



Naugatuck Valley
Gastroenterology
Consultants, LLC
Naugatuck Valley
Endoscopy Center, LLC

Robert I. Leventhal, MD
Thomas A. Rockoff, MD
Anthony N. Schore, MD
Eileen Soto, MBA
Administrator

1312 West Main Street
Suite 101
Waterbury, CT 06708
166 Waterbury Road
Prospect, CT 06712
22 Old Waterbury Road
Southbury, CT 06488

203.756.6422 office
203.756.2448 facsimile
nvgastro@gmail.com
www.planetgi.com

FAX COVER SHEET



Date: 02/18/16
Sent To: Ms. Kimberly Martone
Fax Number: 860-418-7053
From: Robert Leventhal, MD

Message: To follow please find a CON determination form. The original will be mailed to your attention as well.

Thank you!

Total number of pages including cover sheet: 6

Notice: This information is released for your professional use and privileged. If the reader of this message is not the intended recipient, you are hereby notified that you have received this document in error and that any review, dissemination, copying of or distribution of this message is strictly prohibited. If you receive this message in error, please notify this office immediately by telephone and return the original fax by mail to N.V.G.C., 1312 West Main Street, Suite 101, Waterbury, CT 06708. Thank you.



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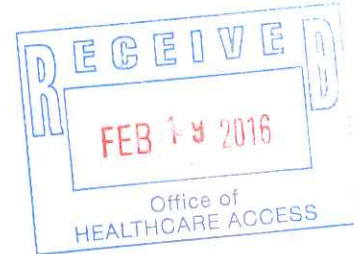
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February 18, 2016



VIA FACSIMILE AND U.S. MAIL

Ms. Kimberly Martone
Director of Operations
Office of Health Care Access
410 Capitol Avenue, MS#13HCA
P.O. Box 340308
Hartford, CT 06134-0308

Re: Naugatuck Valley Endoscopy Center, LLC - Change of Physician Ownership

Dear Ms. Martone:

Enclosed please find a CON Determination Form, Form 2020, being filed in connection with the planned change of physician ownership of Naugatuck Valley Endoscopy Center, LLC ("NVEC"). NVEC is a licensed outpatient surgical facility located at 1312 West Main Street, Suite 101, Waterbury, CT 06708. The details of the proposed change of ownership are described in the attached OHCA Form 2020.

Please do not hesitate to contact me at 203-756-6422 or bob.leventhal@gmail.com if you have any questions.

Sincerely,

Robert I. Leventhal, M.D.



State of Connecticut

**Office of Health Care Access
CON Determination Form
Form 2020**

All persons who are requesting a determination from OHCA as to whether a CON is required for their proposed project must complete this Form 2020. The completed form should be submitted to the Director of the Office of Health Care Access, 410 Capitol Avenue, MS#13HCA, P.O. Box 340308, Hartford, Connecticut 06134-0308.

SECTION I. PETITIONER INFORMATION

If this proposal has more than two Petitioners, please attach a separate sheet, supplying the same information for each Petitioner in the format presented in the following table.

	Petitioner	Petitioner
Full Legal Name	Naugatuck Valley Endoscopy Center, LLC	
Doing Business As	N/A	
Name of Parent Corporation	N/A	
Petitioner's Mailing Address, if Post Office (PO) Box, include a street mailing address for Certified Mail	1312 W. Main St., Ste. 101, Waterbury, CT 06708	
What is the Petitioner's Status: P for profit and NP for Nonprofit	P	
Contact Person at Facility, including Title/Position: This Individual at the facility will be the Petitioner's Designee to receive all correspondence in this matter.	Robert I. Leventhal, M.D., F.A.C.P., Medical Director	
Contact Person's Mailing Address, if PO Box, include a street mailing address for Certified Mail	1312 W. Main St., Ste. 101, Waterbury, CT 06708	
Contact Person's Telephone Number	203-756-6422	

Contact Person's Fax Number	203-756-2448	
Contact Person's e-mail Address	bob.leventhal@gmail.com	

SECTION II. GENERAL PROPOSAL INFORMATION

- a. Proposal/Project Title: Change of Physician Ownership
- b. Estimated Total Project Cost: \$ 2,500,000
- c. Location of proposal, identifying Street Address, Town and Zip Code: 1312 W. Main St., Suite 101, Waterbury, CT 06708
- d. List each town this project is intended to serve:
Ansonia, Beacon Falls, Bethany, Bridgewater, Cheshire, Litchfield, Middlebury, New Haven, Naugatuck, Oxford, Plymouth, Prospect, Roxbury, Seymour, Southbury, Southington, Thomaston, Torrington, Waterbury, Watertown, Wolcott, Woodbury. Naugatuck Valley Endoscopy Center, LLC will continue to serve the same towns in the service area after the admission of additional physician owners.
- e. Estimated starting date for the project: May of 2016

SECTION IV. PROPOSAL DESCRIPTION

Please provide a description of the proposed project, highlighting each of its important aspects, on at least one, but not more than two separate 8.5" X 11" sheets of paper. At a minimum each of the following elements need to be addressed, if applicable:

1. If applicable, identify the types of services currently provided and provide a copy of each Department of Public Health license held by the Petitioner.
2. Identify the types of services that are being proposed and what DPH licensure categories will be sought, if applicable.
3. Identify the current population served and the target population to be served.

PROPOSAL DESCRIPTION:

Naugatuck Valley Endoscopy Center, LLC (the "Company") operates a Connecticut-licensed outpatient surgical facility located at 1312 West Main Street, Suite 101, Waterbury, CT 06708 (the "Center"). The Company is currently owned exclusively by the following three Connecticut-licensed physicians: Robert I. Leventhal, M.D., F.A.C.P., Thomas A. Rockoff, M.D. and Anthony N. Schore, M.D. ("Members").

The Members wish to reorganize the Company to allow for additional physicians to become owners. The Members intend to allow additional ownership interests in the Company by selling ownership interests in the Company to other physician investors. Each of the additional physician investors will be duly licensed to practice in the State of Connecticut. For reasons of confidentiality, these physician investors prefer to remain anonymous at the present time.

As part of this transaction, a minority ownership interest in the Company will also be sold to Merritt Healthcare Holdings Waterbury, LLC ("Merritt"), which will act as the third party management firm for the Center. Each of the physicians will hold his or her membership interests in the Company individually or through an entity which the physician member controls. The interests of Merritt may be held by Merritt or an entity owned by persons who are owners in Merritt and involved in the management of the Center. Upon the admission of new investors, physicians will continue to own and control well in excess of a sixty percent (60%) membership interest in the Company.

Currently, the Members perform endoscopy and colonoscopy procedures at the Center. After the transaction, the Center will be renovated to accommodate other surgical specialties and will continue to serve the same patient population as described in Section II(d) above.

Based on the foregoing, the Company requests that OHCA make a determination that, in accordance with Section 19a-493b(c) of the Connecticut General Statutes, a Certificate of Need is not required for the transaction contemplated by this proposal. Specifically, prior to any transfer or change of ownership or control, the Company is owned and controlled exclusively by Connecticut-licensed physicians, and after the transaction described above, Connecticut-licensed physicians shall own and control no less than a 60% interest in the Company.

SECTION V. AFFIDAVIT

(Each Petitioner must submit a completed Affidavit.)

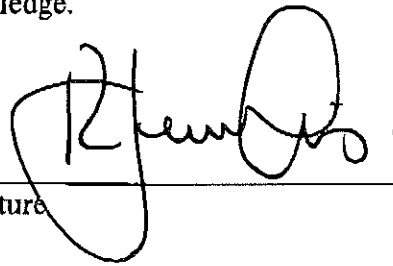
Petitioner: Naugatuck Valley Endoscopy Center, LLC

Project Title: Change of Physician Ownership

I, Robert I. Leventhal, M.D., Medical Director
(Name) (Position – CEO or CFO)

of Naugatuck Valley Endoscopy Center, LLC being duly sworn, depose and state that the
(Organization Name)

information provided in this CON Determination form is true and accurate to the best of my
knowledge.

 2.18.16
Signature Date

Subscribed and sworn to before me on February 18, 2016

Eileen S. Paradis
Notary Public/Commissioner of Superior Court

My commission expires: 03/31/2016

EILEEN S. PARADIS
NOTARY PUBLIC OF CONNECTICUT
My Commission Expires 3/31/2016



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February 18, 2016

VIA FACSIMILE AND U.S. MAIL

Ms. Kimberly Martone
Director of Operations
Office of Health Care Access
410 Capitol Avenue, MS#13HCA
P.O. Box 340308
Hartford, CT 06134-0308

Re: Naugatuck Valley Endoscopy Center, LLC - Change of Physician Ownership

Dear Ms. Martone:

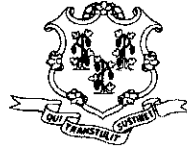
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Please do not hesitate to contact me at 203-756-6422 or bob.leventhal@gmail.com if you have any questions.

Sincerely,

Robert I. Leventhal, M.D.

State of Connecticut



Office of Health Care Access
CON Determination Form
Form 2020

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If this proposal has more than two Petitioners, please attach a separate sheet, supplying the same information for each Petitioner in the format presented in the following table.

	Petitioner	Petitioner
Full Legal Name	Naugatuck Valley Endoscopy Center, LLC	
Doing Business As	N/A	
Name of Parent Corporation	N/A	
Petitioner's Mailing Address, if Post Office (PO) Box, include a street mailing address for Certified Mail	1312 W. Main St., Ste. 101, Waterbury, CT 06708	
What is the Petitioner's Status: P for profit and NP for Nonprofit	P	
Contact Person at Facility , including Title/Position: This Individual at the facility will be the Petitioner's Designee to receive all correspondence in this matter.	Robert I. Leventhal, M.D., F.A.C.P., Medical Director	
Contact Person's Mailing Address, if PO Box, include a street mailing address for Certified Mail	1312 W. Main St., Ste. 101, Waterbury, CT 06708	
Contact Person's Telephone Number	203-756-6422	

Contact Person's Fax Number	203-756-2448	
Contact Person's e-mail Address	bob.leventhal@gmail.com	

SECTION II. GENERAL PROPOSAL INFORMATION

- a. Proposal/Project Title: Change of Physician Ownership
- b. Estimated Total Project Cost: \$ 2,500,000
- c. Location of proposal, identifying Street Address, Town and Zip Code: 1312 W. Main St., Suite 101, Waterbury, CT 06708
- d. List each town this project is intended to serve:
Ansonia, Beacon Falls, Bethany, Bridgewater, Cheshire, Litchfield, Middlebury, New Haven, Naugatuck, Oxford, Plymouth, Prospect, Roxbury, Seymour, Southbury, Southington, Thomaston, Torrington, Waterbury, Watertown, Wolcott, Woodbury. Naugatuck Valley Endoscopy Center, LLC will continue to serve the same towns in the service area after the admission of additional physician owners.
- e. Estimated starting date for the project: May of 2016

SECTION IV. PROPOSAL DESCRIPTION

Please provide a description of the proposed project, highlighting each of its important aspects, on at least one, but not more than two separate 8.5" X 11" sheets of paper. At a minimum each of the following elements need to be addressed, if applicable:

1. If applicable, identify the types of services currently provided and provide a copy of each Department of Public Health license held by the Petitioner.
2. Identify the types of services that are being proposed and what DPH licensure categories will be sought, if applicable.
3. Identify the current population served and the target population to be served.

PROPOSAL DESCRIPTION:

Naugatuck Valley Endoscopy Center, LLC (the "Company") operates a Connecticut-licensed outpatient surgical facility located at 1312 West Main Street, Suite 101, Waterbury, CT 06708 (the "Center"). The Company is currently owned exclusively by the following three Connecticut-licensed physicians: Robert I. Leventhal, M.D., F.A.C.P., Thomas A. Rockoff, M.D. and Anthony N. Schore, M.D. ("Members").

The Members wish to reorganize the Company to allow for additional physicians to become owners. The Members intend to allow additional ownership interests in the Company by selling ownership interests in the Company to other physician investors. Each of the additional physician investors will be duly licensed to practice in the State of Connecticut. For reasons of confidentiality, these physician investors prefer to remain anonymous at the present time.

As part of this transaction, a minority ownership interest in the Company will also be sold to Merritt Healthcare Holdings Waterbury, LLC ("Merritt"), which will act as the third party management firm for the Center. Each of the physicians will hold his or her membership interests in the Company individually or through an entity which the physician member controls. The interests of Merritt may be held by Merritt or an entity owned by persons who are owners in Merritt and involved in the management of the Center. Upon the admission of new investors, physicians will continue to own and control well in excess of a sixty percent (60%) membership interest in the Company.

Currently, the Members perform endoscopy and colonoscopy procedures at the Center. After the transaction, the Center will be renovated to accommodate other surgical specialties and will continue to serve the same patient population as described in Section II(d) above.

Based on the foregoing, the Company requests that OHCA make a determination that, in accordance with Section 19a-493b(c) of the Connecticut General Statutes, a Certificate of Need is not required for the transaction contemplated by this proposal. Specifically, prior to any transfer or change of ownership or control, the Company is owned and controlled exclusively by Connecticut-licensed physicians, and after the transaction described above, Connecticut-licensed physicians shall own and control no less than a 60% interest in the Company.

SECTION V. AFFIDAVIT

(Each Petitioner must submit a completed Affidavit.)

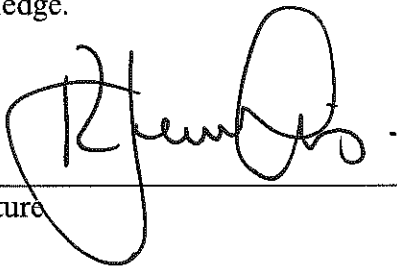
Petitioner: Naugatuck Valley Endoscopy Center, LLC

Project Title: Change of Physician Ownership

I, Robert I. Leventhal, M.D., Medical Director
(Name) (Position – CEO or CFO)

of Naugatuck Valley Endoscopy Center, LLC being duly sworn, depose and state that the
(Organization Name)

information provided in this CON Determination form is true and accurate to the best of my
knowledge.



Signature

2.18.16

Date

Subscribed and sworn to before me on February 18, 2016

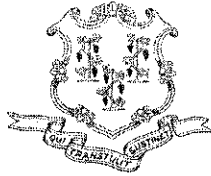


Notary Public/Commissioner of Superior Court

My commission expires: 03/31/2016

EILEEN S. PARADIS
NOTARY PUBLIC OF CONNECTICUT
My Commission Expires 3/31/2016

STATE OF CONNECTICUT
DEPARTMENT OF PUBLIC HEALTH



Raul Pino, M.D., M.P.H.
Commissioner

Dannel P. Malloy
Governor
Nancy Wyman
Lt. Governor

Office of Health Care Access

February 24, 2016

VIA FACSIMILE ONLY

Robert I. Levanthal, M.D., F.A.C.P.
Medical Director
Naugatuck Valley Endoscopy Center, LLC
1312 W. Main Street
Suite 101
Waterbury, CT 06708

RE: Certificate of Need Determination Report Number 16-32066-DTR
Addition of Physician Owners

Dear Dr. Levanthal:

On February 19, 2016, the Office of Health Care Access ("OHCA") received your Certificate of Need ("CON") Determination Form on behalf of Naugatuck Valley Endoscopy Center, LLC ("Petitioner") with respect to the addition of physician owners.

The Petitioner is a licensed outpatient surgical center located at 1312 W. Main Street, Suite 101, Waterbury, Connecticut. The Petitioner is currently owned and controlled exclusively by Robert I. Levanthal, M.D., F.A.C.P., Thomas A. Rockoff, M.D. and Anthony N. Schore, M.D.

The Petitioner seeks to reorganize so as to allow for the addition of new physician members. Each of the new physician members is duly licensed in the State of Connecticut. As part of the transaction, a minority ownership interest will be sold to Merritt Healthcare Holdings Waterbury, LLC, which will act as the third party management firm for the Petitioner. Upon admission of the new physician members, the physician members will continue to own and control well in excess of sixty percent (60%) membership interest in the facility.



Phone: (860) 418-7001 • Fax: (860) 418-7053
410 Capitol Avenue, MS#13HCA
Hartford, Connecticut 06134-0308
www.ct.gov/dph

Affirmative Action/Equal Opportunity Employer

Connecticut General Statutes § 19a-638(a)(2) requires a CON for the “transfer of ownership of a health care facility.” However, Connecticut General Statutes § 19a-493b(c) provides an exception for outpatient surgical facilities whose Connecticut licensed physician members will maintain a controlling 60% ownership after a transfer of interest in a facility. Since the physician members will maintain a 60% interest in the facility, OHCA hereby determines that a CON *is not required* for the proposed sale.

Sincerely,



Kimberly R. Martone
Director of Operations

C: Rose McLellan, License and Applications Supervisor, DPH, DHSR.

* * * COMMUNICATION RESULT REPORT (FEB. 24. 2016 10:26AM) * * *

FAX HEADER:

TRANSMITTED/STORED FILE MODE	: FEB. 24. 2016 10:25AM OPTION	ADDRESS	RESULT	PAGE
482	MEMORY TX	912037562448	OK	3/3

REASON FOR ERROR
 E-1) HANG UP OR LINE FAIL
 E-3) NO ANSWER

E-2) BUSY
 E-4) NO FACSIMILE CONNECTION



**STATE OF CONNECTICUT
 DEPARTMENT OF PUBLIC HEALTH
 OFFICE OF HEALTH CARE ACCESS**

FAX SHEET

TO: DR. ROBERT LEVENTHAL

FAX: 203 756-2448

AGENCY: NAUGATUCK VALLEY ENDOSCOPY CENTER, LLC

FROM: OHCA

DATE: 2/24/16 **Time:** _____

NUMBER OF PAGES: 3
(including transmittal sheet)

Comments:
 Please see attached determination for Report Number: 16-32066-DTR
 Addition of Physician Owners

PLEASE PHONE Barbara K. Olejarsz IF THERE ARE ANY TRANSMISSION PROBLEMS.

Phone: (860) 418-7001

Fax: (860) 418-7053

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 P.O.Box 340308
 Hartford, CT 06134