

Chapter REB 3

PLEADING AND PRACTICE

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REB 3.01 Proceedings. (1) **GENERAL.** (a) *Place.* All hearings shall be held in the county wherein the applicant for a license, or the broker complained of, or whose salesman is complained of, has his place of business. The applicant, broker, or salesman may by written waiver consent to change of place for hearing and the board may in its discretion designate another place for hearing. All hearings other than those pursuant to section 136.09, Wis. Stats., shall be held at the office of the board, Milwaukee, Wisconsin, unless otherwise ordered by the board.

(b) *Public hearing.* All hearings conducted by the board or its duly authorized employees shall be open to the public, unless otherwise ordered by the presiding officer at the hearing, or specifically provided by statute.

(c) *Intervention.* Any person claiming interest in a dispute or controversy before the board may be made a party thereto upon written request and upon a satisfactory showing to the board of his interest in the controversy.

(d) *Record.* All proceedings at hearing in contested cases or in any other hearings where the board shall so determine (or any party so request) shall be taken down by a reporter, and the transcript thereof, together with all exhibits, shall be a part of the official records of such hearing. Any party desiring a copy of such transcript shall so indicate in advance and shall pay the proper cost in advance.

(e) *Hearing.* Any party to the proceedings shall have the right to appear at such hearing in person, by counsel or otherwise, to call, examine, and cross-examine witnesses and to introduce into the record, documentary or other evidence.

(2) **INSTITUTION.** (a) *By individual.* Proceedings going to the revocation or suspension of licenses shall be initiated on complaint verified by an individual or his representative. Proceedings requesting the promulgation, amendment, or repeal of any rules of the board shall be initiated on petition verified by an individual or his representative.

(b) *By board.* The board may in its discretion initiate proceedings to revoke, or suspend a license whenever an investigation by the board or its employees, discloses probable grounds therefor or in the event a complainant fails to proceed to initiate proceedings pursuant to chapter 136, Wis. Stats., by a formal complaint, provided that no hearing shall be initiated on the board's own motion until

a resolution duly authorizing the same has been recommended by the board.

(3) CONDUCT OF HEARING. (a) *Presiding officer.* The hearing shall be conducted and presided over by a member of the board, or such subordinate as may be designated to hear the matter by the president.

(b) *Pre-hearing conference.* 1. Purpose. In any matter pending before it, the board may direct any party or attorney for any party to appear before the member of the board or subordinate who has the matter in charge, to consider simplification of the issues; necessity or desirability of amendments to the pleadings; obtaining admission of fact or documents which will avoid unnecessary proof; and such other matters as may aid in the disposition of the matter.

2. Effect. The member of the board or subordinate having the matter in charge may make an order reciting the action taken at the pre-hearing conference, the amendments made to pleadings and the agreements made as to any of the matters considered, and limiting the issues to those not disposed of by admission or agreements. Such order shall control the subsequent course of the proceedings unless modified at the hearing to prevent manifest injustice. The member of the board or subordinate may dismiss the hearing upon a written stipulation executed by all the parties. The presiding officer shall be governed by the rules of the board and by the provisions of the statutes in the conduct of the hearing.

(c) *Depositions.* The board or any party may in an investigation or hearing, cause the deposition of witnesses or parties residing within or without the state to be taken in the manner prescribed by law.

(d) *Evidence.* The board shall not be bound by common law or statutory rules of evidence. All testimony having reasonable probative value shall be admitted, but immaterial, irrelevant, or unduly repetitious testimony shall be excluded. The rules of privilege recognized by law shall be given effect. Basic principles of relevancy, materiality and probative forces, as recognized in equitable proceedings, shall govern the proof of all questions of fact.

(e) *Oral statements and arguments.* Parties may make opening statements after appearances have been entered, and any party to the proceeding may make closing argument at the close of the hearing, which shall not be included in the stenographic report of the hearing, unless the presiding officer so directs. The board may, in its discretion, limit the amount of time for such opening statement or closing arguments.

(f) *Briefs.* The examiner who presides at the hearing shall indicate whether or not the board desires briefs filed, and if so, the date on or before which such briefs shall be submitted.

(g) *Closing of hearing.* A hearing is closed when briefs have been submitted and closing arguments, if any, completed. If no briefs are to be submitted, nor closing arguments made, the hearing is closed when testimony is closed and no further evidence shall be received provided that the board may, in its discretion, upon reasonable notice to all parties and their consent thereto, reopen the hearing.

(h) *Contempt.* Contemptuous conduct at a hearing shall be grounds for exclusion from the hearing.

(4) **MOTIONS.** (a) *General.* All motions made previous to or subsequent to a hearing shall be filed in writing with the board and shall state briefly the grounds for such motion and the relief applied for. The original shall be signed and a copy thereof served upon each of the other parties. Motions made at a hearing may be stated orally and shall be included in the stenographic report of the hearing.

(b) *Objection.* Any objection with respect to the conduct of the hearing including any objection to the introduction of evidence shall be stated orally together with a short statement of the grounds of such objection and shall be included in the stenographic report of the hearing. No such objection shall be deemed waived by further participation in the proceedings. Any objection with respect to the jurisdiction of the board shall be in writing and in conformity with the general rules pertaining to the motions.

(c) *Continuations.* The presiding officer with the consent of the board's members present may grant continuances and extension of adjournment and postponements.

(d) *Stipulations.* In any proceedings, the board may in its discretion accept oral stipulations of fact and the same may be introduced as evidence with respect to any issue. The board shall accept written stipulations of fact and the same may be introduced as evidence in respect to any issue, provided that the board shall be governed by the equitable rules of law pertaining to the admission of stipulations.

History: 1-2-56; am. (1) (d), Register, December, 1959, No. 48, eff. 1-1-60.

REB 3.02 Pleadings. (1) **PREPARATION.** All papers filed in connection with any hearing shall be either printed or typewritten and as far as practicable, shall be on paper 8½ inches wide, 13 inches long. Pleadings shall bear the name and mailing address of the party in said proceeding or his representative representing the same. All pleadings, notices, and other papers, shall be captioned: **BEFORE THE WISCONSIN REAL ESTATE BROKERS' BOARD.** In all pleadings, as far as practicable, each paragraph shall be separately numbered consecutively.

(2) **CONTENTS.** (a) *Complaint.* The complaint shall be verified and shall include: The full name and address of the person making the complaint, hereinafter referred to as the complainant; the full name and address of the person against whom the complaint is made, hereinafter referred to as the respondent; an allegation that respondent is either a licensed broker or salesman, and if the respondent is a salesman, then the full name and address of the broker employer; and a clear and concise statement of the facts constituting the alleged complaint including the time and place of occurrence of particular acts and the names of persons involved.

(b) *Answer.* The answer to a complaint shall be verified by the respondent or his representative and shall include a specific denial of each material allegation of the charges which are controverted by the respondent or a statement of any new material constituting a defense or mitigating the offense or matter charged, which the respondent wishes to have considered.

(3) ADMISSIONS. Every material allegation of the charges not controverted in the answer shall be taken as true, but new matter in the answer shall be deemed controverted without any reply.

(4) DEFAULT. The default of a party in answering or in appearing shall not preclude the board from hearing said material and taking such evidence as they shall determine necessary and proper in disposing of the matter.

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REB 3.03 Service of process. (1) **GENERAL.** Complaint, notice, order or other process of the board may be served as prescribed by section 325.03, Wis. Stats., for service of summons and subpoena, by any member or duly authorized employee of the board or may be served by registered mail addressed to any party at his last known address, or to his attorney of record, or to an address furnished by the person or concern to either the board or the secretary of state. Service may be proved by affidavit. Service by registered mail may be proved by the postoffice return receipt, in which case the time of service is the date borne by the receipt. Papers required to be filed with the board shall be mailed to the office of the board.

(2) **NON-RESIDENT.** Service of process and pleadings under section 136.12, Wis. Stats., may be made upon the board, any member thereof, the secretary or in the absence of the secretary from his office in Milwaukee then upon the secretarial stenographer in charge of the Milwaukee office.

(3) **NOTICE OF HEARING.** A copy of the complaint shall be served in the manner prescribed for the service of process upon the broker or salesman complained against by personal service or by mailing same to his last known business address, and in case the complaint is against a salesman, a copy of the complaint shall also be served upon the broker for whom he is acting. The board shall not, in the absence of consent by the parties concerned, set a date for hearing going to the revocation of a license until the person complained against has filed his answer with the board or until the 10 days allowed for the filing of such answer has expired. Matters shall be set for hearing as promptly as possible and within 30 days after the filing of the complaint. At least 10 days prior to the date of hearing, the board shall send written notice of the time and place of such hearing to the complainant and the persons complained against and to their respective attorneys or agents of record by mailing same to the last known address of such persons.

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(4) **SUBPOENAS.** Any member or duly authorized employee of the board may issue subpoenas for the attendance of any party or witness at a hearing. Subpoenas shall be in the form and contents pursuant to chapter 325, Wis. Stats. Respondents shall be provided with subpoenas on demand addressed to the board. Subpoenas shall be served in the manner prescribed by law or as enumerated herein for service of process.

(5) **ORDER OF DENIAL.** The order of denial shall include the broker's or salesman's name, the license applied for, a statement or finding giving the reason for denial; and the order made by the board. It shall be served in the manner prescribed herein for service of process by the board.

(6) **EXTENSION OF TIME.** The board, in its discretion, may grant an extension of time for the service of process.

REB 3.04 Fees. (1) **WITNESSES.** No witness subpoenaed at the instance of parties other than the board shall be entitled to compensation from the state for attendance or travel unless the board shall certify that his testimony was material to the matter investigated. Witnesses who appear by order of the board may obtain from the secretary proper voucher blanks for the payment of witness fees. Such fees are not payable in advance.

(2) **DEPOSITIONS.** Depositions taken by any party to the proceedings other than the board shall be paid for by said party. The board upon receiving such deposition as evidence may in its discretion apportion the cost of such deposition between the party and the board and pay such proportionate cost. Any deposition taken by or on behalf of the board shall be paid by the board and any party desiring a copy thereof shall pay the proper cost for such copy.

REB 3.05 Appeal. (1) **PETITION FOR RE-HEARING.** The board shall not grant a rehearing upon denial or revocation of a license, except upon formal application being filed with the board and favorable recommendation thereon by the investigator or secretary or board member who was present at the original hearing. Application for rehearing shall be made within 20 days after any determination or order of the board is made. Only one rehearing shall be granted. The application for rehearing shall set forth specifically and in adequate detail the particular and specific respects in which it is deemed that the determination made by the board is unlawful, unreasonable, improper, or unfair. Mere conclusions of law or general allegations without specific reference to the record in the proceeding will be rejected.

(2) **COURT REVIEW.** The respondent's right to appeal the decision of the board shall be governed by section 136.15, Wis. Stats. ✓