

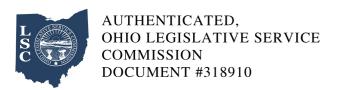
Ohio Administrative Code

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.



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