



ARIZONA REGISTRAR OF CONTRACTORS



Katie Hobbs, Governor

Jeff Fleetham, Director

**Form
RC-L-201F**

ADD OWNERSHIP/PERSONNEL Form (TO ADD PERSONNEL AND CONTACT INFO)

INSTRUCTIONS

Use this form to add owners and personnel on an existing license.

To complete this form, enter all information into the fields below, sign the form in all appropriate areas, and click the Finish button. The form will automatically be routed to the appropriate ROC staff member.

CHECKLIST

In addition to submitting this form, you must also submit the following forms (located at the end of this document) for the person being added:

- Background Check.** A copy of the payment transaction receipt from the [background check](#) for any individuals being added to an existing license.
- Government-Issued Identification.** A legible copy of government-issued photo identification for any individual being added to the license(s). Acceptable forms of identification include a valid driver's license or passport.
- Supplemental Disclosure Forms.** Include any applicable disclosure forms requested in Part 2.

TIERED ENTITIES

As you are adding a person as an owner/member, you must submit the [Tiered Organizational Chart](#).

AGENCY DISCLOSURE

Pursuant to A.R.S. § 41-1030(G), the Registrar provides the following disclosures:

- **A.R.S. § 41-1030(B):** An agency shall not base a licensing decision in whole or in part on a licensing requirement or condition that is not specifically authorized by statute, rule or state tribal gaming compact. A general grant of authority in statute does not constitute a basis for imposing a licensing requirement or condition unless a rule is made pursuant to that general grant of authority that specifically authorizes the requirement or condition.
- **A.R.S. § 41-1030(D):** This section may be enforced in a private civil action and relief may be awarded against the state. The court may award reasonable attorney fees, damages and all fees associated with the license application to a party that prevails in an action against the state for a violation of this section.
- **A.R.S. § 41-1030(E):** A state employee may not intentionally or knowingly violate this section. A violation of this section is cause for disciplinary action or dismissal pursuant to the agency's adopted personnel policy.
- **A.R.S. § 41-1030(F):** This section does not abrogate the immunity provided by § 12-820.01 or 2-820.02.

1700 W. Washington Street, Suite 105 • Phoenix AZ 85007-2812
602.542.1525 • Within AZ 877.692.9762 • Fax 602.542.1599 • www.roc.az.gov



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

Form
RC-L-201F

ADD OWNERSHIP/PERSONNEL Form (TO ADD PERSONNEL AND CONTACT INFO)

PART 1: LICENSE INFORMATION

NAME OF LICENSED ENTITY	
1. Business Name or Sole Proprietor's Full Name, including DBA if applicable	2. License Numbers for this entity (Separate multiple licenses using commas)

PART 2: PERSONNEL INFORMATION

PERSONNEL INFORMATION:				
<i>Enter the information for any person being added to the license(s).</i>				
1. Name as it appears on your government issued ID				
2. Add <input type="checkbox"/>	3. Current Ownership Percentage	4. Title or Position		
5. Date of Birth (MM/DD/YYYY)	6. Driver's License or Government ID (State and Number)	7. Social Security Number		
8. Residential Address		City	State	Zip
9. Phone Number		10. Email Address		
CONSENT			SELECT ALL THAT APPLY	
I consent to receive notifications from the Registrar at the contact information provided above via			<input type="checkbox"/> Email <input type="checkbox"/> Text Message	
<i>"Notifications" include renewal notices and monthly newsletters. By consenting to receive notifications via text or email, you will not be excluded from receiving notifications by regular mail.</i>				
Background Check Upload	Government Issued Identification Upload	Tiered Entity Chart Upload		



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

PART 3: DISCLOSURES

DISCLOSURES	
<i>Only person being added to an existing license must answer the following questions and provide any applicable supplementary documents. If this does not apply to you, skip to Part 3.</i>	
Note: Failure to accurately answer these questions is a material misrepresentation of fact and a violation of A.R.S. §32-1154(A)(5).	
DISCIPLINED LICENSE INFORMATION	
<i>If 'yes' is selected for question 1, the applicable person must complete and attach a Disciplined License Disclosure Form with this application.</i>	
Select One	
1. Has the person being added ever been named on a contractor's license in any state (including Arizona) that was revoked, disciplined, or suspended?	<input type="checkbox"/> Yes <input type="checkbox"/> No
FELONY CHARGES	
<i>If 'yes' is selected for questions 2 or 3, the applicable person must complete and attach the Felony Disclosure Form with this application. Answering 'yes' does not automatically disqualify the person being added from being listed on the existing license(s).</i>	
Select One	
2. Has the person being added ever been convicted of a felony?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does the person being added have a felony charge pending?	<input type="checkbox"/> Yes <input type="checkbox"/> No
UNLICENSED ACTIVITY	
<i>If 'yes' is selected for question 4, the applicable person must complete and attach the Unlicensed Activity Disclosure Form with this application.</i>	
Select One	
4. Has the person being added ever received a citation for, or been convicted of, contracting without a license in any state (including Arizona)?	<input type="checkbox"/> Yes <input type="checkbox"/> No

PART 4: SIGNATURES

Authorized Representative		
<i>An authorized person must sign this form. An authorized person is an individual that is already listed on the license as an owner or operator. If an authorized person does not sign this form, the Registrar will not accept this request.</i>		
I acknowledge that I am a Person named on this license for the purposes and duties of all Registrar statutes and rules, including, but not limited to, A.R.S. §§ 32-1122, 32-1139(B) & 32-1154.		
I certify that I have reviewed the entire contents of this application and all statements, answers, and representations made in this application, including all supplementary statements attached hereto, are true and accurate. I understand that falsification of any information on this application is a violation of the Arizona Criminal Code in Arizona Revised Statutes, Title 13, Chapter 27. I understand that pursuant to A.R.S. §§ 2-1154(A)(5)(19) & 32-1122(D) providing false information is cause for denial of this application and cause for discipline of ROC licenses.		
I authorize the personnel listed in Part 2 to be added to or removed from the entity noted in Part 1.		
_____	_____	_____
Print Name	Signature	Date



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

Owner or Personnel Being Added

The person listed in Part 2: Personnel Change/Information must sign this application.

I certify that I have reviewed the entire contents of this application and all statements, answers, and representations made in this application, including all supplementary statements attached hereto, are true and accurate. I understand that falsification of any information on this application is a violation of the Arizona Criminal Code in Arizona Revised Statutes, Title 13, Chapter 27. I understand that pursuant to A.R.S. §§ 32-1154(A)(5)(19) & 32-1122(D) providing false information is cause for denial of this application and cause for discipline of ROC licenses.

I acknowledge I will be a person named on this license for the purposes and duties of all Registrar statutes and rules, including, but not limited to, A.R.S. §§ 32-1122, 32-1139(B) & 32-1154. These purposes and duties include liability for violations arising out of or relating to agreements that were entered into, monies received, or work performed while I am named on this license.

I understand that because A.R.S. § 32-1155(A) and A.R.S. § 32-1162(A) establishes a two-year period for the filing of complaints, my liability for violations of Registrar statutes and rules continues for up to two years after I am removed from this entity.

By submission of this application, I consent to a criminal background investigation pursuant to A.R.S. § 32-1122(H).

Print Name

Signature

Date



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

FELONY DISCLOSURE FORM

Instructions

Review the following information and complete and sign the Felony Disclosure Form. If the person being added to the license has been convicted of a felony, or has a pending felony charge, that person **must** complete and sign this form.

Good Character Standard

Arizona law requires that every person named on a license have good character and reputation. Certain issues regarding good character and reputation can cause a license to be delayed or denied. A felony conviction can indicate a lack of good character and reputation. A.R.S. § 32-1122(C) & A.R.S. § 32-1154(A)(7).

Documentation to Enable Review of Felony Convictions

Every person with a felony conviction **must** submit the following documents here:

- A copy of the charging document (*typically called the indictment or complaint*)
- A copy of the courts findings or plea agreement
- A copy of the presentence report
- Documentation of the sentence
- Documentation showing completion of the sentence
- Documentation showing satisfaction of restitution (*if applicable*)
- A copy of the order restoring civil rights (*if applicable*)

Every person with a felony conviction **may** submit additional documents showing a rehabilitation of character and reputation here:

- A letter explaining:
 - 1) The circumstances of the felony, and
 - 2) Steps taken to avoid those circumstances in the future
- Letters of reference from:
 - 1) Licensed contractors
 - 2) Employers or business associates
 - 3) Any victims affected by the felony
 - 4) Religious or charitable institutions
 - 5) Recovery programs
 - 6) Family, friends, and neighbors
- Documents showing completion of an addiction-recovery or other relevant program; and
- Documents showing personal, professional or educational achievements after the felony conviction.



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

**Form
RC-L-202A**

FELONY DISCLOSURE FORM

PART 1: FELONY DISCLOSURE

You must completely and accurately fill out the following information.

1. Name as it appears on your government issued ID	2. Date of Birth (MM/DD/YYYY)
--	-------------------------------

FELONY CONVICTIONS

List the dates, charges, and court information for each felony conviction. If you need additional space, complete and attach additional Felony Disclosure pages.

Date of Conviction (MM/DD/YYYY)	Charge	Court Name/State

PENDING FELONY CHARGES

List the dates, charges, and court information for each pending felony charge. If you need additional space, complete and attach additional Felony Disclosure pages.

Trial Date (MM/DD/YYYY)	Charge	Court Name/State

PART 2: SIGNATURE

By signing below, I certify that the entire contents of this Felony Disclosure Form, including all supplementary statements and materials attached, are true and correct.

_____	_____	_____
Print Name	Signature	Date

1700 W. Washington Street, Suite 105 • Phoenix AZ 85007-2812
602.542.1525 • Within AZ 877.692.9762 • Fax 602.542.1599 • www.roc.az.gov



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

Form
RC-L-202B

DISCIPLINED LICENSE DISCLOSURE FORM

Instructions

Review the following information and complete and sign the Disciplined License Disclosure Form. If any person being added to an existing license or any person listed in a license application has ever been named on a contractor's license in any state (including Arizona) that was revoked, disciplined, or suspended, then that person must complete and sign this form for each applicable license.

Checklist

This Discipline License Disclosure Form must also include the following:

- Disciplinary Resolution Documents.** Documents showing the underlying cause of the revocation, discipline, or suspension has been resolved:

Note: You must complete a separate Disciplined License Disclosure Form for each license.

Good Character Standard

Arizona law requires that every person named on a license have good character and reputation. Certain issues regarding good character and reputation can cause a license to be delayed or denied. Being named on a contractor's license that was suspended or revoked can indicate a lack of good character. A.R.S. § 32-1122(C).

AGENCY DISCLOSURE

Pursuant to A.R.S. § 41-1030(G), the Registrar provides the following disclosures:

- **A.R.S. § 41-1030(B):** An agency shall not base a licensing decision in whole or in part on a licensing requirement or condition that is not specifically authorized by statute, rule or state tribal gaming compact. A general grant of authority in statute does not constitute a basis for imposing a licensing requirement or condition unless a rule is made pursuant to that general grant of authority that specifically authorizes the requirement or condition.
- **A.R.S. § 41-1030(D):** This section may be enforced in a private civil action and relief may be awarded against the state. The court may award reasonable attorney fees, damages and all fees associated with the license application to a party that prevails in an action against the state for a violation of this section.
- **A.R.S. § 41-1030(E):** A state employee may not intentionally or knowingly violate this section. A violation of this section is cause for disciplinary action or dismissal pursuant to the agency's adopted personnel policy.
- **A.R.S. § 41-1030(F):** This section does not abrogate the immunity provided by § 12-820.01 or



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

**Form
RC-L-202B**

DISCIPLINED LICENSE DISCLOSURE FORM

PART 1: DISCIPLINED LICENSE INFORMATION

The following information must be completed for each contractor's license you have been named on in any state (including Arizona) that have been revoked, disciplined, or suspended.

1. Name of Person as it Appears on their Government-Issued ID	2. Date of Birth (MM/DD/YYYY)
---	-------------------------------

PART 2: LICENSE'S DISCIPLINARY RECORD

REVOCATION/DISCIPLINE/SUSPENDED LICENSE

If you have multiple licenses, complete and attach additional Disciplined License Disclosure Form pages.

Note: A person named on a Revoked license must wait one year from the Revocation before applying for a new license. A.R.S. §§ 32-1122 & 32-1161.

1. Select the Action Taken Against this License <input type="checkbox"/> Revoked <input type="checkbox"/> Suspended <input type="checkbox"/> Disciplined		
2. Business Name of Affected License, including DBA if applicable		3. License Number
4. License Classification	5. State Where License is/was Held	6. Current Status of License
7. Date of Revocation/Suspension/Discipline	8. Cause of Disciplinary Action	

PART 3: DISCIPLINARY RESOLUTION

To avoid delay or denial, any person with a revocation, discipline, or suspension must submit documents showing that the underlying cause of those actions taken against that license have been resolved. A.R.S. § 32-1161.

Examples of documents that provide proof of resolution include:

- Evidence of payment to the person who filed the complaint
- Evidence that corrective work was completed satisfactorily
- Evidence that all reasonable efforts to resolve the underlying cause of the suspension or revocation were undertaken.

Check One

1. Has the revocation, discipline, or suspension been resolved for this contractor's license?	Yes No
2. I have included the appropriate documentation to provide proof of resolution for this revoked, disciplined, or suspended contractor's license.	Yes No

PART 4: SIGNATURE

By signing below, I certify that the entire contents of this Disciplined License Disclosure Form, including all supplementary statements and materials attached, are true and correct.

_____	_____	_____
Print Name	Signature	Date

1700 W. Washington Street, Suite 105 • Phoenix AZ 85007-2812
602.542.1525 • Within AZ 877.692.9762 • Fax 602.542.1599 • www.roc.az.gov



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

UNLICENSED ACTIVITY DISCLOSURE FORM

Instructions

Review the following information and complete and sign the Unlicensed Activity Disclosure Form. If any person named on a license application was issued a civil citation or convicted for contracting without a license, that person **must** complete and sign this form.

The Registrar requires that each person cited or convicted for contracting without a license complete a separate form.

Each person must complete and sign this form for every instance where they were charged or convicted for contracting without a license.

Good Character Standard

Arizona law requires that every person named on a license have good character and reputation. Certain issues regarding good character and reputation can cause a license to be delayed or denied. Being named on a contractor's license that was suspended or revoked can indicate a lack of good character. A.R.S. § 32-1122(C).

Evidence of Remedial Measures

To avoid delay or denial, every person previously charged or convicted for contracting without a license should submit documents showing that remedial measures have been taken. A.R.S. § 32-1166.07.

Examples of those documents include the below and can be uploaded here:

- Evidence of payment to remedy all loss or damage to the public; or
- Evidence of any remedial measures taken.



ARIZONA REGISTRAR OF CONTRACTORS



Douglas A. Ducey, Governor

Jeff Fleetham, Director

Form RC-L-202C

UNLICENSED ACTIVITY DISCLOSURE FORM

PART 1: UNLICENSED ACTIVITY INFORMATION

*To avoid **delay** or **denial** of the License Application, you must completely fill out the following information for each instance where you were charged or convicted for contracting without a license. If you need additional space, complete and attach additional Unlicensed Activity Information pages.*

1. Name as it appears on your government-issued ID		2. Date of Birth (MM/DD/YYYY)
3. Case number (if known)	4. Type of discipline imposed (e.g. fine amount)	5. State where unlicensed activity occurred
6. Description of the unlicensed activity		
7. Description of actions taken to remedy the situation (if any)		

PART 2: SIGNATURE

By signing below, I certify that the entire contents of this Unlicensed Activity Disclosure Form, including all supplementary statements and materials attached, are true and correct.

_____	_____	_____
Print Name	Signature	Date

1700 W. Washington Street, Suite 105 • Phoenix AZ 85007-2812
602.542.1525 • Within AZ 877.692.9762 • Fax 602.542.1599 • www.roc.az.gov