

**SCOTT NAWY D.D.S., M.A.\***  
**HUNT VALLEY ORTHODONTICS**  
**PRACTICE LIMITED TO ORTHODONTICS**

This initial consultation appointment is to determine whether or not orthodontic treatment is needed, at what age level would be most advantageous, and to give you some insight into orthodontic treatment. If treatment is required, this appointment may also be for the purpose of taking records consisting of x-rays, photographs, and study models. A second appointment will be necessary to confer with the parents of the child or with the adult patient. At this conference appointment, all aspects of the treatment are thoroughly discussed. If treatment is not indicated at this time, periodic observation appointments may be necessary to assess the proper timing for treatment.

Date: \_\_\_\_\_ **CONTACT EMAIL:** \_\_\_\_\_

Patient's Full Name \_\_\_\_\_ Sex M / F **Preferred Number** \_\_\_\_\_  
Age \_\_\_\_\_ Date of Birth \_\_\_\_\_ Sports/Hobbies \_\_\_\_\_  
Home Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Relatives or Friends in Treatment \_\_\_\_\_  
Family Dentist \_\_\_\_\_ Referred By \_\_\_\_\_  
Family Physician \_\_\_\_\_ Phone \_\_\_\_\_ Health Status \_\_\_\_\_  
Allergies \_\_\_\_\_  
Medications/Drugs Being Taken \_\_\_\_\_  
In Case of Emergency, Name and Phone Number of Nearest Relative/Friend \_\_\_\_\_  
Need for Antibiotic Prophylaxis for Heart Condition \_\_\_\_\_  
Additional Comments \_\_\_\_\_

**PATIENT'S PARENT INFORMATION (IF UNDER 18)**

Father's Name \_\_\_\_\_ Father's Business Phone \_\_\_\_\_  
Father's Occupation/Place of Employment \_\_\_\_\_ Father's SS # \_\_\_\_\_  
Mother's Name \_\_\_\_\_ Mother's Business Phone \_\_\_\_\_  
Mother's Occupation/Place of Employment \_\_\_\_\_ Mother's SS # \_\_\_\_\_

**RESPONSIBLE PARTY INFORMATION**

Name \_\_\_\_\_ Date of Birth \_\_\_\_\_  
Relationship to Patient \_\_\_\_\_ SS# \_\_\_\_\_  
Home Address \_\_\_\_\_ Home Phone \_\_\_\_\_  
Place of Employment \_\_\_\_\_ Is patient covered by **orthodontic** insurance? \_\_\_\_\_  
Name of Insurance company \_\_\_\_\_

**PLEASE READ:** In the event that an orthodontic problem exists, you will be counseled to have orthodontic records taken. These records usually consist of an intraoral scan, tooth and facial x-rays, photographs, and diagnostic measurements and tracings. The doctors use this information to diagnose the extent of the problem and to formulate a treatment plan. Our fee for treatment includes these records. HOWEVER, should you elect not to pursue treatment; depending on your insurance plan, you may be responsible for the cost of these records, as well as any collection fees incurred. Your signature below indicates that you are aware of this office policy.

\_\_\_\_\_  
**Signature (Parent's Signature if minor)**

\_\_\_\_\_  
**Please Print Name**

\*Diplomate, American Board of Orthodontics

Members, American Association of Orthodontics

## **Dental Insurance Carrier Information**

Primary Insurance Carrier Name \_\_\_\_\_ Phone \_\_\_\_\_  
Insurance Carrier Address \_\_\_\_\_  
Employer Name \_\_\_\_\_  
Policy ID # \_\_\_\_\_ Group # \_\_\_\_\_  
Name of Insured Party \_\_\_\_\_ SS# \_\_\_\_\_ Birth Date \_\_\_\_\_

Secondary Insurance Carrier Name \_\_\_\_\_ Phone \_\_\_\_\_  
Insurance Carrier Address \_\_\_\_\_  
Employer Name \_\_\_\_\_  
Policy ID # \_\_\_\_\_ Group # \_\_\_\_\_  
Name of Insured Party \_\_\_\_\_ SS# \_\_\_\_\_ Birth Date \_\_\_\_\_

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## **Dental History**

Date of most recent dental examination \_\_\_\_\_  
**Reason for this Orthodontic Appointment** \_\_\_\_\_

**Please circle Yes or No.** *Questions pertain to the patient being examined. The answers are for office records only and will be considered confidential. A thorough and complete history is vital to a proper orthodontic evaluation.*

Yes No Does the patient have any learning disabilities or need extra help with instructions?  
Yes No Is patient sensitive, self-conscious?  
Yes No Any problems with previous dental treatment? \_\_\_\_\_  
Yes No Ever been treated for "TMJ" problems? (Jaw joint and facial muscle pain?)  
Yes No Previous orthodontic treatment or consultation?  
Yes No Periodontal surgery or treatment?  
Yes No Clicking or soreness when mouth is open?  
Yes No Oral surgery?  
Yes No Teeth extracted or missing?  
Yes No Injuries to face, mouth or teeth?  
Yes No Grinding/clenching teeth?  
Yes No Sensitivity to heat, cold or sweets?  
Yes No Fluoride treatments?  
Yes No Speech therapy?  
Yes No Mouth breathing habit, snoring, difficulty in breathing?  
Yes No Difficulty in chewing or jaw opening?  
Yes No Jaw fractures, cysts, mouth infections?  
Yes No Frequent canker sores or cold sores?  
Yes No Thumb sucking habit? Until \_\_\_\_\_  
Other \_\_\_\_\_

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## **Medical History**

Yes	No	Birth defects or hereditary problems?
Yes	No	Bone fractures, any major accidents?
Yes	No	Is patient pregnant?
Yes	No	Rheumatoid or arthritic conditions?
Yes	No	Endocrine or thyroid problems?
Yes	No	Kidney problems?
Yes	No	Diabetes?
Yes	No	Cancer or been treated for a tumor?
Yes	No	Stomach ulcer or hyperacidity?
Yes	No	Polio, mono, tuberculosis, pneumonia?
Yes	No	Problems with immune system?
Yes	No	AIDS or HIV positive?
Yes	No	Hepatitis, jaundice or liver problems?
Yes	No	Fainting spells, seizures, epilepsy or neurologic problems?
Yes	No	Mental health or behavioral problems?
Yes	No	Vision, hearing, tasting or speech difficulties?
Yes	No	Loss of weight recently, poor appetite?
Yes	No	Excessive bleeding, black and blue tendency, anemia or bleeding disorder?
Yes	No	High or low blood pressure?
Yes	No	Tire easily?
Yes	No	Chest pain, shortness of breath or swelling ankles?
Yes	No	Cardiovascular problems (heart trouble, heart attack, angina?)
Yes	No	Skin disorder?
Yes	No	Frequent headaches, colds or sore throats?
Yes	No	Eye, ear, nose, throat, sinus condition?
Yes	No	Hayfever, hives?
Yes	No	Asthma?
Yes	No	Tonsil or adenoid conditions?
Yes	No	Patient currently have or ever had substance abuse problem?
Yes	No	Operations or surgeries? _____
Yes	No	Hospitalized for _____
Yes	No	Other physical problems or symptoms? _____
Yes	No	Being treated by another health care professional for _____
		_____

Please describe any other disease, condition, medical problems or other information that we should be aware of:

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I have read and understand the above questions and I certify that the above information I have given is true and complete to the best of my knowledge. I will not hold this orthodontist or any member of the staff responsible for any errors or omissions that I have made in the completion of this form. If there are any changes to this history record or medical/dental status, I will so inform this practice at each visit with any updates.

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**Signature of parent, guardian or adult patient**

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**Date**

## **PRIVACY NOTICE FOR HUNT VALLEY ORTHODONTICS**

THIS NOTICE DESCRIBES HOW MEDICAL INFORMATION ABOUT YOU MAY BE USED AND DISCLOSED AND HOW YOU CAN GET ACCESS TO THIS INFORMATION. PLEASE REVIEW IT CAREFULLY. YOUR PRIVACY IS IMPORTANT TO US.

Your protected health information (i.e. individually identifiable information, such as names, dates, phone/fax, email address, home address, social security numbers, and demographics data) may be used or disclosed by us in one or more of the following aspects:

- To other health care providers (i.e. general dentist, oral surgeon, etc.) in connection with our rendering orthodontic treatment to you (i.e., to determine the results of cleanings, surgery, etc.);
- To third party payers (i.e. insurance companies, employers with direct reimbursement, administrators of flexible spending accounts, third party financing companies, etc.) in order to obtain payment of your account (i.e. determine benefits, dates of payments, etc.);
- To certifying, licensing and accrediting bodies (i.e. The American Board of Orthodontics, state dental board, etc.) in connection with obtaining certification, licensure or accreditation,
- Internally, to all staff members who have any role in treatment,
- Education purposes,
- To other patients and third parties who may see or overhear incidental disclosures about your treatment, scheduling, etc.;
- To your family and close friends involved in your treatment, and/or
- We may contact you to provide appointment reminders or information about your treatment alternatives or other health-related benefits and services that may be of interest to you.

Any other uses or disclosures of your protected health information will be made only after obtaining written authorization, which you have the right to revoke.

X\_\_\_\_\_

Signature (Parent's signature if minor)

# INFORMED CONSENT

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## for the Orthodontic Patient

### Risks and Limitations of Orthodontic Treatment

Successful orthodontic treatment is a partnership between the orthodontist and the patient. The doctor and staff are dedicated to achieving the best possible result for each patient. As a general rule, informed and cooperative patients can achieve positive orthodontic results. While recognizing the benefits of a beautiful healthy smile, you should also be aware that, as with all healing arts, orthodontic treatment has limitations and potential risks. These are seldom serious

enough to indicate that you should not have treatment; however, all patients should seriously consider the option of no orthodontic treatment at all by accepting their present oral condition. Alternatives to orthodontic treatment vary with the individual's specific problem, and prosthetic solutions or limited orthodontic treatment may be considerations. You are encouraged to discuss alternatives with the doctor prior to beginning treatment.

Orthodontics and Dentofacial Orthopedics is the dental specialty that includes the diagnosis, prevention, interception and correction of malocclusion, as well as neuromuscular and skeletal abnormalities of the developing or mature orofacial structures.

An orthodontist is a dental specialist who has completed at least two additional years of graduate training in orthodontics at an accredited program after graduation from dental school.



American  
Association of  
Orthodontists®



## Results of Treatment

Orthodontic treatment usually proceeds as planned, and we intend to do everything possible to achieve the best results for every patient. However, we cannot guarantee that you will be completely satisfied with your results, nor can all complications or consequences be anticipated. The success of treatment depends on your cooperation in keeping appointments, maintaining good oral hygiene, avoiding loose or broken appliances, and following the orthodontist's instructions carefully.

## Length of Treatment

The length of treatment depends on a number of issues, including the severity of the problem, the patient's growth and the level of patient cooperation. The actual treatment time is usually close to the estimated treatment time, but treatment may be lengthened if, for example, unanticipated growth occurs, if there are habits affecting the dentofacial structures, if periodontal or other dental problems occur, or if patient cooperation is not adequate. Therefore, changes in the original treatment plan may become necessary. If treatment time is extended beyond the original estimate, additional fees may be assessed.

## Discomfort

The mouth is very sensitive so you can expect an adjustment period and some discomfort due to the introduction of orthodontic appliances. Non-prescription pain medication can be used during this adjustment period.

## Relapse

Completed orthodontic treatment does not guarantee perfectly straight teeth for the rest of your life. Retainers will be required to keep your teeth in their new positions as a result of your orthodontic treatment. You must wear your retainers as instructed or teeth may shift, in addition to other adverse effects. Regular retainer wear is often necessary for several years following orthodontic treatment. However, changes after that time can occur due to natural causes, including habits such as tongue thrusting, mouth breathing, and growth and maturation that continue throughout life. Later in life, most people will see their teeth shift. Minor irregularities, particularly in the lower front teeth, may have to be accepted. Some changes may require additional orthodontic treatment or, in some cases, surgery. Some situations may require non-removable retainers or other dental appliances made by your family dentist.

## Extractions

Some cases will require the removal of deciduous (baby) teeth or permanent teeth. There are additional risks associated with the removal of teeth which you should discuss with your family dentist or oral surgeon prior to the procedure.

## Orthognathic Surgery

Some patients have significant skeletal disharmonies which require orthodontic treatment in conjunction with orthognathic (dentofacial) surgery. There are additional risks associated with this surgery which you should discuss with your oral and/or maxillofacial surgeon prior to beginning orthodontic treatment. Please be aware

that orthodontic treatment prior to orthognathic surgery often only aligns the teeth within the individual dental arches. Therefore, patients discontinuing orthodontic treatment without completing the planned surgical procedures may have a malocclusion that is worse than when they began treatment!

## Decalcification and Dental Caries

Excellent oral hygiene is essential during orthodontic treatment as are regular visits to your family dentist. Inadequate or improper hygiene could result in cavities, discolored teeth, periodontal disease and/or decalcification. These same problems can occur without orthodontic treatment, but the risk is greater to an individual wearing braces or other appliances. These problems may be aggravated if the patient has not had the benefit of fluoridated water or its substitute, or if the patient consumes sweetened beverages or foods.

## Root Resorption

The roots of some patients' teeth become shorter (resorption) during orthodontic treatment. It is not known exactly what causes root resorption, nor is it possible to predict which patients will experience it. However, many patients have retained teeth throughout life with severely shortened roots. If resorption is detected during orthodontic treatment, your orthodontist may recommend a pause in treatment or the removal of the appliances prior to the completion of orthodontic treatment.

## Nerve Damage

A tooth that has been traumatized by an accident or deep decay may have experienced damage to the nerve of the tooth. Also, the nerve of a tooth may die for no apparent reason, and this is known as "spontaneous pulpal necrosis." Orthodontic tooth movement may, in some cases, aggravate these conditions and cause root canal treatment to be necessary. In severe cases, the tooth or teeth, may be lost.

## Periodontal Disease

Periodontal (gum and bone) disease can develop or worsen during orthodontic treatment due to many factors, but most often due to the lack of adequate oral hygiene. You must have your general dentist, or if indicated, a periodontist monitor your periodontal health during orthodontic treatment every three to six months. If periodontal problems cannot be controlled, orthodontic treatment may have to be discontinued prior to completion.

## Injury From Orthodontic Appliances

Activities or foods which could damage, loosen or dislodge orthodontic appliances need to be avoided. Loosened or damaged orthodontic appliances can be inhaled or swallowed or could cause other damage to the patient. You should inform your orthodontist of any unusual symptoms or of any loose or broken appliances as soon as they are noticed. Damage to the enamel of a tooth or to a restoration (crown, bonding, veneer, etc.) is possible when orthodontic appliances are removed. This problem may be more likely when esthetic (clear or tooth colored) appliances have been selected. If damage to a tooth or restoration occurs, restoration of the involved tooth/teeth by your dentist may be necessary.

## Headgear

Orthodontic headgear can cause injury to the patient. Injuries can include damage to the face or eyes. In the event of injury or especially an eye injury, however minor, immediate medical help should be sought. Refrain from wearing headgear in situations where there may be a chance that it could be dislodged or pulled off. Sports activities and games should be avoided when wearing orthodontic headgear.

## Temporomandibular (Jaw) Joint Dysfunction

Problems may occur in the jaw joints, i.e., temporomandibular joints (TMJ), causing pain, headaches or ear problems. Many factors can affect the health of the jaw joints, including past trauma (blows to the head or face), arthritis, hereditary tendency to jaw joint problems, excessive tooth grinding or clenching, poorly balanced bite, and many medical conditions. Jaw joint problems may occur with or without orthodontic treatment. Any jaw joint symptoms, including pain, jaw popping or difficulty opening or closing, should be promptly reported to the orthodontist. Treatment by other medical or dental specialists may be necessary.

## Impacted, Ankylosed, Unerupted Teeth

Teeth may become impacted (trapped below the bone or gums), ankylosed (fused to the bone) or just fail to erupt. Oftentimes, these conditions occur for no apparent reason and generally cannot be anticipated. Treatment of these conditions depends on the particular circumstance and the overall importance of the involved tooth, and may require extraction, surgical exposure, surgical transplantation or prosthetic replacement.

## Occlusal Adjustment

You can expect minimal imperfections in the way your teeth meet following the end of treatment. An occlusal equilibration procedure may be necessary, which is a grinding method used to fine-tune the occlusion. It may also be necessary to remove a small amount of enamel in between the teeth, thereby "flattening" surfaces in order to reduce the possibility of a relapse.

## Non-Ideal Results

Due to the wide variation in the size and shape of the teeth, missing teeth, etc., achievement of an ideal result (for example, complete closure of a space) may not be possible. Restorative dental treatment, such as esthetic bonding, crowns or bridges or periodontal therapy, may be indicated. You are encouraged to ask your orthodontist and family dentist about adjunctive care.

## Third Molars

As third molars (wisdom teeth) develop, your teeth may change alignment. Your dentist and/or orthodontist should monitor them in order to determine when and if the third molars need to be removed.

## Allergies

Occasionally, patients can be allergic to some of the component materials of their orthodontic appliances. This may require a change in treatment plan or discontinuance of treatment prior to completion. Although very uncommon, medical management of dental material allergies may be necessary.

*continued on next page*



Patient \_\_\_\_\_ Date \_\_\_\_\_

### Transmission of Disease

Although our orthodontic office is following the State and Federal regulations and recommended universal personal protection and disinfection protocols to prevent transmission of communicable disease, it is possible that they will not always be successful in blocking the transmission of a highly infectious virus. It is not possible to render orthodontic treatment with social distancing between the patient, orthodontist, assisting staff and sometimes, other patients. Knowing that you could be exposed to communicable diseases anywhere, by presenting yourself or your child for orthodontic treatment, you assume and accept the risk that you may inadvertently be exposed to a communicable disease in the orthodontic office.

## General Health Problems

General health problems such as bone, blood or endocrine disorders, and many prescription and non-prescription drugs (including bisphosphonates) can affect your orthodontic treatment. It is imperative that you inform your orthodontist of any changes in your general health status.

### Use of Tobacco Products

Smoking or chewing tobacco has been shown to increase the risk of gum disease and interferes with healing after oral surgery. Tobacco users are also more prone to oral cancer, gum recession, and delayed tooth movement during orthodontic treatment. If you use tobacco, you must carefully consider the possibility of a compromised orthodontic result.

## Temporary Anchorage Devices

Your treatment may include the use of a temporary anchorage device(s) (i.e. metal screw or plate attached to the bone.) There are specific risks associated with them.

It is possible that the screw(s) could become loose which would require its/their removal and possibly relocation or replacement with a larger screw. The screw and related material may be accidentally swallowed. If the device cannot be stabilized for an adequate length of time, an alternate treatment plan may be necessary.

It is possible that the tissue around the device could become inflamed or infected, or the soft tissue could grow over the device, which could also require its removal, surgical excision of the tissue and/or the use of antibiotics or antimicrobial rinses.

It is possible that the screws could break (i.e. upon insertion or removal.) If this occurs, the broken piece may be left in your mouth or may be surgically removed. This may require referral to another dental specialist.

When inserting the device(s), it is possible to damage the root of a tooth, a nerve, or to perforate the maxillary sinus. Usually these problems are not significant; however, additional dental or medical treatment may be necessary.

Local anesthetic may be used when these devices are inserted or removed, which also has risks. Please advise the doctor placing the device if you have had any difficulties with dental anesthetics in the past.

If any of the complications mentioned above do occur, a referral may be necessary to your family dentist or another dental or medical specialist for further treatment. Fees for these services are not included in the cost for orthodontic treatment.

## ACKNOWLEDGEMENT

I hereby acknowledge that I have read and fully understand the treatment considerations and risks presented in this form. I also understand that there may be other problems that occur less frequently than those presented, and that actual results may differ from the anticipated results. I also acknowledge that I have discussed this form with the undersigned orthodontist(s) and have been given the opportunity to ask any questions. I have been asked to make a choice about my treatment. I hereby consent to the treatment proposed and authorize the orthodontist(s) indicated below to provide the treatment. I also authorize the orthodontist(s) to provide my health care information to my other health care providers. I understand that my treatment fee covers only treatment provided by the orthodontist(s), and that treatment provided by other dental or medical professionals is not included in the fee for my orthodontic treatment.

Signature of Patient/Parent/Guardian \_\_\_\_\_ Date \_\_\_\_\_

Signature of Orthodontist/Group Name      Date

Witness	Date
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### CONSENT TO UNDERGO ORTHODONTIC TREATMENT

I hereby consent to the making of diagnostic records, including x-rays, before, during and following orthodontic treatment, and to the above doctor(s) and, where appropriate, staff providing orthodontic treatment prescribed by the above doctor(s) for the above individual. I fully understand all of the risks associated with the treatment.

**AUTHORIZATION FOR RELEASE  
OF PATIENT INFORMATION**

I hereby authorize the above doctor(s) to provide other health care providers with information regarding the above individual's orthodontic care as deemed appropriate. I understand that once released, the above doctor(s) and staff has(have) no responsibility for any further release by the individual receiving this information.

## TRANSFERRING PATIENT

Orthodontic treatments vary widely. Transfer will likely increase treatment fees, may involve changes in payment policies, and may change your treatment and/or appliances. When you transfer to a new orthodontist, your treatment time is often extended by the process of transfer.

## CONSENT TO USE OF RECORDS

I hereby give my permission for the use of orthodontic records, including photographs, made in the process of examinations, treatment, and retention for purposes of professional consultations, research, education, or publication in professional journals.

Signature	Date
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Witness \_\_\_\_\_ Date \_\_\_\_\_

I have the legal authority to sign this on behalf of

Name of Patient \_\_\_\_\_

Relationship to Patient

## Notes

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

Patient or Parent/Guardian Initials \_\_\_\_\_

DOCTOR'S COPY