

***The MN Realtor® Revised Citation Policy will be effective January 1, 2023.**

Overview of Complaint Process:

1. **Notice of Anonymous Complaint:** Minnesota Realtors® receives an Anonymous Complaint (Form #E-1.1) specifying the alleged violation of the Article 12 citation-eligible issue and the parties are notified of the complaint.
 - a. The anonymous complaint can only be filed on an Article 12 “citation-eligible issues” which are specifically as follows: *Article 12 Citation-Eligible Offenses—12, Standards of Practice 12-1, 12-3, 12-4, 12-5, 12-6, 12-7, 12-8, 12-9, 12-10, 12-12, and 12-13*
2. **GRP Review:** The Grievance Review Panel ("GRP") of the Professional Standards Committee will review the complaint and determine if there is a potential violation of Article 12 of the Code of Ethics and whether the respondent is eligible for citation.
3. **Action of GRP:** Minnesota REALTORS® will send notice of the Action of the GRP to all parties.
4. **Citation Issued:** If a citation is issued, the respondent has 20 days to request a hearing. If none is requested, the citation is deemed accepted and the respondent must complete all required discipline for the citation within the required time.
5. **Request a Hearing or Ineligible:** If respondent does not accept the citation and requests a hearing, or respondent is not eligible for a citation, the complainant will have stated in their complaint that they will either withdraw the complaint or agree to appear at an ethics hearing and be known to the respondent, respondent’s counsel, and the hearing panel.
6. **Hearing Held:** If a hearing is requested or required, and the complainant agrees to be known, a hearing will be scheduled and the complainant will be required to attend the hearing to **prove** by clear, strong, and convincing evidence that the respondent violated Article 12 as alleged.

Update Your Contact Information: Notices will be sent via a secure email service called ShareFile to the email address on file in the Realtor® membership record. Please make sure the contact information for all your Minnesota Realtor® members is up to date as failure to comply with an issued citation may lead to further disciplinary action.

Citation Policy

Ethics Citation Program

I. Preliminary Procedures / Initial Review by Grievance Review Panel

- A.** Information about the Ethics Citation program, including the Citation Schedule, will be posted on the Minnesota REALTORS® website and provided as part of the information to potential complainants who are considering filing complaints through the Minnesota REALTORS® Professional Standards Program.
- B.** When a complaint is submitted, Association staff shall make a preliminary review of the complaint consistent with the policies and procedures set forth in the NAR Code of Ethics and Arbitration Manual as adapted by the Minnesota Association of REALTORS® (COEAM). The Professional Standards Administrator will also review the citation history of the respondent to determine eligibility for the Citation program.
- C.** An anonymous ethics complaint may be submitted solely for alleged violations identified under Article 12 of the Citation Schedule. An anonymous complaint must be submitted on an Anonymous Complaint form (Form #E-1.1) ("Anonymous Complaint"), and will require a named complainant. The complainant's name will remain anonymous to the respondent, respondent's principal, and the Grievance Review Panel. However, in the event the respondent elects to have a hearing on the matter, or the respondent is not eligible for Citation, the complainant must elect, when filing the complaint, to either 1) agree to have their name become known to respondent and respondent's principal and attend the hearing; or 2) withdraw the complaint. This applies to all respondents named in a complaint.
- D.** Ethics complaints alleging violation of Articles other than those identified under Article 12 of the Citation Schedule or complaints that allege violations of Articles in addition to those identified under Article 12 cannot be filed anonymously and shall be filed on the standard Ethics Complaint form (Form #E-1) ("Standard Complaint").
- E.** A copy of the complaint shall be forwarded to the respondent and the respondent's REALTOR® principal (e.g. DR, office manager) upon its submission to the Association. Complainant's name shall be withheld when forwarding Anonymous Complaints to respondent, respondent's broker, and the Grievance Review Panel. A Grievance Review Panel shall be appointed to review the complaint consistent with the policies and procedures set forth in the COEAM. The Professional Standards Administrator shall try to ensure that the Grievance Review Panel members reviewing the matter include members that have a high level of experience in hearing professional standards cases.

F. Anonymous Complaint: If the Grievance Review Panel is Reviewing an Anonymous Complaint, the Panel will make the following determinations:

1. Is the ethics complaint acceptable in form as received by the Grievance Review Panel? If not in proper form, the Grievance Review Panel may request that the Professional Standards Administrator contact the complainant to advise that the complaint must be submitted in proper form.
2. Are all necessary parties named in the complaint?
3. Was the complaint filed within one hundred eighty (180) days of the time that the alleged offense and facts relating to it could have been known by the complainant in the exercise of reasonable diligence or within one hundred eighty (180) days after the conclusion of the transaction or event, whichever is later?
4. Is the respondent named in the complaint a member of the Association, and was the respondent a member of any Association at the time of the alleged offense?
5. Are the allegations related only to citation-eligible matters under Article 12 for all respondents?
6. Are the Article 12 citation matters cited in the complaint appropriate in light of the facts provided? Should other Article 12 Standard of Practices be cited? Are there any inappropriate Article 12 Standard of Practices cited?
7. Is criminal or civil litigation or any government agency investigation or other action pending related to the same facts and circumstances giving rise to the complaint alleging unethical conduct?
8. Is there any reason to conclude that the Association would be unable to provide an impartial Hearing Panel?
9. If all questions above have been answered to the satisfaction of the Grievance Review Panel, the Professional Standards Administrator will inform the panel whether or not all respondents named are eligible to receive a citation.
 - i If any named respondent is not eligible for citation, then the Grievance Review Panel will determine if the complainant has elected to be known. If complainant has elected to be known, the Grievance Review Panel shall forward the complaint to a Hearing Panel of the Professional Standards Committee for hearing. If complainant elected to withdraw the complaint, the file shall be closed. If complainant elects to withdraw, complainant may not refile a complaint on the same matter.
10. If an Anonymous Complaint raises a double jeopardy question, before the Professional Standards Administrator forwards the matter to a Grievance Review Panel, the Professional Standards Administrator, in consultation with Association Counsel, shall review the complaint and make a recommendation to the Grievance Review Panel to ensure the respondent is not exposed to being held in violation of the Code of Ethics twice for the same conduct and the Grievance Review Panel shall refer or dismiss the complaint accordingly.

- i Multiple complaints by different complainants alleging a violation on the same event, before a Grievance Review Panel has reviewed the complaints, shall be consolidated for review.
- ii If a complaint is filed alleging a violation against the same respondent, on the same event, after final determination on a previously submitted complaint, but before the end of 30-day time period to cease or refrain from the violating conduct, then a Grievance Review Panel will review the complaint to determine if the subsequent filing is the same event. If it is determined to be the same event, the Grievance Review Panel shall dismiss the complaint and inform complainant that the allegation has already been adjudicated.
- iii If a complaint is filed alleging a violation against the same respondent, on the same event, after final determination on a previously submitted complaint, and after the end of 30-day time period to cease or refrain from the violating conduct, then a Grievance Review Panel will review the complaint to determine if the alleged violation in the subsequent filing occurred before or after the 30-day time period to cease or refrain from the violating conduct. If it is determined that the allegations of a violation occurred after the 30-day time period to cease or refrain from the violating conduct, it will be deemed a new violation and processed accordingly.

If all relevant questions have been answered to the satisfaction of the Grievance Review Panel, and the allegations, if taken as true could constitute a violation of the Code of Ethics, the Grievance Review Panel shall issue a Citation in accordance with Section II below.

If certain questions have not been answered to the satisfaction of the Grievance Review Panel, the complaint shall be dismissed.

If the complaint was dismissed due to allegations made in the complaint that were not related to Article 12, the complainant may refile the matter on the Standard Complaint form. However, the 180-day filing deadline will continue to run.

The Grievance Review Panel may not amend an Anonymous Complaint to include Articles other than Article 12 citation-eligible matters specified in this Policy. The Grievance Review Panel may only amend an Anonymous Complaint to add an additional Article 12 citation-eligible matter or to cite the appropriate Article 12 citation-eligible matter when it is determined that an inappropriate Article 12 citation-eligible matter was cited by complainant.

Complainant may appeal the Grievance Review Panel's dismissal as allowed under Part Three, Section 19 (C). Complainant may only appeal a dismissal of an Anonymous Complaint based on 1) failure to timely file the complaint; or 2) eligibility under Article 12 citation-eligible matters. Complainant may remain anonymous when filing the appeal.

- G. Standard Complaint:** If, after reviewing a Standard Complaint in accordance with Part Three, Section 19 (B) of the COEAM, the Grievance Review Panel determines that there is or are timely complaint(s) made against one or more respondents that are potential violations of the Code of Ethics, then the Grievance Review Panel will be informed by the Professional Standards Administrator whether the respondent is eligible for the Citation program. If the respondent is not eligible to receive a citation, the complaint will be forwarded to a Hearing Panel of the Professional Standards Committee for hearing. If the

respondent is eligible to receive a citation, then the Grievance Review Panel shall consider whether each issue raised qualifies for the Citation program as follows:

- 1.** If the complaint does not include alleged violations included in the Citation Schedule, or it includes some covered by the Citation Schedule and some that are not, then the Grievance Review Panel shall refer the complaint to the Professional Standards Committee for hearing consistent with the policies and procedures set forth in in the COEAM.

If the Grievance Review panel adds an article making the complaint ineligible for Citation and requiring the complaint to proceed to a hearing, but the Complainant does not accept the amendment within the ten (10) day period allowed in this COEAM, then the unamended complaint shall stand, and the Citation shall be issued.

- 2.** If the complaint includes *only* allegations of violations included in the Citation Schedule, the Grievance Review Panel will proceed under subsection H and I, below.
- 3.** If the complaint includes allegations against more than one respondent, the complaint is only eligible for Citation if all respondents have only citation eligible allegations charged against them and both respondents are eligible to receive a citation.

If a Standard Complaint includes *only* allegations covered by the Citation Schedule, the Grievance Review Panel will review the information presented in the complaint and, taking all information in the complaint as true, determine if there is potential violation of the Code of Ethics. If the Grievance Review Panel eliminates Articles or allegations which are not subject to the Citation Schedule and all that remains of the complaint are citation eligible allegations, the Grievance Review Panel can issue a citation subject to the appeal of the Complainant. Complainant will have 20 days from the date of the notice of the Grievance Review Decision to request an appeal. During that time no action may be taken on the citation. Notice will be provided to each party regarding this right to appeal timeline and the subsequent delay in the processing of the citation. However, if a complaint that included only allegations covered by the Citation Schedule is amended by the Grievance Review Panel by adding Articles that are not covered by the Citation Schedule, then the Grievance Review Panel shall wait for Complainant's affirmation that Complainant will agree to amend the complaint. If the Complainant is not willing to agree to add the Articles or allegations to the complaint, the matter will proceed as a citation offense subject to the complaint's eligibility. If the Complainant agrees to add the Articles or allegations to the complaint, the Grievance Review Panel shall refer the matter to a hearing before the Professional Standards Committee in accordance with the procedures in the COEAM.

If the Grievance Review Panel determines there is a potential violation which is outlined in the Citation Schedule, it will issue a citation and impose discipline consistent with the Association's Citation Schedule pursuant to Section II, below, or;

If the Grievance Review Panel determines there is a potential violation of the Code of Ethics which is outlined in the Citation Schedule, and further determines that the allegations are sufficiently egregious (e.g. public trust issues or serious harm caused) to warrant a hearing rather than a citation, the Grievance Review Panel shall refer the complaint to the Professional Standards Committee for hearing consistent with policies and procedures set forth in the COEAM, despite the complaint's applicability to the Citation process. This determination to forward to a hearing rather than issuing a citation on the matter is not subject to appeal by either complainant or respondent.

II. Issuance of Citations

- A.** The Grievance Review Panel's Report form shall include a written summary of the complaint, prepared by the Professional Standards Administrator, providing the respondent sufficient information to understand the basis of the citation. The Grievance Review Panel's Report form shall be sent to the complainant, respondent, and respondent's REALTOR® principal. The issued citation shall be sent to the respondent, and copy shall be sent to the respondent's REALTOR® principal. If the respondent changes firms before or after the complaint is filed but before the citation is issued, both the former and current REALTOR® principal will receive a copy of the Grievance Review Panel's Report form and the citation.
- B.** The respondent will have twenty (20) days from transmission of the citation to request a full due process hearing on the complaint.
- 1.** If the respondent does not reply with ten (10) days of transmission of the citation, a notice shall be issued to the respondent reminding the respondent of the deadline for requesting a hearing.
 - 2.** If the respondent accepts the citation, or if the respondent does not request a hearing within twenty (20) days of transmission of the citation, this shall be deemed an acknowledgement of the of the conduct alleged in the complaint and an agreement to accept the discipline imposed. This will be a final resolution of the complaint, which shall not be appealable or subject to any further review.
 - 3.** If the Respondent accepts the citation, or if the respondent does not request a hearing within twenty (20) days of transmission of the citation, payment of the issued fine must be received by the Minnesota REALTORS® no later than five (5) days after the time-period to request a hearing has expired. Proof of completion of any sanctioned class(es) must be received by the Minnesota REALTORS® no later than thirty (30) days after the time-period to request a hearing has expired. All continuing education classes required to be completed under the Citation Schedule must be approved by the Minnesota Department of Commerce.
 - a.** The case will be closed upon the Association's receipt of payment, proof of completion of the sanctioned class(es), and receipt of assurances from the respondent that respondent has taken affirmative steps to comply with the Code within the time period specified by the Grievance Review Panel. Notice will be provided to the complainant that the citation(s) has been issued and compliance fulfilled.
 - b.** Failure to pay the citation amount within five (5) days after the time-period to request a hearing has expired, failure to provide proof of completion of the sanctioned class(es) within thirty (30) days after the time period to request a hearing has expired, or failure to provide assurances that affirmative steps have been taken to comply with the Code of Ethics will result in the automatic suspension of membership including membership and/or MLS services until the citation has been complied with in full.
- C.** For a Standard Complaint, if the respondent requests a hearing within the time specified, the Professional Standards Administrator will inform the complainant of the hearing request and refer the matter for hearing before a Hearing Panel of the Professional Standards Committee as prescribed in the COEAM. Should the complainant be a member of the public who refuses or is unable to participate in the hearing, or should the complainant be a REALTOR®

member who refuses or is unable to participate in the hearing, the provisions of Section 21(f)(3) in the COEAM shall apply.

- D.** For an Anonymous Complaint, if the respondent requests a hearing within the time specified, the Professional Standards Administrator will proceed as follows:
 - 1.** If the complainant elected to be known when submitting the complaint, the Professional Standards Administrator will inform the complainant of the hearing request and refer the matter for hearing before a Hearing Panel of the Professional Standards Committee as prescribed in the COEAM; or
 - 2.** If the complainant elected to withdraw the complaint, the Professional Standards Administrator will close the file after informing respondent that the complaint was withdrawn.
- E.** Issued Citations may not be appealed, however, a respondent may appeal the deadline to accept the Citation or request a hearing solely on the basis that the Association failed to transmit, or timely transmit, the Citation, to the respondent. The appeal process will follow the appeal process for a Grievance Review Appeal. (*See Section 19 C of the COEAM.*)

III. Limitations

- A.** Any REALTOR® is limited in the number and type of citations that he/she may receive, according to the following rules:
 - 1.** Each filed complaint is considered one (1) citation even if multiple offenses are named in the same complaint. One (1) citation may consist of multiple fines and or Continuing Education requirements. Therefore, a second offense would require the submission of a new complaint as would a subsequent third offense.
 - 2.** No more than two (2) citations will be issued to a member within a consecutive twelve (12) month period, starting with the date the first complaint was filed.
 - 3.** No more than three (3) citations will be issued to a member within a consecutive thirty-six (36) month period, starting on the date the first complaint was filed.
 - 4.** No additional citations are permitted where the cumulative fine for the citations issued would be more than \$5,000 in any three (3) year period.
 - 5.** The Minnesota REALTORS® has adopted an escalating fine and education schedule as specified in the Citation Schedule. The Grievance Review Panel may only consider the past citations for the particular conduct alleged in the complaint.
- B.** Should an individual respondent reach the limitations in subsection A above, any further complaints received will be processed consistent with the policies and procedures set forth in the COEAM without the opportunity to participate in the Citation program.
- C.** The fact that a respondent has previously been issued a citation for any violation, whether or not it was paid, or the education completed, shall not be admissible in any ethics or arbitration hearing, including a hearing to consider a complaint where the respondent rejected a citation and requested a hearing. A hearing panel may consider citations previously issued to the respondent for the purpose of determining appropriate discipline as provided in Subsection G below.

- D.** Publishing the names of citation violators can occur after a second citation occurs within three (3) years in accordance with the publishing procedures prescribed in the COEAM.
- E.** Citation sanctions will remain with the respondent's membership file indefinitely.
- F.** Citations will be considered in any publication of violations should such rules be adopted by the Association.
- G.** Where a hearing Panel has found a violation of the Code of Ethics after a hearing, it may consider past citations in determining an appropriate sanction. Hearing Panels will be informed of past citations for all other past violations.
- H.** The Professional Standards Administrator will track the number of citations issued, the number of citations paid, and the violations for which citations were issued. This information may be provided in the aggregate to the Board of Directors but will not include details about the complaints nor identify the complainants or respondents.

IV. Citation Schedule

- A.** The following Articles of the Code of Ethics and specified Standards of Practices (SOP) are covered by the Ethics Citation program. Please see attached Citation Schedule for further details.
 - 1.** Article 1: Limited to SOP 1-5, 1-7 (2nd sentence only), 1-8 (2nd sentence only) and 1-16
 - 2.** Article 3: Limited to SOP 3-2, 3-4 and 3-9
 - 3.** Article 4: Including SOP 4-1
 - 4.** Article 5: Limited to present interest; not contemplated.
 - 5.** Article 6: Including SOP 6-1
 - 6.** Article 12: Including SOP 12-1, 12-3, 12-4, 12-5, 12-6, 12-7, 12-8, 12-9, 12-10, 12-12, 12-13
 - 7.** Article 14
 - 8.** Article 16: Limited to SOP 16-16 and 16-19
- B.** The Citation Schedule specifies the fines and required continuing education classes for initial and repeat violations of the Articles and Standards of Practices covered by the Citation program. All Citations will include a Letter of Reprimand to be placed in the membership file. Citations for certain Article 12 violations will include a cease or refrain from the violating conduct requiring the respondent to take affirmative steps to comply with the Code within 30 days of final determination on the matter.

**MINNESOTA REALTORS
CODE OF ETHICS (COE) CITATION SCHEDULE**

	Applicable Article and Standard of Practice (SOP)	Discipline (1st Offense)	Discipline (2nd Offense)	Discipline (3rd Offense)
Article 1				
Failure to fully disclose and obtain consent from both parties when representing both the seller/landlord and buyer/tenant in the same transaction.	Article 1, supported by SOP 1-5	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Upon the written request of a cooperating broker who submits and offer to a listing broker, the listing broker shall provide a written affirmation to the cooperating broker that the offer has been submitted to the seller.	Article 1, supported by SOP 1-7 (second sentence only)	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Upon the written request of the listing broker who submits a counter-offer to the buyer's tenant's broker, the buyer's/tenant's broker shall provide, as soon as practical, a written affirmation to the listing broker stating that the counter-offer has been submitted to the buyers/tenants, or a written notification that the buyers/tenants have waived the obligation to have the counter-offer presented. REALTORS®	Article 1, SOP 1-8 (second sentence only)	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Accessing or using, or allowing others to access or use, a property managed or listed on terms other than those authorized by the owner or seller.	Article 1, supported by SOP 1-16	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education	\$2,250 fine; plus 6 hours of COE Education
Article 3				
Failure to communicate a change in compensation for cooperative services prior to the time that REALTOR® submits an offer to purchase/lease the property	Article 3, supported by SOP 3-2	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
As a listing broker, attempting to unilaterally modify the offered compensation with respect to a cooperative transaction after a REALTOR® has submitted an offer to purchase or lease that property	Article 3, supported by SOP 3-2	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Failing to disclose existence of dual or variable rate commission arrangements	Article 3, supported by SOP 3-4	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Failure to disclose to cooperating brokers differential that would result in dual or variable rate commission arrangement if sale/lease results through efforts of seller/landlord	Article 3, supported by SOP 3-4	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Providing access to listed property on terms other than those established by the owner or the listing broker	Article 3, supported by SOP 3-9	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education	\$2,250 fine; plus 6 hours of COE Education
Article 4				
Failing to disclose REALTOR®'s ownership or other interest in writing to the purchaser or their representative	Article 4 (second sentence), supported by SOP 4-1	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education

**MINNESOTA REALTORS
CODE OF ETHICS (COE) CITATION SCHEDULE**

	Applicable Article and Standard of Practice (SOP)	Discipline (1st Offense)	Discipline (2nd Offense)	Discipline (3rd Offense)
Article 5				
Providing professional services without disclosing REALTOR®'s present interest in property	Article 5 (limited to present interest, not contemplated)	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education
Article 6				
Accepting any commission, rebate, or profit on expenditures without client's knowledge or consent	Article 6 (first paragraph)	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education
Failure to disclose to a client or customer REALTOR®'s financial benefits or fees received as a direct result of recommending real estate products or services	Article 6 (second paragraph)	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education
Failure to disclose REALTOR®'s direct interest in an organization or business entity when recommending to a client or customer that they use the services of that organization or business entity	Article 6, supported by SOP 6-1	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education

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CODE OF ETHICS (COE) CITATION SCHEDULE**

	Applicable Article and Standard of Practice (SOP)	Discipline (1st Offense)	Discipline (2nd Offense)	Discipline (3rd Offense)
Article 12				
Failing to present a true picture in real estate communications and advertising	Article 12	\$250 fine; plus cease or refrain	\$1,000 fine; plus 3 hours of COE Education; plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain
Failing to disclose status as real estate professional in advertising and other representations	Article 12	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education
REALTORS® must not represent that their brokerage services to a client or customer are free or available at no cost to their clients, unless the REALTOR® will receive no financial compensation from any source for those services.	Article 12, supported by SOP 12-1	\$250 fine; plus cease or refrain	\$1,000 fine; plus 3 hours of COE Education; plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain
Failure to exercise care and candor when communicating the terms and conditions of premiums, prizes, merchandise discounts or other inducements to list, sell, purchase, or lease	Article 12, supported by SOP 12-3	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Advertising property for sale/lease without authority of owner or listing broker	Article 12, supported by SOP 12-4	\$1,000 fine; plus 3 hours of COE Education' plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain	\$2,250 fine; plus 6 hours of COE Education; plus cease or refrain
Failing to disclose name of firm in advertisement for listed property	Article 12, supported by SOP 12-5	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Failing to disclose status as both owner/landlord and REALTOR® or licensee when advertising property in which REALTOR® has ownership interest	Article 12, supported by SOP 12-6	\$750 fine	\$1,250 fine; plus 3 hours of COE Education	\$2,000 fine; plus 6 hours of COE Education
Falsely claiming to have “sold” property	Article 12, supported by SOP 12-7	\$1,000 fine; plus 3 hours of COE Education; plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain	\$2,250 fine; plus 6 hours of COE Education; plus cease or refrain
Failure to take corrective action when it becomes apparent that information on a REALTOR®’s website is no longer current or accurate	Article 12, supported by SOP 12-8	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Failure to disclose firm name and state of licensure on REALTOR® firm website	Article 12, supported by SOP 12-9	\$250 fine	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education
Misleading consumers through deceptive framing, manipulating content, deceptively diverting internet traffic, or presenting other’s content without attribution or permission	Article 12, supported by SOP 12-10	\$1,000 fine; plus 3 hours of COE Education; plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain	\$2,250 fine; plus 6 hours of COE Education; plus cease or refrain
Registering or using of deceptive URL or domain name	Article 12, supported by SOP 12-12	\$1,000 fine; plus 3 hours of COE Education; plus cease or refrain	\$1,750 fine; plus 3 hours of COE Education; plus cease or refrain	\$2,250 fine; plus 6 hours of COE Education; plus cease or refrain
Representing that the REALTOR® has a designation, certification, or other credential they are not entitled to use	Article 12, supported by SOP 12-13	\$750 fine; plus cease or refrain	\$1,250 fine; plus 3 hours of COE Education; plus cease or refrain	\$2,000 fine; plus 6 hours of COE Education; plus cease or refrain

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	Applicable Article and Standard of Practice (SOP)	Discipline (1st Offense)	Discipline (2nd Offense)	Discipline (3rd Offense)
Article 14				
Failing to cooperate in a professional standards proceeding or investigation in circumstances when cooperation has been demanded by the association and association has advised REALTOR® failure to cooperate could result in an allegation of a violation of Article 14	Article 14	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education	\$2,250 fine; plus 6 hours of COE Education
Article 16				
Conditioning submission of a buyer’s offer on additional compensation from a listing broker	Article 16, supported by SOP 16-16	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education	\$2,250 fine; plus 6 hours of COE Education
Placing for sale/lease sign on property without permission of seller/landlord	Article 16, supported by SOP 16-19	\$1,000 fine; plus 3 hours of COE Education	\$1,750 fine; plus 3 hours of COE Education	\$2,250 fine; plus 6 hours of COE Education
* Note that any continuing education imposed may not exceed a total of 6 hours of COE education per Citation imposed.				(Rev. 1/23)