

## COMPLIANCE AUDIT OF DEALERSHIP

Licensed Name	License No.	Audit No.	Audit Date(s)
Location Inspected		Location <input type="checkbox"/> Primary <input type="checkbox"/> Additional	
<b>Inspection Information</b>			
<b>Inventory</b>	YES	NO	Not Applicable/ Not Audited
1. Are completed FTC Buyer Guides displayed on used vehicles for sale? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are Federal Price Stickers displayed on new vehicles for sale? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are vehicle identification numbers legal and unaltered? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Ownership Documents</b>			
4. Are valid MCO's (assigned in the dealer's licensed name) present or floorplanned for new vehicles for sale? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are valid titles (assigned in the dealers licensed name) or consignment agreements present or floorplanned for used vehicles for sale? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Sales Folders</b>			
6. Are all required sales/lease disclosures present and properly completed? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are all other required forms present and properly completed? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Advertising</b>			
8. Advertised vehicles (by stock #) available for sale or sold within the last 24 hours? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Are advertised vehicles actually as described and/or illustrated in ad? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. If advertised vehicle was sold, was it sold for the advertised price or terms? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Dealer Plates/Temporary Permits</b>			
11. Are dealer plates accounted for and the required log maintained? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has only one temporary permit been issued for each vehicle sold? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Licenses</b>			
13. Is the dealer's license valid and conspicuously posted? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Are salesperson licenses conspicuously posted? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Are salespersons (checked at random) properly licensed? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Is a valid state sales tax license for the licensed entity and location conspicuously posted? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Does the dealer have evidence of liability insurance? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Are exams and affidavits on file and is grading accurate? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Location Requirements</b>			
19. Is there an office (with electrical service and restroom)? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20. Does the dealer have legal possession and exclusive use of the premises? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21. Is the dealer's signage in compliance and clearly visible to the major avenue of traffic? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Does the dealer have space to display one or more vehicles? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23. Does the dealer comply with minimum hours and posting requirements? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments</b>			
_____ _____ _____ _____			
<b>Audit Results:</b> The following results are based on vehicles, paperwork and other items actually inspected. Non-inspected items are not reflected in this audit.			
<input type="checkbox"/> In compliance		<input type="checkbox"/> Non compliance - requires further review/follow-up _____	
<input type="checkbox"/> Non compliance with educational contact		<input type="checkbox"/> Non compliance - referral to _____	
<input type="checkbox"/> Non compliance with request for advisory letter		<input type="checkbox"/> Other _____	
<input type="checkbox"/> Non compliance with request for Panel/Board review			
Compliance Officer/Investigator	Date	Dealer or Authorized Agent	Date
Reviewed and Closed By			Date