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|---|---|
| **From:** | Ron Whalen |
| **To:** | Garza, Deena (SAO) |
| **Subject:** | Email to Audit Supervisor, Business and Professions Division-Real Estate Unit |
| **Date:** | Saturday, July 29, 2023 12:07:44 PM |
| **Attachments:** | 3rd installment.odt<br>email communications with WA State Auditors office.eml.msg |

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External Email

Deena,

FYI is copy of an email I sent yesterday to Cathy McDonald, Audit Supervisor, Business and Professions Division-Real Estate Unit. Ron

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-------- Forwarded Message --------
**Subject:**Re: RE: Questions
**Date:**Fri, 28 Jul 2023 12:12:50 -0700
**From:**Ron Whalen <whaleeoni@gmail.com>
**To:**DOL INT ReAudit <REAUDIT@DOL.WA.GOV>

Cathy,

I'd like to revisit communications we had a couple of years ago (copied in red below). I recently met with the Washington State Auditors (WSA) office in Bellingham. The purpose of the meeting was to discuss issues I believe should be included in the WSA annual audit of San Juan County. One of the issues concerned what I believe could be an ethics violation of of a WA license realtor. Copy of that issue is attached. Therein I requested the WSA to initiate a request to Audit Department of Business and Professions Division- Real Estate Unit. I did this in reference to your comments about the common ways an investigation might start (underscored/bold type) below. The WSA declined my request citing the scope of authority under the state constitution or the RCW. I saw that request as relevant to the other issues I submitted for the San Juan County audit and view any findings of the RE commission audit as relevant to the other issues of misrepresentation. Those WSA communications are also attached. They concluded with;

*I was able to discuss this further with my Assistant Director of Local Audit and determined that it would not be appropriate for us to pass on such a concern to them.* In our discussion here at the office, you mentioned that if we couldn't/wouldn't that you would likely submit the concern to them yourself *and at this time* ***we would encourage you to do so.***

I wish to initiate an audit investigation myself. I'd like to discuss this with you. Please advise a phone number and a time we can discuss submitting an audit. Ron

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communications from 2019

On 7/16/2019 9:44 AM, DOL INT ReAudit wrote:

Ron,

**Investigations can start from multiple sources. The below is a list of the most common ways an investigation might start:**

**Complaint from a consumer or another licensee.**

**Concerns from a routine audit**

**Department being made aware of criminal activities**

**Judgements, verdicts or orders against the licensee or firm**

Typically all complaints are investigated.

Have a great day!

**Cathy McDonald**

Audit Supervisor
Business and Professions Division- Real Estate Unit
Washington State Department of Licensing
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cmcdonald@dol.wa.gov | dol.wa.gov

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**From:** Ron Whalen [mailto:whaleeoni@gmail.com]**)**

**Sent:** Monday, July 15, 2019 6:14 PM
**To:** DOL INT ReAudit <REAUDIT@DOL.WA.GOV>
**Subject:** Re: Questions

Cathy,

Thanks for the quick reply. Of course with your answers then just comes more questions;

. What's required to initiate an investigation?

On 7/15/2019 3:54 PM, DOL INT ReAudit wrote:

Ron,

All real estate records including trust account records are required to be retained for a minimum of 3 years.

Not being really sure what you mean by sequester, if you would like you can give me a call to clarify so I could properly answer your question.

All real estate records are required to be at the license location and available for immediate retrieval at the request of an Auditor or Investigator. That means print upon on request. Audits are unannounced visits.

Hope this helps.

Sincerely,

**Cathy McDonald**
Audit Supervisor
Business and Professions Division- Real Estate Unit
Washington State Department of Licensing
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cmcdonald@dol.wa.gov | dol.wa.gov

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**From:** Ron Whalen [mailto:whaleeoni@gmail.com]
**Sent:** Monday, July 15, 2019 8:29 AM
**To:** DOL INT RealEstate <REALESTATE@DOL.WA.GOV>
**Subject:** Questions

I have some questions relative to;

RCW 18.85.285 Transactions and record keeping—Trust accounts—Requirements.

1. How long must records be maintained?

2. Does the Washington State Real Estate Commissioner have the authority to sequester Realtor records?