

## How Does The Citation Policy Work?

A REALTOR® or a member of the General Public would file a complaint against a member of the NRIBR.

If the Grievance Committee determines the Article(s) in the complaint is/are eligible for the Citation Policy, the Respondent will be notified and given 10 calendar days to elect to participate in the Citation Policy Program or request an Ethics Hearing.

If the Respondent opts to utilize the Citation Policy, they/them would pay a pre-set fine associated with the article(s) violated and complete the online NAR REALTOR® Code of Ethics class. If the Respondent does not utilize the Citation Policy, then both parties must attend an Ethics Hearing at our office.

**We do not accept anonymous complaints.**

## For questions or to file a complaint,

Contact **Suzanne Silva, CAE, RCE**  
Chief Executive Officer

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NORTHERN RHODE ISLAND  
BOARD OF REALTORS®

## Citation Policy FOR CODE OF ETHICS VIOLATIONS

Professional Standards and Grievance Committees are charged with upholding the highest principles of the Northern Rhode Island Board of REALTORS® by ensuring our members adhere to the REALTOR® Code of Ethics.

Over the years, members have sought ways to avoid the time-consuming process of Ethics Complaint filings and hearings. In response, our Association adopted the Citation Policy endorsed by the National Association of REALTORS® (NAR) effective 1/1/2023.

In an ongoing effort to increase professionalism in the marketplace for our membership, the Citation Policy provides mechanisms to streamline the Ethics Hearing Process, and protect the interests of the General Public.



# Why Should A Respondent Elect To Use The “CITATION POLICY”?

For “Respondents”, electing the Citation Policy avoids an often time consuming and uncomfortable Hearing Process. Due Process rights are still protected since Respondents may elect to NOT proceed with a full hearing, and instead use the Citation Policy. This Policy conforms to the same rules of confidentiality as the Ethics Hearing Process.

“Complainant(s)”, assuming the complaint is eligible for the Citation Policy, there may be less time involved yet justice will be served, thereby protecting the industry from unethical behaviors. However, if the Respondent elects to have an Ethics Hearing in lieu of paying the Citation Fine and completing the REALTOR® Code of Ethics class, there will be an Ethics Hearing, which both parties are required to attend.

## Are All Ethics Complaints Eligible For A Citation ?

**NO.** The Citation Policy is limited to certain aspects of the Articles listed in this brochure. The charges must also be substantiated with written or other documented evidence. For example: “A photograph of a sign that violates Article 12 of the Code of Ethics.”

<b>Article 1:</b> <b>SOP 1-5:</b> Failure to fully disclose and obtain consent from both parties when representing both the seller/landlord and buyer/tenant in the same transaction.	\$375*	<b>SOP 6-1:</b> 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.	\$375*
<b>SOP 1-6:</b> Failure to submit offers and counter offers objectively and as quickly as possible.	\$375*	<b>Article 12:</b> Failure to present a true picture in real estate communications and advertising.	\$375*
<b>SOP 1-7:</b> Failure on the part of the listing broker to provide, as soon as practical, written affirmation that an offer was presented or written notification that the seller/landlord has waived the obligation to have the offer presented, upon written request of a cooperating broker submitting an offer.	\$375*	Failure to disclose status as real estate professional in advertising and other representations.	\$375*
<b>SOP 1-8:</b> Failure on the part of a buyer’s/tenant’s broker to 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.	\$375*	<b>SOP 12-1:</b> Representing brokerage services to a client or customer as free or otherwise available at no cost when the REALTOR® receives compensation from any source for those services.	\$375*
<b>SOP 1-12:</b> Failure to advise sellers/landlords of information specified in Standards of Practice 1-12 prior to entering into a listing contract.	\$375*	<b>SOP 12-3:</b> 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.	\$375*
<b>SOP 1-13:</b> Failure to advise buyers/tenants of information specified in Standard of Practice 1-13 prior to entering into a buyer/tenant agreement.	\$375*	<b>SOP 12-4:</b> Advertising property for sale/lease without authority of owner or listing broker.	\$375*
<b>SOP 1-16:</b> 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.	\$375*	<b>SOP 12-5:</b> Failure to disclose name of firm in advertisement for listed property.	\$375*
<b>Article 3:</b> <b>SOP 3-2:</b> Failure to communicate a change in compensation for cooperative services prior to the time that REALTOR® submits an offer to purchase/lease the property.	\$375*	<b>SOP 12-6:</b> Failure to disclose status as both owner/ landlord and REALTOR® or licensee when advertising property in which REALTOR® has ownership interest.	\$375*
<b>SOP 3-2:</b> 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.	\$375*	<b>SOP 12-7:</b> Falsely claiming to have “sold” property.	\$375*
<b>SOP 3-4:</b> Failure to disclose to cooperating brokers existence of differential that would result in dual or variable rate commission arrangement if sale/lease results through efforts of seller/landlord.	\$375*	<b>SOP 12-8:</b> Failure to take corrective action when it becomes apparent that information on a REALTOR®’s website is no longer current or accurate.	\$375*
<b>SOP 3-6:</b> Failure to disclose existence of accepted offers, including offers with unresolved contingencies, to cooperating brokers.	\$375*	<b>SOP 12-9:</b> Failure to disclose firm name and state of licensure on REALTOR® firm website.	\$375*
<b>SOP 3-8:</b> Misrepresenting the availability of access to show or inspect a listed property.	\$375*	<b>SOP 12-10:</b> Misleading consumers through deceptive framing, manipulating content, deceptively diverting internet traffic, presenting other’s content without attribution or permission, or using misleading images.	\$375*
<b>SOP 3-9:</b> Providing access to listed property on terms other than those established by the owner or the listing broker.	\$375*	<b>SOP 12-12:</b> Registering or using deceptive URL or domain name.	\$375*
<b>Article 4:</b> (Second Sentence) Failure to disclose REALTOR®’S ownership or other interest in writing to the purchaser or their representative.	\$375*	<b>SOP 12-13:</b> Representing that the REALTOR® has a designation, certification, or other credential they are not entitled to use.	\$375*
<b>Article 5:</b> (Limited to present interest, not contemplated) Providing professional services without disclosing REALTOR®’S present interest in property.	\$375*	<b>Article 14:</b> Failure 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.	\$375*
<b>Article 6:</b> (First Paragraph) Accepting any commission, rebate, or profit on expenditures without client’s knowledge or consent.	\$375*	<b>Article 16:</b> <b>SOP 16-16:</b> Conditioning submission of a buyer’s offer on additional compensation from a listing broker.	\$375*
(Second Paragraph) 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.	\$375*	<b>SOP 16-19:</b> Placing for sale/lease sign on property without permission from seller/landlord.	\$375*
		<b>*IN ADDITION to fine, must complete the National Association of REALTORS® online REALTOR® Code of Ethics class.</b>	
		<b>**Fines noted above are for first violations and are payable to NRIBR.</b>	