

Minnesota Department of Labor and Industry  
Construction Codes and Licensing Division  
Licensing and Certification / Mechanical  
443 Lafayette Road North  
St. Paul, MN 55155

## Mechanical Contractor

### BUSINESS REGISTRATION INSTRUCTIONS

Mailing Address:  
PO Box 64220  
St. Paul, MN 55164-0220

E-mail: [dli.license@state.mn.us](mailto:dli.license@state.mn.us)  
Web Site: [www.dli.mn.gov/cclid.asp](http://www.dli.mn.gov/cclid.asp)  
Directions: <http://www.dli.mn.gov/Direct.asp>  
Phone: (651) 284-5034

**STEP 1 - Starting a Business in Minnesota:** Before submitting a new license application you must choose a business structure for your business entity. To obtain more information relating to starting a business in Minnesota you can contact the Minnesota Department of Employment and Economic Development at <http://www.positivelyminnesota.com/Business> or call 651-556-8425.

**STEP 2 – Minnesota Secretary of State Office:** Before submitting a new license application you will need to contact the Office of the Minnesota Secretary of State at this link; <http://www.sos.state.mn.us/index.aspx?page=92> to obtain information relating to the registration of your business entity or business name in Minnesota. Contact SOS by phone at 651-296-2803 or 1-877-551-6767.

**STEP 3 - Tax ID & Employment Insurance -** Except for individuals (sole-proprietor) or one-member limited liability companies without employees or taxable sales, all businesses must disclose their Federal Employer Identification Number (FEIN) and their State Tax Identification number. Individuals (sole proprietor) or one member limited liability companies must provide a Social Security number. Tax numbers are available from the state or federal revenue agencies below:

Minnesota Tax Identification Number	651-282-5225
Federal Employer Identification Number	800-829-4933
Employment & Economic Development (Unemployment Insurance)	651-296-6141
Labor & Industry (Workers' Compensation Insurance)	651-284-5032
Revenue (if making retail sales in Minnesota)	651-296-6181 – corporate Sales Tax ID

#### STEP 4 - Information for use in completing the license application

##### Legal Business Name:

- **Individual/Sole Proprietor** -The legal business name for all individual proprietors is the full legal name (first, middle, last) of the individual business owner.
- **General Partnerships** - The legal business name of a partnership consisting of two or more individuals, is the full legal names of each partner (first, middle, last) and must include all business partners.
- **All other business types** - The legal business name of a Corporation, Foreign Corporation, Limited Liability Company, Limited Liability Partnership, or Limited Partnerships is the exact business entity name as filed with the Office of the Minnesota Secretary of State

**Minnesota Secretary of State (SOS):** If your business entity or business name is required to be registered with the SOS, you will need to contact the Office of the Minnesota Secretary of State at this link; <http://www.sos.state.mn.us/index.aspx?page=92> to obtain the required business documentation.

**Doing Business As (DBA) Name / Assumed Name:** Any business operating by a name other than their full legal business name is also required to file a Certificate of Assumed Name with the Minnesota Secretary of State to obtain authority for use of the assumed name. **NOTE:** Except for individuals and partnerships doing business under their own true full legal first and last name(s), all businesses and assumed (DBA) names must be registered with the Office of the Secretary of State.

**Physical Address:** Must be the physical address of the business, if different from the main address. This address is the primary physical address for work performed in Minnesota by the holder of the license, certificate, or registration. A PO Box is not acceptable. On the application form, you may designate this address as your public address for the license, certificate, or registration.

**Mailing Address:** Must be the mailing address for the business entity being licensed, certified, or registered, if different from the main address. This address is the primary mailing address for the holder of the license, certificate, or registration. A PO Box is acceptable. On the application form, you may designate this address as your public address for the license, certificate, or registration.

**Minnesota Registered Agent:** All applicants must provide the name and address of a Minnesota registered agent authorized to receive service of process and give consent to service of process as required by M.S. § 326B.855.

**STEP 5 - Before submitting your license application, carefully read and follow the Application Requirements included with this application packet.**

# Mechanical Contractor Business Registration Checklist

Mailing Address:  
PO Box 64220  
St. Paul, MN 55164-0220

E-mail: [dli.license@state.mn.us](mailto:dli.license@state.mn.us)  
Website: [www.dli.mn.gov/cclcd.asp](http://www.dli.mn.gov/cclcd.asp)  
Directions: <http://www.dli.mn.gov/Direct.asp>  
Telephone: (651) 284-5034

**Incomplete or inaccurate applications will delay processing.**

**Except for the Certificate of Good Standing and/or Certificate of Assumed Name, all forms and documents must include original signatures.**

**ALL documentation and fees are required and must be complete and accurate before a registration will be issued.**

- |                          |  |          |
|--------------------------|--|----------|
| <input type="checkbox"/> | <b>Mechanical Registration Fee</b>                                   |          |
|                          | Initial Mechanical Bond Application (NEW)                            | \$100.00 |
|                          | Renewal Mechanical Bond Application (not expired)                    | \$100.00 |
|                          | Renewal Mechanical Bond Application (expired includes late fee)      | \$150.00 |
|                          | Reinstate Mechanical Bond (expired over 12 months includes late fee) | \$150.00 |

You may upload your business application and pay by credit card, online at the DLI website [www.dli.mn.gov](http://www.dli.mn.gov) or mail your application to DLI, and pay by check or money order payable to the **Department of Labor & Industry**. NOTE: Depositing of a fee does not constitute the granting of a license, certificate, or registration. **CASH IS NOT ACCEPTED BY MAIL OR WALK-IN**

- Minnesota Secretary of State (SOS) Registration / Assumed Name Verification**  
Include a computer screen print of the ACTIVE SOS Business Record Detail for your business entity filing and/or the assumed name with your registration application. Submit a computer screen print for each SOS business filing. Contact SOS by phone at 651-296-2803 or 1-877-551-6767 or online at: [www.sos.state.mn.us](http://www.sos.state.mn.us)
- Mechanical Contractor Application Form**  
Application Form - Pages 1 & 2 must be completed and signed by applicant(s). <http://www.dli.mn.gov/CCLD/HVAC.asp>
- Disclosure of Business Owners, Partners, Officers and Members Form**  
All owners, partners, shareholders, and members owning more than 10 percent in the business must be disclosed. Key officers responsible for the day to day operations for the business entity being licensed, certified or registered must be disclosed.
- Mechanical Bond**  
Must be the original bond form issued, signed, sealed and notarized by the Surety Company and must also be accompanied by the Power of Attorney form. A missing, incomplete or inaccurate bond will cause the application to be deficient and delay processing. **Continuation Certificates are no longer accepted.** You must complete the bond form in the mechanical packet. <http://www.dli.mn.gov/CCLD/FormsSurety.asp>
- Workers' Compensation Certification of Compliance Form**  
The Certificate of Compliance with Minnesota Workers' Compensation Law must be completed and submitted with this application by ALL applicants. Pursuant to M.S. § 176.215, Subd. 1, you may be required to have workers' compensation insurance coverage. **Questions about who is required to have workers' compensation insurance coverage may be answered at 651-284-5032.** Missing, incomplete or inaccurate certificate will cause the application to be deficient and delay processing. This form must be completed by EVERY APPLICANT. <http://www.dli.mn.gov/CCLD/FormsWC.asp>

**NOTE:** Applications will not be approved and the license, certificate, or registration applied for will not be issued unless all of the conditions identified on the application and in the applicable sections of Minnesota Statutes, Chapter 326B are in compliance. Pursuant to M.S. § 326B.082, the Department may revoke, suspend or refuse to issue any license granted when the licensee and/or applicant knowingly and willfully makes a false statement in any license application

This material can be made available in different formats, such as large print, Braille or on an Audio.



CC0195

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## MECHANICAL CONTRACTOR Business Registration Application

New    
  Renewal    
  Business Entity Change or Structure Change

- New Mechanical Bond \$100.00
- Renew Mechanical Bond (not expired) \$100.00
- Renew Mechanical Bond (expired includes late fee) \$150.00
- Reinstate Mechanical Bond \$150.00  
 (expired over 12 months includes late fee)

**Depositing of fee does not constitute granting of the certificate applied for. FEES ARE NONREFUNDABLE**

**Avoid processing delays by uploading your completed application online at:**  
<https://secure.doli.state.mn.us/license/intro.aspx>

**\*A late fee is due if the renewal is received by DLI after the expiration date per Minn. Stat. § 326B.092; subd. 3**

SPACE IN BOX FOR OFFICE USE ONLY	
<b>Account Numbers</b> License <b>632416</b>	<b>STK</b> License <b>B42MECH</b>
<input type="checkbox"/> PCK <input type="checkbox"/> CCK <input type="checkbox"/> MO	<b>DLI Deposit Date</b>
<b>NOTICE:</b> Pursuant to Minnesota Statute § 604.113, checks returned for nonpayment will be charged a \$30 service charge and may subject the issuer to additional civil penalties.	
<b>APPLICATION NUMBER:</b>	

The information you as an individual provide in this application will be used by Department of Labor & Industry staff members to determine if you meet the Department's license requirements. Minnesota Statute § 270C.72, subd 4, requires you to provide your Social Security number and Minnesota Business Identification number on this application. The other information is being requested for purposes of processing your application. With the exception of your Social Security or Minnesota Business Identification number, you are not legally required to supply the requested data on this application; however, failure to provide the requested information may delay the processing of your application or result in the denial of the same. Except for your name and designated address, the information you provide on this application is private data while the application is pending. Disclosure of this information to others may occur as authorized or required by law, including but not limited to the Attorney General's Office, the Department of Revenue, the Department of Human Services, upon court order, and/or for the purpose of verification and investigation. Once you have been issued a certificate of exemption, the information you provide, other than your Social Security number and non-designated address, becomes public data and may be released to anyone upon request

**1. MINNESOTA SECRETARY OF STATE (SOS) REGISTRATION: Is your business name(s) registered with SOS?**     YES     NO  
 IF "NO" please visit **MN Secretary of State (SOS)** – <http://mblsportal.sos.state.mn.us/> to verify registration or call 651-296-2803 or 1-877-551-6767 for questions about your SOS business registration filing status. Except for individuals and partnerships doing business under their own true full legal first and last name(s), all businesses and assumed names (DBA) must be registered with the Office of the Secretary of State.

**2. BUSINESS TYPE: (check only one)**                      **Specify the state business is organized in:** \_\_\_\_\_

<input type="checkbox"/> Individual Proprietor (IP)	<input type="checkbox"/> Corporation (CORP)	<input type="checkbox"/> Limited Liability Company (LLC)
<input type="checkbox"/> Partnership (PT)	<input type="checkbox"/> Foreign Corporation	<input type="checkbox"/> Foreign Limited Liability Company
<input type="checkbox"/> Limited Liability Partnership (LLP)	<input type="checkbox"/> Other (specify) _____	

<b>3. FEDERAL TAX ID NUMBER (FEIN)</b> Tax # call: 1-800-829-4933	<b>MINNESOTA TAX ID NUMBER</b> Tax # call: 651-282-5225	<b>LICENSE # (if applicable)</b>
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<b>If the applicant is an individual proprietor (sole proprietor) or a one-member limited liability company they must provide a Social Security Number.</b>	<b>SOCIAL SECURITY NUMBER</b>
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<b>4. LEGAL BUSINESS NAME OF CONTRACTOR (CORP, LLC, LLP)</b>	<b>FULL LEGAL NAME OF INDIVIDUAL PROPRIETOR (IP) OR PARTNERS (PT)</b>
<b>DBA NAME</b> (Doing business as name / assumed name – if applicable)	<b>DBA NAME</b> (Doing business as name / assumed name – Required)

<b>PHYSICAL BUSINESS STREET ADDRESS</b> (PO Box is not acceptable)	<b>CITY</b>	<b>STATE</b>	<b>ZIP CODE</b>
<b>BUSINESS MAILING ADDRESS</b> (PO Box is acceptable - if applicable)	<b>CITY</b>	<b>STATE</b>	<b>ZIP CODE</b>
<b>BUSINESS PHONE NUMBER</b> (public)	<b>OTHER TELEPHONE NUMBER</b>	<b>E-MAIL ADDRESS</b>	

5. ALL OUT OF STATE BUSINESSES, except states that are contiguous (i.e. Iowa, Wisconsin, South Dakota and North Dakota) with Minnesota, must provide the name and address of a registered agent in this state authorized to receive service of process and by signing this application hereby give consent to service of process as required by M.S. § 326B.855.

MINNESOTA REGISTERED AGENT NAME

REGISTERED AGENT'S MINNESOTA ADDRESS	CITY	STATE	ZIP CODE
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BUSINESS PHONE NUMBER (public)	OTHER TELEPHONE NUMBER	E-MAIL ADDRESS
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6. DO YOU HAVE EMPLOYEES? <input type="checkbox"/> YES <input type="checkbox"/> NO	If Yes, UNEMPLOYMENT INSURANCE NUMBER (Unemployment # call: 651-296-6141)
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7. Contact Person	Contact Person Telephone Number
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**8. Declarations**

This is to certify that the company making this application is in compliance with the provisions of Minnesota Statutes 326B and Minnesota Rules, including:

- a) Compensation of any employee doing contractor work will be reported on an Internal Revenue Service W-2 form.
- b) All advertising and business forms will be in the name shown on the bond form.
- c) I will immediately notify the Department in writing of any change of address, telephone number, responsible licensed person, or other information required on my application.

I understand that a Mechanical Bond registration is a two year registration cycle and that this certificate expires the same day that the bond expires.

I understand that if I am exempt from the licensure requirements, I may be required by a municipality to obtain a local registration prior to becoming eligible to obtain a building permit.

I understand that a Mechanical Bond is NOT a license and that I am prohibited from advertising as a licensed contractor unless I or my company holds a municipal license.

I understand that I am required and may be requested to provide the Department of Labor and Industry with additional information to verify qualification for this Mechanical Bond.

I hereby declare that any statements herein are true and complete, with the same force and effect as though given under oath.

One of the officers listed on the attached **Disclosure of Business Owners, Partners, Officers and Members Form** must sign below as the applicant. If the business type is a partnership then all partners must sign.

PRINT APPLICANT NAME	APPLICANT SIGNATURE	TITLE	DATE
PRINT APPLICANT NAME	APPLICANT SIGNATURE	TITLE	DATE

This material can be made available in different formats, such as large print, Braille or on an Audio.



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 Directions: <http://www.dli.mn.gov/Direct.asp>  
 Phone: (651) 284-5034

## Disclosure of Business Owners, Partners, Officers and Members

**This form must be completed by all business types.**

Minnesota Statutes § 270C.72, Subd. 4, requires the Department of Labor and Industry to require contractor license applicants to provide their Minnesota Business Identification Number and the social security numbers of all individual owners, partners, officers, and other members of the business entity, who are liable for delinquent taxes. The Department of Revenue may order the Department to revoke or not issue the license of any applicant who has not filed tax returns or is delinquent in paying taxes. An individual's social security number is classified as private data and will only be supplied to the Minnesota Department of Revenue, which may supply this information to the Internal Revenue Service, or may occur as authorized or required by law. Failure to supply the required information may delay or prevent the Department from processing the original or renewal application. Once you have been issued a certificate of exemption, all information on this form with the exception of your social security number and nondesignated address becomes public data and may be released to anyone upon request.

**LEGAL BUSINESS NAME OF CONTRACTOR (CORP, LLC, LLP) or Full Legal Name of Individual Proprietor (IP) or Partners (PT)**

**DBA NAME** (Doing business as name / assumed name – if applicable)

<b>PHYSICAL BUSINESS ADDRESS</b> (PO Box not accepted)	<b>CITY</b>	<b>STATE</b>	<b>ZIP CODE</b>
<b>BUSINESS TELEPHONE NUMBER</b>	<b>EMAIL ADDRESS</b>		

**LIST ALL Owners, Officers, Partners, and Members (copy this form if more space is needed)**

LAST NAME (include suffix Jr., Sr., I, II etc.)	FIRST NAME	MIDDLE NAME	SOCIAL SECURITY # (mandatory)	DATE OF BIRTH (mandatory)
RESIDENTIAL ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
Is the residential address a non-designated (Private) address? <input type="checkbox"/> Yes <input type="checkbox"/> No <b>If yes, you must provide a designated (Public) address.</b>				
DESIGNATED (Public) ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
<b>APPLICANT SIGNATURE (mandatory)</b>	TITLE (owner, partner, officer, or member, etc...)			DATE

LAST NAME (include suffix Jr., Sr., I, II etc.)	FIRST NAME	MIDDLE NAME	SOCIAL SECURITY # (mandatory)	DATE OF BIRTH (mandatory)
RESIDENTIAL ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
Is the residential address a non-designated (Private) address? <input type="checkbox"/> Yes <input type="checkbox"/> No <b>If yes, you must provide a designated (Public) address.</b>				
DESIGNATED (Public) ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
<b>APPLICANT SIGNATURE (mandatory)</b>	TITLE (owner, partner, officer, or member, etc...)			DATE

LAST NAME (include suffix Jr., Sr., I, II etc.)	FIRST NAME	MIDDLE NAME	SOCIAL SECURITY # (mandatory)	DATE OF BIRTH (mandatory)
RESIDENTIAL ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
Is the residential address a non-designated (Private) address? <input type="checkbox"/> Yes <input type="checkbox"/> No <b>If yes, you must provide a designated (Public) address.</b>				
DESIGNATED (Public) ADDRESS	CITY	STATE	ZIP CODE	TELEPHONE NO
<b>APPLICANT SIGNATURE (mandatory)</b>	TITLE (owner, partner, officer, or member, etc...)			DATE

**This material can be made available in different formats, such as large print, Braille or on an Audio.**

Minnesota Department of Labor and Industry  
 CCLD - Licensing and Certification Services  
 PO Box 64220  
 St. Paul, MN 55164-0220  
 Phone: (651) 284-5034 Fax: (651) 284-5743  
 E-mail: DLI.License@state.mn.us  
 www.dli.mn.gov  
 PRINT IN INK or TYPE  
 KNOW ALL MEN BY THESE PRESENTS:

## Mechanical Bond



CC0516

BOND NO.	AMOUNT	EFFECTIVE DATE	ENDING DATE
	<b>\$25,000</b>		

THAT \_\_\_\_\_  
 (Business name as Registered with the Office of the Minnesota Secretary of State; or if individual sole proprietor, individual's name.)

\_\_\_\_\_  
 (DBA, doing business as name if applicable)

With business office at \_\_\_\_\_  
 (Business Address City State Zip Code Telephone number)

as PRINCIPAL, and \_\_\_\_\_  
 (Surety Company Name)

\_\_\_\_\_  
 (Surety Company Address City State Zip Code Telephone number)

A corporation duly organized in the state of \_\_\_\_\_ and authorized to do business in the state of Minnesota, as Surety, are jointly and severally held and firmly bound to the state of Minnesota as obligee, in the sum of **TWENTY-FIVE THOUSAND DOLLARS (\$25,000)** for the benefit of persons injured or suffering financial loss by reason of failure of such performance as herein specified for the payment of which, we bind ourselves, our heirs, executors, administrators, successors and assigns firmly by these presents. The bond shall be filed with the Minnesota Department of Labor and Industry and shall be in lieu of all other license bonds to any other political subdivision.

NOW THEREFORE, the condition of this obligation is such that WHEREAS the said Principal has contracted to do gas, heating, ventilation, cooling, air conditioning, fuel burning, or refrigeration work within the state of Minnesota, then the Principal shall faithfully and lawfully comply with the Minnesota State Mechanical Code (Minnesota Rules, Chapter 1346) as provided in Minnesota Statute 326B.197 when performing work in the state of Minnesota and indemnify any person dealing or transacting business with the Principal from any financial loss or damage occasioned by the failure of the Principal to comply with any requirements of Minnesota Rules, Chapter 1346, then no obligation under this bond shall accrue; otherwise this bond shall remain in full force and effect.

During the term of this obligation the Principal and Surety will pay unto the persons injured or suffering financial loss the amount needed to correct non-complying work. The aggregate liability of the Surety hereunder pertains to all claims, regardless of the number of claims made against the bond or the number of years the bond remains in force, shall in no event exceed the total sum of **TWENTY-FIVE THOUSAND DOLLARS (\$25,000)**.

The bond may be cancelled by the Surety, as to future liability, by giving written notice by Certified Mail, addressed to the Principal at the address as stated in the bond, and to the Department of Labor and Industry, Construction Codes and Licensing Division, 443 Lafayette Road No., St. Paul, MN 55155. Thirty (30) days after the mailing of that notice, this bond shall be null and void as to any liability thereafter arising, the Surety remaining liable, however, subject to all the terms, conditions, and provisions of this bond, for any and all acts covered by this bond up to the date of the cancellation. The Surety shall notify the Principal and the Department of Labor and Industry if it has made any payments on the bond which result in the value of the bond falling below the minimum amount required by law.

Signed and sealed this \_\_\_\_\_ day of \_\_\_\_\_

**(SURETY SEAL)**

\_\_\_\_\_  
 Print Name of Principal (s)

\_\_\_\_\_  
 SIGNATURE OF PRINCIPAL(S)

\_\_\_\_\_  
 Print Name of Principal (s)

\_\_\_\_\_  
 SIGNATURE OF PRINCIPAL(S)

**Acknowledge (notarize) signatures on reverse side and attach power of attorney form.**

\_\_\_\_\_  
 NAME OF SURETY

File with: Minnesota Department of Labor and Industry  
 CCLD – Licensing and Certification  
 443 Lafayette Road N  
 St. Paul, Minnesota 55155

\_\_\_\_\_  
 SIGNATURE OF ATTORNEY IN FACT (SURETY COMPANY)

**A OR B AND C MUST BE COMPLETED**

**A. FOR ACKNOWLEDGEMENT OF Individual, Partnership, Limited Liability Company or Limited Liability Partnership**

(Note: If partnership all signatures required to be notarized. Please copy the page if necessary.)

STATE OF \_\_\_\_\_ )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_ personally came \_\_\_\_\_  
to me well known to be the identical person(s) described in and who executed the foregoing bond and he/she/they acknowledged the same  
to be his/her/their own free act and deed.

(SEAL)

\_\_\_\_\_  
Notary Public, \_\_\_\_\_ County, \_\_\_\_\_  
My Commission Expires \_\_\_\_\_

**B. FOR ACKNOWLEDGEMENT of Corporate Contractor**

STATE OF \_\_\_\_\_ )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_ personally came \_\_\_\_\_  
who being by me duly sworn, did say that he/she is \_\_\_\_\_  
of \_\_\_\_\_, a \_\_\_\_\_  
corporation; and that said instrument was executed in behalf of the corporation by authority of its Board of Directors; that he/she  
acknowledged said instrument to be the free act and deed of the corporation.

(SEAL)

\_\_\_\_\_  
Notary Public, \_\_\_\_\_ County, \_\_\_\_\_  
My Commission Expires \_\_\_\_\_

**PART C MUST BE COMPLETED BY THE SURETY COMPANY**

**C. FOR ACKNOWLEDGEMENT of Corporate Surety**

STATE OF \_\_\_\_\_ )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_ personally came \_\_\_\_\_  
and \_\_\_\_\_ to me personally known, who being by me duly sworn, did say that  
he/she is the attorney in fact, of \_\_\_\_\_, the  
corporation whose name is affixed to the foregoing instrument; that the seal affixed to the foregoing instrument is the corporate seal of the  
said corporation; and that said instrument was executed in behalf of said corporation by authority of its board of directors and said  
\_\_\_\_\_ acknowledged that he/she executed said instrument as attorney in  
fact as the free act and deed of said corporation.

(SEAL)

\_\_\_\_\_  
Notary Public, \_\_\_\_\_ County, \_\_\_\_\_  
My Commission Expires \_\_\_\_\_



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Phone: (651) 284-5034

## Certificate of Compliance Minnesota Workers' Compensation Law

This form must be completed by the business license applicant.

**Print in ink or type**

Minnesota Statutes § 176.182 requires every state and local licensing agency to withhold the issuance or renewal of a license or permit to operate a business in Minnesota until the applicant presents acceptable evidence of compliance with the workers' compensation insurance coverage requirement of Minn. Stat. chapter 176. If the required information is not provided or is falsely stated, it shall result in a \$2,000 penalty assessed against the applicant by the commissioner of the Department of Labor and Industry.

A valid workers' compensation policy must be kept in effect at all times by employers as required by law.

License or certificate number (if applicable)	Business telephone number	Alternate telephone number
---	---------------------------	----------------------------

Business name (Provide the legal name of the business entity. If the business is a sole proprietor or partnership, provide the owner's name(s), for example John Doe, or John Doe and Jane Doe.)

DBA ("doing business as" or "also known as" an assumed name), if applicable

Business address (must be physical street address, no P.O. boxes)	City	State	ZIP code
County	Email address		

**You must complete number 1 or 2 below.**

**Note:** You must resubmit this form to the authority issuing your license if any of the information you have provided changes.

1.  **I have a workers' compensation insurance policy.**

Insurance company name (not the insurance agent)

Policy number	Effective date	Expiration date
---------------	----------------	-----------------

**I am self-insured for workers' compensation.** (Attach a copy of the authorization to self-insure from the Minnesota Department of Commerce; see [www.mn.gov/commerce/industries/insurance/licensing/self-insurance](http://www.mn.gov/commerce/industries/insurance/licensing/self-insurance).)

2. **I am not required to have workers' compensation insurance because:**

- I only use independent contractors and do not have employees. (See [Minn. Stat. § 176.043](#) for trucking and messenger courier industries; [Minn. Stat. § 181.723, subd. 4](#), for building construction; and [Minnesota Rules chapter 5224](#) for other industries.)
- I do not use independent contractors and have no employees. (See [Minn. Stat. § 176.011, subd. 9](#), for the definition of an employee.)
- I use independent contractors and I have employees who are not required to be covered by the workers' compensation law. (Explain below.)
- I only have employees who are not required to be covered by the workers' compensation law. (Explain below.) (See [Minn. Stat. § 176.041](#) for a list of excluded employees.)

Explain why your employees are not required to be covered

I certify the information provided on this form is accurate and complete. If I am signing on behalf of a business, I certify I am authorized to sign on behalf of the business.

**Print name**

<b>Applicant signature (required)</b>	<b>Title</b>	<b>Date</b>
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If you have questions about completing this form or to request this form in Braille, large print or audio, call (651) 284-5032 or 1-800-342-5354.