



SPENCER J. COX  
Governor



MARGARET W. BUSSE  
Executive Director

MARK STEINAGEL  
Division Director

DEIDRE M. HENDERSON  
Lieutenant Governor

Dear Resident:

**RE: HOMEOWNER CERTIFICATE OF COMPLIANCE  
RESIDENCE LIEN RESTRICTION AND LIEN RECOVERY FUND ACT**

The **Utah Residence Lien Restriction and Lien Recovery Fund Act**, [Utah Code § 38-11](#), provides that homeowners who meet certain criteria can obtain a Certificate of Compliance, which certifies that the owner is protected from mechanics' liens and related lawsuits.

The sections below are instructions on how to apply for a Certificate:

**If you contract for more than \$5,000:** You MUST complete this application for Certificate of Compliance and submit the required supplemental documentation.

**If you contracted for \$5,000 or less:** You have the option to apply by completing the other *Affidavit of Compliance* located at [dopl.utah.gov/residence-lien-recovery-fund/forms/](http://dopl.utah.gov/residence-lien-recovery-fund/forms/).

The Residence Lien Recovery Fund staff can answer general questions. However, our staff cannot provide you legal advice about your specific legal circumstances or represent you in legal matters. You may contact the Residence Lien Recovery Fund at (801) 530-6719 or [constructionprograms@utah.gov](mailto:constructionprograms@utah.gov).

Please be aware it is your responsibility to understand the statutes and rules that govern the Residence Lien Recovery Fund. The statutes, rules and additional information may be found on the Fund's website located at: <https://dopl.utah.gov/residence-lien-recovery-fund/>

Respectfully,

**Aaron Godar**  
Lien Recovery Fund Manager

## LIEN RECOVERY FUND – PRIVACY NOTICE

The information you provide on this form will be used to determine your eligibility for a disbursement from the Residence Lien Recovery Fund or a Certificate of Compliance through the Utah Residence Lien Restriction and Lien Recovery Fund Act. Failure to provide complete information as requested will result in the denial of your request as incomplete.

Information provided in this form is retained in accordance with state record retention laws. For specific information about the records retention for this form, please visit <https://dopl.utah.gov/records>

Many items collected by the Division are classified as "public" under the [Governmental Records Access and Management Act, Utah Code § 63G-2-101](#) et. seq.. To comply with legal and regulatory requirements, we may share limited information about your application with authorized parties. This may include government agencies, permissive parties, or legal counsel. We may also share aggregated and de-identified data with relevant stakeholders for data analysis and reporting purposes.

## CERTIFICATE OF COMPLIANCE APPLICATION CHECKLIST

**If you contracted for more than \$5,000 (based on total project cost, not just the portion regarding lien or lien amount):** you MUST complete this application for Certificate of Compliance. If you contracted for less than \$5,000 please complete the other application for Certificate of Compliance available at [dopl.utah.gov/residence-lien-recovery-fund/forms/](http://dopl.utah.gov/residence-lien-recovery-fund/forms/).

**IMPORTANT:** *If you are summoned in a foreclosure action, your application must be received by the Division within 30 days of when you are served with the summons. See [Utah Code § 38-1a-701\(6\)\(d\)](#)*

**Applications ARE NOT accepted by email or fax.**

- \$30 non-refundable application fee made payable to "DOPL-LRF"
- Complete Application. The following must be attached your application:
- A copy of your written contract with the general contractor.
- Evidence establishing the owner of the residence on the date the contract was entered (ex: warranty deed, title search, or copy of property tax notice showing you owned the property at the time contract was signed.)
- Evidence your contract was paid in full, *for the entire project*. (ex: canceled checks, HUD, affidavit)
- Evidence establishing the project completion date. (ex: copy of Certificate of Occupancy, final inspection, or date of work substantially complete/termination)
- Copies of liens filed on residence
- Evidence your contractor was licensed. (You can verify a license at: [dopl.utah.gov](http://dopl.utah.gov))
- Certificates of Service proving that you sent a copy of this application and all attachments by certified mail/return receipt requested, to all lien claimants and the party with whom you contracted.

**Submit in person or via express delivery:**

Division of Professional Licensing  
Heber M Wells Building  
160 E 300 S  
Salt Lake City, UT 84111

**Submit in via US Postal Service:**

Division of Professional Licensing  
PO BOX 146741  
Salt Lake City, UT 84114-6741

**For Questions:**

Call (801) 530-6719 or (866) 275-3675 (Utah only)  
or E-mail: [constructionprograms@utah.gov](mailto:constructionprograms@utah.gov)

*Once an application is submitted to the Division, please allow 6-8 weeks for processing. Processing times can vary depending on current conditions.*

**Applications are NOT accepted by email or fax.**

*Applications are considered received by the Division on the date the Division stamps it as received. See Utah Admin Rule [R151-4-107](#) for computation of time.*

APPLICATION FOR CERTIFICATE OF COMPLIANCE

Homeowner's Name: \_\_\_\_\_

Address of Property: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Email: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
Mailing address or PO Box City State Zip

Tax Parcel Number (found on your annual property tax notice): \_\_\_\_\_

Legal Description and/or Lot Number (found on the Notice of Lien):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Applicant's Representative (Attorney or Other, if applicable):

Name: \_\_\_\_\_  
First Middle Last

Law Firm: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: (\_\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ Email: \_\_\_\_\_

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**Original Contractor/Factory Built Housing Retailer/Real Estate Developer:**

**Contact Name:** \_\_\_\_\_

**Company Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Phone:** (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ **Email:** \_\_\_\_\_

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**Original Contractor/Factory Built Housing Retailer/Real Estate Developer's Attorney**  
(if applicable):

**Name:** \_\_\_\_\_  
First Middle Last

**Law Firm:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Phone:** (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_ **Email:** \_\_\_\_\_

**Mechanics' Lien Holders:** Attach a copy of all notice of liens filed on your property.  
List all companies or individuals who have filed a mechanics' lien on your residence.

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Company or Individual Name:** \_\_\_\_\_

**Note:** *You are required to send a copy of this application and all attachments by certified mail, return receipt requested, to all lien claimants and the party with whom you contracted. [Utah Code § 38-1a-701\(6\)\(e\)](#).*

Did you enter into a written contract? [Utah Code § 38-11-204\(4\)\(a\)](#)

- Yes. Attach a copy of the contract to this application
- No. Please explain:

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**Required documentation of licensure or exemption from licensure:**

Check which section best describes your situation & attach the supporting documentation:

- Contracted with a licensed contractor – [Utah Code § 38-11-204\(4\)\(a\)\(i\)](#):
  - ▶ Attach evidence your contractor was licensed
- Contracted with an exempt contractor – [Utah Code § 38-11-204\(4\)\(a\)\(i\)](#):
  - ▶ Attach evidence your contractor was exempt from licensure
- Contracted with a real estate developer – [Utah Code § 38-11-204\(4\)\(a\)\(ii\)](#):
  - ▶ Attach evidence the developer had ownership interest in the property.
  - ▶ Attach evidence the developer offered the residence for sale to the public.
  - ▶ Attach a copy of the contract between the developer and a licensed contractor.

**Payment in Full:**

Did you pay your original contractor in full according to the terms of the written contract and any modifications to that contract? – [Utah Code § 38-11-204\(4\)\(b\)](#):

- Yes. Attach documents demonstrating payment (ex: canceled checks, HUD settlement statement)
- No. Please explain:

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BEFORE THE DIVISION OF PROFESSIONAL LICENSING  
DEPARTMENT OF COMMERCE, STATE OF UTAH

IN THE MATTER OF THE APPLICATION  
FOR A CERTIFICATE OF COMPLIANCE  
ON THE RESIDENT OF

\_\_\_\_\_  
*Homeowners' Name*  
LOCATED AT:

\_\_\_\_\_  
*Physical address*

\_\_\_\_\_  
*City:* \_\_\_\_\_ *State:* \_\_\_\_\_ *Zip:* \_\_\_\_\_

Tax Parcel Number \_\_\_\_\_

AFFIDAVIT OF COMPLIANCE,  
CERTIFICATION, AND RELEASE OF  
INFORMATION

STATE OF UTAH

COUNTY OF \_\_\_\_\_ )  
:ss.

I, \_\_\_\_\_, being first duly sworn state as follows:  
*(Name of person completing application)*

1. I am authorized to sign this affidavit for the homeowner described and identified in this application.
2. The information contained in this application and the supporting documents are free from fraud, misrepresentation, or omission of material fact.
3. I will ensure that any information subsequently submitted to DOPL in conjunction with this application and/or its supporting documents will meet the same standard set forth above.
4. I understand that homeowners and/or their representatives who report false information, withhold information, or present false or misleading documentation pertinent to an application in order to receive a Certificate of Compliance from the Lien Recovery Fund to which they are not entitled will be disqualified from receiving said Certificate and may be subject to both criminal prosecution and civil penalties.
5. I understand that this application will be classified as a public record and will be available for inspection by the public except with regard to the release of information which is classified as controlled, private, or protected under the Government Records Access and Management Act or restricted by other law.
6. Type of Residence: *(check the appropriate box)*
  - Detached single family dwelling
  - Duplex (single building with two separate living units)
  - More than two living units in building

7. Date construction of the project was complete: *(you must check one box & fill in date)*

- Certificate of Occupancy                      Date \_\_\_\_\_
- Final Inspection                                      Date \_\_\_\_\_
- No substantial work left to complete      Date \_\_\_\_\_
- Original contractor was terminated      Date \_\_\_\_\_

8. Date the residence was/will be occupied: *(you must check one box & fill in date)*

- Do not intend to occupy                      Date \_\_\_\_\_
- Have occupied the residence since      Date \_\_\_\_\_
- Will occupy the residence on              Date \_\_\_\_\_

9. How the residence is/will be used: (check the appropriate box)

- Owner's primary residence
  - Owner's secondary residence
  - Tenant or Lessee's primary residence
  - Tenant or Lessee's secondary residence
  - Other (explain) \_\_\_\_\_
- 

I hereby authorize all persons, institutions, governmental agencies, employers, or any others not specifically included in the preceding characterization, which are set forth directly or by reference in this application, to release to the Division of Professional Licensing, State of Utah or the Residence Lien Recovery Fund Manager, any files, records or information of any type reasonably required for the Division of Professional Licensing to properly evaluate my application.

I declare under criminal penalty under the law of Utah that the foregoing is true and correct.

**Signature of Affiant:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Printed Name:** \_\_\_\_\_



\_\_\_\_\_  
Homeowner's Name

\_\_\_\_\_  
Homeowner's Address

\_\_\_\_\_  
Homeowner's City, State, & Zip

\_\_\_\_\_  
Homeowner's Telephone Number

BEFORE THE DIVISION OF PROFESSIONAL LICENSING  
DEPARTMENT OF COMMERCE, STATE OF UTAH

\_\_\_\_\_  
Homeowner's Name

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\_\_\_\_\_  
Original Contractor

CERTIFICATE OF SERVICE  
To the Original Contractor

I hereby certify that on the \_\_\_\_\_ day of \_\_\_\_\_, I served a copy of  
(date) (month) (year)  
the CERTIFICATE OF COMPLIANCE APPLICATION to \_\_\_\_\_,  
(original contractor's name)  
for services provided on property owned by \_\_\_\_\_,  
(Homeowner's Name)  
by depositing a copy in the U.S. mail, return receipt requested, postage pre-paid, addressed to:

Contractor: \_\_\_\_\_

Address: \_\_\_\_\_  
Street Address (including Apt/Unit/Ste #) and/or PO Box

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

DATED this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ .  
(date) (month) (year)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Homeowner's Name

\_\_\_\_\_  
Homeowner's Address

\_\_\_\_\_  
Homeowner's City, State, & Zip

\_\_\_\_\_  
Homeowner's Telephone Number

BEFORE THE DIVISION OF PROFESSIONAL LICENSING  
DEPARTMENT OF COMMERCE, STATE OF UTAH

\_\_\_\_\_  
Homeowner's Name

v

\_\_\_\_\_  
Original Contractor

CERTIFICATE OF SERVICE  
To the Lien Holder

I hereby certify that on the \_\_\_\_\_ day of \_\_\_\_\_, I served a copy of  
(date) (month) (year)  
the CERTIFICATE OF COMPLIANCE APPLICATION to \_\_\_\_\_  
(lien holders name)  
for services provided on property owned by \_\_\_\_\_,  
(homeowner's name)  
by depositing a copy in the U.S. mail, return receipt requested, postage pre-paid, addressed to:

Lien Holders: \_\_\_\_\_

Address: \_\_\_\_\_  
Street Address (including Apt/Unit/Ste #) and/or PO Box

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

DATED this \_\_\_\_\_ day of \_\_\_\_\_,  
(date) (month) (year)

\_\_\_\_\_  
Signature