

**DISCIPLINARY COMPLAINT  
TRI COUNTIES ASSOCIATION OF REALTORS®**

Case #: _____	For Association Use Only	Complaint Received: _____
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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) (Person(s) you are complaining about:**

**RESPONDENT(S):**

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
BRE # (If known)

\_\_\_\_\_  
BRE # (If known)

\_\_\_\_\_  
Firm

\_\_\_\_\_  
Firm

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

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

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Email Address

\_\_\_\_\_  
Email Address

**RESPONDENT(S):**

**RESPONDENT(S):**

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
BRE # (If known)

\_\_\_\_\_  
BRE # (If known)

\_\_\_\_\_  
Firm

\_\_\_\_\_  
Firm

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

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

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
E-mail Address

\_\_\_\_\_  
E-Mail Address

2. The above named respondent(s) have violated the following:

**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 lie 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.
- Section(s) \_\_\_\_\_ of the MLS Rules and Regulations
- 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 and/or participants/subscribers in the MLS 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 the 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.
6. Are the circumstances giving rise to this complaint, or the respondents in this case, involved in a civil or criminal proceeding or in any proceeding before a governmental agency  
**YES**  **NO**  If you answered yes, please attach a written statement of explanation.
7. Have you filed, or do you plan to file a similar or related complaint with another Association of REALTORS®?  
**YES**  **NO**  If you answered yes, please attach a written statement of explanation.
8. I understand there will be a recording of any full disciplinary hearing. I understand that the recording is subject to the rules of confidentiality and is made solely for the purpose of a Review by the Association Board of Directors, if one is requested.
9. I will be represented by an attorney, whose name, address, telephone number and e-mail address are:  
\_\_\_\_\_  
\_\_\_\_\_

10. I agree to abide by the rules and procedures used by this Association to conduct disciplinary hearings.  
I understand that the proceedings regarding this matter will be kept confidential and that I have an obligation to maintain and protect this confidentiality.

**Under the penalties of perjury, I declare that to the best of my knowledge and belief my allegations in this complaint are true and correct.**

**Dated:** \_\_\_\_\_ **at** \_\_\_\_\_ **, California**

**COMPLAINANT(S):**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Firm

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
E-Mail

**COMPLAINANT(S):**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Firm

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
E-Mail

**COMPLAINANT(S):**

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Signature

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Name

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Firm

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
E-Mail

**COMPLAINANT(S):**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Firm

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

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

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
E-Mail

The Tri Counties Association of REALTORS® is a voluntary trade association and has no jurisdiction over an agent's real estate licensing status. If you wish to file a complaint with the state licensing agency, contact the California Bureau of Real Estate @ (213) 620-2072 or visit [www.bre.ca.gov](http://www.bre.ca.gov) The filing of this Disciplinary Complaint will not address any money issues you may have with the Respondent.

**Return this signed Complaint Form (D-1), with your attached Summary Mark "Exhibit 1" to**

**TRI COUNTIES ASSOCIATION OF REALTORS®**

**Attn: Professional Standards Department**

**1601 E. Orangewood Ave, Anaheim, CA 92805**

**(714) 245-5500 Phone • (714) 245-5599 Fax • E-Mail: [prostandards@pwr.net](mailto:prostandards@pwr.net)**

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## **SAMPLE OF HOW TO SUBMIT YOUR EXHIBIT 1**

When writing your statement (Exhibit 1), please make it a narrative of the events that occurred and the date order in which they happened. It must be typewritten in a simple and understandable format so the Grievance Committee members can understand what may have happened. Include dates and any supporting documents and return with your signed Disciplinary Complaint Form D-1. State how the events that occurred relate specifically to the Code of Ethics that you are charging against the agent(s). This Exhibit 1 and supporting documents will be made part of this complaint.