



## NEWPORT BEACH ASSOCIATION OF REALTORS®

401 Old Newport Boulevard, Suite 100  
Newport Beach, California 92663  
Telephone (949) 722-2300 FAX (949) 631-4276  
[www.nbaor.com](http://www.nbaor.com)

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To Whom It May Concern:

This letter is in response to your request to file a Complaint against a member of this Association. To verify membership, please contact our office. Enclosed you will find a complaint form, the Code of Ethics, and the MLS Rules and Regulations.

Please fill in the upper portion with the name of the REALTOR(S)® and/or Broker of Record against whom you wish to file. Fill in the lower portion that calls for the numbers of Articles of the Code of Ethics and/or Sections of the MLS rules, that you feel have been violated. Please sign and date and provide your mailing address, telephone number and email address. Please attach a written statement of facts with all the documentation you wish submitted to support your charges. Please provide 5 copies of all material.

Upon receipt of your documents, the grievance committee will meet to decide if your complaint warrants a hearing. An investigator may contact you prior to action taken by the Grievance Committee. Should a hearing be scheduled you will be notified of the date and time to appear and present your case before the tribunal.

Sincerely,

A handwritten signature in cursive script that reads "Kimberly Foreman".

Kimberly Foreman  
Chief Executive Officer

KF:sj

Enclosures



**DISCIPLINARY COMPLAINT  
NEWPORT BEACH ASSOCIATION OF REALTORS®**

For Association Use Only Case No. _____ Complaint Received: _____, 20____
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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):**

(1) \_\_\_\_\_  
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 of Manager (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) have 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.
- 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 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 email address are:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

