



James Turcio
Building Official
Issuing Authority

City of New Haven
Permit & License Center

200 Orange Street, Room 501
New Haven, Connecticut 06510



Justin Elicker
Mayor

BROKERS

PAWN/SECONDHAND/PRECIOUS METALS & STONES

Ordinance Rules & Regulations



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Required Documentation for Brokers License

COMPLETED AND SIGNED APPLICATION PACKET

APPLICATIONS MUST BE SIGNED IN THE PRESENCE OF
A NOTARY PUBLIC

INCOMPLETE APPLICATIONS WILL NOT BE ACCEPTED

VALID PHOTO IDENTIFICATION

MUST DISPLAY CURRENT ADDRESS AND EXPIRATION DATE

CONNECTICUT SALES TAX AND USE PERMIT

CONNECTICUT STATE TAX IDENTIFICATION NUMBER
ISSUED FROM THE STATE OF CT REVENUE SERVICES

[HTTP://WWW.CT.GOV/DRS](http://www.ct.gov/drs)

(203) 805-6789

BOND WITH COMPETENT SURETY

IN THE SUM OF \$2,000.00

APPLICANT FINGERPRINTING *(NEW APPLICANTS ONLY)*

THE NEW HAVEN POLICE DEPARTMENT

ONE UNION AVE

NEW HAVEN, CT

PHOTO IDENTIFICATION REQUIRED

MONDAY & FRIDAY (10 A.M. – 2 P.M.)

FIRST SATURDAY OF EACH MONTH (9 A.M. – 1 P.M.)

\$25.00 PER APPLICANT

FEES PAYABLE TO: BIOMETRIC IDENTIFICATION SERVICES

ACCEPTED FORM OF PAYMENT

CASH, BANK CHECKS, MONEY ORDER, BUSINESS CHECKS
PERSONAL CHECKS OR CREDIT CARDS ARE NOT ACCEPTED

Brokers License Fee: New Applicant \$50.00 – Renewal Applicant \$25.00

REMINDER!

ANY NEW CRIMINAL CASES MUST BE REPORTED IMMEDIATELY TO THE
NEW HAVEN POLICE DEPT — ATTENTION DETECTIVE J. AURORA AT
(203) 946 6304. FAILURE TO REPORT ANY NEW CRIMINAL CASES MAY
RESULT IN THE REVOCATION OF THE BROKER LICENSE.



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Rules & Regulations for Brokers License

The duties of Broker License holders are as follows:

- (a) Each broker must receive proof of the identity of the person depositing, pledging or selling the article before he takes, receives or purchases it. Such identification must include a photograph, an address if available on the identification, and an identifying number.
- (b) Each broker must keep a record in which he must note, at the time of each transaction, a description of the article purchased and the price paid for it, the name and address of the person selling, purchasing, pawning or bartering it, a general description of such person, and the date and hour such article was received. This record must be maintained for police inspection. All entries in such record must be made in English.
- (c) Each broker must provide a memorandum or note containing the entry made pursuant to this section to the person who pawns, pledges or sells an article.
- (d) Each broker must pay for any property received by pawn, pledge or purchase only by check, draft or money order, except when he cashes a check, draft or money order for the person who is pawning, pledging or selling the property. When the broker cashes a check, draft or money order, he must require proof of identity as required by subsection (a) above.
- (e) At the time of making any purchase each broker must deliver to the person selling the articles a receipt containing the information required to be recorded in subsection (b) above, the amount paid for any goods sold, and the name and address of the purchaser.
- (f) No broker may purchase any goods from a minor who is not accompanied by a parent or guardian.
- (g) No broker may loan money at any higher rate than that provided by state statute.
- (h) Brokers of precious metals, including gold or gold-plated ware, silver or silver-plated ware, platinum ware, watches, jewelry, precious stones and coins, may not dispose of them at the brokerage or at public sale for at least ten (10) days upon receiving them.
- (i) No broker may dispose of any article left with him in pledge for money loaned in less than two (2) months from the day when the same is left in pledge. Any article may be sold or disposed of at the brokerage or at public sale after advertisement in a daily newspaper published in the city at least once two (2) days before the sale. The advertisement must state the number of the pledge ticket representing the property offered for sale, and the date when such ticket was issued.
- (j) Each broker must make weekly a sworn statement of his transactions describing the articles received, and setting forth the name and residence and a description of the person from whom the goods were received. This statement must be provided to the police chief or his designee at police headquarters in New Haven on Monday, no later than 12:00 noon. Any broker who willfully fails to make such report shall be fined one hundred dollars (\$100.00) per offense. Each day that a broker fails to submit such report once due shall constitute a separate offense.



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New Haven Code of General Ordinances
Title III Chapter 17 Licenses and Permits
Article VI. Brokers

ARTICLE VI. - BROKERS

Sec. 17-6. - Provisions of Article I apply.

The provisions of Article I, Licenses and Permits In General, of this chapter also apply to the activities regulated by this article.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.1. - Definitions.

(a) For the purposes of this article, the following words shall have the following meanings:

Antique means an object with special value because of its age, especially a work of art or handicraft that is more than one hundred (100) years old.

Article means any item regardless of value, including but not limited to gold or gold-plated ware, silver or silver-plated ware, watches, jewelry, precious stones, coins, junk, old metals, scrap, rags, waste paper and all other secondhand articles.

Broker means any person who engages in the business of buying and/or bartering articles from the public and reselling them to the public. The term "broker" includes all those whom the city previously classified as *secondhand dealers*, antique and/or precious metal dealers, pawnbrokers, junk dealers and swap shop dealers.

Wholesaler means a person in the business of selling tangible personal property to be resold at retail or raw materials to be manufactured into suitable forms for use by consumers.

(b) This article does not apply to loans made upon stock, bonds, notes or other written or printed evidence of ownership of property or indebtedness to the holder or owner of any such securities.

(c) Pursuant to section 21-100 of the general statutes, this article does not apply to the purchase of such items from a wholesaler by a manufacturer or retail seller whose primary place of business is located in Connecticut.

(d) This article does not apply to any dealer in motor vehicles as defined in chapter 246 of the general statutes, any scrap metal processor as defined in section 14-67w of said statutes, and to any dealer in antique household furniture, china or glassware.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.2. - License required.

It is unlawful for any person, corporation or partnership to engage in business as a broker before obtaining a currently valid license from the issuer.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.3. - Application.

In accordance with relevant state statutes and this article, an interested person must provide all of the information required by section 17-1.3 of this Code and all of the following information in the application he files with the issuer:

- (a) A valid Connecticut state tax number.
- (b) Description of any merchandise to be sold.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.4. - Disqualification of applicant.

(a) An applicant will not be issued a license or permit if the police chief or his designee determines that the applicant is not a suitable person. This determination will be made on a case-by-case

ARTICLE VI. - BROKERS

basis, depending upon factors that include, but are not limited to, one (1) or more of the following:

- (1) The applicant is a person against whom a judgment based upon, or convicted for, fraud, deceit or misrepresentation has been entered within the five (5) years immediately preceding the date of application.
 - (2) The applicant has been convicted of the crime of larceny, or receiving or being in possession of stolen property within the five (5) years immediately preceding the date of application.
 - (3) The applicant has named a person who has been convicted as described in subsection (1) and/or (2) as having the active management of a building, room or premises in which the business takes place.
 - (4) Each of the factors listed in section 17-1.4 of this Code.
- (b) The police chief may take the fingerprints of an applicant for such license and, if such fingerprints are taken, shall submit them to the Federal Bureau of Investigation for a national criminal history records check.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.5. - Fees.

- (a) Before a license may be issued under this article, the applicant shall pay to the issuer the fee required by section 17-201 of this Code.
- (b) Upon issuance of a license under this article, the licensee shall file the bond required by section 21-40 of the general statutes with the issuer for his approval. The bond, with competent surety, shall be in the sum of two thousand dollars (\$2,000.00), and shall be conditioned for the faithful performance of the duties and obligations pertaining to the business so licensed. Upon his approval of such bond, the issuer shall turn the bond over to the controller.

(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.6. - Duties.

- (a) Each broker must receive proof of the identity of the person depositing, pledging or selling the article before he takes, receives or purchases it. Such identification must include a photograph, an address if available on the identification, and an identifying number.
- (b) Each broker must keep a record in which he must note, at the time of each transaction, a description of the article purchased and the price paid for it, the name and address of the person selling, purchasing, pawning or bartering it, a general description of such person, and the date and hour such article was received. This record must be maintained for police inspection. All entries in such record must be made in English.
- (c) Each broker must provide a memorandum or note containing the entry made pursuant to this section to the person who pawns, pledges or sells an article.
- (d) Each broker must pay for any property received by pawn, pledge or purchase only by check, draft or money order, except when he cashes a check, draft or money order for the person who is pawning, pledging or selling the property. When the broker cashes a check, draft or money order, he must require proof of identity as required by subsection (a) above.
- (e) At the time of making any purchase each broker must deliver to the person selling the articles a receipt containing the information required to be recorded in subsection (b) above, the amount paid for any goods sold, and the name and address of the purchaser.
- (f) No broker may purchase any goods from a minor who is not accompanied by a parent or guardian.
- (g) No broker may loan money at any higher rate than that provided by state statute.

ARTICLE VI. - BROKERS

- (h) Brokers of precious metals, including gold or gold-plated ware, silver or silver-plated ware, platinum ware, watches, jewelry, precious stones and coins, may not dispose of them at the brokerage or at public sale for at least ten (10) days upon receiving them.
- (i) No broker may dispose of any article left with him in pledge for money loaned in less than two (2) months from the day when the same is left in pledge. Any article may be sold or disposed of at the brokerage or at public sale after advertisement in a daily newspaper published in the city at least once two (2) days before the sale. The advertisement must state the number of the pledge ticket representing the property offered for sale, and the date when such ticket was issued.
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(Ord. No. 1304, Pt. I(J), 12-17-01)

Sec. 17-6.7. - Rights of police.

- (a) The police chief or his designee may examine the broker's record-keeping system, place of business and all articles of property therein at any time.
- (b) Any municipal police officer performing such examination may require any employee on the premises to provide proof of his identity.
- (c) When a law enforcement officer seizes an article from the broker's premises, he shall give the broker a duly signed receipt for it, including a case number, a description of the article, the reason for the seizure, the name and address of the officer, the name and address of the person claiming a right to the article prior to the broker, and the name of the broker. If the broker claims an ownership interest in such article, he may request its return by filing a request for such article with the law enforcement agency in accordance with the provisions of section 54-36a of the general statutes.

(Ord. No. 1304, Pt. I(J), 12-17-01)