



Calaveras County Association of REALTORS®
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1270 Suzanne Drive, Suite B
Angels Camp, California 95222
209.732.4600



Calaveras County Association of REALTORS®
Multiple Listing Service – Assistant Application

Name of Assistant: _____

Mailing Address: _____

Home Phone: _____ Cell Phone: _____

E-mail Address: _____

Agent Assistant to: _____

Office Assistant: _____

Office Name: _____

Office Phone: _____ Office FAX: _____

Office Address: _____

I acknowledge that I am responsible for my assistant’s confidentiality of MLS information as outlined in the MLS Rules and Regulations, CCAR MLS Policy and MLS Assistant Disclosure Agreement. I acknowledge having received a copy of the MLS Assistant Guidelines and understand that it is my responsibility to become familiar with the policy and insure it is adhered to by my assistant.

Agent Name (Print): _____

Agent Signature: _____ Date: _____

Broker Name (Print): _____

Broker Signature: _____ Date: _____

Upon receipt of this completed form "with the necessary signatures and the CCAR MLS Application fee & Assistant quarterly MLS fee, which is non-refundable and not prorated, your assistant will be issued a username and password for log-in access to the CCAR MLS. Please note that the CCAR MLS Assistant Fee recurs quarterly and is on or before the first business day of each new quarter. See CCAR MLS Fee Policy for current quarterly rates for Agent and Offices Assistants.



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Disclosure of MLS Policies for Assistants Access

1. An Assistant shall be sponsored by either an MLS Participant (Broker) or Subscriber (Agent).
2. A CCAR Assistant Fee shall be paid by the Participant for each Assistant.
 - a. The Application fee & current quarter MLS fee is due upon application and is not prorated upon joining.
 - b. The fee recurs quarterly and is due on the 1st of each quarter. (January, April, July, and October)
 - c. If a Participant/Subscriber changes office, and an already established Assistant accompanies them, the office transfer fee will apply. (See CCAR Fee Schedule).
3. A Participant/Subscriber shall be limited to no more than two (2) assistants.
4. An Assistant will take MLS system training within 30 days of issuance of system login and password, or the access will be cancelled.
5. An Assistant will read, become familiar with, and agree to abide by the MLS Rules and Regulations and MLS Policy
6. CCAR MLS recommends that the Participant/Subscriber have a written agreement with the Assistant.

MLS Assistant Rules

The MLS Rules and Regulations provide access and use of confidential MLS databases as follows: A licensed or un-licensed person acting in the capacity as an Administrative Assistant to a Participant or Subscriber shall have the same access as provided for the Participant/Subscriber, however:

1. It is understood that the privilege of the use of the MLS is at the discretion of the Subscriber (Agent), and the Participant (Broker) and the MLS.
2. Per MLS Rules & Regulations 12.12 - Participants and Subscribers are responsible for the security of their passcodes and shall not give or allow use of or make available their pass codes to any person. Assistants must use their own Paragon login credentials to login to the MLS and access the Participant/Subscriber MLS account via the Assume Identity feature.



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3. Per MLS Rule 12.12.1 - Clerical Users may have access to MLS information solely under the direction and supervision of the Participant or Subscriber. Clerical Users may not provide any MLS information to persons other than the Participant or Subscriber under whom they are registered. Access by Clerical Users to the data base is solely for clerical and administrative functions for the Participant or Subscriber under whom the clerical user is registered.
4. Any information obtained by the Assistant from the MLS shall be considered confidential and exclusively for the use of the Subscriber/Participant.
5. Assistants may not provide an MLS compilation of information to persons other than the Participant/ Subscriber under whom the Assistant is registered.
6. Assistants are expressly prohibited from making photocopies, computer printouts, and electronic transfers of downloading of MLS data or compilation for anyone other than the Participant/Subscriber under whom the Assistant is registered.
7. The use of the MLS information by an Assistant outside these parameters constitutes a crime. (Potentially a Felony offense pursuant to penal code section 502.)
8. A penalty of \$500.00 shall be assessed to Participant in the event of failure to notify the MLS in writing of any change to Assistant status within 72 hours of said change. MLS shall immediately terminate MLS access for said assistant upon notice.
9. The Board of Directors, of its appointees, will conduct a disciplinary hearing regarding any claim of a breach of confidentiality by Participant/Subscriber or Assistant regarding divulging MLS Login/Password of any other person than the Participant of Subscriber under whom they are registered.
10. The Participant/ Subscriber has the sole responsibility of providing supervision of the use of the TCAR MLS system and database. Any violation of MLS Rules and Regulations by Assistant shall be deemed a violation by Participant/Subscriber and the Participant/Subscriber shall be disciplined pursuant to the Rules and Regulations.

We have read, understand, and agree to abide by the above stated policies.

Assistant Signature: _____ Date: _____

Participant (Broker) Signature: _____ Date: _____

Subscriber (Agent) Signature: _____ Date: _____



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Member Legal Services
Tel (213) 739-8282
Fax (213) 480-7724
January 9, 2018 (revised)

Real estate brokers—whether involved in real estate sales or mortgage loan brokerage—have become increasingly dependent upon the assistance of unlicensed personnel. Guidelines promulgated by the DRE in their [1993 Winter Real Estate Bulletin](#) , in the [2005 Fall Real Estate Bulletin](#) , and most recently, in the 2018 DRE [“Guidelines for Unlicensed Assistants who Work in the Real Estate Industry.”](#) have attempted to lend clarity to those activities in which an unlicensed assistant may legally participate.

Since unlicensed assistants may be hired by brokers or salespersons, real estate brokers should set up an office policy to determine who may hire these unlicensed assistants, and under what circumstances. The designated broker of a corporation or office should decide the required level of experience of a real estate salesperson who will be permitted to employ an unlicensed assistant. Brokers should specify all the necessary parameters in writing with each salesperson or associate-broker who will be using an unlicensed assistant. The following C.A.R. forms may be used: Independent Contractor Agreement (Between Broker and Associate-Licensee)"-C.A.R. Form ICA, "Personal Assistant Contract (Between Associate-Licensee and Licensed or Unlicensed Assistant)"- C.A.R. Form PAC, and "Broker/Associate-Licensee/Assistant Three-Party Agreement"-C.A.R. Form TPA. Ultimately, the real estate broker is responsible for the supervision and control of all the activities conducted by the salespersons and employees, including unlicensed assistants.

The following chart summarizes some of the do’s and don’ts for unlicensed assistants involved in real estate sales, property management, and mortgage loan brokerage activities.

Communicate with a principal, party, or service provider in connection with a transaction, about when reports or other needed information regarding the transaction will be delivered, or when certain services will be performed or completed, or if the services have been completed



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UNLICENSED ASSISTANT ACTIVITY	CAN DO	DON'T DO
REAL ESTATE SALES TRANSACTIONS www.CalaverasRealtors.org		
Access to Property	<p>Allow a professional into the property to inspect or perform repair work, with the principal's permission. The unlicensed assistant must be present to allow a professional inspector into the home.</p> <p><i>Additional comments not in the DRE Guidelines:</i></p> <p>The principal's permission to allow access to the property should be in writing.</p> <p>Unlicensed assistants are prohibited from using lockbox keys for this purpose under the California Model MLS Rules. A local MLS may have modified this rule and should be consulted prior to giving an unlicensed assistant access.</p>	<p>Information about the property must be provided by the broker or salesperson, unless it is obtained from a data sheet prepared by a real estate licensee and that fact is made clear to the person requesting the information</p>
Advertising	<p>Prepare and design advertisements in connection with a transaction, if the advertisements are reviewed and approved by a real estate licensee prior to publication</p> <p><i>Additional comments not in the DRE Guidelines:</i></p> <p>The advertisements must comply with all federal and state laws (e.g., Reg Z, TILA)</p>	
Arranging Appointments	<p>Schedule appointments for real estate licensees to meet with a principal or party to the transaction.</p>	



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	<p>Arrange and order reports and services from third parties (such as pest control companies, title companies, appraisers, credit check or report, or repair work) in connection with the transaction as directed by the real estate licensee.</p>	
<p>Cold Contacting</p>	<p>Assist in the performance of cold contacting potential prospects by making phone calls or the use of electronic or social media to canvass for interest in using the services of a broker, or if there is an interest in ascertaining the kind of services a broker can provide. If the potential prospect indicates an interest in using the services of the broker or the kind of services the broker provides, the assistant must refer the call to a real estate licensee or schedule an appointment for the caller with a real estate licensee.</p>	<p>Cannot attempt to induce the prospective client to use the services of the broker regarding a specific property, transaction, or product. Cannot discuss the real property needs of the prospective client or use the call for solicitation purposes with respect to a specific property, transaction, or product.</p>
<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>The broker may prepare a script that unlicensed assistants should follow when doing cold calls.</p> <p>Unlicensed and licensed assistants who are classified as clerical users under local MLS rules may not discuss any MLS information with the public under the California Model MLS Rules. A local MLS may have modified this rule and should be consulted prior to the unlicensed assistant having such a discussion with the public.</p> <p>All federal and states laws concerning cold calling apply equally to real estate licensees and unlicensed assistants. Please see C.A.R. legal article, Do-Not-Call, Do-Not-Fax, Do-Not-Email Laws Affecting REALTORS®</p>		



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Communicating With Principals	Communicate with a principal, party or service provider in connection with a transaction, about when reports or other needed information regarding the transaction will be delivered, or when certain services will be performed or completed, or if the services have been completed.	
Communicating With the Public	<p>Provide factual information to the public from written materials prepared by the real estate licensee.</p> <p><i>Additional comments not in the DRE Guidelines:</i></p> <p>Unlicensed assistants can provide information to others in the real estate business, such as appraisers, other licensees, or title companies, or to the public, from writings prepared by the real estate licensee; but all questions about availability or details regarding a property or loan program must be directed to a real estate licensee.</p> <p>Unlicensed as well as licensed assistants who are classified as clerical users under local MLS rules may not give any MLS information to the public under the California Model MLS Rules. A local MLS may have modified this rule and should be consulted prior to the unlicensed assistant having such a discussion with the public.</p>	<p>Cannot communicate with the public “in a manner which is used, designed or structured for solicitation purposes with respect to a specific property, transaction or product.”</p>
Comparative Market Analysis	Make, conduct, or prepare a comparative market analysis (CMA) subject to the approval of, and for use by, the real estate licensee.	
Document Preparation, Delivering, and Signing	Prepare and complete documents and instruments under the supervision and direction of the real estate licensee. The documents or instruments	Cannot discuss the content, relevance, or significance of the documents or instruments with either the principal, party to the transaction, or a service provider.



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	<p>must be reviewed or approved by the licensee prior to their delivery to the principal. Mail, deliver, pick up, or arrange the mailing, delivery, or picking up of documents or instruments related to a transaction. Obtain signatures from the principals, parties, or service providers.</p>	
<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>Real estate licensees should contact their clients in advance to explain the documents or instruments to be signed. A log of the conversation between the licensee and principal is recommended. Unlicensed assistants should never discuss or explain in any manner the contents of any documents.</p>		
<p>Document Review</p>	<p>Review, as instructed by the real estate licensee, transaction documents to check for completeness or compliance. The final determination of completeness or compliance must be made by the real estate licensee. Review transaction documents for the purpose of making recommendations to the real estate licensee on a course of action with respect to the transaction.</p>	
<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>Drafting and interpretation of legal documents and providing legal advice should be referred to an attorney.</p>		



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<p>Open House</p>	<p>Assist real estate licensees, with the principal's consent, at an open house intended for the public</p> <p>by:</p> <p>Placing signs. Greeting the public. Providing factual information from or handing out preprinted materials that were prepared by or reviewed and approved for use by a real estate licensee. Arranging appointments with the real estate licensee.</p>	<p>Cannot show or exhibit property.</p> <p>Cannot discuss terms or conditions of a possible sale.</p> <p>Cannot discuss other features of the property, such as location, neighborhood, or schools. Cannot engage in other conduct that “is used, designed, or structured for solicitation purposes.”</p>
<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>Unlicensed assistants <u>can</u> do the following:</p> <p>Open the property to be viewed by prospective buyers; however, most local MLS rules prohibit unlicensed assistants from using a lockbox key or programmer for this purpose. Unlicensed assistants, with the owner’s permission, can use regular house keys to open the property. Assist real estate licensees in a “broker open house” (i.e., open houses accessible only to real estate licensees). Since “broker open houses” or “caravans” or “tours” are often sponsored by the local association or MLS, there may be rules relating to whether an authorized real estate licensee must be present on the property. Transport principals or related parties to the property. The principal’s consent for open houses should be in writing.</p> <p>It is recommended that real estate licensees be present at the open house, since all questions or negotiations about the property must be directed to the licensee.</p>		
<p>Rental Property Transactions</p>	<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>Resident manager or employees of a property management company that manages a residential apartment building, complex, and court under the supervision of a real estate licensee are permitted</p>	



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	<p>to show rental units, handle applications, accept security deposits or fees, and accept leases or agreements. (Cal. Bus. & Prof. Code § 10131.01(a)(1) and (a)(3).) Employees of a broker are permitted to solicit, arrange, or accept reservations or money for “transient occupancies” in a dwelling unit in a common interest development, apartment building or complex, or in a single-family home. (Cal. Bus. & Prof. Code § 10131.01(a)(2).)</p>	
Trust Funds	<p>Accept, account for, or provide a receipt for trust funds received from a principal or a party to the transaction.</p>	
	<p><i>Additional comments not in the DRE Guidelines:</i></p> <p>An unlicensed assistant who is an employee of the broker is permitted to withdraw funds from a trust account provided the unlicensed assistant is authorized in writing by the real estate broker and has fidelity bond coverage at least equal to the maximum amount of the trust funds to which the assistant has access at any time. (DRE Regulation § 2834.)</p>	
MORTGAGE LOAN BROKERAGE		
Mortgage Loan Transactions	<p>An unlicensed assistant to a real estate broker may assist the mortgage loan broker in meeting the broker’s obligations to its customers with “residential mortgage loan transactions” (a complex term, but generally meaning loans secured by residential one-to-four family dwellings) in which an institutional lender provides financing. (Cal. Bus. & Prof. Code § 10133.1(c)(1).)</p>	<p>The unlicensed assistant may not participate in any negotiations occurring between the principals. A loan processor or underwriter performing clerical and administrative tasks, such as those designated below, in connection with a mortgage loan, and at the direction of a mortgage loan originator, and who is an employee of the mortgage loan originator, shall NOT represent to the public (by business cards, stationery, brochures or other means) that the assistant can or will perform tasks as a</p>



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		mortgage loan originator. Cal. Bus. & Prof. Code § 10166.01(f)
<p>CalBRE Regulation 2841(a) identifies 15 separate activities that can be performed by unlicensed assistants provided the assistant is an employee of the broker (CalBRE Regulation 2841(a) and (c)) The following are a few examples:</p> <p>Prepare and design advertising relating to loan transactions for broker review and written approval prior to its distribution, circulation, use or publication.</p> <p>Distribute, circulate, use, or publish preprinted brochures, flyers, fact sheets or other written materials relating to loans negotiated by the broker and which have been reviewed and approved in writing by the broker prior to distribution, circulation or publication. Materials may not contain the name, address or telephone number of the unlicensed assistant.</p> <p>Provide written, factual information about loan terms, conditions or qualification requirements to a prospective borrower that has been either prepared by the broker, or reviewed and approved in writing by the broker. The unlicensed assistant may not however provide counseling or advice to the prospective borrower regarding the information provided.</p> <p>Notify a prospective borrower of the information needed to complete a loan application, again without providing counseling or advice to the borrower.</p> <p>Enter a prospective borrower’s information on a pre-printed application form or a preformatted computer database without providing counseling or advice.</p> <p>Contact prospective lender to determine the loan application status and notify a prospective borrower of the loan application status.</p> <p>Accept credit report fees and appraisal fees from prospective borrowers.</p>		

This legal chart is just one of the many legal publications and services offered by C.A.R. to its members. For a complete listing of C.A.R.'s legal products and services, please visit **Member Legal Services**.

Readers who require specific advice should consult an attorney. C.A.R. members requiring legal assistance may contact C.A.R.'s Member Legal Hotline at (213) 739-8282, Monday through Friday, 9 a.m. to 6 p.m. and Saturday, 10 a.m. to 2 p.m. C.A.R. members who are broker-owners, office managers, or Designated REALTORS® may contact the Member Legal Hotline at (213) 739-8350 to receive expedited service. Members may also submit online requests to speak with an attorney on the Member Legal Hotline by going to <http://www.car.org/legal/legal-hotline-access/>.

Written correspondence should be addressed to:

CALIFORNIA ASSOCIATION OF REALTORS®
 Member Legal Services
 525 South Virgil Avenue
 Los Angeles, CA 90020



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The information contained herein is believed accurate as of January 9, 2018. It is intended to provide general answers to general questions and is not intended as a substitute for individual legal advice. Advice in specific situations may differ depending upon a wide variety of factors. Therefore, readers with specific legal questions should seek the advice of an attorney. Revised by Robert Bloom, Esq.

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Guidelines for Unlicensed Assistants who Work in the Real Estate Industry

Introduction These guidelines have been written to offer some direction to California real estate licensees and others regarding what unlicensed assistants can lawfully do in the real estate arena without having a real estate license*. Section

10131 of the California Business and Professions Code lists the activities that require a real estate broker license. A licensed real estate salesperson must perform any of such licensed activities under the supervision of his or her responsible broker. Specific “clerical” exemptions to Section 10131 are provided in Section 10133.2 of that code. The designated officer of a corporation is explicitly responsible for the supervision and control of the activities conducted on behalf of a corporate broker by its officers, employees, and agents as necessary to secure full compliance with the Real Estate Law, including but not limited to the supervision of salespersons licensed to the corporation in the performance of acts for which a real estate license is required. Individuals engaging in business as a real estate broker are also similarly charged with the responsibility to supervise and control all activities performed by their employees and agents in their name during the course of a transaction for which a real estate license is required, whether or not the activities performed require a real estate license. To assist brokers and designated broker/officers to properly carry out their duty to supervise and control activities conducted on their behalf during the course of a licensed transaction, it is important for the broker to know and identify those activities which do and do not require a real estate license. This knowledge assists the broker to use licensed persons when required, and to extend and provide the necessary quantum of supervision and control over licensed and non-licensed activities as required by law and good business practices. Identifying licensed activities has become difficult for many brokers as brokerage practices have changed and evolved in response to new laws, the need for new efficiencies in response to consumer demands, and new technology. The following are guidelines, and nothing more, of defined activities which generally do not come within the term “real estate broker,” when performed with the broker’s knowledge and consent. Broker knowledge and consent is a prerequisite to the performance of these unlicensed activities, since without these elements there can be no reasonable assurance



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that the activities performed will be limited as set forth below. Cold Contacting of Potential Prospects Unlicensed assistants may assist in the performance of cold contacting potential prospects. Cold contacting of potential prospects is the making of telephone calls or the use of electronic or social media to canvass for interest in using the services of a real estate broker.

Should the person responding indicate an interest in using the services of a broker, or if there is an interest in ascertaining the kind of services a broker can provide, the person answering with interest shall be referred to a licensee, or an appointment may be scheduled to enable him or her to meet with a broker or an associate licensee** (licensee***). At no time may an unlicensed assistant attempt to induce the person being called to use a broker’s services. The canvassing may only be used to develop general information about the interest of the person answering and may not be used, designed or structured for solicitation purposes with respect to a specific property, transaction or product. (The term “solicitation” as used herein should be given its broadest interpretation.) Open Houses With the principal’s consent, unlicensed assistants may assist licensees at an open house intended for the public by placing signs, greeting the public, providing factual information from or handing out preprinted materials prepared by or reviewed and approved for use by the licensee, or arranging appointments with the licensee. During the holding of an open house, only a licensee may show or exhibit the property, discuss terms and conditions of a possible sale, discuss other features of the property, such as its location, neighborhood or schools, or engage in any other conduct which is used, designed or structured for solicitation purposes with respect to the property. Comparative Market Analysis Unlicensed assistants may make, conduct or prepare a comparative market analysis subject to the approval of, and for use by, the licensee. Communicating With the Public Unlicensed assistants may provide factual information to others from writings prepared by the licensee. A non-licensee may not communicate with the public in a manner which is used, designed or structured for solicitation purposes with respect to a specific property, transaction or product. Arranging Appointments Unlicensed assistants can make or schedule appointments for licensees to meet with a principal or party to the transaction. As directed by the licensee to whom



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the broker has delegated such authority, an unlicensed assistant can arrange for and order reports and services from a third party in connection with the transaction, or for the provision of services in connection with the transaction, such as a pest control inspection and report, a roof inspection and report, a title inspection and/or a preliminary report, an appraisal and report, a credit check

and report, or repair or other work to be performed to the property as a part of the sale. Access to Property With the principal’s consent, unlicensed assistants can be present to let into the property a person who is either to inspect a portion or all of the property for the purpose of preparing a report, or who is to perform repair work or other work to the property in connection with the transaction. Information about the real property which is needed by the person making the inspection -- for the purpose of completing his or her report -- must be provided by the broker or associate licensee, unless it comes from a data sheet prepared by the broker, associate licensee or principal, and that fact is made clear to the person requesting the information. Advertising Unlicensed assistants can prepare and design advertising relating to the transaction for which the broker was employed, if the advertising is reviewed and approved by the broker or associate licensee prior to its publication. 3 | P a g e Preparation of Documents Unlicensed assistants can prepare and complete documents and instruments under the supervision and direction of the licensee if the final documents or instruments will be or have been reviewed or approved by the licensee prior to the documents or instruments being presented, given or delivered to a principal or party to the transaction. Delivery & Signing Documents Unlicensed assistants may mail, deliver, pick up, or arrange the mailing, delivery, or picking up of documents or instruments related to the transaction, including obtaining signatures to the documents or instruments from principals, parties or service providers in connection with the transaction. Such activity shall not include a discussion of the content, relevance, importance or significance of the document, or instrument or any portion thereof, with a principal or party to the transaction. Trust Funds Unlicensed assistants can accept, account for, and or provide a receipt for trust funds received from a principal or a party to the transaction. Communicating with Principals, etc. Unlicensed assistants can communicate with a principal, party or service provider in connection with a transaction about when reports or other information needed concerning any aspect of the transaction will be delivered, or when certain services will be performed or completed, or if the services have been completed. Document Review Unlicensed assistants can also review, as instructed by the responsible/supervising licensee, transaction documentation for completeness or



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compliance, providing the final determination as to completeness or compliance is made by the broker or associate licensee. Moreover, unlicensed assistants may review transaction documentation for the purpose of making recommendations to the broker on a course of action with respect to the transaction.

*We hope that these Guidelines, when strictly followed, will assist licensees and their employees to comply with the license requirements of the Real Estate Law. They present specific scenarios which allow brokers to organize their business practices in a manner that will contribute to compliance with the Real Estate Law. As such, they were drafted to serve the interests of both licensees and the public they serve. Nothing in them is intended to limit, add to, or supersede any provision of law relating to the duties and obligations of real estate licensees, the consequences of violations of law, or licensing requirements. Licensees should understand that because of the limiting nature of the Guidelines, as opposed to a statute or regulation, that they will not bind or obligate, nor are they intended to bind and obligate the Bureau or Department of Real Estate, or courts or others to follow or adhere to their provisions in civil proceedings or litigation involving conduct for which a real estate license may or may not be required. Brokers and others who may refer to these Guidelines from time to time should be aware that it does not take very much to go from unlicensed to licensed activity. For example, it is a commonly held belief and understanding among licensees and others that participation in “negotiations” is somehow limited to the actual bargaining over terms and conditions or a sold or loan, when in fact the courts in this state have given much broader application to this term to include activity which may directly assist or aid in the negotiations or closing of a transaction. ** The term “associate licensee” means and refers to either a salesperson employed by the listing or selling broker in the transaction, or a broker who has entered into a written contract with a broker to act as the broker’s agent in transactions requiring a real estate license. Another term often used for the latter is a “broker associate”. *** The term “licensee” means “broker” or “associate licensee.” (Last Rev. 1/5/2018)

<http://calbre.ca.gov/files/pdf/adv/Guidelines%20for%20Unlicensed%20Assistants%20-%20Updated%202018.pdf>