

Keller Williams Realty Transaction Checklist

Property Address:			
KW Agent/Associate:			
Transaction Coordinator:			
Accepted Offer Date:	Estimated Close Date:	Sold Price:	Year Built:
SIDE REPRESENTED:	TRANSACTION TYPE:		
Seller	Traditional	Short Sale	
Buyer	Trust	Probate	
Dual Agency	Vacant Land	Lease	

File Submission: Guidelines & Requirements

This checklist is intended to guide you through the process. Every transaction is unique and may require additional forms. If you have any questions, ask your TL or Broker.

Please make sure you upload documents to the appropriate Compliance Event in Command.

Please ensure you upload to the correct file name in Command.

Each document should be uploaded individually.

If other side will not provide a document, please upload documentation of 3 attempted requests.

- If Agent/Associate or Client declines to provide requested document, please upload conversation log and submit blank form stating "Buyer / Seller / Agent refused to sign".

Audit & Submission Timeline

Compliance requests will be reviewed within 72 business hours of submission.

GROUP 1 - LISTING (Must be uploaded to Command within 48hrs of taking listing)

FORM	DESCRIPTION	INSTRUCTIONS
MLS	MLS Print Out	Initialed by Seller
RLA/TLA	Residential Listing Agreement	Include any modifications to listing agreement
SA	Seller Advisory	Initialed and signed by Seller
KLA	Keysafe Lockbox Addendum	If tenant occupied
SELM/SELI	Exclusion from MLS / Web	If MLS or internet exclusion requested by Seller <i>Signed copy to KWLJ within 24hrs</i>
TAL	Trust Advisory Listing	If Trust, must also use RCSD form
RCSD	Rep Capacity Signature Disclosure	Used in conjunction with TAL
SSIA	Short Sale Information Advisory	If Short Sale
REO L	REO Listing Advisory	If REO listing

GROUP 2 - CONTRACT (Must be uploaded to Command w/in 48hrs of fully executed contract)

FORM	DESCRIPTION	INSTRUCTIONS
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MLS	MLS Print Out	If buy side
RPA*	Residential Purchase Agreement	Must have confirmation of acceptance (or on final counteroffer) *RPA Package documents have an * and are highlighted in Red. These can be uploaded to Command as a single file for review.
BIA*	Buyer Inspection Advisory	Initialed/Signed by Agent/Associate
FHDA*	Fair Housing and Discrimination Advisory	All files
BRBC	Buyer Representation and Broker Compensation Agreement	If box 3G3 on the RPA is checked, then the BRBC and SPBB are mandatory, otherwise it is optional.
ABCD	Anticipated Broker Compensation Disclosure	If BRBC is used, must be used when writing offers.
BTA*	Buyer Transactional Advisory	
COBR	Cancellation of Buyer Representation	Only used with BRBC
NBIP	Notice of Broker Involved Properties	Only used with BRBC
SPBB	Sellers Payment to Buyer's Broker	If box 3G3 on the RPA is checked, this form is mandatory.
BMI	Buyer Material Issues	
ADM/CO	ADM/COUNTER/SCO/BCO/SMCO	If any
VOF/ PRE-APP.	Proof of Funds / Pre-Approval	Both needed if representing Seller
COP / SPRP	COP for Buyer / SPRP for Seller	*UPDATED FORM* If contingent upon finding replacement
HID	HUD Notice to Purchase	For FHA/VA , please also obtain an FVAC - lender initiated
FVAC	FHA/VA Amendatory Clause	For FHA/VA loans
RCJC	Rent Cap and Just Cause Addendum	If rental property with tenant lease conveyance: if tenant has signed as part of rental agreement, then obtain copy, and provide to buyer
SS LENDER APP.	All Approvals Signed by Seller	If short sale
SSA	Short Sale Addendum	If short sale
NODPA	Notice of Default Agreement	If short sale w/ owner occupied and investor purchaser
REO	REO Advisory	If REO
NSF	Non Standard Forms Advisory	When non-CAR forms are used
MU-PA	Mixed Use Purchase Addendum	If mixed use, add to RPA/RIPA
CSPQ	Commercial Seller Property	Call Broker for commercial compliance requirements.

GROUP 3 - ESCROW

FORM	DESCRIPTION	INSTRUCTIONS
PG 16 RPA	Acknowledged By Escrow	Completed by Escrow
ESCROW EMD	Receipt	From Escrow
EI'S	Escrow Instructions	Upload
PR	Preliminary Title Report	Reviewed and Initialed by Agent and Client on p1 (before CRs)
CI'S	Commission Instructions	Signed by Broker / Office Manager
KW CDA	Commission Disbursement Authority	Signed by Broker / Office Manager

GROUP 4 - DISCLOSURES

FORM	DESCRIPTION	INSTRUCTIONS
AD-1	Agency Disclosure	Listing Agent – Seller
AD-2*	Agency Disclosure	Buyer Agent – Buyer
AVID-1	Agent Visual Inspection Disc.	Listing Agent

AVID-2	Agent Visual Inspection Disc.	Buyer Agent
CCPA-1	CA Consumer Privacy Act Advisory	Seller (if dual agency, two CCPAs required)
CCPA-2*	CA Consumer Privacy Act Advisory	Buyer (if dual agency, two CCPAs required)
PRBS*	Possible Rep. > 1 Buyer or Seller	All files. In Command: Listing - Seller signed: upload to Listed; Buyer & Seller signed - upload to Under Contract
WFA*	Wire Fraud Advisory	All files. In Command: Listing - Seller signed: upload to Listed; Buyer & Seller signed - upload to Under Contract
AfBD	Affiliated Business Disclosure	KW Affiliations: Own Mortgage, Inc / Logic NHD, LLC / Cal Coast Escrow a Non Independent Escrow Company
AS, QS	FIRPTA Or Qual. Substitute	Fully executed AS / QS or must instruct Escrow to withhold or SDAR form BA-FIRPTA is required
AB	Buyers Aff (FIRPTA Compliance)	Signed by Buyer if <\$300k Fed / <\$100k CA
BIE	Buyers Inspection Elections	Signed by Buyer - must include all inspections Buyer will perform
LPD	Lead-Based Paint and Lead-Based Paint Hazards Disclosure	Acknowledgment and Addendum for Pre-1978 Housing Sales, Leases, or Rentals
FAAA*	Fair Appraisal Act Addendum	Required for all residential sales.
FHDS	Fire Hardening and Defensible Space Advisory and Disclosure	If TDS required & in a High Fire Zone
HOA RECEIPT	Signed Receipt for HOA Docs	If HOA
HW	Home Warranty Confirmation	Confirmation from home warranty company <i>if not waived on RPA</i>
MA	Mold Advisory	SDAR form
MCA	Market Conditions Advisory	Signed by all parties
SBSA	Statewide Buyer Seller Advisory	Signed by all parties
SPQ	Seller Property Questionnaire	If buy side and no SPQ provided by Seller: Buyer must initial/sign blank/crossed out form
SPT	Supplemental Property Tax Bill	Upload
TDS	Transfer Disclosure Statement	If exempt, cross out and have Buyer sign
WCMD	Water Conserving Plumbing Fixtures & Carbon Monoxide Detector Notice	All files
CR	Contingency Removal	If listing side
WATER CERT	Water Certificate Transfer Resp.	Required: San Diego, La Jolla, Del Mar, San Ysidro
WFDA	Wildfire Disaster Advisory	All Files
TA	Trust Advisory	If trust
ESD	Exempt Seller Disclosure	Required if Seller exempt from providing TDS
WHSD	Water Heater Smoke Detector	If TDS exempt
SSIA	Short Sale Information Advisory	If short sale

GROUP 5 - REPORTS / INSPECTIONS

FORM	DESCRIPTION	INSTRUCTIONS
ENV. HAZ. FORM	Receipt Of Environ. Hazard Booklet	Signed by Buyers
NHD RECEIPT	Natural Hazard Disc. Signature Page	Signed by Seller, Listing Agent and Buyers
NHD REPORT	Natural Hazard Disclosures Report	Full report must be uploaded
PHYSICAL INSP.	Copy of Physical Inspection Report	Or BIW
TERMITE REPORT	Termite Report	Per RPA - Initialed by Buyer or BIW
TERMITE	Termite Clearance	Per RPA, CO(s), WPA - Initialed by Buyer or BIW

CLEARANCE		<i>Must mark verbiage stating property is free of active infestation.</i>
RR / RRRR	Request for Repairs / Response To RR	If none, state "none" and have Buyer sign (Buyer side only)
BIW	Buyer Inspection Waiver	If no physical inspection or termite inspection
LADSD	Local Area Disclosures San Diego	Must use most current version
EARTHQUAKE	Questionnaire Completed And Signed	If built pre-1960

GROUP 6 - OFFERS WRITTEN / RECEIVED (Including Rejected Offers)

REPRESENTIN G	INSTRUCTIONS	
SELLER	Upload all other offers received & presented to Seller - must initial p. 8	
BUYER	Upload all prior offers written for that particular client	
<i>Rejected Offers</i>	<i>Keep ALL written offers for your Buyers and upload Keep ALL received offers REJECTED by your SELLER and upload</i>	

GROUP 7 - CLOSING

FORM	DESCRIPTION	INSTRUCTIONS
VP	Property Condition / Walk Thru	Signed by all parties
COMM.	Logs / Emails / Texts / Contact List	Keep accurate communication logs & contact lists
CLOSING/HUD-1	Final HUD-1/Closing Statement	Must be uploaded

ADDITIONAL DISCLOSURES:

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ADDITIONAL INSPECTIONS:

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ADDITIONAL REQUIRED RECEIPT(S) FOR ALL REPORTS:

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Resources

Command Tutorials

[Get Started with Compliance in Command \(Agents/Associates\)](#)

[Add Compliance Documents to an Opportunity](#)

[Submit Compliance Documents to Your Market Center](#)

Notes/FYIs

Natural Hazard Disclosures now include "Moderate Fire Hazard Areas," not just High or Severe.