Ownership and Control Disclosure Form

AmeriHealth Caritas Ohio

The definitions below are designed to clarify certain questions on the following Ownership and Control Disclosure Forms. The full text of the regulations governing the disclosure of information by providers and fiscal agents can be found in **42 CFR Part 455 Subpart B**.

Agent means any person who has been delegated the authority to obligate or act on behalf of a provider.

Disclosing entity means a Medicaid provider (other than an individual practitioner or a group of practitioners), or a fiscal agent.

Other disclosing entity means any entity that does not participate in Medicaid, but is required to disclose certain ownership and control information because of participation in any of the programs established under title V, XVIII, or XX of the Act. This includes:

a. Any hospital, skilled nursing facility, home health agency, independent clinical laboratory, renal disease facility, rural health clinic, or health maintenance organization that participates in Medicare (title XVIII);

b. Any Medicare intermediary or carrier; and

c. Any entity (other than an individual practitioner or group of practitioners) that furnishes, or arranges for the furnishing of, health-related services for which it claims payment under any plan or program established under title V or title XX of the Act.

Fiscal agent means a contractor that processes or pays vendor claims on behalf of the Medicaid agency.

Group of practitioners means two or more health care practitioners who practice their profession at a common location (whether or not the share common facilities, common supporting staff, or common equipment).

Indirect ownership interest means an ownership interest in an entity that has an ownership interest in the disclosing entity.

Note: The amount of indirect ownership interest is determined by multiplying the percentages of ownership in each entity. For example:

If you own 10 percent of the stock in Corporation A, which owns 80 percent of the stock of the disclosing entity, you would have an 8 percent indirect ownership interest in the disclosing entity.

If you own 20 percent of the stock in Corporation A, which owns 50 percent of the stock in Corporation B, which owns 80 percent of the stock of the disclosing entity, you would have an 8 percent indirect ownership interest in the disclosing entity.

Managing employee means a general manager, business manager, administrator, director, or other individual who exercises operational or managerial control over, or who directly or indirectly conducts the day-to-day operation of, an institution, organization, or agency.

Ownership interest means the possession of equity in the capital, the stock, or the profits of the disclosing entity.

Person with an ownership or control interest means a person or corporation that:

a. Has an ownership interest totaling 5 percent or more in a disclosing entity.

b. Has an indirect ownership interest equal to 5 percent or more in a disclosing entity.

c. Has a combination of direct and indirect ownership interests equal to 5 percent or more in a disclosing entity.

d. Owns an interest of 5 percent or more in any mortgage, deed of trust, note, or other obligation secured by the disclosing entity if that interest equals at least 5 percent of the value of the property or assets of the disclosing entity.

Note: The percentage of ownership of a mortgage, deed of trust, note, or other obligation is determined by multiplying the percentage of interest owned in the obligation by the percentage of the disclosing entity's assets used to secure the obligation. For example:

If you own 10 percent of a note secured by 60 percent of the disclosing entity's assets, you would have a 6 percent interest in the disclosing entity's assets.

e. Is an officer or director of a disclosing entity that is organized as a corporation; or,

f. Is a partner in the disclosing entity that is organized as a partnership.

Significant business transaction means any business transaction or series of transactions that, during any one fiscal year, exceeds the lesser of $25,000 and 5 percent of a provider's total operating expenses.

Subcontractor means:

a. An individual, agency, or organization to which a disclosing entity has contracted or delegated some of its management functions or responsibilities of providing medical care to its patients; or

b. An individual, agency, or organization with which a fiscal agent has entered into a contract, agreement, purchase order, or lease (or leases of real property) to obtain space, supplies, equipment, or services provided under the Medicaid agreement.

Supplier means an individual, agency, or organization from which a provider purchases goods and services used in carrying out its responsibilities under Medicaid (e.g., a commercial laundry, a manufacturer or hospital beds, or a pharmaceutical firm).

Wholly owned supplier means a supplier whose total ownership interest is held by a provider or by a person, persons, or other entity with an ownership or control interest in a provider.

Ownership and Control Interest Disclosure

AmeriHealth Caritas Ohio

Note: Ownership and Control Interest information is required in accordance with the Federal Regulations at 42 CFR, Part 455.

Name of disclosed entity:	
Ohio Medicaid Identification Number:	
Contact name (for questions on this form):	
Contact phone:	Contact email address:

Section I: Managing Employee or Agent Disclosure

A. Please enter the full name, address, Social Security number, and date of birth of any person who is a managing employee or agent of the disclosing entity.

The following individual is a: ☐ Managing employee ☐ Agent

First name:	Middle name:	Last name:	
Social Security number:		Date of birth:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XXI (CHIP), or a state health care program? ☐ Yes (provide details below) ☐ No

2. Description of offense (attach separate sheet, if necessary):

Please copy Section I A to list additional managing employees/agents.

Section II: Ownership and Control

If the provider is organized as a corporation, partnership, or estate trust, or is a government entity that is organized as a corporation, please complete this section.

In completing this section, an individual with at least 5 percent direct or indirect ownership interest includes individuals who have a combination of direct and indirect ownership interests equal to 5 percent or more in a disclosing entity and individuals who own an interest of 5 percent or more in any mortgage, deed of trust, note, or other obligation secured by the disclosing entity if that interest equals at least 5 percent of the value of the property or assets of the disclosing entity.

Individuals with an Ownership or Control Interest in the Disclosing Entity

A. **Please enter the full name, Social Security number, date of birth, and address of individuals with an ownership or control interest in the disclosing entity and all officers, partners, and directors.**

First name:	Middle name:	Last name:	
Social Security number:		Date of birth:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. a. If the individual listed above has an ownership interest in the disclosing entity, please enter the percentage and ownership type that the individual listed above has in the disclosing entity.

☐ **Direct:** _____% ☐ **Indirect:** _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

b. If the individual listed above is an officer or director, what position does the individual hold?

- ☐ President
- ☐ Vice President
- ☐ Secretary
- ☐ Treasurer
- ☐ Chairman
- ☐ Vice Chairman
- ☐ Director
- ☐ Officer
- ☐ Member

2. a. Is the individual listed above the spouse, parent, child, or sibling of any other individual with at least 5 percent direct or indirect ownership or a control interest in the disclosing entity?

☐ **Yes (provide details below)** ☐ **No**

Name: _____ Relationship: _____

Attach separate sheet, if necessary.

b. Is the individual listed above the spouse, parent, child, or sibling of any other individuals with at least 5 percent direct or indirect ownership or a control interest in any subcontractor of the disclosing entity?

☐ **Yes (provide details below)** ☐ **No**

Name: _____ Relationship: _____

Attach separate sheet, if necessary.

3. Does the individual listed above have an ownership or control interest in other Medicare or Medicaid providers, fiscal agents, managed care entities, or any "other disclosing entities"?

   ☐ Yes (provide details below) ☐ No

Name:			
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

Attach separate sheet, if necessary.

4. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XXI (CHIP), or a state health care program?

   ☐ Yes (provide details below) ☐ No

5. Description of offense:

Attach separate sheet, if necessary.

Please copy Section II A to list additional individuals.

Corporate Entities with an Ownership or Control Interest in the Disclosing Entity

B. Please enter the full name, Taxpayer Identification Number, and primary business address of corporate entities that have at least 5 percent direct or indirect ownership interest in the disclosing entity.

Name:		Federal Tax ID:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. Please enter the percentage and ownership type that the corporate entity listed above has in the disclosing entity.

   ☐ **Direct:** _____% ☐ **Indirect:** _____% _____

   (Percent of ownership) (Percent of ownership) (Name of entity owned)

2. Please enter any additional business locations and P.O. boxes for the corporate entity listed above.

Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

3. Does the corporate entity listed above have an ownership or control interest in other Medicare or Medicaid providers, fiscal agents, managed care entities, or any "other disclosing entities"?

☐ Yes (provide details below) ☐ No

Name:			
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

Attach separate sheet, if necessary.

Please copy Section II B to list additional corporate entities.

Ownership or Control Interest in Subcontractors

C. Please enter the full name, date of birth, and address of each person with an ownership or control interest in any subcontractor in which the disclosing entity has a direct or indirect ownership interest of 5 percent or more.

First name:	Middle name:	Last name:	
Social Security number:		Date of birth:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. a. Name of subcontractor: _____

Federal Tax ID of subcontractor: _____

b. Please enter the percentage and ownership type that the disclosing entity has in the subcontractor.

☐ **Direct:** _____% ☐ **Indirect:** _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

c. Please enter the percentage and ownership type that the individual listed above has in the subcontractor.

☐ **Direct:** _____% ☐ **Indirect:** _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

d. Is the individual listed above the spouse, parent, child, or sibling of any other individuals with at least 5 percent direct or indirect ownership or control interest in the disclosing entity?

☐ Yes (provide details below) ☐ No

Name: _____ Relationship: _____

Attach separate sheet, if necessary.

e. Is the individual listed above the spouse, parent, child, or sibling of any other individuals with at least 5 percent direct or indirect ownership or a control interest in any subcontractor of the disclosing entity?

☐ **Yes (provide details below)** ☐ **No**

Name: _____ Relationship: _____

f. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XXI (CHIP), or a state health care program?

☐ **Yes (provide details below)** ☐ **No**

Attach separate sheet, if necessary.

g. Description of offense:

Attach separate sheet, if necessary.

Please copy Section II C to list additional individuals.

D. Please enter the full name, Taxpayer Identification Number, and primary business address of any corporate entity with an ownership or control interest in any subcontractor in which the disclosing entity has a direct or indirect ownership interest of 5 percent or more.

Name:		Federal Tax ID:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. a. Please enter the percentage and ownership type that the disclosing entity has in the subcontractor.

☐ **Direct:** _____% ☐ **Indirect:** _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

b. Please enter the percentage and ownership type that the corporate entity listed above has in the subcontractor.

☐ **Direct:** _____% ☐ **Indirect:** _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

Please copy Section II D to list additional corporate entities.

E. Please enter the full name, Taxpayer Identification Number, and primary business address of any corporate entity with an ownership or control interest in any subcontractor in which the disclosing entity has a direct or indirect ownership interest of 5 percent or more.

2. a. Name of subcontractor: _____

Federal Tax ID of subcontractor: _____

b. Please enter the percentage and ownership type that the disclosing entity has in the subcontractor.

☐ Direct: _____% ☐ Indirect: _____% _____

(Percent of ownership) (Percent of ownership) (Name of entity owned)

Please copy **Section II E** to list additional subcontractors of the disclosing entity.

Ownership or Control Interest in Other Entities

F. Does the disclosing entity have an ownership or control interest in other Medicare or Medicaid providers, fiscal agents, managed care entities, or any "other disclosing entities"?

☐ Yes (provide details below) ☐ No

Name:			
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

Please copy **Section II F** to list additional entities.

Significant Business Transactions

G. Has the disclosing entity had any significant business transactions with any wholly owned supplier or with any subcontractor during the preceding five-year period?

☐ Yes (provide details below) ☐ No

Name of supplier/subcontractor:			
Social Security number or Federal Tax ID:		Date of birth (individuals only):	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

Please copy **Section II G** to list additional significant business transactions.

Section III: Nonprofit Organization Disclosure (not organized as a corporation)

If the disclosing entity is a nonprofit organized as a corporation, please complete Section II.

A. Please enter the full name, address, Social Security number, and date of birth of any person who is a director (board member) or officer of the disclosing entity.

First name:	Middle name:	Last name:	
Social Security number:		Date of birth:	
Address:			Suite/Apt:
City:	State:	ZIP code:	(+4):

1. What position is held by the individual listed above?

- ☐ President
- ☐ Vice President
- ☐ Secretary
- ☐ Treasurer
- ☐ Chairman
- ☐ Vice Chairman
- ☐ Director
- ☐ Officer
- ☐ Member

2. Has the individual listed above been convicted of a criminal offense related to that person's involvement in Medicare, Medicaid, Title XX, Title XX (CHIP), or a state health care program?

☐ **Yes (provide details below)** ☐ **No**

Description of offense:

Attach separate sheet, if necessary.

Please copy Section III to list additional individuals.

Signature

Date

Title of Authorized Agent

AmeriHealth Caritas Ohio