

SECTION 5.1(a)(1-12)

The following are the responses of Hollywood Casino Aurora to Section 5.1(a) (1-12) of the Riverboat Gambling Act:

1. The name, business address and business telephone number of the licensee:
 - A. Name: *HC Aurora, LLC*
 - B. Business address: *49 W. Galena Blvd., Aurora, Illinois 60506*
 - C. Business telephone number: *(630) 801-1234*

2. The identification of the state of incorporation, the corporate officers and the identity of all shareholders of the licensee:
 - A. State of Incorporation: *Illinois*
 - B. Corporate officers:
Peter M. Carlino - Chairman, Board of Directors
Timothy Wilmott - President, Chief Executive Officer
Jay Snowden – Executive Vice President, Chief Operating Officer
Rafael Verde - V.P./General Manager
 - C. Identity of all shareholders:
Penn National Gaming, Inc.

3. The identification of any business, including, if applicable, the state of incorporation or registration, in which the licensee has an equity interest of more than 5%.

None.

4. Whether the licensee has been indicted, convicted, pleaded guilty or nolo contendere or forfeited bail concerning any criminal offense under the laws of any jurisdiction, either felony or misdemeanor (except for traffic violations), including the date, the name and location of the court, arresting agency and prosecuting agency; the case number, the offense, the disposition and the location and length of incarceration.

None.

5. Whether the licensee has had any license or certificate issued by a licensing authority in Illinois or any other jurisdiction denied, restricted, suspended,

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revoked or not renewed and a statement describing the facts and circumstances concerning the denial, restriction, suspension, revocation or non-renewal, including the licensing authority, the date each such action was taken, and the reason for each such action.

None.

6. Whether the licensee has ever filed or had filed against it a proceeding in bankruptcy or has ever been involved in any formal process to adjust, defer, suspend or otherwise work out the payment of any debt including the date of filing, the name and location of the court, the case and number of the disposition.

None.

7. Whether the licensee has filed, or been served with a complaint or other notice filed with any public body, regarding the delinquency in the payment of, or a dispute over the filings concerning the payment of, any tax required under federal, State or local law, including the amount, type of tax, the taxing agency and time periods involved.

W-2G/1099 TIN mismatches (2010): In October 2011, the IRS forwarded a notice of possible missing/mismatched TINs on W-2G/1099s issued for 2010 and proposed a \$16,700 Penalty. In accordance with IRS regulations, we issued the required B-notices (backup withholding letters) by December 31, 2011. There has been no change in the status of this matter since then. We periodically receive notices from the IRS indicating the matter is under review.

Form 945: HC Aurora, LLC has remitted to the IRS all federal income taxes withheld from patron winnings and is current with all Filings of Form 945. HC Aurora, LLC received a letter of discrepancy regarding the 2013 filings of these forms. The discrepancy is due to the change of the legal name from Hollywood Casino – Aurora, Inc. to HC Aurora, LLC resulting from the split of Penn National Gaming, Inc. into two legal entities. HC Aurora, LLC staff is working closely with the IRS to resolve this issue.

W2G Withholding: In 2014, HC Aurora, LLC remitted late tax payments for W2G taxes withheld on four occasions with an anticipated late penalty estimated to be \$528.81. The IRS has not accessed these late penalties to date.

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8. A statement listing the names and titles of all public officials or officers of any unit of government, and relatives of said public officials or officers who, directly or indirectly, own any financial interest in, have any beneficial interest in, are the creditors of or hold any debt instrument issued by, or hold or have any interest in any contractual or service relationship with, the licensee.

To the best of LICENSEE's knowledge, no public officials or officers or employees of any unit of government, or relatives of said public officials, officers or employees, directly or indirectly, own any financial interest in, have any beneficial interest in, are the creditors of or hold any debt instrument issued by, or hold or have any interest in any contractual or service relationship with LICENSEE, any of its key persons, or any individual or business entity having an interest in the operation.

To the extent that any said public officials, officers or employees or their relatives would have a financial interest in Penn National Gaming Company and not disclose this fact to Penn National, Penn National would not be aware of this interest, unless such person qualified as a Key Person under the definition of the Act.

9. Whether the licensee has made, directly or indirectly, any political contribution, or any loans, donations or other payments, to any candidate or office holder, within 5 years from the date of filing the application, including the amount and the method of payment:

See attached Exhibit 9.

10. The name and business telephone number of the counsel representing the licensee in matters before the Board:

*Cezar Froelich
Shefsky & Froelich
111 East Wacker, Suite 2800
Chicago, IL 60601
312-836-4002*

11. A description of the approved riverboat gaming operation, including (a) the type of boat, (b) home dock location, (c) expected economic benefit to the community, (d) anticipated or actual number of employees, (e) any statement from the licensee regarding compliance with federal and State affirmative action guidelines, (f) projected or actual admissions and (g) projected or actual adjusted gross gaming receipts:

(a) Hollywood Casino-Aurora's \$78.2 million-dollar Dockside Gaming Facility is the centerpiece of downtown Aurora, Illinois. It is a

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permanently moored, non-motorized facility attached to the pavilion which is located on land. Construction of the Dockside Gaming Facility was completed in June 2002. The 53,000 square foot facility contains 41,000 square feet of gaming space on a single level. Aside from a beautiful art deco décor, the casino features wide aisles, comfortable gaming areas, and 18-foot ceilings. All of Hollywood's 1,200 gaming positions are located on the Dockside Gaming Facility, which also features High Limit Slot and High Limit Table Game areas, as well as the first Poker Room in Illinois.

- (b) Licensee has its home dock in Aurora, Illinois.*
- (c) In 2014, the Licensee paid \$7,441,119 in gaming revenue to the City of Aurora which was used for city operations. Licensee contributed over \$166,577 in cash and in-kind donations to local charities and non-profit organizations.*
- (d) Licensee has approximately 531 employees.*
- (e) Licensee is in compliance with federal and State affirmative action guidelines.*
- (f) Licensee had 1,097,301 patron admissions in 2014.*
- (g) Licensee adjusted gross gaming receipts (gaming revenue) totaled \$126,876,359 in 2014.*

12. A description of the product or service to be supplied by an applicant for a supplier's license.

Not applicable.

**HOLLYWOOD CASINO - AURORA
SUMMARY OF POLITICAL CONTRIBUTIONS (76080-1000)
FOR THE YEAR ENDING July 31, 2015**

RECIPIENT

TOTAL

NONE

**SUMMARY OF POLITICAL CONTRIBUTIONS (76080-1000)
FOR THE YEAR TWELVE MONTHS ENDED JULY 31, 2014**

RECIPIENT	TOTAL
Andre Thapedi (Citizens to Elect)	\$ 333
Andy Manar (Friends for)	\$ 333
Anna Moeller (Friends for)	\$ 333
Art Turner II (Friends of)	\$ 333
Brandon Phelps (for State Representative)	\$ 333
Chris Nybo (Citizens for)	\$ 333
Christine Radogno (Citizens for)	\$ 333
Dale Righter (Citizens for)	\$ 333
Dan Burke (Committee to Elect)	\$ 333
Dan Kotowski (for State Senate)	\$ 333
Darin LaHood (Citizens for)	\$ 333
David Harris (Committee to Elect)	\$ 333
Democratic Majority	\$ 833
Don Harmon (Friends for)	\$ 333
Elgie Sims Jr (Friends of)	\$ 333
Fred Crespo (Citizens for)	\$ 333
Grant Wehrli (Citizens to Elect)	\$ 333
James Clayborne (Friends of)	\$ 333
Jennifer Bertino-Tarrant (Committee to Elect)	\$ 1,667
Jerry F Costello (Friends of)	\$ 333
Jim Durkin (Citizens for)	\$ 833
John Anthony (Friends of)	\$ 333
John Cullerton (Citizens for)	\$ 333
John Mulroe (Friends for)	\$ 333
John Sullivan (Friends of)	\$ 333
Karen McConnaughay (Citizens for)	\$ 1,667
Lawrence M Walsh Jr (Friends for)	\$ 1,667
Linda Chapa LaVia (Friends of)	\$ 1,667
Linda Holmes (Citizens for)	\$ 1,667
Martin J Moylan (Friends for)	\$ 333
Melinda Bush (Friends of)	\$ 333
Michael Connelly (Citizens for)	\$ 333
Michael Hastings (Citizens for)	\$ 333
Micheal Noland (Citizens for)	\$ 333
Mike Jacobs (Friends for)	\$ 333
Napolean Harris(Friends of)	\$ 333
Natalie Manley (Friends of)	\$ 1,667
Pamela Althoff (Citizens for)	\$ 333
Pat McGuire (for Senate)	\$ 1,667
Pat Verschoore (Friends for)	\$ 333
Robert "Bob" Pritchard (Citizens for)	\$ 333
Ron Sandack (Citizens to Elect)	\$ 333
Stephanie Kifowit (Friends of)	\$ 1,667
Sue Rezin (Friends of)	\$ 333
Tom Cullerton (Friends for)	\$ 333
TOTAL	\$ 26,667

**POLITICAL CONTRIBUTIONS
FOR THE TWELVE MONTHS ENDING JULY 31, 2013**

RECIPIENT	TOTAL
Acevedo, Edward (Citizens for)	167
Beiser, Daniel (Citizens for)	167
Burke, Daniel (Committee to Elect)	333
Burke, Kelly (Friends of)	333
Chapa-LaVia, Linda (Friends of)	1,667
Connelly, Mike	833
Crespo, Fred (Citizens for)	167
Cross, Tom (Citizens to Elect)	1,667
Cullerton, John	1,667
Democratic Party of Illinois	1,667
Dillard, Kirk (Citizens for)	833
Durkin, Jim (Citizens for)	333
Forby, Gary (Campaign Fund)	333
Haine, Bill (Friends of)	667
Harmon, Don (Friends of)	333
Hatcher, Kay	333
Holmes, Linda (Citizens for)	1,667
House Republican Organization	833
Illinois Senate Democratic Victory Fund	1,667
Kosel, Renee (Friends of)	667
Kotowski, Dan (for IL Senate)	833
Lang, Lou (Citizens for)	167
Lily, Camille (Friends of)	333
Madigan, Mike (Friends of)	3,333
Mautino, Frank (Committee for)	167
McAuliffe, Mike (Citizens for)	333
McConnaughay, Karen (Citizens for)	333
McGuire, Pat (for IL Senate)	1,667
Munoz, Tony (Citizens for)	333
Noland, Michael (Citizens for)	833
Oberweis, Jim (Friends of)	333
Phelps, Brandon (for State Representative)	333
Radagno, Christine (Citizens for)	1,667
Raoul, Kwame (Friends of)	333
Reboletti, Dennis (Citizens for)	333
Republican State Senate Committee	1,667
Rezin, Sue (Friends of)	667
Roth, Pam (Friends of)	167
Sandack, Ron (Citizens to Elect)	333
Saviano, Skip (Friends of)	1,333
Schmitz, Timothy (Friends of)	333
Senger, Darlene (Committee to Elect)	167
Syverson, Dave (for Senate)	167
Thapedi, Andre' (Citizens to Elect)	333
Watson, Jim (Citizens for)	167
	33,000
	33,000

HOLLYWOOD CASINO - AURORA
SUMMARY OF POLITICAL CONTRIBUTIONS - CASH BASIS (76080-1000)
FOR THE TWELVE MONTHS ENDING JULY 31, 2012

<u>RECIPIENT</u>	<u>TOTAL</u>
Acevedo, Edward (Citizens for)	167
Beiser, Dan (Citizens for)	167
Burke, Dan (Committee to Elect)	333
Burke, Kelly	333
Chapa LaVia, Linda (Friends of)	1,667
Clayborne, James (Friends of)	1,167
Connelly, Mike	833
Cross, Tom (Citizens to Elect)	1,667
Cullerton, John (Citizens for)	1,667
Democratic Party of Illinois	1,667
Dillard, Kirk (Citizens for)	1,000
Durkin, Jim (Citizens for)	333
Forby, Gary (Campaign Fund)	167
Haine, Bill (Friends of)	833
Harmon, Don (Friends of)	333
Hatcher, Kay (Friends of)	333
Holmes, Linda (Citizens for)	1,667
House Republican Organization	833
Illinois Senate Democratic Victory Fund	1,667
Kosel, Renee (Friends for)	667
Kotowski, Dan (for IL Senate)	833
Lang, Lou (Citizens for)	167
Lilly, Camille (Friends of)	333
Madigan, Mike (Friends of)	3,333
Mautino, Frank (Committee for)	167
McAuliffe, Michael (Citizens for)	333
Munoz, Tony (Citizens for)	333
Noland (Citizens for)	667
Phelps, Brandon (for State Representative)	333
Radogno, Christine (Citizens for)	1,667
Ramey, Randy (Citizens to Elect)	333
Raoul, Kwame (Friends of)	333
Reboletti, Dennis (Citizens for)	333
Republican State Senate Campaign Committee	1,167
Sandack, Ron (Citizens to Elect)	833
Saviano, Skip (Friends of)	1,333
Schmitz, Tim (Friends of)	333
Senger, Darlene (Citizens to Elect)	167
Sullivan, Ed (Citizens for)	167
Syverson, Dave (for Senate)	167
Thapedi, Andre (Citizens to Elect)	333
Watson, Jim (Citizens for)	167
Wilhelmi, AJ (Friends of)	1,667
TOTAL	<u>33,000</u>

All of these contributons were paid by Penn and charged to HCA

WOOD CASINO - AURORA
 SUMMARY OF POLITICAL CONTRIBUTIONS (76080-1000) - CASH BASIS
 FOR THE TWELVE MONTHS AUGUST 2010 THROUGH JULY 2011

RECIPIENT	TOTAL
Acevedo, Edward (Citizens for)	167
Beaubien, Mark (Citizens for)	167
Beiser, Dan (Citizens for)	333
Bond, Michael (for Senate)	167
Burke, Dan (Committee to Elect)	333
Chapa LaVia, Linda (Friends of)	1,667
Clayborne, James (Friends of)	667
Connelly, Mike	167
Cross, Tom (Citizens to Elect)	167
Cullerton, John (Citizens for)	2,667
Democratic Party of Illinois	3,333
Dillard, Kirk (Citizens for)	833
Durkin, Jim (Citizens for)	167
Haine, Bill (Friends of)	333
Harmon, Don (Friends of)	1,667
Hatcher, Kay (Friends of)	333
Hoffman, Jay (Committee to Elect)	167
Holmes, Linda (Citizens for)	333
Holmes, Linda (Committee to Elect)	1,667
House Republican Organization	1,667
Illinois Senate Democratic Victory Fund	833
Kosel, Renee (Friends for)	833
Lang, Lou (Citizens for)	667
Link, Terry (Friends of)	333
Madigan, Mike (Friends of)	333
Maulino, Frank (Committee for)	3,333
McAuliffe, Michael (Citizens for)	167
McCarthy, Kevin (Voters for)	167
Millner, John (Friends of)	333
Munoz, Tony (Citizens for)	333
Phelps, Brandon (for State Representative)	333
Radogno, Christine (Citizens for)	333
Ramey, Randy (Citizens to Elect)	2,667
Raoul, Kwame (Friends of)	167
Reboletti, Dennis (Citizens for)	333
Reitz, Dan (Friends for)	333
Republican State Senate Campaign Committee	333
Risinger, Dale (Citizens for)	833
Saviano, Skip (Friends of)	333
Schmitz, Tim (Friends of)	1,333
Senger, Darlene (Citizens to Elect)	333
Sullivan, Ed (Citizens for)	167
Syverson, Dave	167
Watson, Jim (Citizens for)	667
* Paid by Penn and charged to HCA via intercompany	167