



Lottery and Gaming Control Commission

1800 Washington Boulevard, Suite 330, Baltimore, MD 21230

PRINCIPAL ENTITY DISCLOSURE FORM

Form #1006

Principal Entity: _____

Operation License Applicant: _____

TABLE OF CONTENTS

	<u>Page #</u>
Section A IMPORTANT NOTICES.....	3
Section B INSTRUCTIONS.....	4
Section C DEFINITIONS.....	6
Section D PRINCIPAL ENTITY INFORMATION.....	6
D.1 Form of Organization	6
D.2 Name of Principal Entity	6
D.3 Contact Information	6
D.4 Principal Entity Primary Address	6
D.5 Incorporation	7
D.6 Directors, Partners, Officers and Trustees	8
D.7 Owners of Principal Entity	8
D.8 Criminal History	8
D.9 Investigation, Testimony or Polygraphs	10
D.10 Existing and Past Litigation	10
D.11 Anti-Trust, Trade Regulation & Securities Judgments; Statutory and Regulatory Violations	10
D.12 Bankruptcy or Insolvency Proceedings	10
D.13 Licenses	11
D.14 Contributions and Disbursements	11
Section E EXHIBITS	13
Exhibit Checklist	13
Authorization for Release of Information	30
Affidavit of Representative of Principal Entity	31
Acknowledgement and Disclosure	32
Request for Transcript of Tax Returns – Form 4506-T	33
Section F APPENDICES	34

Mail or deliver the completed Principal Entity Disclosure Form via secure trackable means to:

Maryland Lottery and Gaming Control Agency
Attn: Casino Licensing and Background Investigation Division
1800 Washington Blvd, Suite 330
Baltimore, Maryland 21230

SECTION A - IMPORTANT NOTICES

- A.1** This form is an official document of the Maryland Lottery and Gaming Control Commission (“Commission”). It may not be altered or changed, except to insert the information that is required. Any alteration or change to this document may cause this application or your license to be delayed or denied.
- 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 Video Lottery Terminal Operation License Applicant (“Applicant”). The Applicant is responsible for payment of the administrative costs associated with the Principal Entity’s background investigation; however, the Applicant and the Principal Entity may arrange to allocate those costs between them.
- 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 Commission. The duty to make such additional disclosures shall continue throughout any period of the license that is granted by the Commission.
- A.6** The Principal Entity shall **promptly** provide written notification to the Commission of any corrections or changes to this application once submitted or to any of the materials submitted at the request of the Commission.
- A.7** All notices regarding the application will be sent to the address provided by the Principal Entity on this form. The Principal Entity must immediately notify the Commission 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 Commission and **will not** be returned.

- A.10** A completed application with all of the original signatures, initials, and notarization must be submitted to the Maryland Lottery and Gaming Control Agency's Casino Licensing and Background Investigation Division. A copy of the completed application must be forwarded on the electronic storage device described in **A.12** and **A.13**.
- A.11** The Principal Entity must provide all accompanying documentation, attachments, appendices and/or supporting documents, (such as business formation papers and tax returns) on a **password protected**, electronic storage device, such as a CD or 'thumb drive', in **.pdf format**. The application and each document must be saved as separate .pdf files (not one continuous .pdf), and each file must be identified by name or designated exhibit number.
- A.12** The Principal Entity is required to mail, send or transmit the password to the Licensing Division in a timely fashion. The Principal Entity should forward the password **separately** from the application.
- A.13** The Maryland Lottery and Gaming Control Agency's Casino Licensing and Background Investigation Division is referred to, throughout this application, as the "Licensing Division".

SECTION B - INSTRUCTIONS

The instructions for this Disclosure Form apply to any Principal Entity of an Applicant for a video lottery license under Subtitle 9-1a of the State Government Article ("SG") of the Annotated Code of Maryland.

- B.1** This Principal Entity Disclosure Form must be submitted for each Principal Entity of an Applicant for a video lottery license that meets the definition of "Principal Entity" in the Consolidated Definitions. See, Section D.
- B.2** Read each question carefully. Answer each and every question completely. **Do not leave blank spaces.** If a question does not apply, write "Does not apply" or "N/A." If the correct answer to a particular question is "None," write "None."
- B.3** All entries on the form must be typed or printed in block lettering. Initials or signatures must be in handwriting, unless otherwise stated by the Commission, by the person providing the information. If the answers are not legible, the application may not be accepted. Do not misstate or omit any material fact(s). All information is subject to verification. False or misleading information is grounds for the Commission to deny the application, or to suspend or revoke the license.
- B.4** The Principal Entity, if it is an individual, **must initial each page**, or if the Principal Entity is not an individual, the person authorized to complete the form on behalf of the Principal Entity (**Exhibit 13**) **must initial each page** as provided in lower right-hand corner. The Principal Entity is attesting to the accuracy and completeness of the information contained on that page and that they have read the page.
- B.5** If additional pages are required in order to answer any question, additional pages may be utilized and must be attached to the form. Be sure to indicate the number(s) of the question(s) being answered and initial each additional page. Some schedules may require disclosure of information

for more than one individual or entity or type of information. If there are multiple disclosures, make additional copies of the blank schedule and complete it for each individual or entity.

- B.6** 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, as listed above, must be submitted at the time of filing this form as described in **A.12** and **A.13**.
- B.7** 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 Public Information Act (“PIA”), Title 10, Subtitle 6, State Government Article, Annotated Code of Maryland. 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 PIA. The Principal Entity is advised that, upon request for this information from a third party, the Commission will make an independent determination whether the information may be disclosed. A Principal Entity or licensee waives any liability of the State of Maryland, and its employees and agents, the Commission, and the Maryland State Lottery and Gaming Control Agency for any damages resulting from any disclosure or publication in any manner.

When the Agency receives a PIA request, Staff retrieves and compiles all records that are responsive to the request. “Records” means all papers, emails, notes, recordings, maps, plans, forms, etc. After Staff compiles all responsive records, the Office of the Attorney General (OAG) reviews the request and the records, and makes a legal determination as to whether the records may be released. Additionally, when the Agency receives a request for records of an entity that holds a gaming-related license, or a vendor registration or certification, Agency Staff or the OAG typically advise the entity of the request and our anticipated response. The entity may file litigation to prevent the Agency from releasing records it wants kept confidential.

- B.8** The Commission may request additional financial and other information as needed.
- B.9** Principal Entities replying to a casino’s request for proposal (RFP) must submit the original application along with the original bid that is submitted in response to the RFP. A copy of this application, copies of all forms accompanying the application and a copy of the proposal shall be submitted as described in **A.12** and **A.13**.
- B.10** Attach proof of registration with the Maryland Department of Assessments and Taxation (MD SDAT) to do business within the State. A “Certificate of Good Standing” must be obtained from MD SDAT (**not** from the Maryland Comptroller’s Office). A Principal Entity will need to determine if the company’s status is listed as in “Good Standing” by checking the following: <http://sdat.resiusa.org/ucc-charter/Pages/CharterSearch/default.aspx>. Assistance with this process may be obtained from: <http://dat.maryland.gov/Pages/default.aspx> or by sending email inquiries to charterhelp@dat.state.md.us if necessary. Submit documentation in the manner described in **A.12** and **A.13**, as a **separate .pdf** file, labeled as “**MD SDAT**”.

SECTION C - DEFINITIONS

Please refer to the list of Consolidated Definitions applicable to all video lottery license applications, which is available on the website of the Maryland Lottery and Gaming Control Agency's website: <http://gaming.mdlottery.com/licensing/>.

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) MARYLAND SDAT COMPLIANCE

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

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

IMPORTANT:

Submit a *.pdf* of the Principal Entity's 'Good Standing' status from the Maryland Department of Assessments and Taxation (MD SDAT). The exhibit should be submitted as described in **A.12** and **A.13** and labeled as "**Certificate of Good Standing**". For further information, see **B.10**.

(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 VIDEO LOTTERY TERMINAL OPERATION LICENSE PRINCIPAL ENTITY

Use **Exhibit 1(f)** to describe the relationship between the Principal Entity and the Applicant for the Video Lottery Terminal 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 is required to be licensed as a Principal as defined in this Disclosure Form.

IMPORTANT:

As part of this application, each Director, Partner, Officer and Trustee **must** complete and submit a Principal Employee Application (Form 1004).

D.7 OWNERS OF PRINCIPAL ENTITY

Use **Exhibit 3** to provide each person who has a direct ownership interest in a Video Lottery Facility Operation and all individuals and trusts who have a 5% or greater indirect ownership interest in a Video Lottery facility.

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

The Commission **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**:
- 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.

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

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

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	Maryland SDAT "Certificate of Good Standing"	
None	Request for Transcript of Federal Income Tax Returns Form 4506-T	
1(a)	Incorporators/Founders	
1(b)	Other names and addresses presently used of the Principal Entity	
1(c)	All Addresses of Principal Entity	
1(d)	Other names and addresses of the corporation (Past 10 years)	
1(e)	Description of businesses presently operated by the Principal Entity	
1(f)	Relationship of Principal Entity and VLT 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	Request for Transcript of Federal Income Tax Returns Form 4506-T	

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

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 1004) Attached

Principal Entity Disclosure Form (Form 1006) Attached

☐ Yes ☐ No☐ 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 Employee (Form 1004) Attached

Principal Entity Disclosure Form (Form 1006) Attached

☐ Yes ☐ No☐ Yes ☐ No**Note: Attach additional copies of Exhibit pages as needed**

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)

Note: Attach additional copies of Exhibit pages as needed

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)

☐ Mailing ☐ Residential ☐ Corporate ☐ Production ☐ Development / Testing ☐ Warehouse / Storage ☐ Distribution
☐ 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)

☐ Mailing ☐ Residential ☐ Corporate ☐ Production ☐ Development / Testing ☐ Warehouse / Storage ☐ Distribution
☐ 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)

☐ Mailing ☐ Residential ☐ Corporate ☐ Production ☐ Development / Testing ☐ Warehouse / Storage ☐ Distribution
☐ Other (Describe) _____

Address Line 1

Address Line 1

City

City

City

Country

Country

Country

Note: Attach additional copies of Exhibit pages as needed

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)						
☐ Mailing	☐ Residential	☐ Corporate	☐ Production	☐ Development / Testing	☐ Warehouse / storage	☐ Distribution
☐ 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)						
☐ Mailing	☐ Residential	☐ Corporate	☐ Production	☐ Development / Testing	☐ Warehouse / storage	☐ Distribution
☐ 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)						
☐ Mailing	☐ Residential	☐ Corporate	☐ Production	☐ Development / Testing	☐ Warehouse / storage	☐ Distribution
☐ Other (Describe) _____						
Address Line 1		Address Line 1				
City		City			City	
Country		Country			Country	

Note: Attach additional copies of Exhibit pages as needed

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					

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 1(f):

RELATIONSHIP OF PRINCIPAL ENTITY AND THE APPLICANT

Provide a description of the relationship between the Principal Entity and the Applicant for the Video Lottery Terminal Operation License, and include any terms and conditions that affect ownership and control.

Note: Attach additional copies of Exhibit pages as needed

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.)

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 3:**OWNERS OF PRINCIPAL ENTITY**

Provide each person who has a direct ownership interest in a Video Lottery Facility Operation and all individuals and trusts who have a 5% or greater indirect ownership interest in a Video Lottery facility.

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

Note: Attach additional copies of Exhibit pages as needed

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

Note: Attach additional copies of Exhibit pages as needed

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					

Note: Attach additional copies of Exhibit pages as needed

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)

Note: Attach additional copies of Exhibit pages as needed

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		

Note: Attach additional copies of Exhibit pages as needed

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		

Note: Attach additional copies of Exhibit pages as needed

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, 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

Note: Attach additional copies of Exhibit pages as needed

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	

Note: Attach additional copies of Exhibit pages as needed

REQUIRED ATTACHMENTS - EXPLANATIONS

All information shall be provided *in addition* to the exhibits that are to be submitted.

[illegible]

Initials_____

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 video lottery terminal license in the State of Maryland.

The Maryland State Lottery Commission is required by law to conduct an investigation of an applicant for a video lottery terminal license. That investigation requires the Commission to collect and evaluate information about the applicant's principal entities. I irrevocably give consent to the Maryland State Lottery Commission, the Video Lottery Facility Location Commission, the Maryland State Police, and persons authorized by the Commission, 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 Commission any and all information about me, or the principal entity that I represent, that the Commission 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 Commission, I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Commission 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

Stamp or Seal

Printed Name

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 Maryland State Lottery Commission, its employees, agents, and vendors (collectively, "the Commission"), 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 video lottery license, or may result in the Commission 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 Commission for purposes of its investigation of an applicant for a video lottery operation 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 Commission, the State of Maryland, and their employees, agents, and representatives, from liability for any and all claims or legal action arising from any actions that the Commission or the State of Maryland 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

Stamp or Seal

Printed Name

My commission expires _____, 20____

EXHIBIT 14 ACKNOWLEDGEMENT AND DISCLOSURE

I understand and acknowledge the following:

I am a representative of _____ (printed name of Principal Entity), who is applying to the Maryland Lottery and Gaming Control Commission ("Commission") to be a Principal Entity of an applicant for a video lottery terminal operation license in the State of Maryland. The Principal Entity cannot conduct business with a video lottery operation licensee applicant or a video lottery operation licensee unless the Commission finds that the Principal Entity meets the legal requirements for licensure. The Commission, through its employees, agents and vendors, is required by law to conduct a background investigation of each Principal Entity.

During the investigation, the Commission is required to collect and evaluate various kinds of information or reports to determine if Principal Entities meet the eligibility requirements for licensure. The background investigation will include, but not be limited to, information or reports about the Principal Entity's: character; general reputation; personal characteristics, including honesty and integrity; financial stability; debts to State agencies; criminal records, records of involvement with federal, state or other law enforcement agencies as specified in the application, or record of involvement with any litigation. As a representative, I have the right to request a complete and accurate disclosure of the nature and scope of the investigation and a copy of a summary of the Principal Entity's rights under federal credit reporting law.

I am requesting that the Commission, through its employees, agents or vendors, obtain this information about the Principal Entity to evaluate their eligibility for a license. I acknowledge that this disclosure and authorization remain in effect during the time the application is pending and during the time of any video lottery operation license that may be granted.

By separate Authorization for Release of Information, I am authorizing any entity or individual that has information about the Principal Entity that I represent, to release that information to the Commission for purposes of its investigation of a Principal Entity of an applicant for a video lottery terminal operation license in the State of Maryland.

Signature_____
Date_____
Printed Name

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____

EXHIBIT 15
REQUEST FOR FEDERAL TAX RETURN

The IRS Form 4506-T is required to be executed so that the Commission will be authorized to obtain independent verification of the Principal Entity's filing of required federal tax returns.

The Principal Entity must submit 2 (two) original IRS Form 4506-T forms with the application packet. (During the course of the investigation, the Commission may need to request up to five years of returns, but the Form 4506-T only provides space to request four years, which creates a need for a second form to be completed and submitted).

Since the IRS updates the language on the Form 4506-T periodically, please check the upper left corner and determine if the revision date is current. If the enclosed form is no longer the most current, the Principal Entity is asked to retrieve an up-to-date version from the IRS website:

<https://www.irs.gov/Forms-&-Pubs>

On both copies of the Form 4506-T, the Principal Entity must complete lines 1 through 4; check the "Signatory declaration" block; sign the form; date the form; and enter a telephone number corresponding to line 1a.

Since the Licensing Division will need to determine which tax returns will be necessary to complete the financial stability inquiries, the Principal Entity is requested to leave lines 6 through 9 blank. It is recommended that the Principal Entity contact the Licensing Division if the Principal Entity has questions or concerns regarding the cautionary notes above line 6 and below line 9.

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

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 provided as an attachment must be presented in the same order as listed below provided to the Commission in the manner described above in **A.12** and **A.13** (separated, secure and labeled).

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	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.	
7	Annual reports for the last five years	
8	Annual reports prepared on the SEC's form 10K for the last 5 years.	
9	A copy of the last quarterly unaudited financial statement	
10	Copy(ies) of any interim reports	
11	A copy of the last definitive Proxy or information statement (SEC)	
12	A copy of all registration statements for the last five years filed in accordance with the Securities Act of 1933	
13	Copies of all other reports prepared in the last five years by independent auditors of the corporation	

14	Certified copies of the Articles of Incorporation, Charter and By-laws, and all amendments and proposed amendments	
15	Current ownership table of organization	
16	Copies of 1120 forms and 941 forms filed with the IRS in the last five years.	
17	Copies of IRS 5500 form filed in the last 5 years.	
18	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.	
19	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.	
20	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.	

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK