

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:

1. A letter of explanation of events.
 - a. Agency's license number (*located on agency's license*)
 - b. Narrative of stock transfer events
 - c. Who purchase stock
 - d. Who sold stock
 - e. Percentage of stock purchased/sold on each individual
 - f. Effective date of stock transfer
 - g. Make sure the agency includes in the explanation that this is a stock transfer and not a change in ownership.
2. Submit a current expanded or national criminal history check.
 - a. The criminal history check must be a lifetime search.
 - b. 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 report.
3. 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.
4. Document from the Internal Revenue Services (IRS) that reflects legal name and EIN number.
5. Organizational Charts (*see examples of before/after charts*). Include all of the information in the organizational chart examples.
6. Submit a copy of the purchase of stock agreement and include the following information in the agreement.
 - a. Signature and date of buyer and seller of stock
 - b. Identify the name of the legal entity of stock purchasing/selling.
 - c. Percentage of stock purchase/sold
 - d. Effective date of sale.
 - e. The seller must be on record with the department.

Submit the stock transfer information to:

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

**STOCK PURCHASE/TRANSFER
ORGANIZATIONAL CHART**

BEFORE 01/01/12

Legal Name

Legal Entity (*i.e. corporation, llc*)
Helping Hands Corporation
EIN Number: 35-1234567

Agency Name

Name of Agency (*DBA name*)
Helping Hands
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 XYZ Street
Indianapolis IN 46204
Percentage of Ownership: 10%

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

Mack Day, Secretary
100 GHI Street
Indianapolis, IN 4620
Percentage of Ownership: 40%

**STOCK PURCHASE/TRANSFER
ORGANIZATIONAL CHART**

AFTER 01/02/12

Legal Name

Legal Entity (i.e. corporation, llc)
Helping Hands Corporation
EIN Number: 35-1234567)

Agency Name

Name of Agency (DBA name)
Helping Hands
License Number: 12-123456-1

Officer(s)/owner information

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

Example of officer(s)/owner information

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

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

Mack Day, Secretary
100 GHI Street
Indianapolis, IN 4620
Percentage of Ownership: 0%