

The Quarterly Roster Audit

Seven checks. One afternoon. Run it every quarter.

ONE NAME THAT DOES NOT RECONCILE TAKES THE WHOLE OFFICE OFFLINE

Compliance is assessed at the office level, through the designated broker. So when one affiliated licensee is unaccounted for — dues unpaid, classification not properly declared, or a departure never recorded — the exposure does not attach to that licensee. Access is suspended for the firm. Nobody has to have done anything wrong; a set of facts just quietly stopped being true. Tick a box only if you could show the evidence today.

☐ Pull the ENTIRE roster

Pull the entire roster under your responsible broker number — not just the active licensees. The list you are auditing is the state license record, not your internal list. Those two disagree more often than anyone admits.

☐ ACTIVE

License active, membership paid, MLS paid. Then confirm they are in fact showing, listing, and writing offers. A coded-active licensee who has not worked in two years is a different conversation, but at least they are accounted for.

☐ REFERRAL

Coded referral, paying little or nothing. Are they doing referrals ONLY? Any showings, open houses, or BPOs? If yes, change them to active. Referral status is legitimate and indefinite — it is also the classification most often left stale.

☐ MLO / COMMERCIAL FLAG

Coded exempt. Are they touching residential? If yes, change to active. The status that saved someone thirty dollars a month is not worth what an unaccounted-for name costs.

☐ OUT-OF-STATE WAIVER (NV, AZ, OR)

Coded waiver. Are they working in California again? If yes, remove the waiver and change to active. On the roster a stale waiver does not read as an error — it reads as a name that does not reconcile.

☐ NO ACTIVITY / PARKED

Not paying, still affiliated. Either account for them, or remove them from your license through the Department. Doing neither is the single most common way this goes wrong.

☐ BROKER ASSOCIATES

Run this entire checklist again for every licensee working under each broker associate. Those licensees are yours too. This is the step almost everyone skips.

Found a blank box? That is a finding, and a finding you know about is worth more than a tick you cannot support. The full 69-point supervision audit — trust funds, advertising, transaction files, recordkeeping, branch offices — and the handbook that quotes every rule to its source are at liveditpress.com.

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