

# **Overview of Prescribed Pediatric Extended Care Center (PPECC) Licensing Standards in Texas Licensing Application and Fees**



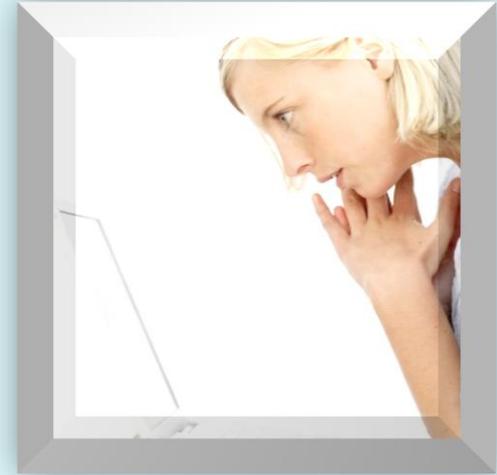
Texas Department of Aging and Disability Services  
Regulatory Services

# Overview

This course is designed to provide general **information on the licensing application requirements**. It remains the full responsibility of each applicant to complete the application in its entirety with accurate information. It will be helpful to print the application form 3720-P, so it may be reviewed throughout this course.

This pre-licensing program training is designed to meet the requirements listed in the TAC, Title 40, Part 1, Chapter 15 at §15.105 for PPECC administrators, nursing directors and their alternates.

Successful completion of this CBT satisfies the specific licensure requirement at Texas Administrative Code (TAC), Title 40, Part 1, Chapter 15, §15.305(b)



For policy/course content questions contact a PPECC policy specialist at (512) 438-3161.

For licensing/application questions contact a PPCEC licensing specialist at (512) 438-2630.

# Tips for Taking Computer Based Training (CBT)

Protected time is critical to ensuring your success in taking a CBT. Here are some helpful suggestions.

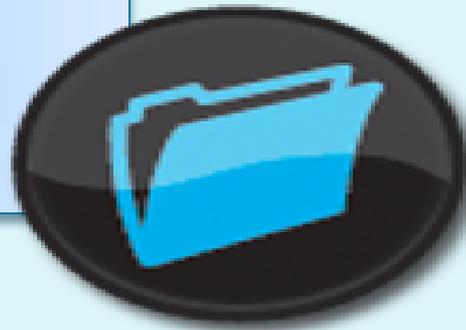
- Close the door or put up a sign requesting that you not be disturbed for the next 90 minutes.
- Forward your office telephone.
- Turn off your cell phone.
- Take a short stretch break at least every 20 minutes.
- There are no time limits set in this training, so read each slide carefully and click on the additional links for further information.



# Organization of Training

This training is organized into four topics. It offers an introduction to the PPECC laws and regulations regarding the application process.

- **General Application Requirements**
- **Types of Applications**
- **Licensure Fees**
- **Required Business Documents for Applications**



# Required Documentation of Successful Participation

## How will the completion of this CBT be documented and verified?

PPECC administrators, nursing directors and their alternates, must submit an original **signed certificate of completion** to the Department of Aging and Disability Services (DADS) with the application.

DADS **will not** approve a PPECC license application without this signed certificate for each of the required participants, and centers must keep copies of these signed certificates on file and available.



# Required Laws and Regulations

## **What reference materials are required to complete the CBT?**

To successfully complete this training, you must have access to the required laws, regulations and forms; which are listed below. PPECCs must maintain compliance with these laws and regulations.

They include:

- Health and Safety Code Chapter §248A;
- Texas Administrative Code (TAC) Title 40 Part 1 Chapter 15;
- DADS Form 3720-P;
- National Fire Protection Association (NFPA) 101, 2000 edition; and
- TAC Title 1 Part 15, Chapter 363



# Learning Objectives



In this course, the participant will:

- review the criteria and eligibility requirements regarding a license for PPECCs;
- distinguish between application types to assist in the completion of an application;
- identify the requirements for notifying DADS when there is a change in licensure status; and

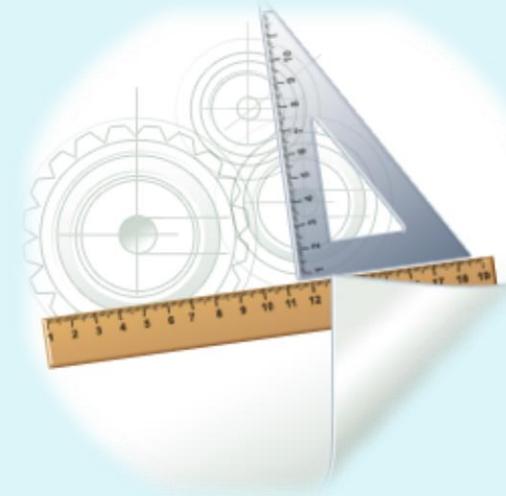


# General Licensure Requirements

**The next slides will review basic requirements for obtaining a PPECC license.**

- Criteria and eligibility
- Applicant qualifications
- Basic application requirements
- Building approval

*TIP: As you proceed through the course, it may helpful to make notes.*

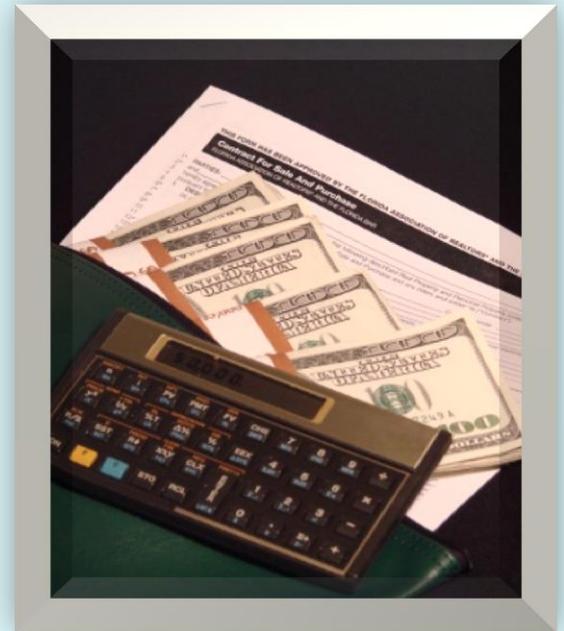


# Eligibility for Reimbursement

**PPECC providers who wish to be eligible for reimbursement for Title XIX (Medicaid) benefits must:**

- meet program requirements found in the Texas Administrative Code (TAC), Title 1, Part 15, Chapter 363;
- complete the required Medicaid provider enrollment application forms; and
- enter into a written provider agreement.

For information on how to become a Medicaid provider, please email  
HHSC @ [HHSC\\_PPECC@hsc.state.tx.us](mailto:HHSC_PPECC@hsc.state.tx.us)



# Criteria and Eligibility for a License

**When reviewing the criteria to obtain a license, it's important to understand the application requirements for a PPECC license.**

Some of these requirements include:

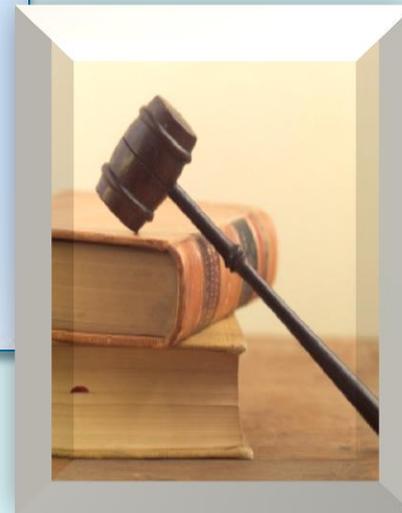
- the center must be located in Texas and must have a Texas mailing address;
- a person may not operate a center on the same premises as a child-care center licensed in accordance with Texas Human Resource Code, Chapter 42; or any other facility licensed by DADS or the Department of State Health Services;
- a separate license is required for each center located on separate premises, regardless of whether the centers are owned or operated by the same person or legal entity; and
- the actual census for a center must not exceed the capacity authorized by DADS, as indicated on the license.



# Applicant Qualifications

**Before issuing a license, DADS considers the background and qualifications of:**

- the applicant;
- a controlling person of the applicant;
- a person with a disclosable interest;
- an affiliate of the applicant;
- the administrator;
- the alternate administrator; and
- the chief financial officer, (if applicable).



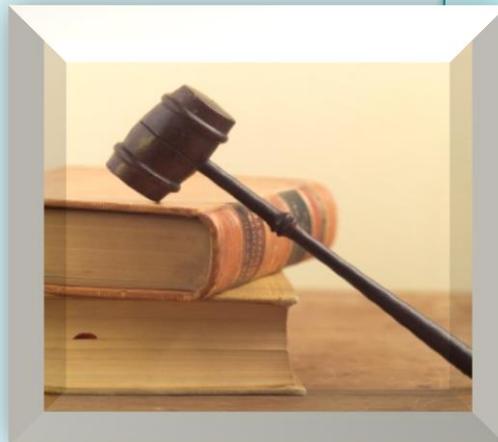
# Applicant Qualifications



## **An applicant must have met:**

- approval of building plans through a plan review by the DADS Architectural Unit at (512)438-2371 or fax (512) 438-4623;
- documented compliance with local building ordinances;
- local fire authority codes;
- Life Safety Code (LSC) standards and the requirements in TAC Title 40 Part 1, chapter 15, Subchapter E ; and

requirements based on an on-site health inspection by DADS.



# Basic Application Requirements

**Let's review some of the general requirements of the application.**

- Application Form 3720-P may be obtained from the DADS website.
- Applications are completed per the instructions on the application and the DADS website.
- Applicants must complete the Form 3720-P accurately and completely including any attachments.
- A written request is required to withdraw the application and the fee is non-refundable except as provided in §15.114.

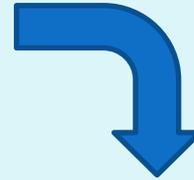


# Building Approval

**Let's review some of the requirements for building approval.**

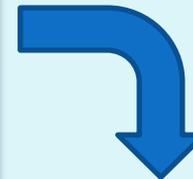
**Prior to applying for a license, an applicant must submit applicable plans for any of the scenarios listed below:**

- new buildings; additions; conversions of buildings not licensed by DADS; and the remodeling of existing licensed centers. *One copy of contract documents must be submitted to DADS before construction begins;*



**and include**

- building approval from the local fire authority or, if the jurisdiction does not have a local fire authority, the state fire marshal. However, you may submit a license application to DADS before receiving fire authority approval;



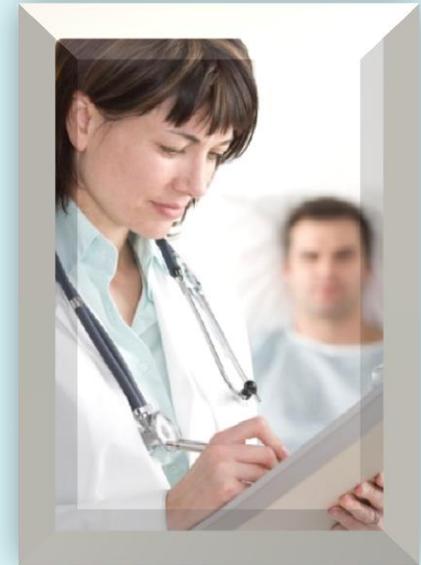
**and finally**

- submit a copy of a signed and dated written approval for occupancy by the local fire authority or state fire marshal that describes the center by name and address.

# Review

## Key points to remember

- Program requirements can be found in the TAC, Title 40, Part 1 Chapter 15.
- Before issuing a license, DADS considers the background and qualifications of the applicants.
- Applicants must complete the application as per the instructions on the application and the DADS website.
- DADS does not refund the license fee, except as provided in §15.114.
- You must submit plans for new or unlicensed buildings; additions; and the remodeling of existing licensed centers prior to the submission of the application.

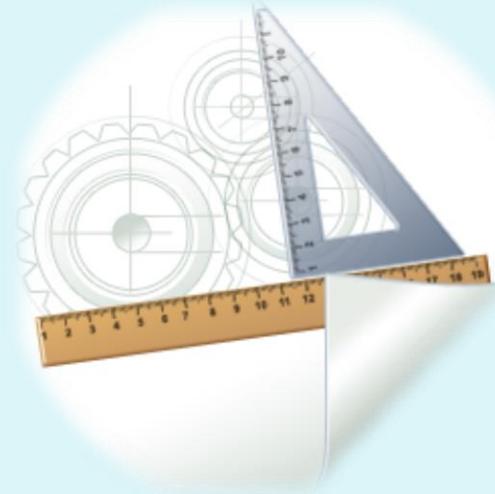


# Types of Applications

The next few slides will review the distinguishing requirements for each licensure type. Also, this section reviews the required updates a PPECC must submit when licensure status changes.

These updates and requirements include:

- specific timelines for notification of DADS through the application form 3720-P;
- process DADS utilizes when issuing various types of licenses;
- rules affecting each type of application;
- documentation required for each licensure type; and
- requirements for PPECCs regarding changes in licensure status.



# Initial License Application Process

## The process for licensure is as follows:

DADS conducts a Life Safety Code (LSC) inspection, after a written notice is submitted from the center.



### CONDITION

DADS will deny an application if a center fails the LSC requirements and fails to implement an approved written plan of correction (POC) within 120 days.

### CONDITION

The health inspection request must occur no later than 120 days after the date the center meets the LSC requirements or DADS will deny the application.

### CONDITION

The center must be in compliance and/or have implemented an approved written POC no later than 120 days after the date of the initial health inspection.

### THEN

If the LSC requirements are met, up to three minors may be admitted. If you admit a minor, written notice is sent to DADS indicating readiness for a health inspection.

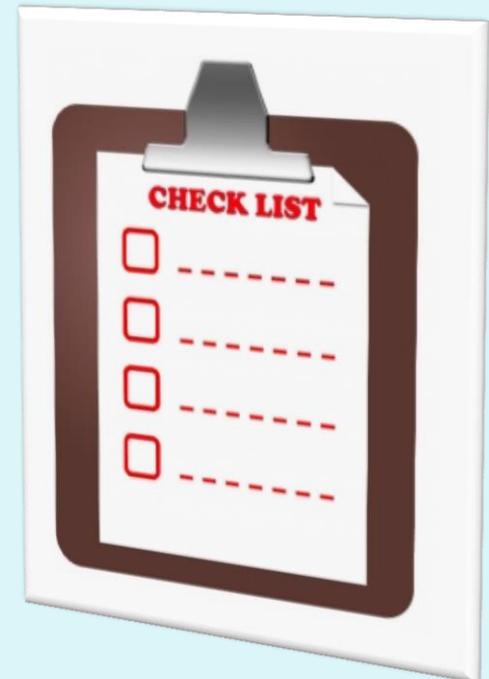
### THEN

DADS conducts an on-site health inspection to determine compliance.

# Initial Licensure Documentation Review

**The following are documents required for the initial licensure process:**

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A letter of credit for \$250,000.00 from a bank that is insured by the Federal Deposit Insurance Corporation (FDIC)
- ✓ Management company agreement (if applicable)
- ✓ Copy of written notification to the local health authority that the applicant is submitting a license application to DADS
- ✓ A copy of an approved inspection of the center by the local fire marshal
- ✓ A written notice to DADS that the center is ready for a LSC inspection
- ✓ Property documents (lease, sublease, or deed)
- ✓ A copy of the results for the PPECC pre-licensure computer-based training
- ✓ Required legal entity documents for applicant
- ✓ Licensing fee



# Temporary License Option

## §15.123

The temporary license is an option for all applicants for a PPECC license but is not required. An applicant may choose to apply for an initial PPECC license only. Applicants who would like to request a temporary license must do so in writing upon submission of the initial license application to DADS.

§15.123(b) To request a temporary license, the applicant must submit to DADS Provider Licensure and Certification Unit, a written request for a temporary license and a copy of the applicant's policies, procedures and staffing plans that demonstrate compliance with the licensing standards of this chapter.

# Temporary License Option

**The following are documents required for the temporary licensure process:**

- ✓ Written request for a temporary license
- ✓ A copy of the center's policies and procedures

**In addition to the documents required for an initial license:**

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A letter of credit for \$250,000.00 from a bank that is insured by the Federal Deposit Insurance Corporation (FDIC)
- ✓ Management company agreement (if applicable)
- ✓ Copy of written notification to the local health authority that the applicant is submitting a license application to DADS
- ✓ A copy of an approved inspection of the center by the local fire marshal
- ✓ A written notice to DADS that the center is ready for a LSC inspection
- ✓ Property documents (lease, sublease, or deed)
- ✓ A copy of the results for the PPECC pre-licensure computer-based training
- ✓ Required legal entity documents for applicant
- ✓ Licensing fee

# Temporary License Option

## Condition

### The process for licensure is as follows:

DADS conducts a Life Safety Code (LSC) inspection, after a written notice is submitted from the center.

DADS will deny an application if a center fails the LSC requirements and fails to implement an approved written plan of correction (POC) within 120 days.

## THEN

If the LSC requirements are met and all of the requirements are met from a desk review of the center's policies and procedures, the center can admit **up to six** minors until the temporary license expires or terminates or the center is granted the initial license. Applicant notifies DADS that the center is ready for a health inspection.

A temporary license is valid for 90 days from the date of issuance. An applicant may submit a written request for a one-time 90-day extension at least 30 days before the temporary license expires to DADS Provider Licensure and Certification Unit.

## Condition

## THEN

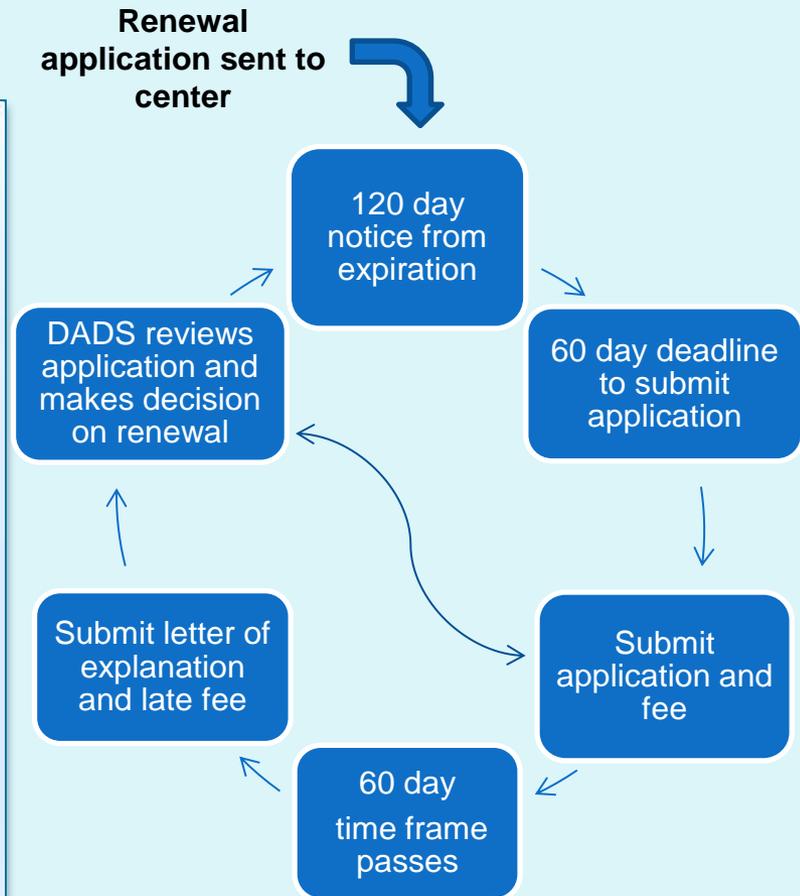
DADS conducts an on-site health inspection to determine compliance.

The center must be in compliance and/or have implemented an approved written POC no later than 120 days after the date of the initial health inspection.

# Renewal Application Process

The process for a renewal license is as follows:

- **Renewal applications are submitted** before the expiration date. DADS sends a reminder at least 120 days before the expiration.
- In accordance with Texas Government Code, §2001.054, DADS considers that a license holder meets the deadline if the submission is no later than 60 days before the expiration date.
- The application must be complete or include a letter explaining what the circumstances were that prevented the inclusion of the missing information.
- The license fee established in §15.112 is \$1,750.00. There will be a \$50.00 fee per day for each day after the 60 day deadline the application is submitted. The maximum late fee is \$500.00
- The license expires on the second anniversary of the effective date.



# Renewal Licensure Documentation Review

**The following are documents required for the renewal licensure process:**

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A letter of credit for \$250,000.00 from a bank that is insured by the FDIC
- ✓ Management company agreement (if applicable)
- ✓ A copy of an approved inspection of the center by the local fire marshal
- ✓ Required legal entity documents for applicant (and management company if applicable)
- ✓ Licensing fee



# Renewal Application Denial Process

**The process for denying a renewal license is as follows:**

- Before denying a renewal application, DADS notifies the license holder by personal service or registered/certified mail and provides an opportunity to show compliance.
- To show compliance, a written request must be submitted to DADS.
- If DADS denies an application, DADS sends a written notice of the denial and informs the center about the right to request an administrative hearing to appeal the denial.

To learn more about the denial process read the rules at §15.115



# Change of Ownership (CHOW) Application Process

## The process for a CHOW license is as follows:

- A license is not assignable or transferable. If a CHOW occurs, the current license becomes invalid on the date DADS acknowledges the CHOW.
- A center that undergoes a CHOW must follow the same process as an Initial Licensure including submitting the fee of \$1,750.00.
- The existing license holder must submit a written notice of intent to transfer the operation of the center to the new owner.
- Unless waived by DADS, and to avoid a center operating without a license, a 30 day deadline is required to submit an application before the CHOW is to occur.



# CHOW Licensure Documentation Review

The following are documents required for the CHOW licensure process:

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A letter of credit for \$250,000.00 from a bank that is insured by the FDIC in the name of the applicant.
- ✓ Management company agreement (if applicable)
- ✓ Copy of written notification to the local health authority that the applicant is submitting a license application to DADS
- ✓ A copy of an approved inspection of the center by the local fire marshal
- ✓ A written notice to DADS that the center is ready for a LSC inspection
- ✓ Property documents (lease, sublease, or deed)
- ✓ A copy of the results for the PPECC pre-licensure computer-based training for the administrator
- ✓ Required legal entity documents for applicant (and management company, if applicable)
- ✓ CHOW Affidavit
- ✓ Licensing fee



# Increase in Capacity Application Process

**The process for an increase in capacity license is as follows:**

Submit:

- an application for an increase with the required fee of \$875.00;
- an approved inspection document by the local fire marshal; and
- written notice of readiness for the LSC inspection.



**Then DADS will conduct both an onsite :**

- LSC inspection to determine compliance; and
- health inspection to determine compliance.

*Note: The capacity may (not) be increased without approval from DADS.*



# Decrease in Capacity Application Process

The process for an decrease in capacity license is as follows:

- Provide written notification to DADS using Form 3720-P. The notification indicates the new capacity for the center.
- After DADS receives the written notification, DADS issues a new license with the new capacity as indicated in the notification.



# Increase/Decrease Licensure Documentation Review

**The following are documents required for the increase in capacity licensure process:**

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A copy of an approved inspection of the center by the local fire marshal



**The following document is required for the decrease in capacity licensure process:**

- ✓ Form 3720-P, application for state license to operate a PPECC (Complete Items 1, 2, 3, 4, 5 and 11.)

# Relocation Application Process

## The relocation process is as follows:

The existing center must continue to maintain operations meeting all requirements, until DADS has approved the relocation.

Relocation or providing services at a new location without prior approval from DADS is not allowed, therefore the applicant must use the form 3720-P and apply for a new center. The application requirements are the same as an Initial Licensure.

Submit an initial licensure application for the new location.

Submit the licensure fee of \$1,750.00.

Once the new center has met the initial licensure requirements the former center must close and move its business operations to new location.



# Relocation Licensure Documentation Review

**The following are documents required for the relocation licensure process:**

- ✓ Form 3720-P, application for state license to operate a PPECC
- ✓ A copy of an approved inspection of the center by the local fire marshal
- ✓ A letter of credit for \$250,000.00 from a bank that is insured by the FDIC
- ✓ Management company agreement (if applicable)
- ✓ Copy of written notification to the local health authority that the applicant is submitting a license application to DADS
- ✓ A written notice to DADS that the center is ready for a LSC inspection
- ✓ Property documents (lease, sublease, or deed)
- ✓ Licensing fee



# Review

The requirements for Initial Licensure; Renewal of License; Change of Ownership (CHOW); Capacity Increase/Decrease; and Center Relocation have been reviewed.

Each of these licensure types have:

- distinct requirements and circumstances that require the applicant to use the application form 3720-P to notify DADS of your intentions;
- conditions which were explained and require certain fees; and
- a specific document checklist the applicant is required to review.

The applicant should pay attention to the process required or sequence of steps for each type of licensure. The applicant should review each of the required timeframes to avoid noncompliance.



# Updates for a Change in Administration



## **Notification Procedures a Center Must Complete**

A written notice must be submitted no later than seven days after the date of a change.

A change in the management staff requires DADS, evaluation and approval.

Complete the following items on form 3720-P: 1, 2, 3, 4, 5 and 11.

No fee is associated with this change.



# Updates for a Change in Ownership Interest/Ownership Hierarchy



## Notification Procedures a Center Must Complete

A written notice is sent within seven days after the date of a change in the controlling person.

This change is defined by a change of five percent or more of the controlling interest of the licensee or a change of shareholders, officers, directors, members, or partners.

A change in ownership interest requires DADS evaluation and approval.

Fill out the form 3720-P.

No fee is associated with this change.



# Updates for a Change in Management Company or Management Company Information

## Notification Procedures a Center Must Complete

A written notice to DADS no later than seven days after the date of a change in the controlling person.

This update notification is required if there is a change of five percent or more of the controlling interest of the management company, a change of shareholders, officers, directors, members, or partners.

A change in ownership interest requires DADS evaluation and approval.

Complete the following items on Form 3720-P: 1, 2, 3, 4, 7, 10 and 11.

Send a copy of the Management Agreement.

No fee is associated with this change.



# Updates for a Change of Center Contact Information



## **Notification Procedures a Center Must Complete**

A written notice must be sent to DADS no later than seven days after a change in the telephone number or mailing address, if different from the physical location.

Complete the following items on Form 3720-P: 1, 2, 3, 4, 5 and 11.

Send a copy of the Management Agreement.

No fee is associated with this change.

# Updates for a Change of Center Operating Hours



## **Notification Procedures a Center Must Complete**

A center must submit written notice no later than seven days after a change in the operating hours.

Complete the following items on Form 3720-P: 1, 2, 3, 4, 5, and 11.

Send a copy of the Management Agreement.

No fee is associated with this change.

Hours  
of Operation



# Updates for a Name Change

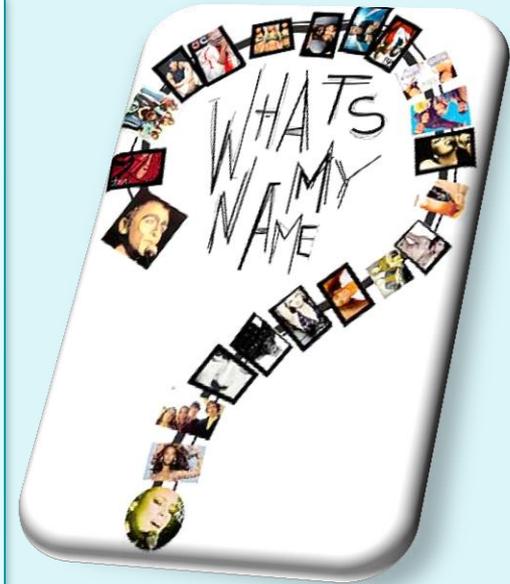
## Notification Procedures a Center Must Complete

If the legal entity or assumed name changes but the center does not undergo a CHOW, report the name change no later than seven days after the effective date of the name change.

Complete the following items on Form 3720-P: 1, 2, 3, 4, 5 and 11.

Send a Certificate of Amendment, or Assumed Name Certificate from the Office of the Secretary of State (SOS).

No fee is associated with this change.

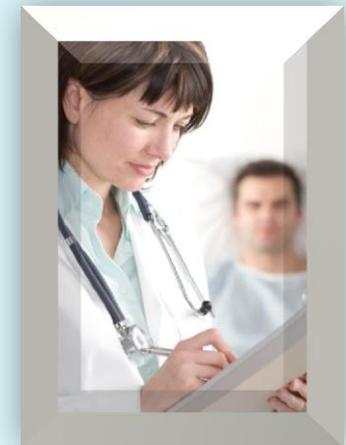


# Review

We have reviewed the requirements for Change in Administration and Management; Transfer of Ownership Interest; Change in Management Company Information; Change of Center Contact Information; Change in Center Operating Hours; and Legal Name or Center Name Change.

Each of these update types:

- have distinct requirements and circumstances that require the applicant to use the application form 3720-P. (most require only certain sections of the form 3720-P to be completed);
- have specific conditions and timeframes for notification to DADS;
- do not require fees to be submitted to DADS; and
- require additional documents the applicant must send in with the application .



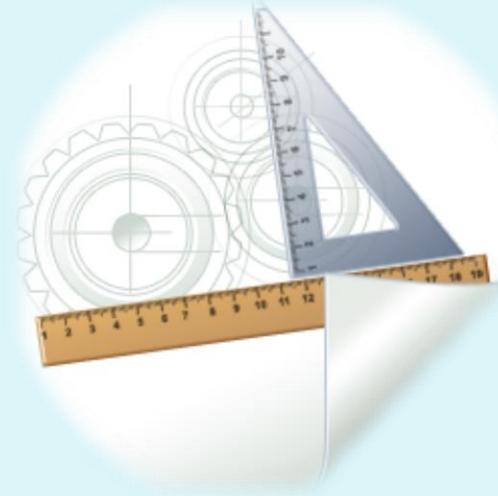
# Licensing Fees

In the next few slides the required fee for each licensure type and some of the conditions which apply to these fees are reviewed.

Some of these conditions include:

- differing fees associated with each type of license; and
- certain timelines or other considerations which late fees could be applied.

**NOTE:** Updates will not require a fee, however a center is required to comply with the rule to avoid noncompliance.



# Licensing Fees Overview

The schedule of fees for licensure of a center is as follows:

TYPE	AMOUNT
Initial Change in Ownership Relocation	\$1,750
Renewal	\$1,750
Capacity Increase	\$875



# Licensing Fees Overview

## Certain licensing fees are subject to the following

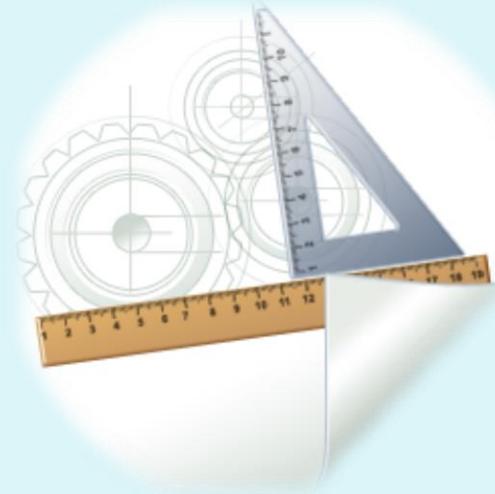
- The fees for a CHOW application are not waived despite a demonstration of the circumstances referenced in §15.108(f).
- The late fee per §15.106 is \$50 per day to a license holder who submits a renewal application after the date as described at §15.106. The late fee may not exceed \$500.00.
- The application is not complete until the correct fee is submitted.
- A fee paid to DADS is not refundable, except as provided by §15.114.



# Additional Documentation

**The next few slides review additional required documentation to accompany the application form 3720-P. This information should accompany the application packet. This serves as a checklist to assist the applicant in the submission process.**

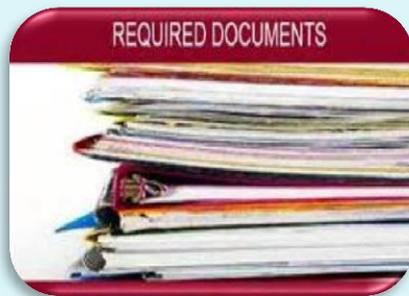
- The first category identifies which ownership disclosure documents you must provide that identify the owners/members and/or percentages of ownership within the company.
- The second category identifies which business entity documents you must provide that verify your legal status as a company to operate in Texas.



# Provide Copies of Sole Proprietorship Documents

## Ownership Disclosure Documents

- Sole proprietor



## Business Entity Documents

- Internal Revenue Service (IRS) letter issuing Taxpayer Identification Number (Form CP-575 or 147-C) (if the sole proprietor is not using the Social Security number as the taxpayer identification number)
- Assumed Name Certificate from the county in which business premises are maintained

# Provide Copies of For-Profit Documents

## Ownership Disclosure Documents

- All shareholders owning 5 percent or more (percentages must total 100 percent; if percentages disclosed do not total 100 percent, answer questions at bottom of Items 6, 7 and 8 of form 3720- P)
- President
- Secretary
- Treasurer
- All officers
- All directors
- All executive trustees and/or managing employees
- For all for-profit corporation with shareholders that own less than 5 percent, disclose officers, directors, executive trustees and/or managing employees



## Business Entity Documents

- Certificate of Formation from the Texas Secretary of State (SOS)
- Certificate of Registration (if not formed in Texas for authority to transact business in Texas from the SOS)
- Articles and/or by-laws
- Any Certificate of Amendment, original Certificate of Formation, and a Certificate of Account Status from the Texas Comptroller of Public Accounts
- Certificate of Assumed Business Name filed with the SOS
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)

# Provide Copies of Non-Profit Documents

## Ownership Disclosure Documents

- President
- Secretary
- Treasurer
- All officers
- All directors
- All board members and/or board trustees



## Business Entity Documents

Include non-profit corporations, non-profit limited liability companies and non-profit unincorporated associations

- Certificate of Formation from the SOS
- Certificate of Registration (if not formed in Texas for authority to transact business in Texas from the SOS)
- Articles and/or by-laws and/or company agreement
- Any Certificate of Amendment to the original Certificate of Formation
- Certificate of Account Status or Certificate of Exemption from the Texas Comptroller of Public Accounts
- Certificate of Assumed Business Name filed with the Texas SOS
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)



# Provide Copies of Limited Liability Documents

## Ownership Disclosure Documents

- All members and managers. (percentages must total 100 percent . If there are membership units that are unassigned, include a note in the last block of the disclosure page that indicates the remaining membership units are unassigned)
- All officers



## Business Entity Documents

- Certificate of Formation from the SOS
- Certificate of Registration (if not formed in Texas for authority to transact business in Texas from the SOS)
- Company Agreement
- Any Certificate of Amendments to the original Certificate of Formation
- Certificate of Account Status from the Texas Comptroller of Public Accounts
- Certificate of Assumed Business Name filed with the Texas SOS
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)



# Provide Copies of General Partnership Documents

## Ownership Disclosure Documents

- All partners
- (percentages must total 100 percent )



## Business Entity Documents

- General Partnership Agreement (if none, a written statement to that effect)
- Certificate of Account Status from the Texas Comptroller of Public Accounts
- Assumed Name Certificate from county where business premise are maintained
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)



# Provide Copies of General Partnership Limited Liability Documents

## Ownership Disclosure Documents

- General partner(s)
- All members



## Business Entity Documents

- Registration certificate of a Limited Liability Partnership from the SOS
- General Partnership Agreement (if there is none, a written statement to that effect)
- Certificate of Account Status from the Texas Comptroller of Public Accounts
- Assumed Name Certificate from county in which business premises are maintained
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)



# Provide Copies of Limited Partnership Documents

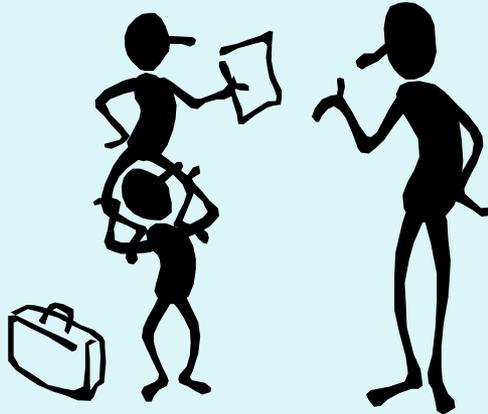
## Ownership Disclosure Documents

- General partner(s)
- All limited partners



## Business Entity Documents

- Certificate of Formation from the SOS
- Certificate of Registration (giving authority to transact business in Texas from the SOS)
- Certificate of Account Status from the Texas Comptroller of Public Accounts
- Any Certificate of Amendment to the original Certificate of Formation
- Limited Partnership Agreement
- Certificate of Assumed Business Name from the SOS
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)



# Provide Copies of Limited Partnership Limited Liability Documents

## Ownership Disclosure Documents

- All members and managers. (percentages must total 100 percent . If there are membership units that are unassigned, include a note in the last block of the disclosure page that indicates the remaining membership units are unassigned)
- All officers



## Business Entity Documents

- Registration Certificate of a limited liability partnership
- Certificate of Formation from the SOS
- Certificate of Registration (if not formed in Texas for authority to transact business in Texas from the SOS)
- Certificate of Account Status from the Texas Comptroller of Public Accounts
- Any Certificate of Amendments to the original Certificate of Formation
- Limited Partnership Agreement
- Certificate of Assumed Business Name from the SOS
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)

# Provide Copies of Other, Documents (such as investment company)

## Ownership Disclosure Documents

- Fund Manager or Fund Advisor
- Documentation from the Securities Exchange Commission identifying the company as an Investment Fund/Company



## Business Entity Documents

- Investment Company documentation



# Provide Copies of Federal, State, County or City, Hospital Authority Documents

## Ownership Disclosure Documents

- All commissioners
- All associate or deputy commissioners



## Business Entity Documents

- Documents that authorized the formation of, and established the existence of, the governmental authority or hospital district/hospital authority (obtain from relevant source, such as city council, county commissioners court or state/federal legislative branch of government)
- By-laws or regulations of the applicable entity (governmental authority, hospital district authority, etc.), if by-laws or regulations exist
- Assumed Name Certificate from county in which business premises are maintained
- IRS letter issuing Taxpayer Identification Number (Form CP-575 or 147-C)

# Review

The application process requires additional documentation to accompany form 3720-P.

The business models reviewed are Sole Proprietorship; For-Profit; Non-Profit; Limited Liability; General Partnership; General Partnership Limited Liability; Limited Partnership; Other, Specify such as Investment Company; and Federal, State, County or City, Hospital Authority.

The two types of required documentation are ownership disclosure documents and business entity documents.



# Certificate of Completion: PPECC Licensing Application

**Congratulations! You have completed the course.**

Please print this certificate and enter the required information below, sign your certificate, and either mail or fax a copy of the printout with your license application to verify your successful completion.

Name  
Position  
Center Name  
DATE



*By signing in the space below, I attest that I am the person whose name appears on this certificate, and that I am the person who completed this CBT.*

X \_\_\_\_\_ (sign here)