited liability company name):  
\_\_\_\_\_

**NAME OF ASSOCIATION:** \_\_\_\_\_

**NAME OF AUCTION COMPANY (if different than the association name):**

\_\_\_\_\_

**DAYTIME TELEPHONE NUMBER: ( )** \_\_\_\_\_

**E-MAIL ADDRESS:** \_\_\_\_\_

**BUSINESS ADDRESS:** \_\_\_\_\_

Street Address : P.O. Box (if applicable)

City: State: Zip Code:

**MAILING ADDRESS (if different from the business address):**

Street Address : P.O. Box (if applicable)

City: State: Zip Code:

**AUCTION COMPANY BOND NUMBER:** \_\_\_\_\_

**PROVIDING AN INCORRECT BOND NUMBER WILL DELAY THE PROCESSING OF YOUR APPLICATION.**

<b>CHANGE OF BUSINESS NAME:</b>	
<b>EXISTING AUCTION COMPANY NAME:</b> _____ <b>NEW AUCTION COMPANY NAME:</b> _____	
<b>CHANGE OF AUCTIONEER-OF-RECORD:</b>	
<b>NAME OF AUCTIONEER-OF-RECORD ON FILE:</b> _____ <b>LICENSE NUMBER: AU-</b> _____ <b>DISASSOCIATION DATE:</b> _____	
<b>NAME OF NEW AUCTIONEER-OF-RECORD:</b> _____ <b>LICENSE NUMBER: AU-</b> _____ <b>ASSOCIATION DATE:</b> _____	
<b>CHANGE OF ADDRESS:</b>	
<b>OLD BUSINESS ADDRESS:</b> <i>(Required for Verification)</i>	(Street Address) _____ P.O. Box (if applicable) _____
	(City) _____ (State) _____ (Zip Code) _____
	(Street Address) _____ P.O. Box (if applicable) _____
<b>NEW BUSINESS ADDRESS:</b>	(City) _____ (State) _____ (Zip Code) _____

**VERIFICATION STATEMENT:**

**(This application must be signed by an officer, partner, principal or owner).**

I/we verify that this application is in the original format as supplied by the Department of State and has not been altered or otherwise modified in any way. I am aware of the criminal penalties for tampering with public records or information under 18 Pa.C.S. § 4911.

I/we verify that the statements in this application are true and correct to the best of my knowledge, information and belief. I understand that false statements are made subject to the penalties of 18 Pa.C.S. § 4904 (relating to unsworn falsification to authorities) and may result in the suspension, revocation or denial of my license, certificate, permit or registration.

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Officer, Partner, Principal or Owner's Signature \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF STATE  
STATE BOARD OF AUCTIONEER EXAMINERS  
P. O. BOX 2649  
HARRISBURG, PENNSYLVANIA 17105-2649  
717-783-3397

BOND # \_\_\_\_\_

# BOND

KNOW ALL PERSONS BY THESE PRESENTS, that the application for \_\_\_\_\_  
Auction Company/Trading Assistant Company

\_\_\_\_\_ a/an \_\_\_\_\_, with business located at  
Name of Auction Company/Trading Assistant Company Individual/Partnership/Association/Corporation/Limited Liability Company

\_\_\_\_\_ Street

\_\_\_\_\_ City State Zip Code

as PRINCIPAL, and \_\_\_\_\_ with a Certificate of Authority from the  
Name of Surety Company

Pennsylvania Insurance Department and located at \_\_\_\_\_  
Street

\_\_\_\_\_ City State Zip Code

as SURETY, are held firmly bound unto the Commonwealth of Pennsylvania in the sum of \$5,000 (Five Thousand Dollars) lawful money of the United States of America, to be made payable to the said Commonwealth, for the use of the Commonwealth, its attorney or assigns, or any person or persons who may have a cause of action under the Auctioneer Licensing and Trading Assistant Registration Act (Act 85 of December 22, 1983), to which payment will and truly to be made, we do hereby bind ourselves, jointly and severally our heirs, executors, administrators, successors and assigns firmly by these presents. This agreement will continue in effect until written notification of cancellation by surety.

SIGNED SEALED AND DELIVERED THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20 \_\_\_\_\_

WHEREAS, the above-bounded Principal desires to operate or conduct the business of

\_\_\_\_\_ Auction Company/Trading Assistant Company

within the Commonwealth in accordance with the provisions of the Auctioneer Licensing and Trading Assistant Registration Act and the rules and regulations adopted under and pursuant thereto.

NOW, THEREFORE, the condition of this obligation is such that if upon and after issuance of such license the above-bounded Principal shall fully and faithfully observe the provisions of all the laws of this Commonwealth and the rules and regulations promulgated by the State Board of Auctioneer Examiners as a licensee then this obligation shall be void; otherwise, it shall remain in full force, virtue and effect.

And, the obligors, jointly and severally, for themselves, their heirs, executors, administrators, successors and assigns, do agree with the Commonwealth that upon violation of the said Act, and the rules and regulations promulgated by the State Board of Auctioneer Examiners, or the applicable rules and regulations of the Department, Board or Commission of the Commonwealth thereunder or of any laws of this Commonwealth, and upon the revocation of the licensure and upon forfeiture of the bond, aforesaid, or upon the recovery of a judgment and in execution of that judgment on the bond, as specified at §13(c) of the Act, for any such violation during the continuance of such license, the full amount of this bond shall be due and payable.

And we, and each of us, do hereby confess judgment against us and each of us for the penal sum of \$5,000 (Five Thousand Dollars), with cost of suit and release of all errors, without stay of execution, waiving inquisition and condemnation of any real estate, and we, and each of us, do hereby waive the benefit of any law or laws now in force, or which may hereafter become a force exempting property from levy and sale upon execution, and we do hereby empower any attorney, or the Prothonotary, of any Court of Record within this Commonwealth or elsewhere, to appear for us and each of us, to confess judgment as expressed, and for the entering of such judgment and so doing this shall be sufficient warrant; a copy of bond being filed in said action, it shall be necessary to file the original as a warrant, any law or rule of Court notwithstanding.

**INDIVIDUAL OWNER:**

**WITNESS:**

\_\_\_\_\_  
SIGNATURE OF INDIVIDUAL OWNER

\_\_\_\_\_  
SIGNATURE OF WITNESS

\_\_\_\_\_  
PRINT NAME OF WITNESS

**ASSOCIATION/CORPORATION/LIMITED  
LIABILITY COMPANY/PARTNERSHIP:**

**WITNESS:**

\_\_\_\_\_  
SIGNATURE OF OFFICER/PARTNER/PRINCIPAL

\_\_\_\_\_  
SIGNATURE OF WITNESS

\_\_\_\_\_  
SIGNATURE OFFICER/PARTNER/PRINCIPAL

\_\_\_\_\_  
PRINT NAME OF WITNESS

**SURETY:**

\_\_\_\_\_  
NAME OF SURETY COMPANY

\_\_\_\_\_  
SIGNATURE OF SURETY

\_\_\_\_\_  
STREET ADDRESS OF ATTORNEY- IN- FACT

**(BUSINESS SEAL/STAMP)**

\_\_\_\_\_  
CITY                      STATE      ZIP CODE

**CERTIFIED COPY OF POWER OF ATTORNEY NOMINATING, CONSTITUTING AND APPOINTING SAID ATTORNEY-IN-FACT FOR SAID CORPORATE SURETY MUST BE ATTACHED HERETO. DATE OF SAID CERTIFICATION AND DATE OF EXECUTION OF BOND MUST AGREE.**