



## COMPLIANCE REVIEW QUESTIONNAIRE | REC-550

### INSTRUCTIONS

Complete this questionnaire if you have received an Initial Notice of Compliance Review from a KREC real estate specialist. Each compliance review conducted for your company or branch office will require a new questionnaire be completed and returned by mail or email. **Please type. This is a fillable form.**

This form cannot be used to change your company name, contact information, or supervising broker. Please visit the "Forms" section of the KREC website to obtain the appropriate form for making those changes.

### SUPPORTING DOCUMENTATION: TRANSACTION LOG

**Please attach your Kansas transaction log for the prior 12 month period.** Time period starts today and goes back 12 months. If you do not maintain a transaction log, please submit a list of all Kansas transactions for the prior 12 month period. The transaction log or list should include the transaction identification number, seller's/landlord's name, and buyer's/tenant's name.

On the transaction log or list, identify all pending transactions by **highlighting** them in a different color or placing a "P" next to the respective transaction number.

### COMPANY INFORMATION

Broker Name		Broker License Number		
Company Name		Company Number		
Address	City	State	Zip	County

FOR PURPOSES OF THIS COMPLIANCE REVIEW, I WOULD PREFER TO BE CONTACTED BY:  U.S. MAIL  EMAIL: \_\_\_\_\_

CHECK HERE FOR KREC TO UPDATE THIS AS

DAYTIME PHONE NUMBER WHERE I CAN BE REACHED: \_\_\_\_\_

YOUR OFFICIAL COMPANY EMAIL ADDRESS

### KANSAS TRANSACTION INFORMATION

Number of pending Kansas transactions (Currently under contract)	
Total number of Kansas transactions for the prior 12 month period*	

\*IF NO TRANSACTIONS FOR THE PRIOR 12 MONTHS, WHAT IS THE TOTAL NUMBER OF KANSAS TRANSACTIONS FOR THE PAST 3 YEARS? \_\_\_\_\_

PROVIDE A TRANSACTION LOG FOR THE 3 YEAR PERIOD. INCLUDE TRANSACTION IDENTIFICATION NUMBER, SELLER/LANDLORD'S NAME, AND BUYER/TENANT'S NAME FOR EACH TRANSACTION

TRANSACTION FILES ARE MAINTAINED AT:  MAIN OFFICE  BRANCH OFFICE  ONLINE  OTHER: \_\_\_\_\_

DO YOU MAINTAIN A TRUST ACCOUNT?  No  Yes

IF YES, HOW MANY CHECKS HAVE BEEN WRITTEN FROM THE TRUST ACCOUNT IN THE PAST 12 MONTHS? \_\_\_\_\_

### SUPERVISING/BRANCH BROKER CERTIFICATION

*I declare under penalty of perjury under the laws of the State of Kansas that I have read and understand this questionnaire and that the information I have provided is true, correct and complete to the best of my knowledge.*

\_\_\_\_\_  
BROKER'S SIGNATURE

\_\_\_\_\_  
DATE SIGNED