

**ETHICS/DISCIPLINARY COMPLAINT**  
**Santa Barbara Association of REALTORS®**

1415 Chapala Street, Santa Barbara, CA 93101 ▪ phone: 805-884-8609 ▪ fax: 805-966-9664 ▪ email: kpleiser@sbaor.com

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:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

2. **Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

3. **Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

4. **Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

2. The above named respondent(s) have violated the following:

**CODE OF ETHICS VIOLATION:**

- 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 insure 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 lie 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.
- MLS Rules & Regulations violation. Specify in "Exhibit 1."
- SBAOR Bylaws violation. Specify in "Exhibit 1."

3. Attach an explanation of your complaint titled "Exhibit 1." In the opening paragraph of Exhibit 1, state the name of the member against whom you are filing, the name of the company with whom the member is affiliated, and the address of the property involved. Cite the Article(s) of the Code of Ethics; the Section(s) of the Bylaws; and/or the Section(s) of the MLS Rules & Regulations which you believe have been violated by the member. Immediately following each Article or Section, state the facts upon which your allegation is based. Include any supporting documentation, i.e., deposit receipt, listing agreement, agency agreement, transfer disclosure, telephone log, correspondence, etc.
4. I am informed that the named respondent(s) are current REALTOR® members of the Association and/or participants/subscribers in the MLS.
5. Date of knowledge of alleged misconduct: \_\_\_\_\_  
This complaint must be filed within 180 calendar days after the facts constituting alleged misconduct could have been known in the exercise of reasonable diligence.
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, 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, 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 agree to abide by the rules and procedures used by this Association to conduct disciplinary hearings.

**Under the penalties of perjury, I declare that to the best of my knowledge and belief my allegations in this complaint are true and correct.**

**Dated: \_\_\_\_\_ at \_\_\_\_\_, California**

**COMPLAINANT(S):**

1. **Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

**Phone:** \_\_\_\_\_

2. **Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

**Phone:** \_\_\_\_\_

3. **Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

**Phone:** \_\_\_\_\_

4. **Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
(street) (city) (state) (zip)

**Phone:** \_\_\_\_\_

**Mail or deliver seven (7) copies of your complete complaint to:**

Santa Barbara Association of REALTORS®  
Attention: Krista Pleiser  
1415 Chapala Street  
Santa Barbara, CA 93101

Please mark: Confidential