



## CHECKLIST/INSTRUCTIONS - AUCTION AND AUCTIONEER CHECKLIST

### DEFINITIONS:

#### [LVMC 6.14.010](#)

**Auction** - a sales transaction conducted by means of oral or written exchange between an auction caller and members of a participating audience, which exchange consists of a series of invitations for offers for purchase of property of any kind made by an auction caller and offers to purchase made by members of an audience, culminating in the acceptance by an auction caller of the highest or most favorable offer made by a member of a participating audience. **Please note: An auction must have a permit and an auction firm must be licensed if conducting an auction in person or in an online environment.**

**Auction Caller/Auctioneer** - any individual who calls out for bids at an auction. This term only applies to a person that volunteers for or is employed by an auction firm for the purpose of calling out bids for an auction. **Please note an Auction Caller does not need an individual license unless operating as an Auction Firm.**

**Auction Firm** - means any person, who as a part of that person's business promotes, advertises or conducts an auction.

**Note:** **Person refers to an individual or business of any type.**

**National American Industry Classification System (NAICS Code):** [453998](#)

### REQUIRED DOCUMENTS:

- ☐ [Las Vegas Business License Application](#) (Form #BL001)
- ☐ [Temporary License Request](#) - Optional - (Form #PL200)
- ☐ [Financial Questionnaire](#) (Form #PL124) and documentation to support sources of funding
- ☐ [Responsible Party Acknowledgement Notice](#) (Form #PL233)

#### Corporations:

- ☐ Most recent Financial Statements
- ☐ List of stockholders holding more than 10% and/or involved in the day-to-day operation
- ☐ List of officers and directors as filed with the Secretary of State
- ☐ Most recent Annual Report (publicly traded); or
- ☐ Most recent Form 10-K filed with SEC (publicly traded)
- ☐ Articles of Incorporation
- ☐ Organizational chart of related companies (if applicable)

**NOTE: If the ownership structure of the entity applying for the license is made up of other entities (i.e., the member of an LLC is a corporation and another LLC), you are required to supply documents for both LLCs and the corporation as outlined under the entity type.**

#### Trusts:

- ☐ Complete Trust Agreement and Amendments
- ☐ List of all Trustees
- ☐ Organizational chart of related companies (if applicable)

**Limited Liability Companies (LLC):**

- ☐ Articles of Organization
- ☐ Operating Agreement
- ☐ List of members and contributions if not included in Operating Agreement
- ☐ Organizational chart of related companies (if applicable)

**Partnerships:**

- ☐ Partnership Agreement
- ☐ List of Partners if not in the Agreement
- ☐ Organizational chart of related companies (if applicable)

**Limited Partnerships:**

- ☐ Partnership Agreement
- ☐ List of Partners and contributions
- ☐ Organizational chart of related companies (if applicable)

**Suitability package for each "Principal" as defined by LVMC 6.02.010 (Must be completely filled out and typed or printed in INK or application will not be accepted):**

- ☐ [Personal History Form](#) (Form #PL125)
- ☐ U.S. Military Discharge Form DD2214 or equivalent if served in another country, if applicable
- ☐ One (1) current photo of head and shoulders, passport size--approximately 2" x 2" (**Must be less than 6 months old**)
- ☐ Driver's License or State-issued Identification Card

If born **IN** the United States or abroad to U.S. citizens, provide one of the following:

- ☐ Certified copy of Birth Certificate
- ☐ Copy of Certification of Birth Abroad

If born **OUTSIDE** the United States or abroad to U.S. citizens, provide one of the following:

- ☐ Naturalization Certification
- ☐ Copy of Permanent Resident Card
- ☐ Employment Authorization Card

**OTHER REQUIRED DOCUMENTS:**

- ☐ Location Lease Agreement or proof of property ownership
- ☐ Filed stamped copy of Certificate of Business Fictitious Firm Name
- ☐ Nevada State Business Registration or Notice of Business Exemption (copy of license or proof of application)
- ☐ Nevada State Sales/Use Tax Permit (copy of permit or proof of application)

**FEES: (All fees are non-refundable)****CLV Business Licensing Fees:**

- ☐ Initial Processing Fee: \$100.00
- ☐ Annual License Fee: \$250.00
- ☐ Temporary License Request (optional): \$500.00
- ☐ Waiver Request Fee (if applicable): \$100.00 per person

**LVMPD Suitability Fees:**

- ☐ \$150.00 per person being investigated
- ☐ \$200.00 per privilege license

**Notary Fees:**

- ☐ If your items need to be notarized, a license technician can assist you with this during your appointment for an additional \$5.00 per signature.

**ADDITIONAL REQUIREMENTS:**

- ☐ Each applicant must be or must identify and employ an individual who will be the manager of the business and supervisor of all auctions.
- ☐ The applicant or designated manager must:
  - ◆ be a graduate of a recognized school of auctioneering
  - ◆ have at least three (3) years of experience as an auctioneer
  - ◆ be approved for suitability
- ☐ Auction permit must be submitted prior to the promotion, advertising or conducting of any auction.
- ☐ A surety bond is required in the amount of \$10,000 ([LVMC 6.14.050](#))
- ☐ A copy of LVMC 6.14 and the permit issued for the auction must be posted in the room where the auction is conducted.
- ☐ A record of all sales must be maintained.

**AUCTION PERMIT REQUIREMENTS:**

- ☐ [Auction Permit Application](#) (Form #070) must be filed with Business Licensing at least 10 days prior to the proposed auction date.
- ☐ It is unlawful for a person to promote, advertise or conduct an auction without a permit.
- ☐ A valid Auction License is required to obtain a permit to conduct each auction
- ☐ Pay a permit fee of \$25.00 per day that an auction will be conducted.

**EXEMPTIONS:**

- ☐ Property owned by, or in lawful possession, custody or control of banks, trust companies, bankruptcy trustees, executors and administrators.
- ☐ Property sold at judicial sales.
- ☐ Property owned and disposed of by the United States, the State or any of its political subdivisions.
- ☐ Property held by common carriers or public warehousemen as unclaimed or undelivered and the sale is for freight or storage charges.
- ☐ Property sold for charitable or benevolent purposes.
- ☐ Property held by licensed pawnbrokers and the sale is for unredeemed pledges.

**SPECIAL REQUIREMENTS FOR JEWELRY:**

- ☐ The licensee must file an inventory of the jewelry as detailed in [LVMC 6.14.070 \(D\) \(8\)](#).
- ☐ Within ten (10) days after the auction, the auctioneer must report the disposition of the items on the inventory (refer to [LVMC 6.14.120 \(B\)](#)).
- ☐ Each piece of jewelry must be tagged as required in [LVMC 6.14.130](#).

**\*\*\* IMPORTANT \*\*\***

Applications are taken by appointment only, Monday through Thursday.

Call **(702) 229-1840** for appointment.

**If you are more than 15 minutes late, your appointment will be cancelled.**

**Incomplete applications will not be accepted and your appointment will be cancelled.**

You will need to call back to reschedule.

**Return this Checklist with the original application packet PLUS a copy of the original application packet in the following order:**

- Ownership/Officer/Corporate Information Form
- Legal Representation Letter, if applicable
- City of Las Vegas Business License Application
- Request for Temporary License
- Personal History Questionnaire
- Authorization to Release Information
- Birth Certificate, Driver's License, Passport, DD214, Certificate of Naturalization, Permanent Resident Card, Employment Authorization Card
- One (1) current photo of head and shoulders, passport size - approximately 2" x 2" (must be less than 30 days old)
- Work Card, Health Card, Alcohol Awareness Card, if applicable
- Work Card - Fingerprint Application
- Personal Bank Statements, if applicable
- Personal Tax Returns, if applicable
- Alcohol Owner/Management Acknowledgement Notice
- Responsible Party Acknowledgement Notice
- Entertainment Verification Form
- Any license specific Acknowledgements or Addendums (Medical Marijuana, Smoke Shops-Drug Paraphernalia Addendum, etc.)
- Waiver Request(s)
- Privilege License Financial Questionnaire, if applicable
- Business Bank Statements
- Business Tax Returns
- Group together documents as listed on your Checklist/Instructions for Corporations; Trusts; LLC's; Partnerships; Limited Partnerships
- Secretary of State documents; Nevada State Business Registration; Business Fictitious Firm Name; Nevada Sales/Use Tax Permit (proof of application)
- Lease Agreement or proof of property ownership
- Purchase/Sale Agreement
- Transfer of Business License
- Floor Plan
- Participation Agreement (Gaming)
- Special Use Permit
- Employee Listing

**If we make any copies, you will be charged \$1.00 per page.**

**Notary services are also offered in our office for a fee.**