



Virginia Lottery

600 East Main Street, Richmond, VA 21239

PRINCIPAL ENTITY DISCLOSURE FORM

Principal Entity:

License Applicant:

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SECTION A - IMPORTANT NOTICES

- A.1 This form is an official document of the Virginia Lottery (“Department”). This document is to be used for reference purposes only. Paper applications will not be accepted.**
- A.2** The burden of proving qualifications is at all times on the Principal Entity. The Principal Entity accepts any and all risk of adverse public notice, embarrassment, criticism, emotional distress or financial loss that may result from any action with respect to this application. The Principal Entity expressly waives any and all claims for damages as result thereof. Information not called for in this form or in addition to that which is provided in response to this form may be requested. The Principal Entity shall provide all information, documents, materials and certifications at the Principal Entity’s expense.
- A.3** The Principal Entity ***must*** make complete, accurate and truthful statements and include all material facts. Any misrepresentations, failure to provide any requested information, or failure to meet any other requirement as set out in law or regulation may result in the denial of the application; revocation of any license issued; and may subject the Principal Entity to civil and/or criminal penalties.
- A.4** The background investigation of the Principal Entity shall be conducted as part of the background investigation of the Gaming Applicant (“Applicant”).
- A.5** The Principal Entity is under a continuing duty to ***promptly*** disclose any changes in the information provided in the application, as well as all changes to any of the materials submitted at the request of the Department. The duty to make such additional disclosures shall continue throughout any period of the license that is granted by the Department.
- A.6** The Principal Entity shall ***promptly*** provide written notification to the Department of any corrections or changes to this application once submitted or to any of the materials submitted at the request of the Department.
- A.7** All notices regarding the application will be sent to the address and/or email address provided by the Principal Entity on this form. The Principal Entity must immediately notify the Department of any change of address.
- A.8** Any attempt by the Principal Entity to withdraw or retract this Disclosure Form may jeopardize the Applicant’s application, and the Principal Entity shall be solely responsible for the consequences of such action.
- A.9** All submissions with and for this application become the property of the Department and ***will not*** be returned.

SECTION B - INSTRUCTIONS

The instructions for this Disclosure Form apply to any Principal Entity of an Applicant for a gaming license.

- B.1** This Principal Entity Disclosure Form must be submitted for each Principal Entity of an Applicant for a gaming license that meets the definition of “Principal Entity” in the Consolidated Definitions. See Section C.
- B.2** Read each question carefully. Answer each and every question completely. **Do not leave blank spaces.** If a question does not apply, check “NO.”
- B.3** Do not misstate or omit any material fact(s). All information is subject to verification. False or misleading information is grounds for the Department to deny the application, or to suspend or revoke the license.
- B.4** All required documentation, such as business formation papers, tax returns and appendices, as well as the application forms that comprise an application package for a license, **must be uploaded at the time of filing this form.**
- B.5** Give specific attention to the clear identification of those portions of this Form that the Principal Entity deems confidential, proprietary commercial information or trade secrets, and provide justification of why such materials, upon request, should not be disclosed by the State pursuant to the Virginia Freedom of Information Act (“FOIA”) (Va. Code § 2.2-3700 *et seq.*) and the Virginia Procurement Act (Va. Code § 2.2-4300 *et seq.*). Confidential information supplied shall be revealed in the course of the necessary administration of this application. A blanket statement by a Principal Entity that its entire application is confidential, proprietary commercial information or a trade secret is unacceptable. Applications shall be open to public inspection only after award of a license has been made, to the extent permitted by the FOIA. The Principal Entity is advised that, upon request for this information from a third party, the Department will make an independent determination whether the information may be disclosed. A Principal Entity or licensee waives any liability of the Commonwealth of Virginia, and its employees and agents, the Department, and the Board for any damages resulting from any disclosure or publication in any manner.

When the Department receives a FOIA request, Staff retrieves and compiles all records that are responsive to the request. “Public Records” means all writings, recordings or other form of data compilation, prepared or owned by, or in the possession a public body or its officers, employees or agents in the transaction of public business. After staff compiles all responsive records, Department counsel reviews the request and the records, and makes a legal determination as to whether the records may be released.

Additionally, when the Department receives a request for records of an entity that holds a gaming-related license, or a vendor registration, Department Staff or Department Counsel typically advise the entity of the request and our anticipated response. The entity may seek a court order preventing the Department from releasing records it wants kept confidential.

- B.6** The Department may request additional financial and other information as needed.
- B.7** Attach proof of registration with the Virginia State Corporation Commission (SCC) to do business within the Commonwealth of Virginia. A “Certificate of Good Standing” must be obtained from the SCC. A Principal Entity will need to determine if the company’s status is listed as in “Good Standing” by checking the following: <https://cis.scc.virginia.gov/> .

SAMPLE

SECTION C - DEFINITIONS

Please refer to the list of Consolidated Gaming Definitions which is available on the website of the Virginia Lottery's website: <https://www.valottery.com/aboutus/casinosandsportsbetting>.

SECTION D – PRINCIPAL ENTITY INFORMATION**D.1 NAME OF PRINCIPAL ENTITY ***

* 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.

D / B / A or Trade Name(s):

D.2 PRINCIPAL ENTITY'S FORM OF ORGANIZATION

Check one:

- Sole Proprietorship Partnership Limited Partnership C-Corporation Limited Liability Company
 S-Corporation Trust Other (Describe) _____

D.3 POINT-OF-CONTACT FOR PRINCIPAL ENTITY

Name

Title / Position within the company

Email Address

Telephone Number

Fax Number

D.4 PRINCIPAL ENTITY'S PRINCIPAL ADDRESS

Address Line 1 (Street Location)

Address Line 2

City

State

Zip Code

Country

Telephone Number
()

Fax Number
()

Mailing Address – if different from above

Address Line 1

Address Line 2

City

State

Zip Code

Country

Telephone Number
()

Fax Number
()

Web Site Address(es)

D.5 INCORPORATION (If a Sole Proprietorship, provide an answer to the appropriate questions)**(a) PRINCIPAL ENTITY'S INCORPORATION DOCUMENTS**

1) Business name as it appears on formation documents:

2) Place of Incorporation or other type of Formation:

3) Date of Formation: _____

(b) INCORPORATORS / FOUNDERS

Use **Exhibit 1(a)** to provide the Principal Entity's Incorporators / Founders. (**Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

(c) Virginia State Corporation Commission

1) Is the Principal Entity registered to do business in Virginia: Yes No

2) If "Yes", please provide registration number: _____

IMPORTANT:

Submit a *.pdf* of the Principal Entity's 'Good Standing' status from the Virginia State Corporation Commission (VSCC). The exhibit should be uploaded and labeled as "**Certificate of Good Standing**". For further information, see **B.7**.

(d) OTHER NAMES IN WHICH PRINCIPAL ENTITY HAS DONE BUSINESS

Use **Exhibit 1(b)** to list all other names in which the Principal Entity has done business and give the approximate time periods during which these names were being used. (**Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

(e) CURRENT ADDRESSES OF PRINCIPAL ENTITY

Use **Exhibit 1(c)** to provide all the current addresses of the Principal Entity and all current addresses from which the Principal Entity is doing business. (**Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

(f) PREVIOUS ADDRESSES OF PRINCIPAL ENTITY

Use **Exhibit 1(d)** to provide all addresses, other than those listed in **Exhibit 1(c)**, which Principal Entity has used or from which it was conducting business during the last ten (10) year period, and list the approximate dates during which said addresses were held. (**Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

(g) ALL BUSINESSES OPERATED BY THE PRINCIPAL ENTITY

Use **Exhibit 1(e)** to provide a description of all businesses presently operated or intended to be operated by the Principal Entity and all former businesses operated by the Principal Entity in the past ten (10) years.

(h) RELATIONSHIP BETWEEN PRINCIPAL ENTITY AND THE LICENSEE

Use **Exhibit 1(f)** to describe the relationship between the Principal Entity and the Applicant for the license, and include any terms and conditions that affect ownership and control.

D.6 DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

Use **Exhibit 2** to provide information for each Director, Partner, Officer and Trustee of the Principal Entity. Include any Grantor or Beneficiary of a Trust that meets the definition of a Principal.

As part of this application, each Director, Partner, Officer and Trustee that meets the definition of a Principal **must** complete and submit a Principal Employee Application (Form 1002).

D.7 OWNERS OF PRINCIPAL ENTITY

Use **Exhibit 3** to provide each person who has a direct ownership interest in an applicant and all individuals and trusts who have a 5% or greater indirect ownership interest in an applicant.

D.8 CRIMINAL HISTORY (Subsidiaries, Directors, Partners, Officers, Trustees and Owners)**IMPORTANT:**

The Department **will make inquiries** to establish whether the individuals and subsidiaries listed in this application have had any involvement with law enforcement agencies. Failure to disclose any such involvement will be taken into account when assessing the Principal Entity's character, honesty and integrity.

This section asks about any arrests, offenses or charges against the Principal Entity or any of its Subsidiaries, Directors, Partners, Officers, Trustees or Owners.

Prior to answering this question, carefully review the DEFINITIONS and INSTRUCTIONS.

DEFINITIONS – For purposes of this section **ONLY**:

- A. **ARREST:** includes any time that you were stopped by any law enforcement officer and advised that you were under arrest, detained, held for questioning or were requested by a law enforcement officer to come to a law enforcement office or facility and answer questions. “Arrest” also includes any circumstances in which you were taken into custody by any law enforcement officer, fingerprinted, detained in any jail or detention center, or otherwise been the subject of a court order to appear in a judicial proceeding in which you were accused of a crime or offense as defined in subsection C.
- B. **CHARGE:** includes any indictment, complaint, information, summons, or other notice of the alleged commission of any “offense.”
- C. **OFFENSE:** includes all felonies, misdemeanors, gambling offenses and summary offenses that may have required you to appear before any municipal, state, or federal grand jury, court, or any other judicial tribunal except juvenile court. “Offense” also includes all driving-related charges or offenses which carry any period of incarceration.

INSTRUCTIONS for question below *

- 1) **Answer "Yes"** and provide *all* information to the best of your ability **EVEN IF:**
- You did not commit the offense charged;
 - The charges were dismissed or downgraded to a lesser charge;
 - You completed a pretrial intervention or other rehabilitation or diversionary program;
 - You were not convicted;
 - You did not serve any time in a correctional facility;
 - The charges or offenses happened a long time ago; or
 - You were not arrested for the charge.
- 2) **Answer "No"** if:
- You have never been charged with or arrested for any crime or offense;
 - You were arrested or charged when you were under eighteen (18) years of age and your arrest or charge, including any sentence that a court imposed, was adjudicated entirely in juvenile court;
 - The records of the charge or arrest have been expunged pursuant to an order of court or otherwise sealed by a court of competent jurisdiction.

* **Question:**

Has the Principal Entity;
 Have any of the Principal Entity’s subsidiaries;
 Have any of the Principal Employees, (Directors, Partners, Officers, Trustees, Owners) ever been indicted, arrested, charged with, or convicted of, a criminal offense or been a party to or named as an unindicted conspirator in any criminal proceeding in this state or any other jurisdiction?

Yes No

If “Yes”, use **Exhibit 4** to provide information concerning criminal history.

D.9 INVESTIGATIONS, TESTIMONY or POLYGRAPHS

- a. Has the Principal Entity, any of its subsidiaries, principals, directors, partners, trustees or officers ever been called to testify before, been the subject of an investigation conducted by, or requested to take a polygraph exam by any governmental agency, court, committee, grand jury or investigatory body (municipal, state, county, provincial, federal national, etc.) other than in response to minor traffic related offenses? Yes No
- b. If “Yes”, use **Exhibit 5** to describe the investigations, testimony or polygraphs.

D.10 EXISTING AND PAST LITIGATION

Use **Exhibit 6** to describe all existing civil litigation or any settled or closed legal action over the past three (3) years to which the Principal Entity, its parent, affiliate, holding or any subsidiary is or was a party whether in this state or in another jurisdiction. This description must include the title and docket number of the litigation, the name and location of the court before which it is pending, the identity of all parties to the litigation, the general nature of all claims being made and the nature of any judgments.

List the most recent litigation first.

D.11 ANTITRUST, TRADE REGULATION & SECURITIES JUDGEMENT; STATUTORY AND REGULATORY VIOLATIONS

- a. Has the Principal Entity ever had a judgment, order, consent decree or consent order pertaining to a violation or alleged violation of the federal antitrust, trade regulation or securities laws, or similar laws of any state, province or country entered against it? Yes No
- b. In the past ten years, has the Principal Entity had a judgment, order, consent decree or consent order pertaining to any state or federal statute, regulation or code that resulted in a fine or penalty of \$10,000 or more entered against it? Yes No
- c. If “Yes”, to either question, use **Exhibit 7** to provide the following information for each judgment, order, consent decree or consent order.

D.12 BANKRUPTCY OR INSOLVENCY PROCEEDINGS

- a. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company had any petition under any provision of the Federal Bankruptcy Code or under any state insolvency law filed by or against it in the last ten year period? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company sought relief under any provision of the Federal Bankruptcy Code or under any state insolvency law in the last ten-year period? Yes No

- c. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed in the last ten year period by a court for the business or property of the Principal Entity, or any affiliate, intermediary, subsidiary or holding companies? Yes No
- d. If “Yes”, to question ‘a’, ‘b’ or ‘c’, use **Exhibit 8** to provide detailed information for each bankruptcy or insolvency proceeding.

D.13**LICENSES**

- a. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company ever **applied** in any jurisdiction, including but not limited to, any federal, state, local or Native American governments for a license, permit or other authorization to participate in lawful gambling operations (including slot machines, video lottery terminals, table gaming, horse racing, dog racing, pari-mutuel operation, sports betting, etc.)? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company ever had any license application, license, permit or other authorization issued by a government agency in this state or any other jurisdiction denied, suspended or revoked in last ten year period? Yes No
- c. If “Yes”, use **Exhibit 9** to provide the following information for each license application, license, permit or other authorization applied for and license or certificate denied, suspended or revoked.

D.14**CONTRIBUTIONS AND DISBURSEMENTS**

- a. During the last ten year period, has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, director, officer, or employee or any third party acting for or on behalf of the corporation made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any employee, company or organization to obtain favorable treatment? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, director, officer or employee or any third party acting for or on behalf of the corporation made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment in the last ten year period? Yes No
- c. In the last ten (10) years, has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company maintained any bank account, domestic or foreign, not reflected on the Principal Entity’s books or records? Yes No
- d. During the last ten year period, has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, maintained any numbered accounts or any account in the name of a nominee for the Principal Entity? Yes No

- e. If “Yes”, to question ‘a’, ‘b’, ‘c’ or ‘d’, use **Exhibit 10** to provide information for any present or former directors, officers, employees or third parties who would have knowledge or information concerning the questions above answered affirmatively.

D.15 AUTHORIZATION FOR RELEASE OF INFORMATION

Use **Exhibit 11** to authorize the Department to obtain information about Principal Entity in order to investigate the Application.

D.16 AFFIDAVIT OF REPRESENTATIVE OF PRINCIPAL ENTITY

Use **Exhibit 12** to provide the Department with an acknowledgment from an authorized representative of the Principal Entity that all information contained in this Disclosure Form is true, correct and not misleading.

D.17 ACKNOWLEDGEMENT AND DISCLOSURE

Use **Exhibit 13** to provide the Department with an acknowledgment of important details relating to the application process. This form also provides the Department with an acknowledgment of the Principal Entity’s continuing obligations during the term of any license issued.

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SECTION E - EXHIBITS

Principal Entity Disclosure Form Checklist

Use this checklist to indicate with an “X” that the exhibit is attached with this application. All attachments are **mandatory**. If a question, exhibit or addendum is not applicable, indicate “**Not Applicable**” and **state why it is not applicable in the exhibit**. If any item is missing or not filed according to these directions, the application will be considered incomplete and will not be processed.

EXHIBIT NUMBER	EXHIBIT DESCRIPTION	PLACE X
None	Virginia State Corporation Commission “Certificate of Good Standing”	
1(a)	Incorporators/Founders	
1(b)	Other names and addresses presently used of the Principal Entity	
1(c)	Current Addresses of Principal Entity	
1(d)	Previous addresses of the Principal Entity (Past 10 years)	
1(e)	Description of businesses presently operated by the Principal Entity	
1(f)	Relationship of Principal Entity and Applicant	
2	Current Directors, Partners, Officers, Trustees and Compensation	
3	Owners of Principal Entity	
4	Criminal History	
5	Investigations, Testimony, or Polygraphs	
6	Existing and Past Litigation	
7	Antitrust, trade regulations and securities judgments; statutory and regulatory violations	
8	Bankruptcy or insolvency proceedings	
9	Licenses	
10	Contribution and Disbursements	
11	Required Attachments - Explanations	
12	Authorization For Release of Information	
13	Affidavit of Representative of Principal Entity	
14	Acknowledgement and Disclosure	

EXHIBIT 1(a):

INCORPORATORS/FOUNDERS

Provide the Principal Entity's Incorporators/Founders. (Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.)

Last Name		First Name		Middle Name		Suffix (Jr., Sr., etc.)	
Occupation			Title				
Address Line 1			Address Line 2				
City			State/Province			Postal Code	
Country			Email Address			Phone Number	

Principal Employee (Form 1002) Uploaded

Yes No

Last Name		First Name		Middle Name		Suffix (Jr., Sr., etc.)	
Occupation			Title				
Address Line 1			Address Line 2				
City			State/Province			Postal Code	
Country			Email Address			Phone Number	

Principal/Key Manager Employee (Form 1002) Uploaded

Yes No

EXHIBIT 1(b):

OTHER NAMES AND ADDRESSES OF PRINCIPAL ENTITY

List all other names in which the Principal Entity is currently doing business. (Note: If a Sole Proprietorship, provide the appropriate information in the Exhibit.)

NAME	FULL ADDRESS	FROM (MM/YYYY)	TO (MM/YYYY)

EXHIBIT 1(c):

CURRENT ADDRESSES OF PRINCIPAL ENTITY

Provide all the current addresses of the Principal Entity and all current addresses from which the Principal Entity is doing business. (Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.)

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development/ Testing <input type="checkbox"/> Warehouse/ Storage <input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 2	
City	State/Province	Postal Code
Country	Email Address	Phone Number

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development/ Testing <input type="checkbox"/> Warehouse/ Storage <input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	City	City
Country	Country	Country

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development/ Testing <input type="checkbox"/> Warehouse/ Storage <input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	City	City
Country	Country	Country

EXHIBIT 1(d):

PREVIOUS ADDRESSES OF PRINCIPAL ENTITY

Provide all the previous addresses of the Principal Entity and all previous addresses from which the Principal Entity has done business during the last 10 years.

(Note: **If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing	<input type="checkbox"/> Residential	<input type="checkbox"/> Corporate
<input type="checkbox"/> Production	<input type="checkbox"/> Development/ Testing	<input type="checkbox"/> Warehouse/ Storage
<input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1		Address Line 2
City	State/Province	Postal Code
Country	Email Address	Phone Number

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing	<input type="checkbox"/> Residential	<input type="checkbox"/> Corporate
<input type="checkbox"/> Production	<input type="checkbox"/> Development/ Testing	<input type="checkbox"/> Warehouse/ Storage
<input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1		Address Line 1
City	City	City
Country	Country	Country

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing	<input type="checkbox"/> Residential	<input type="checkbox"/> Corporate
<input type="checkbox"/> Production	<input type="checkbox"/> Development/ Testing	<input type="checkbox"/> Warehouse/ Storage
<input type="checkbox"/> Distribution		
<input type="checkbox"/> Other (Describe) _____		
Address Line 1		Address Line 1
City	City	City
Country	Country	Country

EXHIBIT 1(e):

ALL BUSINESSES OPERATED BY THE PRINCIPAL ENTITY

Provide a description of all businesses presently operated or intended to be operated by the Principal Entity and all former businesses operated by the Principal Entity in the past ten (10) years.

Name of Business		Operated From Date/To Date	Federal Identification Number/ Social Security Number/ Tax Identification Number	
Address Line 1		Address Line 2		
City		State/Province	City	
Country	Email Address	Contact Person	Contact Number	
Description of the business and business activities				

Name of Business		Operated From Date/To Date	Federal Identification Number/Social Security Number/Tax Identification Number	
Address Line 1		Address Line 2		
City		State/Province	City	
Country	Email Address	Contact Person	Contact Number	
Description of the business and business activities				

EXHIBIT 2:

CURRENT DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

Provide information for each Director, Partner, Officer and Trustee of the Principal Entity. Include any Grantors or Beneficiaries of a Trust who is required to be licensed as a Principal as defined in this application.

Name, Home Address & Business Address of Director, Partner, Officer or Trustee				
Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Home Address Line 1		Home Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	
Business Address Line 1		Business Address Line 2		
City		State/Province	Postal Code	
Country		Business Email Address	Business Contact Number	

Title/Position Held, Dates, Compensation (List Current Position first, then work backward)			
Title/Position	From Date/To Date	Annual Compensation	Structure of Compensation (i.e. Salary, wages, bonus, fees, commission etc.)

EXHIBIT 3:

OWNERS OF PRINCIPAL ENTITY

Provide each person who has a direct ownership interest in a gaming operation and all individuals and trusts who have a 5% or greater indirect ownership interest in a licensee applicant.

Name, Home & Business Address of Director, Partner, Officer or Trustee				
Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Home Address Line 1		Home Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	
Business Address Line 1		Business Address Line 2		
City		State/Province	Postal Code	
Country		Business Email Address	Business Contact Number	

Title/Position Held, Dates, Compensation (List Current Position first, then work backward)			
Title/Position	From Date/To Date	Annual Compensation & Value	Reason for Leaving

EXHIBIT 4:

CRIMINAL HISTORY

Has the Principal Entity or any of its subsidiaries, principals, directors, partners, trustees or officers ever been indicted, charged with or convicted of a crime or offense or been a party to or named as an unindicted co-conspirator in any criminal proceeding in any jurisdiction?

NAME OF CASE AND DOCKET NUMBER	NATURE OF CHARGE OR COMPLAINT	DATE OF CHARGE OR COMPLAINT	NAME AND ADDRESS OF LAW ENFORCEMENT AGENCY OR COURT INVOLVED	DISPOSITON (ACQUITTED, CONVICTED, DISMISSED, ETC.)	SENTENCE	NAME OF DIRECTOR, PARTNER, OFFICER OR TRUSTEE

EXHIBIT 5:

INVESTIGATIONS, TESTIMONY OR POLYGRAPHS

Has the Principal Entity, any of its subsidiaries, principals, directors, partners, trustees or officers ever been called to testify before, been the subject of an investigation conducted by, or requested to take a polygraph exam by any governmental agency, court, committee, grand jury or investigatory body (municipal, state, county, provincial, federal national, etc.) other than in response to minor traffic related offenses?

NAME AND ADDRESS OF COURT OR OTHER AGENCY	NATURE OF PROCEEDINGS OR INVESTIGATION	WAS TESTIMONY GIVEN? (Yes or No)	DATES ON WHICH TESTIMONY WAS GIVEN	APPROXIMATE TIME PERIOD OF INVESTIGATION	DIRECTOR, PARTNER, OFFICER OR TRUSTEE

Type of Proceeding or Investigation

NAME AND ADDRESS OF COURT OR OTHER AGENCY	NATURE OF PROCEEDINGS OR INVESTIGATION	WAS TESTIMONY GIVEN? (Yes or No)	DATES ON WHICH TESTIMONY WAS GIVEN	APPROXIMATE TIME PERIOD OF INVESTIGATION	DIRECTOR, PARTNER, OFFICER OR TRUSTEE

Type of Proceeding or Investigation

EXHIBIT 6:

EXISTING LITIGATION

Describe all existing civil litigation or any settled or closed legal action over the past three (3) years to which the Principal Entity, its parent, affiliate, holding or any subsidiary is or was a party whether in this state or in another jurisdiction. This description must include the title and docket number of the litigation, the name and location of the court before which it is pending, the identity of all parties to the litigation, the general nature of all claims being made and the nature of any judgments.

List the most recent litigation first.

Name of case and docket number	Name and address of law court involved in litigation	Name of all parties involved in litigation	Nature of Claim(s) and judgment (if judgment has been rendered)

EXHIBIT 7:

**ANTITRUST, TRADE REGULATION AND SECURITIES JUDGMENTS; STATUTORY
AND REGULATORY VIOLATIONS**

Has the Principal Entity ever had a judgment, order, consent decree or consent order pertaining to a violation or alleged violation of the federal antitrust, trade regulation or securities laws, or similar laws of any state, province or country entered against it?

In the past ten years, has the Principal Entity had a judgment, order, consent decree or consent order pertaining to any state or federal statute, regulation or code that resulted in a fine or penalty of \$10,000 or more entered against it?

Title Or Case And Docket Number	Name And Address Of Court Or Agency	Date Of Offense
Nature Of Offense		
Disposition of Action		
Nature Of Judgment, Decree Or Order		

Title Or Case And Docket Number	Name And Address Of Court Or Agency	Date Of Offense
Nature Of Offense		
Disposition		
Nature Of Judgment, Decree Or Order		

EXHIBIT 8:

BANKRUPTCY OR INSOLVENCY PROCEEDINGS

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company had any petition under any provision of the Federal Bankruptcy Code or under any state insolvency law filed by or against it in the last ten year period?

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company sought relief under any provision of the Federal Bankruptcy Code or under any state insolvency law in the last ten year period?

Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed in the last ten year period by a court for the business or property of the Principal Entity, or any affiliate, intermediary, subsidiary or holding companies?

Date Petition Filed Or Relief Sought	Title Of Case And Docket Number	Name And Address Of Court Or Agency
Date Judgment Entered		Name and Date Appointed of Court Appointed Receiver, Agent or Trustee
Nature of Judgment or Relief		

EXHIBIT 9:

LICENSES (Gaming and Non-Gaming)

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company ever applied in any jurisdiction, including but not limited to, any federal, state, local or Native American governments for a license, permit or other authorization to participate in lawful gambling operations (including slot machines, video lottery terminals, table gaming, sports betting, horse racing, dog racing, pari-mutuel operation etc.)?

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company ever had any license application, license, permit or other authorization issued by a government agency in this state or any other jurisdiction denied, suspended or revoked in last ten year period?

(List gaming licenses first and non-gaming licenses second)

Type Of License Or Permit	Name And Location Of Governmental Agency	Application Number	Disposition (i.e. Granted, Denied, Pending, Expired, Suspended, Revoked Withdrawn etc.)	Disposition Date	If Issued, Give Appropriate License, Permit Or Other Such Number And Expiration Date. If Denied, Pending, Expired, Suspended, Conditioned, Withdrawn Or Revoked, Provide Why

EXHIBIT 10:

CONTRIBUTIONS AND DISBURSEMENTS

During the last ten year period, has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, director, officer, or employee or any third party acting for or on behalf of the corporation made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any employee, company or organization to obtain favorable treatment?

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, director, officer or employee or any third party acting for or on behalf of the corporation made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment in the last ten year period?

In the last ten (10) years, has Principal Entity, or any affiliate, intermediary, subsidiary or holding company maintained any bank account, domestic or foreign, not reflected on the Principal Entity's books or records?

During the last ten year period, has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company, maintained any numbered accounts or any account in the name of a nominee for the Principal Entity?

Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Entity Name				
Address Line 1		Address Line 2		
City		State/Province	Postal Code	
Country	email address		Contact number	

Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Entity Name				
Address Line 1		Address Line 2		
City		State/Province	Postal Code	
Country	Email Address		Contact Number	

EXHIBIT 12
AUTHORIZATION FOR RELEASE OF INFORMATION

TO: _____

FROM: _____
(Printed Name of Principal Entity Entity)

I am, or represent, a principal entity of an applicant for a gaming license in the Commonwealth of Virginia.

The Department is required by law to conduct an investigation of an applicant for a gaming license. That investigation requires the Department to collect and evaluate information about the applicant's principal entities. I irrevocably give consent to the Department, and persons authorized by the Department, to: (1) verify all information provided in the Disclosure Form; (2) conduct a background investigation of me, or the principal entity that I represent; and (3) have access to any and all information that I, or the principal entity that I represent, have provided to any other jurisdiction in the context of a gaming license investigation 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 me or the principal entity that I represent.

By executing this Authorization, I authorize any of the following entities to release to the Department any and all information about me, or the principal entity that I represent, 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, 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.

A 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

Printed Name

Stamp or Seal

My commission expires _____, 20____

**EXHIBIT 13
AFFIDAVIT OF REPRESENTATIVE OF PRINCIPAL ENTITY**

I, _____ (printed name), am authorized to complete and execute this Principal Entity Disclosure Form on behalf of _____ (printed name of Principal Entity). I am also authorized to provide all of the information requested on this Form to the Department, 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 Form. To the best of my knowledge, information, and belief, the information that I have provided on, or attached to, this Form 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 gaming license, or may result in the Department imposing sanctions against the applicant, up to and including revocation of its license if it has been issued a license. I understand that any misrepresentation or omission on this Disclosure Form may also subject me, or the principal entity that I represent, to civil or criminal liability.

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

On behalf of the Principal Entity 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 Principal Entity and the use of that information in connection with investigating an Principal Entity.

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____

SECTION G - APPENDICES

Principal Entity Disclosure Form Appendices

Attachments are appendices you are to provide or create. Attachments do not contain corresponding questions, exhibits or charts. Each document must be provided to your account representative to upload to the Department's online gaming licensing system.

If an attachment is not applicable to the Principal Entity, indicate "**N/A**", then use **Exhibit 11** to explain why it is not applicable. All information shall be provided *in addition* to the exhibits that are to be submitted.

Appendix	Appendix Description	X IF ATTACHED (ALL FORMS ARE MANDATORY)
1	Description of Existing Litigation. Provide this information in addition to both Exhibit 6.	
2	Audited Financial statements for the last five years, including the Principal Entity's last fiscal year. If audited financial statement do not exist, then provide unaudited financial statements	
3	Annual reports for the last five years	
4	Description of Security Options.	
5	Description of Existing Litigation. Description of any settled or closed litigation against the Principal Entity for the past three (3) years. Also describe any existing or settled or closed litigation for the past three (3) years for any holding, intermediary, subsidiary or affiliate. A description of any judgments against Principal Entity, holding company, intermediary, subsidiary or affiliate for the past five (5) years. Describe if any judgments were covered by insurance and if so the insurance company. Provide this in addition to Exhibit 6 & 9.	
6	Annual reports for the last five years	
7	Annual reports prepared on the SEC's form 10K for the last 5 years.	
8	A copy of the last quarterly unaudited financial statement	
9	Copy(ies) of any interim reports	
10	A copy of the last definitive Proxy or information statement (SEC)	
11	A copy of all registration statements for the last five years filed in accordance with the Securities Act of 1933	
12	Copies of all other reports prepared in the last five years by independent auditors of the corporation	

13	Certified copies of the Articles of Incorporation, Charter and By-laws, and all amendments and proposed amendments	
14	Current ownership table of organization	
15	Copies of 1120 forms and 941 forms filed with the IRS in the last five years.	
16	Copies of IRS 5500 form filed in the last 5 years.	
17	If Principal Entity has held a gaming license in another jurisdiction, provide a letter of reference from the gaming or casino enforcement or regulatory agency that specifies the experiences of the agency with the Principal Entity and its associates and gaming operation.	
18	Provide a chart of existing vendors including the name, address, phone and tax identification number of the vendor, type of good and/or services provided by the vendor, total amount of business with vendor in the past twenty-four (24) months.	
19	Along with the description provided in Exhibit 22, provide the nature and results of any other material reorganization, readjustment or success of the Principal Entity, holding, intermediary, subsidiary or affiliate. Describe the acquisition or disposition of any material amount of assets otherwise than in the normal course of business and any material change in the way business was conducted by the Principal Entity, holding company, intermediary, subsidiary or affiliate because of such an event.	

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