

Information Letter

DATE: June 8, 2004

TO: Licensed Yacht and Ship Brokers

FROM: Licensing Staff

SUBJECTS: (1) New Investigator, (2) Scheduling written exams in Sacramento, (3) Notice of Cancellation for Written Exams, (4) All Application Fees will be nonrefundable, (5) Non-Priority for Overnight or Priority Mail, and (6) Transfers between brokerages or Cancellations of Salesperson's Licenses,

1. New Investigator

We are pleased to announce that Mary Thomas will be joining the Yacht and Ship Brokers Unit as the new lead investigator. Mary formerly worked for five years in the Department's Law Enforcement Unit. She may be reached at (916) 263-8194.

2. Scheduling Written Exams

Commencing July 1, 2004, all written examinations in Sacramento will be given on the third Wednesday of the month only. The only exception to this is when this date falls on a holiday. Exams will no longer be given on a daily basis.

3. Notice of Cancellation for written examinations

Commencing July 1, 2004 cancellation notices for written examinations must be received by 4:00 p.m., on Monday of the week that the written examination is scheduled. Failure to do so will result in the examination fees being forfeited. Notification may be received by telephone, e-mail, letter or facsimile at the Department's Yacht and Ship Broker Licensing Unit.

4. Application Fees are non-refundable

Commencing July 1, 2004, all application fees will be considered non-refundable. Due to the administrative costs these fees are now considered "earned" when the administrative processing of a license begins and no

refunds will be issued. Please note: “over-payments” are not effected by this change.

5. Non-Priority treatment for Over-Night or Priority Mail

All applications are processed in the order in which they are received by the Yacht and Ship Broker Licensing Unit. Applications sent “express”, “over-night”, or “priority” mail, will not be given special or expedited treatment. Please do not call to request expedited or special treatment of your application simply because you sent your application by any of the express mailing services described above, unless the Yacht and Ship Broker staff requested that you do so.

6. Transfers between brokerages or Cancellations of Sales Licenses

Pursuant to the provisions of Harbors and Navigation Code § 735 (c) salespersons licenses are required to be under the control of the broker by whom the salesperson is licensed until the license is cancelled or the salesperson leaves the employment of the broker. The broker shall ***immediately*** return such salesperson’s license to the Department for cancellation and shall notify the Department of the exact date of termination.

Recently, brokers have been lax about complying with these requirements when a salesperson leaves the brokerage or is terminated. We reiterate that the broker must comply with these requirements by telephone, letter, e-mail or facsimile. If the salesperson takes possession of his or her license the broker should communicate this to the Department.

Please discuss or share this Information Letter with your staff. If you have any questions please contact us.

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