



Ohio Administrative Code Rule 1301:18-3-05 Notice of Intent.

Effective: November 1, 2024

(A) Except as mandated under rules 1301:18-3-06 and 1301:18-3-07 of the Administrative Code, a licensee may modify its ownership, financial interest, or control without prior approval by the division.

(B) Prior to entering into any agreement, a licensee shall provide written notice to the division of its intent to create or modify the following:

(1) Licensee's ownership list and capitalization table as outlined under paragraph (A)(1) of rule 1301:18-3-04 of the Administrative Code;

(2) Licensee's organizational chart identifying all owners, officers, and board members of the applicant as outlined under paragraph (A)(2) of rule 1301:18-3-04 of the Administrative Code;

(3) The list of any person with a direct or indirect financial interest in, the licensee as outlined under paragraph (A)(5) of rule 1301:18-3-04 of the Administrative Code;

(4) The list of any person with direct or indirect control over, the licensee as outlined under paragraph (A)(6) of rule 1301:18-3-04 of the Administrative Code;

(5) The list of any of the following regardless of whether they meet the definition of ownership, financial interest, or control:

(a) Option agreement, debt conversion, or other agreement which creates a current or future right in equity in the applicant.

(b) Disclosure pursuant to this rule is mandatory regardless of whether such modification is contingent upon certain acts or omissions.



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(C) Each licensee shall submit to the division any accompanying documentation evidencing any modification as outlined under this rule.