

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 supplier identified in Section 2B. In addition, all officers, directors, and managing employees of the supplier must be reported in this section. If there is more than one individual, copy and complete this section for each. **The supplier 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.

- 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 supplier;
- If (and only if) the supplier is a corporation (whether for-profit or non-profit), all officers and directors of the supplier;
- All managing employees of the supplier, and
- All individuals with a partnership interest in the supplier, 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 supplier, 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 supplier’s “**Articles of Incorporation**” or “**Corporate Bylaws**,” **OR** anyone who is appointed by the board of directors as an officer in accordance with the supplier’s corporate bylaws.
- The term “**Director**” is defined as a member of the supplier’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 supplier 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 supplier 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, administrator, or medical director who exercises operational or managerial control over the supplier, or who conducts the day-to-day operations of the supplier. For Medicare enrollment purposes, “managing employee” also includes individuals who are not actual employees of the supplier but, either under contract or through some other arrangement, manage the day-to-day operations of the supplier.

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 supplier is only required to report its managing employees in Section 6. Owners, partners, officers, and directors do not need to be reported.

Refer to the instructions and examples in Section 5 for further clarification of what is meant by the terms “direct owner” and “indirect owner.” If further assistance is needed in completing this section, contact the Medicare carrier.