

## CHAPTER 440

## DEPARTMENT OF REGULATION AND LICENSING

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Cross-reference: See also [RL](#), Wis. adm. code.

## SUBCHAPTER I

### GENERAL PROVISIONS

**440.01 Definitions. (1)** In chs. 440 to 480, unless the context requires otherwise:

(ad) “Automated external defibrillator” means a defibrillator device to which all of the following apply:

1. It is approved for commercial distribution by the federal food and drug administration.

2. It is capable of recognizing the presence or absence of ventricular fibrillation or rapid ventricular tachycardia and of determining without intervention by the user of the device whether defibrillation should be performed.

3. After having determined that defibrillation should be performed, it is capable, either at the command of an operator or without intervention by an operator, of delivering an electrical shock to an individual.

(ag) “Defibrillation” means administering an electrical impulse to an individual’s heart in order to stop ventricular fibrillation or rapid ventricular tachycardia.

(aj) “Department” means the department of regulation and licensing.

(am) “Financial institution” has the meaning given in s. 705.01 (3).

(b) “Grant” means the substantive act of an examining board, section of an examining board, affiliated credentialing board or the department of approving the applicant for credentialing and the preparing, executing, signing or sealing of the credentialing.

(c) “Issue” means the procedural act of the department of transmitting the credential to the person who is credentialed.

(d) “Limit”, when used in reference to limiting a credential, means to impose conditions and requirements upon the holder of the credential, to restrict the scope of the holder’s practice, or both.

(dm) “Renewal date” means the date on which a credential expires and before which it must be renewed for the holder to maintain without interruption the rights, privileges and authority conferred by the credential.

(e) “Reprimand” means to publicly warn the holder of a credential.

(f) “Revoke”, when used in reference to revoking a credential, means to completely and absolutely terminate the credential and all rights, privileges and authority previously conferred by the credential.

(g) “Secretary” means the secretary of regulation and licensing.

(h) “Suspend”, when used in reference to suspending a credential, means to completely and absolutely withdraw and withhold for a period of time all rights, privileges and authority previously conferred by the credential.

(i) “Ventricular fibrillation” means a disturbance in the normal rhythm of the heart that is characterized by rapid, irregular, and ineffective twitching of the ventricles of the heart.

**(2)** In this subchapter:

(a) “Credential” means a license, permit, or certificate of certification or registration that is issued under chs. 440 to 480.

(b) “Credentialing” means the acts of an examining board, section of an examining board, affiliated credentialing board or the department that relate to granting, issuing, denying, limiting, suspending or revoking a credential.

(bm) “Credentialing board” means an examining board or an affiliated credentialing board in the department.

(c) “Examining board” includes the board of nursing.

(cs) “Minority group member” has the meaning given in s. 560.036 (1) (f).

(cv) “Psychotherapy” has the meaning given in s. 457.01 (8m).

(d) “Reciprocal credential” means a credential granted by an examining board, section of an examining board, affiliated credentialing board or the department to an applicant who holds a credential issued by a governmental authority in a jurisdiction outside this state authorizing or qualifying the applicant to perform acts that are substantially the same as those acts authorized by the credential granted by the examining board, section of the examining board, affiliated credentialing board or department.

**History:** 1977 c. 418; 1979 c. 34; 1979 c. 175 s. 53; 1979 c. 221 s. 2202 (45); 1991 a. 39; 1993 a. 102, 107; 1995 a. 233, 333; 1997 a. 35 s. 448; 1997 a. 237 ss. 532, 539m; 1999 a. 9 s. 2915; 2001 a. 80; 2007 a. 104, 143.

Procedural due process and the separation of functions in state occupational licensing agencies. 1974 WLR 833.

**440.02 Bonds.** Members of the staff of the department who are assigned by the secretary to collect moneys shall be bonded in an amount equal to the total receipts of the department for any month.

### 440.03 General duties and powers of the department.

**(1)** The department may promulgate rules defining uniform procedures to be used by the department, the real estate board, the real estate appraisers board, and all examining boards and affiliated credentialing boards attached to the department or an examining board, for receiving, filing and investigating complaints, for commencing disciplinary proceedings and for conducting hearings.

**(1m)** The department may promulgate rules specifying the number of business days within which the department or any examining board or affiliated credentialing board in the department must review and make a determination on an application for a permit, as defined in s. 560.41 (2), that is issued under chs. 440 to 480.

**(2)** The department may provide examination development services, consultation and technical assistance to other state agencies, federal agencies, counties, cities, villages, towns, national or regional organizations of state credentialing agencies, similar credentialing agencies in other states, national or regional accrediting associations, and nonprofit organizations. The department may charge a fee sufficient to reimburse the department for the costs of providing such services. In this subsection, “nonprofit organization” means a nonprofit corporation as defined in s. 181.0103 (17), and an organization exempt from tax under 26 USC 501.

**(3)** If the secretary reorganizes the department, no modification may be made in the powers and responsibilities of the examining boards or affiliated credentialing boards attached to the department or an examining board under s. 15.405 or 15.406.

**(3m)** The department may investigate complaints made against a person who has been issued a credential under chs. 440 to 480.

**(3q)** Notwithstanding sub. (3m), the department of regulation and licensing shall investigate any report that it receives under s. 146.40 (4r) (em).

**(4)** The department may issue subpoenas for the attendance of witnesses and the production of documents or other materials prior to the commencement of disciplinary proceedings.

**(5)** The department may investigate allegations of negligence by physicians licensed to practice medicine and surgery under ch. 448.

**(5m)** The department shall maintain a toll-free telephone number to receive reports of allegations of unprofessional conduct, negligence or misconduct involving a physician licensed under subch. II of ch. 448. The department shall publicize the toll-free telephone number and the investigative powers and duties of the department and the medical examining board as widely as possible in the state, including in hospitals, clinics, medical offices and other health care facilities.

**(6)** The department shall have access to any information contained in the reports filed with the medical examining board, an affiliated credentialing board attached to the medical examining

board and the board of nursing under s. 655.045, as created by 1985 Wisconsin Act 29, and s. 655.26.

(7) The department shall establish the style, content and format of all credentials and of all forms for applying for any credential issued or renewed under chs. 440 to 480. All forms shall include a place for the information required under sub. (11m) (a). Upon request of any person who holds a credential and payment of a \$10 fee, the department may issue a wall certificate signed by the governor.

(7m) The department may promulgate rules that establish procedures for submitting an application for a credential or credential renewal by electronic transmission. Any rules promulgated under this subsection shall specify procedures for complying with any requirement that a fee be submitted with the application. The rules may also waive any requirement in chs. 440 to 480 that an application submitted to the department, an examining board or an affiliated credentialing board be executed, verified, signed, sworn or made under oath, notwithstanding ss. 440.26 (2) (b), 440.42 (2) (intro.), 440.91 (2) (intro.), 443.06 (1) (a), 443.10 (2) (a), 445.04 (2), 445.08 (4), 445.095 (1) (a), 448.05 (7), 450.09 (1) (a), 452.10 (1) and 480.08 (2m).

(8) The department may promulgate rules requiring holders of certain credentials to do any of the following:

(a) Display the credential in a conspicuous place in the holder's office or place of practice or business, if the holder is not required by statute to do so.

(b) Post a notice in a conspicuous place in the holder's office or place of practice or business describing the procedures for filing a complaint against the holder.

(9) (a) Subject to pars. (b) and (c), the department shall, biennially, determine each fee for an initial credential for which no examination is required, for a reciprocal credential, and for a credential renewal by doing all of the following:

1. Recalculating the administrative and enforcement costs of the department that are attributable to the regulation of each occupation or business under chs. 440 to 480.

2. Not later than January 31 of each odd-numbered year, adjusting for the succeeding fiscal biennium each fee for an initial credential for which an examination is not required, for a reciprocal credential, and, subject to s. 440.08 (2) (a), for a credential renewal, if an adjustment is necessary to reflect the approximate administrative and enforcement costs of the department that are attributable to the regulation of the particular occupation or business during the period in which the initial or reciprocal credential or credential renewal is in effect and, for purposes of each fee for a credential renewal, to reflect an estimate of any additional moneys available for the department's general program operations as a result of appropriation transfers that have been or are estimated to be made under s. 20.165 (1) (i) during the fiscal biennium in progress at the time of the deadline for an adjustment under this subdivision or during the fiscal biennium beginning on the July 1 immediately following the deadline for an adjustment under this subdivision.

(b) The department may not recommend an initial credential fee that exceeds the amount of the fee that the department recommends for a renewal of the same credential, if no examination is required for the initial credential.

(c) The cemetery board may by rule impose a fee in addition to the renewal fee determined by the department under this subsection for renewal of a license granted under s. 440.91 (1).

(d) Not later than 14 days after completing proposed fee adjustments under par. (a), the department shall send a report detailing the proposed fee adjustments to the cochairpersons of the joint committee on finance. If, within 14 working days after the date that the department submits the report, the cochairpersons of the committee notify the secretary that the committee has scheduled a meeting for the purpose of reviewing the proposed adjustments, the department may not impose the fee adjustments until the committee approves the report. If the cochairpersons of

the committee do not notify the secretary, the department shall notify credential holders of the fee adjustments by posting the fee adjustments on the department's Internet Web site and in credential renewal notices sent to affected credential holders under s. 440.08 (1).

(11) The department shall cooperate with the department of health services to develop a program to use voluntary, uncompensated services of licensed or certified professionals to assist the department of health services in the evaluation of community mental health programs in exchange for continuing education credits for the professionals under ss. 448.40 (2) (e) and 455.065 (5).

(11m) (a) Each application form for a credential issued or renewed under chs. 440 to 480 shall provide a space for the department to require each of the following, other than an individual who does not have a social security number and who submits a statement made or subscribed under oath or affirmation as required under par. (am), to provide his or her social security number:

1. An applicant for an initial credential or credential renewal. If the applicant is not an individual, the department shall require the applicant to provide its federal employer identification number.

2. An applicant for reinstatement of an inactive license under s. 452.12 (6) (e).

(am) If an applicant specified in par. (a) 1. or 2. is an individual who does not have a social security number, the applicant shall submit a statement made or subscribed under oath that the applicant does not have a social security number. The form of the statement shall be prescribed by the department of children and families. A credential or license issued in reliance upon a false statement submitted under this paragraph is invalid.

(b) The department shall deny an application for an initial credential or deny an application for credential renewal or for reinstatement of an inactive license under s. 452.12 (6) (e) if any information required under par. (a) is not included in the application form or, in the case of an applicant who is an individual and who does not have a social security number, if the statement required under par. (am) is not included with the application form.

(c) The department of regulation and licensing may not disclose a social security number obtained under par. (a) to any person except the coordinated licensure information system under s. 441.50 (7); the department of children and families for purposes of administering s. 49.22; and, for a social security number obtained under par. (a) 1., the department of revenue for the purpose of requesting certifications under s. 73.0301 and administering state taxes.

(12m) The department of regulation and licensing shall cooperate with the departments of justice, children and families, and health services in developing and maintaining a computer linkup to provide access to information regarding the current status of a credential issued to any person by the department of regulation and licensing, including whether that credential has been restricted in any way.

(13) (a) The department may conduct an investigation to determine whether an applicant for a credential issued under chs. 440 to 480 satisfies any of the eligibility requirements specified for the credential, including whether the applicant does not have an arrest or conviction record. In conducting an investigation under this paragraph, the department may require an applicant to provide any information that is necessary for the investigation, except that, for an investigation of an arrest or conviction record, the department shall comply with the requirements of pars. (b) and (c).

(b) The department may investigate whether an applicant for or holder of any of the following credentials has been charged with or convicted of a crime only pursuant to rules promulgated by the department under this paragraph, except as provided in par. (c):

1. Accountant, certified public.

2. Acupuncturist.
3. Advanced practice nurse prescriber.
4. Aesthetician.
5. Aesthetics instructor.
- 5m. Substance abuse counselor, clinical supervisor, or prevention specialist.
6. Appraiser, real estate, certified general.
7. Appraiser, real estate, certified residential.
8. Appraiser, real estate, licensed.
9. Architect.
10. Athletic trainer.
11. Auctioneer.
12. Audiologist.
13. Barber or cosmetologist.
14. Barbering or cosmetology instructor.
15. Barbering or cosmetology manager.
16. Boxer.
17. Cemetery preneed seller.
18. Cemetery salesperson.
19. Chiropractor.
20. Dental hygienist.
21. Dentist.
22. Designer of engineering systems.
23. Dietitian.
24. Drug distributor.
25. Drug manufacturer.
26. Electrologist.
27. Electrology instructor.
28. Engineer, professional.
29. Fund-raising counsel.
30. Funeral director.
31. Hearing instrument specialist.
32. Home inspector.
33. Landscape architect.
34. Land surveyor.
35. Manicuring instructor.
36. Manicurist.
37. Marriage and family therapist.
38. Massage therapist or bodyworker.
39. Music, art, or dance therapist.
40. Nurse, licensed practical.
41. Nurse, registered.
42. Nurse–midwife.
43. Nursing home administrator.
44. Occupational therapist.
45. Occupational therapy assistant.
46. Optometrist.
47. Perfusionist.
48. Pharmacist.
49. Physical therapist.
50. Physical therapist assistant.
51. Physician.
52. Physician assistant.
53. Podiatrist.
54. Private detective.
55. Private practice school psychologist.
56. Private security person.
57. Professional counselor.
- 57m. Professional employer organization or professional employer group.

NOTE: Subd. 57m. is created eff. 7–1–09 by 2007 Wis. Act 189.

58. Professional fund-raiser.

59. Professional geologist.
60. Professional hydrologist.
61. Professional soil scientist.
62. Psychologist.
63. Real estate broker.
64. Real estate salesperson.
65. Registered interior designer.
66. Respiratory care practitioner.
- 66d. Sanitarian.
67. Social worker.
68. Social worker, advanced practice.
69. Social worker, independent.
70. Social worker, independent clinical.
71. Speech–language pathologist.
72. Time–share salesperson.
73. Veterinarian.
74. Veterinary technician.
75. Any other profession or occupation specified by law that is regulated by the department or a credentialing board.

(c) The department shall require an applicant for a private detective license or a private security permit under s. 440.26, and a person for whom the department conducts an investigation under par. (b), to be photographed and fingerprinted on 2 fingerprint cards, each bearing a complete set of the person's fingerprints. The department of justice may submit the fingerprint cards to the federal bureau of investigation for the purpose of verifying the identity of the persons fingerprinted and obtaining records of their criminal arrests and convictions.

(d) The department shall charge an applicant any fees, costs, or other expenses incurred in conducting any investigation under this subsection or s. 440.26.

**(14)** (a) 1. The department shall grant a certificate of registration as a music therapist to a person if all of the following apply:

a. The person is certified, registered or accredited as a music therapist by the Certification Board for Music Therapists, National Music Therapy Registry, American Music Therapy Association or by another national organization that certifies, registers or accredits music therapists.

b. The organization that certified, registered or accredited the person under subd. 1. a. is approved by the department.

c. The person pays the fee specified in s. 440.05 (1) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 1. a.

NOTE: Subdpar. c. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 1. a.

2. The department shall grant a certificate of registration as an art therapist to a person if all of the following apply:

a. The person is certified, registered or accredited as an art therapist by the Art Therapy Credentials Board or by another national organization that certifies, registers or accredits art therapists.

b. The organization that certified, registered or accredited the person under subd. 2. a. is approved by the department.

c. The person pays the fee specified in s. 440.05 (1) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 2. a.

NOTE: Subdpar. c. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 2. a.

3. The department shall grant a certificate of registration as a dance therapist to a person if all of the following apply:



a. The person is certified, registered or accredited as a dance therapist by the American Dance Therapy Association or by another national organization that certifies, registers or accredits dance therapists.

b. The organization that certified, registered or accredited the person under subd. 3. a. is approved by the department.

c. The person pays the fee specified in s. 440.05 (1) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 3. a.

**NOTE:** Subd. c. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 3. a.

(am) The department may promulgate rules that establish requirements for granting a license to practice psychotherapy to a person who is registered under par. (a). Rules promulgated under this paragraph shall establish requirements for obtaining such a license that are comparable to the requirements for obtaining a clinical social worker, marriage and family therapist, or professional counselor license under ch. 457. If the department promulgates rules under this paragraph, the department shall grant a license under this paragraph to a person registered under par. (a) who pays the fee specified in s. 440.05 (1) and provides evidence satisfactory to the department that he or she satisfies the requirements established in the rules.

**NOTE:** Par. (am) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(am) The department may promulgate rules that establish requirements for granting a license to practice psychotherapy to a person who is registered under par. (a). Rules promulgated under this paragraph shall establish requirements for obtaining such a license that are comparable to the requirements for obtaining a clinical social worker, marriage and family therapist, or professional counselor license under ch. 457. If the department promulgates rules under this paragraph, the department shall grant a license under this paragraph to a person registered under par. (a) who pays the initial credential fee determined by the department under s. 440.03 (9) (a) and provides evidence satisfactory to the department that he or she satisfies the requirements established in the rules.

(b) A person who is registered under par. (a) shall notify the department in writing within 30 days if an organization specified in par. (a) 1. a., 2. a. or 3. a. revokes the person's certification, registration, or accreditation specified in par. (a) 1. a., 2. a., or 3. a. The department shall revoke a certificate of registration granted under par. (a) if such an organization revokes such a certification, registration, or accreditation. If the department revokes the certificate of registration of a person who also holds a license granted under the rules promulgated under par. (am), the department shall also revoke the license.

(c) The renewal dates for certificates granted under par. (a) and licenses granted under par. (am) are specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee specified in s. 440.08 (2) (a) and evidence satisfactory to the department that the person's certification, registration, or accreditation specified in par. (a) 1. a., 2. a. or 3. a. has not been revoked.

**NOTE:** Par. (c) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(c) The renewal dates for certificates granted under par. (a) and licenses granted under par. (am) are specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a) and evidence satisfactory to the department that the person's certification, registration, or accreditation specified in par. (a) 1. a., 2. a., or 3. a. has not been revoked.

(d) The department shall promulgate rules that specify the services within the scope of practice of music, art, or dance therapy that a person who is registered under par. (a) is qualified to perform. The rules may not allow a person registered under par. (a) to perform psychotherapy unless the person is granted a license under the rules promulgated under par. (am).

**Cross Reference:** See also chs. RL 140, 141, and 142, Wis. adm. code.

(e) Subject to the rules promulgated under sub. (1), the department may make investigations and conduct hearings to determine whether a violation of this subsection or any rule promulgated under par. (d) has occurred and may reprimand a person who is

registered under par. (a) or holds a license granted under the rules promulgated under par. (am) or may deny, limit, suspend, or revoke a certificate of registration granted under par. (a) or a license granted under the rules promulgated under par. (am) if the department finds that the applicant or certificate or license holder has violated this subsection or any rule promulgated under par. (d).

(f) A person who is registered under par. (a) or holds a license granted under the rules promulgated under par. (am) who violates this subsection or any rule promulgated under par. (d) may be fined not more than \$200 or imprisoned for not more than 6 months or both.

(15) The department shall promulgate rules that establish the fees specified in ss. 440.05 (10) and 440.08 (2) (d).

(16) Annually, the department shall distribute the form developed by the medical and optometry examining boards under 2001 Wisconsin Act 16, section 9143 (3c), to all school districts and charter schools that offer kindergarten, to be used by pupils to provide evidence of eye examinations under s. 118.135.

**History:** 1977 c. 418 ss. 24, 792; 1979 c. 34, 221, 337; 1981 c. 94; 1985 a. 29, 340; 1989 a. 31, 340; 1991 a. 39; 1993 a. 16, 102, 107, 443, 445, 490, 491; 1995 a. 27 ss. 6472g, 6472j, 9126 (19); 1995 a. 233; 1997 a. 27, 75, 79; 1997 a. 191 ss. 312, 313, 318; 1997 a. 231, 237; 1997 a. 261 ss. 1 to 4, 7, 10, 13; 1997 a. 311; 1999 a. 9, 32; 2001 a. 16, 66, 80; 2003 a. 151; 2005 a. 25; 2007 a. 20 ss. 3449 to 3462, 9121 (6) (a); 2007 a. 153, 189.

**Cross Reference:** See also RL, Wis. adm. code.

Notwithstanding the absence of any state statute limiting eligibility for professional licenses or credentials to persons who are in the country legally, federal law is controlling so that the Department of Regulation and Licensing is prohibited from granting any professional license or credential to an alien who is present in the United States illegally. Because the department is prohibited from issuing professional licenses or credentials to illegal aliens, the department must put in place some procedure practically designed to reasonably insure that it does not issue licenses or credentials in violation of federal law. OAG 3–07.

**440.035 General duties of examining boards and affiliated credentialing boards.** Each examining board or affiliated credentialing board attached to the department or an examining board shall:

(1) Independently exercise its powers, duties and functions prescribed by law with regard to rule-making, credentialing and regulation.

(2) Be the supervising authority of all personnel, other than shared personnel, engaged in the review, investigation or handling of information regarding qualifications of applicants for credentials, examination questions and answers, accreditation, related investigations and disciplinary matters affecting persons who are credentialed by the examining board or affiliated credentialing board, or in the establishing of regulatory policy or the exercise of administrative discretion with regard to the qualifications or discipline of applicants or persons who are credentialed by the examining board, affiliated credentialing board or accreditation.

(3) Maintain, in conjunction with their operations, in central locations designated by the department, all records pertaining to the functions independently retained by them.

(4) Compile and keep current a register of the names and addresses of all persons who are credentialed to be retained by the department and which shall be available for public inspection during the times specified in s. 230.35 (4) (a). The department may also make the register available to the public by electronic transmission.

**History:** 1977 c. 418 ss. 25, 793, 929 (41); 1979 c. 32 s. 92 (1); 1979 c. 34; 1989 a. 56 s. 259; 1991 a. 39; 1993 a. 107; 1997 a. 27, 191, 237.

**440.04 Duties of the secretary.** The secretary shall:

(1) Centralize, at the capital and in such district offices as the operations of the department and the attached examining boards and affiliated credentialing boards require, the routine housekeeping functions required by the department, the examining boards and the affiliated credentialing boards.

(2) Provide the bookkeeping, payroll, accounting and personnel advisory services required by the department and the legal services, except for representation in court proceedings and the prep-

aration of formal legal opinions, required by the attached examining boards and affiliated credentialing boards.

(3) Control the allocation, disbursement and budgeting of the funds received by the examining boards and affiliated credentialing boards in connection with their credentialing and regulation.

(4) Employ, assign and reassign such staff as are required by the department and the attached examining boards and affiliated credentialing boards in the performance of their functions.

(5) With the advice of the examining boards or affiliated credentialing boards:

(a) Provide the department with such supplies, equipment, office space and meeting facilities as are required for the efficient operation of the department.

(b) Make all arrangements for meetings, hearings and examinations.

(c) Provide such other services as the examining boards or affiliated credentialing boards request.

(6) Appoint outside the classified service an administrator for any division established in the department and a director for any bureau established in the department as authorized in s. 230.08 (2). The secretary may assign any bureau director appointed in accordance with this subsection to serve concurrently as a bureau director and a division administrator.

(7) Unless otherwise specified in chs. 440 to 480, provide examination development, administration, research and evaluation services as required.

(9) Annually prepare and submit a report to the legislature under s. 13.172 (2) on the number of minority group members who applied for licensure as a certified public accountant under ch. 442, the number who passed the examination required for licensure as a certified public accountant and the number who were issued a certified public accountant license under ch. 442, during the preceding year.

**History:** 1977 c. 418 s. 26; 1979 c. 34; 1981 c. 20; 1985 a. 29; 1987 a. 27; 1989 a. 316; 1991 a. 39; 1993 a. 102, 107; 1995 a. 333; 2003 a. 270.

**440.042 Advisory committees.** (1) The secretary may appoint persons or advisory committees to advise the department and the boards, examining boards, and affiliated credentialing boards in the department on matters relating to the regulation of credential holders. The secretary shall appoint an advisory committee to advise the department on matters relating to making investigations, conducting hearings, and taking disciplinary action under s. 440.986. A person or an advisory committee member appointed under this subsection shall serve without compensation, but may be reimbursed for his or her actual and necessary expenses incurred in the performance of his or her duties.

(2) Any person who in good faith testifies before the department or any examining board, affiliated credentialing board or board in the department or otherwise provides the department or any examining board, affiliated credentialing board or board in the department with advice or information on a matter relating to the regulation of a person holding a credential is immune from civil liability for his or her acts or omissions in testifying or otherwise providing such advice or information. The good faith of any person specified in this subsection shall be presumed in any civil action and an allegation that such a person has not acted in good faith must be proven by clear and convincing evidence.

**History:** 1993 a. 16 ss. 3269, 3299; 1993 a. 107; 1997 a. 156; 1999 a. 32; 2005 a. 292.

**440.045 Disputes.** Any dispute between an examining board or an affiliated credentialing board and the secretary shall be arbitrated by the governor or the governor's designee after consultation with the disputants.

**History:** 1977 c. 418 s. 27; 1979 c. 34; 1993 a. 107.

The relationship between the department, cosmetology examining board, and governor is discussed. 70 Atty. Gen. 172.

**440.05 Standard fees.** The following standard fees apply to all initial credentials, except as provided in ss. 440.42, 440.43, 440.44, 440.51, 444.03, 444.11, 446.02 (2) (c), 447.04 (2) (c) 2., 449.17 (1m) (d), 449.18 (2) (d), and 450.071 (3):

(1) (a) Initial credential: \$53. Each applicant for an initial credential shall pay the initial credential fee to the department when the application materials for the initial credential are submitted to the department.

**NOTE:** Par. (a) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(a) Initial credential: An amount determined by the department under s. 440.03 (9) (a). Each applicant for an initial credential shall pay the initial credential fee to the department when the application materials for the initial credential are submitted to the department.

(b) Examination: If an examination is required, the applicant shall pay an examination fee to the department. If the department prepares, administers, or grades the examination, the fee to the department shall be an amount equal to the department's best estimate of the actual cost of preparing, administering, or grading the examination. If the department approves an examination prepared, administered, and graded by a test service provider, the fee to the department shall be an amount equal to the department's best estimate of the actual cost of approving the examination, including selecting, evaluating, and reviewing the examination.

(2) Reciprocal credential, including any credential described in s. 440.01 (2) (d) and any credential that permits temporary practice in this state in whole or in part because the person holds a credential in another jurisdiction: The applicable credential renewal fee under s. 440.08 (2) (a) and, if an examination is required, an examination fee under sub. (1).

**NOTE:** Sub. (2) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(2) Reciprocal credential, including any credential described in s. 440.01 (2) (d) and any credential that permits temporary practice in this state in whole or in part because the person holds a credential in another jurisdiction: The applicable credential renewal fee determined by the department under s. 440.03 (9) (a) and, if an examination is required, an examination fee under sub. (1).

(6) Apprentice, journeyman, student or other temporary credential, granted pending completion of education, apprenticeship or examination requirements: \$10.

(7) Replacement of lost credential, name or address change on credential, issuance of duplicate credential or transfer of credential: \$10.

(9) Endorsement of persons who are credentialed to other states: \$10.

(10) Expedited service: If an applicant for a credential requests that the department process an application on an expedited basis, the applicant shall pay a service fee that is equal to the department's best estimate of the cost of processing the application on an expedited basis, including the cost of providing counter or other special handling services.

**History:** 1977 c. 29, 418; 1979 c. 34; 1979 c. 175 s. 53; 1979 c. 221 s. 2202 (45); 1983 a. 27; 1985 a. 29; 1987 a. 264, 265, 329, 399, 403; 1989 a. 31, 229, 307, 316, 336, 340, 341, 359; 1991 a. 39, 269, 278, 315; 1993 a. 16; 1995 a. 27; 1997 a. 27, 96; 1999 a. 9; 2001 a. 16; 2003 a. 150, 270, 285, 327; 2005 a. 25, 297; 2007 a. 20.

**Cross Reference:** See also ch. RL 4, Wis. adm. code.

**440.055 Credit card payments.** (2) If the department permits the payment of a fee with use of a credit card, the department shall charge a credit card service charge for each transaction. The credit card service charge shall be in addition to the fee that is being paid with the credit card and shall be sufficient to pay the costs to the department for providing this service to persons who request it, including the cost of any services for which the department contracts under sub. (3).

(3) The department may contract for services relating to the payment of fees by credit card under this section.

**History:** 1995 a. 27; 1999 a. 9.

**440.06 Refunds and reexaminations.** The secretary may establish uniform procedures for refunds of fees paid under s.

440.05 or 440.08 and uniform procedures and fees for reexaminations under chs. 440 to 480.

**History:** 1977 c. 418; 1979 c. 175 s. 53; 1979 c. 221 s. 2202 (45); 1991 a. 39; 1993 a. 102.

**Cross Reference:** See also ch. RL 4, Wis. adm. code.

**440.07 Examination standards and services. (1)** In addition to the standards specified in chs. 440 to 480, examinations for credentials shall reasonably relate to the skills likely to be needed for an applicant to practice in this state at the time of examination and shall seek to determine the applicant's preparedness to exercise the skills.

**(2)** The department, examining board or affiliated credentialing board having authority to credential applicants may do any of the following:

(a) Prepare, administer and grade examinations.

(b) Approve, in whole or in part, an examination prepared, administered and graded by a test service provider.

**(3)** The department may charge a fee to an applicant for a credential who fails an examination required for the credential and requests a review of his or her examination results. The fee shall be based on the cost of the review. No fee may be charged for the review unless the amount of the fee or the procedure for determining the amount of the fee is specified in rules promulgated by the department.

**History:** 1987 a. 27; 1991 a. 39; 1993 a. 102, 107.

**Cross Reference:** See also ch. RL 4, Wis. adm. code.

Department of Regulation and Licensing test scores were subject to disclosure under the open records law. *Munroe v. Braatz*, 201 Wis. 2d 442, 549 N.W.2d 452 (Ct. App. 1996), 95–2557.

**440.08 Credential renewal. (1) NOTICE OF RENEWAL.** The department shall give a notice of renewal to each holder of a credential at least 30 days prior to the renewal date of the credential. Notice may be mailed to the last address provided to the department by the credential holder or may be given by electronic transmission. Failure to receive a notice of renewal is not a defense in any disciplinary proceeding against the holder or in any proceeding against the holder for practicing without a credential. Failure to receive a notice of renewal does not relieve the holder from the obligation to pay a penalty for late renewal under sub. (3).

**(2) RENEWAL DATES, FEES AND APPLICATIONS.** (a) Except as provided in par. (b) and in ss. 440.51, 442.04, 444.03, 444.11, 448.065, 447.04 (2) (c) 2., 449.17 (1m) (d), and 449.18 (2) (d), the renewal dates and renewal fees for credentials are as follows:

1. Accountant, certified public: December 15 of each odd-numbered year; \$59.

3. Accounting corporation or partnership: December 15 of each odd-numbered year; \$56.

4. Acupuncturist: July 1 of each odd-numbered year; \$70.

4m. Advanced practice nurse prescriber: October 1 of each even-numbered year; \$73.

5. Aesthetics instructor: April 1 of each odd-numbered year; \$87.

6. Aesthetics establishment: April 1 of each odd-numbered year; \$70.

7. Aesthetics instructor: April 1 of each odd-numbered year; \$70.

8. Aesthetics school: April 1 of each odd-numbered year; \$115.

9. Aesthetics specialty school: April 1 of each odd-numbered year; \$53.

9m. Substance abuse counselor, clinical supervisor, or prevention specialist: except as limited in s. 440.88 (4), March 1 of each odd-numbered year; \$70.

11. Appraiser, real estate, certified general: December 15 of each odd-numbered year; \$162.

11m. Appraiser, real estate, certified residential: December 15 of each odd-numbered year; \$167.

12. Appraiser, real estate, licensed: December 15 of each odd-numbered year; \$185.

13. Architect: August 1 of each even-numbered year; \$60.

14. Architectural or engineering firm, partnership or corporation: February 1 of each even-numbered year; \$70.

14d. Athlete agent: July 1 of each even-numbered year; \$53.

14f. Athletic trainer: July 1 of each even-numbered year; \$53.

14g. Auction company: December 15 of each even-numbered year; \$56.

14r. Auctioneer: December 15 of each even-numbered year; \$174.

15. Audiologist: February 1 of each odd-numbered year; \$106.

16. Barbering or cosmetology establishment: April 1 of each odd-numbered year; \$56.

17. Barbering or cosmetology instructor: April 1 of each odd-numbered year; \$91.

18. Barbering or cosmetology manager: April 1 of each odd-numbered year; \$71.

19. Barbering or cosmetology school: April 1 of each odd-numbered year; \$138.

20. Barber or cosmetologist: April 1 of each odd-numbered year; \$63.

21. Cemetery authority, licensed: December 15 of each even-numbered year; \$343, plus an amount to be determined by rule by the cemetery board.

21m. Cemetery authority, registered: December 15 of each even-numbered year; \$10.

22. Cemetery preneed seller: December 15 of each even-numbered year; \$61.

23. Cemetery salesperson: December 15 of each even-numbered year; \$90.

23m. Charitable organization: August 1 of each year; \$15.

24. Chiropractor: December 15 of each even-numbered year; \$168.

24m. Crematory authority: January 1 of each even-numbered year; \$53.

25. Dental hygienist: October 1 of each odd-numbered year; \$57.

26. Dentist: October 1 of each odd-numbered year; \$131.

26m. Dentist, faculty member: October 1 of each odd-numbered year; \$131.

27. Designer of engineering systems: February 1 of each even-numbered year; \$58.

27m. Dietitian: November 1 of each even-numbered year; \$56.

29. Drug manufacturer: June 1 of each even-numbered year; \$70.

30. Electrologist: April 1 of each odd-numbered year; \$76.

31. Electrology establishment: April 1 of each odd-numbered year; \$56.

32. Electrology instructor: April 1 of each odd-numbered year; \$86.

33. Electrology school: April 1 of each odd-numbered year; \$71.

34. Electrology specialty school: April 1 of each odd-numbered year; \$53.

35. Engineer, professional: August 1 of each even-numbered year; \$58.

35m. Fund-raising counsel: September 1 of each even-numbered year; \$53.

36. Funeral director: December 15 of each odd-numbered year; \$135.

37. Funeral establishment: June 1 of each odd-numbered year; \$56.

38. Hearing instrument specialist: February 1 of each odd-numbered year; \$106.



- 38g. Home inspector: December 15 of each even-numbered year; \$53.
- 38m. Landscape architect: August 1 of each even-numbered year; \$56.
39. Land surveyor: February 1 of each even-numbered year; \$77.
42. Manicuring establishment: April 1 of each odd-numbered year; \$53.
43. Manicuring instructor: April 1 of each odd-numbered year; \$53.
44. Manicuring school: April 1 of each odd-numbered year; \$118.
45. Manicuring specialty school: April 1 of each odd-numbered year; \$53.
46. Manicurist: April 1 of each odd-numbered year; \$133.
- 46m. Marriage and family therapist: March 1 of each odd-numbered year; \$84.
- 46r. Massage therapist or bodyworker: March 1 of each odd-numbered year; \$53.
- 46w. Midwife, licensed: July 1 of each even-numbered year; \$56.
48. Nurse, licensed practical: May 1 of each odd-numbered year; \$69.
49. Nurse, registered: March 1 of each even-numbered year; \$66.
50. Nurse-midwife: March 1 of each even-numbered year; \$70.
51. Nursing home administrator: July 1 of each even-numbered year; \$120.
52. Occupational therapist: November 1 of each odd-numbered year; \$59.
53. Occupational therapy assistant: November 1 of each odd-numbered year; \$62.
54. Optometrist: December 15 of each odd-numbered year; \$65.
- 54m. Perfusionist: November 1 of each odd-numbered year; \$56.
55. Pharmacist: June 1 of each even-numbered year; \$97.
56. Pharmacy, in-state and out-of-state: June 1 of each even-numbered year; \$56.
57. Physical therapist: November 1 of each odd-numbered year; \$62.
- 57m. Physical therapist assistant: November 1 of each odd-numbered year; \$44.
58. Physician: November 1 of each odd-numbered year; \$106.
59. Physician assistant: November 1 of each odd-numbered year; \$72.
60. Podiatrist: November 1 of each odd-numbered year; \$150.
61. Private detective: September 1 of each even-numbered year; \$101.
62. Private detective agency: September 1 of each odd-numbered year; \$53.
63. Private practice school psychologist: October 1 of each odd-numbered year; \$103.
- 63g. Private security person: September 1 of each even-numbered year; \$53.
- 63m. Professional counselor: March 1 of each odd-numbered year; \$76.
- 63t. Professional fund-raiser: September 1 of each even-numbered year; \$93.
- 63u. Professional geologist: August 1 of each even-numbered year; \$59.
- 63v. Professional geology, hydrology or soil science firm, partnership or corporation: August 1 of each even-numbered year; \$53.
- 63w. Professional hydrologist: August 1 of each even-numbered year; \$53.
- 63x. Professional soil scientist: August 1 of each even-numbered year; \$53.
64. Psychologist: October 1 of each odd-numbered year; \$157.
65. Real estate broker: December 15 of each even-numbered year; \$128.
66. Real estate business entity: December 15 of each even-numbered year; \$56.
67. Real estate salesperson: December 15 of each even-numbered year; \$83.
- 67m. Registered interior designer: August 1 of each even-numbered year; \$56.
- 67v. Registered music, art or dance therapist: October 1 of each odd-numbered year; \$53.
- 67x. Registered music, art, or dance therapist with psychotherapy license: October 1 of each odd-numbered year; \$53.
68. Respiratory care practitioner: November 1 of each odd-numbered year; \$65.
- 68b. Sanitarian: January 1 of each even-numbered year; \$53.
- 68d. Social worker: March 1 of each odd-numbered year; \$63.
- 68h. Social worker, advanced practice: March 1 of each odd-numbered year; \$70.
- 68p. Social worker, independent: March 1 of each odd-numbered year; \$58.
- 68t. Social worker, independent clinical: March 1 of each odd-numbered year; \$73.
- 68v. Speech-language pathologist: February 1 of each odd-numbered year; \$63.
69. Time-share salesperson: December 15 of each even-numbered year; \$119.
70. Veterinarian: December 15 of each odd-numbered year; \$105.
71. Veterinary technician: December 15 of each odd-numbered year; \$58.
72. Wholesale distributor of prescription drugs: June 1 of each even-numbered year; \$300, except that before June 1, 2010, the amount of the renewal fee is \$350.
- NOTE:** Par. (a) is affected eff. 7-1-09 by 2007 Wis. Acts 20 and 189 to read: (a) Except as provided in par. (b) and in ss. 440.51, 442.04, 444.03, 444.11, 448.065, 447.04 (2) (c) 2., 449.17 (1m) (d), 449.18 (2) (d), and 461.02 (3) (a) and (b) and (4), the renewal dates for credentials are as follows:
1. Accountant, certified public: December 15 of each odd-numbered year.
  3. Accounting corporation or partnership: December 15 of each odd-numbered year.
  4. Acupuncturist: July 1 of each odd-numbered year.
  - 4m. Advanced practice nurse prescriber: October 1 of each even-numbered year.
  5. Aesthetician: April 1 of each odd-numbered year.
  6. Aesthetics establishment: April 1 of each odd-numbered year.
  7. Aesthetics instructor: April 1 of each odd-numbered year.
  8. Aesthetics school: April 1 of each odd-numbered year.
  9. Aesthetics specialty school: April 1 of each odd-numbered year.
  - 9m. Substance abuse counselor, clinical supervisor, or prevention specialist: except as limited in s. 440.88 (4), March 1 of each odd-numbered year.
  11. Appraiser, real estate, certified general: December 15 of each odd-numbered year.
  - 11m. Appraiser, real estate, certified residential: December 15 of each odd-numbered year.
  12. Appraiser, real estate, licensed: December 15 of each odd-numbered year.
  13. Architect: August 1 of each even-numbered year.
  14. Architectural or engineering firm, partnership or corporation: February 1 of each even-numbered year.
  - 14d. Athlete agent: July 1 of each even-numbered year.
  - 14f. Athletic trainer: July 1 of each even-numbered year.
  - 14g. Auction company: December 15 of each even-numbered year.
  - 14r. Auctioneer: December 15 of each even-numbered year.
  15. Audiologist: February 1 of each odd-numbered year.



- 16. Barbering or cosmetology establishment: April 1 of each odd-numbered year.
- 17. Barbering or cosmetology instructor: April 1 of each odd-numbered year.
- 18. Barbering or cosmetology manager: April 1 of each odd-numbered year.
- 19. Barbering or cosmetology school: April 1 of each odd-numbered year.
- 20. Barber or cosmetologist: April 1 of each odd-numbered year.
- 21. Cemetery authority, licensed: December 15 of each even-numbered year.
- 21m. Cemetery authority, registered: December 15 of each even-numbered year; \$10.
- 22. Cemetery preneed seller: December 15 of each even-numbered year.
- 23. Cemetery salesperson: December 15 of each even-numbered year.
- 23m. Charitable organization: August 1 of each year.
- 24. Chiropractor: December 15 of each even-numbered year.
- 24m. Crematory authority: January 1 of each even-numbered year.
- 25. Dental hygienist: October 1 of each odd-numbered year.
- 26. Dentist: October 1 of each odd-numbered year.
- 26m. Dentist, faculty member: October 1 of each odd-numbered year.
- 27. Designer of engineering systems: February 1 of each even-numbered year.
- 27m. Dietitian: November 1 of each even-numbered year.
- 29. Drug manufacturer: June 1 of each even-numbered year.
- 30. Electrologist: April 1 of each odd-numbered year.
- 31. Electrology establishment: April 1 of each odd-numbered year.
- 32. Electrology instructor: April 1 of each odd-numbered year.
- 33. Electrology school: April 1 of each odd-numbered year.
- 34. Electrology specialty school: April 1 of each odd-numbered year.
- 35. Engineer, professional: August 1 of each even-numbered year.
- 35m. Fund-raising counsel: September 1 of each even-numbered year.
- 36. Funeral director: December 15 of each odd-numbered year.
- 37. Funeral establishment: June 1 of each odd-numbered year.
- 38. Hearing instrument specialist: February 1 of each odd-numbered year.
- 38g. Home inspector: December 15 of each even-numbered year.
- 38m. Landscape architect: August 1 of each even-numbered year.
- 39. Land surveyor: February 1 of each even-numbered year.
- 42. Manicuring establishment: April 1 of each odd-numbered year.
- 43. Manicuring instructor: April 1 of each odd-numbered year.
- 44. Manicuring school: April 1 of each odd-numbered year.
- 45. Manicuring specialty school: April 1 of each odd-numbered year.
- 46. Manicurist: April 1 of each odd-numbered year.
- 46m. Marriage and family therapist: March 1 of each odd-numbered year.
- 46r. Massage therapist or bodyworker: March 1 of each odd-numbered year.
- 46w. Midwife, licensed: July 1 of each even-numbered year.
- 48. Nurse, licensed practical: May 1 of each odd-numbered year.
- 49. Nurse, registered: March 1 of each even-numbered year.
- 50. Nurse-midwife: March 1 of each even-numbered year.
- 51. Nursing home administrator: July 1 of each even-numbered year.
- 52. Occupational therapist: November 1 of each odd-numbered year.
- 53. Occupational therapy assistant: November 1 of each odd-numbered year.
- 54. Optometrist: December 15 of each odd-numbered year.
- 54m. Perfusionist: November 1 of each odd-numbered year.
- 55. Pharmacist: June 1 of each even-numbered year.
- 56. Pharmacy, in-state and out-of-state: June 1 of each even-numbered year.
- 57. Physical therapist: November 1 of each odd-numbered year.
- 57m. Physical therapist assistant: November 1 of each odd-numbered year.
- 58. Physician: November 1 of each odd-numbered year.
- 59. Physician assistant: November 1 of each odd-numbered year.
- 60. Podiatrist: November 1 of each odd-numbered year.
- 61. Private detective: September 1 of each even-numbered year.
- 62. Private detective agency: September 1 of each odd-numbered year.
- 63. Private practice school psychologist: October 1 of each odd-numbered year.
- 63g. Private security person: September 1 of each even-numbered year.
- 63m. Professional counselor: March 1 of each odd-numbered year.
- 63t. Professional fund-raiser: September 1 of each even-numbered year.
- 63u. Professional geologist: August 1 of each even-numbered year.
- 63v. Professional geology, hydrology or soil science firm, partnership or corporation: August 1 of each even-numbered year.
- 63w. Professional hydrologist: August 1 of each even-numbered year.
- 63x. Professional soil scientist: August 1 of each even-numbered year.
- 64. Psychologist: October 1 of each odd-numbered year.
- 65. Real estate broker: December 15 of each even-numbered year.
- 66. Real estate business entity: December 15 of each even-numbered year.
- 67. Real estate salesperson: December 15 of each even-numbered year.
- 67m. Registered interior designer: August 1 of each even-numbered year.
- 67v. Registered music, art or dance therapist: October 1 of each odd-numbered year.
- 67x. Registered music, art, or dance therapist with psychotherapy license: October 1 of each odd-numbered year.
- 68. Respiratory care practitioner: November 1 of each odd-numbered year.
- 68b. Sanitarian: January 1 of each even-numbered year.
- 68d. Social worker: March 1 of each odd-numbered year.

- 68h. Social worker, advanced practice: March 1 of each odd-numbered year.
- 68p. Social worker, independent: March 1 of each odd-numbered year.
- 68t. Social worker, independent clinical: March 1 of each odd-numbered year.
- 68v. Speech-language pathologist: February 1 of each odd-numbered year.
- 69. Time-share salesperson: December 15 of each even-numbered year.
- 70. Veterinarian: December 15 of each odd-numbered year.
- 71. Veterinary technician: December 15 of each odd-numbered year.
- 72. Wholesale distributor of prescription drugs: June 1 of each even-numbered year.

(b) The renewal fee for an apprentice, journeyman, student or temporary credential is \$10. The renewal dates specified in par. (a) do not apply to apprentice, journeyman, student or temporary credentials.

(c) Except as provided in sub. (3), renewal applications shall include the applicable renewal fee specified in pars. (a) and (b).

NOTE: Par. (c) is amended eff. 7-1-09 by 2007 Wis. Act 20 to read:

(c) Except as provided in sub. (3), renewal applications shall include the applicable renewal fee as determined by the department under s. 440.03 (9) (a) or as specified in par. (b).

(d) If an applicant for credential renewal requests that the department process an application on an expedited basis, the applicant shall pay a service fee that is equal to the department's best estimate of the cost of processing the application on an expedited basis, including the cost of providing counter or other special handling services.

(3) LATE RENEWAL. (a) Except as provided in rules promulgated under par. (b), if the department does not receive an application to renew a credential before its renewal date, the holder of the credential may restore the credential by payment of the applicable renewal fee specified in sub. (2) (a) and by payment of a late renewal fee of \$25.

NOTE: Par. (a) is amended eff. 7-1-09 by 2007 Wis. Act 20 to read:

(a) Except as provided in rules promulgated under par. (b), if the department does not receive an application to renew a credential before its renewal date, the holder of the credential may restore the credential by payment of the applicable renewal fee determined by the department under s. 440.03 (9) (a) and by payment of a late renewal fee of \$25.

(b) The department or the interested examining board or affiliated credentialing board, as appropriate, may promulgate rules requiring the holder of a credential who fails to renew the credential within 5 years after its renewal date to complete requirements in order to restore the credential, in addition to the applicable requirements for renewal established under chs. 440 to 480, that the department, examining board or affiliated credentialing board determines is necessary to protect the public health, safety or welfare. The rules may not require the holder to complete educational requirements or pass examinations that are more extensive than the educational or examination requirements that must be completed in order to obtain an initial credential from the department, the examining board or the affiliated credentialing board.

(4) DENIAL OF CREDENTIAL RENEWAL. (a) *Generally.* If the department or the interested examining board or affiliated credentialing board, as appropriate, determines that an applicant for renewal has failed to comply with sub. (2) (c) or (3) or with any other applicable requirement for renewal established under chs. 440 to 480 or that the denial of an application for renewal of a credential is necessary to protect the public health, safety or welfare, the department, examining board or affiliated credentialing board may summarily deny the application for renewal by mailing to the holder of the credential a notice of denial that includes a statement of the facts or conduct that warrant the denial and a notice that the holder may, within 30 days after the date on which the notice of denial is mailed, file a written request with the department to have the denial reviewed at a hearing before the department, if the department issued the credential, or before the examining board or affiliated credentialing board that issued the credential.

(b) *Applicability.* This subsection does not apply to a denial of a credential renewal under s. 440.12 or 440.13 (2) (b).

History: 1991 a. 39 ss. 3305, 3313; 1991 a. 78, 160, 167, 269, 278, 315; 1993 a. 3, 16, 102, 105, 107, 443, 463, 465; 1993 a. 490 ss. 228 to 230, 274, 275; 1995 a. 27.

233, 321, 322, 461; 1997 a. 27, 75, 81, 96, 156, 191, 237, 261, 300; 1999 a. 9, 32; 2001 a. 16, 70, 74, 80, 89; 2003 a. 150, 270, 285, 327; 2005 a. 25, 31, 242, 292, 297, 407; 2007 a. 20, 174, 189.

**440.11 Change of name or address. (1)** An applicant for or recipient of a credential who changes his or her name or moves from the last address provided to the department shall notify the department of his or her new name or address within 30 days of the change in writing or in accordance with other notification procedures approved by the department.

(2) The department or any examining board, affiliated credentialing board or board in the department may serve any process, notice or demand on the holder of any credential by mailing it to the last-known address of the holder as indicated in the records of the department, examining board, affiliated credentialing board or board.

(3) Any person who fails to comply with sub. (1) shall be subject to a forfeiture of \$50.

**History:** 1987 a. 27; 1991 a. 39; 1993 a. 107; 1997 a. 27.

**440.12 Credential denial, nonrenewal and revocation based on tax delinquency.** Notwithstanding any other provision of chs. 440 to 480 relating to issuance or renewal of a credential, the department shall deny an application for an initial credential or credential renewal or revoke a credential if the department of revenue certifies under s. 73.0301 that the applicant or credential holder is liable for delinquent taxes, as defined in s. 73.0301 (1) (c).

**History:** 1997 a. 237.

**Cross Reference:** See also ch. RL 9, Wis. adm. code.

**440.121 Credential denial, nonrenewal, and revocation based on incompetency.** Notwithstanding any other provision of chs. 440 to 480 relating to issuance or renewal of a credential, the department shall deny an application for an initial credential or credential renewal or revoke a credential issued to an individual for whom the department receives a record of a declaration under s. 54.25 (2) (c) 1. d. stating that the individual is incompetent to apply for a credential under chs. 440 to 480.

**History:** 2005 a. 387.

**440.13 Delinquency in support payments; failure to comply with subpoena or warrant. (1)** In this section:

(b) “Memorandum of understanding” means a memorandum of understanding entered into by the department of regulation and licensing and the department of children and families under s. 49.857.

(c) “Support” has the meaning given in s. 49.857 (1) (g).

(2) Notwithstanding any other provision of chs. 440 to 480 relating to issuance of an initial credential or credential renewal, as provided in the memorandum of understanding:

(a) With respect to a credential granted by the department, the department shall restrict, limit or suspend a credential or deny an application for an initial credential or for reinstatement of an inactive license under s. 452.12 (6) (e) if the credential holder or applicant is delinquent in paying support or fails to comply, after appropriate notice, with a subpoena or warrant issued by the department of children and families or a county child support agency under s. 59.53 (5) and related to support or paternity proceedings.

(b) With respect to credential renewal, the department shall deny an application for renewal if the applicant is delinquent in paying support or fails to comply, after appropriate notice, with a subpoena or warrant issued by the department of children and families or a county child support agency under s. 59.53 (5) and related to support or paternity proceedings.

(c) With respect to a credential granted by a credentialing board, a credentialing board shall restrict, limit or suspend a credential held by a person or deny an application for an initial credential when directed to do so by the department.

**History:** 1997 a. 191, 237; 2007 a. 20.

**440.14 Nondisclosure of certain personal information.**

(1) In this section:

(a) “List” means information compiled or maintained by the department or a credentialing board that contains the personal identifiers of 10 or more individuals.

(b) “Personal identifier” means a name, social security number, telephone number, street address, post-office box number or 9-digit extended zip code.

(2) If a form that the department or a credentialing board requires an individual to complete in order to apply for a credential or credential renewal or to obtain a product or service from the department or the credentialing board requires the individual to provide any of the individual’s personal identifiers, the form shall include a place for the individual to declare that the individual’s personal identifiers obtained by the department or the credentialing board from the information on the form may not be disclosed on any list that the department or the credentialing board furnishes to another person.

(3) If the department or a credentialing board requires an individual to provide, by telephone or other electronic means, any of the individual’s personal identifiers in order to apply for a credential or credential renewal or to obtain a product or service from the department or a credentialing board, the department or the credentialing board shall ask the individual at the time that the individual provides the information if the individual wants to declare that the individual’s personal identifiers obtained by telephone or other electronic means may not be disclosed on any list that the department or the credentialing board furnishes to another person.

(4) The department or a credentialing board shall provide to an individual upon request a form that includes a place for the individual to declare that the individual’s personal identifiers obtained by the department or credentialing board may not be disclosed on any list that the department or credentialing board furnishes to another person.

(5) (a) The department or a credentialing board may not disclose on any list that it furnishes to another person a personal identifier of any individual who has made a declaration under sub. (2), (3) or (4).

(b) Paragraph (a) does not apply to a list that the department or a credentialing board furnishes to another state agency, a law enforcement agency or a federal governmental agency. In addition, par. (a) does not apply to a list that the department or the board of nursing furnishes to the coordinated licensure information system under s. 441.50 (7). A state agency that receives a list from the department or a credentialing board containing a personal identifier of any individual who has made a declaration under sub. (2), (3) or (4) may not disclose the personal identifier to any person other than a state agency, a law enforcement agency or a federal governmental agency.

**History:** 1999 a. 88; 2001 a. 66.

**440.20 Disciplinary proceedings. (1)** Any person may file a complaint before the department or any examining board, affiliated credentialing board or board in the department and request the department, examining board, affiliated credentialing board or board to commence disciplinary proceedings against any holder of a credential.

(3) The burden of proof in disciplinary proceedings before the department or any examining board, affiliated credentialing board or board in the department is a preponderance of the evidence.

(4) In addition to any grounds for discipline specified in chs. 440 to 480, the department or appropriate examining board, affiliated credentialing board or board in the department may reprimand the holder of a credential or deny, limit, suspend or revoke the credential of any person who intentionally violates s. 252.14 (2) or intentionally discloses the results of a blood test in violation of s. 252.15 (5) (a) or (5m).

**History:** 1977 c. 418; 1979 c. 34; 1985 a. 29; 1989 a. 31, 201; 1991 a. 39; 1993 a. 16, 27, 102, 107, 490.

The constitutionality of sub. (3) is upheld. *Gandhi v. Medical Examining Board*, 168 Wis. 2d 299, 483 N.W.2d 295 (Ct. App. 1992).

A hearing is not required for a complaint filed under this section. 68 Atty. Gen. 30.

The “preponderance of the evidence” burden of proof under sub. (3) does not violate the due process rights of a licensee. 75 Atty. Gen. 76.

**440.205 Administrative warnings.** If the department or a board, examining board or affiliated credentialing board in the department determines during an investigation that there is evidence of misconduct by a credential holder, the department, board, examining board or affiliated credentialing board may close the investigation by issuing an administrative warning to the credential holder. The department or a board, examining board or affiliated credentialing board may issue an administrative warning under this section only if the department or board, examining board or affiliated credentialing board determines that no further action is warranted because the complaint involves a first occurrence of a minor violation and the issuance of an administrative warning adequately protects the public by putting the credential holder on notice that any subsequent violation may result in disciplinary action. If an administrative warning is issued, the credential holder may obtain a review of the administrative warning through a personal appearance before the department, board, examining board or affiliated credentialing board that issued the administrative warning. Administrative warnings do not constitute an adjudication of guilt or the imposition of discipline and may not be used as evidence that the credential holder is guilty of the alleged misconduct. However, if a subsequent allegation of misconduct by the credential holder is received by the department or a board, examining board or affiliated credentialing board in the department, the matter relating to the issuance of the administrative warning may be reopened and disciplinary proceedings may be commenced on the matter, or the administrative warning may be used in any subsequent disciplinary proceeding as evidence that the credential holder had actual knowledge that the misconduct that was the basis for the administrative warning was contrary to law. The record that an administrative warning was issued shall be a public record. The contents of the administrative warning shall be private and confidential. The department shall promulgate rules establishing uniform procedures for the issuance and use of administrative warnings.

**History:** 1997 a. 139.

**Cross Reference:** See also ch. [RL 8](#), Wis. adm. code.

**440.21 Enforcement of laws requiring credential.**

(1) The department may conduct investigations, hold hearings and make findings as to whether a person has engaged in a practice or used a title without a credential required under chs. 440 to 480.

(2) If, after holding a public hearing, the department determines that a person has engaged in a practice or used a title without a credential required under chs. 440 to 480, the department may issue a special order enjoining the person from the continuation of the practice or use of the title.

(3) In lieu of holding a public hearing, if the department has reason to believe that a person has engaged in a practice or used a title without a credential required under chs. 440 to 480, the department may petition the circuit court for a temporary restraining order or an injunction as provided in ch. 813.

(4) (a) Any person who violates a special order issued under sub. (2) may be required to forfeit not more than \$10,000 for each offense. Each day of continued violation constitutes a separate offense. The attorney general or any district attorney may commence an action in the name of the state to recover a forfeiture under this paragraph.

(b) Any person who violates a temporary restraining order or an injunction issued by a court upon a petition under sub. (3) may be fined not less than \$25 nor more than \$5,000 or imprisoned for not more than one year in the county jail or both.

**History:** 1991 a. 39; 1993 a. 102.

**Cross Reference:** See also ch. [RL 3](#), Wis. adm. code.

**440.22 Assessment of costs. (1)** In this section, “costs of the proceeding” means the compensation and reasonable expenses of hearing examiners and of prosecuting attorneys for the department, examining board or affiliated credentialing board, a reasonable disbursement for the service of process or other papers, amounts actually paid out for certified copies of records in any public office, postage, telephoning, adverse examinations and depositions and copies, expert witness fees, witness fees and expenses, compensation and reasonable expenses of experts and investigators, and compensation and expenses of a reporter for recording and transcribing testimony.

(2) In any disciplinary proceeding against a holder of a credential in which the department or an examining board, affiliated credentialing board or board in the department orders suspension, limitation or revocation of the credential or reprimands the holder, the department, examining board, affiliated credentialing board or board may, in addition to imposing discipline, assess all or part of the costs of the proceeding against the holder. Costs assessed under this subsection are payable to the department. Interest shall accrue on costs assessed under this subsection at a rate of 12% per year beginning on the date that payment of the costs are due as ordered by the department, examining board, affiliated credentialing board or board. Upon the request of the department of regulation and licensing, the department of justice may commence an action to recover costs assessed under this subsection and any accrued interest.

(3) In addition to any other discipline imposed, if the department, examining board, affiliated credentialing board or board assesses costs of the proceeding to the holder of the credential under sub. (2), the department, examining board, affiliated credentialing board or board may not restore, renew or otherwise issue any credential to the holder until the holder has made payment to the department under sub. (2) in the full amount assessed, together with any accrued interest.

**History:** 1987 a. 27; 1991 a. 39; 1993 a. 107; 1997 a. 27.

The collection of costs assessed under this section may not be pursued in an independent action for a money judgment. The costs may be collected only as a condition of reinstatement of the disciplined practitioner’s credentials. *State v. Dunn*, 213 Wis. 2d 363, 570 N.W.2d 614 (Ct. App. 1997), 97–0167.

**440.23 Cancellation of credential; reinstatement.**

(1) If the holder of a credential pays a fee required under s. 440.05 (1) or (6), 440.08, 444.03, or 444.11 by check or debit or credit card and the check is not paid by the financial institution upon which the check is drawn or if the demand for payment under the debit or credit card transaction is not paid by the financial institution upon which demand is made, the department may cancel the credential on or after the 60th day after the department receives the notice from the financial institution, subject to sub. (2).

(2) At least 20 days before canceling a credential, the department shall mail a notice to the holder of the credential that informs the holder that the check or demand for payment under the debit or credit card transaction was not paid by the financial institution and that the holder’s credential may be canceled on the date determined under sub. (1) unless the holder does all of the following before that date:

(a) Pays the fee for which the unpaid check or demand for payment under the credit or debit card transaction was issued.

(b) If the fee paid under par. (a) is for renewal and the credential has expired, pays the applicable penalty for late renewal specified in s. 440.08 (3).

(c) Pays the charge for an unpaid draft established by the depository selection board under s. 20.905 (2).

(3) Nothing in sub. (1) or (2) prohibits the department from extending the date for cancellation to allow the holder additional time to comply with sub. (2) (a) to (c).

(4) A cancellation of a credential under this section completely terminates the credential and all rights, privileges and authority previously conferred by the credential.



(5) The department may reinstate a credential that has been canceled under this section only if the previous holder complies with sub. (2) (a) to (c) and pays a \$30 reinstatement fee.

**History:** 1989 a. 31; 1991 a. 39, 189, 269, 278, 315; 1993 a. 16; 1995 a. 27; 1999 a. 9; 2003 a. 270, 285, 327.

**440.25 Judicial review.** The department may seek judicial review under ch. 227 of any final disciplinary decision of the medical examining board or affiliated credentialing board attached to the medical examining board. The department shall be represented in such review proceedings by an attorney within the department. Upon request of the medical examining board or the interested affiliated credentialing board, the attorney general may represent the board. If the attorney general declines to represent the board, the board may retain special counsel which shall be paid for out of the appropriation under s. 20.165 (1) (g).

**History:** 1985 a. 340; 1993 a. 107.

## SUBCHAPTER II

### PRIVATE DETECTIVES, PRIVATE SECURITY PERSONS

**440.26 Private detectives, investigators and security personnel; licenses and permits.** (1) LICENSE OR PERMIT REQUIRED. (a) No person may do any of the following unless he or she has a license or permit issued under this section:

1. Advertise, solicit or engage in the business of operating a private detective agency.

2. Act as a private detective, investigator, special investigator or private security person.

3. Act as a supplier of private security personnel.

4. Solicit business or perform any other type of service or investigation as a private detective or private security person.

11. Receive any fees or compensation for acting as any person, engaging in any business or performing any service specified in subs. 1. to 4.

(b) The department may promulgate rules specifying activities in which a person may engage without obtaining a license or permit under this section.

(1m) DEFINITION. In this section:

(h) “Private security person” or “private security personnel” means any private police, guard or any person who stands watch for security purposes.

(2) TYPES OF LICENSES; APPLICATION; APPROVAL. (a) *Types of licenses.* The department may do any of the following:

1. Issue a private detective agency license to an individual, partnership, limited liability company or corporation that meets the qualifications specified under par. (c). The department may not issue a license under this subdivision unless the individual or each member of the partnership or limited liability company or officer or director of the corporation who is actually engaged in the work of a private detective is issued a private detective license under this section.

2. Issue a private detective license to an individual who meets the qualifications specified under par. (c) if the individual is an owner, co-owner or employee of a private detective agency required to be licensed under this section.

(b) *Applications.* The department shall prescribe forms for original and renewal applications. A partnership or limited liability company application shall be executed by all members of the partnership or limited liability company. A corporate application shall be executed by the secretary and the president or vice president and, in addition, in the case of a foreign corporation, by the registered agent.

(c) *Approval.* 1. Subject to subs. 2. and 3., the department shall prescribe, by rule, such qualifications as it deems appropriate, with due regard to investigative experience, special professional education and training and other factors bearing on professional competence.

2. An individual who has been convicted in this state or elsewhere of a felony and who has not been pardoned for that felony is not eligible for a license under this section.

3. The department may not issue a license under this section to an individual unless the individual is over 18 years of age.

4. The department, in considering applicants for license, shall seek the advice of the appropriate local law enforcement agency or governmental official, and conduct such further investigation, as it deems proper to determine the competence of the applicant.

(3) ISSUANCE OF LICENSES; FEES. Upon receipt and examination of an application executed under sub. (2), and after any investigation that it considers necessary, the department shall, if it determines that the applicant is qualified, grant the proper license upon payment of the fee specified in s. 440.05 (1). No license shall be issued for a longer period than 2 years, and the license of a private detective shall expire on the renewal date of the license of the private detective agency, even if the license of the private detective has not been in effect for a full 2 years. Renewals of the original licenses issued under this section shall be issued in accordance with renewal forms prescribed by the department and shall be accompanied by the fees specified in s. 440.08. The department may not renew a license unless the applicant provides evidence that the applicant has in force at the time of renewal the bond or liability policy specified in this section.

**NOTE:** Sub. (3) is amended eff. 7-1-09 by 2007 Wis. Act 20 to read:

(3) ISSUANCE OF LICENSES; FEES. Upon receipt and examination of an application executed under sub. (2), and after any investigation that it considers necessary, the department shall, if it determines that the applicant is qualified, grant the proper license upon payment of the initial credential fee determined by the department under s. 440.03 (9) (a). No license shall be issued for a longer period than 2 years, and the license of a private detective shall expire on the renewal date of the license of the private detective agency, even if the license of the private detective has not been in effect for a full 2 years. Renewals of the original licenses issued under this section shall be issued in accordance with renewal forms prescribed by the department and shall be accompanied by the applicable fees specified in s. 440.08 or determined by the department under s. 440.03 (9) (a). The department may not renew a license unless the applicant provides evidence that the applicant has in force at the time of renewal the bond or liability policy specified in this section.

(3m) RULES CONCERNING DANGEROUS WEAPONS. The department shall promulgate rules relating to the carrying of dangerous weapons by a person who holds a license or permit issued under this section or who is employed by a person licensed under this section. The rules shall meet the minimum requirements specified in 15 USC 5902 (b).

(4) BONDS OR LIABILITY POLICIES REQUIRED. No license may be issued under this section until a bond or liability policy, approved by the department, in the amount of \$100,000 if the applicant for the license is a private detective agency and includes all principals, partners, members or corporate officers, or in the amount of \$2,000 if the applicant is a private detective, has been executed and filed with the department. Such bonds or liability policies shall be furnished by an insurer authorized to do a surety business in this state in a form approved by the department.

(4m) REPORTING VIOLATIONS OF LAW. (a) *Definition.* In this subsection, “violation” means a violation of any state or local law that is punishable by a forfeiture.

(b) *Reporting requirement.* A person who holds a license or permit issued under this section and who is convicted of a felony or misdemeanor, or is found to have committed a violation, in this state or elsewhere, shall notify the department in writing of the date, place and nature of the conviction or finding within 48 hours after the entry of the judgment of conviction or the judgment finding that the person committed the violation. Notice may be made by mail and may be proven by showing proof of the date of mailing the notice.

(5) EXEMPTIONS. (a) The requirement that a person acting as a private detective, investigator or special investigator be licensed under this section does not apply to attorneys, law students or law school graduates employed by an attorney or persons directly employed by an attorney or firm of attorneys whose work as private detective, investigator or special investigator is limited to



such attorney or firm or to persons directly employed by an insurer or a retail credit rating establishment. A person who accepts employment with more than one law firm shall be subject to the licensing provisions of this section.

(b) The license requirements of this section do not apply to any person employed directly or indirectly by the state or by a municipality, as defined in s. 345.05 (1) (c), or to any employee of a railroad company under s. 192.47, or to any employee of a commercial establishment, while the person is acting within the scope of his or her employment and whether or not he or she is on the employer's premises.

(c) An employee of any agency that is licensed as a private detective agency under this section and that is doing business in this state as a supplier of uniformed private security personnel to patrol exclusively on the private property of industrial plants, business establishments, schools, colleges, hospitals, sports stadiums, exhibits and similar activities is exempt from the license requirements of this section while engaged in such employment, if all of the following apply:

1. The employee obtains a private security permit under this sub. (5m).
2. The private detective agency furnishes an up-to-date written record of its employees to the department. The record shall include the name, residence address, date of birth and a physical description of each employee together with a recent photograph and 2 fingerprint cards bearing a complete set of fingerprints of each employee.
3. The private detective agency notifies the department in writing within 5 days of any change in the information under subd. 2. regarding its employees, including the termination of employment of any person.

**(5m) PRIVATE SECURITY PERMIT.** (a) The department shall issue a private security permit to an individual if all of the following apply:

1. The individual submits an application for a private security permit to the department on a form provided by the department.
2. The individual has not been convicted in this state or elsewhere of a felony, unless he or she has been pardoned for that felony.
3. The individual provides evidence satisfactory to the department that he or she is an employee of a private detective agency described in sub. (5) (c).
4. The individual pays to the department the fee specified in s. 440.05 (1).

**NOTE:** Subd. 4. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

4. The individual pays to the department the initial credential fee determined by the department under s. 440.03 (9) (a).

(b) The renewal dates for permits issued under this subsection are specified under s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee specified in s. 440.08 (2) (a).

**NOTE:** Par. (b) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(b) The renewal dates for permits issued under this subsection are specified under s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a).

(c) A private security permit issued under this subsection authorizes the holder of the permit to engage in private security activities described in sub. (5) (c) for an employer described in sub. (5) (c) anywhere in this state.

(d) The department shall maintain a record pertaining to each applicant for a permit under this subsection and each holder of a permit issued under this subsection. The record shall include all information received by the department that is relevant to the approval or denial of the application, the issuance of the permit and any limitations, suspensions or revocations of the permit.

**(5r) TEMPORARY PRIVATE SECURITY PERMIT.** (a) The department shall issue a temporary private security permit to an individual at the request of the individual if all of the following apply:

1. The individual has completed an application and provided information required under sub. (5m) (a).
2. The department is not yet able to grant or deny the individual's application because a background check of the individual is not complete.

(b) 1. Except as provided in subd. 2., an individual who has been issued a temporary private security permit under par. (a) may act as a private security person in the same manner as an individual issued a private security permit under sub. (5m).

2. An individual may not carry a dangerous weapon while acting as a private security person under a temporary private security permit issued under par. (a).

(c) 1. Except as provided in subd. 2., a temporary private security permit issued under par. (a) is valid for 30 days.

2. A temporary private security permit issued under par. (a) shall expire on the date that the individual receives written notice from the department that a background check of the individual has been completed and that the department is granting or denying the individual's application for a private security permit, if that date occurs before the end of the period specified in subd. 1.

3. A temporary private security permit issued under par. (a) may not be renewed.

**(6) DISCIPLINE.** (a) Subject to the rules adopted under s. 440.03 (1), the department may reprimand the holder of a license or permit issued under this section or revoke, suspend or limit the license or permit of any person who has done any of the following:

1. Been convicted of a misdemeanor or found to have violated any state or local law that is punishable by a forfeiture, subject to ss. 111.321, 111.322 and 111.335.

2. Engaged in conduct reflecting adversely on his or her professional qualification.

3. Made a false statement in connection with any application for a license or permit under this section.

4. Violated this section or any rule promulgated or order issued under this section.

(b) Subject to the rules promulgated under s. 440.03 (1), the department shall revoke the license or permit of any person who has been convicted of a felony in this state or elsewhere and who has not been pardoned for that felony.

**(8) PENALTIES.** Any person, acting as a private detective, investigator or private security person, or who employs any person who solicits, advertises or performs services in this state as a private detective or private security person, or investigator or special investigator, without having procured the license or permit required by this section, may be fined not less than \$100 nor more than \$500 or imprisoned not less than 3 months nor more than 6 months or both. Any agency having an employee, owner, officer or agent convicted of the above offense may have its agency license revoked or suspended by the department. Any person convicted of the above offense shall be ineligible for a license for one year.

**History:** 1971 c. 213 s. 5; 1977 c. 29, 125, 418; 1979 c. 102 ss. 45, 236 (3); 1981 c. 334 s. 25 (1); 1981 c. 380, 391; 1983 a. 189 s. 329 (31); 1983 a. 273; 1985 a. 128, 135; 1991 a. 39, 269; 1993 a. 112, 213; 1995 a. 461; 1997 a. 27; 1999 a. 32; 2007 a. 20.

**Cross-reference:** See s. 134.57 for requirement that all settlements made with an employee or fiduciary agent, where the detective is to be paid a percentage of the amount recovered, must be submitted to the circuit court for approval.

**Cross Reference:** See also chs. RL 30, 31, 32, 33, 34, and 35, Wis. adm. code. Police officers working as private security persons are subject to the same licensing provisions in this section as are non-police officers. 69 Atty. Gen. 226.

This section does not apply to qualified arson experts or other expert witnesses merely because they may investigate matters relating to their field of expertise. 76 Atty. Gen. 35.

### SUBCHAPTER III

#### SOLICITATION OF FUNDS FOR CHARITABLE PURPOSES

**440.41 Definitions.** In this subchapter:

- (1) "Charitable organization" means any of the following:

(a) An organization that is described in section 501 (c) (3) of the internal revenue code and that is exempt from taxation under section 501 (a) of the internal revenue code.

(b) A person who is or purports to be established for a charitable purpose.

**(2)** “Charitable purpose” means any of the following:

(a) A purpose described in section 501 (c) (3) of the internal revenue code.

(b) A benevolent, educational, philanthropic, humane, scientific, patriotic, social welfare or advocacy, public health, environmental conservation, civic or other eleemosynary objective.

**(3)** “Charitable sales promotion” means an advertising or sales campaign, conducted by a person who is regularly and primarily engaged in trade or commerce for profit other than in connection with soliciting, which represents that the purchase or use of goods or services offered will benefit, in whole or in part, a charitable organization or charitable purpose.

**(4)** “Commercial coventurer” means a person who is regularly and primarily engaged in trade or commerce for profit other than in connection with soliciting and who conducts a charitable sales promotion.

**(5)** “Contribution” means a grant or pledge of money, credit, property or other thing of any kind or value, except used clothing or household goods, to a charitable organization or for a charitable purpose. “Contribution” does not include income from bingo or raffles conducted under ch. 563, a government grant, or a bona fide fee, due or assessment paid by a member of a charitable organization, except that, if initial membership is conferred solely as consideration for making a grant or pledge of money in response to a solicitation, the grant or pledge of money is a contribution.

**(6)** “Fund-raising counsel” means a person who, for compensation, plans, manages, advises, consults or prepares material for, or with respect to, solicitation in this state for a charitable organization, but who does not solicit and who does not employ, engage or provide any person who is paid to solicit contributions. “Fund-raising counsel” does not include an attorney, investment counselor or employee of a financial institution who advises a person to make a contribution or a bona fide employee, volunteer or salaried officer of a charitable organization.

**(7)** “Professional fund-raiser” means a person who, for compensation, solicits in this state or employs, engages or provides, directly or indirectly, another person who is paid to solicit in this state. “Professional fund-raiser” does not include an attorney, investment counselor or employee of a financial institution who advises a person to make a charitable contribution, a bona fide employee, volunteer, wholly owned subsidiary or salaried officer of a charitable organization, an employee of a temporary help agency who is placed with a charitable organization or a bona fide employee of a person who employs another person to solicit in this state.

**(8)** “Solicit” means to request, directly or indirectly, a contribution and to state or imply that the contribution will be used for a charitable purpose or will benefit a charitable organization.

**(9)** “Solicitation” means the act or practice of soliciting, whether or not the person soliciting receives any contribution. “Solicitation” includes any of the following methods of requesting or securing a contribution:

(a) An oral or written request.

(b) An announcement to the news media or by radio, television, telephone, telegraph or other transmission of images or information concerning the request for contributions by or for a charitable organization or charitable purpose.

(c) The distribution or posting of a handbill, written advertisement or other publication which directly or by implication seeks contributions.

(d) The sale of, or offer or attempt to sell, a membership or an advertisement, advertising space, book, card, tag, coupon, device, magazine, merchandise, subscription, flower, ticket, candy,

cookie or other tangible item in connection with any of the following:

1. A request for financial support for a charitable organization or charitable purpose.

2. The use of or reference to the name of a charitable organization as a reason for making a purchase.

3. A statement that all or a part of the proceeds from the sale will be used for a charitable purpose or will benefit a charitable organization.

**(10)** “Unpaid solicitor” means a person who solicits in this state and who is not a professional fund-raiser.

History: 1991 a. 278, 315; 1999 a. 9.

#### 440.42 Regulation of charitable organizations.

**(1)** ANNUAL REGISTRATION REQUIREMENT. (a) Except as provided in sub. (5), no charitable organization may solicit in this state or have contributions solicited in this state on its behalf unless it is registered with the department under this subsection.

(b) The department shall promptly register a charitable organization that does all of the following:

1. Submits to the department an application for registration on a form provided by the department.

2. Submits to the department a registration statement that complies with sub. (2).

2g. Submits to the department an annual financial report for the most recently completed fiscal year of the charitable organization, if the charitable organization received contributions in excess of \$5,000 but not more than \$100,000 during its most recently completed fiscal year.

2r. Submits to the department an audited financial statement for the most recently completed fiscal year of the charitable organization, if the charitable organization received contributions in excess of \$100,000 during its most recently completed fiscal year.

3. Pays to the department a \$15 registration fee.

(c) The department shall issue a certificate of registration to each charitable organization that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the expiration date specified in s. 440.08 (2) (a) and shall include a registration statement that complies with sub. (2) and the renewal fee specified in s. 440.08 (2) (a).

NOTE: Par. (c) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(c) The department shall issue a certificate of registration to each charitable organization that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the expiration date specified in s. 440.08 (2) (a) and shall include a registration statement that complies with sub. (2) and the renewal fee determined by the department under s. 440.03 (9) (a).

(d) Within 20 days after receiving an application for registration or for renewal of a registration under this subsection, the department shall notify the charitable organization of any deficiencies in the application, registration statement or fee payment.

**(2)** REGISTRATION STATEMENT. Except as provided in sub. (3), a registration statement required under sub. (1) shall be signed and sworn to by 2 authorized officers, including the chief fiscal officer, of the charitable organization and shall include all of the following:

(a) The name of the charitable organization and the purpose for which it is organized.

(b) The address and telephone number of the charitable organization and the address and telephone number of any offices in this state or, if the charitable organization does not have an address, the name, address and telephone number of the person having custody of its financial records.

(c) The names and the addresses of the officers, directors and trustees and the principal salaried employees of the charitable organization.

(f) A statement of whether the charitable organization is authorized by any other governmental authority to solicit.

(g) A statement of whether the charitable organization has ever had its authority to solicit denied, suspended, revoked or enjoined by a court or other governmental authority.

(h) The charitable purpose or purposes for which contributions will be used.

(i) The name or names under which it intends to solicit.

(j) The names of the persons within the charitable organization who have final responsibility for the custody of contributions.

(k) The names of the persons within the charitable organization who are responsible for the final distribution of contributions.

(L) If the registration statement is submitted to the department with an initial application for registration, all of the following:

1. A copy of the charitable organization's charter, articles of organization, agreement of association, instrument of trust, constitution or other organizational instrument and bylaws.

2. A statement of the place where and the date when the charitable organization was legally established, the form of its organization and whether it has tax-exempt status.

3. Copies of any federal or state tax exemption determination letters received by the charitable organization.

(m) Any other information required by the department.

**(3) ANNUAL FINANCIAL REPORT; AUDIT REQUIREMENT.** (a) Except as provided in pars. (am), (b), and (bm), and in rules promulgated under sub. (8), a charitable organization that received contributions in excess of \$5,000 during its most recently completed fiscal year shall file with the department an annual financial report for the charitable organization's most recently completed fiscal year. The department shall prescribe the form of the report and shall prescribe standards for its completion. The annual financial report shall be filed within 6 months after the end of that fiscal year and shall include all of the following:

1. A balance sheet.

2. A statement of support, revenue, expenses and changes in fund balance.

3. A statement of functional expenses that, at a minimum, is divided into categories of management and general, program services and fund-raising.

4. Other financial information that the department requires.

(am) A charitable organization that operates solely within one community and that received less than \$50,000 in contributions during its most recently completed fiscal year may apply to the department for an exemption from the reporting requirement under par. (a). The department shall promulgate rules specifying the criteria for eligibility for an exemption under this paragraph, and shall grant exemptions from the reporting requirement under par. (a) to a charitable organization that satisfies those criteria.

(b) Except as provided in rules promulgated under sub. (8), if a charitable organization received contributions in excess of \$400,000 during its most recently completed fiscal year, the charitable organization shall file with the department, in lieu of a report under par. (a), an audited financial statement for the charitable organization's most recently completed fiscal year, prepared in accordance with generally accepted accounting principles, and the opinion of an independent certified public accountant on the financial statement. The audited financial statement shall be filed within 6 months after the end of that fiscal year.

(bm) Except as provided in rules promulgated under sub. (8), if a charitable organization received contributions in excess of \$200,000 but less than \$400,000 during its most recently completed fiscal year, the charitable organization shall file with the department, in lieu of a report under par. (a), a financial statement for the charitable organization's most recently completed fiscal year, prepared in accordance with generally accepted accounting principles, and a review of the financial statement by an independent certified public accountant. The financial statement shall be filed within 6 months after the end of that fiscal year.

(c) Except as provided in rules promulgated under sub. (8), a charitable organization that is registered under sub. (1) and that

received \$5,000 or less in contributions during its most recently completed fiscal year shall file with the department an affidavit that the charitable organization received \$5,000 or less in contributions during that fiscal year. The affidavit shall be signed and sworn to by 2 authorized officers, including the chief fiscal officer, of the charitable organization and shall be filed within 6 months after the end of that fiscal year.

**(4) ACCEPTANCE OF OTHER INFORMATION.** The department may accept information filed by a charitable organization with another state or with the federal government instead of the information required to be included in a registration statement under sub. (2) if the information filed with the other state or with the federal government is substantially similar to the information required under this section.

**(5) EXEMPTIONS FROM REGISTRATION.** (a) The following are not required to register under sub. (1):

1. A person that is exempt from filing a federal annual information return under section 6033 (a) (2) (A) (i) and (iii) and (C) (i) of the internal revenue code.

2. A candidate for national, state or local office or a political party or other committee or group required to file financial information with the federal elections commission or a filing officer under s. 11.02.

3. Except as provided in par. (b) and in rules promulgated under sub. (8), a charitable organization which does not intend to raise or receive contributions in excess of \$5,000 during a fiscal year, if all of its functions, including solicitation, are performed by persons who are unpaid for their services and if no part of its assets or income inures to the benefit of, or is paid to, any officer or member of the charitable organization.

3m. A fraternal, civic, benevolent, patriotic or social organization that solicits contributions solely from its membership.

4. A veterans organization incorporated under ch. 188 or chartered under federal law or the service foundation of such an organization recognized in the bylaws of the organization.

5. A nonprofit, postsecondary educational institution accredited by a regional accrediting agency or association approved under 20 USC 1099b, or an educational institution and its authorized charitable foundations which solicit contributions only from its students and their families, alumni, faculty, trustees, corporations, foundations and patients.

6. A person soliciting contributions for the relief of a named individual if all contributions, without any deductions, are given to the named individual.

7. A state agency, as defined in s. 20.001 (1), or a local governmental unit, as defined in s. 605.01 (1).

8. A private school, as defined in s. 118.165.

(b) Except as provided in rules promulgated under sub. (8), if a charitable organization would otherwise be exempt under par. (a) 3., but it raises or receives more than \$5,000 in contributions, it shall, within 30 days after the date on which its contributions exceed \$5,000, register as required under sub. (1).

**(6) REPORTING TAX EXEMPTION OR ORGANIZATIONAL CHANGES.** If a charitable organization registered under sub. (1) receives any federal or state tax exemption determination letter or adopts any amendment to its organizational instrument or bylaws after it is registered under sub. (1), within 30 days after receipt of the letter or adoption of the amendment, the charitable organization shall file with the department a copy of the letter or amendment.

**(7) CONTRACTS.** (a) Before a fund-raising counsel performs any material services for a charitable organization that is required to be registered under sub. (1), the charitable organization shall contract in writing with the fund-raising counsel, except as provided in par. (c). Requirements for the contract are specified in s. 440.43 (3).

(b) Before a professional fund-raiser performs any material services for a charitable organization that is required to be registered under sub. (1), the charitable organization shall contract in



writing with the professional fund-raiser. Requirements for the contract are specified in s. 440.44 (4).

(c) Paragraph (a) does not apply if the fund-raising counsel is exempt under s. 440.43 (6) from contracting in writing with the charitable organization.

**(8) CONTRIBUTION LIMITS.** The department may promulgate rules that adjust the threshold amounts in subs. (3) (a), (b), (bm), and (c) and (5) (a) 3. and (b) to account for inflation.

**History:** 1991 a. 278; 1995 a. 27, 277; 2007 a. 20, 213.

**Cross Reference:** See also ch. RL 5, Wis. adm. code.

Complying With the Charitable Solicitations Act. Sweet & Petershack. Wis. Law. Oct. 1993.

**440.43 Regulation of fund-raising counsel. (1) REGISTRATION REQUIREMENT.** (a) Except as provided in sub. (6), no fund-raising counsel may at any time have custody of contributions from a solicitation for a charitable organization that is required to be registered under s. 440.42 (1) unless the fund-raising counsel is registered with the department under this subsection.

(b) The department shall promptly register a fund-raising counsel that does all of the following:

1. Submits to the department an application for registration on a form provided by the department.
2. Files with the department a bond that is approved under sub. (2).
3. Pays to the department a \$50 registration fee.

(c) The department shall issue a certificate of registration to each fund-raising counsel that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the date specified in s. 440.08 (2) (a) and shall include the renewal fee specified in s. 440.08 (2) (a) and evidence satisfactory to the department that the fund-raising counsel maintains a bond that is approved under sub. (2).

**NOTE:** Par. (c) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(c) The department shall issue a certificate of registration to each fund-raising counsel that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the date specified in s. 440.08 (2) (a) and shall include the renewal fee determined by the department under s. 440.03 (9) (a) and evidence satisfactory to the department that the fund-raising counsel maintains a bond that is approved under sub. (2).

(d) Within 20 days after receiving an application for registration or for renewal of a registration under this subsection, the department shall notify the fund-raising counsel of any deficiencies in the application, bond or fee payment.

**(2) BOND.** At the time of applying for registration under sub. (1), the fund-raising counsel shall file with and have approved by the department a bond, in which the fund-raising counsel is the principal obligor, in the sum of \$20,000, with one or more responsible sureties whose liability in the aggregate as sureties at least equals that sum. The fund-raising counsel shall maintain the bond in effect as long as the registration is in effect. The bond, which may be in the form of a rider to a larger blanket liability bond, shall run to the state and to any person who may have a cause of action against the principal obligor of the bond for any liabilities resulting from the obligor's conduct of any activities as a fund-raising counsel or arising out of a violation of this subchapter or the rules promulgated under this subchapter.

**(3) CONTRACT.** Except as provided in sub. (6), before a fund-raising counsel performs any material services for a charitable organization that is required to be registered under s. 440.42 (1), the charitable organization and the fund-raising counsel shall contract in writing and the fund-raising counsel shall file the contract with the department. The contract shall contain information that will enable the department to identify the services that the fund-raising counsel is to provide, including whether the fund-raising counsel will at any time have custody of contributions.

**(4) ACCOUNTS; DEPOSITS; RECORD KEEPING.** (a) Within 90 days after services under a contract required under sub. (3) are com-

pleted, and on the anniversary of the signing of a contract lasting more than one year, the fund-raising counsel shall account in writing to the charitable organization with which the fund-raising counsel has contracted for all contributions received and expenses incurred under the contract. The charitable organization shall keep the accounting for at least 3 years after the date on which services under the contract are completed and make it available to the department upon request.

(b) The fund-raising counsel shall deposit, in its entirety, a contribution of money received by the fund-raising counsel in an account at a financial institution within 5 days after its receipt. The account shall be in the name of the charitable organization with which the fund-raising counsel has contracted. The charitable organization shall have sole control of all withdrawals from the account.

(c) The fund-raising counsel shall keep for the duration of a contract, and for not less than 3 years after its completion, all of the following:

1. A record of all contributions at any time in the custody of the fund-raising counsel, including the name and address of each contributor and the date and amount of the contribution.
2. A record of the location and account number of each financial institution account in which the fund-raising counsel deposits contributions.

**(5) DEPARTMENT DISCLOSURE.** The department shall not disclose information under sub. (4) (c) 1. except to the extent necessary for investigative or law enforcement purposes and except that the department may, if requested under s. 49.22 (2m), disclose information regarding the name, address or employer of or financial information related to an individual to the department of children and families or a county child support agency under s. 59.53 (5).

**(6) EXCEPTIONS.** This section does not apply to a fund-raising counsel who does not intend to earn more than \$1,000 per year as a fund-raising counsel, except that a fund-raising counsel who does not intend to earn more than \$1,000 but does earn more than \$1,000 in a year shall, beginning 30 days after actually earning more than \$1,000 in a year, comply with sub. (3) and, if the fund-raising counsel at any time has custody of contributions for a charitable organization that is required to be registered under s. 440.42 (1), register under sub. (1).

**History:** 1991 a. 278; 1995 a. 27; 1997 a. 191; 2007 a. 20.

#### 440.44 Regulation of professional fund-raisers.

**(1) REGISTRATION REQUIREMENT.** (a) No professional fund-raiser may solicit in this state for a charitable organization that is required to be registered under s. 440.42 (1) unless the professional fund-raiser is registered under this subsection.

(b) The department shall promptly register a professional fund-raiser that does all of the following:

1. Submits to the department an application for registration on a form provided by the department.
2. Files with the department a bond that is approved under sub. (2).
3. Pays to the department a \$50 registration fee.

(c) The department shall issue a certificate of registration to each professional fund-raiser that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the date specified in s. 440.08 (2) (a) and shall include the renewal fee specified in s. 440.08 (2) (a) and evidence satisfactory to the department that the professional fund-raiser maintains a bond that is approved under sub. (2).

**NOTE:** Par. (c) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(c) The department shall issue a certificate of registration to each professional fund-raiser that is registered under this subsection. Renewal applications shall be submitted to the department, on a form provided by the department, on or before the date specified in s. 440.08 (2) (a) and shall include the renewal fee determined by the department under s. 440.03 (9) (a) and evidence satisfactory to the department that the professional fund-raiser maintains a bond that is approved under sub. (2).



(d) Within 20 days after receiving an application for registration or for renewal of a registration under this subsection, the department shall notify the professional fund–raiser of any deficiencies in the application, bond or fee payment.

**(2) BOND.** At the time of applying for registration under sub. (1), a professional fund–raiser shall file with and have approved by the department a bond, in which the professional fund–raiser is the principal obligor, in the sum of \$20,000, with one or more responsible sureties whose liability in the aggregate as sureties at least equals that sum. If a professional fund–raiser does not at any time have custody of any contributions, the bond shall be in the sum of \$5,000. The professional fund–raiser shall maintain the bond in effect as long as the registration is in effect. The bond, which may be in the form of a rider to a larger blanket liability bond, shall run to the state and to any person who may have a cause of action against the principal obligor of the bond for any liabilities resulting from the obligor’s conduct of any activities as a professional fund–raiser or arising out of a violation of this subchapter or the rules promulgated under this subchapter.

**(3) SOLICITATION NOTICE.** Before performing services under a contract with a charitable organization that is required to be registered under s. 440.42 (1), a professional fund–raiser shall file with the department a completed solicitation notice in the form prescribed by the department. The charitable organization on whose behalf the professional fund–raiser is acting shall file with the department a written confirmation that the solicitation notice and any accompanying material are true and complete to the best of its knowledge. The solicitation notice shall include all of the following:

- (a) A copy of the contract described in sub. (4).
- (b) The projected period during which the soliciting will take place.
- (c) The location and telephone number from which the soliciting will be conducted.
- (d) The name and residence address of each person responsible for directing and supervising the conduct of services under the contract described in sub. (4).
- (e) A statement of whether the professional fund–raiser will at any time have custody of contributions.
- (f) A full and fair description of the charitable purpose for which solicitations will be made.

**(4) CONTRACT.** (a) A professional fund–raiser and a charitable organization that is required to be registered under s. 440.42 (1) shall enter into a written contract that clearly states the respective obligations of the professional fund–raiser and the charitable organization and states the amount of gross revenue, raised under the contract, that the charitable organization will receive. The amount of the gross revenue that the charitable organization will receive shall be expressed as a fixed percentage of the gross revenue or as an estimated percentage of the gross revenue, as provided in pars. (b) to (d).

(b) If the compensation received by the professional fund–raiser is contingent upon the amount of revenue received, the amount of the gross revenue that the charitable organization will receive shall be expressed as a fixed percentage of the gross revenue.

(c) If the compensation received by the professional fund–raiser is not contingent upon the amount of revenue received, the amount of the gross revenue that the charitable organization will receive shall be expressed as an estimated percentage of the gross revenue. The estimate shall be reasonable and the contract shall clearly disclose the assumptions upon which the estimate is based. The assumptions shall be based upon all of the relevant facts known to the professional fund–raiser regarding the solicitation to be conducted and upon the past performance of solicitations conducted by the professional fund–raiser. If the amount of the gross revenue that the charitable organization will receive is expressed as an estimated percentage of the gross revenue, the contract shall also guarantee that the charitable organization will receive a per-

centage of the gross revenue that is not less than the estimated percentage minus 10% of the gross revenue.

(d) The estimated or fixed percentage of the gross revenue that the charitable organization will receive excludes any amount which the charitable organization is to pay under the contract as expenses, including the cost of merchandise or services sold or events staged.

**(5) REPORTING CHANGES.** Within 7 days after any material change occurs in information filed with the department under this section, the professional fund–raiser shall report the change, in writing, to the department.

**(7) FINANCIAL REPORT.** Within 90 days after completing services under a contract described in sub. (4), and on the anniversary of the signing of a contract described under sub. (4) lasting more than one year, the professional fund–raiser shall, if the charitable organization is required to be registered under s. 440.42 (1), account in writing to the charitable organization for all contributions received and all expenses incurred under the contract. The charitable organization shall retain the accounting for at least 3 years and make it available to the department upon request.

**(8) DEPOSITING CONTRIBUTIONS.** A professional fund–raiser shall deposit, in its entirety, a contribution of money received by the professional fund–raiser, on behalf of a charitable organization required to be registered under s. 440.42 (1), in an account at a financial institution within 5 days after its receipt. The account shall be in the name of the charitable organization. The charitable organization shall have sole control of all withdrawals from the account.

**(9) RECORD KEEPING.** (a) During the period in which a contract described in sub. (4) is in effect and for not less than 3 years after its completion, a professional fund–raiser shall retain all of the following records:

1. The name and, if known to the professional fund–raiser, the address of each person contributing and the date and amount of the contribution.
2. The name and residence address of each employee, agent or other person involved in the solicitation.
3. A record of all contributions that are at any time in the custody of the professional fund–raiser.
4. A record of all expenses incurred by the professional fund–raiser which the charitable organization is required to pay.
5. A record of the location and account number of each financial institution account in which the professional fund–raiser deposits contributions.

(b) If under a contract described in sub. (4) the professional fund–raiser sells tickets to an event and represents that the tickets will be donated to an organization for use by others, the professional fund–raiser shall retain for the period specified in par. (a) all of the following:

1. The name and address of the donors and the number of tickets donated by each donor.
2. The name and address of the organization receiving donated tickets and the number of donated tickets received by the organization.

(c) The professional fund–raiser shall make all records described in this subsection available for inspection by the department upon request.

**(10) NONDISCLOSURE.** The department may not disclose information under sub. (9) (a) 1. to any person except to the extent necessary for investigative or law enforcement purposes and except that the department may, if requested under s. 49.22 (2m), disclose information regarding the name, address or employer of or financial information related to an individual to the department of children and families or a county child support agency under s. 59.53 (5).

**History:** 1991 a. 278, 315; 1995 a. 27; 1997 a. 191; 2007 a. 20.

**440.45 Charitable sales promotions.** If a commercial coventurer conducts a charitable sales promotion on behalf of a

charitable organization that is required to be registered under s. 440.42 (1), the commercial coventurer shall disclose in each advertisement for the charitable sales promotion the dollar amount, or percentage of price, per unit of goods or services purchased or used that will benefit the charitable organization or charitable purpose. If the actual dollar amount or percentage cannot reasonably be determined on the date of the advertisement, the commercial coventurer shall disclose an estimated dollar amount or percentage. The estimate shall be based upon all of the relevant facts known to the commercial coventurer and to the charitable organization regarding the charitable sales promotion.

**History:** 1991 a. 278.

#### 440.455 Solicitation disclosure requirements.

(1) Except as provided in sub. (4), if a professional fund-raiser or unpaid solicitor solicits a contribution for a charitable organization that is required to be registered under s. 440.42 (1), the professional fund-raiser or unpaid solicitor shall, at the time of the solicitation or with a written confirmation of a solicitation, prior to accepting a contribution, make the following disclosures to the person from whom the contribution is solicited:

(a) The name and location of the charitable organization.

(b) That a financial statement of the charitable organization disclosing assets, liabilities, fund balances, revenue and expenses for the preceding fiscal year will be provided to the person upon request.

(c) A clear description of the primary charitable purpose for which the solicitation is made.

(2) The financial statement under sub. (1) (b) shall, at a minimum, divide expenses into categories of management and general, program services and fund-raising. If the charitable organization is required to file an annual financial report under s. 440.42 (3) (a), the financial statement under sub. (1) (b) shall be consistent with that annual financial report.

(3) In addition to the requirements under subs. (1) and (2), except as provided in sub. (4), if a professional fund-raiser solicits on behalf of a charitable organization that is required to be registered under s. 440.42 (1), all of the following apply:

(a) If a solicitation is made orally, including a solicitation made by telephone, the professional fund-raiser shall send a written confirmation, within 5 days after the solicitation, to each person contributing or pledging to contribute. The written confirmation shall include a clear and conspicuous disclosure of the name of the professional fund-raiser and that the solicitation is being conducted by a professional fund-raiser.

(b) The professional fund-raiser may not represent that any part of the contributions received by the professional fund-raiser will be given or donated to a charitable organization unless that charitable organization has, prior to the solicitation, consented in writing, signed by 2 authorized officers, directors or trustees of that other charitable organization, to the use of its name.

(c) The professional fund-raiser may not represent that tickets to an event will be donated to an organization for use by others unless all of the following conditions are met:

1. The professional fund-raiser has a commitment, in writing, from the organization stating that the organization will accept donated tickets and specifying the number of donated tickets that the organization is willing to accept.

2. The professional fund-raiser solicits contributions for donated tickets from no more contributors than the number of tickets that the organization has agreed to accept under subd. 1.

(4) A charitable organization that operates solely within one community and that received less than \$50,000 in contributions during its most recently completed fiscal year may apply to the department for an exemption from the disclosure requirements under this section. The department shall promulgate rules specifying the criteria for eligibility for an exemption under this paragraph, and shall grant exemptions from the disclosure require-

ments under this section to a charitable organization that satisfies those criteria.

**History:** 1991 a. 278, 315.

**Cross Reference:** See also ch. RL 5, Wis. adm. code.

**440.46 Prohibited acts. (1)** No person may, in the planning, management or execution of a solicitation or charitable sales promotion, do any of the following:

(a) Use an unfair or deceptive act or practice.

(b) Imply that a contribution is for or on behalf of a charitable organization or use any emblem, device or printed matter belonging to or associated with a charitable organization without first being authorized in writing to do so by the charitable organization.

(c) Use a name, symbol or statement so closely related or similar to that used by another charitable organization that the use of the name, symbol or statement would tend to confuse or mislead a person being solicited.

(d) Represent or lead anyone in any manner to believe that the person on whose behalf a solicitation or charitable sales promotion is being conducted is a charitable organization or that the proceeds of the solicitation or charitable sales promotion will be used for charitable purposes if that is not the fact.

(e) Lead anyone in any manner to believe that another person sponsors, endorses or approves a solicitation or charitable sales promotion if the other person has not sponsored, endorsed or approved the solicitation or charitable sales promotion in writing.

(f) Use the fact of registration to lead any person to believe that the registration constitutes an endorsement or approval by the state.

(g) Represent directly or by implication that a charitable organization will receive a fixed or estimated percentage of the gross revenue raised greater than that established under s. 440.44 (4).

(2) In deciding whether an act or practice is unfair or deceptive within the meaning of sub. (1) (a), definitions, standards and interpretations relating to unfair or deceptive acts or practices under chs. 421 to 427 apply.

**History:** 1991 a. 278.

**440.47 Administration and investigations. (1)** PUBLIC RECORDS. Except as provided in ss. 440.43 (5) and 440.44 (10), registration statements, applications, reports, contracts and agreements of charitable organizations, fund-raising counsel, professional fund-raisers and unpaid solicitors and all other documents and information retained by or filed with the department under this subchapter are available for inspection or copying under s. 19.35 (1).

(2) FISCAL RECORDS; INSPECTION; RETENTION. All charitable organizations, fund-raising counsels, professional fund-raisers and unpaid solicitors shall keep true records concerning activities regulated by this subchapter in a form that will enable them accurately to provide the information required by this subchapter. Upon demand, those records shall be made available to the department for inspection and copying. The records shall be retained by the charitable organization, fund-raising counsel, professional fund-raiser or unpaid solicitor for at least 3 years after the end of the fiscal year to which they relate.

(3) EXCHANGE OF INFORMATION. The department may exchange with the appropriate authority of any other state or of the United States information with respect to charitable organizations, fund-raising counsel, professional fund-raisers, unpaid solicitors and commercial coventurers.

(4) EXAMINATION OF DOCUMENTS AND WITNESSES. (a) If the department or the department of justice has reason to believe a person has violated or is violating this subchapter or the rules promulgated under this subchapter, it may conduct an investigation to determine whether the person has violated or is violating those provisions. The department of justice may subpoena persons and require the production of books and other documents to aid in its investigations of alleged violations of this subchapter.

(b) A person upon whom a notice of the taking of testimony or examination of documents is served under this subsection shall comply with the terms of the notice unless otherwise provided by the order of a court of this state.

(c) The department of justice may file in the circuit court for the county in which a person resides or in which the person's principal place of business is located, or in the circuit court for Dane County if the person is a nonresident or has no principal place of business in this state, and serve upon the person, a petition for an order of the court for the enforcement of this subsection. Disobedience of a final order entered under this paragraph by a court is punishable as a contempt of court under ch. 785.

(5) **SUBSTITUTE SERVICE UPON DEPARTMENT OF FINANCIAL INSTITUTIONS.** A charitable organization, fund-raising counsel, professional fund-raiser or commercial coventurer that has its principal place of business outside of this state or is organized under laws other than the laws of this state and that is subject to this subchapter shall be considered to have irrevocably appointed the department of financial institutions as its agent for the service of process or notice directed to the charitable organization, fund-raising counsel, professional fund-raiser or commercial coventurer or to any of its partners, principal officers or directors in an action or proceeding brought under this subchapter. Service of process or notice upon the department of financial institutions shall be made by personally delivering to and leaving with the department of financial institutions a copy of the process or notice. That service shall be sufficient service if the department of financial institutions immediately sends notice of the service and a copy of the process or notice to the charitable organization, fund-raising counsel, professional fund-raiser, commercial coventurer or other person to whom it is directed by registered mail, with return receipt requested, at the last address known to the department of financial institutions.

**History:** 1991 a. 278; 1995 a. 27.

**440.475 Disciplinary actions.** (1) The department may deny, limit, suspend or revoke the registration of a charitable organization, fund-raising counsel or professional fund-raiser, or may reprimand a charitable organization, fund-raising counsel or professional fund-raiser that is registered under this subchapter, if the department finds that the charitable organization, fund-raising counsel or professional fund-raiser has made a false statement in any registration statement, annual report or other information required to be filed under, or has otherwise violated, this subchapter or the rules promulgated under this subchapter.

(2) In addition to or in lieu of a reprimand or a denial, limitation, suspension or revocation of a certificate under sub. (1), the department may assess against any person who violates this subchapter or the rules promulgated under this subchapter a forfeiture of not less than \$100 nor more than \$1,000 for each violation.

**History:** 1991 a. 278.

**440.48 Penalties and enforcement.** (1) (a) The department of justice may bring an action to prosecute a violation of this subchapter or the rules promulgated under this subchapter, including an action for temporary or permanent injunction.

(b) Upon finding that a person has violated this subchapter or the rules promulgated under this subchapter, the court may make any necessary order or judgment, including but not limited to injunctions, restitution and, notwithstanding s. 814.04, award of reasonable attorney fees and costs of investigation and litigation, and, except as provided in par. (c), may impose a forfeiture of not less than \$100 nor more than \$10,000 for each violation.

(c) 1. A person who violates s. 440.47 (4) (b) may be required to forfeit not more than \$5,000, unless the person establishes reasonable cause for the violation.

2. A person who, with intent to avoid, prevent or interfere with a civil investigation under this subsection, does any of the following may be required to forfeit not more than \$5,000:

a. Alters or by any other means falsifies, removes from any place, conceals, withholds, destroys or mutilates any documentary material in the possession, custody or control of a person subject to notice of the taking of testimony or examination of documents under s. 440.47 (4).

b. Knowingly conceals relevant information.

(d) A charitable organization, fund-raising counsel, professional fund-raiser, commercial coventurer or any other person who violates the terms of an injunction or other order entered under this subsection may be required to forfeit, in addition to all other remedies, not less than \$1,000 nor more than \$10,000 for each violation. The department of justice may recover the forfeiture in a civil action. Each separate violation of an order entered under this subsection is a separate offense, except that each day of a violation through continuing failure to obey an order is a separate offense.

(e) No charitable organization may indemnify an officer, employee or director for any costs, fees, restitution or forfeitures assessed against that individual by the court under par. (b), (c) or (d) unless the court determines that the individual acted in good faith and reasonably believed the conduct was in or not opposed to the best interests of the charitable organization.

(2) The department or the department of justice may accept a written assurance of discontinuance of any act or practice alleged to be a violation of this subchapter or the rules promulgated under this subchapter from the person who has engaged in the act or practice. The assurance may, among other terms, include a stipulation for the voluntary payment by the person of the costs of investigation, or of an amount to be held in escrow pending the outcome of an action or as restitution to aggrieved persons, or both. The department or department of justice may at any time reopen a matter in which an assurance of discontinuance is accepted for further proceedings if the department or department of justice determines that reopening the matter is in the public interest.

**History:** 1991 a. 278.

## SUBCHAPTER IV

### PEDDLERS

#### **440.51 Statewide peddler's licenses for ex-soldiers.**

Any ex-soldier of the United States in any war, who has a 25% disability or more or has a cardiac disability recognized by the U.S. department of veterans affairs, and any person disabled to the extent of the loss of one arm or one leg or more or who has been declared blind as defined under Title XVI of the social security act, shall, upon presenting the department proof of these conditions, be granted a special statewide peddler's license without payment of any fee. The person must have been a bona fide resident of this state for at least 5 years preceding the application. While engaged in such business the person shall physically carry the license and the proof required for its issuance. A blind person shall also carry an identification photograph which is not more than 3 years old. A license issued under this section shall not entitle a blind person to peddle for hire for another person. A license issued under this section is permanent unless suspended or revoked by the department.

**History:** 1977 c. 399; 1989 a. 56; 1991 a. 39.

## SUBCHAPTER V

### BARBERING AND COSMETOLOGY SCHOOLS

**440.60 Definitions.** As used in this subchapter unless the context requires otherwise:

- (1) "Aesthetician" has the meaning specified in s. 454.01 (1).
- (2) "Aesthetics" has the meaning specified in s. 454.01 (2).



- (3) “Apprentice” has the meaning specified in s. 454.01 (3).
- (4) “Barbering or cosmetology” has the meaning specified in s. 454.01 (5).
- (5) “Barber or cosmetologist” has the meaning specified in s. 454.01 (6).
- (6) “Electrologist” has the meaning specified in s. 454.01 (8).
- (7) “Electrology” has the meaning specified in s. 454.01 (9).
- (8) “Establishment” has the meaning specified in s. 454.01 (10).
- (9) “Examining board” has the meaning specified in s. 454.01 (11).
- (10) “Manager” has the meaning specified in s. 454.01 (12).
- (11) “Manicuring” has the meaning specified in s. 454.01 (13).
- (12) “Manicurist” has the meaning specified in s. 454.01 (14).
- (13) “Practical instruction” means training through action or direct contact with a patron or model other than a mannequin.
- (14) “School” means any facility, other than a specialty school, that offers instruction in barbering or cosmetology, aesthetics, electrology or manicuring.
- (15) “Specialty school” means an establishment that offers instruction in aesthetics, electrology or manicuring.
- (16) “Student” has the meaning specified in s. 454.01 (15).
- (17) “Theoretical instruction” means training through the study of principles and methods.
- (18) “Training hour” has the meaning specified in s. 454.01 (16).
- History:** 1987 a. 265.

**440.61 Applicability.** This subchapter does not apply to any of the following:

- (1) Schools regulated or approved by the technical college system board.
- (2) Schools operated by the department of health services or the department of corrections.

**History:** 1987 a. 265; 1989 a. 31, 107; 1993 a. 399; 1995 a. 27 ss. 6587, 9126 (19); 2007 a. 20 s. 9121 (6) (a).

**440.62 School and specialty school licensure.**

- (1) **LICENSE REQUIRED.** (a) No person may operate a school unless the school holds a current license as a school of barbering or cosmetology, aesthetics, electrology or manicuring issued by the department.
- (b) No person may operate a specialty school unless the specialty school holds a current license as a specialty school of aesthetics, electrology or manicuring issued by the department.
- (c) No school may use the title “school of barbering or cosmetology” or any similar title unless the school holds a current school of barbering or cosmetology license issued by the department.
- (d) No school may use the title “school of aesthetics” or any similar title unless the school holds a current school of aesthetics license issued by the department.
- (e) No school may use the title “school of electrology” or any similar title unless the school holds a current school of electrology license issued by the department.
- (f) No school may use the title “school of manicuring” or any similar title unless the school holds a current school of manicuring license issued by the department.
- (g) No specialty school may use the title “specialty school of aesthetics” or any similar title unless the specialty school holds a current specialty school of aesthetics license issued by the department.
- (h) No specialty school may use the title “specialty school of electrology” or any similar title unless the specialty school holds a current specialty school of electrology license issued by the department.

(i) No specialty school may use the title “specialty school of manicuring” or any similar title unless the specialty school holds a current specialty school of manicuring license issued by the department.

(2) **APPLICATIONS; LICENSE PERIOD; CHANGE OF OWNERSHIP.** (a) An application for initial licensure or renewal or reinstatement of a license under this section shall be submitted to the department on a form provided by the department and shall be accompanied by the applicable fee specified in s. 440.05 (1) or 440.08. Each application shall be accompanied by a surety bond acceptable to the department in the minimum sum of \$25,000 for each location.

**NOTE:** Par. (a) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(a) An application for initial licensure or renewal or reinstatement of a license under this section shall be submitted to the department on a form provided by the department and shall be accompanied by the applicable fee determined by the department under s. 440.03 (9) (a). Each application shall be accompanied by a surety bond acceptable to the department in the minimum sum of \$25,000 for each location.

(b) The department may require additional information to be submitted to accompany or supplement an application if the department determines that the information is necessary to evaluate whether the school or specialty school meets the requirements in this subchapter.

(c) The department may require a school or specialty school to submit with an application a current balance sheet and income statement audited and certified by an independent auditor or certified public accountant. If the department receives a request to inspect a balance sheet, income statement or audit report, the department shall, before permitting an inspection, require the person requesting inspection to provide his or her full name and, if the person is representing another person, the full name and address of that person. Within 48 hours after permitting an inspection, the department shall mail to the person who submitted the balance sheet, income statement or audit report a notification that states the full name and address of the person who inspected the document and the full name and address of any person represented by the person who inspected the document. This paragraph does not apply to inspection requests made by state or federal officers, agents or employees which are necessary to the discharge of the duties of their respective offices.

(d) Any change of ownership shall be reported to the department by the new owner within 5 days after the change of ownership. A change of ownership shall be submitted to the department on a form provided by the department and shall be accompanied by the change of ownership fee specified by the department by rule.

(e) The department shall promulgate rules establishing the requirements for surety bonds under par. (a).

(3) **SCHOOL LICENSES.** (a) *School of barbering or cosmetology license.* The department shall issue a school of barbering or cosmetology license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in barbering or cosmetology of at least 1,800 training hours in not less than 10 months. The course of instruction may not exceed 8 training hours in any one day for any student or 48 hours in any one week for any student.
3. If the school offers a course of theoretical instruction for managers, requires as a prerequisite to completion of the course of instruction for managers the completion of at least 150 training hours.
4. If the school offers a course of theoretical instruction for apprentices, requires as a prerequisite to completion of the course of instruction for apprentices the completion of at least 288 training hours in not less than 9 weeks and not more than 2 years.
5. If the school offers a course of instruction in aesthetics, the course of instruction satisfies the requirements under par. (b) 2.



6. If the school offers a course of instruction in electrology, the course of instruction satisfies the requirements under par. (c) 2.

7. If the school offers a course of instruction in manicuring, the course of instruction satisfies the requirements under par. (d) 2.

8. Satisfies the requirements for schools of barbering or cosmetology established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(b) *School of aesthetics license.* The department shall issue a school of aesthetics license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in aesthetics of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.

3. Satisfies the requirements for schools of aesthetics established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(c) *School of electrology license.* The department shall issue a school of electrology license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in electrology of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.

3. Satisfies the requirements for schools of electrology established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(d) *School of manicuring license.* The department shall issue a school of manicuring license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in manicuring of at least 300 training hours in not less than 7 weeks and not more than 20 weeks.

3. Satisfies the requirements for schools of manicuring established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

**(4) SPECIALTY SCHOOL LICENSES.** (a) *Specialty school of aesthetics license.* The department shall issue a specialty school of aesthetics license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in aesthetics of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.

3. Satisfies the requirements for specialty schools of aesthetics established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(b) *Specialty school of electrology license.* The department shall issue a specialty school of electrology license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in electrology of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.

3. Satisfies the requirements for specialty schools of electrology established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(c) *Specialty school of manicuring license.* The department shall issue a specialty school of manicuring license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in manicuring of at least 300 training hours in not less than 7 weeks and not more than 20 weeks.

3. Satisfies the requirements for specialty schools of manicuring established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

**(5) REQUIREMENTS FOR COURSES OF INSTRUCTION.** (a) No specialty school may offer theoretical instruction for managers or apprentices.

(b) The examining board shall promulgate rules prescribing the subjects required to be included in courses of instruction and establishing minimum standards for courses of instruction and instructional materials and equipment at schools and specialty schools.

**History:** 1987 a. 265; 1991 a. 39; 2007 a. 20.

**Cross Reference:** See also chs. RL 60, 61, 62, and 65, and Wis. adm. code.

#### 440.63 Persons providing practical instruction in schools. (1) INSTRUCTOR CERTIFICATION REQUIRED.

(a) No person may provide practical instruction in barbering or cosmetology in a school of barbering or cosmetology unless the person holds a current barbering or cosmetology instructor certificate issued by the department, except as follows:

1. A person may provide practical instruction in aesthetics in a school of barbering or cosmetology if the person holds a current aesthetics instructor certificate issued by the department.

2. A person may provide practical instruction in manicuring in a school of barbering or cosmetology if the person holds a current manicuring instructor certificate issued by the department.

(b) No person may provide practical instruction in a school of aesthetics unless the person holds a current barbering or cosmetology instructor or aesthetics instructor certificate by the department.

(c) No person may provide practical instruction in electrology in a school of barbering or cosmetology or school of electrology unless the person holds a current electrology instructor certificate issued by the department.

(d) No person may provide practical instruction in a school of manicuring unless the person holds a current barbering or cosmetology instructor or manicuring instructor certificate issued by the department.

**(2) APPLICATIONS; CERTIFICATION PERIOD.** An application for initial certification or renewal or reinstatement of a certificate under this section shall be submitted to the department on a form provided by the department. An application for initial certification shall include the fee specified in s. 440.05 (1). Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee specified under s. 440.08 (2) (a), and the applicable penalty for late renewal under s. 440.08 (3) if the application is submitted late.

**NOTE:** Sub. (2) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

**(2) APPLICATIONS; CERTIFICATION PERIOD.** An application for initial certification or renewal or reinstatement of a certificate under this section shall be submitted to the department on a form provided by the department. An application for initial certification shall include the initial credential fee determined by the department under s. 440.03 (9) (a). Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a), and the applicable penalty for late renewal under s. 440.08 (3) if the application is submitted late.

**(3) INSTRUCTOR CERTIFICATIONS.** (a) *Barbering or cosmetology instructor certification.* The department shall issue a barbering or cosmetology instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed barber or cosmetologist or holds a current manager license issued by the examining board.

3. Completes 150 training hours of instructor training approved by the department.

4. Passes an examination conducted by the department to determine fitness as a barbering or cosmetology instructor.

(b) *Aesthetics instructor certification.* The department shall issue an aesthetics instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed aesthetician and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as an aesthetics instructor.

(c) *Electrology instructor certification.* The department shall issue an electrology instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed electrologist and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as an electrology instructor.

(d) *Manicuring instructor certification.* The department shall issue a manicuring instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed manicurist and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as a manicuring instructor.

**History:** 1987 a. 265; 1989 a. 31; 1991 a. 39; 2007 a. 20.

**Cross Reference:** See also ch. RL 65, Wis. adm. code.

**440.635 Persons providing practical instruction in specialty schools.** (1) No person may provide practical instruction in a specialty school of aesthetics unless the person holds a current manager license issued by the examining board or a current barbering or cosmetology instructor or aesthetics instructor certificate issued by the department.

(2) No person may provide practical instruction in a specialty school of electrology unless the person holds a current electrologist license and a current manager license issued by the examining board or an electrology instructor certificate issued by the department.

(3) No person may provide practical instruction in a specialty school of manicuring unless the person holds a current manager license issued by the examining board or a current barbering or cosmetology instructor or manicuring instructor certificate issued by the department.

**History:** 1987 a. 265.

**440.64 Regulation of schools and specialty schools.**

(1) **DUTIES OF DEPARTMENT.** (a) The department shall investigate the adequacy of the courses of instruction and instructional materials and equipment at schools and specialty schools and review those courses of instruction, instructional materials and equipment for compliance with minimum standards established by rules of the examining board.

(b) The department shall promulgate rules:

1. Establishing standards and criteria to prevent fraud and misrepresentation in the sale and advertising of courses and courses of instruction.

2. Regulating the negotiability of promissory instruments received by schools and specialty schools in payment of tuition and other charges.

3. Establishing minimum standards for the refund of portions of tuition, fees and other charges if a student does not enter a course or course of instruction or withdraws or is discontinued from a course or course of instruction.

4. Requiring schools and specialty schools to furnish information to the department concerning their facilities, curricula, instructors, registration and enrollment policies, enrollment rosters, student training hours, contracts, financial records, tuition and other charges and fees, refund policies and policies concerning the negotiability of promissory instruments received in payment of tuition and other charges.

(2) **AUDITORS AND INSPECTORS.** (a) The department shall appoint auditors and inspectors under the classified service to audit and inspect schools and specialty schools.

(b) An auditor or inspector appointed under par. (a) may enter and audit or inspect any school or specialty school at any time during business hours.

(3) **INVESTIGATIONS, HEARINGS, REPRIMANDS, DENIALS, LIMITATIONS, SUSPENSIONS AND REVOCATIONS.** (a) Subject to the rules promulgated under s. 440.03 (1), the department may make investigations or conduct hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(b) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a licensee or certified instructor or deny, limit, suspend or revoke a license or certificate under this subchapter if it finds that the applicant, licensee or certified instructor has done any of the following:

1. Made a material misstatement in an application for licensure, certification or renewal.

2. Advertised in a manner which is false, deceptive or misleading.

3. Violated this subchapter or any rule promulgated under this subchapter.

(c) In addition to or in lieu of a reprimand or denial, limitation, suspension or revocation of a license or certificate under par. (b), the department may assess against a school, specialty school or instructor a forfeiture of not less than \$100 nor more than \$5,000 for each violation enumerated under par. (b).

**History:** 1987 a. 265.

**Cross Reference:** See also chs. RL 60, 61, 62, and 65, Wis. adm. code.

## SUBCHAPTER VI

### CREMATORY AUTHORITIES

**440.70 Definitions.** As used in this subchapter:

(1) “Authorization form” means a form specified in s. 440.73.

(3) “Business entity” has the meaning given in s. 452.01 (3j).

(4) “Columbarium” means a building, structure, or part of a building or structure that is used or intended to be used for the inurnment of cremated remains.

(5) “Cremated remains” means human remains recovered from the cremation of a human body or body part and the residue of a container or foreign materials that were cremated with the body or body part.

(6) “Cremation” means the process of using heat to reduce human remains to bone fragments and includes processing or pulverizing the bone fragments.

(7) “Cremation chamber” means an enclosed space within which cremation takes place.

(8) “Crematory” means a building or portion of a building within which a cremation chamber is located.

(9) “Crematory authority” means a person who owns or operates a crematory.

(10) “Funeral director” has the meaning given in s. 445.01 (5).

(11) “Funeral establishment” has the meaning given in s. 445.01 (6).

(12) “Human remains” means the body or part of the body of a deceased individual.

(14) “Niche” means a space in a columbarium that is used or intended to be used for the inurnment of cremated remains.

History: 2005 a. 31, 254.

**440.71 Registration; renewal. (1) PROHIBITION.** No person may cremate human remains unless the department has registered the person as a crematory authority under sub. (2).

(2) REGISTRATION. The department shall register a person as a crematory authority if the person does all of the following:

(a) Pays the fee specified in s. 440.05 (1).

NOTE: Par. (a) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(a) Pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(b) Submits an application on a form provided by the department that includes all of the following:

1. The name and address of the applicant or the business entity that the applicant represents.
2. The address of the crematory.
3. A description of the structure and equipment proposed to be used in operating the crematory.
4. Any other information that the department may require.

(3) RENEWAL. Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee specified under s. 440.08 (2) (a).

NOTE: Sub. (3) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(3) RENEWAL. Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

History: 2005 a. 31; 2007 a. 20.

**440.73 Authorization forms.** A person who is authorized to direct the cremation of the human remains of a decedent may do so only by completing a form that includes all of the following:

(1) The name of the decedent and the date and time of the decedent’s death.

(2) The name of the person directing the cremation and his or her relationship to the decedent.

(3) A statement that the person directing the cremation has the authority to direct the cremation.

(4) A statement that the person directing the cremation has no reason to believe that the decedent’s remains contain a device that may be hazardous or cause damage to the cremation chamber or an individual performing the cremation.

(5) The name of the funeral director, funeral establishment, or cemetery that the person directing the cremation authorizes to receive the cremated remains or, if alternative arrangements are made for receiving the cremated remains, a description of those arrangements.

(6) If known by the person directing the cremation, the manner in which the cremated remains are to be disposed.

(7) An itemized list of valuables on the decedent’s person that are to be removed prior to cremation and returned to the person directing the cremation.

(8) If a viewing or other services are planned, the date and time of the viewing or services.

(9) The signature of the person directing the cremation attesting to the accuracy of the representations contained on the form.

History: 2005 a. 31.

**440.75 Liability of a person who directs the cremation of human remains.** A person who directs the cremation of human remains is liable for damages resulting from authorizing the cremation of the human remains of a decedent.

History: 2005 a. 31.

**440.76 Revocation of authorization.** Before a cremation is performed, a person directing the cremation of human remains may cancel the cremation by providing the crematory authority with a written statement revoking the authorization form. A person who revokes an authorization form shall provide the crematory authority with written instructions regarding the final disposition of the human remains.

History: 2005 a. 31.

**440.77 Delivery and acceptance of human remains.**

(1) RECEIPT FOR DELIVERY. A crematory authority that receives human remains from a person shall provide the person with a receipt that includes all of the following:

- (a) The name of the decedent.
- (b) The date and time that the human remains were delivered.
- (c) A description of the type of casket or container in which the human remains were delivered.
- (d) The name of the person who delivered the human remains and the name of the funeral establishment or other business entity, if any, with which the person is affiliated.
- (e) The name of the person who received the human remains on behalf of the crematory authority and the name of the funeral establishment or other business entity, if any, with which the crematory authority is affiliated.
- (f) The signature of the person who delivered the human remains.

(g) The signature of the person who received the human remains on behalf of the crematory authority.

(2) ACCEPTANCE OF HUMAN REMAINS. (a) A crematory authority may not refuse to accept delivery of human remains solely on the basis that the human remains have not been placed in a casket or have not been embalmed.

(b) A crematory authority may refuse to accept delivery of human remains if any of the following apply:

1. The casket or other container used for the human remains has evidence of leakage of bodily fluids.
2. The crematory authority has knowledge of a dispute regarding the cremation of the human remains, unless the crematory authority receives a copy of a court order or other documentation indicating that the dispute has been resolved.
3. The crematory authority has reason to believe that a representation of the person directing the cremation of human remains is not true.
4. The crematory authority has reason to believe that the human remains contain a device that may be hazardous or cause damage to the cremation chamber or an individual performing the cremation.

History: 2005 a. 31.

**440.78 Cremation requirements. (1) DOCUMENTATION.** A crematory authority may not cremate the human remains of a decedent unless the authority has received all of the following:

- (a) A completed authorization form.
- (b) A copy of the cremation permit issued under s. 979.10 (1) (a).
- (c) If a report for final disposition of a human corpse is required under s. 69.18 (3), a copy of the report.

(2) HOLDING FACILITY. (a) Upon accepting delivery of human remains, a crematory authority shall place the human remains in a holding facility until they are cremated, except that, if the crematory authority obtains knowledge of a dispute regarding the cremation of the human remains, the crematory authority may, until the dispute is resolved, return the human remains to the per-



son who delivered the human remains or the funeral establishment or other business entity with which that person is affiliated, neither of which may refuse to accept the human remains.

(b) A crematory authority shall restrict access to a holding facility to authorized personnel.

**(3) CASKETS AND OTHER CONTAINERS.** (a) A crematory authority may not require human remains to be placed in a casket before cremation or to be cremated in a casket.

(b) Unless a crematory authority obtains the prior written consent of the person directing the cremation, and except as provided in par. (c), a crematory authority shall cremate with human remains the casket or other container holding the human remains or destroy the casket or other container.

(c) A container may be used to hold human remains that are to be cremated only if the container is composed of readily combustible materials that are resistant to leakage and spillage, has the ability to be closed for complete covering of the human remains, is sufficiently rigid to provide ease in handling, and is able to protect the health and safety of crematory personnel.

**(4) VIEWINGS OR OTHER SERVICES.** A crematory authority may not cremate human remains before the date and time specified in an authorization form under s. 440.73 (8).

**(5) SIMULTANEOUS CREMATION.** A crematory authority may not simultaneously cremate the human remains of more than one decedent within the same cremation chamber unless the crematory authority receives the prior written consent of the person directing the cremation of each decedent.

**(6) RESIDUE REMOVAL.** Upon completion of each cremation, a crematory authority shall, insofar as practicable, remove all of the cremated remains from the cremation chamber.

**(7) CONTAINERS FOR CREMATED REMAINS.** A container may be used to hold cremated remains only if all of the following are satisfied:

(a) Except as provided in sub. (8), the container is a single container of sufficient size to hold the cremated remains.

(b) The container may be closed in a manner that prevents the entrance of foreign materials and prevents leakage or spillage of the cremated remains.

**(8) EXCESS REMAINS; ADDITIONAL CONTAINER.** If cremated remains that a crematory authority recovers from a cremation chamber do not fit within the container that the person who directed the cremation has selected, the crematory authority shall return the remainder of the human remains in a separate container to the person who directed the cremation or to that person's designee.

**(9) IDENTIFICATION SYSTEM.** A crematory authority shall maintain an identification system that ensures the identity of human remains throughout all phases of the cremation process.

History: 2005 a. 31.

**440.79 Deliveries of cremated remains.** A crematory authority may deliver cremated remains to another person only by making the delivery in person or by using a delivery service that has a system for tracking the delivery. The crematory authority shall obtain a signed receipt from the person to whom the cremated remains are delivered. The crematory authority shall ensure that the receipt includes all of the following:

(1) The name of the decedent.

(2) The date and time that the cremated remains were delivered.

(3) The name and signature of the person to whom the cremated remains were delivered and the name of the funeral establishment or other business entity, if any, with which the person is affiliated.

(4) The name and signature of the person who delivered the cremated remains on behalf of the crematory authority.

History: 2005 a. 31, 254.

**440.80 Disposition of cremated remains. (1) RESPONSIBLE PARTY.** (a) Except as provided in par. (b), the person directing the cremation is responsible for determining the manner in which cremated remains are disposed.

(b) If the person directing the cremation fails to determine the manner in which cremated remains are disposed, the crematory authority shall, no sooner than 30 days after cremation, deliver the cremated remains to the person who delivered the human remains to the crematory authority for cremation or the funeral establishment or other business entity with which that person is affiliated, neither of which may refuse to accept the cremated remains. No sooner than 60 days after the cremated remains are delivered under this paragraph, the person to whom they are delivered may determine the manner in which the cremated remains are disposed and shall make a written record of any determination that is made.

(c) The person directing the cremation or the decedent's estate, or both, are liable for all reasonable expenses incurred in delivering and disposing of cremated remains under par. (b).

**(2) MANNER OF DISPOSITION.** A person may dispose of cremated remains only in one of the following manners:

(a) Placing the remains in a grave, niche, or crypt.

(b) Disposing of the remains in any other lawful manner, but only if the remains are reduced to a particle size of one-eighth inch or less.

**(3) COMMINGLING.** Without the prior written consent of each person directing the cremation, no person may place cremated remains of more than one individual in the same container.

**(4) PROHIBITED SALES.** A crematory authority may not do any of the following:

(a) Sell any material or device, including a prosthetic or medical device of a decedent, that is obtained from cremating the human remains of the decedent.

(b) Resell any casket or other container that has been used for cremating human remains.

History: 2005 a. 31.

**440.81 Records. (1)** A crematory authority shall maintain a permanent record of each cremation at its place of business consisting of the name of the decedent, the date of the cremation, and a description of the manner in which the cremated remains are disposed.

**(2)** A crematory authority shall maintain as permanent records the documentation specified in s. 440.78 (1) and copies of receipts under ss. 440.77 (1) and 440.79.

History: 2005 a. 31.

**440.82 Exemptions from liability. (1)** Except as provided in sub. (2), a crematory authority is immune from civil liability for damages resulting from cremating human remains, including damages to prosthetic or medical devices or valuables of the decedent, if the authority has complied with the requirements of this subchapter.

**(2)** A crematory authority is liable for damages resulting from the authority's intentional misconduct, negligent conduct, or failure to return valuables specified on an authorization form under s. 440.73 (7).

History: 2005 a. 31.

**440.83 Electronic transmission permitted.** Any statement required to be in writing under s. 440.76, 440.78 (3) (b) or (5), or 440.80 (3) may be transmitted by facsimile.

History: 2005 a. 31.

**440.84 Rules.** The department may promulgate rules interpreting or administering the requirements of this subchapter.

History: 2005 a. 31.

**440.85 Discipline. (1)** Subject to the rules promulgated under s. 440.03 (1), the department may make investigations, including inspections, or conduct hearings to determine whether

a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand an individual registered under this subchapter or deny, limit, suspend, or revoke a registration under this subchapter if the department finds that the applicant or individual has done any of the following:

(a) Made a material misstatement in an application for a registration or renewal of a registration.

(b) Engaged in conduct while practicing as a crematory authority that evidences a lack of knowledge or ability to apply professional principles or skills.

(c) Subject to ss. 111.321, 111.322, and 111.335, been arrested or convicted of an offense committed while registered under this subchapter.

(d) Advertised in a manner that is false, deceptive, or misleading.

(e) Advertised, practiced, or attempted to practice as a crematory authority under another person's name.

(f) Violated this subchapter or a rule promulgated under this subchapter.

**History:** 2005 a. 31.

**440.86 Penalties.** (1) Any person who violates this subchapter or a rule promulgated under this subchapter may be fined not more than \$1,000 or imprisoned for not more than 6 months or both.

(2) In addition to or in lieu of the penalties under sub. (1) and the remedies under s. 440.85 (2), any person who violates this subchapter or a rule promulgated under this subchapter may be required to forfeit not more than \$1,000 for each violation. Each day of continued violation constitutes a separate violation.

**History:** 2005 a. 31.

**440.87 Exceptions.** This subchapter does not apply to a person who is performing his or her duties as an officer of a public institution, medical school, medical college, county medical society, anatomical association, or accredited college of embalming, or to a person acting in accordance with a statute prescribing the conditions under which donated or indigent dead human bodies are held subject for anatomical study, or to a person who is acting according to the burial customs or rites of a religious sect to which the person belongs or subscribes.

**History:** 2005 a. 31.

## SUBCHAPTER VII

### SUBSTANCE ABUSE COUNSELORS, CLINICAL SUPERVISORS, AND PREVENTION SPECIALISTS

**440.88 Substance abuse counselors, clinical supervisors, and prevention specialists.** (1) **DEFINITIONS.** In this subchapter:

(a) "Clinical supervisor" means a clinical supervisor-in-training, an intermediate clinical supervisor, or an independent clinical supervisor.

(am) "Prevention specialist" means a prevention specialist-in-training or a prevention specialist.

(b) "Substance abuse counselor" means a substance abuse counselor-in-training, a substance abuse counselor, or a clinical substance abuse counselor.

(2) **CERTIFICATION.** Except as provided in sub. (3m) and s. 440.12 or 440.13, the department shall certify as a substance abuse counselor, a clinical supervisor, or a prevention specialist any individual who satisfies the applicable conditions in sub. (3) and who has presented evidence satisfactory to the department that applicable certification standards and qualification of the department, as established by rule, have been met.

(3) **CERTIFICATION; STANDARDS AND QUALIFICATIONS.** (a) Subject to pars. (b) and (c) and except as provided in sub. (3m), the department shall promulgate rules that establish minimum standards and qualifications for the certification of all of the following, including substance abuse counselors and clinical supervisors described under s. HFS 75.02 (11) and (84), Wis. Adm. Code, in effect on December 15, 2006:

1. Substance abuse counselors-in-training.
2. Substance abuse counselors.
3. Clinical substance abuse counselors.
- 4m. Clinical supervisors-in-training.
5. Intermediate clinical supervisors.
6. Independent clinical supervisors.
7. Prevention specialists-in-training.
8. Prevention specialists.

(b) Rules promulgated under par. (a) shall include standards based on demonstrated requisite competency, knowledge, skills, and attitudes of professional practice that are culturally competent and evidence-based.

(c) Before the department may promulgate rules under par. (a), the department shall appoint a certification review committee under s. 227.13 and shall consult with the certification review committee on the proposed rules.

(3m) **EXCEPTION.** This section does not apply to a physician, as defined in s. 448.01 (5), a clinical social worker, as defined in s. 457.01 (1r), or a licensed psychologist, as defined in s. 455.01 (4), who practices as a substance abuse clinical supervisor or provides substance abuse counseling, treatment, or prevention services within the scope of his or her licensure.

(4) **APPLICATIONS; CERTIFICATION PERIOD.** An application for certification as a substance abuse counselor, clinical supervisor, or prevention specialist under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the fee specified in s. 440.05 (1). The renewal date and renewal fee for certification as a substance abuse counselor, clinical supervisor, or prevention specialist are specified under s. 440.08 (2) (a). Renewal of certification as a substance abuse counselor-in-training, a clinical supervisor-in-training, or a prevention specialist-in-training may be made only twice.

**NOTE:** Sub. (4) is amended eff. 7-1-09 by 2007 Wis. Act 20 to read:

(4) **APPLICATIONS; CERTIFICATION PERIOD.** An application for certification as a substance abuse counselor, clinical supervisor, or prevention specialist under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the initial credential fee determined by the department under s. 440.03 (9) (a). The renewal date for certification as a substance abuse counselor, clinical supervisor, or prevention specialist is specified under s. 440.08 (2) (a) and the renewal fee for such certifications is determined by the department under s. 440.03 (9) (a). Renewal of certification as a substance abuse counselor-in-training, a clinical supervisor-in-training, or a prevention specialist-in-training may be made only twice.

(5) **CERTIFICATION REQUIRED.** Except as provided in sub. (3m) and s. 250.042 (4) (b), no person may represent himself or herself to the public as a substance abuse counselor, clinical supervisor, or prevention specialist or a certified substance abuse counselor, clinical supervisor, or prevention specialist or use in connection with his or her name a title or description that conveys the impression that he or she is a substance abuse counselor, clinical supervisor, or prevention specialist or a certified substance abuse counselor, clinical supervisor, or prevention specialist unless he or she is so certified under sub. (2).

(6) **REVOCACTION, DENIAL, SUSPENSION, OR LIMITATION OF CERTIFICATION.** The department may, after a hearing held in conformity with chapter 227, revoke, deny, suspend, or limit under this subchapter the certification of any substance abuse counselor, clinical supervisor, or prevention specialist or reprimand the substance abuse counselor, clinical supervisor, or prevention specialist, for practice of fraud or deceit in obtaining the certification or any unprofessional conduct, incompetence, or professional negligence.

**(7) RECIPROCAL CERTIFICATION.** The department may, upon application and payment of the required fee, issue certification as a substance abuse counselor, clinical supervisor, or prevention specialist to an individual who holds a similar unexpired certification issued to the individual by another state for which the requirements for certification are of a standard that is not lower than that specified in this subchapter.

**(8) CERTIFICATION OTHER THAN BY DEPARTMENT PROHIBITED.** No entity other than the department may certify substance abuse counselors, clinical supervisors, or prevention specialists.

**(9) CONTINUING EDUCATION.** The department may do all of the following:

(a) Establish the minimum number of hours of continuing education required for renewal of certification under this section and the topic areas that the continuing education must cover.

(b) Require continuing education as part of any disciplinary process for an individual.

**(10) CONTINUING EDUCATION COURSE APPROVAL.** The department shall establish the criteria for the approval of continuing education programs and courses required for renewal of certification of a substance abuse counselor, clinical supervisor, or prevention specialist and the criteria for the approval of the sponsors and cosponsors of those continuing education programs and courses. The department shall approve continuing education programs and courses in accordance with the criteria established under this subsection.

**(11) SCOPE OF PRACTICE.** The department shall promulgate rules establishing minimum standards for the practice of substance abuse counseling, supervision, and prevention.

**History:** 2005 a. 25; 2005 a. 96 s. 4m; 2005 a. 254 s. 37; 2005 a. 407; 2007 a. 20, 99.

**Cross Reference:** See also chs. RL 160, 161, 162, 163, 164, 165, 166, 167, and 168, Wis. adm. code.

## SUBCHAPTER VIII

### CEMETERY AUTHORITIES, SALESPERSONS AND PRENEED SELLERS

**440.90 Definitions.** In this subchapter:

**(1b)** “Board” means the cemetery board.

**(1c)** “Business day” has the meaning given in s. 421.301 (6).

**(2)** “Cemetery authority” has the meaning given in s. 157.061 (2).

**(3)** “Cemetery merchandise” has the meaning given in s. 157.061 (3).

**(4)** “Human remains” has the meaning given in s. 157.061 (8).

**(4m)** “Licensed cemetery authority” means a cemetery authority that is licensed under s. 440.91 (1).

**(4r)** “Licensee” means a person licensed under this subchapter.

**(5)** “Mausoleum” has the meaning given in s. 157.061 (9).

**(6)** “Mausoleum space” has the meaning given in s. 157.061 (10).

**(6m)** “Payment of principal” has the meaning given in s. 157.061 (11r).

**(7)** “Preneed sales contract” has the meaning given in s. 157.061 (12).

**(8)** “Preneed seller” means an individual who sells or solicits the sale of cemetery merchandise or an undeveloped space under a preneed sales contract or, if such an individual is employed by or acting as an agent for a cemetery authority or any other person, the cemetery authority or other person.

**(9)** “Preneed trust fund” has the meaning given in s. 157.061 (13).

**(10)** “Public mausoleum” has the meaning given in s. 157.061 (14).

**(11)** “Sale” has the meaning given in s. 157.061 (16).

**(12)** “Undeveloped space” has the meaning given in s. 157.061 (17).

**(13)** “Warehouse” means a place of storage for cemetery merchandise sold under a preneed sales contract.

**(14)** “Wholesale cost ratio” means the actual cost to a preneed seller to supply and deliver cemetery merchandise or to construct an undeveloped space divided by the price paid by the purchaser, excluding sales tax, finance or interest charges and insurance premiums.

**History:** 1989 a. 307; 2005 a. 25.

**440.905 General duties and powers of board.** **(1)** In addition to the other duties and powers of the board under this subchapter, the board shall advise the secretary of regulation and licensing on matters relating to cemeteries, to this chapter, or to the board.

**(2)** The board has rule-making authority and may promulgate rules relating to the regulation of cemetery authorities, cemetery salespersons, and cemetery preneed sellers. The board may determine, by rule, a fee under s. 440.05 (1) (a) and under s. 440.08 (2) (a) 21. that is sufficient to fund the board’s operating costs.

**History:** 2005 a. 25.

**Cross Reference:** See also ch. CB 1, Wis. adm. code.

**440.91 Cemetery authorities and cemetery salespersons.** **(1)** (a) Any cemetery authority that operates a cemetery that is 5 acres or more in size, that sells 20 or more cemetery lots or mausoleum spaces at a cemetery during a calendar year, or that has \$100,000 or more in trust fund accounts for a cemetery shall apply to the board for a license for that cemetery. A cemetery authority that operates more than one cemetery shall apply for a separate license for each cemetery that is 5 acres or more in size and for each cemetery at which it sells 20 or more burial spaces or at which it has \$100,000 or more in trust fund accounts.

(b) The board shall grant a license to a cemetery authority if all of the following are satisfied:

1. The cemetery authority submits an application for the license to the board on a form provided by the board. The application shall require the cemetery authority to provide the names of the officers of the cemetery authority and to identify a business representative who is primarily responsible for the cemetery authority’s compliance with subch. II of ch. 157 and this subchapter.

2. The cemetery authority pays the fee specified in s. 440.05 (1).

**NOTE:** Subd. 2. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

2. The cemetery authority pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(c) 1. The renewal dates and renewal fees for licenses granted under par. (b) are specified in s. 440.08 (2) (a), except that a licensed cemetery authority is not required to renew its license if the cemetery authority sells less than 20 cemetery lots or mausoleum spaces at a cemetery during a calendar year, or that has less than \$100,000 in trust fund accounts for a cemetery.

**NOTE:** Subd. 1. is amended eff. 7–1–09 by 2007 Wis. Act 20 and as affected by 2 acts of the 2007 Wisconsin legislature, as merged by the legislative reference bureau under s. 13.92 (2) (i), eff. 7–1–09, it reads:

1. The renewal dates for licenses granted under par. (b) are specified in s. 440.08 (2) (a) and the renewal fees for such licenses are determined by the department under s. 440.03 (9) (a), except that a licensed cemetery authority is not required to renew its license if the cemetery authority sells less than 20 cemetery lots or mausoleum spaces at a cemetery during a calendar year, or that has less than \$100,000 in trust fund accounts for a cemetery.

2. A licensed cemetery authority that is not required to renew its license under subd. 1. shall renew the license if, during a period of 2 consecutive calendar years that is subsequent to the period specified in subd. 1., the cemetery authority sells 20 or more cemetery lots or mausoleum spaces for a cemetery or has \$100,000 or more in trust fund accounts for a cemetery.

**(1m)** (a) Except as provided in sub. (6m), any cemetery authority that operates a cemetery that is less than 5 acres in size,



that sells fewer than 20 cemetery lots or mausoleum spaces at a cemetery during a calendar year, or that has less than \$100,000 in trust fund accounts for a cemetery shall register with the board. A cemetery authority that operates more than one cemetery shall submit a separate registration to the board for each cemetery that is less than 5 acres in size, that sells fewer than 20 cemetery lots or mausoleum spaces at a cemetery during a calendar year, or that has less than \$100,000 in trust fund accounts.

(b) The board shall register a cemetery authority if all of the following are satisfied:

1. The cemetery authority submits an application for registration to the board on a form provided by the board. The application shall require the cemetery authority to provide the names and addresses of the officers of the cemetery authority and to identify a business representative who is primarily responsible for the cemetery authority's compliance with subch. II of ch. 157 and this subchapter.

2. The cemetery authority pays a \$10 fee to the board.

(c) The renewal date and renewal fee for a registration granted under par. (b) are specified in s. 440.08 (2).

(2) Except as provided in sub. (10), every person that sells or solicits the sale of, or that expects to sell or solicit the sale of, 20 or more cemetery lots or mausoleum spaces per year during 2 consecutive calendar years shall be licensed by the board. A person may not be licensed as a cemetery salesperson except upon the written request of a cemetery authority and the payment of the fee specified in s. 440.05 (1). The cemetery authority shall certify in writing to the board that the person is competent to act as a cemetery salesperson. An applicant for licensure as a cemetery salesperson shall furnish to the board, in such form as the board prescribes, all of the following information:

NOTE: Sub. (2) (intro.) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(2) Except as provided in sub. (10), every person that sells or solicits the sale of, or that expects to sell or solicit the sale of, 20 or more cemetery lots or mausoleum spaces per year during 2 consecutive calendar years shall be licensed by the board. A person may not be licensed as a cemetery salesperson except upon the written request of a cemetery authority and the payment of the initial credential fee determined by the department under s. 440.03 (9) (a). The cemetery authority shall certify in writing to the board that the person is competent to act as a cemetery salesperson. An applicant for licensure as a cemetery salesperson shall furnish to the board, in such form as the board prescribes, all of the following information:

(a) The name and address of the applicant and, if the applicant is a business entity, the name and address of each business representative.

(b) Educational qualifications.

(c) Prior occupations.

(d) Any other information which the department may reasonably require to enable it to determine the competency of the salesperson to transact the business of a cemetery salesperson in a manner which safeguards the interest of the public.

(3) Any cemetery salesperson may transfer to the employment of a cemetery authority, other than the cemetery authority that certified the salesperson under sub. (2), by filing a transfer form with the department and paying the transfer fee specified in s. 440.05 (7).

(4) Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee specified under s. 440.08 (2) (a).

NOTE: Sub. (4) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(4) Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

(5) Every cemetery authority requesting the registration or transfer of any cemetery salesperson shall be responsible for the acts of that salesperson while acting as a cemetery salesperson.

(6m) A cemetery authority of a cemetery organized, maintained and operated by a town, village, city, church, synagogue or

mosque, religious, fraternal or benevolent society or incorporated college of a religious order is not required to be licensed under sub. (1) or registered under sub. (1m).

(7) An individual who solicits the sale of cemetery lots or mausoleum spaces in a cemetery organized, maintained and operated by a town, village, city, church, synagogue or mosque, religious, fraternal or benevolent society or incorporated college of a religious order is not required to be licensed under sub. (2).

(8) Sections 452.13, 452.14, 452.15, 452.18, 452.21 and 452.22, as they apply to real estate salespersons, apply with equal effect to cemetery salespersons.

(9) No cemetery authority or cemetery salesperson licensed under sub. (1) or (2) may pay a fee or commission as compensation for a referral or as a finder's fee relating to the sale of cemetery merchandise or a burial space to any person who is not licensed under sub. (1) or (2) or who is not regularly and lawfully engaged in the sale of cemetery merchandise or burial spaces in another state or territory of the United States or a foreign country.

(10) Nothing in this section requires an individual who is licensed as a preneed seller under s. 440.92 (1) to be licensed as a cemetery salesperson under sub. (2) if the individual only sells or solicits the sale of cemetery merchandise or undeveloped spaces under preneed sales contracts.

History: 1989 a. 307 ss. 75, 80 to 83, 91; 1991 a. 39, 269; 2005 a. 25; 2007 a. 20, 174; s. 13.92 (2) (i).

Cross Reference: See also chs. CB 1 and 2, Wis. adm. code.

**440.92 Cemetery preneed sellers. (1) LICENSURE.** (a) Except as provided in subs. (4), (9) (a) and (10), every individual who sells or solicits the sale of cemetery merchandise or an undeveloped space under a preneed sales contract and, if the individual is employed by or acting as an agent for a cemetery authority or any other person, that cemetery authority or other person is also required to be licensed under this subsection.

(b) The board shall issue a certificate of licensure as a cemetery preneed seller to any person who does all of the following:

1. Submits an application to the department on a form provided by the department.

2. Pays the fee under s. 440.05 (1).

NOTE: Subd. 2. is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

2. Pays the initial credential fee determined by the department under s. 440.03 (9) (a).

3. Subject to ss. 111.321, 111.322 and 111.335, submits evidence satisfactory to the department that the person does not have a conviction record.

4. Meets any other reasonable requirements established by the department by rule to determine fitness to sell cemetery merchandise or an undeveloped space under a preneed sales contract. The rules may not require applicants to meet minimum education, experience or prior employment requirements or to pass any examination.

(bm) If a cemetery authority that is licensed under this subsection notifies the board that it proposes to take an action specified in s. 157.08 (2) (b) and the board does not object to the action under s. 157.08 (2) (b), the board shall revoke the license and require the cemetery authority to reapply for a license under this subsection.

(c) Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee specified under s. 440.08 (2) (a).

NOTE: Par. (c) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(c) Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

(e) Nothing in this subsection requires an individual who is licensed as a cemetery salesperson under s. 440.91 (2) to be

licensed under this subsection if the individual does not conduct or solicit any sale under a preneed sales contract.

(2) **PRENEED SALES CONTRACTS.** (a) A preneed sales contract for the sale of cemetery merchandise shall provide for the delivery of cemetery merchandise in one of the following ways:

1. By physically delivering the merchandise to the purchaser or the beneficiary named in the preneed sales contract.

2. By affixing the cemetery merchandise to the cemetery lot or mausoleum.

3. By storing the cemetery merchandise in a warehouse that is located on the property of the preneed seller if the preneed seller insures the cemetery merchandise and the preneed sales contract requires the preneed seller to ultimately affix the cemetery merchandise to the cemetery lot or mausoleum without additional charge.

3g. By storing the cemetery merchandise anywhere on the property of the preneed seller if the property of the preneed seller is located in this state, the preneed seller insures the cemetery merchandise and the preneed sales contract requires the preneed seller to ultimately affix the cemetery merchandise to a cemetery lot, to the outside of or the grounds surrounding a mausoleum or to any other outdoor location without additional charge.

4. By having the cemetery merchandise stored in a warehouse that is not located on the property of the preneed seller if the warehouse has agreed to ship the cemetery merchandise to the preneed seller, purchaser or beneficiary named in the preneed sales contract without additional charge to the purchaser and the preneed sales contract requires that the cemetery merchandise ultimately be affixed to the cemetery lot or mausoleum without additional charge. If the cemetery merchandise is delivered under this subdivision, all of the following apply:

a. At the time that the preneed sales contract is entered into, the preneed seller shall provide the purchaser with the name, address and telephone number of the warehouse and inform the purchaser that the warehouse is approved by the board.

b. If the name, address, telephone number or approval status of the warehouse changes before the cemetery merchandise is delivered, the preneed seller or warehouse shall notify the purchaser in writing of each change within 30 days after the change.

c. The preneed sales contract shall provide for the cemetery merchandise to be delivered within 30 days after the purchaser or beneficiary requests the preneed seller or warehouse to deliver the cemetery merchandise and shall contain the procedure and any requirements for making the request.

(am) If a preneed sales contract for the sale of cemetery merchandise requires the preneed seller to ultimately affix the cemetery merchandise to a cemetery lot, mausoleum or other location but the purchaser has not informed the preneed seller of the location where the cemetery merchandise is to be affixed and the location where the cemetery merchandise is to be affixed is not specified in the preneed sales contract, the preneed sales contract may provide that the preneed seller may charge the purchaser an additional fee at the time that the cemetery merchandise is affixed not to exceed the additional costs to the preneed seller that are necessitated by the purchaser's choice of location.

(b) If a preneed sales contract does not require the preneed seller to deliver cemetery merchandise by one of the methods under par. (a), the preneed seller shall deliver the cemetery merchandise under par. (a) 2.

(c) Except as provided in par. (cm), a preneed sales contract shall provide that if the purchaser voids the preneed sales contract at any time within 10 days after the date of the initial payment the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser for cemetery merchandise that has not been supplied or delivered and for the mausoleum space.

(cm) If a preneed sales contract for the sale of cemetery merchandise requires the preneed seller to physically alter any cemetery merchandise, the preneed sales contract shall provide that if

the purchaser voids the preneed sales contract at any time before the preneed seller has physically altered the cemetery merchandise in a manner or to a degree that makes the fair market value of the cemetery merchandise to the general public lower than the sale price of the cemetery merchandise under the preneed sales contract or within 10 days after the date of the initial payment, whichever occurs first, the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser for cemetery merchandise that has not been supplied or delivered.

(d) A preneed seller may not sell any undeveloped space unless the plans for the construction of the mausoleum have been submitted to the department of commerce for approval under s. 157.12 (2) (a) and the preneed sales contract includes the following language in not less than 10–point boldface type: “THE PLANS FOR CONSTRUCTING THE MAUSOLEUM SPACE HAVE BEEN SUBMITTED TO THE DEPARTMENT OF COMMERCE FOR APPROVAL. THE SELLER IS RESPONSIBLE FOR ALL COSTS REQUIRED TO OBTAIN APPROVAL OF THE PLANS BY THE DEPARTMENT OF COMMERCE, COMPLETE THE CONSTRUCTION, AND OBTAIN CERTIFICATION OF THE CONSTRUCTION BY THE DEPARTMENT OF COMMERCE.”

(e) A preneed sales contract for the sale of an undeveloped space shall provide that the purchaser may void the preneed sales contract if any of the following conditions applies:

1. The plans for constructing the mausoleum are not approved under s. 157.12 (2) (a).

2. The construction of the mausoleum does not begin within 3 years after the date of the sale.

3. If the mausoleum is a public mausoleum, the construction of the mausoleum is not certified under s. 157.12 (2) (b) within 6 years after the date of the sale.

(f) If a preneed sales contract is voided under par. (e), the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04.

(g) A preneed seller may include in a preneed sales contract provisions that do any of the following:

1. Place restrictions on the right of the purchaser to assign his or her interest in any undelivered cemetery merchandise or undeveloped space to any other person, but only if such restrictions are consistent with regulations, established by the cemetery authority of the cemetery in which the cemetery merchandise will ultimately be affixed or in which the undeveloped space is located, that specify who may or may not be buried in the cemetery.

2. Require the purchaser to notify the preneed seller that the purchaser has assigned his or her interest in any undelivered cemetery merchandise or undeveloped space to any other person within a reasonable period of time after the interest has been assigned.

(h) A provision in a preneed sales contract that purports to waive or is in conflict with any part of this section is void.

(i) If a preneed sales contract includes provisions for the sale of cemetery merchandise or an undeveloped space that is subject to the trusting requirements under sub. (3) (a) and (b) and for the sale of other goods or services that are not subject to the trusting requirements under sub. (3) (a) and (b), the sale price of the goods or services that are not subject to the trusting requirements may not be inflated for the purpose of allocating a lower sale price to the cemetery merchandise or undeveloped space that is subject to the trusting requirements.

(j) A preneed sales contract shall be in writing. The preneed seller shall provide the purchaser with a copy of the preneed sales contract at the time that the preneed sales contract is entered into. A provision in a written preneed sales contract that limits the terms of the transaction to those included in the written preneed sales contract and that disclaims any oral agreements pertaining to the

transaction creates a rebuttable presumption that no oral preneed sales contract pertaining to the transaction exists. A preneed sales contract that is not in writing may not be voided by the preneed seller, but may be voided by the purchaser at any time before all of the cemetery merchandise purchased has been delivered, before the plans for constructing the mausoleum have been approved under s. 157.12 (2) (a) or, if the mausoleum is a public mausoleum, before the construction of the mausoleum has been certified under s. 157.12 (2) (b). If a preneed sales contract is voided under this paragraph, the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04.

(k) A preneed sales contract shall include the following language in not less than 10–point boldface type: “SECTION 440.92 (2) OF THE WISCONSIN STATUTES SPECIFIES THE RIGHTS OF THE PURCHASER UNDER THIS CONTRACT. DEPENDING ON THE CIRCUMSTANCES, THESE MAY INCLUDE THE RIGHT TO VOID THE CONTRACT AND RECEIVE A REFUND OR THE RIGHT TO ASSIGN AN INTEREST IN THE CONTRACT TO ANOTHER PERSON.”

(3) DEPOSITS IN PRENEED TRUST FUND AND CARE FUND. (a) A preneed seller shall deposit into a preneed trust fund an amount equal to at least 40% of each payment of principal that is received from the sale of cemetery merchandise under a preneed sales contract, or the wholesale cost ratio for the cemetery merchandise multiplied by the amount of the payment of principal that is received, whichever is greater. In addition to the amount required to be deposited under this paragraph for the sale of cemetery merchandise and except as provided in par. (c), if a preneed seller receives payment for the sale of an undeveloped space under a preneed sales contract, the preneed seller shall deposit a percentage of each payment of principal that is received from the sale of the undeveloped space into a preneed trust fund, determined as follows:

1. If the actual cost to the preneed seller of constructing the undeveloped space in accordance with construction plans approved under s. 157.12 (2) (a) has been determined by a registered architect or engineer and accepted in a written construction agreement by both the preneed seller and the person who has agreed to construct the mausoleum, the minimum percentage of each payment of principal that must be deposited into the preneed trust fund is the percentage equal to the wholesale cost ratio for the undeveloped space. In this subdivision, “registered architect or engineer” means a person who is registered as an architect or engineer under ch. 443.

2. If the cost to the preneed seller of constructing the undeveloped space has not been determined as provided in subd. 1., the preneed seller shall deposit at least 40% of each payment of principal into the preneed trust fund.

(b) The preneed seller shall make the deposits required under par. (a) within 30 business days after the last day of the month in which each payment is received. Preneed trust funds shall be deposited and invested as provided in s. 157.19.

(c) A preneed seller is not required to make the deposits required under par. (a) 1. and 2. if any of the following applies:

1. The mausoleum is certified under s. 157.12 (2) (b) within 30 business days after the payment is received.

2. The undeveloped space is located in a mausoleum or project of mausoleums in which at least one mausoleum space was sold before November 1, 1991. In this subdivision, “project of mausoleums” means a group of mausoleums that have been or are intended to be built and arranged in a cemetery according to a single construction plan approved under s. 157.12 (2) (a).

3. The preneed seller files with the department a bond furnished by a surety company authorized to do business in this state or files with the department and maintains an irrevocable letter of credit from a financial institution and the amount of the bond or

letter of credit is sufficient to secure the cost to the cemetery authority of constructing the mausoleum.

(d) If payments are received under a preneed sales contract for an undeveloped space, the preneed seller shall make deposits into the care fund required under s. 157.12 (3) in addition to any deposits required under par. (a).

(4) EXCEPTIONS TO REGISTRATION REQUIREMENT. (a) Any person who sells or solicits the sale of cemetery merchandise under a preneed sales contract is not required to be licensed under sub. (1) and the requirements of sub. (3) (a) and (b) do not apply to the sale if all payments received under the preneed sales contract are trusted as required under s. 445.125 (1) (a) 1. or if all of the following conditions are met:

1. The preneed seller guarantees that the cemetery merchandise will be delivered not more than 180 days after the date of the sale.

2. The cemetery merchandise is delivered or the preneed sales contract is voided not more than 180 days after the date of the sale.

(b) If any preneed seller who is not licensed under sub. (1) accepts a payment under a preneed sales contract and the merchandise is not delivered within 180 days after the date of the sale, the preneed seller shall immediately notify the purchaser that the purchaser is entitled to a refund of all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04, at any time before the merchandise is delivered.

(5) USE OF PRENEED TRUST FUNDS TO COVER COSTS OF CONSTRUCTION OR PARTIAL PERFORMANCE. (a) Before the construction of a mausoleum for which a preneed trust fund has been established is certified under s. 157.12 (2) (b), the trustee of the preneed trust fund shall, upon receipt of a written request for the release of a specified amount of the funds from the preneed seller and the person who is constructing the mausoleum, release the specified amount of the funds, but only if the request is accompanied by a sworn statement, signed by the preneed seller and the person who is constructing the mausoleum, certifying that the specified amount does not exceed the amount charged to the preneed seller by the person who is constructing the mausoleum for labor that has actually been performed and materials that have actually been used in the construction of the mausoleum, and does not include any cost for which preneed trust funds have been previously released under this paragraph.

(b) Before all of the terms of a preneed sales contract for the sale of cemetery merchandise are fulfilled, the trustee of the preneed trust fund shall, upon receipt of a written request for the release of a specified amount of the funds from the preneed seller, release the specified amount of the funds, but only if the request is accompanied by a sworn statement, signed by the preneed seller, certifying that the specified amount does not exceed the actual cost to the preneed seller for any cemetery merchandise that has actually been supplied or delivered and for any cemetery services that have actually been performed, and does not include any cost for which preneed trust funds have been previously released under this paragraph.

(6) REPORTING; RECORD KEEPING; AUDITS. (a) Every preneed seller licensed under sub. (1) shall file an annual report with the board. The report shall be made on a form prescribed and furnished by the board. The report shall be made on a calendar–year basis unless the board, by rule, provides for other reporting periods. The report is due on or before the 60th day after the last day of the reporting period.

(b) The preneed seller shall include all of the following in the annual report under par. (a):

1. If the preneed seller is a corporation that is required to file a report under s. 180.1622 or 181.1622, a copy of that report and the name, residence address and business address of each shareholder who beneficially owns, holds or has the power to vote 5% or more of any class of securities issued by the corporation.



2. An accounting of amounts deposited in, amounts withdrawn from, income accruing to and the balance at the close of the reporting period of each preneed trust fund for which the preneed seller is the trustee.

(c) A preneed seller who is the trustee of any trust fund under s. 445.125 (1) shall include in the report required under par. (a) an accounting of amounts deposited in, amounts withdrawn from, income accruing to and the balance at the close of the reporting period of such trust funds.

(d) All records described under pars. (b) 2. and (c) and maintained by the board are confidential and are not available for inspection or copying under s. 19.35 (1). This paragraph does not apply to any information regarding the name, address or employer of or financial information related to an individual that is requested under s. 49.22 (2m) by the department of children and families or a county child support agency under s. 59.53 (5).

(e) The board shall review each report filed under par. (a) to determine whether the preneed seller is complying with this section.

(f) The preneed seller shall keep a copy of the report required under par. (a) at its principal place of business and, except for those records described under pars. (b) 2. and (c), shall make the report available for inspection, upon reasonable notice, by any person with an interest in purchasing cemetery merchandise or a mausoleum space from the preneed seller or by any person who has entered into or is the beneficiary of a preneed sales contract with the preneed seller.

(g) The preneed seller shall maintain all of the following:

1. The records needed to prepare the reports required under par. (a).

2. Records that show, for each deposit in a trust fund or account specified in pars. (b) 2. and (c), the name of the purchaser or beneficiary of the preneed sales contract relating to the deposit and the item purchased.

3. A copy of each preneed sales contract.

(h) The records under par. (b) 1. shall be permanently maintained by the preneed seller. The records under par. (b) 2. shall be maintained for not less than 3 years after all of the obligations of the preneed sales contract have been fulfilled. The board may promulgate rules to establish longer time periods for maintaining records under this paragraph.

(i) The board may promulgate rules requiring preneed sellers licensed under sub. (1) to maintain other records and establishing minimum time periods for the maintenance of those records.

(j) The board may audit, at reasonable times and frequency, the records, trust funds and accounts of any preneed seller licensed under sub. (1), including records, trust funds and accounts pertaining to services provided by a preneed seller which are not otherwise subject to the requirements under this section. The department may conduct audits under this paragraph on a random basis, and shall conduct all audits under this paragraph without providing prior notice to the preneed seller.

(k) The board may promulgate rules establishing a filing fee to accompany the report required under par. (a). The filing fee shall be based on the approximate cost of regulating preneed sellers.

**(7) APPROVAL OF WAREHOUSES.** No person may own or operate a warehouse unless the warehouse is approved by the board. Upon application, the board shall approve a warehouse that is located in this state if the person who operates the warehouse is licensed as a public warehouse keeper by the department of agriculture, trade and consumer protection under ch. 99, but may not approve a warehouse that is located in this state unless the person is so licensed. The board shall promulgate rules establishing the requirements for approval of warehouses that are located outside this state. The rules shall require warehouses that are located outside this state to file with the board a bond furnished by a surety company authorized to do business in this state in an amount that

is sufficient to guarantee the delivery of cemetery merchandise to purchasers under preneed sales contracts. The board shall compile and keep a current list of the names and addresses of all warehouses approved under this subsection and shall make the list available for public inspection during the times specified in s. 230.35 (4) (f).

**(9) EXEMPTIONS; CERTIFICATION OF COMPLIANCE OF CEMETERY AFFILIATED WITH RELIGIOUS SOCIETY.** (a) If the cemetery authority of a cemetery that is affiliated with a religious society organized under ch. 187 or that religious society files an annual certification with the department as provided in this subsection, neither the cemetery authority nor any employee of the cemetery is required to be licensed as a cemetery preneed seller under sub. (1) during the period for which the certification is effective.

(b) A certification under this subsection shall be made on a form prescribed and furnished by the department and include all of the following:

1. The name and address of each cemetery to which the certification applies.

2. The name, address and social security number of each employee of the cemetery who sold or solicited the sale of cemetery merchandise or an undeveloped space under a preneed sales contract for the cemetery during the 12-month period immediately preceding the date on which the certification is filed with the department.

3. A notarized statement of a person who is legally authorized to act on behalf of the religious society under this subsection that, during the 12-month period immediately preceding the date on which the certification is filed with the department, each employee specified under subd. 2. and the cemetery authority have either fully complied or have substantially complied with subs. (2), (3) (a) and (b) and (5).

(c) If the statement under par. (b) 3. includes a statement of substantial compliance, the statement of substantial compliance must also specify those instances when the employee or cemetery authority did not fully comply with sub. (2), (3) (a) or (b) or (5).

(d) A certification under this subsection is effective for the 12-month period immediately following the date on which the certification is filed with the department.

(e) During the effective period specified under par. (d), the department may not audit the preneed trust funds or any records or accounts relating to the preneed trust funds of the cemetery authority or any employee of the cemetery to which a certification under this subsection applies.

(f) The religious society that is affiliated with a cemetery to which a certification under this subsection applies is liable for the damages of any person that result from the failure of any employee specified under par. (b) 2. or the cemetery authority to fully comply with sub. (2), (3) (a) or (b) or (5) during the 12-month period for which such compliance has been certified under this subsection.

**(10) EXEMPTIONS; CERTAIN CEMETERIES.** This section does not apply to a cemetery authority that is not required to be licensed under s. 440.91 (1) or registered under s. 440.91 (1m).

**History:** 1989 a. 307; 1991 a. 16, 32, 39, 269; 1993 a. 16; 1995 a. 27 ss. 6605, 9116 (5); 1995 a. 295; 1997 a. 79, 191; 1999 a. 9; 2005 a. 25, 213, 254; 2007 a. 20, 174.

**Cross Reference:** See also chs. CB 1 and 2 and RL 52, Wis. adm. code.

**440.93 Disciplinary actions and proceedings. (1)** The board may reprimand a licensee or deny, limit, suspend, or revoke a certificate of licensure of a cemetery authority, cemetery salesperson, or preneed seller if it finds that the applicant or licensee, or, if the applicant or licensee is an association, partnership, limited liability company, or corporation, any officer, director, trustee, member, or shareholder who beneficially owns, holds, or has the power to vote 5% or more of any class of security issued by the applicant or licensee, has done any of the following:

(a) Made a material misstatement in an application for a certificate or for renewal of a certificate.

(b) Made a substantial misrepresentation or false promise to an individual to influence the individual to purchase a cemetery lot, cemetery merchandise or mausoleum space.

(c) Engaged in any practice relating to the sale of a cemetery lot, cemetery merchandise or mausoleum space which clearly demonstrates a lack of knowledge or ability to apply professional principles or skills.

(d) Subject to ss. 111.321, 111.322 and 111.335, been convicted of an offense the circumstances of which substantially relate to the sale of a cemetery lot, cemetery merchandise or mausoleum space.

(e) Advertised in a manner that is false, deceptive or misleading.

(f) Subject to ss. 111.321, 111.322 and 111.34, engaged in any practice relating to the sale of a cemetery lot, cemetery merchandise or mausoleum space while the person's ability to practice was impaired by alcohol or other drugs.

(g) Violated this subchapter or any rule promulgated under this subchapter.

**(2)** The department shall determine in each case the period that a limitation, suspension or revocation of a certificate is effective. This subsection does not apply to a limitation or suspension under s. 440.13 (2) (a).

**History:** 1989 a. 307; 1993 a. 112; 1997 a. 191; 2005 a. 25.

**440.945 Cemetery monuments. (1) DEFINITIONS.** In this section:

(a) "Installed" means permanently affixed to a cemetery lot.

(b) "Monument" means any object made of granite, bronze, marble, stone, cement or other permanent material that is installed or intended to be installed to identify or memorialize human remains.

(c) "Vendor" means a person who sells, delivers, installs or cares for a monument, other than the cemetery authority of the cemetery in which the monument is installed.

**(2) CEMETERY AUTHORITY POWERS.** A cemetery authority may do any of the following:

(a) Adopt regulations, consistent with this section and with standards that the cemetery authority uses for its own monument installations, prescribing requirements and procedures for the sale, delivery, installation or care of monuments, including requirements that each vendor provide reasonable advance notice to the cemetery authority of the date on which the vendor desires to install a monument; that each vendor carry worker's compensation insurance and a minimum amount of comprehensive general liability insurance, such minimum amount not to exceed \$300,000; and that each owner of a cemetery lot pay all fees and other amounts due the cemetery authority to satisfy any encumbrances pertaining to the cemetery lot before a monument is installed.

(b) Assist a vendor in marking the location for a monument and inspect the installation of the monument to ensure that it is properly installed by the vendor.

(c) Charge either the owner of a cemetery lot or a vendor a reasonable fee to cover the cemetery authority's labor costs. In this paragraph, "labor costs" means the amount, calculated in accordance with generally accepted accounting principles and practices, that is payable to employees of the cemetery authority for wages and fringe benefits for the period that the employees were engaged in marking the location for and inspecting the installation of the monument to ensure that it was properly installed, and may include any general administrative or overhead costs of the cemetery authority or any other costs that are directly related to marking the location for and inspecting the installation of the monument to ensure that it was properly installed.

**(3) DISCLOSURE OF INFORMATION TO CONSUMERS.** (a) Every cemetery authority shall keep on file and make available for inspection and copying to owners and prospective purchasers of

cemetery lots and to other interested persons all of the following information:

1. An itemized list of the amounts charged for any services provided by the cemetery authority relating to the finishing, installation or care of monuments.

2. Any regulations adopted under sub. (2) (a).

(b) Upon the request of any person who is interested in purchasing a monument from a cemetery authority or a vendor, the cemetery authority or vendor shall provide the person with an itemized list of the amount charged for each finished monument in which the person is interested and for any services that may be provided by the cemetery authority or vendor relating to the installation or care of the monument.

**(4) PROHIBITED CONDUCT.** (a) A cemetery authority may not do any of the following:

1. Require the owner or purchaser of a cemetery lot to purchase a monument or services related to the installation of a monument from the cemetery authority.

2. Restrict the right of the owner or purchaser of a cemetery lot to purchase a monument or services related to the installation of a monument from the vendor of his or her choice.

3. Except as provided in sub. (2) (c), charge the owner or purchaser of a cemetery lot a fee for purchasing a monument or services related to the installation of a monument from a vendor, or charge a vendor a fee for delivering or installing the monument. Nothing in this subdivision shall be construed to prohibit a cemetery authority from charging the owner or purchaser of a cemetery lot a reasonable fee for services relating to the care of a monument.

4. Discriminate against any owner or purchaser of a cemetery lot who has purchased a monument or services related to the installation of a monument from a vendor.

(b) A vendor may not falsely represent to any person any regulations adopted by a cemetery authority under sub. (2) (a) or falsely represent to any person the vendor's relationship with a cemetery authority.

**(5) ENFORCEMENT.** (a) If the department has reason to believe that any person is violating this section and that the continuation of that activity might cause injury to the public interest, the department may investigate.

(b) The department of justice or any district attorney, upon informing the department of justice, may commence an action in circuit court in the name of the state to restrain by temporary or permanent injunction any violation of this section. The court may, prior to entry of final judgment, make such orders or judgments as may be necessary to restore to any person any pecuniary loss suffered because of the acts or practices involved in the action, if proof of such loss is submitted to the satisfaction of the court. The department of justice may subpoena persons and require the production of books and other documents, and may request the department of regulation and licensing to exercise its authority under par. (a) to aid in the investigation of alleged violations of this section.

(c) In lieu of instituting or continuing an action under this subsection, the department of justice may accept a written assurance of discontinuance of any act or practice alleged to be a violation of this section from the person who has engaged in the act or practice. An assurance entered into under this paragraph shall not be considered evidence of a violation of this section, but a violation of the assurance shall be treated as a violation of this section.

**History:** 1989 a. 95; 1989 a. 307 ss. 84, 86; Stats. 1989 s. 440.945.

**440.947 Disclosures and representations for certain sales. (1)** In this section:

(a) "Cash advance item" means personal property or a service that is obtained by a person from a 3rd party and that is paid for by the person on behalf of, and subject to reimbursement from, a buyer of a casket, outer burial container or cemetery merchandise from the person. "Cash advance item" includes cemetery or cre-

matory services, pallbearers, public transportation, clergy honoraria, flowers, musicians or vocalists, nurses, obituary notices, gratuities and death certificates.

(b) “Direct cremation service” means the disposition of human remains by cremation without any formal viewing, visitation or ceremony in which the body of the deceased is present.

(c) “Outer burial container” has the meaning given in s. 157.061 (11g).

(d) “Person” does not include a person issued a funeral director’s license under ch. 445 or an operator of a funeral establishment, as defined in s. 445.01 (7).

(2) No person may sell or offer for sale a casket, outer burial container or cemetery merchandise unless the person has provided to the buyer, prior to the sale, a price list in a clearly legible and conspicuous format that includes each of the following:

(a) The name, address and telephone number of the person’s place of business.

(b) The effective date of the price list.

(c) The price and a description of each type of casket, outer burial container and cemetery merchandise that the person usually offers for sale without special ordering. A description required under this paragraph shall enable a buyer to identify and understand the specific casket, outer burial container or cemetery merchandise that is offered for sale.

(d) If the person usually offers an outer burial container for sale without special ordering, a statement that is identical to the following: “State law does not require that you buy a container to surround the casket in the grave. However, many cemeteries require that you have such a container so that the grave will not sink in. Either a grave liner or a burial vault will satisfy these requirements.”

(e) The price and a description of any direct cremation or burial service offered by the person and, if the person offers direct cremation service, a statement that is identical to the following: “If you want to arrange a direct cremation, you can use an alternative container. Alternative containers encase the body and can be made of materials like fiberboard or composition materials (with or without an outside covering). The containers that we provide are ... [insert a description of the containers offered for direct cremation].”

(f) The price and a description of any service offered by the person for the use any facilities, equipment or staff related to a viewing, funeral ceremony, memorial service or graveside service.

(g) The amount and a description of any basic service fee that is charged in addition to any price described under pars. (c), (e) or (f).

(3) A person who sells a casket, outer burial container or cemetery merchandise shall, immediately after completing the sale, provide the buyer with a form in a clearly legible and conspicuous format that includes each of the following:

(a) The price and a description of the casket, outer burial container or cemetery merchandise.

(b) The price and a description of any service specified in sub. (2) (e) or (f) that is sold in addition to the casket, outer burial container or cemetery merchandise.

(c) The amount and a description of any basic service fee that is charged in addition to any price described under par. (a) or (b).

(d) A statement that the buyer may be charged only for the items that he or she has selected or that are required by law and a description and explanation of any items that he or she is required by law to purchase.

(e) A description of any charge for a cash advance item, including any commission, discount or rebate that the person receives for a cash advance item from the 3rd party from which the cash

advance item is obtained and that the person does not pass on to the buyer.

(4) No person who sells a casket, outer burial container or cemetery merchandise may do any of the following:

(a) Provide inaccurate information regarding the information specified in sub. (2) (c), (e), (f) or (g) to a prospective buyer who contacts the person by telephone.

(b) Represent that state or local law requires a prospective buyer to purchase a casket for a direct cremation service.

(c) Misrepresent to a prospective buyer any requirement under federal, state or local law or under the rules of any cemetery, mausoleum or crematory relating to the use of a casket, outer burial container or cemetery merchandise.

(d) Represent that any casket, outer burial container or cemetery merchandise will delay the natural decomposition of human remains for a long or indefinite period of time.

(e) Require a buyer to pay an additional fee or surcharge if the buyer purchases a casket, outer burial container or cemetery merchandise from a 3rd party.

(f) Alter a price specified in sub. (2) (c), (e), (f) or (g) based on the type of casket, outer burial container or cemetery merchandise purchased by a buyer.

(5) A person who sells a casket, outer burial container or cemetery merchandise shall retain a copy of the price list specified in sub. (2) (intro.) for at least one year after the date of its last distribution to a prospective buyer and shall retain a copy of each form that is provided to a buyer under sub. (3) (intro.) for at least one year after completion of a sale. A person required to retain a copy under this subsection shall make the copy available for inspection by the department upon request.

History: 1999 a. 9.

**440.95 Penalties.** (1) Any cemetery authority that is required to be licensed under s. 440.91 (1) and that knowingly fails to be licensed may be fined not more than \$100.

(2) Any individual who is required to register as a cemetery salesperson under s. 440.91 (2) and who fails to register may be fined not less than \$25 nor more than \$200 or imprisoned for not more than 6 months or both.

(3) Except as provided in subs. (1) and (2), any person who violates s. 440.91 or 440.947 or any rule promulgated under s. 440.91 may be fined not more than \$1,000 or imprisoned for not more than 6 months or both.

(4) Any person who intentionally does any of the following may be fined not more than \$1,000 or imprisoned for not more than 90 days or both:

(a) Fails to register as a preneed seller as required under s. 440.92 (1) (a).

(b) Fails to deposit or invest preneed trust funds or care funds as required under s. 440.92 (3).

(c) Fails to file a report or files an incomplete, false or misleading report under s. 440.92 (6).

(d) Files a false or misleading certification under s. 440.92 (9).

(5) Except as provided in sub. (4), any person who violates s. 440.92 or any rule promulgated under s. 440.92 may be required to forfeit not more than \$200 for each offense. Each day of continued violation constitutes a separate offense.

(6) (a) Any cemetery authority or vendor that fails to disclose information to consumers in violation of s. 440.945 (3) may be required to forfeit not more than \$200.

(b) Any cemetery authority or vendor that violates s. 440.945 (4) may be required to forfeit not more than \$200 for the first offense and may be required to forfeit not more than \$500 for the 2nd or any later offense within a year. The period shall be mea-



sured by using the dates of the offenses that resulted in convictions.

**History:** 1989 a. 307 ss. 75, 87; 1999 a. 9; 2005 a. 25.

## SUBCHAPTER IX

### INTERIOR DESIGNERS

**Cross Reference:** See also ch. [RL 130](#), Wis. adm. code.

**440.96 Definitions.** In this subchapter:

(1) “Interior design” means the design of interior spaces in conformity with public health, safety and welfare requirements, including the preparation of documents relating to space planning, finish materials, furnishings, fixtures and equipment and the preparation of documents relating to interior construction that does not substantially affect the mechanical or structural systems of a building. “Interior design” does not include services that constitute the practice of architecture or the practice of professional engineering.

(2) “Wisconsin registered interior designer” means a person registered as a Wisconsin registered interior designer under this subchapter.

**History:** 1995 a. 322.

**440.961 Use of title.** No person may use the title “Wisconsin registered interior designer”, use any title or description that implies that he or she is a Wisconsin registered interior designer or represent himself or herself to be a Wisconsin registered interior designer unless the person is registered as a Wisconsin registered interior designer under this subchapter.

**History:** 1995 a. 322.

**440.962 Registration requirements.** The department shall register as a Wisconsin registered interior designer an individual who submits an application to the department on a form provided by the department and who satisfies one of the following requirements:

(1) The individual does all of the following:

(a) Submits to the department evidence satisfactory to the department of any of the following:

1. That he or she is a graduate of a 5–year interior design or architecture program and has at least one year of practical experience in interior design of a character satisfactory to the department.

2. That he or she is a graduate of a 4–year interior design or architecture program and has at least 2 years of practical experience in interior design of a character satisfactory to the department.

3. That he or she has completed at least 3 years of an interior design program and has at least 3 years of practical experience in interior design of a character satisfactory to the department.

4. That he or she is a graduate of a 2–year interior design program and has at least 4 years of practical experience in interior design of a character satisfactory to the department.

(b) Satisfies the applicable requirements under s. [440.964](#).

(c) Subject to ss. [111.321](#), [111.322](#) and [111.335](#), submits evidence satisfactory to the department that he or she does not have an arrest or conviction record.

(d) Submits the names of at least 5 references, at least 3 of whom shall have personal knowledge of the applicant’s interior designing experience.

(e) Meets any other requirements established by the department by rule.

(2) The individual is registered as an architect under s. [443.03](#) and submits evidence satisfactory to the department of all of the following:

(a) That he or she is a graduate of a 4–year architecture program.

(b) That he or she has at least 6 years of demonstrated practical experience in interior design of a character satisfactory to the department.

**History:** 1995 a. 322.

**Cross Reference:** See also ch. [RL 130](#), Wis. adm. code.

**440.963 Use of title by firms, partnerships and corporations.** (1) A firm, partnership or corporation may use the term “Wisconsin registered interior designer” or “Wisconsin registered interior designers”, or may advertise or make representations that it provides the services of a Wisconsin registered interior designer, only if at least one principal, partner or officer who is in responsible charge of the interior design services provided by the firm, partnership or corporation is a Wisconsin registered interior designer.

(2) No firm, partnership or corporation may be relieved of responsibility for the conduct or acts of its agents, employees or officers by reason of its compliance with this subchapter, nor may any individual practicing interior design be relieved of responsibility for interior designing services performed by reason of his or her employment or relationship with the firm, partnership or corporation.

**History:** 1995 a. 322.

**440.964 Examinations.** (1) Except as provided in s. [440.962](#) (2), no person may be registered as a Wisconsin registered interior designer under this subchapter unless he or she passes one of the following examinations:

(a) An interior design examination administered by a national organization that establishes standards for the interior design profession and that is recognized by the department.

(b) An interior design examination conducted or approved by the department under sub. (2) that is substantially equivalent to an examination specified in par. (a).

(2) Written or written and oral examinations under sub. (1) (b) shall be held at such time and place as the department determines. The scope of the examinations and the methods of procedure shall be prescribed by the department with special reference to the applicant’s ability to design and supervise interior designing work, which shall promote the public welfare and ensure the safety of life, health and property. The examinations shall include questions which require applicants to demonstrate knowledge of the design needs of people with physical disabilities and of the relevant statutes and codes. Such questions shall be developed by the department in consultation with other appropriate state agencies.

(3) A candidate failing an examination given under sub. (2) may, upon application and payment of the required reexamination fee, be examined again by the department. No restrictions may be placed on the number of times an unsuccessful candidate may be reexamined, except that after failure of 3 reexaminations, the department may require a one–year waiting period before further reexamination.

**History:** 1995 a. 322.

**440.965 Reciprocal registration.** The department may, upon application and payment of the required fee, grant a permit to use the title “Wisconsin registered interior designer” to a person who is not a resident of and has no established place of business in this state, or who has recently become a resident of this state, if the person holds an unexpired certificate of similar registration issued to the person by the proper authority in any state or territory or possession of the United States or in any country in which the requirements for the registration of interior designers are of a standard not lower than specified in this subchapter.

**History:** 1995 a. 322.

**440.966 Renewal; continuing education.** (1) The renewal date and fees for a certificate of registration issued under this subchapter are specified in s. [440.08](#) (2) (a).

**NOTE:** Sub. (1) is amended eff. 7–1–09 by [2007 Wis. Act 20](#) to read:

(1) The renewal date for a certificate of registration issued under this subchapter is specified in s. 440.08 (2) (a), and the renewal fee for such certificate of registration is determined by the department under s. 440.03 (9) (a).

(2) A Wisconsin registered interior designer shall, at the time that he or she applies for renewal of a certificate of registration under sub. (1), submit proof of completion of continuing education requirements established by rules promulgated by the department.

**History:** 1995 a. 322; 2007 a. 20.

**Cross Reference:** See also ch. RL 130, Wis. adm. code.

**440.967 List of registered persons.** The department shall prepare each year a list showing the names and business addresses of all persons registered as a Wisconsin registered interior designer under this subchapter. Upon request, the department shall provide a list prepared under this section to any person at cost.

**History:** 1995 a. 322.

**440.968 Discipline; prohibited acts; penalties.** (1) The department may reprimand a Wisconsin registered interior designer, or may limit, suspend or revoke the certificate of registration of a Wisconsin registered interior designer, who has done any of the following:

(a) Committed any fraud or deceit in obtaining or renewing a certificate of registration under this subchapter.

(b) Committed any gross negligence or misconduct, or acted in a grossly incompetent manner, in the practice of interior design as a Wisconsin registered interior designer.

(c) Violated this subchapter or a rule promulgated under this subchapter.

(d) Been convicted of a felony, subject to ss. 111.321, 111.322 and 111.335, or been adjudicated mentally incompetent by a court of competent jurisdiction, a certified copy of the record of conviction or adjudication of incompetency to be conclusive evidence of such conviction or incompetency.

(2) Any person who uses the title “Wisconsin registered interior designer” in this state and who is not registered in accordance with this subchapter, or any person presenting or attempting to use as his or her own the certificate of registration of another, or any person who falsely impersonates any other registrant of like or different name, or any person who attempts to use an expired or revoked certificate of registration, may be fined not less than \$100 nor more than \$500 or imprisoned for not more than 3 months or both.

(3) Any person may allege to the department that he or she believes a person registered under this subchapter has committed an act for which a reprimand or limitation, suspension or revocation of registration is authorized under sub. (1). Such allegations shall be in writing, and shall be sworn to by the person making them and shall be submitted to the department. The department may, on its own motion, make such charges.

(4) The department may reissue a certificate of registration to any person whose certificate has been revoked under sub. (1) if the person satisfies requirements for reissuance established by the department. The department may issue a new certificate of registration to replace any certificate revoked, lost, destroyed or mutilated, subject to the rules of the department and the payment of the required fee.

**History:** 1995 a. 322.

**440.969 Change of name.** No person who is registered as a Wisconsin registered interior designer under this subchapter may practice interior design in this state under any other given name or any other surname than that under which the person was originally registered to use a title in this or any other state if the department, after a hearing, finds that using a title under the changed name operates to unfairly compete with another practitioner or to mislead the public as to identity or to otherwise result in detriment

to the profession or the public. This section does not apply to a change of name resulting from marriage or divorce.

**History:** 1995 a. 322.

## SUBCHAPTER X

### HOME INSPECTORS

**Cross Reference:** See also chs. RL 131, 132, 133, 134, and 135, Wis. adm. code.

**440.97 Definitions.** In this subchapter:

(1) “Client” means a person who contracts with a home inspector for a home inspection.

(2) “Compensation” means direct or indirect payment, including the expectation of payment whether or not actually received.

(3) “Dwelling unit” means a structure or that part of a structure that is used or intended to be used as a home, residence or sleeping place by one person or by 2 or more persons who are maintaining a common household, to the exclusion of all others.

(4) “Home inspection” means the process by which a home inspector examines the observable systems and components of improvements to residential real property that are readily accessible.

(5) “Home inspection report” means a written opinion of a home inspector concerning all of the following:

(a) The condition of the improvements to residential real property that contains not more than 4 dwelling units.

(b) The condition of mechanical and structural components of the improvements specified in par. (a).

(6) “Home inspector” means an individual who, for compensation, conducts a home inspection.

(7) “Technically exhaustive” means the extensive use of measurements, instruments, testing, calculations and other means to develop scientific or engineering findings, conclusions or recommendations.

**History:** 1997 a. 81.

**440.971 Registry established.** The department shall establish a registry of home inspectors.

**History:** 1997 a. 81.

**440.9712 Registration required.** (1) Except as provided in s. 440.9715, no individual may act as a home inspector, use the title “home inspector”, use any title or description that implies that he or she is a home inspector or represent himself or herself to be a home inspector unless the individual is registered under this subchapter.

(1m) No business entity may provide home inspection services unless each of the home inspectors employed by the business entity is registered under this subchapter.

(2) No business entity may use, in connection with the name or signature of the business entity, the title “home inspectors” to describe the business entity’s services, unless each of the home inspectors employed by the business entity is registered under this subchapter.

**History:** 1997 a. 81.

**440.9715 Applicability.** A registration is not required under this subchapter for any of the following:

(1) An individual who conducts a home inspection while lawfully practicing within the scope of a license, permit or certificate granted to that individual by a state governmental agency.

(2) An individual who constructs, repairs or maintains improvements to residential real property, if the individual conducts home inspections only as part of his or her business of constructing, repairing or maintaining improvements to real property and if the individual does not describe himself or herself as a registered home inspector or convey the impression that he or she is a registered home inspector.

(3) An individual who conducts home inspections in the normal course of his or her employment as an employee of a federal, state or local governmental agency.

History: 1997 a. 81.

**440.972 Registration of home inspectors.** (1) The department shall register an individual under this subchapter if the individual does all of the following:

(a) Submits an application for registration to the department on a form provided by the department.

(b) Pays the fee specified in s. 440.05 (1).

(c) Submits evidence satisfactory to the department that he or she is not subject to a pending criminal charge, or has not been convicted of a felony, misdemeanor or other offense, the circumstances of which substantially relate to the practice of home inspection.

(d) Passes an examination under s. 440.973 (1).

(2) The renewal date and renewal fee for certificates granted under this section are specified under s. 440.08 (2) (a) 38g.

NOTE: Sub. (2) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(2) The renewal date for certificates granted under this section is specified under s. 440.08 (2) (a) 38g., and the renewal fee for such certificates is determined by the department under s. 440.03 (9) (a).

History: 1997 a. 81; 2007 a. 20.

Cross Reference: See also ch. RL 132, Wis. adm. code.

**440.973 Examinations.** (1) No person may be registered under this subchapter unless he or she passes an examination approved by the department. In approving an examination under this subsection, the department shall consider the use of an examination that is similar to an examination that is required for membership in the American Society of Home Inspectors.

(2) The department shall conduct examinations for home inspector registration at least semiannually at times and places determined by the department.

(3) An individual is not eligible for examination unless the individual has satisfied the requirements for registration under s. 440.972 (1) (a) to (c) at least 30 days before the date of the examination.

History: 1997 a. 81.

Cross Reference: See also chs. RL 132 and 133, Wis. adm. code.

**440.974 Rules.** (1) The department shall promulgate rules necessary to administer this subchapter, including rules to establish all of the following:

(a) Standards for acceptable examination performance by an applicant for registration.

(b) Subject to s. 440.975, standards for the practice of home inspection by home inspectors and standards for specifying the mechanical and structural components of improvements to residential real property that are included in a home inspection. The rules promulgated under this paragraph may not require a home inspector to use a specified form for the report required under s. 440.975 (3).

(c) Subject to s. 440.975, the information that a home inspector is required to provide to a client concerning the results of the home inspection conducted by the home inspector.

(2) The department shall promulgate rules establishing continuing education requirements for individuals registered under this subchapter. The rules promulgated under this subsection shall require the completion of at least 20 hours of continuing education during each calendar year.

History: 1997 a. 81.

Cross Reference: See also chs. RL 131, 132, 133, 134, and 135, Wis. adm. code.

**440.975 Standards of practice.** (1) In this section, “reasonably competent and diligent inspection” means an inspection that complies with the standards established under this subchapter or the rules promulgated under this subchapter.

(2) A home inspector shall perform a reasonably competent and diligent inspection to detect observable conditions of an

improvement to residential real property. Except for removing an access panel that is normally removed by an occupant of residential real property, this subsection does not require a home inspector to disassemble any component of an improvement to residential real property. A reasonably competent and diligent inspection under this subsection is not required to be technically exhaustive.

(3) After completing a home inspection, a home inspector shall submit a written report to a client that does all of the following:

(a) Lists the components of an improvement to residential real property that the home inspector is required to inspect under the rules promulgated under s. 440.974 (1) (b).

(b) Lists the components of an improvement to residential real property that the home inspector has inspected.

(c) Describes any condition of an improvement to residential real property or of any component of an improvement to residential real property that is detected by the home inspector during his or her home inspection and that, if not repaired, will have a significant adverse effect on the life expectancy of the improvement or the component of the improvement.

(d) Provides any other information that the home inspector is required to provide under the rules promulgated under s. 440.974 (1) (c).

(4) A home inspector is not required to report on any of the following:

(a) The life expectancy of an improvement to residential real property or a component of an improvement to residential real property.

(b) The cause of the need for any major repair to an improvement to residential real property or a component of an improvement to residential real property.

(c) The method of making any repair or correction, the materials needed for any repair or correction or the cost of any repair or correction.

(d) The suitability for any specialized use of an improvement to residential real property.

(e) Whether an improvement to residential real property or a component of an improvement to residential real property complies with applicable regulatory requirements.

(f) The condition of any component of an improvement to residential real property that the home inspector was not required to inspect under the rules promulgated under s. 440.974 (1) (b).

(5) A home inspector may not report, either in writing or verbally, on any of the following:

(a) The market value or marketability of a property.

(b) Whether a property should or should not be purchased.

(6) This section does not require a home inspector to do any of the following:

(a) Offer a warranty or guarantee of any kind.

(b) Calculate the strength, adequacy or efficiency of any component of an improvement to residential real property.

(c) Enter any area or perform any procedure that may damage an improvement to residential real property or a component of an improvement to residential real property, or enter any area or perform any procedure that may be dangerous to the home inspector or to other persons.

(d) Operate any component of an improvement to residential real property that is inoperable.

(e) Operate any component of an improvement to residential real property that does not respond to normal operating controls.

(f) Disturb insulation or move personal items, furniture, equipment, vegetation, soil, snow, ice or debris that obstructs access to or visibility of an improvement to residential real property or a component of an improvement to residential real property.

(g) Determine the effectiveness of a component of an improvement to residential real property that was installed to control or remove suspected hazardous substances.



(h) Predict future conditions, including the failure of a component of an improvement to residential real property.

(i) Project or estimate the operating costs of a component of an improvement to residential real property.

(j) Evaluate acoustic characteristics of a component of an improvement to residential real property.

(k) Inspect for the presence or absence of pests, including rodents, insects and wood-damaging organisms.

(L) Inspect cosmetic items, underground items or items not permanently installed.

(m) Inspect for the presence of any hazardous substances.

**(7)** A home inspector may not do any of the following:

(a) Perform or offer to perform any act or service contrary to law.

(b) Deliver a home inspection report to any person other than the client without the client's consent.

(c) Perform a home inspection for a client with respect to a transaction if the home inspector, a member of the home inspector's immediate family or an organization or business entity in which the home inspector has an interest, is a party to the transaction and has an interest that is adverse to that of the client, unless the home inspector obtains the written consent of the client.

(d) Accept any compensation from more than one party to a transaction for which the home inspector has provided home inspection services without the written consent of all of the parties to the transaction.

(e) Pay or receive, directly or indirectly, in full or in part, for a home inspection or for the performance of any construction, repairs, maintenance or improvements regarding improvements to residential real property that is inspected by him or her, a fee, a commission, or compensation as a referral or finder's fee, to or from any person who is not a home inspector.

**(8)** This section does not prohibit a home inspector from doing any of the following:

(a) Reporting observations or conditions in addition to those required under this section or the rules promulgated under this section.

(b) Excluding a component of an improvement to residential real property from the inspection, if requested to do so by his or her client.

(c) Engaging in an activity that requires an occupation credential if he or she holds the necessary credential.

**History:** 1997 a. 81.

**Cross Reference:** See also ch. RL 134, Wis. adm. code.

**440.976 Disclaimers or limitation of liability.** No home inspector may include, as a term or condition in an agreement to conduct a home inspection, any provision that disclaims the liability, or limits the amount of damages for liability, of the home inspector for his or her failure to comply with the standards of practice prescribed in this subchapter or in rules promulgated under this subchapter.

**History:** 1997 a. 81.

**440.977 Liability of home inspectors. (1)** Notwithstanding s. 893.54, an action to recover damages for any act or omission of a home inspector relating to a home inspection that he or she conducts shall be commenced within 2 years after the date that a home inspection is completed or be barred. The period of limitation under this subsection may not be reduced by agreement.

**(2)** A home inspector is not liable to a person for damages that arise from an act or omission relating to a home inspection that he or she conducts if that person is not a party to the transaction for which the home inspection is conducted.

**History:** 1997 a. 81.

**440.978 Discipline; prohibited acts. (1)** Subject to the rules promulgated under s. 440.03 (1), the department may make investigations or conduct hearings to determine whether a viola-

tion of this subchapter or any rule promulgated under this subchapter has occurred.

**(2)** Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a home inspector or deny, limit, suspend or revoke a certificate under this subchapter if the department finds that the applicant or home inspector has done any of the following:

(a) Made a material misstatement in an application for a certificate or renewal of a certificate.

(b) Engaged in conduct while practicing as a home inspector that evidences a lack of knowledge or ability to apply professional principles or skills.

(c) Subject to ss. 111.321, 111.322 and 111.335, been arrested or convicted of an offense committed while registered under this subchapter.

(d) Advertised in a manner that is false, deceptive or misleading.

(e) Advertised, practiced or attempted to practice as a home inspector under another person's name.

(f) Allowed his or her name to be used by another person while the other person was practicing or attempting to practice as a home inspector.

(g) Subject to ss. 111.321, 111.322 and 111.34, practiced as a home inspector while the individual's ability to practice was impaired by alcohol or other drugs.

(h) Acted as a home inspector in connection with a transaction in which he or she was also an appraiser or broker.

(i) Performed, or agreed to perform, for compensation any repairs, maintenance or improvements on any property less than 2 years after he or she conducts a home inspection, without the written consent of the property owner given before the home inspection occurred.

(j) Prevented or attempted to prevent a client from providing a copy of, or any information from, a home inspection report done by the home inspector in connection with a transaction to any interested party to the transaction.

(k) Failed to provide a home inspection report to a client by the date agreed on by the home inspector and the client or, if no date was agreed on, within a reasonable time after completing the inspection.

(m) Violated this subchapter or any rule promulgated under this subchapter.

**(3)** In addition to or in lieu of proceeding under sub. (2), the department may assess against a person who has engaged in any of the practices specified in sub. (2) a forfeiture of not more than \$1,000 for each separate offense.

**(4)** In lieu of proceeding under sub. (1) or (2), the department may place, in a registry information file, a copy of a complaint received by the department against a Wisconsin registered home inspector, the inspector's response to the complaint and a copy of any records of the department concerning the complaint. If the department establishes a registry information file under this subsection, the department shall use the following procedure:

(a) No later than 60 days after the date on which the department receives a complaint alleging that a home inspector has engaged in conduct that is grounds for discipline under sub. (2), the department shall provide the inspector with a copy of the complaint and place a copy of the complaint and a copy of any records of the department concerning the complaint in the registry information file.

(b) After receiving a copy of the complaint under par. (a), the home inspector who is the subject of the complaint, or his or her authorized representative, may place in the registry information file a statement of reasonable length describing the inspector's view of the correctness or relevance of any of the information contained in the complaint.

(c) The department shall make the complaint, the home inspector's response to the complaint, if any, and a copy of any records of the department concerning the complaint placed in a registry information file under this subsection available to the public.

(d) The department shall remove all complaints against and other information concerning a home inspector from the registry information file if, for a period of 2 years from the date of the most recent complaint filed in the registry information file, no further complaints have been filed against the inspector.

(5) The department may, as a condition of removing a limitation on a certificate issued under this subchapter or of reinstating a certificate that has been suspended or revoked under this subchapter, do any of the following:

(a) Require the home inspector to obtain insurance against loss, expense and liability resulting from errors and omissions or neglect in the performance of services as a home inspector.

(b) Require the home inspector to file with the department a bond that is furnished by a company authorized to do business in this state and is in an amount approved by the department.

**History:** 1997 a. 81.

**Cross Reference:** See also ch. RL 134, Wis. adm. code.

**440.979 Report by department.** The department shall submit an annual report to the legislature under s. 13.172 (2) that describes all of the following:

(1) The number of home inspectors who are registered under this subchapter.

(2) The number and nature of complaints regarding home inspections that are received by the department from clients of home inspectors.

(3) The number and nature of complaints regarding home inspections that are received by the department from persons who are not clients of home inspectors.

(4) An estimate of the cost of complying with this subchapter that is incurred by home inspectors.

(5) The cost incurred by the department in carrying out its duties under this subchapter.

**History:** 1997 a. 81; 1999 a. 32 s. 311.

**Cross Reference:** See also ch. RL 134, Wis. adm. code.

## SUBCHAPTER XI

### SANITARIANS

**440.98 Sanitarians; qualifications, duties, registration.** (1) **DEFINITIONS.** In this section:

(a) "Municipality" means a county, city or village.

(b) "Sanitarian" means an individual who, through education, training or experience in the natural sciences and their application and through technical knowledge of prevention and control of preventable diseases, is capable of applying environmental control measures so as to protect human health, safety and welfare.

(2) **REGISTRATION QUALIFICATIONS.** In order to safeguard life, health and property, to promote public welfare and to establish the status of those persons whose duties in environmental sanitation call for knowledge of the natural sciences, the department may establish minimum standards and qualifications for the registration of sanitarians.

(3) **SANITARIANS; EMPLOYMENT OR CONTRACTUAL SERVICES.** Any agency of the state may employ or contract for the services of sanitarians, registered under this section, who shall enforce the public health statutes under chs. 250 to 256 or rules promulgated under those statutes.

(5) **REGISTRATION.** Except as provided in s. 440.12 or 440.13, the department shall register as a sanitarian any person who satisfies the conditions in sub. (6) and who has presented evidence satisfactory to the department that sanitarian registration standards

and qualifications of the department, as established by rule, have been met.

(6) **APPLICATIONS.** An application for a sanitarian registration under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the fee specified in s. 440.05 (1). The renewal date and renewal fee for a sanitarian registration are specified under s.440.08 (2) (a).

**NOTE:** Sub. (6) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(6) **APPLICATIONS.** An application for a sanitarian registration under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the initial credential fee determined by the department under s. 440.03 (9) (a). The renewal date for a sanitarian registration is specified under s. 440.08 (2) (a), and the renewal fee for such registration is determined by the department under s. 440.03 (9) (a).

(7) **RECIPROCITY.** The department may by rule set standards for sanitarians registered in other states to practice as registered sanitarians in this state.

(8) **REVOCATION OF REGISTRATION.** The department may, after a hearing held in conformance with ch. 227, revoke, deny, suspend, or limit under this subchapter the registration of any sanitarian, or reprimand the sanitarian, for practice of fraud or deceit in obtaining the registration or any unprofessional conduct, incompetence, or professional negligence.

(9) **FORFEITURE.** In addition to or in lieu of a reprimand or a denial, limitation, suspension, or revocation of a registration under sub. (8), the department may assess against any person a forfeiture of not less than \$100 nor more than \$1,000 for each violation under sub. (8).

**History:** 1975 c. 414 s. 28; 1977 c. 29, 418; 1983 a. 189; 1985 a. 182 s. 57; 1987 a. 27; 1993 a. 27 s. 223; Stats. 1993 s. 250.05; 1997 a. 191, 237; 1999 a. 9; 2005 a. 25 ss. 2120 to 2128; Stats. 2005 s. 440.70; 2005 a. 25 ss. 2121 to 2130, 2336m, 2337; 2005 a. 254 s. 35; 2007 a. 20, 130.

**Cross Reference:** See also chs. DHS 160 and RL 174, 175, 176, and 177, Wis. adm. code.

## SUBCHAPTER XII

### LICENSED MIDWIVES

**Cross Reference:** See also chs. RL 180, 181, 182, and 183, Wis. adm. code.

**440.9805 Definitions.** In this subchapter:

(1) "Health care provider" means a health care provider, as defined in s. 146.81 (1), a person licensed or issued a training permit as an emergency medical technician under s. 256.15, or a person certified as a first responder under s. 256.15 (8) (a).

(2) "Licensed midwife" means a person who has been granted a license under this subchapter to engage in the practice of midwifery.

(3) "Practice of midwifery" means providing maternity care during the antepartum, intrapartum, and postpartum periods.

**History:** 2005 a. 292; 2007 a. 97 s. 185; 2007 a. 130.

**440.981 Use of title; penalty.** (1) No person may use the title "licensed midwife," describe or imply that he or she is a licensed midwife, or represent himself or herself as a licensed midwife unless the person is granted a license under this subchapter or is licensed as a nurse–midwife under s. 441.15.

(2) Any person who violates sub. (1) may be fined not more than \$250, imprisoned not more than 3 months, or both.

**History:** 2005 a. 292.

**440.982 Licensure.** (1) No person may engage in the practice of midwifery unless the person is granted a license under this subchapter, is granted a temporary permit pursuant to a rule promulgated under s. 440.984 (2m), or is licensed as a nurse–midwife under s. 441.15.

(1m) Except as provided in sub. (2), the department may grant a license to a person under this subchapter if all of the following apply:

(a) The person submits an application for the license to the department on a form provided by the department.

(b) The person pays the fee specified in s. 440.05 (1).

NOTE: Par. (b) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(b) The person pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(c) The person submits evidence satisfactory to the department of one of the following:

1. The person holds a valid certified professional midwife credential granted by the North American Registry of Midwives or a successor organization.

2. The person holds a valid certified nurse–midwife credential granted by the American College of Nurse Midwives or a successor organization.

(d) The person submits evidence satisfactory to the department that the person has current proficiency in the use of an automated external defibrillator achieved through instruction provided by an individual, organization, or institution of higher education approved under s. 46.03 (38) to provide such instruction.

(2) The department may not grant a license under this subchapter to any person who has been convicted of an offense under s. 940.22, 940.225, 944.06, 944.15, 944.17, 944.30, 944.31, 944.32, 944.33, 944.34, 948.02, 948.025, 948.051, 948.06, 948.07, 948.075, 948.08, 948.09, 948.095, 948.10, 948.11, or 948.12 or under s. 940.302 (2) if s. 940.302 (2) (a) 1. b. applies.

History: 2005 a. 292; 2007 a. 20, 104, 116.

Cross Reference: See also ch. RL 181, Wis. adm. code.

**440.983 Renewal of licensure.** (1) The renewal date for licenses granted under this subchapter is specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee specified in s. 440.08 (2) (a).

NOTE: Sub. (1) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(1) The renewal date for licenses granted under this subchapter is specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a).

(2) A licensed midwife shall, at the time that he or she applies for renewal of a license under sub. (1), submit proof satisfactory to the department of all of the following:

(a) He or she holds a valid certified professional midwife credential from the North American Registry of Midwives or a successor organization or a valid certified nurse–midwife credential from the American College of Nurse Midwives or a successor organization.

(b) He or she has current proficiency in the use of an automated external defibrillator achieved through instruction provided by an individual, organization, or institution of higher education approved under s. 46.03 (38) to provide such instruction.

History: 2005 a. 292; 2007 a. 20, 104.

**440.984 Rule making.** (1) The department shall promulgate rules necessary to administer this subchapter. Except as provided in subs. (2), (2m), and (3), any rules regarding the practice of midwifery shall be consistent with standards regarding the practice of midwifery established by the National Association of Certified Professional Midwives or a successor organization.

(2) The rules shall allow a licensed midwife to administer oxygen during the practice of midwifery.

(2m) The rules shall provide for the granting of temporary permits to practice midwifery pending qualification for licensure.

(3) The rules may allow a midwife to administer, during the practice of midwifery, oxytocin (Pitocin) as a postpartum anti-hemorrhagic agent, intravenous fluids for stabilization, vitamin K, eye prophylactics, and other drugs or procedures as determined by the department.

(4) The rules may not do any of the following:

(a) Require a licensed midwife to have a nursing degree or diploma.

(b) Require a licensed midwife to practice midwifery under the supervision of, or in collaboration with, another health care provider.

(c) Require a licensed midwife to enter into an agreement, written or otherwise, with another health care provider.

(d) Limit the location where a licensed midwife may practice midwifery.

(e) Permit a licensed midwife to use forceps or vacuum extraction.

History: 2005 a. 292.

Cross Reference: See also chs. RL 180, 181, 182, and 183, Wis. adm. code.

**440.985 Informed consent.** A licensed midwife shall, at an initial consultation with a client, provide a copy of the rules promulgated by the department under this subchapter and disclose to the client orally and in writing all of the following:

(1) The licensed midwife's experience and training.

(2) Whether the licensed midwife has malpractice liability insurance coverage and the policy limits of any such coverage.

(3) A protocol for medical emergencies, including transportation to a hospital, particular to each client.

(4) Any other information required by department rule.

History: 2005 a. 292.

Cross Reference: See also s. RL 182.01, Wis. adm. code.

**440.986 Disciplinary proceedings and actions.**

(1) Subject to the rules promulgated under s. 440.03 (1), the department may conduct investigations and hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a licensed midwife or deny, limit, suspend, or revoke a license granted under this subchapter if the department finds that the applicant or the licensed midwife has done any of the following:

(a) Intentionally made a material misstatement in an application for a license or for renewal of a license.

(b) Subject to ss. 111.321, 111.322, and 111.34, practiced midwifery while his or her ability to engage in the practice was impaired by alcohol or other drugs.

(c) Advertised in a manner that is false or misleading.

(d) In the course of the practice of midwifery, made a substantial misrepresentation that was relied upon by a client.

(e) In the course of the practice of midwifery, engaged in conduct that evidences an inability to apply the principles or skills of midwifery.

(f) Obtained or attempted to obtain compensation through fraud or deceit.

(g) Allowed another person to use a license granted under this subchapter.

(h) Violated any law of this state or federal law that substantially relates to the practice of midwifery, violated this subchapter, or violated any rule promulgated under this subchapter.

(3) Subject to the rules promulgated under s. 440.03 (1), the department shall revoke a license granted under this subchapter if the licensed midwife is convicted of any of the offenses specified in 440.982 (2).

History: 2005 a. 292.

Cross Reference: See also ch. RL 183, Wis. adm. code.

**440.987 Advisory committee.** If the department appoints an advisory committee under s. 440.042 to advise the department on matters relating to the regulation of licensed midwives, the committee shall consist of only the following:

(1) Two members who are licensed midwives.

(2) One member who is licensed as a nurse–midwife under s. 441.15 and who practices in an out–of–hospital setting.

(3) One member who is a physician specializing in obstetrics and gynecology.

(4) One public member who has received midwifery care in an out–of–hospital setting.

History: 2005 a. 292.



**440.988 Vicarious liability.** No health care provider shall be liable for an injury resulting from an act or omission by a licensed midwife, even if the health care provider has consulted with or accepted a referral from the licensed midwife.

**History:** 2005 a. 292.

### SUBCHAPTER XIII

#### UNIFORM ATHLETE AGENTS ACT

**440.99 Definitions.** In this subchapter:

(1) “Agency contract” means an agreement in which a student athlete authorizes a person to negotiate or solicit on behalf of the student athlete a professional–sports–services contract or an endorsement contract.

(2) “Athlete agent” means an individual who enters into an agency contract with a student athlete or recruits or solicits a student athlete to enter into an agency contract. “Athlete agent” includes an individual who represents to the public that the individual is an athlete agent. “Athlete agent” does not include a spouse, parent, sibling, grandparent, or guardian of the student athlete or an individual acting solely on behalf of a professional sports team or professional sports organization. “Athlete agent” also does not include an individual who provides information to a student athlete, but who does not recruit or solicit the student athlete to enter into an agency contract.

(3) “Athletic director” means an individual responsible for administering the overall athletic program of an educational institution or, if an educational institution has separately administered athletic programs for male students and female students, the athletic program for males or the athletic program for females, as appropriate.

(4) “Contact” means a communication, direct or indirect, between an athlete agent and a student athlete, to recruit or solicit the student athlete to enter into an agency contract.

(5) “Endorsement contract” means an agreement under which a student athlete is employed or receives consideration to use on behalf of the other party any value that the student athlete may have because of publicity, reputation, following, or fame obtained because of athletic ability or performance.

(6) “Intercollegiate sport” means a sport played at the collegiate level for which eligibility requirements for participation by a student athlete are established by a national association for the promotion or regulation of collegiate athletics.

(7) “Professional–sports–services contract” means an agreement under which an individual is employed, or agrees to render services, as a player on a professional sports team, with a professional sports organization, or as a professional athlete.

(8) “Record” means information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.

(9) “Registration” means registration as an athlete agent under this subchapter.

(10) “State” means a state of the United States, the District of Columbia, Puerto Rico, the United States Virgin Islands, or any territory or insular possession subject to the jurisdiction of the United States.

(11) “Student athlete” means an individual who engages in, is eligible to engage in, or may be eligible in the future to engage in, any intercollegiate sport. If an individual is permanently ineligible to participate in a particular intercollegiate sport, the individual is not a student athlete for purposes of that sport.

**History:** 2003 a. 150.

**440.9905 Service of process.** By acting as an athlete agent in this state, a nonresident individual appoints the secretary of state as the individual’s agent for service of process in any civil

action in this state related to the individual’s acting as an athlete agent in this state.

**History:** 2003 a. 150.

**440.991 Athlete agents: registration required; void contracts.** (1) Except as otherwise provided in sub. (2), an individual may not act as an athlete agent in this state without holding a certificate of registration under s. 440.992 or 440.993.

(2) Before being issued a certificate of registration, an individual may act as an athlete agent in this state for all purposes except signing an agency contract, if all of the following are satisfied:

(a) A student athlete or another person acting on behalf of the student athlete initiates communication with the individual.

(b) Within 7 days after an initial act as an athlete agent, such as an effort to recruit or solicit a student athlete to enter into an agency contract, the individual submits an application for registration as an athlete agent in this state.

(3) An agency contract resulting from conduct in violation of this section is void and the athlete agent shall return any consideration received under the contract.

**History:** 2003 a. 150.

**440.9915 Registration as athlete agent; form; requirements.** (1) An applicant for registration as an athlete agent shall submit an application for registration to the department in a form prescribed by the department. The application must be in the name of an individual and, except as otherwise provided in sub. (2), signed or otherwise authenticated by the applicant under penalty of perjury and state or contain all of the following:

(a) The name of the applicant and the address of the applicant’s principal place of business.

(b) The name of the applicant’s business or employer, if applicable.

(c) Any business or occupation engaged in by the applicant for the 5 years next preceding the date of submission of the application.

(d) A description of all of the following:

1. The applicant’s formal training as an athlete agent.

2. The applicant’s practical experience as an athlete agent.

3. The applicant’s educational background relating to his or her activities as an athlete agent.

(e) The name, sport, and last-known team for each individual for whom the applicant acted as an athlete agent during the 5 years next preceding the date of submission of the application.

(f) If the athlete agent’s business is not a corporation, the names and addresses of the partners, members, officers, managers, associates, or profit sharers of the business.

(g) If the athlete agent is employed by a corporation, the names and addresses of the officers and directors of the corporation and any shareholder of the corporation having an interest of 5 percent or more.

(h) Whether the applicant or any person named pursuant to par. (f) or (g) has been convicted of a crime that, if committed in this state, would be a felony, and a description of the crime.

(i) Whether there has been any administrative or judicial determination that the applicant or any person named pursuant to par. (f) or (g) has made a false, misleading, deceptive, or fraudulent representation.

(j) Any instance in which the conduct of the applicant or any person named pursuant to par. (f) or (g) resulted in the imposition of a sanction, suspension, or declaration of ineligibility to participate in an interscholastic or intercollegiate athletic event on a student athlete or educational institution.

(k) Any sanction, suspension, or disciplinary action taken against the applicant or any person named pursuant to par. (f) or (g) arising out of occupational or professional conduct.

(L) Whether there has been any denial of an application for, suspension or revocation of, or refusal to renew, the registration

or licensure of the applicant or any person named pursuant to par. (f) or (g) as an athlete agent in any state.

(2) An individual who has submitted an application for, and holds a certificate of, registration or licensure as an athlete agent in another state may submit a copy of the application and certificate in lieu of submitting an application in the form prescribed pursuant to sub. (1). The department shall accept the application and the certificate from the other state as an application for registration in this state if all of the following are satisfied:

(a) The application to the other state was submitted in the other state within the 6 months next preceding the submission of the application in this state and the applicant certifies that the information contained in the application to the other state is current.

(b) The application to the other state contains information substantially similar to or more comprehensive than that required in an application submitted in this state.

(c) The application to the other state was signed by the applicant under penalty of perjury.

**History:** 2003 a. 150.

**Cross Reference:** See also ch. RL 151, Wis. adm. code.

**440.992 Certificate of registration; issuance or denial; renewal.** (1) Except as otherwise provided in sub. (2), the department shall issue a certificate of registration to an individual who complies with s. 440.9915 (1) or whose application has been accepted under s. 440.9915 (2), if the individual has paid the fee specified in s. 440.05 (1) (a).

**NOTE:** Sub. (1) is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

(1) Except as otherwise provided in sub. (2), the department shall issue a certificate of registration to an individual who complies with s. 440.9915 (1) or whose application has been accepted under s. 440.9915 (2), if the individual has paid the initial credential fee determined by the department under s. 440.03 (9) (a).

(2) The department may refuse to issue a certificate of registration if the department determines that the applicant has engaged in conduct that has a significant adverse effect on the applicant's fitness to act as an athlete agent. In making the determination, the department may consider whether the applicant has done any of the following:

(a) Subject to ss. 111.321, 111.322, and 111.335, been convicted of a crime that, if committed in this state, would be a felony.

(b) Made a materially false, misleading, deceptive, or fraudulent representation in the application or as an athlete agent.

(c) Engaged in unprofessional conduct or conduct that would disqualify the applicant from serving in a fiduciary capacity.

(d) Engaged in conduct prohibited by s. 440.996.

(e) Had a registration or licensure as an athlete agent suspended, revoked, or denied or been refused renewal of registration or licensure as an athlete agent in any state.

(f) Engaged in conduct the consequence of which was that a sanction, suspension, or declaration of ineligibility to participate in an interscholastic or intercollegiate athletic event was imposed on a student athlete or educational institution.

(g) Engaged in conduct that significantly adversely reflects on the applicant's credibility, honesty, or integrity.

(3) In making a determination under sub. (2), the department shall consider each of the following:

(a) How recently the conduct occurred.

(b) The nature of the conduct and the context in which it occurred.

(c) Any other relevant conduct of the applicant.

(4) An athlete agent may apply to renew a registration by submitting an application for renewal in a form prescribed by the department. The application for renewal must be signed by the applicant under penalty of perjury and must contain current information on all matters required in an original registration. Applications submitted under this subsection shall be open to inspection at all reasonable hours authorized by representatives of the department.

(5) An individual who has submitted an application for renewal of registration or licensure in another state, in lieu of submitting an application for renewal in the form prescribed under sub. (4), may file a copy of the application for renewal and a valid certificate of registration or licensure from the other state. The department shall accept the application for renewal from the other state as an application for renewal in this state if the application to the other state satisfies all of the following:

(a) The application was submitted in the other state within the 6 months next preceding the filing in this state and the applicant certifies that the information contained in the application for renewal is current.

(b) The application contains information substantially similar to or more comprehensive than that required in an application for renewal submitted in this state.

(c) The application was signed by the applicant under penalty of perjury.

(6) A certificate of registration or a renewal of a registration is valid for 2 years.

**History:** 2003 a. 150; 2005 a. 25; 2007 a. 20.

**Cross Reference:** See also chs. RL 151 and 152, Wis. adm. code.

**440.9925 Suspension, revocation, or refusal to renew registration.** (1) The department may suspend, revoke, or refuse to renew a registration for conduct that would have justified denial of registration under s. 440.992 (2).

(2) The department may deny, suspend, revoke, or refuse to renew a certificate of registration or licensure only after proper notice and an opportunity for a hearing.

**History:** 2003 a. 150.

**440.993 Temporary registration.** The department may issue a temporary certificate of registration while an application for registration or renewal of registration is pending. The department shall promulgate rules establishing requirements and procedures for applying for and issuing temporary certificates of registration.

**History:** 2003 a. 150.

**440.9935 Renewal.** The renewal date and fee for certificates of registration issued under this subchapter are specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department.

**NOTE:** This section is amended eff. 7–1–09 by 2007 Wis. Act 20 to read:

**440.9935 Renewal.** The renewal date for certificates of registration issued under this subchapter is specified in s. 440.08 (2) (a), and the renewal fee for such certificates is determined by the department under s. 440.03 (9) (a). Renewal applications shall be submitted to the department on a form provided by the department.

**History:** 2003 a. 150; 2005 a. 25; 2007 a. 20.

**Cross Reference:** See also ch. RL 152, Wis. adm. code.

**440.994 Required form of contract.** (1) An agency contract must be in a record, signed or otherwise authenticated by the parties.

(2) An agency contract must state or contain all of the following:

(a) The amount and method of calculating the consideration to be paid by the student athlete for services to be provided by the athlete agent under the contract and any other consideration that the athlete agent has received or will receive from any other source for entering into the contract or for providing the services.

(b) The name of any person not listed in the application for registration or renewal of registration who will be compensated because the student athlete signed the agency contract.

(c) A description of any expenses that the student athlete agrees to reimburse.

(d) A description of the services to be provided to the student athlete.

(e) The duration of the contract.

(f) The date of execution.

(3) An agency contract must contain, in close proximity to the signature of the student athlete, a conspicuous notice in boldface type and capital letters stating the following:

**WARNING TO STUDENT ATHLETE**

**IF YOU SIGN THIS CONTRACT:**

1) YOU MAY LOSE YOUR ELIGIBILITY TO COMPETE AS A STUDENT ATHLETE IN YOUR SPORT;

2) IF YOU HAVE AN ATHLETIC DIRECTOR, WITHIN 72 HOURS AFTER ENTERING INTO THIS CONTRACT OR BEFORE THE NEXT SCHEDULED ATHLETIC EVENT IN WHICH YOU MAY PARTICIPATE, WHICHEVER OCCURS FIRST, BOTH YOU AND YOUR ATHLETE AGENT MUST NOTIFY YOUR ATHLETIC DIRECTOR; AND

3) YOU MAY CANCEL THIS CONTRACT WITHIN 14 DAYS AFTER SIGNING IT. CANCELLATION OF THIS CONTRACT MAY NOT REINSTATE YOUR ELIGIBILITY.

(4) An agency contract that does not conform to this section is voidable by the student athlete. If a student athlete voids an agency contract, the student athlete is not required to pay any consideration under the contract or to return any consideration received from the athlete agent to induce the student athlete to enter into the contract.

(5) The athlete agent shall give a record of the signed or otherwise authenticated agency contract to the student athlete at the time of execution.

**History:** 2003 a. 150, 326.

**Cross Reference:** See also ch. RL 153, Wis. adm. code.

**440.9945 Notice to educational institution. (1)** Within 72 hours after entering into an agency contract or before the next scheduled athletic event in which the student athlete may participate, whichever occurs first, the athlete agent shall give notice in a record of the existence of the contract to the athletic director of the educational institution at which the student athlete is enrolled or the athlete agent has reasonable grounds to believe the student athlete intends to enroll.

(2) Within 72 hours after entering into an agency contract or before the next athletic event in which the student athlete may participate, whichever occurs first, the student athlete shall inform the athletic director of the educational institution at which the student athlete is enrolled that he or she has entered into an agency contract.

**History:** 2003 a. 150.

**440.995 Student athlete's right to cancel. (1)** A student athlete may cancel an agency contract by giving notice of the cancellation to the athlete agent in a record within 14 days after the contract is signed.

(2) A student athlete may not waive the right to cancel an agency contract.

(3) If a student athlete cancels an agency contract, the student athlete is not required to pay any consideration under the contract or to return any consideration received from the athlete agent to induce the student athlete to enter into the contract.

**History:** 2003 a. 150.

**Cross Reference:** See also ch. RL 153, Wis. adm. code.

**440.9955 Required records. (1)** An athlete agent shall retain all of the following records for a period of 5 years:

(a) The name and address of each individual represented by the athlete agent.

(b) Any agency contract entered into by the athlete agent.

(c) Any direct costs incurred by the athlete agent in the recruitment or solicitation of a student athlete to enter into an agency contract.

(2) Records required by sub. (1) to be retained are open to inspection by the department during normal business hours. Upon

demand, an athlete agent shall provide a copy of such a record to the department.

**History:** 2003 a. 150.

**Cross Reference:** See also ch. RL 153, Wis. adm. code.

**440.996 Prohibited conduct. (1)** An athlete agent, with the intent to induce a student athlete to enter into an agency contract, may not do any of the following:

(a) Give any materially false or misleading information or make a materially false promise or representation.

(b) Furnish anything of value to a student athlete before the student athlete enters into the agency contract.

(c) Furnish anything of value to any individual other than the student athlete or another registered athlete agent.

(2) An athlete agent may not intentionally do any of the following:

(a) Initiate contact with a student athlete unless registered under this subchapter.

(b) Refuse or fail to retain or permit inspection of the records required to be retained by s. 440.9955.

(c) Fail to register when required by s. 440.991.

(d) Provide materially false or misleading information in an application for registration or renewal of registration.

(f) Predate or postdate an agency contract.

(g) Fail to notify a student athlete before the student athlete signs or otherwise authenticates an agency contract for a particular sport that the signing or authentication may make the student athlete ineligible to participate as a student athlete in that sport.

**History:** 2003 a. 150.

**Cross Reference:** See also chs. RL 153 and 154, Wis. adm. code.

**440.9965 Criminal penalties.** An athlete agent who violates s. 440.996 may be fined not more than \$10,000 or imprisoned for not more than 9 months or both.

**History:** 2003 a. 150.

**440.997 Civil remedies. (1)** An educational institution may bring an action against an athlete agent for damages caused by a violation of this subchapter. In an action under this subsection, the court may award to the prevailing party costs and, notwithstanding s. 814.04, reasonable attorney fees.

(2) Damages of an educational institution under sub. (1) include losses and expenses incurred because, as a result of the conduct of an athlete agent, the educational institution was injured by a violation of this subchapter or was penalized, disqualified, or suspended from participation in athletics by a national association for the promotion and regulation of athletics, by an athletic conference, or by reasonable self-imposed disciplinary action taken to mitigate sanctions likely to be imposed by such an organization.

(3) A right of action under this section does not accrue until the educational institution discovers or by the exercise of reasonable diligence would have discovered the violation by the athlete agent.

(5) This subchapter does not restrict rights, remedies, or defenses of any person under law or equity.

**History:** 2003 a. 150.

**440.9975 Administrative forfeiture.** The department may directly assess a forfeiture against an athlete agent of not more than \$25,000 for a violation of this subchapter.

**History:** 2003 a. 150.

**440.998 Uniformity of application and construction.** In applying and construing this subchapter, consideration must be given to the need to promote uniformity of the law with respect to its subject matter among the states that enact the Uniform Athlete Agents Act.

**History:** 2003 a. 150.



**440.9985 Electronic Signatures in Global and National Commerce Act.** The provisions of this subchapter governing the legal effect, validity, or enforceability of electronic records or signatures, and of contracts formed or performed with the use of such records or signatures conform to the requirements of section 102 of the federal Electronic Signatures in Global and National Commerce Act, [15 USC 7002](#), and supersede, modify, and limit

the federal Electronic Signatures in Global and National Commerce Act, [15 USC 7001](#) to [7031](#).

**History:** [2003 a. 150](#).

**440.999 Rules.** The department shall promulgate rules that define unprofessional conduct for purposes of s. [440.992 \(2\) \(c\)](#).

**History:** [2003 a. 150](#).

**Cross Reference:** See also chs. [RL 150](#), [151](#), [152](#), [153](#), and [154](#), Wis. adm. code.