

UTAH Department of Commerce



2019 Annual Report

Administration

Office of Consumer Services

Consumer Protection

Corporations & Commercial Code

Occupational & Professional Licensing

Office of the Property Rights Ombudsman

Public Utilities

Real Estate

Securities

1896

Our Mission

To protect the public interest by ensuring fair commercial and professional practices.

Our Vision

The Department of Commerce contributes to the success of Utah businesses, professionals and consumers by creating a favorable economic environment.

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Dear Reader,

It is my pleasure to introduce the 2019 annual report for the Utah Department of Commerce. The regulation and licensing services, provided by the eight divisions within the Department of Commerce, actively seek the best interest of Utahns. By providing users friendly services both in person and online, issuing licenses to professionals across hundreds of industries, and by protecting the rights of consumers, the dedicated employees at the Utah Department of Commerce have earned the trust of our residents by helping to make Utah one of the most trusted states for conducting business in the nation.

Utah remained the #1 Best State for Employment in 2019 by U.S. News and World Report and rose to the #4 spot among the fifty states overall in quality of life. The efforts and initiatives of Utah’s Department of Commerce help to make Utah a trusted state for conducting business.

As Utah’s economic climate continues to evolve, I am confident in our Department of Commerce, which strives for innovative ways to adapt and meet the needs of our changing population.



Sincerely,

Gary R. Herbert
Governor



Utah Department of Commerce Cornerstones 2019

Administration

Education: Commerce supports ongoing goals to educate the public and licensees on agency services to support a positive and robust business environment in Utah.

Division of Consumer Protection

Jobs: By continuing to monitor business compliance with the Consumer Sales Practices Act and other statutes, the Division helps achieve a more level playing field for companies that deal fairly with consumers.

Education: As described previously, the Division presents in various settings to educate consumers and businesses. The Division also issues media releases about issues impacting Utah consumers.

Energy: The Division uses hybrid vehicles, which supports the Governor's efforts to improve air quality. The Division also administers the Residential Solar Energy Disclosure Act.

Self-Determination: The Division continues to regulate immigration consultants to ensure that immigration consultants lawfully assist consumers.

Division of Corporations

Jobs: The Division of Corporations and Commercial Code encourages entrepreneurs, business owners, and commerce by educating the public through accurate, courteous, and timely customer service and through the efficient processing of business filings.

Education: The Division's Help Center and Service Center staff work diligently to educate the public by answering questions regarding business registration through fielding thousands of telephone calls, and responding to live online chats as well as assisting walk-in customers.

Energy: The Division's electronic filing resources including Online UCC filing, One Stop Business Registration, Online Annual Business Renewal, and Online DBA Registration, reduce the dependence on paper filings by customers and the amount of paper the Division uses.

Division of Occupational and Professional Licensing (DOPL)

Education: With the passage of House Bill 127, DOPL has hired an Academic Detailing Specialist to provide education to opioid prescribers. Education will be offered to all prescribers who

have a pattern of prescribing opioids not in accordance with CDC Clinical Guidelines for Prescribing Opioids for Chronic Pain or the Utah Clinical Guidelines on Prescribing Opioids for Treatment of Pain. The education will also be available to all interested controlled substance prescribers.

Jobs: Continuing the Governor's charge to empower the private sector by implementing regulation that encourages stability while minimizing interference, the Division has focused on several changes to enhance commerce while promoting the health, safety and welfare of the citizens of Utah.

License portability has been a major focus for the Division over the last year, with major changes being implemented. The Division's existing military resources were expanded to make the transition for the members of our armed forces even more user friendly. In addition to the existing exemption granted to military spouses, the ability for our active duty troops to apply for fee waivers at both initial licensure and renewal was implemented. Division staff has also joined forces with Utah Department of Veterans and Military Affairs to help connect our military families with additional services. Additionally, a change was made to the Division's endorsement requirements that opens additional pathways for residents of the state to obtain licensure when they have been licensed in other recognized jurisdictions. Each of these changes have increased license portability, which helps get Utahn's working faster in their chosen career paths.

DOPL focused on sending out email reminder notices for renewal prior to the 60 day requirement. This has helped all licensees by allowing them to renew and continue to work without worry of the status of their license. It has had a larger impact on some of the medical professions where the employers

may require the licensees to be renewed prior to the expiration of their license for scheduling purposes.

Self-Determination: The Division has focused on reducing unnecessary regulation where possible. Several licensing regulations were modified to reduce arbitrary requirements:

- » an automatic 5 year ban on nurses with certain criminal offenses was eliminated;
- » mental health intern licenses were modified to allow for an extension when clinical hours could not be completed within the standard three years;
- » requirement that practitioners complete a burdensome and redundant CSD quiz at each renewal was eliminated.

In an effort to enhance our customer's experience, the Division has also focused heavily on its online services. This summer, the Division launched a new website, making our online presence more user friendly. The Division also continued its quest to make many services available online by continuing to add new applications to our web portal, as well as making smaller services such as duplicate license requests available as an online transaction.

Office of Property Rights Ombudsman

Jobs: The Division worked with the Legislature and the advisory boards for both plumber and electrician licensing to simplify licensure requirements and expedite the process to qualify for licensing as an electrician and plumber. With the economy surging, especially in construction-related trades, the state has encountered a shortage of qualified electricians and

plumbers. The purpose of the rule changes was to eliminate arduous requirements and pave the way for people to advance more quickly in their knowledge and ability to practice in these vital professions.

The Division worked with the Legislature to create and pass House Bill 90. It recognized the problem that individuals with a criminal history face when trying to reenter the workforce. The bill allows candidates to apply to DOPL for a pre-determination of their qualification for licensure long before the individuals expend money and time training for a profession that they may not be able to access. The bill also requires DOPL to justify more fully how criminal history is substantially related to the practice of a specific profession.

Education: The Division hired an employee tasked with coordinating education and outreach to the public and DOPL licensees. The individual assisted busy DOPL team members in identifying and enhancing educational opportunities for the public and DOPL license holders. The Division was able to better connect with thousands of Utah citizens through home shows, targeted courses and printed materials. One of the highlights was participation in Expungement Day when the Division helped individuals with a criminal history to learn of the easier pathways to achieve licensure through House Bill 90.

Self-Determination: The Division continues to excel in Governor Herbert's 25% SUCCESS improvement mandate. For licensing, DOPL processed 75% of license applications within 7 days, allowing individuals to begin working quickly compared to other states. For investigations, DOPL completed nearly 90% of its cases within 90 days, encouraging the public that they will be protected from dishonest people.

The Division has worked with its federal and state partners in connecting with the Bureau of Justice Assistance "RxCheck Hub" for secure data sharing and electronic health record (EHR) exchange. The RxCheck Hub provides for greater data security and portability of patients' controlled substance prescription history. By utilizing the RxCheck Hub, the Division has been able to offer healthcare systems integration to the Controlled Substance Database with direct data flow for electronic health records free of charge, with quicker response times. Further assisting with the Division's efforts to combat the Opioid epidemic and meeting the Governor's Success + goals.

Division of Public Utilities

Energy: The Division of Public Utilities helps ensure Utahns' access to safe, adequate, and reliable energy at reasonable rates. In Fiscal Year 2019, the Division helped preserve Utah's advantageous utility rates and reliable service. For example, the Division participated in regional negotiations concerning Rocky Mount Power's cost allocation between states. The Division was able to prevent allocation proposals that would have saddled Utah

ratepayers with the costs of other states' policies. Furthermore, Division activities helped ensure the safety of Utah's intrastate natural gas infrastructure, including an aggressive replacement program for aging or vulnerable pipelines and enforcement action against a non-compliant pipeline operator.

Division of Real Estate

Education: The Division and Real Estate Commission approved a new administrative rule requiring all active real estate brokers and agents to complete a mandatory 3-hour course during each renewal cycle. This course focuses on statutory and administrative rule changes, common issues and concerns, and Division cases and complaints.

Jobs: Recent legislation allows for licensed and registered mortgage loan originators coming from another state or a bank to obtain 120 days of temporary authority to originate loans while fulfilling licensing requirements. This new law streamlines the process for those interested in working in the mortgage industry in Utah.

Energy: The Division accepts new applications online and over 95% of all licensees renew their license online. All license renewal reminders are sent via email. These systems make it easier to apply for and renew a license as well as reduce the amount of paper the Division uses.

Division of Securities

Education: The Division and Securities conducts multiple events each year to present the public and especially retirees with information about smart investing and avoiding scams, providing crucial information to those most at risk for investment scams.



Utah Department of Commerce Administration

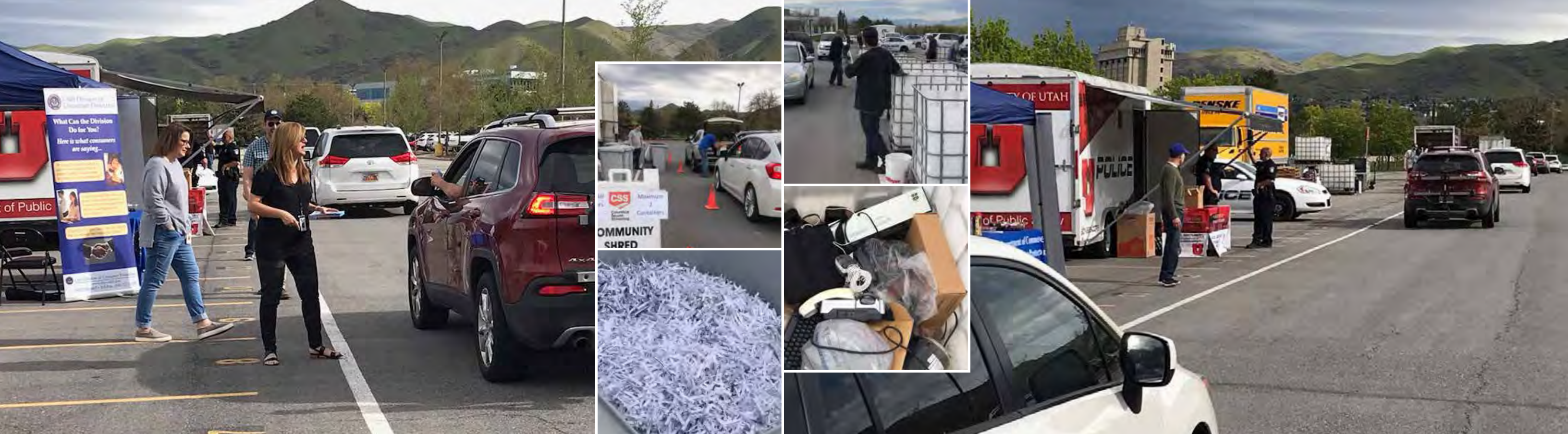
Mission Statement

Administration's mission is to provide administrative support (financial, human resources, information technology, public relations, and adjudicative) to the following Divisions within the Department of Commerce: Office of Consumer Services (OCS), Division of Consumer Protection (DCP), Division of Corporations and Uniform Commercial Code (CORP), Division of Occupational and Professional Licensing (DOPL), Division of Public Utilities (DPU), Division of Real Estate (DRE), and Division of Securities (DS).

Serving the People

In November 2018, the Department experienced a serious challenge to our ability to serve the public at our office location in the Heber Wells Building in downtown Salt Lake City. A pipe burst on the 3rd Floor, followed by another pipe burst in our Real Estate Division just days later. The resultant floods caused extensive cosmetic damage to the elevator, soaked carpets, and damaged ceilings on the 1st and 2nd floors. The Divisions of Corporations, Consumer Protection, and Real Estate all had operations heavily impacted, and staff had to vacate the building for a few days.

Thanks to quick action by Department staff, in collaboration with the Department of Technology Services and the Division of Facilities Management, the service interruptions were minimal. Within a week, a new terminal for public services was installed on the 1st floor, and temporary work stations provided staff the ability to maintain operations while repairs were in process. By collaborating across multiple agencies, employees at the Department of Commerce made sure the public barely noticed a difference in service.



Innovation

In 2019, Governor Gary Herbert signed legislation sponsored by Representatives Marc Roberts and Senator Daniel Hemmert, creating Utah’s “Regulatory Sandbox”. The Sandbox encourages innovative financial products and services by providing participants with limited testing in the Utah market without first obtaining state licenses or other required authorizations. Once granted admission, participants may perform limited testing subject to certain restrictions depending on their innovative financial product or service.

Agency Budget Highlights - FY 2019.

- The Division of Corporations invested in an entirely new Uniform Commercial Code filing system to automate multiple processes, saving significant staff time.
- Replaced 4% of Commerce fleet vehicles with hybrid vehicles.
- Division of Securities upgraded Accounting and Enforcement Software to more efficiently receive payments and manage investigative overflow.

Administrative Actions

A business registrant or licensee, having been adversely impacted by a Department of Commerce Division action, may request agency review by the Executive Director. Upon review, the decision could be upheld, reversed, modified, or remanded to the Division for further consideration.

DIVISION	Total	DCP	CORP	DOPL	DRE	DS
Filed	40	0	0	37	3	0
Closed	45	2	0	39	4	0
Affirmed	10	2	0	6	2	0
Remanded	13	0	0	13	1	0
Dismissed	21	0	0	20	1	0
Reversed	0	0	0	0	0	0
Modified	0	0	0	0	0	0



Public Outreach

Administration participated in media interviews, created and aired public service announcements throughout the state through local television as well as presenting at several Utah events to educate the public about consumer fraud awareness topics.

Declutter Day 2019

In April, the Utah Department of Commerce hosted its fifth annual “Declutter Day” free public event. Commerce employees partnered with Big Brothers Big Sisters of Utah, MeTech electronic recycling, Columbus Secure Shred and the University of Utah Police Department for the daylong community program. The public was invited to drop off documents for secure shredding, recycle old electronics/computers, recycle expired medication, and donate clothing to charitable causes. Declutter Day 2019 resulted in shredding nearly 10 tons of documents, 12 tons of electronic waste, 1 ton of clothing, and nearly 200 pounds of expired medications were collected for safe disposal. This collaborative effort between state and local organizations provided an overwhelming benefit to members of the Utah public who were able to dispose of clutter without the risk of being exposed to fraud or other deceptive practices. At the same time, the citizens were able to turn in prescription drugs and support a “Green” effort to recycle household clutter.



Office of Consumer Services

Mission Statement

The core work of the Office of Consumer Services is to evaluate the impact of utility rate proposals and other regulatory actions and to advocate positions advantageous to residential and small commercial customers.

Introduction

The Office of Consumer Services is Utah's utility consumer advocate, representing residential, small commercial and agricultural consumers of natural gas, electric and telephone service. Utah's utility consumer advocate was first established as the Committee of Consumer Services in 1977 by the Utah Legislature, reorganized into the Office of Consumer Services in 2009. The OCS has a staff of five led by a Director. The Director, on behalf of the office, represents the interests of residential and small commercial consumers in regulatory proceedings. A nine member layperson committee advises the OCS on its regulatory and advocacy work and helps establish policy objectives.

The OCS serves Utah consumers by ensuring that the interests of small consumers are fully represented in electric, natural gas, and telecommunication matters — which includes the vigilant assessment of regulatory actions impacting customer rates, reliability of service, and public policy issues.

Utility Regulatory Filings

The core work of the OCS is to evaluate the impact of utility rate proposals and other regulatory actions and to advocate positions advantageous to residential and small commercial customers. Regulatory filings occur throughout the year and include a wide range of issues such as: requests for rate increases, proposals for energy efficiency and conservation programs, and presentation of long-term resource plans to meet customer's future electricity and natural gas needs. Some of the OCS's key issues for FY 2019 included:

» Integrated Resource Planning:

Long-term resource planning is an ongoing activity for Rocky Mountain Power and Dominion Energy and the OCS actively participates in these resource planning processes. In FY 2019, Rocky Mountain Power conducted significant modeling to evaluate the ongoing economics of its coal fleet in particular in context of lower costs for renewable energy resources. This modeling will be complete in early FY 2020 and will likely lead to new resource acquisitions. Our natural gas utility, Dominion Energy Utah, requested approval for construction of an LNG plant, which the OCS opposed as being unsupported. The OCS policy is to support sufficient resources to reliably meet customer needs and mitigate risks, but also takes the position that the utilities must justify all requests with analysis and evidence showing how costs and risks are balanced.

» Collaboration on New Utility Services for Customers:

The OCS had the opportunity to collaborate with Dominion Energy on the design of two new programs giving customers access to renewable natural gas. The newly launched GreenTherm program allows customers to voluntarily purchase blocks of renewable natural gas to meet their needs for an additional cost on their monthly gas bill. A new renewable natural gas vehicle tariff will leverage the NGV infrastructure to deliver renewable natural gas to vehicle fleets that contract for the service.

» Community Renewable Energy Program:

In its 2019 session, the legislature authorized a new program for

communities to pursue 100% net renewable energy by 2030. OCS worked to ensure that the legislation would not shift costs from participants to non-participants. The next steps will be Public Service Commission rulemaking and designing the rates for the new program. The OCS will continue to work to ensure that both participating and non-participating customers are protected and provided with accurate information about the program.

» New Rules to Protect Consumer Data:

An unusual issue arose this year when Dominion Energy partnered with a third party to offer an insurance product for customer's fuel lines. Letters sent to customers offering this insurance led to numerous complaints raising concerns about customer data and responsibility for accurate information. The OCS worked with the Division of Public Utilities to resolve the problems with misleading communication. One positive outcome was an agreement between the state agencies and the energy utilities for new rules to protect customer information and data.

» Telecommunications Advocacy:

OCS continued work with the Division of Public Utilities and telecommunications providers to finalize rulemaking addressing the Utah Universal Service Fund changes recently enacted by the legislature. In addition, in FY 2019 the Public Service Commission opened an investigative docket at the request of the OCS to evaluate whether one telecommunications provider is failing in providing adequate and reliable service. This investigation is ongoing.



**Questions specific to the
Office of Consumer Services
may be directed to:**

Michele Beck, Director
801.530.6674
ocs@utah.gov

» **Multi-State Process:**

Since Rocky Mountain Power is part of a system that serves six states, the utility must have a method for allocating costs among the different state jurisdictions. Over time, most of the involved states have created a “Multi-State Process (MSP)” in order to reach agreement upon a mutually acceptable method. Because of divergent state energy policies, this agreement must now be revised. The OCS represents Utah’s residential and small commercial customers in these negotiations with the goal of ensuring that costs are allocated fairly and Utah does not have its costs driven up by other states’ policies.

» **Energy Efficiency:**

The OCS proactively participates in the demand-side management (DSM) advisory groups for Rocky Mountain Power and Dominion Energy Utah. Energy efficiency is an important energy resource, especially to lessen the impact of Utah’s growing demand for electricity. The OCS supports cost-effective conservation and energy efficiency programs as being in the interest of all customers.

» **Misc. Reports and Utility Filings:**

In addition to the larger cases, the OCS reviews many annual and periodic reports to confirm that the various ongoing utility initiatives meet the needs of the small customers we represent.

Federal and Regional Regulatory Issues

While the majority of the OCS’s work is focused on state regulatory proceedings and state/regional policy initiatives, the OCS also monitors federal actions and regional forums that play a key role in utility regulation.

The OCS participates regularly in the Northern Tier Transmission Group (NTTG) to monitor transmission planning for our region and ensure that costs from those efforts are assigned fairly to Utah customers. In FY 2019, OCS once again partnered with industrial customers and utility wholesale customers in requesting specific planning studies and evaluating the proposed transmission plan.

The OCS also monitors the reliability organizations that oversee the western grid, WECC and the reliability coordinators. FY 2019 brought significant transition to these organizations as NTTG explored merging with another regional transmission planning group and utilities transitioned to new reliability coordinators. OCS continues to monitor these regional developments and represent Utah’s residential and small commercial customers.



Division of Consumer Protection

Mission Statement

The Division of Consumer Protection’s mission is to respond to consumer complaints, protect consumers from unfair and deceptive practices, encourage businesses to develop fair practices, and provide education to consumers and businesses.

About the Division

The Division has a staff of over twenty employees who accomplish the Division’s mission through a three-pronged approach: education, registration, and enforcement.

Education:

The Division works with governmental agencies, consumer groups, and others to ensure consumer awareness of deceptive practices and to provide educational materials to the public. The Division also educates businesses on the requirements of state law.

In Fiscal Year 2019, the Division presented at 22 speaking engagements and attended nine community fairs in an effort to educate residents of Utah about scams impacting the state. This included several events for seniors and participation in the AARP Real Possibilities University put on by a collaboration of experts in

consumer protection, securities and mental and physical health.

In September 2018, the Division hosted the Utah Consumer Fraud and Business Symposium with the Federal Trade Commission. The symposium provided an opportunity for participants to hear about combating fraud affecting Utah consumers and businesses, streamlining government regulations and keeping Utah safe. The symposium saw approximately 400 attendees and provided free Continuing Professional Education (CPE) for accountants and Continuing Legal Education (CLE) for attorneys.

Registration:

The Division registers the following entities:

- » Charitable Organizations
- » Credit Service Organizations

- » Debt-Management Service Providers
- » Health Spas
- » Immigration Consultants
- » Pawnshops and Secondhand Merchants
- » Postsecondary Proprietary Schools
- » Professional Fund Raisers
- » Residential, Vocational, and Life Skills Programs
- » Sellers of Business Opportunities
- » Telemarketers
- » Transportation Network Companies

Enforcement:

The Division administers the following statutes:

- » Business Opportunity Disclosure Act
- » Charitable Solicitations Act
- » Consumer Sales Practices Act
- » Credit Services Organizations Act
- » Health Spa Services Protection Act
- » Immigration Consultants Registration Act
- » Music Licensing Practices Act
- » New Motor Vehicle Warranties Act
- » Pawnshop and Secondhand Merchandise Transaction Information Act
- » Postsecondary Proprietary School Act
- » Postsecondary School State Authorization Act
- » Price Controls During Emergencies Act

- » Prize Notices Regulation Act
- » Residential Solar Energy Disclosure Act
- » Residential, Vocational, and Life Skills Program Act
- » Telephone and Facsimile Solicitation Act
- » Telephone Fraud Prevention Act
- » Ticket Website Sales Act
- » Ticket Transferability Act (Effective 1/1/2020)
- » Transportation Network Company Registration Act
- » Unfair Practices Act
- » Uniform Debt-Management Services Act

Fiscal Year 2019 Highlights

Benefits Recovered for Consumers

The Division recovered over \$783,188 in benefits for consumers during FY2019.

Multistate Cases

The Division participated in a number of multistate investigations, including participating in multistate settlements with, among others, Wells Fargo, Fiat Chrysler, Bosch, Johnson & Johnson, and Equifax.

Amendments to Laws Enforced

Several bills passed in the 2019 Legislative Session impacting the Division. As part of this, the Division was given responsibility for administering two new laws: the Ticket Website Sales Act (Utah Code § 13-54-101 *et seq.*), and the Ticket Transferability Act (Utah Code § 13-56-101 *et seq.*).



Questions specific to the
Division of Consumer Protection
may be directed to:

Daniel O'Bannon, Director
801.530.6601
dobannon@utah.gov



Top Ten Consumer Complaints

The top consumer complaints received by the Division during FY 2019 and examples of complaints the Division might receive in each category are as follows:

- 1

Refunds:
Failure to honor stated refund policies.
- 2

Charitable Solicitations:
Donations being solicited by entities not registered with the division; charitable donations not being used for the stated charitable purpose.
- 3

Internet Offer/Sales:
Misrepresentations or other deceptive practices; failure to deliver online purchases; hidden fees.
- 4

Retail Sales:
False advertising and other deceptive practices; defective merchandise problems with coupons; failure to deliver.
- 5

Home Improvement/Repair:
Failure to start or complete job; refusal of job completion until consumer agrees to a higher price than originally agreed upon.
- 6

Coaching Services:
Misrepresentations regarding the services to be provided and the results of the program; selling “coaching” services for exorbitant fees that may correlate with the amount that consumers have available on their credit cards. Coaching services are usually for Business Opportunities.
- 7

Warranty:
Failure to honor stated warranties.
- 8

Billing Fraud:
Charging consumers without their authorization. Often seen in consumer complaints concerning unauthorized credit card charges from Internet sales and auto-renewing contracts, which are not approved by the consumer.
- 9

Repairs and Services – Not Auto Repair:
Failure to obtain express authorization prior to providing repairs and services that are not auto repairs.
- 10

Telemarketing:
Complaints involving consumer transactions resulting from telemarketers, often due to misrepresentations made to the consumer during the sale or due to the telemarketer not having a permit from the Division to conduct telemarketing. Misrepresentations and deceptive refund policies made during telemarketing call to entice consumers to provide their credit card for product and services; failure to abide by do-not-call provisions.

Statistics

	Fiscal Year		
	2017	2018	2019
Complaints			
Complaints Received.....	1,615	1,553	1,508
Complaints Opened.....	1,332	1,372	1,237
Complaints Closed.....	1,804	1,359	1,250
Complaints Referred/Not Assigned.....	283	181	271
Active Registrations			
Business Opportunities.....	8	4	6
Business Opportunity Franchise Exemptions.....	1,279	1,320	1,419
Charitable Organizations.....	4,891	5,545	5,394
Charitable Organizations Exemptions.....	1,608	1,651	1,721
Credit Service Organizations.....	20	28	23
Debt Management Service Providers.....	34	35	33
Health Spas.....	224	217	219
Immigration Consultants.....	43	38	33
Residential Vocational and Life Skills Program.....	—	1	2
Utah Music License.....	—	1	2
Pawn Shop Registration.....	115	121	117
Secondhand Merchandise Dealers.....	214	202	207
Postsecondary Proprietary Schools.....	90	87	91
Postsecondary Proprietary Schools Exemptions.....	1,216	1,262	1,309
Professional Fund Raisers.....	114	99	95
Professional Fund Raising Counsel or Consultant.....	167	174	161
State Authorization – Postsecondary Accredited Schools.....	56	48	41
State Authorization – Postsecondary Private Nonprofit Schools.....	101	105	109
State Authorization – Postsecondary Public Nonprofit Schools.....	63	64	64
Telemarketers.....	94	82	79
Telemarketers Exemptions.....	134	136	138
Transportation Network Companies.....	2	2	2
Total Consumer Benefits Recovered & Fines Collected			
Total Consumer Benefits Recovered.....	\$1,601,174*	\$1,310,052*	\$783,188
Total Fines Collected.....	\$355,717	\$208,640	\$120,843

*Data revised from previous reports.



Division of Corporations & Commercial Code

Mission Statement

The Division of Corporations and Commercial Code serves business enterprises by providing registration and informational assistance. Additionally, the Division serves the public by facilitating access to all of its records and data. The Division functions as Utah's filing office and repository for all corporations, commercial code filings, business registrations, limited partnerships, limited liability companies, limited liability partnerships, collection agencies, and trademarks.

About the Division

The Division of Corporations and Commercial Code in the Utah Department of Commerce registers all statutory business entities, state trademarks, collection agencies, and article 9 (UCC) and agricultural (CFS) lien notice filings. There are other less noticeable, but equally important filings. Those businesses which should register with the Division are: profit and non-profit corporations, limited liability companies, limited partnerships,

limited liability partnerships, unincorporated cooperative associations, general partnerships & sole proprietors who have an assumed name, business trusts, real estate investment trusts, tribal businesses, and any other assumed business name. Out-of-state motorist service of process is also filed with the division. Certain bankruptcy filings are sent to the Division for notice only. The Division is charged with a variety of small filings, such as:

The Division of Corporations and Commercial Code continues to look for innovative ways to give business filers access to services 24 hours a day, 7 days a week.

- » **The Governmental Entity Database** — an online directory of contacts for any governmental entity;
- » **OneStop Business Registration Web Site** — a partnership with multiple agencies from local, state and federal level;
- » **Verify Utah** — an online voluntary registry of businesses that have complied with the federal e-Verify program;
- » **Archival Business Research** — searching old stock certificates to find disposition of business entity; and
- » **Individual Name Searches** — those people involved as principals in businesses.

The Division staffs an information and help/phone center that answers an average of 7,000 phone calls per month. The help staff also provides an online information chat for those using online services. The agency has two customer service counters for walk-in assistance.

Help Center

The Help Center answers about 75,000 calls a year. The five-member Help Center fields questions ranging from "How do I start up a new business?" to "How do I reinstate an old business?". With courtesy and understanding, the members of the Help Center educate citizens of Utah on business filings over the phone and in live online chats.

Service Center

The Division has two service centers; one in the first floor lobby and one on the second floor with public access computers, which have streamlined the process of filing documents so customers face a minimal wait time. As a result, the Division of Corporations and Commercial Code usually keeps within the 24 to 48-hour turnaround time on all incoming documents.

Customer service is not something we can achieve with systems and processes alone. The Division's goal is to empower our employees, particularly those on the front line, to make a difference as they are the face of the Division. The Division of Corporations and Commercial Code continues to be committed to adopting new technology for online services that especially help all businesses meet regulatory obligations quickly and efficiently.



Filings

Fiscal Year	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019
One Stop Business Registration										
In-house Filings	28,736	26,964	23,449	29,561	30,962	30,649	32,771	24,068	25,687	
Online Filings	20,329	21,994	28,861	27,878	27,421	30,446	32,824	44,319	49,056	
Total	49,065	48,958	52,310	57,439	58,383	61,095	65,595	68,387	74,743	
Adoption Rate	41.43%	44.92%	55.17%	48.53%	46.97%	49.83%	50.04%	64.81%	65.63%	
Difference from Previous Year ...	716	1,665	6,867	-983	-457	3,025	2,378	11,495	4,737	
% Increase	3.65%	8.19%	31.22%	-3.41%	-1.64%	11.03%	7.81%	35.02%	10.69%	

All Online Services										
Total Online Filings	331,080	339,710	411,905	411,974	434,516	445,866	456,196	487,388	515,402	
Adoption Rate	82.00%	82.00%	84.00%	85.00%	87.00%	89.00%	90.00%	89.00%	90.00%	
Difference from Previous Year ...	-1,533	8,630	72,195	69	22,542	11,350	21,680	41,522	28,014	
% Increase	-0.46%	2.61%	21.25%	0.02%	5.47%	2.61%	4.86%	9.10%	5.75%	

Certificates of Existence										
In-house Certificate	482	492	440	377	395	314	381	336	575	
Online Certificate	10,716	12,369	12,152	12,786	14,644	15,525	16,208	16,417	19,063	
Total	11,198	12,861	12,592	13,163	15,039	15,839	16,589	16,753	19,638	
Adoption Rate	95.70%	96.17%	96.51%	97.14%	97.37%	98.02%	97.70%	97.99%	97.07%	
Difference from Previous Year ..	186	1,653	-217	634	1,858	881	1,564	892	2,646	
% Increase	1.77%	15.43%	-1.75%	5.22%	14.53%	6.02%	10.68%	5.75%	16.12%	

Annual Business Renewal										
In-house Renewals	19,498	18,360	17,588	14,998	15,355	11,250	8,569	13,182	11,347	
Online Renewals	166,964	175,246	183,899	188,947	206,262	222,686	235,109	247,295	260,967	
Total	186,462	193,606	201,487	203,945	221,617	233,936	243,678	260,477	272,314	
Adoption Rate	89.54%	90.52%	91.27%	92.65%	93.07%	95.19%	96.48%	94.94%	95.83%	
Difference from Previous Year ..	6,801	8,282	8,653	5,048	17,315	16,424	28,847	24,609	13,672	
% Increase	4.25%	4.96%	4.94%	2.74%	9.16%	7.96%	13.99%	11.05%	5.53%	

Other Data Entry

Fiscal Year	Reinstatements	Amendments	Mergers	Conversions	Renewals	Forms	Change per Month	Average Entities Gained Total	Increase	Percent
2010	2,665		3,049	352	617	19,498	4,617	516	6,192	4%
2011	2,433		2,828	320	997	17,752	3,895	791	9,492	53%
2012	2,191		2,971	299	1,006	17,041	3,462	823	9,976	4%
2013	1,840		2,974	303	1,146	15,326	3,276	1,106	13,272	34%
2014	1,904		2,777	300	1,101	15,199	3,607	935	11,220	-15%
2015	1,710		2,906	589	928	11,250	4,210	872	10,464	-7%
2016	1,632		3,334	329	1,397	8,569	3,981	946	11,352	8%
2017	1,711		3,518	286	1,756	13,182	4,407	927	11,124	-2%
2018	1,633		3,320	343	1,700	12,286	3,670	1,309	15,708	41%
2019										

New Filings

Fiscal Year	CORP	% Increase	DBA	% Increase	LLC	% Increase	LP	% Increase	Total	% Increase
2010	8,566	-7%	15,747	1%	24,143	-1%	378	-27%	48,834	-2%
2011	8,043	-6%	15,747	1%	24,976	3%	436	15%	48,739	0%
2012	8,102	1%	15,667	3%	27,693	11%	622	43%	52,084	7%
2013	7,590	-6%	15,531	-1%	33,033	19%	1,058	70%	57,212	10%
2014	7,427	-2%	15,994	3%	34,303	4%	467	-56%	58,191	2%
2015	7,702	4%	16,150	1%	36,726	7%	374	-20%	60,952	5%
2016	8,003	3.91%	17,404	7.76%	39,744	8.22%	237	-36.63%	65,388	7.28%
2017	7,746	-3.21%	17,843	2.52%	42,361	6.58%	207	-12.66%	68,157	4.23%
2018	8,065	4.12%	18,852	5.65%	47,366	11.82%	261	26.09%	74,544	9.37%
2019										



Online Business Filings

In order to keep up with growth and demand, the Division leans heavily on its online applications. The Division is designing, testing and implementing an enhanced online UCC/CFS filing system, which will go-live in October 2019. There were also several releases over the past year designed to enhance and update the Division's various online services and there are many more enhancements in the planning stages for the year(s) to come.

The Division's premier online application, the One Stop Business Registration program continues to be improved with updates that enhance the user experience. This encouragement of online filings helps the Division manage growth in business without requiring growth of government. The following local partners offer business licensing services through OSBR: Salt Lake City, Salt Lake County, Sandy City, Provo, Logan, Murray, West Jordan, South Logan, and Springville.

Understanding our customers experience with our filing services remains a strong priority. The Division tracks customer errors and the types of rejected filings to determine areas to improve. With this information, the Division has updated its website and online forms to provide more relevant information and reduce the amount of filing rejections. These adjustments have fostered a simpler and more smooth filing experience for customers.

GOMB Success

The Division strives to process business filings as quickly and efficiently as possible. To increase productivity, the Division established a goal to have 60% of the limited liability company applications successfully processed within two business days. The Division met and exceeded that goal. Over the previous year, the Division received 47,287 limited liability company applications and processed 33,100 (70%) of them within two business days. This goal was achieved by successfully leveraging the benefits of technology and by the dedicated work of Division staff.

Uniform Commercial Codes

Fiscal Year	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018
UCC-1										
In-house Filings	4,391	4,137	6,500	4,380	3,725	4,292	5,103	5,747	6,141	4,953
Online Filings	13,904	11,830	8,867	12,372	14,148	14,565	13,995	17,135	19,624	18,410
Total	18,295	15,967	15,367	16,752	17,873	18,857	19,098	22,882	25,765	23,363
Adoption Rate	76.00%	74.09%	57.70%	73.85%	79.16%	77.24%	73.28%	74.88%	76.17%	78.80%
Difference from Previous Year	-930	-2,074	-2,963	3,505	1,776	417	-570	3,140	2,489	-1,214
% Increase	-6.27%	-14.92%	-25.05%	39.53%	14.35%	2.95%	-3.91%	22.44%	14.53%	-6.19%

Uniform Commercial Codes (Cont.)

	Fiscal Year	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018
UCC-2											
In-house Filings		164	121	143	112	110	116	78	45	43	58
Online Filings		949	1,449	1,159	1,281	967	1,163	1,281	1,019	1,394	1,318
Total		1,113	1,570	1,302	1,393	1,077	1,279	1,359	1,064	1,437	1,376
Adoption Rate		85.27%	92.29%	89.02%	91.96%	89.79%	90.93%	94.26%	95.77%	97.01%	95.78%
Difference from Previous Year		-170	500	-290	122	-314	196	118	-262	375	-76
% Increase		-15.19%	52.69%	-20.01%	10.53%	-24.51%	20.27%	10.15%	-20.45%	36.80%	-5.45%

UCC-3											
Terminations/Continuations											
In-house Filings		1,915	2,208	7,253	1,999	1,665	1,650	2,159	2,996	10,911	2,099
Online Filings		10,603	10,796	6,057	11,501	11,302	10,287	9,636	9,188	3,503	12,289
Total		12,518	13,004	13,310	13,500	12,967	11,937	11,795	12,184	14,414	14,388
Adoption Rate		84.70%	83.02%	45.51%	85.19%	87.16%	86.18%	81.70%	75.41%	24.30%	85.41%
Difference from Previous Year		-773	193	-4,739	5,444	-199	-1,015	-651	-448	-5,685	1,378
% Increase		-6.80%	1.82%	-43.90%	89.88%	-1.73%	-8.98%	-6.33%	-4.65%	-61.87%	12.63%

Fiscal Year	UCC-1	UCC-1 Addendum	UCC-2	UCC-3	Addendum UCC-3	CFS-1	CFS-3
2009	18,295	4,565	1,113	17,394	1,525	361	537
2010	15,967	4,801	1,570	17,034	2,341	436	613
2011	15,367	6,875	1,302	17,167	905	375	511
2012	16,752	4,020	1,393	17,887	1,242	367	559
2013	17,873	3,571	1,077	17,344	920	402	500
2014	18,857	4,372	1,279	16,028	1,286	405	682
2015	19,098	3,641	1,359	18,066	947	370	737
2016	22,882	4,411	1,064	15,609	548	424	537
2017	25,765	6,963	1,437	17,595	817	349	556
2018	23,363	5,320	1,376	18,477	948	299	532



Division of

Occupational & Professional Licensing

Mission Statement

The mission of the Division of Occupational & Professional Licensing (DOPL) is to protect the public and to enhance commerce through licensing and regulation.

DOPL Objectives

- » Provide courteous customer service that is responsive, accurate and informative.
- » Collaborate with stakeholders to balance regulation and commerce.
- » Administer programs and applications efficiently.
- » Enforce laws effectively and in a timely manner.
- » Promote a positive working environment where employees can participate and develop as teams and individuals.

Total Licenses

2019 Total Licensees:	242,802
2019 New Applications Submitted:	43,816
2019 Renewals:	
Online	94,317
Manual	2,843
Total	97,160
2019 Percent Online:	97.07%

Licenses by Profession —
Fiscal Year 2019 *(Including Temporary Licences)*

Profession Name	License Name	Count
Accountancy	C.P.A. Firm	696
	Certified Public Accountant	5,400
Acupuncture	Licensed Acupuncturist	177
Architect	Architect	2,746
Athlete Agents	Athlete Agent	46
Athletic Trainer	Athletic Trainer	600
Building Inspector	Combination Inspector	323
	Limited Inspector	392
Burglar Alarm	Burglar Alarm Company	207
	Burglar Alarm Company Agent	7,901
	Temporary Burglar Alarm Company Agent	479
C.S. Precursor	Controlled Substance Precursor	9
Chiropractic	Chiropractic Physician	976
	Temporary Chiropractic Physician	2
Clinical Mental Health	Assoc. Clinical Mental Health Counselor	391
	Associate Clinical Mental Health Counselor Extern	7
	Clinical Mental Health Counselor	1,465
	Volunteer Clinical Mental Health Counselor	2
Commercial Interior Design	Certified Commercial Interior Designer	47

Profession Name	License Name	Count
Contractor	Contractor With LRF	21,694
	Contractor Without LRF	711
	Handyman Exemption Registration	2,344
Cosmetology	Barber	807
	Barber Apprentice	22
	Barber Instructor	53
	Barber School	15
	Cosmetologist / Barber	31,432
	Cosmetologist / Barber Apprentice	108
	Cosmetologist / Barber Instructor	2,030
	Cosmetology / Barber School	35
	Electrologist	156
	Electrologist Instructor	16
	Electrology School	1
	Esthetician	1,432
	Esthetician Apprentice	32
	Esthetician Instructor	683
	Esthetics School	24
	Hair Design School	11
Court Reporter	Hair Designer	18
	Master Esthetician	5,861
	Master Esthetician Apprentice	20
	Nail Technician	5,966
	Nail Technician Apprentice	89
	Nail Technician Instructor	236
	Nail Technology School	12
Court Reporter	State Certified Court Reporter	126

Profession Name	License Name	Count
Deception Detection	Deception Detection Exam Administrator	9
	Deception Detection Examiner	20
	Deception Detection Intern	2
Dental	Dental Hygienist	144
	Dental Hygienist with Local Anesthesia . .	3,280
	Dentist – Anesthesia Class I Permit	979
	Dentist – Anesthesia Class II Permit.	1,822
	Dentist – Anesthesia Class III Permit	364
	Dentist – Anesthesia Class IV Permit	100
	Volunteer Dentist Anesthesia Class I	5
	Volunteer Dentist Anesthesia Class II	5
Dietitian	Volunteer Dentist Controlled Substance	1
	Certified Dietitian	965
Direct-Entry Midwife	Direct-Entry Midwife	61
Electrician	Apprentice Electrician	5,915
	Journeyman Electrician	4,037
	Master Electrician	2,091
	Residential Journeyman Electrician	255
	Residential Master Electrician	180
Elevator Mechanic	Elevator Mechanic	141
	Temporary Elevator Mechanic	2
Engineer/ Land Surveyor	Professional Engineer	8,486
	Professional Land Surveyor	695
	Professional Structural Engineer	2,073
Environmental Health Scientist	Environmental Health Scientist	230
	Environmental Health Scientist–Training	16
Factory Built Housing	Factory Built Housing Dealer	57
Funeral Service	Funeral Service Director	379
	Funeral Service Establishment	141
	Funeral Service Intern	46
Genetic Counselor	Genetic Counselor	287
	Temporary Genetic Counselor	4
Geologist	Professional Geologist	812
Health Facility Administrator	Health Facility Administrator	354
	Temporary Health Facility Administrator	2
Hearing Instrument	Hearing Instrument Intern	27
	Hearing Instrument Specialist	120
Hunting Guides/ Outfitters	Hunting Guide	460
	Outfitter	147
Landscape Architect	Landscape Architect	399
Marriage & Family Therapy	Associate MFT Extern	3
	Associate Marriage & Family Therapist	169
	Marriage & Family Therapist	776
Massage	Massage Apprentice	48
	Massage Therapist	6,536
Medical Language Interpreter	Certified Medical Language Interpreter	216

Profession Name	License Name	Count
Medication Aide – Certified	Medication Aide – Certified	30
Music Therapy	State Certified Music Therapist	55
Naturopathic	Naturopath including Surgery & OB	1
	Naturopathic Limited CS Testosterone	30
	Naturopathic Physician	56
	Temporary Naturopathic Physician	2
Nurse	APRN	2,763
	APRN Intern	3
	APRN without PP	23
	APRN – CRNA Controlled Substance	334
	APRN – CRNA without PP	338
	Certified Nurse Midwife	177
	Licensed Practical Nurse	2,665
	Registered Nurse	34,399
	Volunteer APRN	1
	Volunteer APRN Controlled Substance	1
Occupational Therapy	Occupational Therapist	945
	Occupational Therapy Assistant	374
Online Internet Facilitator	Online Internet Facilitator	2
Optometrist	CS	331
	Optometrist	536
	Optometrist (Without Certification)	1
	Optometrist Diagnostic Only	5
	Volunteer Optometrist	1
Osteopathic Physician	Osteopathic Online Prescriber	2
	Osteopathic Physician & Surgeon	1,177
	Restricted Associate Osteopathic CS	2
	Restricted Associate Osteopathic Physician . .	2
	Volunteer Osteopathic CS	1
	Volunteer Osteopathic Physician/Surgeon . . .	1
Pharmacy	Dispensing Medical Practitioner	78
	Dispensing Medical Practitioner Clinic	36
	Lethal Injection Use	1
	Online Contract Pharmacy	2
	Pharmacist	4,011
	Pharmacy – Class A	515
	Pharmacy – Class B	286
	Pharmacy – Class C	1,172
	Pharmacy – Class D	745
	Pharmacy – Class E Business	626
	Pharmacy Intern	768
	Pharmacy Technician	6,120
	Pharmacy Technician Trainee	1,268
	Temporary Pharmacist	35
Physical Therapist	Physical Therapist	2,334
	Physical Therapist Assistant	858
	Temporary Physical Therapist	6
	Temporary Physical Therapist Assistant	10
Physician	Physician & Surgeon	11,057
	Physician Educator CS	6
	Physician Educator Type I	3
	Physician Educator Type II	4
	Physician Online Prescriber	3
	Restricted Associate Physician	1
	Temporary Physician/Surgeon CS	1
	Temporary Physician & Surgeon	1
	Volunteer Physician & Surgeon	9
	Volunteer Physician/Surgeon CS	4



Profession Name	License Name	Count
Physician Assistant	Physician Assistant	1,757
Plumber	Apprentice Plumber	2,146
	Journeyman Plumber	1,027
	Master Plumber	1,699
	Residential Journeyman Plumber	72
	Residential Master Plumber	46
Podiatric Physician	Podiatric Physician	228
Preneed	Pre-Need Sales Agent	259
Private Probation Provider	Private Probation Provider	93
Psychologist	Assistant Behavior Analyst	52
	Assistant Behavior Specialist	6
	Behavior Analyst	289
	Behavior Specialist	17
	Psychologist	1,047
	Psychology Resident	38
Radiology	Radiologic Technologist	2,745
	Radiologist Assistant	10
	Radiology Practical Technician	400
Recreational Therapy	Master Therapeutic Recreation Specialist . . .	40
	Therapeutic Recreation Specialist	293
	Therapeutic Recreation Technician	248
Respiratory Care	Respiratory Care Practitioner	1,686

Profession Name	License Name	Count
Security Companies & Guards	Armed Private Security Officer	1,296
	Armored Car Company	7
	Armored Car Security Officer	308
	Armored Car Training Program Provider	4
	Contract Security Company	52
	Contract Security Training Program Provider	11
	Interim Armed Private Security Officer	20
	Interim Armored Car Security Officer	8
	Interim Unarmed Private Security Officer . . .	62
	Unarmed Private Security Officer	3,647
Social Work	Certified Social Worker	1,391
	Certified Social Worker Intern	29
	Licensed Clinical Social Worker	4,148
	Social Service Worker	1,824
Speech/ Audiology	Audiologist	289
	Speech Lang Pathologist & Audiologist	15
	Speech Language Pathologist	1,002
	Temporary Speech Language Pathologist . . .	42
Substance Use Disorder	Certified Advanced SUDC	42
	Certified Advanced SUDC Intern	3
	Certified SUDC	33
	Certified SUDC Intern	2
	Licensed Advanced SUDC	120
Veterinarian	Licensed SUDC	225
	Veterinarian	906
Vocational Rehab Counselor	Veterinary Intern	29
	Licensed Vocational Rehab Counselor	186
Total Active Licenses		242,802



Investigations

DOPL is legislatively responsible to investigate acts or practices inconsistent with generally recognized standards of conduct; unlicensed practice in regulated professions or occupations; allegations of unprofessional or unlawful conduct; and gross negligence, incompetence, or patterns of negligence or incompetence.

Complaints

Complaints Received.....	6,511
Complaints Assigned.....	6,445
Cases Closed.....	6,465

Actions

Administrative Filings	582
Criminal Filings	40
Citations	1,258
Letters of Concern	326
Referred to URAP	17
Pharmacy Alerts	259
Administrative Denial Letters.....	17
Court Reports	690
Hospital Reports	932

State Construction Registry (SCR)

The SCR acts as a repository for all required construction lien notices. The registry is an internet based service available to for property owners, contractors, suppliers, and other interested parties involved in a construction project. The SCR works as an online “bulletin board” and notice center that pinpoints a construction project’s timeline and identifies all interested parties participating in a project, including those who provide labor and materials. Its purpose is to prevent liens and the surprise of unknown lien rights before they become a problem for a construction project. .

	Fiscal Year	2013	2014	2015	2016	2017	2018	2019
PreConstruction Service		219	389	485	494	446	775	927
Construction Loan.....		6,176	6,544	6,717	7,113	7,384	7,611	6,619
Building Permits		37,482	36,778	34,311	36,019	36,668	30,676	24,104
Commencement		1,006	951	878	770	775	761	877
Preliminary Notice.....		183,466	207,966	210,551	241,489	272,476	299,457	308,337
Intent to Complete		111	108	138	158	11	185	134
Remaining to Complete		130	449	376	270	269	194	220
Completions		4,880	6,709	7,119	8,684	9,479	10,442	11,493
Loan Default		2	3	0	3	0	2	40
Total Filings.....		233,472	259,897	260,575	295,000	327,508	350,103	352,751

Residence Lien Recovery Fund

The Residence Lien Recovery Fund (RLRF) serves as an alternate payment source for contractors, laborers, or suppliers whose liens are voided when the homeowner paid the original contractor in full and qualifies for protection under Utah's Residence Lien Restriction and Lien Recovery Fund Act. The RLRF protects Utah homeowners from having to pay twice for construction on their homes, and protects Utah subcontractors, laborers, and suppliers by allowing them to recover the cost of their services provided, plus interest.

	Fiscal Year 2019	Since Inception
Number of Claims Filed	30	2,936
Amount of Claims	\$219,724	\$21,402,875
Number of Claims Paid.....	39	2,111
Amount of Paid Claims.....	\$597,871	\$15,376,759
Number of Claims Denied.....	0	568
Number of Claims Dismissed.....	0	250

Prelitigation

The Prelitigation Section expedites early evaluation and settlement or other appropriate disposition of malpractice claims. In Utah, before most medical malpractice actions can be filed in court, each claim must be reviewed by a prelitigation panel, which determines the merit of each claim. Upon proper request by a petitioner, the Prelitigation Section of DOPL will facilitate and manage the appropriate prelitigation hearing panel. Each panel consists of an attorney, a lay member of the community, and a medical professional of the same specialty as the professional facing the claim. After the hearing, The Prelitigation Section issues a certificate of compliance indicating that the petitioner has complied with this prerequisite.

Actions

Cases Opened	349
Cases Closed.....	266

Outcomes

No Merit	124
Meritorious	18
Stipulated.....	35
Dismissed.....	72
Split Decision:.....	17
Jurisdiction	0
Other	0



Questions specific to the Division of Occupational and Professional Licensing may be directed to:

Mark Steinagel, Director
801.530.6626
msteinagel@utah.gov

Utah Recovery Assistance Program (URAP) and Probation

The Division offers two programs to protect the public from licensees who engage or may engage in misconduct, while still allowing them to practice their occupation or profession. URAP is a confidential approach allowing certain first-time offenders diversion rather than disciplinary action. Probation is a public disciplinary approach. Both approaches have terms and conditions that are carefully monitored and further action is taken for noncompliance.

	Fiscal Year 2019
Total Number of Active Licensees	242,802
Total Number of Diversionees (URAP)	63
Total Number of Probationers	365

Controlled Substance Database

The Utah Controlled Substance Database Program tracks and collects data on the dispensing of Schedule II-V drugs by all retail, institutional, and outpatient hospital pharmacies, and in-state/ out-of-state mail order pharmacies. The data is disseminated to medical and law enforcement professionals and used to identify potential cases of drug overutilization, misuse, and over-prescribing of controlled substances throughout the state.

	Fiscal Year 2019
Total Controlled Substance	
Prescription Records in CSD	29,555,604
Total Controlled Substance	
Prescriptions entered in FY2018.....	5,836,554
Online Queries/Reports	1,732,736
In-house Queries/Reports	4,235
Number of Hospital Overdose Reports	963
Number of Overdoes Reports Mailed to Practitioners.....	2,665
Number of Court Reports Regarding DUI Convictions	748
Number of DUI Reports Mailed to Practitioners.....	985
Number of Doctor Shopper Letters Mailed to Practitioners ...	2,087
Law Enforcement Search Warrants	231

Registered Users:

Pharmacists.....	2,979
Prescribing Practitioners	20,252
Others	53



Office of Property Rights Ombudsman

Mission Statement

The mission of the Office of the Property Rights Ombudsman is to:

- » Educate citizens and government officials regarding private property rights and the protection of those rights;
- » Encourage state and local government agencies to regulate and acquire land in a manner consistent with applicable statutes and constitutional law;
- » Advocate for fairness and compliance with state and local laws and ordinances; and
- » Assist citizens and government agencies to resolve property disputes fairly, in accordance with existing law, without expensive and time-consuming litigation.

Introduction

The Office of the Property Rights Ombudsman (the “Office”) is a non-partisan, neutral state office, created by the Utah Legislature to protect the property rights of citizens when state and local government condemns or regulates private land. The Office consists of three attorneys who advise both citizens and government entities regarding property rights and land use laws. The Office regularly mediates disputes between citizens and government entities effectively avoiding costly and time-consuming litigation.

Fiscal Year 2019 Highlights

The attorneys in the Office work every day with the citizens of Utah to help them understand and to protect their property rights. The attorneys also work with state and local government agencies to regulate and acquire land in a manner consistent with applicable statutes and constitutional law.

Dispute Resolution in Eminent Domain Cases

During the 2019 Fiscal Year, the attorneys at the Office

- » Logged 1013 telephone calls from citizens and government agencies where questions were answered or concerns resolved with one or two phone calls;
- » Opened 180 cases;
- » Closed 188 cases;
- » Conducted 75 formal mediations and arbitrations.

Dispute Resolution in Land Use Cases

During the 2019 fiscal year, the attorneys in the Office issued 17 Advisory Opinions. Advisory Opinions for this fiscal year primarily addressed the following topics: Interpretation of Ordinances, Vesting and Requirements on Development.

Other Significant Accomplishments

- » The Office provided 33 formal and informal training sessions on topics within its purview to various organizations such as Utah State Bar, Utah Department of Transportation, Utah League of Cities and Towns, American Planning Association, International Right of Way Association, Salt Lake Community College, Utah Association of Engineers, Utah Council of Land Surveyors, various municipalities, counties, neighborhood citizens groups and private entities;
- » The Office welcomed 3 new members to the Land Use and Eminent Domain Advisory Board: Dan Reeve, Wade Budge, and David Hartvigsen. Curtis Bullock was elected as the new Chair of the Board, and Dan Reeve as Vice Chair.



Division of Public Utilities

Mission Statement

The Division of Public Utilities promotes the public interest in public utility regulation and works to assure that all customers of regulated gas, electric, telephone, and water utilities have access to safe, reliable service at reasonable rates.

- Division activities include:
- » Investigating applications for certificates to provide utility service or to build new utility facilities;

» Auditing, analyzing, and investigating proposed rate increases or changes;

» Investigating and resolving complaints of utility customers;

» Monitoring the safety of intrastate natural gas pipelines;

» Auditing the finances and activities of utilities doing business in Utah;

» Assisting in the monitoring and management of the Universal Service Fund, which provides support for telecommunications customers in high-cost areas;
- » Monitoring compliance with Utah law and Public Service Commission (PSC) rules and orders;

» Coordination and consultation with other state agencies in developing and implementing utility and other state policies;

» Advising the Governor and Legislature as needed.

About the Division

The Division of Public Utilities helps ensure Utahns’ access to safe, adequate, and reliable energy at reasonable rates. In Fiscal Year 2019, the Division helped preserve Utah’s advantageous utility rates and reliable service. For example, the Division participated in regional negotiations concerning Rocky Mount

Five-Year History of Utility Complaints

Utilities	Fiscal Year	2015	2016	2017	2018	2019
Electric.....		109	84	109	86	80
Natural Gas		62	59	67	323	72
Telecommunications: ILEC* & Century-Link.....		113	125	94	77	72
CLEC**.....		32	21	18	23	28
Long Distance		9	3	0	3	0
Water/Sewer.....		11	0	0	6	9
Total.....		336	292	288	518	261

** Incumbent Local Exchange Carriers, e.g. Century Link, All West, Frontier, Beehive*
*** Competitive Local Exchange Carrier, e.g. AT&T, McLeod USA, Integra*

Power’s cost allocation between states. The Division was able to prevent allocation proposals that would have saddled Utah ratepayers with the costs of other states’ policies. Furthermore, Division activities helped ensure the safety of Utah’s intrastate natural gas infrastructure, including an aggressive replacement program for aging or vulnerable pipelines and enforcement action against a non-compliant pipeline operator.

Highlights

The Division has been engaged in proceedings across all utility industries to reflect federal tax law changes that occurred in December, 2017 in customer rates. For some utilities, customers have already seen decreases. For others, decreases will offset other pressures on rates and the state’s universal service fund for high cost telecommunications companies. As an example, Rocky Mountain Power customers will see an annual decrease of over

\$60 million, along with offsets to increased depreciation and other expenses that would otherwise exert upward pressure on rates.

Energy

The Division participated in successful negotiations between Rocky Mountain Power and Kennecott Utah designed to eliminate polluting electrical generators in the Salt Lake Valley. The Division’s negotiations secured additional revenues for Rocky Mountain Power’s other customers from the sale of renewable generation. Kennecott had operated four coal-fired turbines for on-site power generation, which have been closed. The deal prevents the generators’ further emissions into the Salt Lake Valley air shed.

The Division participated in the approval process for Dominion Energy to construct a liquefied natural gas facility in the Salt Lake Valley. Although the Division is concerned about cost to ratepayers, the facility will provide a measure of reliability and



Questions specific to the Division of Public Utilities may be directed to:

Chris Parker, Director
801.530.7622
chrisparker@utah.gov

Public Utilities

Water

Telecommunications

Pipeline Safety

Gas

Electricity

flexibility for Dominion Energy if it faces operational disruptions in its network. Weather-related supply problems in Wyoming and along transmission and distribution paths can be mitigated if Dominion properly manages the facility. The Division continues to work with Dominion Energy’s Wexpro unit to decrease the cost of gas that will be used to fill the facility in the summer months.

Telecommunications and Water

The Division continued implementation of 2017 SB 130, which changed the process for distributing Utah Universal Service Fund revenue to high-cost rural telecommunications carriers. The new process is more efficient, allows more frequent Division review of utility investment, and provides predictable support to carriers. After an initial increase because of changed rates of return, the Division expects annual support to decline significantly in FY 2020. This Division is likely to propose a decrease in the customer surcharge during FY 2020.

After having assisted in providing increased maintenance funds for operations, the Division continued to help facilitate annexation of Community Water Company into the Mountain Regional Water Special Service District. The annexation will allow Community Water Company’s customers to be better served by a larger entity with significant operational expertise. The annexation was completed in early FY 2020.

Pipeline Safety

The Pipeline Safety Section operates under federal law to investigate safety and other conditions relative to the piping of natural gas within Utah. The section works with local natural

gas distribution companies, such as Dominion Energy, as well as municipal operators, intrastate transmission operators, and master meters.

During fiscal year 2019, Pipeline Safety personnel conducted comprehensive inspections of Dominion Energy operations, municipal gas distribution operators, and intrastate transmission operators. The section also inspected pipeline construction projects and investigated incidents on pipelines. These inspections assure that operator procedures and operations are consistent with federal regulations for safe functioning of natural gas systems.

In addition to regular inspections and penalties for violations of underground marking laws, the section had one major enforcement action against a pipeline operator that violated safety laws. In April, 2019, the Public Service Commission granted the Division’s request for a hazardous facility order shutting the pipeline down until compliance is proven. The Division continues efforts to assist the current operator with compliance or permanent deactivation.

Pipeline Safety Inspections

	Fiscal Year 2019
Dominion Energy Regions	10
Municipal Gas Distribution Operators	5
Intrastate Transmission Operators.....	7
Gathering Operators.....	3
Small Gas System Operators (Master Meters)	8
Construction	13
Incident.....	68



Division of Real Estate

Mission Statement

The mission of the Division of Real Estate is to protect the public and promote responsible business practices through education, licensure and regulation of real estate, mortgage, and appraisal professionals.

2019 Success Goals

TIn fiscal year 2019 the Division of Real Estate maintained efficiency in the Governor’s SUCCESS Program. The average number of applications received per month increased from 308 to 329, but processing times continued to stay higher than our baseline from 2013.

	Baseline	FY 2019
Average applications received per month	194.4	329
Percentage processed within five days.....	74.9%	81.47%

2019 Outreach

In fiscal year 2019, the Division sponsored its annual Instructor Development Workshop and Caravan. In addition, Division staff spoke at several industry-sponsored events. The Division continues to meet the needs of industry and the public by speaking about important issues at events around the state. The table below lists the Division’s outreach efforts for the past fiscal year.

In fiscal year 2019, the Division also started a public service campaign about wire fraud in real estate transactions. As part of this campaign, we had TV spots in the spring of 2019 as well as billboards around the state. Jonathan Stewart, Division Director, was interviewed about wire fraud on Fox 13 – The Place, by the Salt Lake Tribune, and by KPCW in Park City.



Date / Event

September 2018 / Division Representatives spoke at the Utah Association of Mortgage Professionals Expo.

October 2018 / Division representative spoke at the Utah Association of Realtors Board of Directors Meeting.

October 2018 / Division-sponsored Instructor Development Workshop held in Salt Lake City. Speakers included Division Director, Division enforcement and licensing supervisors, and guest speaker Mark Barker.

November 2018 / Division Representative spoke at the National Association of Residential Property Managers Conference.

January 2019 / Division representatives spoke to the Utah Chapter of the Appraisal Institute.

January 2019 / Division representative spoke to Utah Association of Realtors Board of Directors.

January 2019 / Division representative spoke to the Institute of Real Estate Management.

March 2018 / Division representatives spoke at the Utah Chapter of the Appraisal Institute’s Annual Symposium.

April 2019 / Division Representative was interviewed on Fox 13 – The Place.

May 2019 / Division representative spoke at the Utah Association of Realtors Board of Directors Meeting.

May 2019 / Division Representatives spoke to the Institute of Real Estate Management.

Date / Event

May 2019 / Division Representatives spoke to Building Owners and Managers Association International.

April – May 2019 / Three-hour Division-sponsored continuing education seminars held in Park City, Vernal, Logan, Layton, Provo, Moab, Richfield, Cedar City, and St. George.

Statutory Changes

Senator Cullimore sponsored the Division’s 2019 bill. Changes were made to the Utah Residential Mortgage Practices and Licensing Act, Real Estate Licensing and Practices Act, and the Real Estate Appraiser Licensing & Certification Act. Highlights of SB140 include the following:

For Real Estate, Mortgage and Appraisal:

- » Exempted the issuance of a citation from the Utah Administrative Procedures Act.

For Mortgage:

- » Created 120 day transitional license for a mortgage loan originator coming from another state or a registered mortgage loan originator coming from a bank.

For Real Estate:

- » Requires all real estate licensees and new applicants to obtain a background check and enroll in RAP Back starting January 1, 2020 in conjunction with their next license renewal.
- » Prohibits a sales agent, associate broker, or branch broker from taking files when and if they leave a brokerage.

For Appraisal:

- » Carved out an exemption for appraisers to perform an evaluation while still complying with certain aspects of USPAP.
- » Requires all appraisal licensees and new applicants to obtain a background check and enroll in RAP Back starting January 1, 2020 and in conjunction with their next license renewal.
- » Adds the ability to issue a citation if an appraiser fails to respond to a request from the Division within 10 days.

Licensing

The Division renews real estate and appraisal licenses on a biennial basis (two years following initial application) and mortgage licenses annually from November 1 through December 31. Real Estate Licensees are sent an email license renewal reminder notification 45 days, 30 days, and 14 days prior to license expiration and 2 days following expiration. Appraiser Licensees are sent an email license renewal reminder notification three months, 45 days, and 14 days prior to license expiration and 2 days following expiration. These notices cease following the renewal of a license.

Real Estate Brokers receive monthly notifications which provide helpful real-time information regarding the licensing status of all affiliated licensees working for their brokerage. This system informs Principal and Branch Brokers whether licensees working for their entity have completed required continuing education courses in advance of their license renewal. In addition, this tracking system allows supervising brokers to be well informed regarding upcoming license renewal deadlines. This system allows the Broker to easily account for those licensees whose licenses will soon be, or that have expired. This well-functioning process allows brokers to better supervise and monitor the licensing status of individuals working for their brokerage.

The Division implemented a **License Renewal e-mail Notification System** in October of 2013, for all real estate and appraiser licensees and a **Monthly Broker Licensee Notification System** in January of 2016, for all Real Estate licensees.

These reminder notification systems have contributed in a meaningful way to an overall sharp reduction in undesired or unintentional license expirations, unknowing or inadvertent unlicensed real estate and/or appraisal activity, and even a significant decrease in “hurry up” – “last minute rush to complete” continuing education courses in the waning hours just prior to license expiration.

This adds to the convenience and professional conduct of these licensees as well as contributing to the overall protection of and service to the general public.

In 2019 the legislature passed SB140 requiring all new and existing real estate and appraisal licensees will be required to submit to a background check and enroll in the Federal Bureau of Investigation’s RAP Back service at the time of their initial licensing or license renewal. The Division has been preparing to implement this new requirement including providing and performing fingerprinting services at the Heber M. Wells building as well as many third-party vendors throughout the state.

Federal legislation authorizes temporary authority to originate loans for licensed or registered mortgage loan originators coming to Utah or from Utah to another state. Applying individuals have temporary authority for 120 days while fulfilling the licensing requirements of the state(s) receiving the license request.

Education

The Division conducted its annual Instructor Development Workshop to assist professional instructors of real estate, mortgage, and appraisal education. The annual workshop (which has occurred consecutively now for over 25 years), helps educators refine and improve their instructional skills. State licensees benefit from having knowledgeable, well trained educators that not only know their subject matter, but also have enhanced delivery skills to heighten the learning experience of prospective and established licensees.

The Division coordinated with and received approval from the Conference of State Bank Supervisors (CSBS) to enable the Division (and Utah Mortgage Licensees) to now have Continuing Education Courses (2-hour Utah Law, and Division CARAVAN courses) receive credit for and be tracked in the National Mortgage Licensing System (NMLS). This will streamline and expedite the Mortgage license renewal process.

An administrative rule was passed in fiscal year 2019 requiring active real estate licensees to have completed a new mandatory 3-hour continuing education course to renew their licenses after January 1, 2020. The division has been working with industry representatives and focus groups to prepare course outlines and subsequently approve course providers for three different versions of the mandatory course for licensing specialties in residential, commercial, and property management.

The following tables offer historical data as to the number of certifications issued by the Division, as well as the number of preclicensing examinations that have been administered:

Certification Issued

	Fiscal Year	2014	2015	2016	2017	2018	2019
Educational Programs	32	31	39	26	38	26	30
Real Estate Pre-Licensing Instructors . . .	35	32	29	28	31	30	30
Real Estate CE Courses	1,215	1,007	741	660	790	791	791
Real Estate CE Instructors . .	426	452	568	483	477	542	542
Mortgage Pre-Licensing Instructors	7	7	5	4	4	5	5
Mortgage CE Courses	6*	7*	7*	7*	8*	14	14
Mortgage CE Instructors . .	6*	7*	4*	7*	10*	14	14
Appraisal CE Courses	479	425	448	225	236	284	284
Appraisal Instructors	34	63	68	66	69	83	83
Appraisal Pre-Licensing Instructors	53	23	33	47	47	46	46

**Under the licensing program that has been adopted across the country in order to comply with the federal S.A.F.E. Act, continuing education (CE) courses for mortgage professionals are now reviewed and approved at the national level by the Nationwide Mortgage Licensing System (NMLS). This year the Division received approval from the NMLS to have two Division approved CE courses tracked inside of the NMLS database establishing a more seamless license renewal process.*



Questions specific to the Division of Real Estate may be directed to:

Jonathan Stewart, Director
801.530.6751
jstewart@utah.gov

Pre-licensing Examinations Administered

Fiscal Year	2014	2015	2016	2017	2018	2019
Real Estate Agent Exams.....	2,673	3,029	3,559	3,872	4,733	4,983
Real Estate Broker Exams	272	304	275	245	320	323
Mortgage PLM Exams.....	179	144	123	161	235	300
Appraiser Exams	46	57	32	33	39	105

Mortgage Loan Originator exams are now scheduled and administered through Nationwide Mortgage Licensing System (NMLS).

Support Services

The Division has well trained and helpful licensing specialists that professionally assist the public and licensees in resolving questions about the licensing or renewal processes, rules and regulations, or general industry practices for the real estate, mortgage, and appraisal professions. Communication by phone call, easily accessible website information, and live chat conversations are conducted by accommodating, service oriented experts.

Total Number of Licenses/Registrations

Fiscal Year	2014	2015	2016	2017	2018	2019
Real Estate.....	21,739	22,858	24,745	26,035	27,137	28,644
Mortgage.....	4,358	5,276	5,786	6,519	7,083	7,029
Appraiser.....	1,396	1,314	1,415	1,461	1,481	1,515
Appraisal Management Companies (AMCs).....	140	148	142	139	135	129
Subdivision/ Timeshare	657	643	558	550	523	609
Total	28,290	30,239	32,646	34,704	36,359	37,926

New Licenses/Registrations Issued

Fiscal Year	2014	2015	2016	2017	2018	2019
Real Estate	2,197	2,479	2,600	2,640	2,901	3,145
Mortgage.....	1,174	949	1,112	1,435	1,501	1,258
Appraiser	255*	252*	267*	302*	287*	351*
Appraisal Management Companies (AMCs)	16	12	12	9	7	10
Timeshare	211	220	164	190	226	202
Total	3,853	3,912	4,154	4,565	4,922	4,966

**Includes temporary permit and reciprocal licenses.*

Licenses/Registrations Renewed

Fiscal Year	2014	2015	2016	2017	2018	2019
Real Estate.....	8,998	8,060	8,950	8,839	10,585	10,158
Mortgage.....	5,752	4,603	4,915	5,459	5,043	5,612
Appraiser.....	694	691	603	689	645	721
Timeshare	72	125	130	129	151	131
Total	15,516	13,479	14,598	15,116	16,424	16,622

Enforcement

The Division's enforcement staff receives complaints regarding licensees in the real estate, mortgage, and appraisal industries. Complaints range from advertising complaints or unlicensed activity to allegations of fraud in the sale and purchase of homes and mortgages.

In an effort to address the number of complaints the Division receives on an annual basis, the Division hired another investigator in a time-limited position to assist with investigating the complaints received.

Another Assistant Attorney General position was assigned to the Division in fiscal year 2019. The Division has three Assistant Attorneys General assisting the Division with drafting stipulated settlements, as well as representing the Division in licensing and enforcement hearings.

The Division referred one real estate case criminally, which is still pending. This case involved two real estate agents and one escrow officer. One of the Defendants pleaded guilty and the other two are facing a jury trial in the summer of 2020.

The Division distributes a quarterly newsletter to all licensees. Two investigators on the enforcement team write articles for the newsletter, addressing hot topics within the three industries.

The Division continues to pursue cases which result in administrative actions as well. The following tables provide data about the type and number of disciplinary sanctions obtained by the Division, either through stipulation or by disciplinary action in an administrative hearing. Through these actions, the Division ordered a total of \$239,546 in fines during fiscal year 2019.

Enforcement Statistics

Fiscal Year	2014	2015	2016	2017	2018	2019
Complaints Received						
Real Estate	423	288	481	352	366	373
Appraiser	59	56	38	38	51	32
Mortgage.....	108	59	92	46	69	61
Cases Opened						
Real Estate	221	186	253	335	229	221
Appraiser	55	44	38	33	45	19
Mortgage.....	84	46	54	61	56	44
Cases Closed						
Real Estate	141	142	476	303	253	245
Appraiser	76	43	31	42	47	45
Mortgage.....	59	30	92	34	38	44
Total Open Cases as of June 30,						
Real Estate	272	296	291	393	393	506
Appraiser	32	45	43	35	35	22
Mortgage.....	79	89	69	81	87	91

Fiscal Year 2019 Sanctions

Sanctions	Appraisal	Mortgage	Real Estate	Total
Remedial Education.....	1	1	42	44
Fines.....	2	7	70	79
Probation.....	0	1	38	39
Suspension	0	1	2	3
Revocation/Surrender.....	0	0	0	0
Denial	0	1	9	10
Cease and Desists.....	0	2	5	7
Citation.....	0	0	25	25
Criminal referrals.....	0	0	0	0



Division of Securities

Mission Statement

The Division of Securities enhances Utah’s business climate by protecting Utah’s investors through education, enforcement and fair regulation of Utah’s investment industry while fostering opportunities for capital formation.

Licensing

The Division of Securities licenses and regulates those in the securities industry that sell securities, offer advice about securities, or manage the investments of others. These include: broker-dealers, securities agents, investment advisers, investment adviser representatives, issuer agents, and certified dealers and their agents. The Division works closely with the U.S. Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), and securities regulators from other states to streamline the licensing process and ensure consistency.

Corporate Finance/Securities Registration

Another key component of the Division’s efforts to promote legitimate capital markets is to register securities offerings that are qualified to be sold in this state and review the adequacy of disclosures to potential investors by companies offering certain types of securities. In addition, Division employees meet with companies seeking to raise capital to explain the many options for raising capital and to discuss how to improve the quality of disclosure to potential investors. The chart below lists the number of registrations, exemption offerings, and other filings reviewed by the Corporate Finance Section of the Division.

Securities Licensing

Fiscal Year	2012	2013	2014	2015	2016	2017	2018	2019
Broker-Dealers.....	1,590	1,563	1,561	1,558	1,534	1,529	1,531	1,510
Broker-Dealer Agents	99,499	101,709	107,354	112,988	118,769	122,071	126,709	131,569
Investment Advisers (I.A.).....	145	180	202	206	215	234	236	233
Federal Covered Advisers.....	925	905	946	986	1,035	1,055	1,106	1,160
I.A. Representatives.....	4,156	4,471	4,823	5,072	5,257	5,410	5,559	5,636
Certified Broker–Dealers.....	16	14	18	16	17	17	15	16
Certified Broker–Dealer Agents	82	91	99	91	88	86	79	87
Certified Investment Advisers.....	4	6	6	7	6	7	8	8
Certified Investment Adviser Representatives.....	25	33	31	40	67	43	42	42
Issuer Agents.....	84	87	85	91	90	109	85	76
Total.....	106,526	109,059	115,125	121,055	127,048	130,561	135,370	140,337

Securities Filings

Fiscal Year	2012	2013	2014	2015	2016	2017	2018	2019
Coordination	120	104	108	97	88	72	62	40
Qualification.....	1	—	—	1	2	2	1	1
Exemptions.....	48	41	40	42	46	34	38	35
Opinion/No Action Letter	2	—	2	2	1	1	0	2
Mutual Funds.....	5,749	5,865	5,960	6,221	6,225	5,804	5,425	5,498
Rule 506.....	651	651	794	981	995	1,165	1,330	1,365
Total.....	6,571	6,661	6,904	7,344	7,357	7,078	6,856	6,941

Compliance and Enforcement

The Compliance Section of the Division of Securities conducts routine and “for cause” examinations pertaining to the operations of licensed broker-dealers, investment advisers,

and their agents. If misconduct is found, the Division will work with the licensed individual or firm to bring them into compliance with the applicable laws or initiate disciplinary proceedings against the licensee depending upon the nature of the violation or misconduct.



The Enforcement Section of the Division of Securities actively seeks to identify those investment offerings that are fraudulent or otherwise fail to comply with the law’s requirements. Enforcement

is a key component in promoting legitimate capital markets by preventing the loss of investor monies to fraudulent schemes and promoting investor confidence in the integrity of the markets.

Compliance and Enforcement

Fiscal Year	2012	2013	2014	2015	2016	2017	2018	2019
Activity								
New Investigations/Audits ...	—	—	—	—	—	—	—	—
Complaints Received	226	164	110	109	91	124	117	197
Audit Files Opened	62	82	85	86	100	87	97	102
Investigation Files Opened ...	58	44	39	51	35	48	54	53
Administrative Cases								
New Cases Filed	87	81	47	76	68	53	53	31
Stipulations & Consent Orders	35	31	37	41	31	33	17	19
Adjudicated Orders	—	19	10	12	2	6	7	1
Default Orders	—	—	23	33	41	22	29	14
Criminal Cases								
Criminal Charges Filed	18	10	12	16	11	16	25	15
Convictions	5	2	7	2	10	13	11	11
Pleas in Abeyance	3	3	1	—	3	6	1	1
Fines & Restitution								
Fines Assessed	\$5,239,452	\$5,239,452	\$2,582,376	\$5,645,788	\$5,048,104	\$627,125	\$4,297,456	\$3,533,564
Fines Paid	\$550,223	\$217,983	\$164,660	\$228,759	\$212,150	\$260,525	\$181,598	\$1,165,472
Restitution Ordered	\$2,435,430	\$15,915,435	\$368,786	\$567,583	\$1,979,566	\$1,175,000	\$19,913,548	\$1,165,472

Public Outreach

Fiscal Year	2012	2013	2014	2015	2016	2017	2018	2019
Investor Education								
Investor Education Presentations.....	55	74	98	80	69	68	70	40
Total Number of People Attending								
Investor Education Presentations	11,920	9,889	14,453	13,293	17,766	14,096	20,548	8,512

Utah Department of Commerce

2018/2019 Web Trends

Yearly Web Trends Across Divisions

Fiscal Year 2018 to Fiscal Year 2019

	Fiscal Year	2018	2019
Commerce Main Site		114,939	
Consumer Services		4,523	
Consumer Protection		130,356	
Corporations		729,349	
Occupational & Professional Licensing		1,723,196	
Property Rights		51,938	
Public Utilities		25,819	
Real Estate		568,547	
Securities		56,427	
Total		3,405,094	

Quarterly Web Trends Across Divisons

Fiscal Year 2018 and Fiscal Year 2019

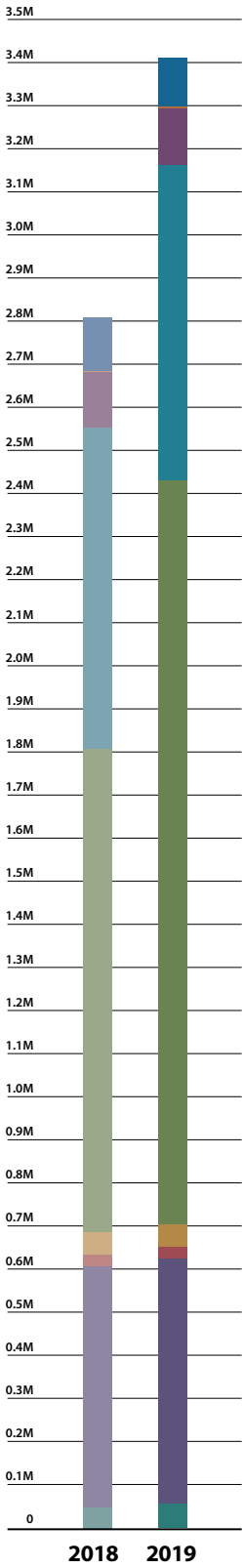
	1st Quarter		2nd Quarter	
	Jul-Sep 2018	Jul-Sep 2019	Oct-Dec 2018	Oct-Dec 2019
Commerce Main Site ..	29,059		28,377	
Consumer Services	1,271		1,651	
Consumer Protection ..	30,155		31,143	
Corporations	195,840		179,118	
Occupational & Professional Licensing	397,912		448,884	
Property Rights	13,828		10,774	
Public Utilities	6,353		6,212	
Real Estate	140,679		125,611	
Securities	12,326		12,827	
Total	827,423		844,597	

	3rd Quarter		4th Quarter	
	Jan-Mar 2018	Jan-Mar 2019	Apr-Jun 2018	Apr-Jun 2019
Commerce Main Site ..	30,515		26,988	
Consumer Services	906		695	
Consumer Protection ..	36,900		32,158	
Corporations	173,916		180,475	
Occupational & Professional Licensing	443,012		433,388	
Property Rights	12,905		14,431	
Public Utilities	6,722		6,532	
Real Estate	158,281		143,976	
Securities	15,194		16,080	
Total	878,351		854,723	

Yearly Web Trends Across Divisions

Fiscal Year 2018 and Fiscal Year 2019

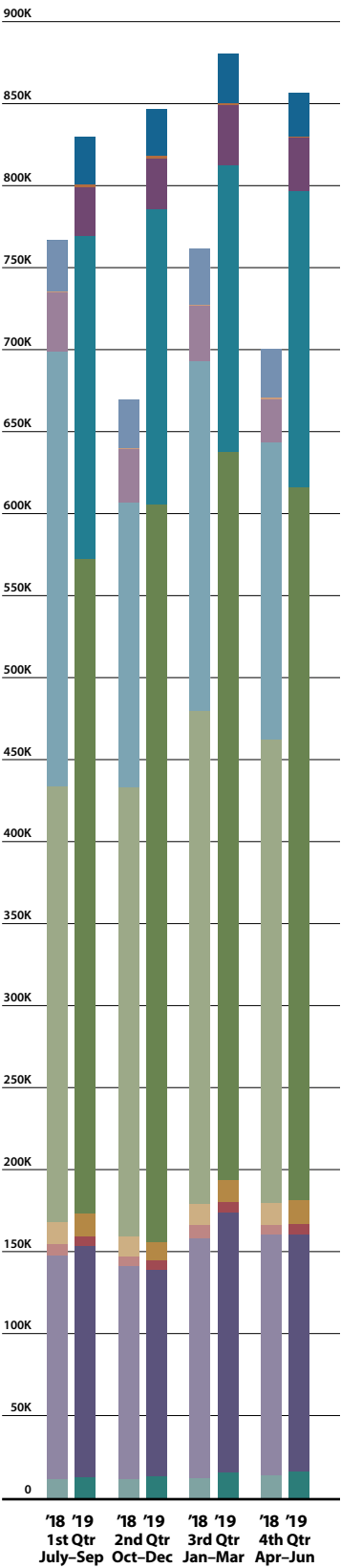
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Quarterly Web Trends Across Divisions

Fiscal Year 2018 and Fiscal Year 2019

(visits in thousands)

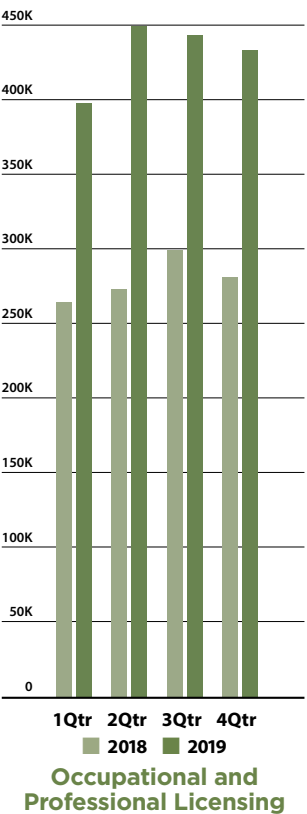
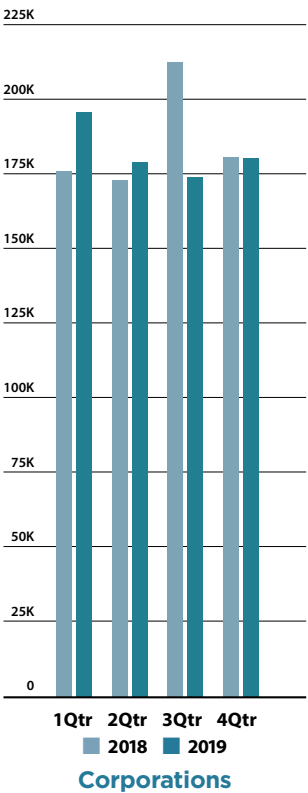
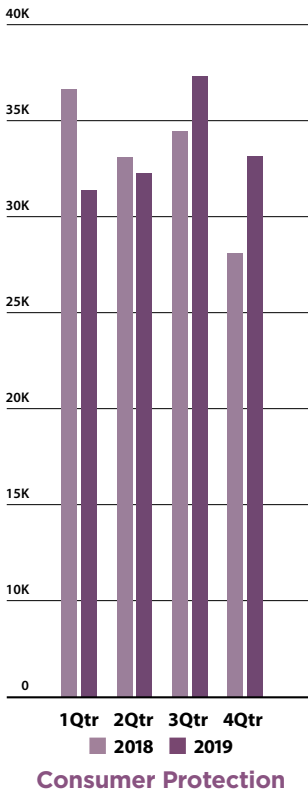
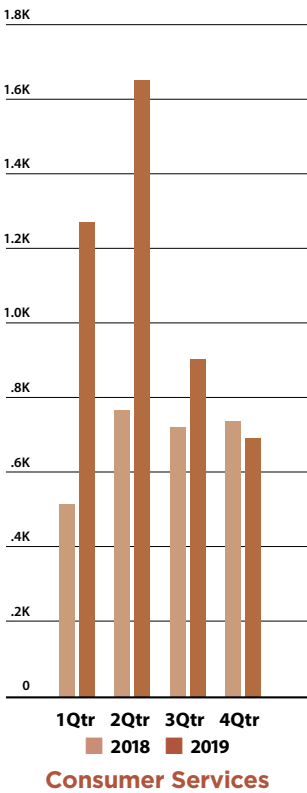
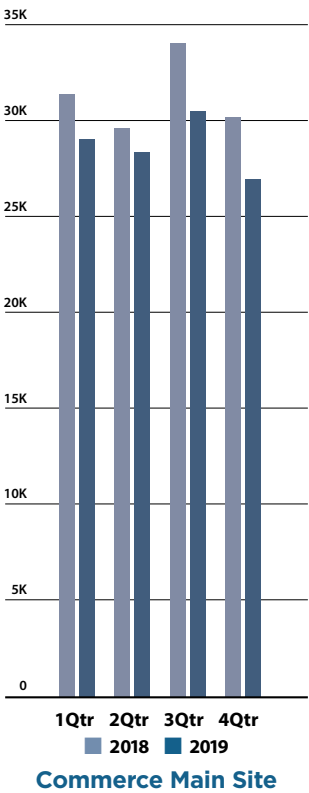


Monthly Web Trends
Fiscal Year 2018 and Fiscal Year 2019

Fiscal Year 2018	Jul '17	Aug '17	Sep '17	Oct '17	Nov '17	Dec '17	Jan '18	Feb '18	Mar '18	Apr '18	May '18	Jun '18	Total
Commerce Main Site.....	10,021	9,908	9,130	10,533	9,370	8,474	11,307	9,161	10,047	9,179	9,298	8,511	114,939
Consumer Services.....	324	509	438	578	589	484	417	220	269	251	249	195	4,523
Consumer Protection	9,406	10,760	9,989	11,490	10,011	9,642	13,120	11,221	12,559	10,854	11,075	10,229	130,356
Corporations.....	65,725	65,264	64,851	58,699	60,638	59,781	54,927	55,546	63,443	63,108	60,660	56,707	729,349
Occupational & Professional Licensing ..	97,560	119,781	180,571	155,101	168,461	125,322	165,796	131,256	145,960	137,967	156,601	138,820	1,723,196
Property Rights	4,381	5,084	4,363	4,741	3,514	2,519	4,245	3,812	4,848	4,808	4,844	4,779	51,938
Public Utilities.....	2,005	2,020	2,328	2,058	2,316	1,838	2,059	2,595	2,068	2,094	2,150	2,288	25,819
Real Estate	49,746	46,800	44,133	52,454	39,284	33,873	58,040	43,921	56,320	54,392	46,528	43,056	568,547
Securities	3,111	4,879	4,336	4,765	4,131	3,931	5,516	4,774	4,904	5,287	6,089	4,704	56,427
Total	242,279	265,005	320,139	300,419	298,314	245,864	315,427	262,506	300,418	287,940	297,494	269,289	3,405,094

Quarterly Web Trends — Individual Divisions
Fiscal Year 2018 and Fiscal Year 2019
(visits in thousands)

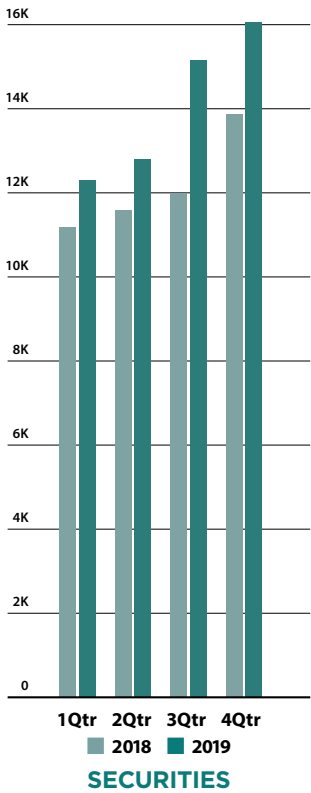
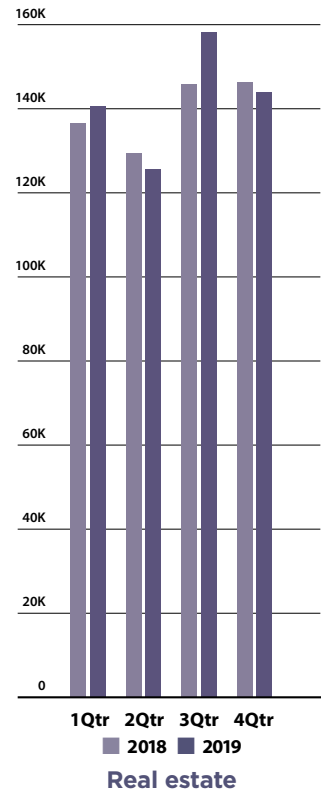
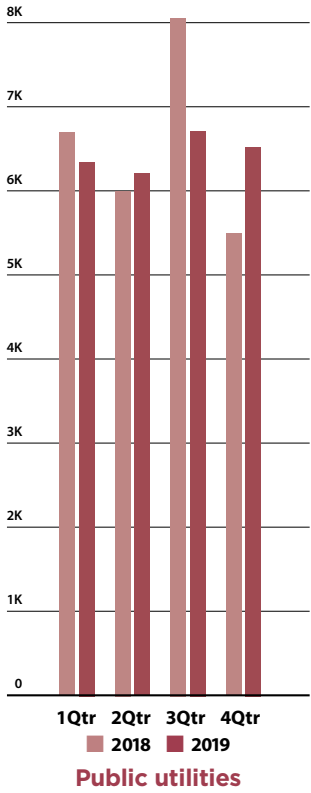
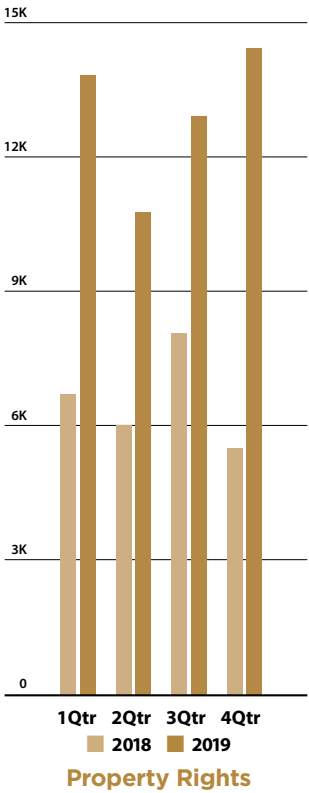
- 1 Qtr: Jul-Sep
- 2 Qtr: Oct-Dec
- 3 Qtr: Jan-Mar
- 4 Qtr: Apr-Jun



Quarterly
Web Trends —
Individual Divisions

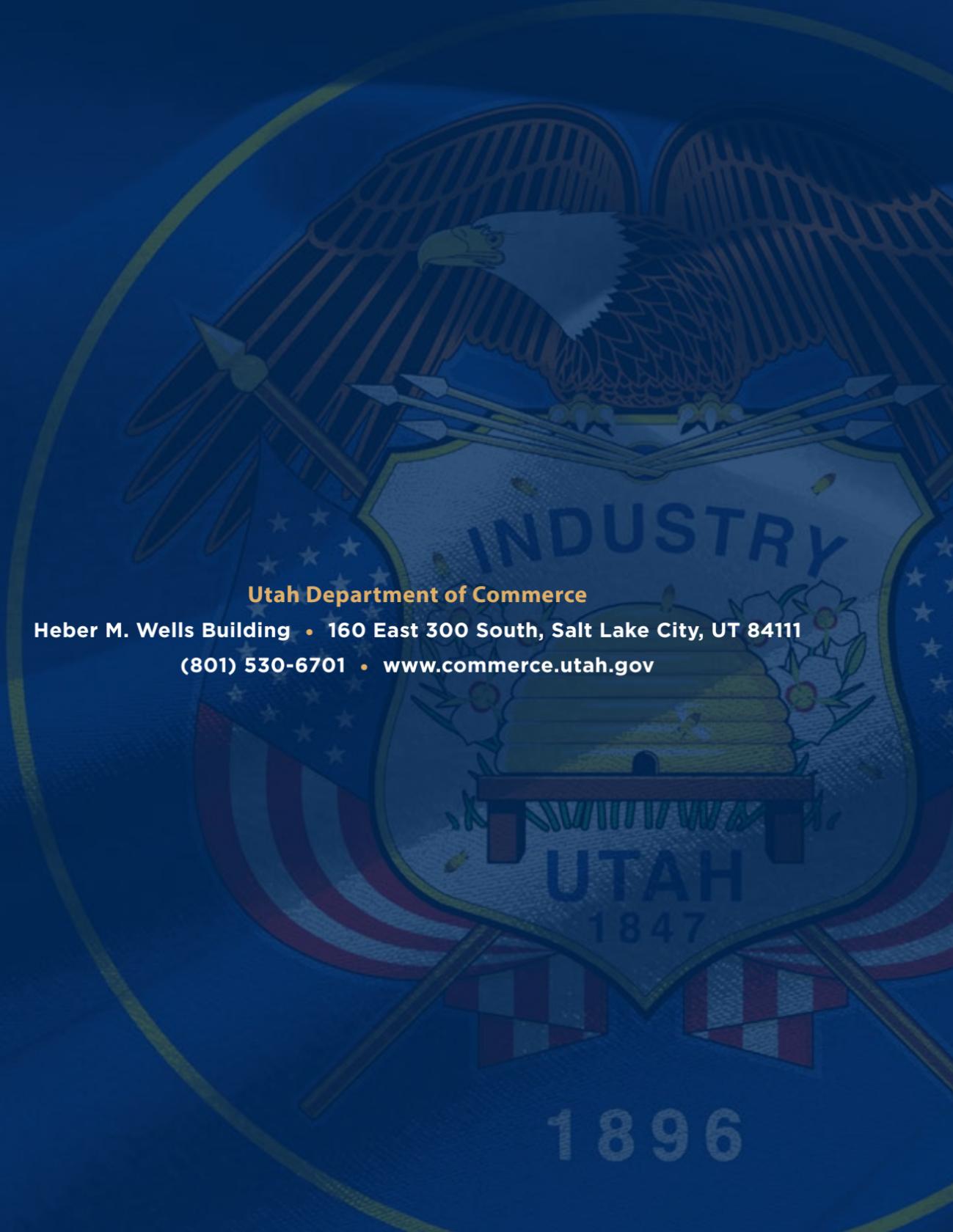
Fiscal Year 2018 and Fiscal Year 2019
(visits in thousands)

- 1 Qtr: Jul-Sep
- 2 Qtr: Oct-Dec
- 3 Qtr: Jan-Mar
- 4 Qtr: Apr-Jun



Commerce Fiscal Year 2019
Expenditures by Division

Division Name	Expenditures
Commerce Administration.....	\$4,350,800
Property Rights Ombudsman.....	\$ 538,900
Occupational & Professional Licensing	\$9,225,700
Securities.....	\$2,188,600
Consumer Protection.....	\$2,326,600
Corporations & Commercial Code.....	\$2,639,500
Real Estate.....	\$2,177,100
Public Utilities	\$4,261,500
Consumer Services	\$ 790,500
Building Operations & Maintenance	\$ 314,400

The background of the page features a large, semi-transparent seal of the State of Utah. The seal is circular and contains an eagle with spread wings perched atop a shield. The shield is divided into four quadrants: the top-left and bottom-right quadrants contain stars, the top-right quadrant contains a beehive, and the bottom-left quadrant contains a sheaf of wheat. The word "INDUSTRY" is arched across the top of the shield, and "UTAH" is written in large letters across the bottom, with "1847" below it. The entire seal is set against a dark blue background with a subtle circular pattern.

Utah Department of Commerce

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