



NASSAU COUNTY DEPARTMENT OF CONSUMER AFFAIRS  
240 Old Country Road, Mineola, NY 11501  
Phone: (516) 571-2600  
consumeraffairs@nassaucoutnyny.gov  
www.nassaucountyny.gov

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## GENERAL INSTRUCTIONS FOR A HOME IMPROVEMENT LICENSE

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\*\*\*\* THE FILING OF AN APPLICATION DOES NOT CONSTITUTE PERMISSION TO OPERATE\*\*\*\*

A LICENSE MUST ACTUALLY BE IN THE POSSESSION OF THE LICENSEE BEFORE ANY WORK, ADVERTISING, OR SOLICITATION CAN BE LEGALLY CONDUCTED.

**1. APPLICATION FORM** must be completed by an owner or principal of the business and NOTARIZED.

### 2. TYPE OF BUSINESS:

#### Corporations/LLC:

- a) All Corporations, LLC's, etc. must furnish their Corporate Filing Receipt from the NYS Department of State, Division of Corporations. If you do not have the Filing Receipt, please obtain one of the following from the NYS Department of State, Division of Corporations: Certificate of Status; Certificate of Good Standing; or Certificate of Existence.
- b) All corporations must maintain a bona fide establishment at a definite location within the State of New York. If this is **not** a New York business you must submit a Certificate of Authority to do business in New York State.
- c) If your business is using a DBA, you must submit an Assumed Name Certificate that has been filed with New York State authorizing you to use the name in Nassau County.
- d) Corporations and LLC's, may be required to provide minutes reflecting their corporate structure naming all principals, officers, directors, and shareholders.

#### Partnerships

- a) A partnership conducting business, must submit a certified copy of the partnership certificate on file in the Nassau County Clerk's Office. (ref: Blumberg form # X74)

#### Sole Proprietorship:

- a) Individuals using their own name, or a trade name, must present a certified copy of the business certificate on file in the Nassau County Clerk's Office. (ref: Blumberg form # X201)

**PLEASE NOTE:** If the application is made by an out-of-state individual, partnership, corporation or LLC, you must provide a Certificate of Authority to do business in NY State, have a NY State location, as well as an authorized **contact person** that has a NYS residence. The Contact Person is also required to submit a Disclosure Form.

**3. PROOF OF LOCATION:** All applicants must submit a copy of a current utility bill, land line phone bill, or a current lease or deed, to show proof of business location, if the business address is different from the home address. **Please Note: a P.O.Box/UPS Store CAN ONLY be used as a mailing address and NOT as a business location. No Exceptions.**

**4. EMAIL:** All applicants must provide a valid email address for business communications. This email address will be used for communications by this Department regarding licensing issues and/or consumer complaints.

**5. IDENTIFICATION NUMBERS:** NY State law requires ALL businesses to have a Federal Employers Identification number (FEIN). If you collect sales tax, please list your NY State Sales Tax number. For information about obtaining a Federal Employers Identification number please contact 1-800-829-4933 or visit [www.irs.gov](http://www.irs.gov). For information regarding NYS Sales Tax, please contact 518-457-5431 or visit [www.tax.ny.gov](http://www.tax.ny.gov). Applications without a FEIN will NOT be processed.

**6. DISCLOSURE FORM:** Each owner, principal, partner, corporate officer, director, member, shareholder, manager, and salesperson of the business must complete this form, and have it NOTARIZED.

**7. BANK:** All applicants are required to provide their business banking information. This includes the name of the banking institution and bank account number that will be used with your license. NYS General Business Law requires that contractors maintain Escrow Accounts and/or post a Surety Bond. **Please note that although we are only asking for your business banking information, you may be required to provide your Escrow and/or Bond information upon this Department's request.** For more information regarding Escrow Accounts and Bond requirements, please see the information below or visit the NY State Attorney Generals website at [www.ag.ny.gov](http://www.ag.ny.gov). See NY General Business Law Section 771 (e)

**a. Escrow Accounts:** Any contract payments received by a contractor from a customer prior to substantial completion of the job must be put into a trust (escrow) account in a bank located in New York State within five business days and the customer must be informed where the money is being held within ten business days. The contractor can withdraw the deposit only in the certain circumstances.

**b. Alternative Surety Bond:** As an alternative to the escrow account, the contractor must deliver to the customer a "bond" or "contract of indemnity," guaranteeing that the customer's money will be properly used or returned. The bond must be delivered within ten business days after the contractor receives the customer's money.

**8. DESCRIPTION OF WORK:** The different categories of home improvement work that you plan to advertise and/or perform with the license, must be indicated on the Home Improvement Work Sheet of the license application. These categories must match the "Description of Operations" that is listed on your Certificate of Liability Insurance Form (Acord).

**PLEASE NOTE: If you are sub-contracting work, you MUST have liability insurance for subcontracting and you may be required to submit a list of these sub-contractors along with proof of their liability insurance. In addition, all sub-contractors, except plumbers and electricians, MUST have a valid license with this department (Consumer Affairs).**

**9. CERTIFICATIONS/CERTIFICATES:** At least ONE of the owners, principals, partners, corporate officers, directors, members, and/or shareholders must have the following:

- **RRP Lead Safety for Renovation, Repair & Painting:** Home Improvement Contractors whose work could possibly involve contact with surfaces at a residential property that were previously painted with lead paint, must complete an EPA approved Lead Safety for Renovation, Repair & Paint course. (RRP) See 40 CFR Part 745.225 and Rule 18 of the Rules and Regulations Relating to the Home Improvement Business, for further details. The Rules & Regulations are posted on our website, [nassaucountyny.gov](http://nassaucountyny.gov). The RRP completion certificate must have a **photograph** of the individual who attended the in person portion of the course.
- **Sprinkler/Irrigation Work:** Home Improvement Contractors who are doing sprinkler/irrigation work must submit a New York Back Flow Tester Certification, from a NYS Department of Health approved course provider. See NYCRR Section 5-1.31 and Rule 22 of the Consumer Affairs Rules and Regulations Relating to the Home Improvement Business, which is posted on our website [nassaucountyny.gov](http://nassaucountyny.gov).
- **For Swimming Pool & Spa Contractors and Builders:**
  1. All Pool & Spa Contractors must use licensed plumbers and licensed electricians.
  2. All Pool & Spa Contractors must have:
    - Five years of experience and a **CBP** (certified building professional certification) or equivalent certification for pool & spa builders.
    - Five years of experience and a **CST** (certified service technician), or a **CSP** (Certified Service Professional) or equivalent certification, for Pool & Spa Contractors who make repairs/do renovations or perform maintenance on equipment.

- Five years of experience and a **CMS** (certified maintenance specialist) certification for those who are seasonal contractors who perform pool cleaning on a designated route.

**10. EXPERIENCE:** One owner/officer/principal must have at least 5 years of recent, relevant verifiable experience in the home improvement field. That owner/officer/principal is required to submit five years of W2's, 1099's, or a license in another municipality for proof.

**11. INSURANCE:** All applicants must have current liability insurance and **MUST** submit a valid Certificate of Insurance with the following information:

- 1) Insurance Agent or Broker's name, address and phone number.
- 2) Insured's name and address exactly as it appears on the application. All business locations must be listed on the certificate.
- 3) Policy number, policy effective date and policy expiration date.
- 4) The name of the Insurer/Insurance Company providing/affording the Insurance coverage.
- 5) A full and specific description of the work covered under the policy must be listed in the Description of Operations Box on the Certificate of Insurance. The description of operations must match the work stated and/or indicated on the Home Improvement Work Sheet part of your license application. Please note that the words "General Contracting", "Remodeling", "Carpentry", and "Home Improvement" will **NOT** be accepted; the categories of work performed must be specific.
- 6) Authorized Representative Signature.
- 7) Limits of Insurance:  
  
Bodily Injury - \$250,000/500,000  
Property Damage - \$100,000
- 8) Certificate Holder: Nassau County Department of Consumer Affairs  
240 Old Country Road  
Mineola, New York 11501
- 9) Cancellation Notice: A notice shall be sent to this office within 15 days prior to any cancellation, non-renewal, or change in coverage of a license holder's insurance policy.

**PLEASE NOTE: If you are sub-contracting work or are doing work that has been deemed by the Commissioner to require sub-contracting, you MUST have liability insurance that allows for subcontracting. Subcontracting must be listed in the Description of Operations Box on your Certificate of Insurance. All sub-contractors, except plumbers and electricians, MUST have a valid license with the Nassau County Department of Consumer Affairs.**

**12. WORKERS COMPENSATION:** A Certificate of Workman's Compensation is required covering all employees. Forms U26 or 105.2 are acceptable. If you **DO NOT** have employees, you must submit a Certificate of Attestation Exemption (CE-200) form from the Workman's Compensation Board, which states that you have no employees, day labor, leased employees, borrowed employees, part-time employees, unpaid volunteers (including family members), or subcontractors. For more information on these forms, please contact the NYS Workers Compensation Board at 866-546-9322 or online at [www.wcb.ny.gov](http://www.wcb.ny.gov). Please verify that you are selecting the correct form for your type of business before submitting.

**13. JUDGMENT SEARCH:** As part of the review process, a judgment search for industry related judgments, tax liens and warrants, and unpaid child support, will be conducted for each owner, principal, partner, corporate officer, director, member/manager, stockholder, manager, and salesperson, **individually**, and under the **business name**, and the name of any **prior** business name. In order to proceed with the license application, outstanding judgments must be satisfied, vacated, in the process of being appealed or vacated, or being paid under an agreed upon payment plan with proof of up-to-date payments.

**14. OPEN/UNRESOLVED CONSUMER COMPLAINTS AND UNPAID CONSUMER AFFAIRS' VIOLATION FINES:** As a part of the review process, a search for open/unresolved consumer complaints and unpaid Consumer Affairs' violation fines, will be conducted for each owner, principal, partner, corporate officer, director, member/manager, stockholder, manager, and salesperson, individually, and under the business name, and the name of any prior business. In order to proceed with the license application, the violation fines must be paid in full and any open/unresolved consumer complaints must be resolved or in the process of being resolved. Please contact the investigator assigned to the consumer complaint for the status of an open or unresolved complaint.

**15. FINGERPRINTING:** All Home Improvement license applicants must submit to a finger-print based background check. After a final review of your license application, you will be sent instructions for the fingerprinting process. This is a ONE-TIME requirement; the cost will be approximately \$90.

**16. FALSIFICATION/COMPLETION:** Failure to complete the required information or providing false information may result in the denial of the application for a license or any renewal thereto, as well as cancellation, suspension, or revocation in the event such license has been issued. Falsification of any statement made herein may be referred to the Office of the District Attorney for criminal prosecution.

**17. FEES:** Nassau County License fees:

1. New Application (2 year license)	\$650.00
2. Restitution*	\$ 50.00
3. Additional location fee	\$110.00
4. Replacement cost for lost license	\$ 60.00

\*Every applicant for a Home Improvement License must pay a one time \$50 fee into the **Restitution Fund**, which compensates Nassau County Homeowners, who have filed a consumer complaint with Consumer Affairs that was not resolved and obtained a legal judgment against a licensed Home Improvement contractor, and which judgment was unable to be enforced.

THE RESTITUTION FUND ONE TIME FEE MUST BE PAID **SEPARATELY**, AND CANNOT BE COMBINED WITH THE APPLICATION FEE.

ALL PAYMENTS CAN BE MADE BY **OFFICIAL BANK/CERTIFIED CHECK OR MONEY ORDER** PAYABLE TO **"THE COUNTY OF NASSAU"**

ALL FORMS ARE TO BE COMPLETED **LEGIBLY** IN **BLUE OR BLACK INK OR TYPED**.

A TWO YEAR LICENSE WILL BE MAILED TO ALL APPLICANTS AFTER THE APPLICATION HAS BEEN APPROVED AND PROCESSED.

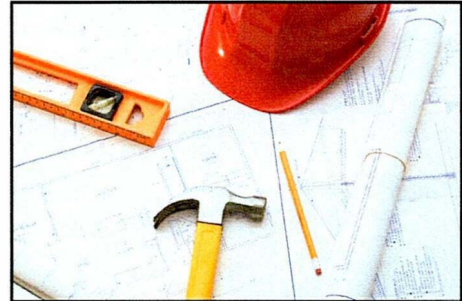
THE LICENSE SHALL BE AFFIXED IN A CONSPICUOUS PLACE AT EACH BUSINESS LOCATION AND A COPY SHALL ALSO BE KEPT IN EACH VEHICLE, IF APPLICABLE.

IF YOU HAVE ANY QUESTIONS ABOUT YOUR SUBMITTED BUSINESS APPLICATION OR HAVE A QUESTION ABOUT LICENSING; PLEASE EMAIL US AT:  
consumeraffairs@nassaucountyny.gov



**BRUCE A. BLAKEMAN**  
NASSAU COUNTY EXECUTIVE

# HELPFUL TIPS TO OBTAINING A HOME IMPROVEMENT LICENSE



*Applying for a license? You can help speed up the process by making sure everything that is required by our department is submitted. This will not only help speed up the review of your license application; it allows you to get to work faster for our residents.*

## **BUSINESS APPLICATION**

- Business application completely filled out. (This means all questions answered, signed, and notarized).
- A valid NYS filing receipt and/or assumed name certificate provided for Corporations/LLC/LTD/ Partnerships; or a current business certificate filed with the Nassau County Clerk's Office.
- Either a current land line business phone bill, utility bill, and/or lease verifying the address of your business.
- Current Certificate of Business Liability Insurance with the description of work that you are looking to be licensed to perform. If you are hiring sub-contractors, you must have "sub-contracting" listed on your certificate. You must also make sure Consumer Affairs is a Certificate Holder. For Insurance requirements, please visit: <https://www.nassaucountyny.gov/3507/Insurance-Requirements>
- A current certificate of workman's compensation insurance on a U26 or 105.2 form; or if no employees, a current signed CE-200 form
- As required for certain license's; A bond in the correct business name (must be valid for 2 years). For Health Clubs Only; (as per D-24 of Local Law Section 21-32.3) bond or proof that you are exempt.

## **DISCLOSURE FORM (FOR EACH OWNER/PRINCIPAL/OFFICER/SALES/MANAGER)**

- Disclosure Form completely filled out for each officer, principal, and/or owner. (This means all questions answered, signed, and notarized).
- Two 2x2 passport photos
- A copy of your valid NYS drivers license.
- A current utility bill, NYS vehicle registration or lease from your home address (if leased)
- Five years of recent relevant verifiable experience (ex: W2's, 1099's, a license in another municipality)
- RRP Lead certification (as per [epa.gov/lead](http://epa.gov/lead))

**Please note that INCOMPLETE applications WILL NOT be accepted and that providing all the information above, does not constitute the issuance of a license. You may be required to provide more information upon review.**

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