

WILLIAM W. ASHBY, D.D.S.
DIANA TRAN, D.D.S.

3810 LA CRESCENTA AVENUE
LA CRESCENTA, CA 91214
(818) 249 - 6171

Our Commitment to You

Commitment to treat:

Our office believes that all treatment should be completed. We will deliver the best care that we are capable of delivering and ask that the patient care for their dental health on a daily basis. Incomplete treatment leads to unnecessary problems, complications and advanced disease, which may add cost and breakdown in communication between patient and doctor. We believe that patients want as little dentistry done in their lifetime.

Commitment to Appointment:

Our office will reserve for the patient and give the patient the utmost attention and care. An appointment is a bond of trust that our team will be here to serve the patient and will be on time and prepared for their appointment.

Commitment to Financial Consideration:

We believe that we have a responsibility to use our best professional care, skills and judgment in assisting the patient to achieve their dental health goals. In return for our commitment to our patients we ask that they accept their financial responsibilities.

We look forward to working with you.

Dr. Ashby, Dr. Tran & Staff

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Patient Information (confidential)

Patient ID # _____
SS# _____
Date _____

Name _____ Birthdate _____ Home Phone _____

Address _____ City _____ State _____ Zip _____

Email _____ Work Phone _____ Cell Phone _____

Check Appropriate Boxes: Male Female Minor Single Married Divorced Widowed Separated

If Student, Name of School/College _____ City _____ part-time full-time

Patient's or Guardian's Employer _____ Work Phone _____

Business Address _____ City _____ State _____ Zip _____

Spouse or Guardian's Name _____ Employer _____ Work Phone _____

Whom May We Thank for Referring You? _____

Person to contact in case of emergency _____ Phone _____

Responsible Party

is this person currently patient in our office? Yes No

Name of Person Responsible for this account _____ Relation to Patient _____

Address _____ Home Phone _____

Email _____ Cell Phone _____

Driver's License # _____ Birthdate _____

Employer _____ Work Phone _____ SS# _____

Dental Insurance Information

Name of Insured _____ Relation to Patient _____

Birthdate _____ SS# _____ Email _____

Name of Employer _____ Work Phone _____

Address of Employer _____ City _____ State _____ Zip _____

Insurance Company _____ Group# _____ ID# _____

Ins. Co. Address _____ City _____ State _____ Zip _____

Do you have any additional insurance? Yes No (if yes, complete the following below)

Name of Insured _____ Relation to Patient _____

Birthdate _____ SS# _____ Email _____

Name of Employer _____ Work Phone _____

Address of Employer _____ City _____ State _____ Zip _____

Insurance Company _____ Group# _____ ID# _____

Ins. Co. Address _____ City _____ State _____ Zip _____

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Patient Medical History

Physician _____
Office Phone _____
Date of Last Exam _____

- | | | YES | NO |
|--|--------------------------|--------------------------|--------------------------|
| 1. Are you under medical treatment now?..... | <input type="checkbox"/> | | <input type="checkbox"/> |
| 2. Have you ever been hospitalized for any surgical operation/serious illness within the last 5 years?
If yes, please explain _____ | <input type="checkbox"/> | | <input type="checkbox"/> |
| 3. Are you taking any medication(s) including non-prescription medicine?
If yes, what medication(s) are you taking? _____ | <input type="checkbox"/> | | <input type="checkbox"/> |
| 4. Have you ever taken Fen-Phen/Redux? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 5. Do you use tobacco? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 6. Do you use controlled substances? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 7. Are you wearing contact lenses? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 8. Are you under the care of a psychiatrist? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 9. Do you have or have you had any of the following? | | | |
| High Blood Pressure | <input type="checkbox"/> | Yes | No |
| Heart Attack | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Rheumatic Fever | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Swollen Ankles | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Fainting/Seizures | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Asthma | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Low Blood Pressure | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Epilepsy/Convulsions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Leukemia | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Sexually Transmitted (STD) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Kidney Disease | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AIDS or HIV Infection | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Obstructive Sleep Apnea | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Cardiac Arrhythmias/
Irregular Heart Rhythm | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Cardiac Pacemaker | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Heart Murmur | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Frequently Tired | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Anemia | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Emphysema | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Cancer | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Arthritis | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Joint Replacement/Implant | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Hepatitis/Jaundice | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Diabetes | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Stomach Troubles/Ulcers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Osteoporosis | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Chest Pains/Angina | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Mitral Valve Prolapse/
Leaky Heart Valve | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Easily Winded | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Stroke | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Hay Fever/Allergies | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Tuberculosis | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Radiation Therapy | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Glaucoma | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Recent Weight Loss | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Liver Disease | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Heart Trouble | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Respiratory Problems | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Thyroid Problem | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Heart Disease | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Bleeding Disorder | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | YES | NO |
| 10. Have you ever had difficulties with general anesthesia or sedation? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 11. Are you allergic to or have you had any reactions to the following? | | | |
| Local Anesthetics (e.g. Novocain)..... | <input type="checkbox"/> | | <input type="checkbox"/> |
| Penicillin or other Antibiotics | <input type="checkbox"/> | | <input type="checkbox"/> |
| Sulfa Drugs | <input type="checkbox"/> | | <input type="checkbox"/> |
| Barbiturates | <input type="checkbox"/> | | <input type="checkbox"/> |
| Sedatives | <input type="checkbox"/> | | <input type="checkbox"/> |
| Iodine | <input type="checkbox"/> | | <input type="checkbox"/> |
| Aspirin | <input type="checkbox"/> | | <input type="checkbox"/> |
| Any Metals (e.g. nickel, mercury, etc.) | <input type="checkbox"/> | | <input type="checkbox"/> |
| Latex (rubber) | <input type="checkbox"/> | | <input type="checkbox"/> |
| Other (please list) _____ | <input type="checkbox"/> | | <input type="checkbox"/> |
| 12. Do you have a persistent cough/throat clearing not associated with a known illness (lasting more than 3 weeks)? | <input type="checkbox"/> | | <input type="checkbox"/> |
| 13. Women only: | | | |
| a) Are you pregnant or think you may be pregnant? | <input type="checkbox"/> | | <input type="checkbox"/> |
| b) Are you nursing? | <input type="checkbox"/> | | <input type="checkbox"/> |
| c) Are you taking oral contraceptives? | <input type="checkbox"/> | | <input type="checkbox"/> |

OFFICE USE ONLY

BP _____ Pulse _____ O2Sat _____ EKG _____

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Patient Dental History

DIANA TRAN, D.D.S.

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Name of Previous Dentist _____
Office Phone or Location _____
Date of Last Exam _____

	YES	NO
1. Do your gums bleed while brushing or flossing?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are your teeth sensitive to hot or cold liquids/foods?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are your teeth sensitive to sweet or sour liquids/foods?	<input type="checkbox"/>	<input type="checkbox"/>
4. Do you feel pain to any of your teeth?	<input type="checkbox"/>	<input type="checkbox"/>
5. Do you have any sores or lumps in or near your mouth?	<input type="checkbox"/>	<input type="checkbox"/>
6. Have you had any head, neck or jaw injuries?	<input type="checkbox"/>	<input type="checkbox"/>
7. Have you ever experienced any of the following problems in your jaw?		
a. Clicking?.....	<input type="checkbox"/>	<input type="checkbox"/>
b. Pain (joint, ear or side of face)?	<input type="checkbox"/>	<input type="checkbox"/>
c. Difficulty in opening or closing?	<input type="checkbox"/>	<input type="checkbox"/>
d. Difficulty in chewing?	<input type="checkbox"/>	<input type="checkbox"/>
8. Do you have frequent headaches?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do you clench or grind your teeth?	<input type="checkbox"/>	<input type="checkbox"/>
10. Do you bite your lips or cheeks frequently?	<input type="checkbox"/>	<input type="checkbox"/>
11. Have you ever had any difficult extractions in the past?	<input type="checkbox"/>	<input type="checkbox"/>
12. Have you ever had any prolonged bleeding following extractions?	<input type="checkbox"/>	<input type="checkbox"/>
13. Have you had an orthodontic treatment?	<input type="checkbox"/>	<input type="checkbox"/>
14. Do you wear dentures or partials?	<input type="checkbox"/>	<input type="checkbox"/>
If yes, what was the date of placement? _____		
15. Do you like your smile?	<input type="checkbox"/>	<input type="checkbox"/>

Consent for Services

As a condition of your treatment by this office, financial arrangements must be made in advance. The practice depends upon reimbursement from the patients for the costs incurred in their care and financial responsibility on the part of each patient must be determined before treatment. All emergency dental services, or any dental services preformed without previous financial arrangements, must be paid for in cash at the time services are preformed.

Patients who carry dental insurance understand that all dental services furnished are charged directly to the patient and that he or she is personally responsible for payment of all dental services. This office will help prepare the patient's insurance forms or assist in making collections from insurance companies and will credit any such collections to the patients account. However, this dental office cannot render services on the assumption that our charges will be paid by the insurance companies. I understand that the fee estimated listed for this dental care can only be extended for a period of six months from the date of the patient examination.

In consideration for the professional services rendered to me or at my request, by the doctor, I agree to pay therefore the value of said services to said doctor, or his assignee, at the time said services are rendered, or within five (5) days of billing if credit shall be extended. I further agree that the value of said services shall be as billed unless objected to by me, in writing, within the time for payment thereof. I further agree that a waiver of any breach of any time or condition hereunder shall not constitute a waiver of any further term or condition and I further agree to pay all costs and reasonable attorney fees if suit be instituted hereunder.

I grant my permission to you or your assignee, to telephone me at home or work to discuss matters related to this form. I have read the above conditions of treatment and payment and agree to their content.

Signature of patient/guardian	Date	Relationship to patient
Signature of responsible party/guarantor	Date	Relationship to patient

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Welcome! This letter is to acquaint our new patients with our general office policies to help avoid any misunderstandings. Our responsibilities are to you as our patient. We practice preventive dentistry and stress the importance of regular care to help you in your goal to achieve and maintain excellent dental health.

Insurance Patients: If you have dental insurance, it is your responsibility to bring a completed and signed form with you. We will file insurance claims as a courtesy to our patient. Remember that your insurance contract is between you and your insurer. It is your responsibility to be aware of insurance available for each treatment, any specific clauses stated in your policy, and deductibles and waiting periods. Insured patients should be prepared to pay their co-pay and/or deductible at time of service. If your insurance company pays only part of your bill or rejects your claim, you are financially responsible for the balance and the balance will be due upon receipt of your statement. It is also your responsibility to make sure that we are a listed provider with your insurance company.

Patients with no Insurance: Patients with no insurance are required to pay for their treatment in full at the time of service, unless other prior arrangements are made.

Payment: We honor Visa, MasterCard, Cash and Personal Checks with proper identification. Checks written with insufficient amount will have accounts *billed a service charge* for each bad check. Statements will be sent out on a monthly basis.

Delinquent Accounts: Any fees, such as Attorney's fees, collection agency fees and court costs incurred as a result of overdue accounts will be the patient's complete financial responsibility.

We try to see our patients as promptly as possible. However, there are times when emergencies and/or surgeries may arise causing unavoidable delays.

We ask that our patients please give us at least 48 hour notice when canceling an appointment. These times are reserved for you. Failure to give notice will result in a broken appointment charge.

Our goal is to make your appointment as comfortable, safe and pleasant as possible. If you should have any questions or suggestions, please feel free to discuss them with our doctor and staff.

By signing on the line below I am stating that I have read or have had it read to me and I understand my
responsibilities listed in the above policies.

Patient or Guardian's Signature

Date

WILLIAM W. ASHBY, D.D.S.

DIANA TRAN, D.D.S.

NOTICE OF PRIVACY PRACTICES

THIS NOTICE DESCRIBES HOW HEALTH INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION.

PLEASE REVIEW IT CAREFULLY.

THE PRIVACY OF YOUR HEALTH INFORMATION IS IMPORTANT TO US.

OUR LEGAL DUTY

We are required by applicable federal and state law to maintain the privacy of your health information. We are also required to give you this Notice about our privacy practices, our legal duties, and your rights concerning your health information. We must follow the privacy practices that are described in this Notice while it is effect. This Notice takes effect (April 1, 2003), and will remain in effect until we replace it.

We reserve the right to change our privacy practices and the terms of this Notice at any time, provided such changes are permitted by applicable law. We reserve the right to make the changes in our privacy practices and the new terms of our Notice effective for all health information that we maintain, including health information we created or received before we made the changes. Before we make a significant change in our privacy practices, we will change this Notice and make the new Notice available upon request.

You may request a copy of our Notice at any time. For more information about our privacy practices, or for additional copies of this Notice, please contact us using the information listed at the end of this Notice.

USES AND DISCLOSURES OF HEALTH INFORMATION

We use and disclose health information about you for treatment, payment, and healthcare operations. For example:

Treatment: We may use or disclose your health information to a physician or other health care provider providing treatment to you.

Payment: We may use and disclose your health information to obtain payment for services we provide to you.

Healthcare Operations: We may use and disclose your health information in connection with our healthcare operations. Healthcare operations include quality assessment and improvement activities, reviewing the competence or qualifications of health care professionals, evaluating practitioners and provider performance, conducting training programs, accreditation, certification, licensing or credentialing activities.

Your Authorization: In addition to our use of your health information for treatment, payment or healthcare operations, you may give us written authorization to use your health information or to disclose it to anyone for any purpose. If you give us an authorization, you may revoke it in writing at any time. Your revocation will not affect any use or disclosures permitted by your authorization while it was in effect. Unless you give us a written authorization, we cannot use or disclosure your health information for any reason except those described in this Notice.

To Your Family and Friends: We must disclose your health information to you, as described in the Patient Rights section of this Notice. We may disclose your health information to a family member, friend or other person to the extent necessary to help with your healthcare or with payment for your healthcare, but only if you agree that we may do so.

Persons Involved In Care: We may use or disclose health information to notify, or assist in the notification of (including identifying or locating) a family member, your personal representative or another person responsible for your care, or your location, your general condition, or death. If you are present, then prior to use or disclosure of your health information, we will provide you with the opportunity to object to such uses or disclosures. In the event of your incapacity or emergency circumstances, we will disclose health information based on a determination using our professional judgment disclosing only health information that is directly relevant to the person's involvement in your healthcare. We will also use our professional judgment and our experience with common practice to make reasonable inferences of your best interest in allowing a person to pick up filled prescriptions, medical supplies, x-rays, or other forms of health information.

Marketing Health-Related Services: We will not use your health information for marketing communications without your written authorization.

Required by Law: We may use or disclose your health information when we are required to do so by law.

Abuse or Neglect: We may disclose your health information to appropriate authorities if we reasonably believe that you are a possible victim of abuse, neglect, or domestic violence or the possible victim of other crimes. We may disclose your health information to the extent necessary to avert a serious threat to your health or safety of the health or safety of others.

National Security: We may disclose to military authorities the health information of Armed Forces personal under certain circumstances. We may disclose to authorized federal officials health information required for lawful intelligence, counterintelligence, and other national security activities. We may disclose to correctional institution or law enforcement official having lawful custody of protected health information of inmate or patient under certain circumstances.

Appointment Reminders: We may use or disclose your health information to provide with appointment reminders (such as voice mail messages, postcard, or letters).

PATIENT RIGHTS

Access: You have the right to look at or get copies of your health information, with limited exceptions. You may request that we provide copies in a format other than photocopies. We will use the format you request unless we cannot practicably do so. You must make a request in writing to obtain access to your health information. You may obtain a form to request access to by using the contact information listed at the end of this Notice. We will charge you a reasonable cost-based free for expenses such as copies and staff time. You may also request access by sending us a letter to the address at the end of this Notice. If you request x-rays, we will charge you \$10.00 to have them duplicated.

Disclosure Accounting: You have the right to receive a list of instances in which we or our business associates disclosed your health information for purposes, other than treatment, payment, healthcare operations and certain other activities, for the last 6 years, but not before April 14, 2003. If you request this accounting more than once in a 12-month period, we may charge you a reasonable, cost-based fee for responding to these additional requests.

Restriction: You have the right to request that we place additional restrictions on our use or disclosure of your health information. We are not required to agree to these additional restrictions, but if we do, we will abide by our agreement (except in an emergency).

Alternative Communication: You have the right to request that we communicate with you about your health information by alternative means or to alternative locations. **(You must make your request in writing.)** Your request must specify the alternative means or location, and provide satisfactory explanation how payments will be handled under the alternative means or location you request.

Amendment: You have the right to request that we amend your health information. (Your request must be in writing, and it must explain why the information should be amended.) We may deny your request under certain circumstances.

Electronic Notice: If you receive this Notice on our website by electronic mail (e-mail), you are entitled to receive this Notice in written form.

QUESTIONS AND COMPLAINTS

If you want more information about our privacy practices or have questions or concerns, please contact us

If you are concerned that we have violated your privacy rights, or you disagree with a decision we made about access to your health information or in response to a request you made to amend or restrict the use or disclosure of your health information or to have us communicate with you by alternative means or at alternative locations, you may complain to us using the contact information listed at the end of this Notice. You also may submit a written complaint to the U.S. Department of Health and Human Services. We will provide you with the address to file your complaint with the U.S. Department of Health and Human Services upon request.

We support your right to the privacy of your health information. We will not retaliate in any way if you choose to file a complaint with us or with the U.S. Department of Health and Human Services.

Contact Officer: Jo Behm
Telephone: (818) 249-6171 / Fax: (818) 249-0231
Address: 3810 La Crescenta Ave. La Crescenta, CA 91214

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HIPAA OMNIBUS RULE

PATIENT ACKNOWLEDGE OF RECEIPT OF NOTICE OF PRIVACY PRACTICES AND CONSENT/LIMITED
AUTHORIZATION AND RELEASE FORM

You may refuse to sign this acknowledgement & authorization. In refusing we may not be allowed to process your insurance claims.

Date: _____

This undersigned acknowledges receipt of a copy of the currently effective Notice of Privacy Practices for this healthcare facility. A copy of this signed dated document shall be effective as the original. **MY SIGNATURE WILL ALSO SERVE AS A PHI DOCUMENT RELEASE SHOULD I REQUEST TREATMENT OF RADIOGRAPHS BE SENT TO OTHER ATTENDING DOCTOR OR FACILITIES IN THE FUTURE.**

Please PRINT name of PATIENT

Please SIGN for Patient/Guardian of Patient

Legal Representative/Guardian

Relationship of Legal Representative/Guardian

Please list any other parties who can have access to your health information: (this includes step-parents, grandparents and caretakers who can have access to patient's records)

Name: _____

Relationship: _____

Name: _____

Relationship: _____

I AUTHORIZE CONTACT FROM THIS OFFICE TO CONFIRM MY APPOINTMENTS, TREATMENT AND BILLING INFORMATION VIA:

- | | |
|--|--|
| <input type="checkbox"/> Cell Phone Confirmation | <input type="checkbox"/> Text Message to my Cell Phone |
| <input type="checkbox"/> Home Phone Confirmation | <input type="checkbox"/> Email Confirmation |
| <input type="checkbox"/> Work Phone Confirmation | <input type="checkbox"/> Any of the Above |

I AUTHORIZE INFORMATION ABOUT MY CHILD'S HEALTH BE CONVEYED VIA:

- | | |
|--|--|
| <input type="checkbox"/> Cell Phone Confirmation | <input type="checkbox"/> Text Message to my Cell Phone |
| <input type="checkbox"/> Home Phone Confirmation | <input type="checkbox"/> Email Confirmation |
| <input type="checkbox"/> Work Phone Confirmation | <input type="checkbox"/> Any of the Above |

In signing this HIPAA Patient Acknowledgement Form you acknowledge and authorize, that this office may recommend products or services to promote your improved health. This office may or may not receive third party remuneration from these affiliated companies. We, under current HIPAA Omnibus Rule, provide you this information with your knowledge and consent.

Office Use Only

As Employee, I attempted to obtain the patients (or representatives) signature on this Acknowledgement but did not because:

- | | |
|--|--------------------------|
| It was emergency treatment | <input type="checkbox"/> |
| I could not communicate with the patient | <input type="checkbox"/> |
| The patient refused to sign | <input type="checkbox"/> |
| The patient was unable to sign because | <input type="checkbox"/> |
| Other (please describe) | <input type="checkbox"/> |

Signature of Employee