

Surgical Clinic (SURGC) and Surgical Clinic/Ambulatory Surgery Center (SURGC/ASC) Report of Change Application Checklist for Change of Stock Transfer

The following is a list of application forms and supporting documents required for a complete application packet. Failure to include each of the forms and documents will delay processing.

CHECKLIST AND INSTRUCTIONS - *Please submit your documents in this order*

REQUIRED DOCUMENTS FOR A STOCK TRANSFER CHANGE

<i>Use this space to check if included</i>	Forms and supporting documents	Additional Instructions (Each form listed also has instructions on the form)
	Cover Letter	<p>COVER LETTER</p> <p>Letter on company letterhead with the following information:</p> <ul style="list-style-type: none"> • License number • Facility name and address • Facility ID number (if known) • Brief description of request • Contact information (name, title, phone number, and e-mail address) • Emergency Contact Information (name, email, alternate email, phone, fax, and phone number that will receive text messages). The Department will use this information to contact the provider in the event of an emergency using the California Health Alert Network (CAHAN). All information provided must allow CAHAN to contact the provider on a 24/7/365 basis for distribution of health alerts. For additional information: CAHAN (https://www.calhospitalprepare.org/cahan) • Signature

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	HS 200	<p>LICENSURE & CERTIFICATION APPLICATION [Health and Safety Code (HSC) section 1212]</p> <p>Tips</p> <ul style="list-style-type: none"> • Page 2, section B, item 6 — An organization must own 100 percent of the licensee to be considered a parent company. This parent company will have its own Employer Identification Number (EIN) • Page 3, section C, item 7 — When listing the names of individuals with direct or indirect ownership of the facility in section C, provide the EIN (do not enter a Social Security number in this field)
	Supporting Documents	<p>B.3 - ORGANIZATIONAL CHART – OWNER TYPE [HSC section 1212]</p> <p>Submit an organizational chart if the owner is a for-profit corporation, nonprofit corporation, limited liability company (LLC), or general partnership. The organizational chart needs to display the following:</p> <ul style="list-style-type: none"> • Applicant entity <p><u>Licensed-Only SURGC</u></p> <ul style="list-style-type: none"> • Applicant’s direct and indirect owners with 10 percent or more ownership interest in the applicant entity (include ownership percentages) • Officers and directors of applicant and any entity with 10 percent or more ownership interest in the applicant <p><u>Licensed and Certified SURGC/ASC</u></p> <ul style="list-style-type: none"> • Applicant’s direct and indirect owners with five percent or more ownership interest in the applicant entity (include ownership percentages) • Officers and directors of applicant and any entity with five percent or more ownership interest in the applicant

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		<p>Note: Submit the HS 215A form for each of these individuals</p> <p><u>Management company, if applicable</u></p> <ul style="list-style-type: none"> • Owners, officers and directors <p>All other licensed and/or certified facilities operated by applicant's parent company and/or management company, if applicable</p>
	Stock Purchase Agreement	<p>STOCK PURCHASE AGREEMENT [HSC section 1212]</p> <p>Submit a copy of the signed Purchase Agreement</p>
	HS 215A	<p>APPLICANT INDIVIDUAL INFORMATION [Title 42 Code of Federal Regulations (CFR) section 455 subpart B and 420 subpart C] [HSC section 1212]</p> <p>This form must be completed for the following new:</p> <ul style="list-style-type: none"> • Administrator of the facility • Parent Company (if applicable) <ul style="list-style-type: none"> ○ Directors, board members, corporate officers of the PARENT organization • Owners, officers, directors of management company, if applicable <p><u>Licensed-Only SURGC</u></p> <ul style="list-style-type: none"> • Individual direct and indirect owners with 10 percent or more ownership interest in the applicant entity • Officers and directors of applicant and any entities with 10 percent or more ownership interest in the applicant <p><u>Licensed and Certified SURGC/ASC</u></p> <ul style="list-style-type: none"> • Individual direct and indirect owners with five percent or more ownership interest in the applicant entity

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		<ul style="list-style-type: none"> • Officers and directors of applicant and any entity with five percent or more ownership interest in the applicant <p>Tip</p> <ul style="list-style-type: none"> • Page 1, Section A — The date of birth is an identifier, as several people may have the same name. This will ensure that each individual is associated with the correct facility or entity. • Page 2, Section D – Submit ten years of employment history, indicating the start and end dates of employment, job title, employer name and address. The applicant may submit a resume in lieu of completing section D; however, the resume must contain all required information included in section D • Page 2, Section E – If answering yes to any question in this section, complete and attach the facility information sheet
	Supporting Documents	<p>FACILITY INFORMATION SHEET</p> <p>Each individual must complete and submit the Facility Information sheet for each facility and/or agency with which the individual has a current or past relationship within the last three years. This sheet must also include any facilities licensed by the California Department of Social Services. The following must be completed for each facility and/or agency:</p> <ul style="list-style-type: none"> • Facility name • Facility address • Type of facility • Type of business entity (include EIN Number) • Individual’s nature of involvement • Individual’s dates of involvement
	HS 309 1 st Page	<p>ADMINISTRATIVE ORGANIZATION [HSC section 1212]</p> <p>Along with the HS 309, the following supporting documents according to organizational type must be submitted:</p>

<i>Use this space to check if included</i>	Forms and supporting documents	Additional Instructions (Each form listed also has instructions on the form)
	Supporting Documents	<p>CORPORATION</p> <ul style="list-style-type: none"> • Filing Statement from the Secretary of State • Articles of Incorporation • By-Laws • List of Board of Directors (only if additional space is needed to input all board of directors) <p>Tip</p> <ul style="list-style-type: none"> • Page 1, item 3 — The incorporation date is located in the top right corner of the applicant Articles of Incorporation
	Supporting Documents	<p>LIMITED LIABILITY COMPANY (LLC)</p> <ul style="list-style-type: none"> • Filing Statement from the Secretary of State • Articles of Organization • Operating Agreement • List of Managing Members (only if additional space is needed to input all managing members)
	HS 309 2 nd Page	<p>ORGANIZATIONAL STRUCTURE</p> <p>Only complete fields that are applicable to applicant's entity type</p> <p>Tip</p> <ul style="list-style-type: none"> • Page 2, item 1 — Health care districts will fill in the circle for other
	Supporting Documents	<p>PUBLIC AGENCY</p> <p>Copy of signed Resolution</p>
	Supporting Documents	<p>PARTNERSHIP</p> <p>Copy of signed Partnership Agreement</p>