

# Examiner Audit Worksheet

## 1. Physical Location

- Yes  No The dealer has a sign that matches the current issued dealer's license.
- Yes  No The dealer has a display area for at least 10 vehicles and accommodations for customer parking.
- Yes  No The business is well-lit during normal business hours.
- Yes  No There is no other business located at the same address or location.
- Yes  No If another business is at the location, is there a distinct impression of two separate businesses and entrances?
- Yes  No Vehicles on the lot for sale have a visible Federal Buyer's Guide displayed.
- Yes  No Does the dealer engage in rebuilding salvaged vehicles?
- Yes  No If the dealer engages in rebuilding salvaged vehicles, does the dealer have a current and valid salvage license?

**Examiner notes on physical location:**

## 2. Office Space

- Yes  No The office is at the licensed location.
- Yes  No The office is at least 300 square feet and reflects usage as the dealer's established place of business.
- Yes  No The office is currently being serviced by utilities (water, electricity, heat, plumbing).
- Yes  No The office contains furniture such as a desk, chair, and other office furniture.
- Yes  No The dealer maintains hard copy files at the licensed location.
- Yes  No The dealer has employees in Indiana or elsewhere.

**Examiner notes on office space:**

## 3. Records

- Yes  No Deal jackets available for audit review are in an organized fashion.
- Yes  No The examiner was provided with reasonable accommodations to review records.
- Yes  No Is the dealer issuing interim plates multiple times to the same consumer/vehicle?

**If the dealer is issuing multiple interims to the same consumer/vehicle, please explain:**

- Yes  No Deal jackets contain a copy of the auction invoice or trade-in documents.
- Yes  No Bills of sale are signed and dated by the consumer and the dealer.
- Yes  No Deal jackets contain front and back copies of assigned title.
- Yes  No Titles accurately reflect transfer of ownership.
- Yes  No ST-108, ST-108E, or ST-108NR are complete and consistent with the sales documents.
- Yes  No Deal jackets contained signed copy of the odometer disclosure.
- Yes  No Deal jackets contain signed Federal Buyer's Guide.
- Yes  No Deal jackets contain proof of title delivery.
- Yes  No Is the dealer utilizing 31-day affidavits?
- Yes  No If the dealer is utilizing 31-day affidavits, is the form fully executed?

**If the 31-day affidavits are not fully executed, please explain:**

- Yes  No Titles are being delivered 31 days from the date of vehicle delivery.

**If titles are not being delivered within 31 days, please explain:**

**Additional Examiner notes on records:**

**4. Additional Information**

- Yes  No Does the dealer have current, valid bond and current insurance with adequate limits?
- Yes  No Is the dealer's license displayed in plain view?
- Yes  No Were ownership papers produced for all vehicles on display at the location?
- Yes  No Does the dealer engage in consignment sales?

Yes  No If the dealer engages in consignment sales, are consignment agreements signed and dated?

Yes  No Does the dealer use a transport operator service.

Yes  No Does the dealer offer financing such as buy-here, pay-here, or with outside institutions?

Yes  No Is the dealer registered with the DFI?

**Please list the type of financing offered and what financing companies does the dealer work with.**

**If the dealer uses a floor planning company to finance their inventory, please list below.**

**Please list the auctions the dealer attends to purchase inventory.**

**Where are dealer plates used and by whom?**

**List the dealer's displayed business hours.**

**Please verify the dealer's current email and phone number. Does this match the contact information in the system?**

## 5. Audit Findings

**Please note any additional comments or findings below.**

**Recommendations, issues, or concerns discussed with dealer related to this audit.**

**Please describe plan for future follow-up.**

**Signature of Dealer Representative** \_\_\_\_\_

**Examiner Contact Information**