

VIRGINIA LOTTERY
LICENSING and INVESTIGATIONS DIVISION



PROCEDURES MANUAL for CASINO SUPPLIER PERMIT
APPLICANTS (Contractors and Manufacturers)

GENERAL INFORMATION

This procedures manual is a reference guide for casino Contractors and Manufacturers applying for a supplier permit in the Commonwealth of Virginia. Contractors and Manufacturers as defined below both require a supplier permit to provide goods and services to a licensed casino facility operator in the Commonwealth of Virginia.

- **“Contractor”** means a person or individual, other than an employee of a facility operator, who contracts with a facility operator or other person to:
 1. Manage or operate a facility;
 2. Provide security for a facility;
 3. Perform service, maintenance, or repairs of a slot machine, mechanical casino game, table game device, central operating system, associated equipment, or software;
 4. Own or control a person described in #s 1 – 3 above;
 5. Provide junket enterprise services; or
 6. Provide any other service that is essential to operation of a casino gaming facility.

- **“Manufacturer”** means a person:
 1. That is engaged in the business of designing, building, constructing, assembling, manufacturing, or distributing a central monitor and control system, slot machines, associated equipment or software, mechanical casino games, or the cabinet in which a slot machine or mechanical casino game is housed;
 2. That produces a product that is intended for sale, lease, or other assignment to the Board or a licensee; and
 3. That contracts with the board, a licensee, or permit holder for the sale, lease, or other assignment of a product described in #1.

- **“Manufacturer”** also means a person:
 1. That is engaged in the business of designing, building, constructing, assembling, manufacturing, or distributing table games or table game equipment;
 2. That produces a product related to table games that is intended for sale, lease, or other assignment to a licensee or permit holder; and
 3. That contracts with a licensee or permit holder for the sale, lease, or other assignment of a product described in #1.

The Virginia Lottery (the “Department”) intends to provide applicants with guidance on using the Department’s online application process to complete your online application prior to submitting it to the Department for the appropriate due diligence. The applicant must designate a representative to complete the online application who will also be the point-of-contact for the Department. This person should serve in a role of a Compliance Office or similar as they will be handling confidential sensitive information for the supplier permit application as well as the associated Principal and Key Manager applications.

A Contractor or Manufacturer applying for a supplier permit shall, in conjunction with the Department, identify those associated individuals who meet the definition of a principal and key manager. These individuals will be required to complete the required principal /key manager

application. The account representative will be responsible for establishing accounts for the principals and key managers in the online application system and submitting the required documentation on behalf of these individuals. Applications must be submitted online via the Department's online portal, no exceptions can be made. The account representative should refer to the procedure manual for "Account Representatives" before contacting the Virginia Lottery's Gaming Licensing and Investigations Division at gaminglicensing@VALOTTERY.COM to complete the account representative designation process. The applicant's representative will then coordinate with the Department to obtain access to the online application system prior to initiating the application process.

The account representative will also provide each qualifier with the below documents that are required to be notarized and returned for the account representative to upload to the online application: **Authorization for Release of Information** and **Affidavit of Representative of Applicant**. These documents can also be found on pages 7 and 9 of this manual.

Once an application and all required supporting documents have been submitted, these items will become the property of the Department and will not be returned to the applicant. Applicants will not be able to make any changes to their applications within the automated system once the application has been submitted. The account representative will provide each applicant with the URL to access the online application system as well as a temporary password and username to sign in and begin the application process.

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FEES

When a Contractor or Manufacturer applicant for a supplier permit submits its application to the department, it shall send by wire transfer:

- a. A nonrefundable application fee of \$5,000; and
- b. A background investigation fee of \$50,000 per principal/key manager applicant.

NOTE: Fees are due at the time of application. Your fee shall be sent by wire or ACH as follows:

Wire payment to:

- **Virginia Lottery Account Number: 435029087446**
- **Name of the Account: Gaming License Fees**
- **Transit Routing Number: 026009593**

ACH Instructions:

- **Virginia Lottery Account Number: 435029087446**
- **Name of the Account: Gaming License Fees**
- **Transit Routing Number: 051000017**

TERM / RENEWAL

- Unless otherwise required by law, a permit shall be automatically renewed each year after the first year for four additional successive annual terms;
- **A permit holder shall submit to the department an annual permit fee of \$5,000 before the start of the next annual term;**
- The department need not conduct a new background investigation of the permit holder during the four renewal terms; and
- Every five years, a permit holder shall:
 1. Submit a renewal application six to three months before the expiration date of the permit term, and
 2. Pay any fees associated with the application and background investigation as directed by the department.

THE APPLICATION PROCESS

1. After accessing the online application system online portal, sign in using the username and temporary password provided by the account representative.
2. You will be prompted to change your password. Your new password must be 12 or more characters containing all the following: special character(s), alphabetical character(s), numerical character(s), upper case letter(s), **and** lowercase letter(s):

CHANGE PASSWORD

Use the form below to change your password.

Passwords must be at least 12 characters and meet the following criteria: at least 1 number, at least 1 lowercase letter, at least 1 uppercase letter, and only change by 1 character from previous passwords; and cannot be same as your username.

Account Information

Old Password:

New Password:

Confirm New Password:

3. Read the “Acknowledgement and Disclosure” form and click the button to acknowledge that you understand and agree to the terms within. If you aren’t clear on these terms, contact your account representative. You will not be able to proceed without acknowledging that you understand.
4. You will then be able to start entering information into your application. You must complete **every** section of the application prior to be able to submit it:

Virginia Lottery
Gaming
Licensing System

Home | Help | Log Out

The current progress on your Contractor application is listed below. If you have not yet started your application, click on the first section to begin. Once completed, click preview to print a copy of your application, then click the submit button to send your application in for review.

| Section | Progress |
|---|--------------------|
| Name, Address and Company Information | (0 of 12 Complete) |
| Business Background | (0 of 2 Complete) |
| Facility Agreement | (0 of 1 Complete) |
| Subsidiaries | (0 of 1 Complete) |
| Licenses | (0 of 1 Complete) |
| Employees | (0 of 1 Complete) |
| Directors, Partners, Officers and Trustees | (0 of 2 Complete) |
| Owners | (0 of 1 Complete) |
| Bankruptcy or Insolvency proceedings | (0 of 1 Complete) |
| Criminal, Investigatory, Litigations, and Regulatory Violations | (0 of 5 Complete) |

Every listed section must be completed and can be accessed by the hyperlink. You must complete all the sub-sections for each section prior to submitting your application.

- Simply follow the instructions when entering your information for each section. Use the “hold” button if you wish to complete the section later and you’ll be able to proceed to another section to complete. Be sure to save any data you enter first. Each required sub-section to complete is listed in the yellow field at the bottom of the page.

Virginia Lottery
Gaming Licensing System

Application On Hold

NAME OF APPLICANT

* As it is written on the Articles of Incorporation, By-Laws, Charter, partnership agreement or other official documents filed with a State or Federal Government.

*Name:

*Doing Business As (D/B/A) or Trade Name(s):

Save

Previous Next Hold Completed

Name Business Licensee Association Form of Organization Point-Of-Contact Principal Address Website Address Incorporation Documents Virginia SCC Compliance Incorporators Founders Other Names/Addresses Current Addresses Business Background Services Provided Applicant Facility Agreement Subsidiaries Licenses Employees Current Directors Former Directors Owners Bankruptcy Criminal Instructions Criminal History Investigations Litigation Violations

- When you get to the “Criminal Instructions” section of the application, click the instructions link and read the “Civil, Criminal, and Investigatory Proceedings” document prior to answering the questions in this section. You must acknowledge that you’ve read and understand the definitions in these instructions. If you do not understand, contact your account representative before proceeding:

Gaming Licensing System

Application On Hold

CRIMINAL HISTORY (Directors, Partners, Officers, Trustees and Owners)

Prior to answering these questions, carefully review the definitions and instructions: [Click Here for Instructions](#)

Have you read and understood the definitions and instructions? Yes

The Department will make inquiries to establish whether the identified individuals have had any involvement with law enforcement agencies. Failure to disclose any such involvement will be taken into account in assessing the Applicant's character, honesty and integrity.

Do you understand? Yes

Previous Next Hold Completed

- Once you’ve completed each section you will be able to preview your application prior to submitting it. Be sure your information is accurate and complete as you will not be able to make changes within the automated system once you submit it. You will be able to print a copy of your application for your records.

Virginia Lottery
Gaming
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The current progress on your Contractor application is listed below. If you have not yet started your application, click on the first section to begin. Or your application in for review.

| Section | Progress |
|---|-----------------------|
| Name, Address and Company Information | (12 of 12 Complete) ✓ |
| Business Background | (2 of 2 Complete) ✓ |
| Facility Agreement | (1 of 1 Complete) ✓ |
| Subsidiaries | (1 of 1 Complete) ✓ |
| Licenses | (1 of 1 Complete) ✓ |
| Employees | (1 of 1 Complete) ✓ |
| Directors, Partners, Officers and Trustees | (2 of 2 Complete) ✓ |
| Owners | (1 of 1 Complete) ✓ |
| Bankruptcy or Insolvency proceedings | (1 of 1 Complete) ✓ |
| Criminal, Investigatory, Litigations, and Regulatory Violations | (5 of 5 Complete) ✓ |

Preview Application Submit Application

Each section will have a check mark indicator once all subsections are completed.

You can preview and print your application before submitting it.

8. Your account representative will obtain all required supporting documents from you to submit to Virginia Lottery as part of the application process.



AUTHORIZATION FOR RELEASE OF INFORMATION

TO: _____

FROM: _____
(Printed Name of Applicant Entity)

I am the authorized representative of an Applicant for a casino supplier permit in the Commonwealth of Virginia.

The Virginia Lottery (“Department”) is required by law to conduct an investigation of an applicant for a supplier permit. That investigation requires the Department to collect and evaluate information about the entity that I represent. On behalf of the entity, I irrevocably give consent to the Department, and persons authorized by the Department, to: (1) verify all information provided in the license application documents; (2) conduct a background investigation of the entity; and to have access to any and all information that the entity has provided to any other jurisdiction seeking a similar license in that jurisdiction, as well as the information obtained by that other jurisdiction during the course of any investigation that it may have conducted about the entity.

By executing this Authorization, I authorize any of the following entities to release to the Department any and all information about the entity that the Department requests: local, State or federal government unit; commercial or business enterprise; non-profit entity; individual; or any other public or private entity. The requested information may be released in written, verbal, electronic, or any other form.

With respect to any claims or liability arising from the release of the requested information to the Department, on behalf of the entity, I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Department under the authority of this Authorization. Photo, facsimile, or electronic copy of this signed and dated Authorization shall be equally effective as an original.

Signature of Individual Completing Form

Date

Printed Name

Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above-named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Stamp or Seal

Printed Name

My commission expires _____, 20____



AFFIDAVIT OF REPRESENTATIVE OF APPLICANT

I, _____ (printed name), am authorized to complete and execute this Gaming Supplier License Application on behalf of _____ (printed name of Supplier). I am also authorized to provide all of the information requested as part of this application to the Virginia Lottery, its employees, agents, and vendors (collectively, “the Department”), and to make the representations set forth in this Affidavit.

I have read, and understand, every page of this Application. To the best of my knowledge, information, and belief, the information that I have provided as part of this application is accurate, complete, and not misleading. I understand that any misrepresentation or omission may lead to the delay or denial of an application for a license, or may result in the Department imposing sanctions against the Applicant, up to and including revocation of its license if it has been awarded or issued a license. I understand that any misrepresentation or omission on this Application may also subject me, or the Supplier that I represent, to civil or criminal liability. I understand and acknowledge that the Supplier has an ongoing duty to promptly notify the Department if any information it provides the Department changes.

By a separate Authorization for Release of Information, I am authorizing any entity or individual that has information about the Supplier that I represent, to release that information to the Department for purposes of its investigation of an applicant for a Supplier license.

On behalf of the Supplier and its successors and assigns, I expressly waive, release, discharge, and forever hold harmless and agree to indemnify, the Department, the Commonwealth of Virginia, and their employees, agents, and representatives, from liability for any and all claims or legal action arising from any actions that the Department or the Commonwealth of Virginia may take related to the collection of information from the Supplier and the use of that information in connection with investigating a Supplier.

SIGNATURE OF AUTHORIZED REPRESENTATIVE

DATE

PRINTED NAME OF AUTHORIZED REPRESENTATIVE

TITLE

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above-named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Printed Name

Stamp or Seal

My commission expires _____, 20____