

OMB Approval No. 0938-0685

SECTION 6: OWNERSHIP INTEREST AND/OR MANAGING CONTROL INFORMATION (INDIVIDUALS)

This section is to be completed with information about any individual who has a 5% or greater (direct or indirect) ownership interest in, or any partnership interest in, the provider identified in Section 2B. In addition, all officers, directors, and managing employees of the provider must be reported in this section. If there is more than one individual, copy and complete this section for each. **The provider MUST have at least ONE owner and/or managing employee.** If this is a “one person” operation, then report yourself in this section as both a 5% or greater owner and a managing employee or director/officer.

NOTE: Hospitals Only: Hospitals that have checked “Yes” to having a compliance plan in accordance with Medicare requirements in Section 2.A.3.b. are not required to report their managing employees in this application. However, this section must be completed for the Authorized Official reported in Section 15 and all Delegated Officials reported in Section 16.

- A. Individual with Ownership Interest and/or Managing Control - Identification Information** - If adding, deleting, or changing information on an existing 5% or greater owner, partner, officer, director, or managing employee, check the appropriate box, indicate the effective date of the change, complete the appropriate fields in this section, and sign and date the certification statement. If not reporting a change, complete this section for the following:

The following individuals must be reported in Section 6A: (see below for definitions of these terms)

- All persons who have a 5% or greater ownership interest in the provider;
- If (and only if) the provider is a corporation (whether for-profit or non-profit), all officers and directors of the provider;
- All managing employees of the provider, and
- All individuals with a partnership interest in the provider, regardless of the percentage of ownership the partner has.

NOTE: All partners within a partnership must be reported in this application. This applies to both “General” and “Limited” partnerships. For instance, if a limited partnership has several limited partners and each of them only has a 1% interest in the provider, each limited partner must be reported in this application, even though each owns less than 5%. The 5% threshold primarily applies to corporations and other organizations that are not partnerships.

For purposes of this application, the terms “officer,” “director,” and “managing employee” are defined as follows:

- The term “**Officer**” is defined as any person whose position is listed as being that of an officer in the provider’s “**Articles of Incorporation**” or “**Corporate Bylaws**,” **OR** anyone who is appointed by the board of directors as an officer in accordance with the provider’s corporate bylaws.
- The term “**Director**” is defined as a member of the provider’s “**Board of Directors**.” It does not necessarily include a person who may have the word “Director” in his/her job title (e.g., Departmental Director, Director of Operations). See note below.

NOTE: A person who has the word “Director” in his/her job title may be a “managing employee,” as defined below. Moreover, where a provider has a governing body that does not use the term “Board of Directors,” the members of that governing body will still be considered “Directors.” Thus, if the provider has a governing body titled “Board of Trustees” (as opposed to “Board of Directors”), the individual trustees are considered “Directors” for Medicare enrollment purposes.

- The term “**Managing Employee**” is defined as any individual, including a general manager, business manager, or administrator, who exercises operational or managerial control over the provider, or who conducts the day-to-day operations of the provider. For Medicare enrollment purposes, “managing employee” also includes individuals who are not actual employees of the provider but, either under contract or through some other arrangement, manage the day-to-day operations of the provider.

NOTE: If a governmental or tribal organization will be legally and financially responsible for Medicare payments received (per the instructions for Governmental/Tribal Organizations in Section 5), the provider is only required to report its managing employees in Section 6. Owners, partners, officers, and directors do not need to be reported.