

## STOCK PURCHASE/TRANSFER

When a stock purchase/transfer occurs at the agency submit the following information and/or documentation to the Department for review:

**A letter on your agency's letterhead to include the following:**

- A letter of explanation of events.
  - Agency's license number (*located on license*)
  - Narrative of stock transfer events
  - Who purchased stock
  - Who sold stock
  - Percentage of stock purchased/sold on each individual
  - Effective date of stock transfer
  - Make sure the agency includes in the explanation that this is a stock transfer and not a change of ownership.
  
- Submit a letter from the seller on their agency's letterhead indicating their intent to sell/transfer stock to the buying entity.
  
- Submit a current limited, expanded or national criminal history check.
  - If the individual has resided outside Indiana at anytime during the last two (2) years prior to employment, submit a national or expanded criminal history check.
  - The criminal history check must be a search from 18 years to current.
  - If using an entity other than the Indiana State Police to conduct the criminal history search make sure that entity has the timeframe for the search on the document.
  
- Articles of Incorporation or Certificate of Assumed Business name if the doing business name (DBA) is different from the name of the direct owner or applicable document from the Indiana Secretary of State.
  
- Document from the Internal Revenue Service (IRS) that reflects legal name and EIN number.
  
- Organization Charts (*see examples of before/after charts*). Include all of the information in the organizational chart examples.
  
- Submit a copy of the purchase of stock agreement and include the following information in the agreement.
  - Signature and date of buyer and seller of stock.
  - Identify the name of the legal entity of stock purchasing/selling.

- Percentage of stock purchase/sold.
- Effective date of sale.
- The seller must be on record with the department.

**Please ensure you file an 855a with your Fiscal Intermediary if you are Medicare certified.**

Submit the stock transfer information to:

Kelly Hemmelgarn  
Program Director, Acute Care  
Indiana State Department of Health  
Acute Care Division  
2 N Meridian St., Section 4A 07  
Indianapolis, IN 46204

**STOCK PURCHASE/TRANSFER  
ORGANIZATION CHART  
BEFORE 01/01/2012**

**Legal Name**

Legal Entity (*i.e. corporation, llc*)  
ABC123 Home Health Corporation  
EIN Number: 35-1234567

**Agency Name**

Name of Agency (DBA name)  
ABC123 Home Health  
License Number: 12-123456-1

**Officer(s)**

Name  
Title  
Complete Address  
City, State, Zip Code  
Percentage of Ownership

**Example of officer(s)/owner information**

John Doe, President  
100 ABC Street  
Indianapolis, IN 46204  
Percentage Ownership: 10%

Jane Day, Treasurer  
100 DEF Street  
Indianapolis, IN 46204  
Percentage Ownership: 50%

James Day, Secretary

100 GHI Street  
Indianapolis, IN 46204  
Percentage Ownership: 40%

**STOCK PURCHASE/TRANSFER  
ORGANIZATION CHART  
AFTER 01/01/2012**

**Legal Name**

Legal Entity (*i.e. corporation, llc*)  
ABC123 Home Health Corporation  
EIN Number: 35-1234567

**Agency Name**

Name of Agency (DBA name)  
ABC123 Home Health  
License Number: 12-123456-1

**Officer(s)**

Name  
Title  
Complete Address  
City, State, Zip Code  
Percentage of Ownership

**Example of officer(s)/owner information**

John Doe, President  
100 ABC Street  
Indianapolis, IN 46204  
Percentage Ownership: 30%

Jane Day, Treasurer  
100 DEF Street  
Indianapolis, IN 46204  
Percentage Ownership: 70%

James Day, Secretary

100 GHI Street

Indianapolis, IN 46204

Percentage Ownership: 0%