

WISCONSIN DEPARTMENT OF REGULATION & LICENSING



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STATE OF WISCONSIN
BEFORE THE DEPARTMENT OF REGULATION AND LICENSING

IN THE MATTER OF APPLICATION FOR	:	AMENDED
AUCTIONEER CERTIFICATE FOR	:	FINAL DECISION
	:	AND ORDER
ROBERT P WILLIAMS	:	
APPLICANT	:	

Based upon the Stipulation and information of record herein, the Department adopts the attached Stipulation and makes the following:

FINDINGS OF FACT

- 1. Robert P. Williams (Applicant) has filed an application for a license to practice as an auctioneer in Wisconsin.
- 2. Information received in the application process reflects that in April 1991 Applicant was convicted of burglary.

CONCLUSIONS OF LAW

- 1. The Wisconsin Department of Regulation and Licensing has jurisdiction over this matter pursuant to Wis. Stat. § 480.08(2) and authority to enter into a stipulated resolution of this matter pursuant to Wis. Stat. § 227.44(5).
- 2. The facts and circumstances of the convictions referenced above are substantially related to the practice of an auctioneer, and Applicant by that conduct is subject to disciplinary action against his auctioneer certificate pursuant to Wis. Stat. § 480.24.

ORDER

NOW, THEREFORE, IT IS ORDERED that ROBERT P WILLIAMS is GRANTED a LIMITED AUCTIONEER CERTIFICATE subject to the following LIMITATIONS, TERMS AND CONDITIONS.

Practice Limitations

- 1. Applicant shall provide a copy of this Final Decision and Order immediately to supervisory personnel at all settings where Applicant works or applies to work as an auctioneer.
- 2. Applicant shall work as an auctioneer only under the supervision of a registered auctioneer acceptable to the Department. To be acceptable, the supervising auctioneer shall submit an acceptable plan of supervision to the Department Monitor. Approval by the Department Monitor is required prior to Applicant working as an auctioneer. The plan of supervision shall include a description of the method of supervision, as well as a description of the handling of monies associated with the auction.
- 3. Until otherwise approved by the Department, Applicant shall not handle client funds for auction transactions.
- 4. It is Applicant’s responsibility to arrange for written reports from his supervising auctioneer to be provided to Department Monitor, as directed by Department Monitor. These reports shall describe the Applicant’s auctioneer activities and verify that he is in compliance with the laws governing the practice of auctioneers and the terms of this Order.
- 5. Applicant shall report to the Department any change of employment status, residence, address or telephone number within five (5) days of the date of a change.

DEPARTMENT MONITOR

- 6. The Department Monitor is the individual designated by the Department as its agent to coordinate compliance with the terms of this Order. Any requests, petitions, reports and other information required by this Order shall be mailed, e-mailed, faxed or delivered to:

DEPARTMENT MONITOR
Department of Regulation and Licensing
Division of Enforcement
1400 East Washington Ave., P.O. Box 8935
Madison, WI 53708-8935
Fax: (608) 266-2264
Telephone: (608) 261-7904

Required Reporting

- 7. Applicant is responsible for compliance with all of the terms and conditions of this Order, including the timely submission of reports by others. Applicant shall promptly notify Department Monitor of any suspected violations of any of the terms and conditions of this Order by Applicant to conform to the terms and conditions of this Order.
- 8. Applicant shall be responsible for all costs and expenses incurred in conjunction with the monitoring, screening, supervision and any other expenses associated with compliance with the terms of this Order.

Petitions for Modification

- 9. Applicant may petition the Department for modification of the terms of this Order after one year from the effective date of this order. Any such petition shall be accompanied by a written recommendation from Applicant’s employer expressly supporting the specific modifications sought. Denial of a petition in whole or in part shall not be considered a denial of a license within the meaning of Wis. Stats. § 227.01(3)(a), and applicant shall not have a right to any further hearings or proceedings on the denial. Failure by Applicant

Summary Suspension/Additional Discipline

- 9. Failure by Applicant to timely comply with the terms of this limitation and/or any further criminal conviction shall result in the revocation of Applicant’s security permit without further notice, hearing or other proceeding. A violation of this Order may alternatively be the basis for a summary suspension under Wis. Admin. Code § RL 6 or separate disciplinary action under Wis. Stat. § 480.24.

Dated at Madison, Wisconsin this 18th day of January, 2007.

Steven M. Gloe
On behalf of the Department of
Regulation and Licensing