

When a stock purchase/transfer occurs at the mobile health care entity submit the following information and/or documentation to the department for review:

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

1. A letter of explanation of events.
  - The facility's certificate of registration number (located on facility's certificate)
  - 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 in ownership.
2. 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.
3. Document from the Internal Revenue Services (IRS) that reflects legal name and EIN number.
4. Organizational Charts (see examples of before/after charts). Include all of the information in the organizational chart examples.
5. 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.

Submit the stock transfer information to:

Bobbie Nelson, Program Director  
Division of Home and Community Based Care  
2 N. Meridian St., Section 4A 07  
Indianapolis, Indiana 46204

**STOCK PURCHASE/TRANSFER  
ORGANIZATIONAL CHART  
BEFORE 01/01/12**

**Legal Name**

Legal Entity (**i.e. corporation, LLC**)  
Mobile Services Corporation  
(EIN #35-1234567)

**Facility Name**

Name of Facility (**DBA name**)  
Mobile ABC Services  
Certificate of Registration Number 123456

**Office(s)**

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

**Example of officers/owners and percentage**

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**)  
Mobile Services Corporation  
(EIN #35-1234567)

**Facility Name**

Name of Facility (**DBA name**)  
Mobile ABC Services  
Certificate of Registration Number 123456

**Officer(s)**

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

**Example of officers/owners and percentage**

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%

