



Virginia Lottery

600 East Main Street, Richmond, VA 23219

SPORTS BETTING PERMIT HOLDER RENEWAL LICENSE APPLICATION

LOCATION: _____

APPLICANT: _____

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**SECTION D
APPLICANT INFORMATION****D.1 APPLICANT'S FORM OF ORGANIZATION**

Check one:

- | | | | | |
|--|--------------------------------------|--|--|--|
| <input type="checkbox"/> Sole Proprietorship | <input type="checkbox"/> Partnership | <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> C-Corporation | <input type="checkbox"/> Limited Liability Company |
| <input type="checkbox"/> S-Corporation | <input type="checkbox"/> Trust | <input type="checkbox"/> Other (Describe) | | |

D.2 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.

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

D.3 CONTACT NAME FOR THIS APPLICANT

Name	Title / Position within the company	
Email address	Telephone number	Fax number

D.4 APPLICANT'S PRINCIPAL ADDRESS

Address Line 1 (Street Location)

Address Line 2

City	State	Zip Code
Country	Telephone Number	Fax Number

Mailing Address Address Line 1 – if different from above

Address Line 2

City	State	Zip Code
Country	Telephone Number	Fax Number

Applicant's Web Address(es)

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

- 1) Business name as it appears on formation documents:

- 2) List any jurisdiction in which the Applicant is currently registered or authorized to do business in the last three years:

- 3) Is the Applicant registered to do business in Virginia: Yes ☐ No

If "Yes", please provide registration number:

- 4) Complete **Exhibit 1(a)** providing Applicant's incorporators/founders. (Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.)

b. OTHER NAMES AND ADDRESSES OF APPLICANT

- 1) Use **Exhibit 1(b)** to list all other names in which Applicant has done business in the past three years 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.)
- 2) Use **Exhibit 1(c)** to provide all the current addresses of Applicant and all current addresses from which the Applicant is doing business. (Note: If a Sole Proprietorship, provide the appropriate information on the Exhibits.)
- 3) Use **Exhibit 1(d)** to provide all addresses, other than those listed in Exhibit 1c, which Applicant has used or from which it was conducting business during the last three (3) 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.)

c. ALL BUSINESSES OPERATED BY THE APPLICANT

- 1) Use **Exhibit 1(e)** to provide a description of all businesses presently operated or intended to be operated by the by the Applicant and all former businesses operated by the Applicant in the past three (3) years.

d. ALL HOLDING, INTERMEDIARY, SUBSIDIARY, AFFILIATE OR OTHER BUSINESS TYPE ENTITIES

- 1) Use **Exhibit 1(f)** to list the names, all addresses used in the ***last three (3) years***, the form of organization and a description of the business performed by all holding, intermediary, subsidiary, affiliate and any other similar business entity of the Applicant. Do not provide those already listed in Exhibit 1(e).

D.6 DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

- a. Use **Exhibit 2** to provide information for each director, partner, officer and trustee of the applicant. Include any grantors or beneficiaries of a trust who is required to be licensed as a Principal as defined in this application. (**IMPORTANT:** As part of this application each director, partner, officer and trustee must complete a Principal Employee Form (Form1002)).

D.7 FORMER DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

- a. Use **Exhibit 3** to provide the following information for all Directors, Partners, Officers and Trustees who are no longer actively involved with the Applicant but held the position in the last three (3) years.

D.8 COMPENSATION OF DIRECTORS, PARTNERS, OFFICERS & TRUSTEES

- a. Use **Exhibit 2** to provide information regarding the amount of total compensation earned/received during the *last* calendar year and the amount to be earned during the present calendar year by each director, partner, officer and trustee of the Applicant. Compensation includes, but is not limited to, salary, wages, commissions, fees, stock options, bonuses.
- b. Use **Exhibit 4** to provide the information for all employees who earn over \$250,000 in annual compensation from the applicant. Do not include those listed in Exhibit 2. Compensation includes, but is not limited to, salary, wages, commissions, fees, stock options, and bonuses.

D.9 BONUS, PROFIT SHARING, PENSION, RETIREMENT, DEFERRED COMPENSATION & SIMILAR PLANS

- a. Use **Exhibit 5** to provide a description of all bonus, profit sharing, pension, retirement, deferred compensation and similar plans in existence or to be created. If the space provided in the Exhibit is insufficient to describe the plan, the Applicant may attach additional pages as necessary to describe every plan.

D.10 STOCK DESCRIPTION

- a. Use **Exhibit 6** to provide the nature, type and number of authorized and issued shares. Provide the terms, conditions, rights and privileges of all classes of voting, non-voting and other stocks issued or to be issued by the Applicant or a holding, intermediary, subsidiary, affiliate and any other type similar business entity of Applicant. This should include the number of shares of each class of stock authorized or to be authorized and the number of shares of each class of stock outstanding as of this date. If the right of holders of any class of stock may be modified by less than a majority or more of outstanding shares of the class affected, voting as a class, please state which class and explain briefly.

D.11 VOTING SHAREHOLDERS/ MEMBERS AND NON-VOTING SHAREHOLDERS/ MEMBERS (CORPORATION - C or S; LLS)

- a. Use **Exhibit 7a** – Voting shareholders/member and **Exhibit 7b** – Non-voting shareholder/members to provide information on each person or entity holding of record or having a beneficial interest of 5% or more in any voting or non-voting stock issued by the Applicant as of the date of filing the Application. **IMPORTANT:** As part of this application, you must complete Principal Employee form (Form 1002) or Principal Entity Disclosure form (Form 1003), which ever applies. The form must be filled out and submitted for each individual, person or entity holding or having a beneficial interest in the voting or non-voting stock of the Applicant. This requirement includes non-public holding entities.

D.12 INTEREST OF CURRENT/ FORMER PARTNERS (PARTNERSHIPS, LLPS AND LIMITED PARTNERSHIPS)

- a. Use **Exhibit 8a** to list the Applicant's Current Partners and **Exhibit 8b** for Former Partners (include all), the type of partnership, the percentage of ownership of each partner, date partner entered partnership and the description of participation in the operation by each partner. Only include information concerning former partners who left the partnership in the ***last Three (3) years***. List and identify all current Partners first and list and identify all former Partners second. **(IMPORTANT:** It is a requirement, as part of this application, that each current Partner complete a Principal Employee Form (Form 1002)).

D.13 HOLDER(S) AND EXTENT OF LONG TERM DEBT

- a. Use **Exhibit 9** to list the holder(s) and to describe the nature, type, terms, covenants, conditions and priorities of all outstanding bonds, loans, mortgages, trust deeds, notes, debentures or other forms of indebtedness issued or executed (including loans made by shareholders), or to be issued or executed, by the Applicant or for Applicant and the holding, intermediary, subsidiary, affiliate and any other type similar business entity of Applicants, which mature more than one (1) year from the date of issuance or which, by their terms, are renewable for a period of more than one (1) year from the date of issuance. **(IMPORTANT:** As part of this application a complete Principal Employee Form (Form 1002) or **Principal Entity Disclosure Form** (Form 1003) must be submitted, if required by the Department.)

D.14 HOLDER(S) AND TYPE OF OTHER INDEBTEDNESS AND SECURITY DEVICES

- a. Use **Exhibit 10** to identify the holder(s) and describe the nature, type, terms, conditions and covenants of all outstanding loans, mortgages, trust deeds, pledges, lines of credit, or other evidence of indebtedness or security devices utilized by the Applicant other than those described in response to **Exhibit 9** for Applicant and the holding, intermediary, subsidiary, affiliate and any other similar business entity of Applicants.
(**IMPORTANT:** It is a requirement, as part of this application that a complete Principal Employee Form (Form 1002) or Principal Entity Disclosure form (Form 1003) should be submitted, if required by the Lottery Commission.)
- b. Attach Description and Documentation as part of **Exhibit 10**.

D.15 SECURITY OPTIONS

- a. Use **Exhibit 11** to provide detailed description of any options existing or to be created with respect to securities issued by the Applicant which description shall include, but not be limited, to the title and amount of securities subject to option, the year or years during which the options were or will be granted, the conditions under which the options were or will be granted, the consideration for granting the option and the year or years during which, and the terms under which, optionees became or will become, entitled to exercise the options, and when such options expire. (**IMPORTANT:** include with **Exhibit 11** copies of any outstanding option plans or proxy statements that correspond to the requested information.)

NOTE: For the purpose of this application, option shall mean right, warrant or option to subscribe to or purchase any securities issued by the corporation.

D.16 BENEFICIAL OWNERS OF OPTIONS

- a. Use **Exhibit 12** to provide information regarding all persons holding the options described in number 15

D.17 PRINCIPALS NOT YET DISCLOSED

- a. Use **Exhibit 13** to provide all Principals not yet disclosed in this Application. Such Principals shall include both individuals and entities that have a five (5%) percent direct or indirect ownership interest in the Applicant

D.18 FINANCIAL INSTITUTIONS

- a. Use **Exhibit 14** to provide information with respect to each bank, savings and loan association or other financial institution, whether domestic or foreign, in which the Applicant has or has had an account over the ***last three (3) year period*** regardless of whether such account was held in the name of the Applicant, a nominee of the Applicant or was otherwise under the direct or indirect control of the Applicant.

D.19 CONTRACTS

- a. Use **Exhibit 15** to provide information with respect to all contracts or agreements, written or oral, that the Applicant has entered into. This includes all contracts or agreements of \$100,000 or more in value or from whom the corporation has received \$100,000 or more in goods or services in the past six months. Contracts or agreements already furnished as part of this application do not need to be provided as part of this Exhibit.

D.20 APPLICANT STOCK HOLDINGS

- a. Use **Exhibit 16** to provide information about each company in which the Applicant holds stock.

D.21 INSIDER TRANSACTIONS

- a. Use **Exhibit 17** to provide information for each change that occurred within the last three (3) years, prior to this application, in the beneficial ownership of the equity securities of the Applicant on the part of any person who is indirectly or directly a beneficial owner of more than five percent (5%) of any class of an equity security of the Applicant or who is or was within that period a director or officer of the corporation. Include changes resulting from (a) gift, (b) purchase, (c) sale, (d) exercise of an option to purchase, (e) exercise of an option to sell, (f) grant or receipt of a put, or (g) grant or receipt of a call.

D.22**CRIMINAL HISTORY****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 Applicant's character, honesty and integrity.

Do you understand? Yes

This section asks about any offenses or charges against the applicant or any of its subsidiaries or any of its officers, directors, trustees or partners. Prior to answering this question, carefully review the definitions and instructions that follow.

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 a.3.
- B. **CHARGE:** • Includes any indictment, complaint, information, summons, citation or other notice of the alleged commission of any crime or offense as defined in paragraph a.3.
- 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 c. below

1. **Answer "Yes"** and provide all information to the best of your ability EVEN IF:

- A. You did not commit the offense charged;
- B. The charges were dismissed or downgraded to a lesser charge;
- C. You completed a pretrial intervention or other rehabilitation or diversionary program;
- D. You were not convicted;
- E. You did not serve any time in a correctional facility;
- F. The charges or offenses happened a long time ago; or
- G. You were not arrested for the charge.

2. **Answer "No"** if:

- A. You have never been charged with or arrested for any crime or offense;
- B. 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;
- C. 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.

Have you read and understood the definitions and instructions? Yes

Question:

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

If "Yes", use **Exhibit 18** to provide information concerning criminal history.

☐ YES NO

D.23 INVESTIGATIONS, TESTIMONY OR POLYGRAPHS

- a. Has the Applicant, 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 entity, 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 19** to provide the following information about any such testimony, investigation or polygraph exam.

D.24 LITIGATION

- a. Use **Exhibit 20** to describe all open and closed civil litigation over the past three (3) years to which the Applicant, its parent, affiliate, holding company or any subsidiary is or was a party, in any jurisdiction. This description must include the title and docket number of the litigation, the name and location of the court before which it is, or was, pending, the identity of all parties to the litigation, the general nature of all claims being made and the nature of any judgment or settlement. List most recent litigation first

D.25 ANTITRUST, TRADE REGULATION & SECURITIES JUDGEMENT; STATUTORY AND REGULATORY VIOLATIONS

- a. Has the Applicant ever been the subject of 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?

☐ YES NO

- b. In the past three years, has the Applicant been the subject of 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?

☐ YES NO

- c. If "yes" to either question, use **Exhibit 21** to provide the following information for each judgment, order, consent decree or consent order.

D.26 BANKRUPTCY OR INSOLVENCY PROCEEDINGS

- a. Has the Applicant, 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 three year period?
- ☐ YES NO
- b. Has the Applicant, 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 three-year period?
- ☐ YES NO
- c. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed in the last three year period by a court for the business or property of the Applicant, or any affiliate, intermediary, subsidiary or holding companies?
- ☐ YES NO
- d. If yes to either question, use **Exhibit 22** to provide the following information for each bankruptcy or insolvency proceeding.

D.27**LICENSES**

- a. Has the Applicant, 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.) in the last three years?
- ☐ YES NO
- b. Has the Applicant, or any affiliate, intermediary, subsidiary or holding company ever had any license, permit or other authorization issued by a government agency in this state or any other jurisdiction, denied, suspended or revoked in last three year period?
- ☐ YES NO
- c. If “yes”, use **Exhibit 23** to provide the following information for each license, permit or other authorization applied for and license or certificate denied, suspended or revoked.

D.28**CONTRIBUTIONS AND DISBURSEMENTS**

- a. During the ***last three year period***, has the Applicant, or any affiliate, intermediary, subsidiary or holding company, director, officer, or employee or any third party acting for or on behalf of the Applicant made any bribes or kickbacks, or made any payments that were alleged to have been bribes or kickbacks, to or for any individual or person to obtain favorable treatment?
- ☐ YES NO
- b. Has the Applicant, 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 that were alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment in the last three year period?
- ☐ YES NO

- c. In the ***last three (3) years***, has Applicant, or any affiliate, intermediary, subsidiary or holding company maintained any bank account, domestic or foreign, not reflected on the Applicant's books or records?

☐ YES ☐ NO

- d. During the ***last three year period***, has the Applicant, or any affiliate, intermediary, subsidiary or holding company, maintained any numbered accounts or any account in the name of a nominee for the Applicant?

☐ YES ☒ NO

- e. If "Yes", use **Exhibit 24** to provide the following information for any present or former directors, officers, employees or third parties who would have knowledge or information concerning the questions above for any of the referenced questions answered affirmatively under this item.

D.29 AUTHORIZATION FOR RELEASE OF INFORMATION

- a. Use **Exhibit 25** to authorize the Department to obtain information about the Applicant in order to investigate the Sports Betting Application.

D.30 AFFIDAVIT OF REPRESENTATIVE OF APPLICANT

- a. Use **Exhibit 26** to execute an affidavit that includes the authority of the individual who completes this application to provide the requested information, and acknowledgement of the Department's acquisition and use of this information.

SECTION E - EXHIBIT 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, state “*Not Applicable*” and *explain 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
1(a)	Incorporators/Founders	
1(b)	Other names and addresses of the applicant	
1(c)	All Current Addresses of Applicant and where doing business	
1(d)	Other names and addresses of the corporation (Past 3 years)	
1(e)	All businesses operated by the Applicant	
1(f)	All holding, intermediary, subsidiary, affiliate or other business type entity	
2	Current Directors, Partners, Officers, Trustees and Compensation	
3	Former Directors, Partners, Officers, Trustees	
4	Compensation over \$250,000	
5	Bonus, profit sharing, pension, retirement, deferred compensation and similar plans	
6	Stock Description	
7(a)	Voting shareholders	
7(b)	Non-voting shareholders	
8(a)	Interest of Current Partners	
8(b)	Interest of Former Partners	
9	Extent and Holders of Long Term Debt	
10	Holder and Type of Other indebtedness and security devices	
11	Securities options – description	
12	Beneficial Owners of securities options	
13	Principals not yet disclosed	
14	Financial institutions	
15	Contracts	
16	Applicant’s Stock Holdings	
17	Insider Transactions	
18	Criminal History	
19	Testimony, Investigations or Polygraphs	
20	Litigation	
21	Antitrust, trade regulations and securities judgments; statutory and regulatory violations	

22	Bankruptcy or insolvency proceedings	
23	Licenses (Gaming and Non-Gaming)	
24	Contribution and Disbursements	
25	Authorization for Release of Information	
26	Affidavit of Representative of Applicant	