

DISCLOSURE INFORMATION: DISCLOSURE OF OWNERSHIP AND CONTROL - [42 CFR 455.104 through 106] (SMDL09-001)

Contractor's Legal Name:

DBA, if Applicable:

Line of Business:

Contract Year Ending:

3.a. Contractor Disclosure of Individuals with Ownership or Control Interest

No.	Person (A=Agent, P=Partner, OF=Officer, D=Director, ME=Managing Employee, K=Key Staff Personnel)	Legal Name	Personal Address	City	State	Zip Code	Social Security Number	Date of Birth	Related to another person with ownership or control interest (Y/N); Nature of relationship	Percentage of Ownership Interest	Type of Ownership Interest (Direct/Indirect/ Combined)	Related to another person with ownership or control interest in a Subcontractor in which Contractor has 5% or more interest (Y/N); Nature of relationship
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
16												
17												
18												
19												
20												
21												
22												
23												
24												
25												
26												
27												
28												
29												
30												
31												
32												
33												
34												
35												
36												
37												
38												
39												
40												
41												
42												
43												
44												
45												

DISCLOSURE INFORMATION: DISCLOSURE OF OWNERSHIP AND CONTROL - [42 CFR 455.104 through 106] [SMOL09-001]

Contractor's Legal Name:
DBA, if Applicable:
Line of Business:
Contract Year Ending:

3.a.2 Contractor Disclosure of Entities with Ownership or Control Interest

No.	Entity (An Agent, Partner, or Owner)	Legal Name	Domicile of Incorporation/Organization	Primary Business Address	City	State	Zip Code	Other Business Location Addresses	City	State	Zip Code	P.O. Box Address	City	State	Zip Code	Tax Identification Number(s)	Related to another person with ownership or control interest (Y/N); Nature of relationship	Percentage of Ownership Interest	Type of Ownership Interest (Direct/Indirect/Combined)	Ownership or Control Interest in a Subcontractor in which Contractor has 5% or more interest (Y/N)	Related to another person with ownership or control interest in a Subcontractor in which Contractor has 5% or more interest (Y/N); Nature of relationship	
1																						
2																						
3																						
4																						
5																						
6																						
7																						
8																						
9																						
10																						
11																						
12																						
13																						
14																						
15																						
16																						
17																						
18																						
19																						
20																						
21																						
22																						
23																						
24																						
25																						
26																						
27																						
28																						
29																						
30																						
31																						
32																						
33																						
34																						
35																						
36																						
37																						
38																						
39																						
40																						
41																						
42																						
43																						
44																						
45																						

DISCLOSURE INFORMATION: DISCLOSURE OF OWNERSHIP AND CONTROL - [42 CFR 455.104]

Contractor's Legal Name:
DBA, if Applicable:
Line of Business:
Contract Year Ending:

3. a. 4 Contractor's Fiscal Agents

No.	Person (I= Individual, E=Entity, A=Agent, ME=Managing Employee)	Legal Name	Personal Address (Individual) or Primary Business Address (Entity)	City	State	Zip Code	Social Security Number (Individual) or Tax Identification Number(s) (Entity)	Date of Birth	Domicile of Incorporation or Organization (Entity)	Related to another person with ownership or control interest (Y/N); Nature of relationship	Percentage of Ownership Interest	Type of Ownership Interest (Direct/Indirect/ Combined)	Ownership or Control Interest in a Subcontractor in which Contractor has 5% or more interest (Y/N)	Related to another person with ownership or control interest in a Subcontractor in which Contractor has 5% or more interest (Y/N); Nature of relationship
1														
2														
3														
4														
5														
6														
7														
8														
9														
10														
11														
12														
13														
14														
15														
16														
17														
18														
19														
20														
21														
22														
23														
24														
25														
26														
27														
28														
29														
30														
31														
32														
33														
34														
35														
36														
37														
38														
39														
40														
41														
42														



AHCCCS CONTRACTOR OPERATIONS MANUAL
POLICY 103 – ATTACHMENT A-1 -
DISCLOSURE INFORMATION-DISCLOSURE OF OWNERSHIP AND CONTROL
DRAFT

DISCLOSURE INFORMATION: DISCLOSURE OF OWNERSHIP AND CONTROL - [42 CFR 455.101]

Contractor's Legal Name:

DBA, if Applicable:

Line of Business:

Contract Year Ending:

3.a. Any other Contractor, Disclosing Entity, Fiscal Agency, or Managed Care Entity

No.	Legal Name
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	

This Disclosure is not required with the annual disclosure submission but upon request by AHCCCS.

DISCLOSURE INFORMATION: DISCLOSURE OF OWNERSHIP AND CONTROL - [42 CFR 455.101]

Contractor's Legal Name:

DBA, if Applicable:

Line of Business:

Contract Year Ending:

3.b. Business Transactions

No.	Relationship to Contractor (S=Subcontractor, W=Wholly Owned Supplier)	Legal Name	Description of Ownership	Transaction Type (3.b.1 or 3.b.2)	Type of Business Transaction	Date of Transaction	Dollar Amount of Transaction
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30							
31							
32							
33							
34							
35							
36							
37							
38							
39							
40							
41							
42							
43							

DISCLOSURE INFORMATION: DISCLOSURE OF INFORMATION ON PERSONS CONVICTED OF CRIMES - [42 CFR 455.104 through 106; 436] (SMDL09-001)

Contractor's Legal Name:
DBA, if Applicable:
Line of Business:
Contract Year Ending:

3.c. Persons and/or Entities Convicted of Crimes - Excluded Persons/Entities

No.	Person (A=Agent, E=Entity, P=Partner, OW=Owner, OF=Officer, D=Director, ME=Managing Employee, K=Key Staff Personnel)	Legal Name	Personal Address (Individual) or Primary Business Address (Entity)	City	State	Zip Code	Social Security Number (Individual) or Tax Identification Number(s) (Entity)	Date of Birth	Domicile of Incorporation or Organization (Entity)	Related to another person with ownership or control interest (Y/N); Nature of relationship	Excluded (Y/N)	Sanctioned (Y/N)	Convicted of Criminal Offense (Y/N)	Date of Conviction	Court where Convicted	Case Number for Conviction
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
13																
14																
15																
16																
17																
18																
19																
20																
21																
22																
23																
24																
25																
26																
27																
28																
29																
30																
31																
32																
33																
34																
35																
36																
37																
38																

DISCLOSURE INFORMATION - CREDITORS

Contractor's Legal Name:
DBA, if Applicable:
Line of Business:
Contract Year Ending:

3.d. Creditors

No.	Legal Name	Personal Address (Individual)	City	State	Zip Code	Social Security Number	Date of Birth	Domicile of Incorporation/Organization (Entity)	Primary Business Address (Entity)	City	State	Zip Code	Other Business Location Addresses (Entity)	City	State	Zip Code	P.O. Box Address	City	State	Zip Code	Tax Identification Number(s)	Related to a person with ownership or control interest in Contractor (Y/N); Nature of relationship	Description of Debt	Amount of Security
1																								
2																								
3																								
4																								
5																								
6																								
7																								
8																								
9																								
10																								
11																								
12																								
13																								
14																								
15																								
16																								
17																								
18																								
19																								
20																								
21																								
22																								
23																								
24																								
25																								
26																								
27																								
28																								
29																								
30																								
31																								
32																								
33																								
34																								
35																								
36																								
37																								
38																								
39																								
40																								
41																								
42																								
43																								
44																								
45																								



AHCCCS CONTRACTOR OPERATIONS MANUAL
POLICY 103 – ATTACHMENT A-1 -
DISCLOSURE INFORMATION-DISCLOSURE OF OWNERSHIP AND CONTROL
DRAFT

RELATED PARTY TRANSACTIONS

Contractor's Legal Name:

DBA, If Applicable:

Line of Business:

Contract Year Ending:

4.a. Board of Directors

No.	Legal Name	Personal Address	City	State	Zip Code	Social Security Number	Date of Birth	Related to another person with ownership or control interest in Contractor (Y/N); Nature of relationship
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								