



Lottery and Gaming Control Commission

1800 Washington Boulevard, Suite 330, Baltimore, MD 21230

GAMING MANUFACTURER LICENSE RENEWAL APPLICATION

Form #1026

Applicant: _____

ELIBIGILITY

- 1) Any currently licensed Maryland Gaming Manufacturer, other than an employee of a video operation licensee, who contracts with a video lottery operation licensee, a video lottery operation licensee applicant or other person to:
 - (a) engage in the business of designing, building, constructing, assembling, manufacturing, or distributing a central monitor and control system, video lottery terminals, associated equipment or software, or the cabinet in which a video lottery terminal is housed;
 - (b) produce a product that is intended for sale, lease, or other assignment to the Commission or a licensee;
 - (c) contract with the Commission or a licensee for the sale, lease, or other assignment of a product described in subparagraph (a);
 - (d) engage in the business of designing, building, constructing, assembling, manufacturing, or distributing table games or table game equipment;
 - (e) produce a product related to table games that is intended for sale, lease, or other assignment to a licensee;
 - (f) contract with a licensee for the sale, lease, or other assignment of a product described in subparagraph (e); or
 - (g) a manufacturer of instant bingo machines shall meet the requirements of and be licensed as a manufacturer of video lottery terminals or table games under COMAR 36.03.02.13; or electronic gaming devices under COMAR 36.07.03.12 must:
 - I. submit an application for renewal to the Commission at **least 6 months before the manufacturer's license expires**, but not more than 9 months before the manufacturer's license expires;
 - II. continue to comply with all licensing requirements;
 - III. submits to a background investigation; and
 - IV. pays the required renewal fees and costs described below in 'Fees and Costs'.
- 2) Applicant owners, current officers, directors, trustees listed on Exhibit 9 and Exhibit 11 of this form **must** electronically file the Principal Employee Application Form 1004 or Principal Employee Renewal Application Form 1008 via the MLGCA 'e-Licensing' system.

IMPORTANT: As of March 15, 2017, the online Temporary Principal Employee License application, the Principal Employee License Application and the Principal Employee Renewal License Application are now included and operational in the 'e-Licensing' system; the Commission will no longer accept paper applications for any of these Principal Employee related licenses. If a Manufacturer has not previously utilized MLGCA's 'e-Licensing' system, the Manufacturer is urged to contact MLGCA's Licensing Division for guidance.

- 3) All video lottery employees of a Manufacturer must be licensed. A Manufacturer must electronically submit the Temporary Gaming Employee License Application, Form 2003 via MLGCA's 'e-Licensing' system if the employee has not previously been licensed by the Maryland Lottery and Gaming Commission (Commission) or a Gaming Employee License Renewal Application Form 4001 via the MLGCA 'e-Licensing' system if the employee's Gaming license is within 150 days of expiration.

RENEWAL FEES AND COSTS**License fee:****(Tier 1)**

- (a) \$5,000 for a manufacturer of a video lottery terminal or table game device;
- (b) \$25,000 for a manufacturer of a central monitor and control system;
- (c) \$5,000 for a manufacturer of associated equipment and software;
- (d) \$1,000 for a distributor or reseller of a video lottery terminal, a table game device, a central monitor and control system, or associated equipment and software; and

(Tier 2)

- (e) \$800 for a manufacturer that produces a product that:
 - (i) Is related to video lottery terminals, table games or associated equipment and software that is intended for sale, lease, or other assignment to a licensee;
 - (ii) Does not have the ability to impact the integrity of a game; and
 - (iii) Is not essential to table game play.

Background investigation costs:

A \$2,000 Background Investigation Deposit is required at the time an Applicant files a Gaming Manufacturer License Application. Should the deposit be exhausted prior to the completion of the background investigation, the Applicant will be billed for any additional investigative costs incurred by the Commission. Conversely, the Applicant will be refunded any unused portion of this fee once the investigation has been concluded.

Examples of the above fee and cost schedule are:**(Tier 1)**

License renewal fee of \$5,000 for a Tier 1 manufacturer of a video lottery terminal or table game device; Additional License renewal fee of \$1,000 for a Tier 1 distributor or reseller of a video lottery terminal, a table game device, a central monitor and control system, or associated equipment and software; and Background Investigation Deposit of \$2,000
...would therefore require an \$8,000 payment to renew a Tier 1 license.

Examples of the above fee and cost schedule are (continued):**(Tier 2)**

License renewal fee \$800 for a Tier 2 manufacturer; and
Background Investigation Deposit of \$2,000
... would therefore require a \$2,800 payment to renew a Tier 2 license.

TERM OF LICENSE, RENEWALS**Term:**

A Maryland Gaming Manufacturer license is valid for five years.

Renewal process:

The Commission may renew the Gaming Manufacturer license if the Manufacturer:

- a. Submits an application for renewal to the Commission at least 6 months before the Manufacturer's license expires, but not more than 9 months before the Manufacturer's license expires;
- b. Continues to comply with all licensing requirements;
- c. Submits to a background investigation; and

Pays license renewal fees and costs described above in 'Fees and Costs'.

REMITTANCE OF FEES AND COSTS

Note: Renewal License fees, made payable to "**Maryland Lottery and Gaming Control Agency**" are due at the time of application. **License fees are non-refundable.**

You may wire transfer your payment or send it (certified/bank check or money order) with the application to the following address:

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

Wire Payment to:

1. **Maryland Lottery and Gaming Control Agency Account Number:** 4928823376
2. **Name of the Account** – Maryland State Lottery Wells Fargo Bank, N.A.
3. **If Required** the SWIFT code is WFBIU6S ABA Routing Number: 121000248

ELECTRONIC SUBMISSION OF DOCUMENTS

All accompanying documentation, attachments, appendices and/or supporting documents must be submitted as **separate .pdf files** (not as one continuous .pdf), and each file must be identified by name or designated exhibit number.

CAUTION: Failure or refusal to submit required documentation to the Commission in the prescribed manner will cause significant delays in the processing of the renewal application. Delays caused by a Manufacturer's noncompliance may result in the expiration of the Manufacturer's term of license before the renewal application can be presented to the Commission for review and approval.

TABLE OF CONTENTS

		<u>Page #</u>
Section A	IMPORTANT NOTICES.....	6
Section B	INSTRUCTIONS... ..	7
Section C	MANUFACTURER LICENSE RENEWAL FORMS	9
Section D	DEFINITIONS	10
Section E	APPLICANT INFORMATION.....	11
	E.1 Name of Applicant Applicant’s Form of Organization	11
	E.2 Manufacturer Business.....	11
	E.3 License Association	11
	E.4 Applicant’s Form of Organization.....	11
	E.5 Point-of-Contact for Applicant... ..	11
	E.6 Applicant’s Principal Address	11
	E.7 Incorporation.....	12
	E.8 Directors, Partners, Officers and Trustees... ..	13
	E.9 Former Directors, Partners, Officers and Trustees... ..	14
	E.10 Compensation of Directors, Partners, Officers and Directors.....	14
	E.11 Bonus, Profit Sharing, Pension, Retirement, Deferred Compensation and Similar Plans.....	14
	E.12 Stock Description	14
	E.13 Voting Shareholders/Members and Non-Voting Shareholders Members (Corporation - C or S, LLC’s)	14
	E.14 Interest of Current/Former Partners (Partnerships, LLP’s, and Limited Partnerships)... ..	15
	E.15 Holder(s) and extent of Long Term Debt.....	15
	E.16 Holder(s) & Type of Other Indebtedness & Security Devices... ..	16
	E.17 Security Options.....	16
	E.18 Beneficial Owners of Options.....	17
	E.19 Principals Not Yet Disclosed... ..	17
	E.20 Financial Institutions... ..	17
	E.21 Contracts.....	17
	E.22 Applicant Stock Holdings.....	17
	E.23 Insider Transactions... ..	17
	E.24 Criminal History... ..	18
	E.25 Testimony, Investigation, or Polygraphs.....	19
	E.26 Existing and Past Litigation	19
	E.27 Anti-Trust, Trade Regulation & Securities Judgments; Statutory and Regulatory Violations.....	19
	E.28 Bankruptcy or Insolvency Proceedings.....	20
	E.29 Licenses... ..	20
	E.30 Contributions and Disbursements... ..	20

E.31 Applicant’s Financial Statements..... 21
E.32 Request for Transcript of Tax Returns Form 4506-T..... 21

Section F Exhibit Checklist 24

EXHIBITS 26 – 57

Exhibit 26 - Authorization for Release of Information..... 58
Exhibit 27 – Affidavit of Representative of Applicant..... 59
Exhibit 28 – Acknowledgment and Disclosure..... 60

Section G APPENDICES..... 61

SECTION A - IMPORTANT NOTICES

- A.1 This form is an official document of the 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** A Maryland Gaming Manufacturer license is a privilege. The burden of proving qualifications to receive and hold a license is at all times on the Applicant. The Applicant accepts any and all risks of adverse public notice, embarrassment, criticism, emotional distress or financial loss that may result from any action with respect to this application. The Applicant 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 Applicant shall provide all information, documents, materials and certifications at the Applicant’s expense.
- A.3** You must make accurate 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 and may subject you to civil and/or criminal penalties.
- A.4** The total cost of the investigation conducted pursuant to this application shall be borne by the Applicant. In addition, the Applicant is responsible for the payment of all application fees required under the law and regulations and the posting of a bond that may be required by the Commission. The application will not be processed until the fees have been submitted.
- A.5** The Applicant 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 Applicant 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 Applicant on this form. The Applicant must immediately notify the Commission of any change of address.
- A.8** Any Applicant who applies for and obtains a license from the Commission may be required to submit to warrantless searches as stated in the law or regulation.
- A.9** All submissions with and for this application become the property of the Commission and **will not** be returned.
- A.10** Once the application has been submitted to the Commission, the Applicant **may not** withdraw its application without permission of the Commission.
- A.11** 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.12** The Applicant 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 as one continuous .pdf), and each file must be identified by name or designated exhibit number.
- A.13** The Applicant is required to mail, send or transmit the password to the Licensing Division in a timely fashion. The Applicant should forward the password **separately** from the application.
- A.14** 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

These instructions are applicable to any Applicant seeking a Maryland Gaming Manufacturer license ("license"). If a business entity that applies for a license is a subsidiary or if a business entity holding a license is to become a subsidiary, each holding company and each intermediary company with respect to the Applicant shall, as a condition of the subsidiary acquiring or retaining a license, provide all the information requested by the Commission.

- B.1** 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.2** 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.3** The Applicant, if it is an individual, **must initial each page**, or if the Applicant is not an individual, the person authorized to complete the form on behalf of the Applicant (**Exhibit 27**) **must initial each page** as provided in lower right-hand corner. The applicant is attesting to the accuracy and completeness of the information contained on that page and that they have read the page.
- B.4** 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.5** 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.**
- B.6** An Applicant should give specific attention to the clear identification of those portions of its application that it deems to be 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 an applicant 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. Applicant 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. An applicant 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.7** The Commission may request additional financial and other information as needed.
- B.8** The license renewal fees described in the “Fees and Costs” section on Page 3 of this form and authorized by COMAR are non-refundable. Additional costs and expenses may be incurred by the Commission in its investigation of the Applicant. Background investigation costs will be assessed by the Commission and shall be reimbursed to the Commission promptly upon receipt of an invoice. The failure to reimburse the Commission for background investigation costs is a basis for disqualification of the Applicant.

- B.9** Manufacturers 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. Either a "Certificate of Good Standing" or the "Trade Name Registration" from MD SDAT (**not** from the Maryland Comptroller's Office) must be submitted to the Commission. An Applicant can 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 "Maryland SDAT Compliance".

SECTION C - MANUFACTURER LICENSE RENEWAL APPLICATION FORMS

The forms and electronic submissions of applications related to a Manufacturer license are as follows:

- C.1** **Manufacturer License Renewal Application (Form -1026)**
- C.2** **Principal Employee Application (Form -1004) or Principal Employee Renewal Application (Form -1008)** – An individual who is a Principal Employee of a company, to include each Director, Partner, Officer, Trustee or Owner, applying to become a (**Tier 1**) Gaming Manufacturer of:
- (i) A video lottery terminal or table game device;
 - (ii) A central monitor and control system;
 - (iii) Associated equipment and software; or
 - (iv) A distributor or reseller of a video lottery terminal, a table game device, a central monitor and control system, or associated equipment and software, **must**:
 - I. Be licensed by the Commission as a Principal Employee; or
 - II. Submit a Principal Employee License Application Form 1004, via the MLGCA 'eLicensing' system, if the Director, Partner, Officer, Trustee or Owner has not previously been licensed by the Commission; or
 - III. Submit a Principal Employee License Renewal Application Form 1008, via the MLGCA 'eLicensing' system, if the Director, Partner, Officer, Trustee or Owner's Principal Employee License is within six months of expiration; unless
 The individual believes he or she is eligible for a waiver of a licensing requirement. An individual who submits the Principal Employee waiver form (Form 1007) does not need to complete Form 1004 or a Form 1008 unless directed to do so by the Commission.

IMPORTANT: As of March 15, 2017, the online Temporary Principal Employee License application, the Principal Employee License Application and the Principal Employee Renewal License Application are now included and operational in the 'e-Licensing' system. The **Commission will no longer accept paper applications** for any of these Principal Employee related licenses. If a Manufacturer has not previously utilized MLGCA's 'e-Licensing' system, please contact MLGCA's Licensing Division for guidance.

- C.3 **Gaming Employee License Application (Form -2001)** – An individual who is a Principal Employee of a company, to include each Director, Partner, Officer, Trustee or Owner, applying to become a (**Tier 2**) Gaming Manufacturer of a product that:
- (i) Is related to video lottery terminals, table games or associated equipment and software that is intended for sale, lease, or other assignment to a licensee;
 - (ii) Does not have the ability to impact the integrity of a game; and
 - (iii) Is not essential to table game play, **must**:
 - I. Be licensed by the Commission as a Gaming Employee; or
 - II. Submit a Gaming Employee License Application, Form 2001, via MLGCA’s ‘eLicensing’ system, if the Director, Partner, Officer, Trustee or Owner has not previously been licensed by the Commission; or
 - III. Submit a Gaming Employee License Renewal Application, Form 4001, via MLGCA’s ‘eLicensing’ system, if the Director, Partner, Officer, Trustee or Owner’s Principal Employee License is within 150 days of expiration; unless
- The individual believes he or she is eligible for a waiver of a licensing requirement. An individual who submits the Principal Employee waiver form (Form 1007) does not need to complete Form 2001 or a Form 4001 unless directed to do so by the Commission.

IMPORTANT: If it is determined that an individual listed in a company’s Manufacturer license application is required to submit a Gaming Employee License Application, the Applicant’s point-of-contact, listed in **E.5** must contact MLGCA’s Casino Licensing and Background Investigation Division in order to obtain a logon and account access for the MLGCA ‘e-Licensing’ system.

The Commission **will not accept the paper version** of the Gaming Employee License Application.

- C.4 **Principal Entity Disclosure Form (Form-1006)** – Controlling shareholders, interest of current and former partners (if partnership, LLP, limited partnership).
- C.5 **Principal Employee Waiver Form (Form-1007)** – For an individual who is a principal or key employee requesting a waiver of a licensing requirement.

SECTION D - 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 E - APPLICANT INFORMATION

E.1 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):

E.2 MANUFACTURER BUSINESS

Describe the type of product(s) provided:

E.3 LICENSEE ASSOCIATION

Name the Licensee(s) with whom you have an agreement:

E.4 APPLICANT'S FORM OF ORGANIZATION

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

E.5 POINT-OF-CONTACT FOR APPLICANT *

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

* If it is determined that an individual listed by the Applicant is required to submit a Gaming Employee License Application, the point-of-contact listed above will be required to contact the MLGCA's Casino Licensing and Background Investigation Division for 'e-Licensing System' log-on and account access.

E.6 APPLICANT'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)		

E.7 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) Place of Incorporation or other type of Formation:

- 3) Date of Formation: _____

(b) INCORPORATORS / FOUNDERS

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

(c) MARYLAND SDAT COMPLIANCE

To conduct business in Maryland, every Applicant must register with the Maryland Department of Assessments and Taxation (MD SDAT), regardless of the form of organization.

Provide the SDAT **Department ID number:** _____

IMPORTANT:

Submit a *.pdf* of either a “Certificate of Good Standing” or the “Trade Name Registration” from MD SDAT (**not** from the Maryland Comptroller’s Office). The exhibit should be submitted as described in **A.12** and **A.13** and labeled as “**Maryland SDAT Compliance**”. For further information, see **B.10**.

(d) OTHER NAMES IN WHICH APPLICANT HAS DONE BUSINESS

Use **Exhibit 1(b)** to list all other names in which the Applicant 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 APPLICANT

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

(f) PREVIOUS ADDRESSES OF APPLICANT

Use **Exhibit 1(d)** to provide all addresses, other than those listed in **Exhibit 1(c)**, which Applicant has used or from which it was conducting business during the last five (5) 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 APPLICANT

Use **Exhibit 1(e)** to provide a description of all businesses presently operated or intended to be operated by the Applicant and all former businesses operated by the Applicant in the past five (5) years.

(h) ALL HOLDING, INTERMEDIARIES, SUBSIDIARIES, AFFILIATES OR OTHER BUSINESS TYPE ENTITIES

Use **Exhibit 1(f)** to list the names, all addresses used in the last five (5) 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)**.

E.8 DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

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:

- a. As part of this application, each Director, Partner, Officer and Trustee of the Manufacturer applying to renew a license as a (**Tier 1**), **must** fulfill licensing requirements as outlined in **C.2**

- b. As part of this application, each Director, Partner, Officer and Trustee of the Manufacturer applying to renew a license as a (Tier 2), **must** fulfill licensing requirements as outlined in C.3

E.9 FORMER DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

Use **Exhibit 3** to provide information for all officers, directors, partners and trustees who are no longer actively involved with Applicant but who held such a position during the last five (5) years.

E.10 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 \$100,000* 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, bonuses or other.

E.11 BONUS, PROFIT SHARING, PENSION, RETIREMENT, DEFERRED COMPENSATION & SIMILAR PLANS

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 each and every plan.

E.12 STOCK DESCRIPTION

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 Applicants. 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.

E.13 VOTING SHAREHOLDERS/ MEMBERS AND NON-VOTING SHAREHOLDERS/ MEMBERS (CORPORATION - C or S; LLS)

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:

- a. As part of this application, each individual, person or entity holding or having a beneficial interest in the voting or non-voting stock of the Applicant applying to become a (**Tier 1**), **must** fulfill licensing requirements as outlined in **C.2**.
- b. As part of this application, each individual, person or entity holding or having a beneficial interest in the voting or non-voting stock of the Applicant applying to become a (**Tier 2**), **must** fulfill licensing requirements as outlined in **C.3**.
- c. This requirement includes non-public holding entities.

**E.14 INTEREST OF CURRENT/ FORMER PARTNERS
(PARTNERSHIPS, LLPS AND LIMITED PARTNERSHIPS)**

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 five (5) years.

List and identify all current Partners first and list and identify all former Partners second.

IMPORTANT:

- a. As part of this application, each current Partner of the Applicant applying to become a (**Tier 1**), **must** fulfill licensing requirements as outlined in **C.2**.
- b. As part of this application each current Partner of the Applicant applying to become a (**Tier 2**), **must** fulfill licensing requirements as outlined in **C.3**.

E.15 HOLDER(S) AND EXTENT OF LONG TERM DEBT

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:

- a. As part of this application, each individual applicant, as required by the Commission, of the Applicant applying to become a (**Tier 1**), **must** fulfill licensing requirements as outlined in **C.2** or **C.5**
- b. As part of this application, each individual applicant, as required by the Commission, of the Applicant applying to become a (**Tier 2**), **must** fulfill licensing requirements as outlined in **C.3**.

E.16 HOLDER(S) AND TYPE OF OTHER INDEBTEDNESS AND SECURITY DEVICES

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:

- a. As part of this application, each individual applicant as required by the Commission of the Applicant applying to become a (**Tier 1**), **must** fulfill licensing requirements as outlined in **C.2** or **C.5**
- b. As part of this application, each individual applicant as required by the Commission of the Applicant applying to become a (**Tier 2**), **must** fulfill licensing requirements as outlined in **C.2** or **C.5**.
- c. Attach Description and Documentation as part of **Exhibit 10**. Submit documentation as described in **A.12** and **A.13**

E.17 SECURITY OPTIONS

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, optioned 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. Submit documentation as described in **A.12** and **A.13**

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.*

E.18 BENEFICIAL OWNERS OF OPTIONS

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

E.19 PRINCIPALS NOT YET DISCLOSED

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 or licensee.

E.20 FINANCIAL INSTITUTIONS

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 five (5) 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.

E.21 CONTRACTS

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.

E.22 APPLICANT STOCK HOLDINGS

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

E.23 INSIDER TRANSACTIONS

Use **Exhibit 17** to provide information for each change that occurred within the last five (5) 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.

E.24 CRIMINAL HISTORY (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 Applicant's character, honesty and integrity.

This section asks about any arrests, offenses or charges against the Applicant or any of its subsidiaries or any of its 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 on Page 20*

- 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:**

During the past five (5) years, has the Applicant; or

Have any of the Applicant's subsidiaries; or

Have any of the Principal Employees, (Directors, Partners, Officers, Trustees, Owners) 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 18** to provide information concerning criminal history during the past five (5) years.

E.25 TESTIMONY, INVESTIGATIONS or POLYGRAPHS

a. During the past five (5) years, 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 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 19** to describe the investigations, testimony or polygraphs.

E.26 EXISTING AND PAST LITIGATION

Use **Exhibit 20** to describe all existing civil litigation or any settled or closed legal action over the past five (5) years to which the Applicant, 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 most recent litigation first.

E.27 ANTITRUST, TRADE REGULATION & SECURITIES JUDGEMENT; STATUTORY AND REGULATORY VIOLATIONS

a. During the past five (5) years, has the corporation 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 five (5) years, has the corporation 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 21** to provide the following information for each judgment, order, consent decree or consent order.

E.28 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 five (5) 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 five (5) year period? Yes No
- c. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed in the last five (5) 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 question ‘a’, ‘b’ or ‘c’, use **Exhibit 22** to provide detailed information for each bankruptcy or insolvency proceeding.

E.29 LICENSES

- a. During the past five (5) years, has the Applicant, or any affiliate, intermediary, subsidiary or holding company **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. During the past five (5) years, has the Applicant, or any affiliate, intermediary, subsidiary or holding company 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? Yes No
- c. If “Yes”, use **Exhibit 23** to provide the following information for each license application, license, permit or other authorization applied for and license or certificate denied, suspended or revoked.

E.30 CONTRIBUTIONS AND DISBURSEMENTS

- a. During the past five (5) years, 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 alleged to have been bribes or kickbacks to any employee, company or organization to obtain favorable treatment? Yes No
- b. During the past five (5) years, 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 alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment? Yes No

- c. During the past five (5) 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 past five (5) years, 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", to question 'a', 'b', 'c' or 'd', use **Exhibit 24** 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.

E.31 APPLICANT'S FINANCIAL STATEMENTS

Submit the **two** most recent year's financial statements for the Applicant, specifically 'Balance Sheets' and 'Profit and Loss Statements', in the manner described in A.12 and A.13.

The files must be submitted as **separate .pdf** files, and should be labeled as:

Exhibit 29a (Balance Sheet #1);

Exhibit 29b (Balance Sheet #2);

Exhibit 29c (Profit and Loss Statement #1); and

Exhibit 29d (Profit and Loss Statement #2).

During the investigation to determine the Applicant's financial stability, the Commission may require that additional financial documentation be submitted.

E.32 REQUEST FOR TRANSCRIPTS OF FEDERAL TAX RETURNS

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

The Applicant must submit two (2) 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 Applicant 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 Applicant 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 Applicant is requested to leave lines 6 through 9 blank. It is recommended that the Applicant contact the Licensing Division if the Applicant has questions or concerns regarding the cautionary notes above line 6 and below line 9.

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SECTION F - EXHIBITS**Manufacturer Application and Disclosure Information Form**

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 in which the applicant has done business	
1(c)	Current Addresses the of Applicant	
1(d)	Previous addresses of the Applicant (Past 10 years)	
1(e)	All businesses operated by the Applicant	
1(f)	Holding, intermediaries, subsidiaries, affiliates or other business type entities	
2	Current Directors, Partners, Officers, Trustees	
3	Former Directors, Partners, Officers, Trustees	
4	Compensation over \$100,000	
5	Description of all bonus, profit sharing, pension, retirement, deferred compensation and similar plans	
6	Stock Description	
7(a)	Voting shareholders/Members	
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	Investigations, Testimony or Polygraphs	
20	Existing and Past Litigation	
21	Antitrust, trade regulations and securities judgments; statutory and regulatory violations	
22	Bankruptcy or insolvency proceedings	
23	Licenses	

24	Contributions and Disbursements	
25	Required attachments - explanations	
26	Authorization for Release of Information	
27	Affidavit of Representative of Manufacturer	
28	Acknowledgment and Disclosure	
None	Appendices	

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EXHIBIT 1(a):

INCORPORATORS/FOUNDERS

Provide the Applicant'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) or Principal Employee License Renewal (Form 1008) Submitted electronically

Yes No

Principal Entity Disclosure Form (Form 1006) Submitted electronically

Yes No

Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically

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) or Principal Employee License Renewal (Form 1008) Submitted electronically

Yes No

Principal Entity Disclosure Form (Form 1006) Paper copy attached or Submitted electronically

Yes No

Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically

Yes No

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 1(b):

OTHER NAMES IN WHICH APPLICANT HAS DONE BUSINESS

List all other names in which the Applicant has done business within the past five (5) 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.)

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

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 1(c):

CURRENT ADDRESSES OF APPLICANT

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

Describe the Applicant'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 Applicant'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 Applicant'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

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 1(d):

PREVIOUS ADDRESSES OF APPLICANT

Provide all the previous addresses of the Applicant and all previous addresses from which the Applicant has done business during the last five (5) years. (Note: **If a Sole Proprietorship, provide the appropriate information on the Exhibits.**)

Describe the Applicant'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 Applicant'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 Applicant'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

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 1(e):

ALL BUSINESSES OPERATED BY THE APPLICANT

Provide a description of all businesses presently operated or intended to be operated by the Applicant and all former businesses operated by the Applicant in the past five (5) 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): ALL HOLDING, INTERMEDIARIES, SUBSIDIARIES, AFFILIATES OR OTHER BUSINESS TYPE ENTITIES

List the names, all addresses used in the last five (5) 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).

Name of Business	Operated From Date/To Date
------------------	----------------------------

State if Holding, Intermediary, Subsidiary, Affiliate or other (if other, state type of business)	Federal Identification Number/Social Security Number/Tax Identification Number
---	--

Address last 5 years

Address	City	State	Postal Code	Contact Number

Description and Activities of Business

Forms 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) _____			

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 applicant. 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:

FORMER DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

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 five (5) years.

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:

COMPENSATION OVER \$100,000

Provide the information for *all employees* who earn over \$100,000 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, bonuses or other.

Name, Home Address & Business Address of Employees				
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	Structure of Compensation (i.e. Salary, wages, bonus, fees, commission etc.)

Note: Attach additional copies of Exhibit pages as needed

Exhibit 5: BONUS, PROFIT SHARING, PENSION, RETIREMENT, DEFERRED COMPENSATION & SIMILAR PLANS

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 each and every plan.

Plan		
Name of Plan		
Trustee Name		
Address Line 1		Address Line 2
City	State	Postal Code
Country	Email address	Contact Number
Plan Specifications		
Material Specifications of Plan		
Method of Financing Plan		
Class of Person in Plan	Number of Individuals in each Class	Amount Distributed to Each Class during the Last Fiscal Year Plan was in Effect

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 6:

STOCK DESCRIPTION (Corporations - C & S; LLC's)

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 Applicants. 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.

Stock Types/Classes					
Stock Type/Class	Number of shares Authorized	Number of Shares Issued	Number of Shares Outstanding	Voting/Non-voting? (list all voting stocks first and then non-voting stock)	Term, Conditions, Rights etc. of Stock

Is any right of a shareholder able to be modified by less than a majority vote of a particular class? If so, explain in the space below.

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 7a:

VOTING SHAREHOLDERS

Provide information on each person or entity holding of record or having a beneficial interest of 5% or more in any voting stock issued by the Applicant as of the date of filing the Application.

Name, Home Address & Business Address				
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	

Stock Types/Classes				
Stock Type/Class	Number of shares held	Acquisition Date	% of outstanding shares held	Term, Conditions, Rights etc. of Stock

Principal Employee (Form 1004) or Principal Employee License Renewal (Form 1008) Submitted electronically
 Principal Entity Disclosure Form (Form 1006) Paper copy attached or Submitted electronically
 Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically

Yes No
 Yes No
 Yes No

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 7b:

NON-VOTING SHAREHOLDERS

Provide information on each person or entity holding of record or having a beneficial interest of 5% or more in any non-voting stock issued by the Applicant as of the date of filing the Application.

Name, Home Address & Business Address				
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	

Stock Types/Classes				
Stock Type/Class	Number of shares held	Acquisition Date	% of outstanding shares held	Term, Conditions, Rights etc. of Stock

Principal Employee (Form 1004) or Principal Employee License Renewal (Form 1008) Submitted electronically Yes No
 Principal Entity Disclosure Form (Form 1006) Paper copy attached or Submitted electronically Yes No
 Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically Yes No

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 8a:

INTEREST OF CURRENT PARTNERS

List the Applicant's Current 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.

Name, Home Address & Business Address				
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	

Partner Type (place X next to type of Partner)	% of Ownership in Applicant	Date Acquired interest	Please explain participation in Applicant's business, if any
<input type="checkbox"/> Full/General Partner			
<input type="checkbox"/> Limited Partner			
<input type="checkbox"/> Dormant/Silent Partner			
<input type="checkbox"/> Nominal Partner			
other: _____			

Principal Employee (Form 1004) or Principal Employee License Renewal (Form 1008) Submitted electronically

Yes No

Principal Entity Disclosure Form (Form 1006) Paper copy attached or Submitted electronically

Yes No

Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically

Yes No

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 8b:

INTEREST OF FORMER PARTNERS

List all Former Partners. List 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 five (5) years.

Name, Home Address & Business Address				
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	

Partner Type (place X next to type of Partner)	% of Ownership in Applicant	Held interest To/From	Please explain participation in Applicant's business, if any	Reason for Leaving
<input type="checkbox"/> Full/General Partner				
<input type="checkbox"/> Limited Partner				
<input type="checkbox"/> Dormant/Silent etc. Partner				
<input type="checkbox"/> Nominal Partner				
<input type="checkbox"/> other: _____				

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 9:

EXTENT AND HOLDER OF LONG TERM DEBT

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.

Type of instrument (Place X next to type)	Dated Issued	Repayment Due Date	Principal Amount	Interest Rate	Renewable or Non-Renewable (State One)
<input type="checkbox"/> Bond <input type="checkbox"/> Note <input type="checkbox"/> Loan <input type="checkbox"/> Credit line <input type="checkbox"/> Mortgage <input type="checkbox"/> Trust Deed <input type="checkbox"/> Debenture <input type="checkbox"/> Shareholder/Partner Loan <input type="checkbox"/> other _____					

Explain type, class, terms, conditions and priorities etc. for the debt instrument

Name and Address of Person Holding Debt

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	

Current balance of this debt

Principal Employee (Form 1004) or Principal Employee License Renewal (Form 1008) Submitted electronically Yes No
 Principal Entity Disclosure Form (Form 1006) Paper copy attached or Submitted electronically Yes No
 Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically Yes No
Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 10: HOLDER AND TYPE OF OTHER INDEBTEDNESS AND SECURITY DEVICES

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.

Type of Instrument	Dated Issued	Repayment Due Date	Principal Amount	Interest Rate	Renewable or Non-Renewable(State One)

Explain type, class, terms, conditions and priorities etc. for the debt instrument

Name and Address of Person Holding Debt

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	
Current balance of this debt				

Principal Employee (Form 1004) or Principal Employee License Renewal (Form 1008) Submitted electronically Yes No
 Principal Entity Disclosure Form (Form 1006) Submitted electronically Yes No
 Gaming Employee License (Form 2001) or Gaming Employee License Renewal (Form 4001) Submitted electronically Yes No

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 11:

SECURITIES OPTIONS – DESCRIPTION

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, optioned became or will become, entitled to exercise the options, and when such options expire.

Include with Exhibit 11, copies of any outstanding option plans or proxy statements that correspond to the requested information. Submit documentation as described in A.12 and A.13

Option Name	Security Type	Option Grant Years	Option Expiration Date
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Explain how the option holder will or may become entitled to exercise option

Option Name	Security Type	Option Grant Years	Option Expiration Date
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Explain how the option holder will or may become entitled to exercise option

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 12:

BENEFICIAL OWNERS OF SECURITY OPTIONS

Provide information regarding all persons holding the options described in E.15

Name, Home Address & Business Address				
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		

Beneficial Owner List of Options						
Security Option Name	Security Type	Option Grant Years	Option Expiration Date	Number of Voting Shares Granted	Number of Non-voting Shares Granted	Value at Issuance

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 14:

FINANCIAL INSTITUTIONS

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 five (5) 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.

Name of Institution		Federal Identification Number	
Address Line 1		Address Line 2	
City	State/Province	City	
Country	email address	Contact Number	

Accounts at the Financial Institution

Account Number	Account Type	Purpose of Account	Purpose of Closing	Date Opened and Closed

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 15:

CONTRACTS

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.

Name of Business or Vendor		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 Contract and Goods and Services to be provided		Compensation and Method of Payment	

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 17:

INSIDER TRANSACTIONS

Provide information for each change that occurred within the last five (5) 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.

Name, Home Address & Business Address*			
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	

DATE OF TRANSACTION	NATURE OF TRANSACTION	PARTIES TO TRANSACTION (INCLUDE Name & POSITIONS)	NUMBER OF SECURITIES INVOLVED	DOLLAR VALUE OF TRANSACTION

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 18:

CRIMINAL HISTORY

During the past five (5) years, has the Applicant;

Have any of the Applicant's subsidiaries;

Have any of the Principal Employees, (Directors, Partners, Officers, Trustees, Owners) 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?

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	DISPOSITION (ACQUITTED, CONVICTED, DISMISSED, ETC.)	SENTENCE	NAME OF DIRECTOR, PARTNER, OFFICER OR TRUSTEE

Note: Attach additional copies of Exhibit pages as needed

EXHIBIT 19:

TESTIMONY, INVESTIGATIONS OR POLYGRAPHS

During the past five (5) years, has the Applicant, any of its subsidiaries, principals, directors, partners, trustees or officers 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 20:

EXISTING LITIGATION

Describe all existing civil litigation or any settled or closed legal action over the past three (3) years to which the Applicant, 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 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 21: **ANTITRUST, TRADE REGULATION AND SECURITIES JUDGMENTS; STATUTORY**
AND REGULATORY VIOLATIONS

During the past five (5) years, has the corporation 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?

During the past five (5) years, has the corporation 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 22:

BANKRUPTCY OR INSOLVENCY PROCEEDINGS

During the past five (5) years, 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?

During the past five (5) years, 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?

During the past five (5) years, has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed by a court for the business or property of the Applicant, 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 23:

LICENSES (Gaming and Non-Gaming)

During the past five (5) years, has the Applicant, or any affiliate, intermediary, subsidiary or holding company 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.)?

During the past five (5) years, has the Applicant, or any affiliate, intermediary, subsidiary or holding company 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 24:

CONTRIBUTIONS AND DISBURSEMENTS

During the past five (5) years, 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 alleged to have been bribes or kickbacks to any employee, company or organization to obtain favorable treatment?

During the past five (5) years, 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 alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment?

During the past five (5) 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?

During the past five (5) years, 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?

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

EXHIBIT 26
AUTHORIZATION FOR RELEASE OF INFORMATION

TO: _____

FROM: _____
(Printed Name of Applicant Entity)

I am the authorized representative of an Applicant for a gaming-related license in the State of Maryland.

The Maryland Lottery and Gaming Control Commission ("Commission") is required by law to conduct an investigation of an applicant for a video lottery terminal license or instant bingo facility license. That investigation requires the Commission to collect and evaluate information about the entity that I represent. On behalf of the entity, I irrevocably give consent to the Commission, and persons authorized by the Commission, to: (1) verify all information provided in the license application documents; (2) conduct a background investigation of the entity; and to have access to any and all information that the entity has provided to any other jurisdiction seeking a similar license in that jurisdiction, as well as the information obtained by that other jurisdiction during the course of any investigation that it may have conducted about the entity.

By executing this Authorization, I authorize any of the following entities to release to the Commission any and all information about the entity 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, on behalf of the entity, I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Commission under the authority of this Authorization. Photo, facsimile, or electronic copy of this signed and dated Authorization shall be equally effective as an original.

Signature of Individual Completing Form

Date

Printed Name

Title

NOTARY PUBLIC

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

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

Notary Public

Stamp or Seal

Printed Name

My commission expires _____, 20____

EXHIBIT 27
AFFIDAVIT OF REPRESENTATIVE OF APPLICANT

I, _____ (printed name), am authorized to complete and execute this Gaming Manufacturer License Application on behalf of _____ (printed name of Manufacturer). I am also authorized to provide all of the information requested on this Form to the Maryland Lottery and Gaming Control 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 Application. To the best of my knowledge, information, and belief, the information that I have provided on, or attached to, this Application is accurate, complete, and not misleading. I understand that any misrepresentation or omission may lead to the delay or denial of an application for a license, or may result in the Commission imposing sanctions against the Applicant, up to and including revocation of its license if it has been awarded or issued a license. I understand that any misrepresentation or omission on this Application may also subject me, or the manufacturer that I represent, to civil or criminal liability. I understand and acknowledge that the manufacturer has an ongoing duty to promptly notify the Commission if any information it provides the Commission changes.

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

On behalf of the Manufacturer 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 Manufacturer and the use of that information in connection with investigating an Institutional Investor.

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____

**EXHIBIT 28
ACKNOWLEDGMENT AND DISCLOSURE**

I understand and acknowledge the following:

I am a representative of the Applicant _____ (printed name of Manufacturer), who is applying to the Maryland Lottery and Gaming Control Commission (“Commission”) for a Maryland Gaming Manufacturer License. The Applicant cannot conduct business with a video lottery operation licensee applicant or a video lottery operation licensee unless the Commission finds that the Applicant 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 Applicant for a license.

During the investigation, the Commission is required to collect and evaluate various kinds of information or reports to determine if applicants meet the eligibility requirements for licensure. The background investigation will include, but not be limited to, information or reports about the Applicant’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 Applicant’s rights under federal credit reporting law.

I am requesting that the Commission, through its employees, agents or vendors, obtain this information about the Applicant 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 Manufacturer license that may be granted.

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

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

Printed Name

Stamp or Seal

My commission expires _____, 20____

SECTION G - APPENDICES

Manufacturer License Application and Disclosure Information 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 applicant, indicate “**N/A**”, then use **Exhibit 25** 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 all bonus, profit sharing, pension, retirement, deferred compensation and similar plans.	
2	Description of long-term debt for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants. Provide this information in addition to both Exhibit 9 & 10 .	
3	Description of other indebtedness and security devices for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants. Provide this information in addition to both Exhibit 11 & 12 .	
4	Description of Security Options for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants. Provide this information in addition to both Exhibit 13 & 14.	
5	Description of Existing Litigation. Description of any settled or closed litigation against the Applicant for the past three (3) years. Also, describe any existing, settled, or closed litigation for the past three (3) years for any holding, intermediary, subsidiary or affiliate. A description of any judgments against Applicant, holding, 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 information in addition to both Exhibits 20 & 22 .	
6	Audited financial statements for the last five years for Applicant and Applicant’s holding, intermediary, subsidiary, affiliate and any other type of business entity, including the last fiscal year. If audited financial statement do not exist, then provide unaudited financial statements.	
7	Annual reports for the last five years for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants.	
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 for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants.	

10	Copy of any interim report for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants.	
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 for the Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants.	
14	Certified copies of the Articles of Incorporation, Charter and By-laws, and all amendments and proposed amendments for Applicant and for the holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicants.	
15	Current ownership table of organization for the Applicant.	
16	Current organizational chart for all holding, intermediaries, subsidiaries, affiliates or any other type of business entity of the Applicant.	
17	Functional table of organization for the Applicant filing this form, job descriptions and names of employees earning in excess of \$100,000.	
18	Copies of 1120 forms and 941 forms filed with the IRS in the last five years.	
19	Copies of IRS 5500 form filed in the last 5 years.	
20	If Applicant or a holding, intermediary, subsidiary, affiliate and any other type of business entity of Applicant has held a gaming license in another jurisdiction, provide a letter of reference from the gaming or casino enforcement or regulatory agency with the Applicant, specifying the experiences of the agency with the Applicant, the Applicant's associates and the Applicant's gaming operation.	
21	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.	
22	Details of planned, committed and un-committed future capital expenditures.	
23	Schedule of insurance policies currently in effect, including deductibles and policy limits, and any self-insurance retentions.	
24	Along with the description provided in Exhibit 22 , provide the nature and results of any other material reorganization, readjustment or success of the applicant, holding, intermediary, subsidiary or affiliate. Also 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 applicant, holding, intermediary, subsidiary or affiliate because of such a proceeding.	