



DISCIPLINARY COMPLAINT
SANTA CRUZ COUNTY ASSOCIATION OF REALTORS®

For Association Use Only
Case No. \_\_\_\_\_
Complaint Received: \_\_\_\_\_, 20\_\_\_\_\_

1. I (we), the undersigned complainant(s), hereby allege that the following persons have engaged in conduct subject to disciplinary action by the Association:

RESPONDENT(S):

(1) \_\_\_\_\_
Name

\_\_\_\_\_
Name (Type or Print)

Firm \_\_\_\_\_

DRE Number \_\_\_\_\_

\_\_\_\_\_
Street Address

\_\_\_\_\_
City, State, Zip

(2) \_\_\_\_\_

\_\_\_\_\_
Name (Type or Print)

Firm \_\_\_\_\_

DRE Number \_\_\_\_\_

\_\_\_\_\_
Street Address

\_\_\_\_\_
City, State, Zip

RESPONDENT(S):

(3) \_\_\_\_\_
Name

\_\_\_\_\_
Name (Type or Print)

Firm \_\_\_\_\_

DRE Number \_\_\_\_\_

\_\_\_\_\_
Street Address

\_\_\_\_\_
City, State, Zip

(4) \_\_\_\_\_

\_\_\_\_\_
Name (Type or Print)

Firm \_\_\_\_\_

DRE Number \_\_\_\_\_

\_\_\_\_\_
Street Address

\_\_\_\_\_
City, State, Zip

2. The above named respondent (s) has violated the following: (Note: You may also choose not to select any of the options below and instead allow the Grievance Committee to decide the proper allegations.)

Code of Ethics violations:

- Article 1: REALTORS® owe a fiduciary duty to their clients.
  - Article 2: REALTORS® must avoid concealment of pertinent facts.
  - Article 3: REALTORS® must cooperate with other brokers.
  - Article 4: REALTORS® must disclose any interest they have in a property they are buying or selling.
  - Article 5: REALTORS® must disclose any contemplated interest they have in property for which they are providing professional services.
  - Article 6: REALTORS® cannot accept profit on expenditures made for their client or recommendations to their client without disclosure.
  - Article 7: REALTORS® must disclose and obtain consent to accept compensation from more than one party.
  - Article 8: REALTORS® must keep a trust account for clients' funds.
  - Article 9: REALTORS® must ensure that all agreements are in writing and clear.
  - Article 10: REALTORS® must not discriminate in their business on the basis of race, color, religion, sex, handicap, familial status or native origin.
  - Article 11: REALTORS® must provide competent service.
  - Article 12: REALTORS® must be honest in their real estate communications and present a true picture in advertising.
  - Article 13: REALTORS® must not engage in the unauthorized practice of law.
  - Article 14: REALTORS® must cooperate in professional standards proceedings.
  - Article 15: REALTORS® must not knowingly or recklessly make false or misleading statements about competitors.
  - Article 16: REALTORS® must not interfere with the exclusive representation agreements of other REALTORS®.
  - Article 17; REALTORS® must arbitrate contractual disputes and certain non-contractual disputes arising out of the real estate business.
  - Other membership duty as set forth in the bylaws of the Association (specify):
3. The facts and circumstances supporting the above allegation(s) are detailed in the attached statement marked "Exhibit 1," which is hereby incorporated by reference and made part of this complaint.
4. I am informed that the named respondent(s) are current REALTOR® members of the Association or that the property at issue is located within the jurisdiction of this Association.
5. Date of knowledge of alleged misconduct is \_\_\_\_\_. This complaint, meeting all filing requirements, must be filed within 180 calendar days after the facts constituting alleged misconduct could have been known in the exercise of reasonable diligence or one hundred eighty (180) days after the conclusion of the transaction, or event, whichever is later.



(2) \_\_\_\_\_  
Signature

(4) \_\_\_\_\_  
Signature

\_\_\_\_\_  
Name (Type or Print)

\_\_\_\_\_  
Name (Type or Print)

\_\_\_\_\_  
DRE Number (if applicable)

\_\_\_\_\_  
DRE Number (if applicable)

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Firm (if applicable)

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Street Address

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