

# ILLINOIS GAMING BOARD

160 N. LaSalle Street, Suite 300  
Chicago, Illinois 60601-3103



## ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT BUSINESS ENTITY DISCLOSURE FORM

Name of Business Entity:

Doing Business As: (an assumed name must be registered with the Secretary of State)

Address:

Mailing Address: (if different than above)

Telephone #: \_\_\_\_\_ Facsimile \_\_\_\_\_

FEIN/Identification number\*: \_\_\_\_\_ Illinois Business Tax number (if applicable)\*\*: \_\_\_\_\_

Affiliated Applicant/Licensee: \_\_\_\_\_

Please indicate below the type of Applicant/License for which this Form is submitted (check all that apply):

- Owner's License  
 Organization Gaming License  
 Master Sports Wagering License  
 Management Services Provider License  
 Tier 2 Official League Data Provider License  
 Supplier's License -specify  Casino/Riverboat Supplier  Sports Wagering Supplier

Business Entity's Position/Relationship to Applicant/Licensee (check all that apply)

- Shareholder  Shareholder of Parent or Subsidiary  
 Partner  Other  
 LLC Member

\*If Applicant does not hold a FEIN number, state the proposed date for obtaining such number and the Internal Revenue Service District where federal tax filings will occur.

\*\*Depending on the nature of its business, the Business Entity may be required to register with the Department of Revenue and pay certain taxes. To inquire as to the applicability of these registration requirements, contact the Department of Revenue (Central Registration Division) at 217-785-2889.

Authorized Agent Name/Title: \_\_\_\_\_

(please print name/title)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Email: \_\_\_\_\_ Contact Number: \_\_\_\_\_

**INSTRUCTIONS FOR THE ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT  
BUSINESS ENTITY DISCLOSURE FORM**

**WARNING**

**BY FILING THIS FORM, YOU ACCEPT ANY RISK OF ADVERSE PUBLIC NOTICE, EMBARRASSMENT, CRITICISM, OR OTHER ACTION, OR FINANCIAL LOSS WHICH MAY RESULT FROM ACTION TAKEN OR NOT TAKEN WITH RESPECT TO THE FORM AND ANY LICENSE APPLICATION, AND EXPRESSLY WAIVE ANY CLAIM FOR DAMAGES AS A RESULT THEREOF. INFORMATION NOT REQUESTED IN THIS FORM OR IN ADDITION TO THAT PROVIDED IN RESPONSE TO THIS FORM MAY BE REQUESTED.**

Read the entire Form before responding to the questions.

The total cost of the investigation conducted pursuant to this Application shall be borne by the licensee through whom the Application will be submitted.

This form is an official document. You should respond to the questions contained herein to the Best of your Knowledge after substantial inquiry. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. **ANY misrepresentation, failure to reveal information or omission is grounds for denial of a license application or a finding of unsuitability requiring economic disassociation. "A person who knowingly makes a false statement on an application is guilty of a Class A misdemeanor." 230 ILCS 10/1 et seq.**

You are under a continuing duty to disclose promptly any changes in the information provided in this form and additional information and materials submitted to the Illinois Gaming Board. The duty to make such additional disclosures shall continue throughout any period of licensure granted by the Illinois Gaming Board associated with this Illinois Gambling Act and Sports Wagering Act Business Entity Disclosure Form.

Type or print the answers to questions in black ink. If a question does not apply to you, so state with "N/A." If space available is insufficient, continue on a separate sheet of paper and precede each answer by labeling the section to which it is responsive. An authorized agent must initial each page, as provided in the top right hand corner. By placing such initials on each page, the Business Entity attests to the accuracy and completeness of the information contained on that page.

The male pronoun when used herein shall include the masculine, feminine and neuter as well as the plural, as appropriate.

As used in this disclosure form, the term "applicant" refers to the business entity submitting the disclosure form.

A. FORMS AND DOCUMENTS

Applicant must submit the following Forms in an electronic format and all other required items to the licensee. Thereafter, the licensee shall submit the information to the Board. All copies must be labeled with Applicant's name:

1. Illinois Gambling Act & Sports Wagering Act Business Entity Disclosure Form.
2. Individual Key Person Personal Disclosure Form for each Key Person of the Business Entity who is also a Key Person of the Applicant/Licensee based upon that individual's ownership interest, ability to control, or exercise significant influence over the management, assets, or operating policies of the Applicant or Licensee. The Board may require Applicant to submit this Form for other Individuals.
3. Schedule of Exhibits.
4. Applicant's Request to Release Information.
5. Release of All Claims.
6. Affidavit of Full Disclosure.
7. Verification.
8. IRS Account Transcripts for the last five years.
9. Complete copies of Federal and State tax returns for the last three years.

Send an electronic copy of the form and additional items to:

**Illinois Gaming Board  
Attn: Licensing Unit  
160 N. LaSalle St. Suite 300  
Chicago, Illinois 60601-3103**

## B. DEFINITIONS

For the purposes of this Application, the following terms shall have the following meanings:

**Act:** The Illinois Gambling Act or Sports Wagering Act

**Affiliate:** An affiliate of an entity is a person that directly, or indirectly through one or more intermediaries, controls, or is controlled by, or is under common control with, such entity.

**Applicant:** Any Individual or Business Entity, including any predecessor business entity, who directly or indirectly has submitted an Owner's/Organization Gaming License Application, Business Entity Disclosure Form, Individual Key Person Personal Disclosure Form, Occupational License Level 1 Application, Institutional Investor Disclosure Form, or Trust Identification and Disclosure Form.

**Application:** All material submitted, including the Instructions, Definitions, Forms and other documents issued and/or requested by the Board, comprising Applicant's Owner's/Organization Gaming License Application Form.

**Attributed Interest:** A direct or indirect interest in an Applicant deemed to be held by an Individual not through the Individual's actual holdings but either through the holdings of the Individual's relatives or through a third party or parties on behalf of the Individual pursuant to a plan, arrangement or agreement.

**Bank:** (A) A banking institution organized under the laws of the United States or any other country or jurisdiction, (B) a member bank of the Federal Reserve System, (C) any other banking institution or trust company, whether incorporated or not, doing business under the laws of any State or of the United States, a substantial portion of the business of which consists of receiving deposits or exercising fiduciary powers similar to those permitted to national banks under the authority of the Comptroller of the Currency, and which is supervised and examined by State or Federal authority having supervision over banks, and which is not operated for the purpose of evading the provisions of this title, and (D) a receiver, conservator or other liquidating agent of any institution or firm included in clauses (A), (B) or (C) of this paragraph.

**Beneficial Interest:** A right, interest, benefit or advantage that a person enjoys from a property or trust, resulting from a contract or agreement, without actual ownership or control of the property.

**Best of Knowledge:** Applicant's knowledge after substantial inquiry.

**Board:** The Illinois Gaming Board.

**Business Entity or Entity:** A partnership, corporation, unincorporated association or group, firm, limited liability company, partnership for shares, trust, sole proprietorship or other business enterprise.

**Casino:** A facility at which lawful gambling is authorized as provided in the Illinois Gambling Act.

**Compensation:** Anything of value, including without limitation salary, wages, commissions, tips, gratuities, fees, bonuses, stock options, warrants and distributions from S corporations, in any form, including cash, securities, real property and tangible and intangible personal property.

**Contingent Liability:** Any obligation, indebtedness or claim, the amount of which cannot be definitely ascertained until the occurrence or nonoccurrence of some future event.

**Control:** The possession, direct or indirect, of the power to direct or cause the direction of the management, operation or policies of an Individual or Business Entity, whether through the ownership of voting securities, by contract, or otherwise.

**Debt Instrument:** Any bond, loan, mortgage, trust deed, note, debenture, subordination, guaranty, letter of credit, security agreement, surety agreement, pledge, chattel mortgage or other form of indebtedness.

**Dependent:** Any Individual who received over half of his support in a calendar year from any other Individual.

**Docksite:** The location where a Riverboat Gaming Operation conducts gambling operations pursuant to an Owner's License or where a Riverboat moors for the purpose of embarking passengers for and disembarking passengers from a Riverboat Gaming Operation.

**Due Diligence:** A thorough review of public and private source information that is conducted pursuant to a detailed investigative plan on the identity, background experience, credentials, licensing, financial stability, and other factors related to a Person's ability to perform contractual obligations or otherwise meet the requirements for suitability and licensing in the State of Illinois.

**FEIN:** Federal Employee Identification Number.

**Felony:** A criminal offense for which a sentence of imprisonment for one year or more may be imposed under the laws of any jurisdiction.

**Financial Statement:** Any balance sheet, income statement, profit and loss statement, statement of cash flow, and sources and uses of funds statement.

**Game:** A gambling activity which is played for money, property, or anything of value, including without limitation those played with cards, Chips, Tokens, Vouchers, dice, implements, or electronic, electrical, or mechanical devices or machines.

**Gaming:** The dealing, operating, carrying on, conducting, maintaining or exposing for play of any Game.

**Gaming-related:** Anything related to the dealing, operating, carrying on, conducting, maintaining or exposing for play of any game.

**Gaming Equipment/Supplies:** A machine, mechanism, device or implement which is integral to the operation of a Game or affects the result of a Game by determining win or loss, including without limitation: electronic, electrical, or mechanical devices or machines; cards or dice; layouts for Live Gaming Devices; any representative of value used with any Game, including without limitation chips, tokens, or electronic cards; Voucher Systems; Voucher Printers; Voucher Validation Terminals; Computer Monitoring Systems; and hardware and software related to any item described herein.

**Gaming Operation:** The Applicant for a Casino/Riverboat or Organization Gaming License, Owner licensees, Organization Gaming licensees, Gaming Operations Manager, or, as the context requires, the conduct of Gaming and all related activities, including without limitation the purveying of food, beverages, parking, retail goods and services, and transportation, at a Casino/Riverboat or Organization Gaming facility and at its Support Facilities.

**Gaming Operations Manager:** An Individual or Business Entity other than the holder of an Owner's License or an Organization Gaming License who has the ultimate responsibility to manage, direct or administer the conduct of Gaming.

**Immediate Family:** Spouse (other than a spouse who is legally separated from the Individual under a decree of divorce or separate maintenance), parents, grandparents, siblings, children and grandchildren, step-children, whether by blood, marriage, adoption or natural relationship.

**Indirect Interest:** An interest in a Business Entity that is deemed to be held by an Applicant or holder of an Owner's License or an Organization Gaming License not through the Applicant's or holder's actual holdings in the Business Entity, but through the Applicant's or holder's holdings in other Business Entities.

**Individual:** Any natural person.

**Institutional Investor:** A "qualified institutional buyer" as defined by Securities and Exchange Commission Rule 144A (17 CFR 230.144A) under the Securities Act of 1933, as amended.

**Internal Control System:** Proprietary internal procedures and administration and accounting controls designed by the holder of an Owner's License or an Organization Gaming License for the purpose of exercising control over the Riverboat Gaming Operation or Organization Gaming Operation.

**Junketeer:** An Individual or business entity that facilitates a patron's participation in gaming at a Riverboat Gaming Operation and is compensated, not as an employee but as an independent contractor, by that Operation based upon how much the patron actually wagers or loses.

**Key Person:** An Individual or Business Entity identified by the Board under Section 3000.222 of the Board's Adopted Rules as subject to regulatory approval as a Person able to control, or exercise significant influence over, the management, assets, or operating policies of an Owner, Organization Gaming, or Supplier Applicant or Licensee.

**Material Litigation:** Pending or threatened litigation and resolved lawsuits, administrative actions, unsatisfied judgments, decrees, restraining orders, injunctive orders, excluding personal injury litigation resolved for or seeking less than \$1,000,000.

**Nominee:** Any Individual or Business Entity that holds as owner of record the legal title to tangible or an intangible personality or real property, including without limitation any stock, bond, debenture, note, investment contract or real estate on behalf of another Individual or Business Entity, and as such is designated and authorized to act on his or its behalf with respect to such property.

**Ownership Interest:** Includes, but is not limited to, direct, indirect, beneficial or attributed interest, or holder of stock options, warrants or stock appreciation rights, or holder of any beneficial ownership interest in the Applicant for or holder of an Owner's License, an Organization Gaming License.

**Organization Gaming License:** A license issued by the Illinois Gaming Board under Section 7.7 of the Illinois Gambling Act authorizing gaming pursuant to that section at an organization gaming facility.

**Owner's License:** A license issued by the Illinois Gaming Board to conduct riverboat or a casino gambling operation, but does not include an organization gaming license.

**Parent Company:** A "parent company" of a specified person is an affiliate controlling such person directly, or indirectly through one or more intermediaries.

**Pecuniary:** Refers to something paid or given in money, or a monetary interest in something.

**Predecessor Company:** A Business Entity which no longer exists in its original form but whose assets in substantial part have been acquired by another Business Entity or which had undergone certain internal changes, such as those of identity, form, or capital structure.

**Person:** "Person" includes both individuals and Business Entities.

**Privately Held Company:** A company that is not Publicly Held.

**Public Official:** An Individual who is elected to, is an officer of or employed by any federal or state office or political subdivision, pursuant to federal or state law, or who is appointed to an office which is established under and the qualifications and duties of which are prescribed by such federal or state law to discharge a public duty.

**Publicly Held Company:** A company that has filed a registration statement with the Securities and Exchange Commission.

**Registered Agent:** Any Individual or Business Entity against whom service of process may be made on behalf of any Business Entity or that is designated as such by any articles of incorporation or other corporate filings in any state.

**Related Party:** An Individual or Business Entity having a pecuniary interest in a Business Entity which is not a Publicly Held Company; a holder of more than 5% of the outstanding shares of a Publicly Held Company; a Key Person of a Business Entity; an Affiliate of a Business Entity; a Relative of an Individual having a pecuniary interest in a Business Entity which is not a Publicly Held Company; a Relative of a holder of more than 5% of the outstanding shares of a corporation which is a Publicly Held Company; a Relative of a Key Person of a Business Entity; a Relative of an Affiliate of a Business Entity; a trust for the benefit of or managed by a Business Entity or a Key Person thereof; or any other Individual or Business Entity who is able to control or significantly influence the management or operating policies of a Business Entity.

**Relative:** Spouse, parents, grandparents, children, siblings, uncles, aunts, nephews, nieces, first cousins, fathers-in-law, mothers-in-law, sons-in-law, daughters-in-law, brothers-in-law, sisters-in-law, whether by blood, marriage, adoption or natural relationship, and Dependents.

**Riverboat:** A self-propelled excursion boat or a permanently moored barge on which lawful gambling is authorized and licensed as provided in the Act.

**Sole Proprietor:** An Individual who in his or her own name owns 100% of the assets and who is solely liable for the debts of a business.

**Substantial Creditor:** The holder of any Debt Instrument of whatever character, against an Individual or Business Entity, whether secured or unsecured, matured or unmatured, liquidated or unliquidated, absolute, fixed or contingent, the aggregate amount of which is \$50,000 or more.

**Substantial Owner:** The holder of at least 25% of the total combined voting power of a corporation or at least 25% of the total value of shares of all classes of stock of a corporation; or at least a 25% interest in a partnership; or at least 25% of the value of a trust computed actuarially; or at least 25% of the legal or beneficial interest in any other Business Entity. For purposes of computing the foregoing percentages, a holder shall be deemed to own any stock or other interest in a Business Entity, whether owned directly or indirectly.

**Supplier:** Either a Gaming Operations Manager, lessor of a Casino/Riverboat, Organization Gaming facility, or dock facilities, junketeer, or provider of Gaming Equipment, Gaming Equipment maintenance or repair services, or a provider of any goods or services to a Casino/Riverboat, or Organization Gaming Operation, or a person who sells or leases sports wagering equipment, systems, or other gaming items to conduct sports wagering and offer services related to the equipment or other gaming items and data to a master sports wagering licensee.

**Support Facility:** A place of business which is part of, or operates in conjunction with, a Casino/Riverboat or an Organization Gaming Operation, or is owned in whole or in part by a holder of an Owner's License, Organization Gaming License, or a Supplier's license or any of their Key Persons, including without limitation Casinos, Riverboats, Organization Gaming facilities, offices, docking facilities, parking facilities, hotels, restaurants, Sports Wagering Facilities, etc.

**Table of Ownership and Control:** A listing of all Individuals that hold a position or a level of ownership, control or influence that is material to the regulatory concerns and obligations of the Board or who could influence, directly or indirectly, the conduct of gaming, in a Casino/Riverboat Gaming Operation, Organization Gaming Operation or any other business conducted by or on behalf of a licensee or Key Person, and as otherwise defined and required in Sections 3000.222 and 3000.223 of the Board's Adopted Rules, regardless of their actual legal relationship to the Applicant or Licensee.

**SECTION 1 - APPLICANT INFORMATION**

1. Check the category below which describes the Business Entity’s business structure. An individual should apply as a Sole Proprietor if the other specific categories are not applicable. "Other" must be indicated for any Business Entity which is not one of the specific categories listed. If "Other" is checked, an explanation of the Business Entity is required; if the space provided is insufficient, submit the explanation as **Exhibit 1**.

	<b>Business Structure</b>	<b>Date of Formation, Organization or Incorporation</b>
<input type="checkbox"/>	Sole Proprietor	
<input type="checkbox"/>	Limited Liability Company	
<input type="checkbox"/>	Limited Liability Limited Partnership	
<input type="checkbox"/>	Unincorporated Association	
<input type="checkbox"/>	General Partnership	
<input type="checkbox"/>	Limited Partnership	
<input type="checkbox"/>	Partnership for Shares	
<input type="checkbox"/>	Trust	
<input type="checkbox"/>	Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> C Corporation <input type="checkbox"/> Publicly held corporation (registered with the Securities and Exchange Commission and traded on a national stock exchange)	
<input type="checkbox"/>	Other:	

2. (A) Submit as **Exhibit 2(A)** a detailed description of Applicant's business, including the background and skills of Applicant and Applicant's Key Persons. Identify and describe any Predecessor Company of Applicant.
- (B) Submit as **Exhibit 2(B)** a list of all former and assumed names and the dates of use.
- (C) Submit as **Exhibit 2(C)** a list of all current and former addresses which Applicant or its Predecessor Company has held or from which it has conducted business within ten (10) years from the date of filing this Application, including the approximate time periods during which such addresses were held.
- (D) Submit as **Exhibit 2(D)** a detailed description of Applicant's Substantial Owners including the name, address, telephone number, background and skills of each Substantial Owner and its Key Persons.
- (E) Submit as **Exhibit 2(E)** a detailed description of Applicant's Substantial Creditors including the name, address and telephone number of each Substantial Creditor.
- (F) Submit as **Exhibit 2(F)** a detailed description of Applicant's Affiliates including the name, address and telephone number of each Affiliate and its Key Persons.
3. If Applicant or any of its Substantial Owners does business outside Illinois, submit as **Exhibit 3** a statement listing all other gaming jurisdictions where Applicant or the Substantial Owner does business, describing the business activity conducted in those other jurisdictions, and listing all addresses from which Applicant or the Substantial Owner currently does business.
4. (A) Submit as **Exhibit 4(A)** a schedule listing the name, business address and telephone number of Applicant's Illinois:
- (1) Registered Agent(s);
  - (2) legal services representatives;
  - (3) accounting services representatives; and
  - (4) banking and financial services representatives.



(B) Submit as **Exhibit 4(B)** a schedule listing the name, business address and telephone number of Applicant's other:

- (1) Registered Agent(s);
- (2) legal services representatives;
- (3) accounting services representatives; and
- (4) banking and financial services representatives.

**SECTION 2 - OWNERSHIP INTEREST INFORMATION**

Partnership and LLC Business Entities shall complete Section 5

Corporation Business Entities shall complete Section 6

All Business Entities shall complete Section 7

5. Partnership or LLC

(A) Ownership Disclosure:

Provide the information requested below for each partner (general and limited) or member of the Business Entity. For each Trust, disclose all Beneficiaries. If additional space is needed, submit this information separately as Exhibit **5(A)**.

Name:	Date of Birth:	Social Security Number /FEIN:	Sex <input type="checkbox"/> Male <input type="checkbox"/> Female
Address:		City/State/Zip:	
Title:		Partner/Member <input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner <input type="checkbox"/> Member	% Ownership Interest:
Email Address:		Phone Number:	

Name:	Date of Birth:	Social Security Number /FEIN:	Sex <input type="checkbox"/> Male <input type="checkbox"/> Female
Address:		City/State/Zip:	
Title:		Partner/Member <input type="checkbox"/> General Partner <input type="checkbox"/> Limited Partner <input type="checkbox"/> Member	% Ownership Interest:
Email Address:		Phone Number:	

(B) Additional required information. Submit as **Exhibit 5(B)**:

- 1) A detailed description of the organization of the partnership or LLC.
- 2) Is the partnership or LLC Managed by an outside manager?  Yes  No If yes, attach and describe in detail the management agreement or arrangement.
- 3) For each partner or member, submit:
  - a) the amount of initial investment, whether in the form of cash, negotiable instruments, property, services or otherwise;
  - b) the amount and nature of any anticipated future investments;
  - c) a description of the degree and Control over the activities of the partnership or LLC; and
  - d) the method of distributing partnership or LLC profits.
- 4) for each present and former Key Person of the Business Entity, their name, the place and date of birth, social security number, occupation, business and residential addresses and telephone numbers, percentage of ownership and dates when participation occurred, and the amount of and dates when Compensation was received during the three (3) years prior to the filing of this Application;
- 5) If any partner or member of the Business Entity is another Business Entity, submit, as applicable:
  - a) a detailed description of the organization of each Business Entity, including the name and address of each participant in each entity which is a general partner, limited partner, member, unincorporated associate or other Business Entity; and
  - b) for each Business Entity:
    - i) name, including all former and assumed names and FEIN numbers;
    - ii) business address and telephone numbers;
    - iii) place and date of organization; and
    - iv) any state tax registration numbers.
  - v) A detailed description of any options to purchase any interest in the Business Entity or any options for management or sharing distributions.
  - vi) The exchange(s) on which any Ownership Interests of the Business Entity are publically traded.
  - vii) If within the previous five (5) years there has been a change in the beneficial Ownership Interests of the partnership or LLC, including changes resulting from an assignment, gift, purchase, sale, issuance or exercise of an option to purchase, sell, or grant, or receipt of a put or call, on the part of any owner of any Ownership Interest of the Business Entity, provide the following for each change of ownership:
    - (1) date and nature of transaction;
    - (2) the parties, including their position, to the transaction and their relationship to the beneficial owner of the Ownership Interest;
    - (3) the percentage of ownership involved; and
    - (4) explain how the Ownership Interests were valued.
  - c) if the business entity is a corporation, complete all answers to Section 6
- 6) A detailed description of any options to purchase any interest in the Business Entity or any options for management or sharing distributions.
- 7) The exchange(s) on which any Ownership Interests of the Business Entity are publically traded.

6. Corporation

(A) Ownership Disclosure:

Provide the information requested below for the following Individuals and Business Entities:

- For a non-Publicly Held Company, each officer, director and shareholder of the Business Entity;
- For a Publicly Held Company, each officer and director, and each shareholder with a 5% or more Ownership Interest in the Business Entity.
- Each shareholder with a 5% or more Ownership Interest in a parent or subsidiary corporation

If additional space is needed, provide this information on a separate sheet of paper and submit as **Exhibit 6(A)**.

Name:		Date of Birth:	Social Security Number /FEIN:	Sex:
				<input type="checkbox"/> Male <input type="checkbox"/> Female
Address:		City/State/Zip:		
Email Address:		Phone:	Officer/Director/Shareholder:	
			<input type="checkbox"/> Officer <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Shareholder of parent or subsidiary corporation	
Title:	Number of Shares:		% of Ownership Interest:	

Name:		Date of Birth:	Social Security Number /FEIN:	Sex:
				<input type="checkbox"/> Male <input type="checkbox"/> Female
Address:		City/State/Zip:		
Email Address:		Phone:	Officer/Director/Shareholder:	
			<input type="checkbox"/> Officer <input type="checkbox"/> Director <input type="checkbox"/> Shareholder <input type="checkbox"/> Shareholder of parent or subsidiary corporation	
Title:	Number of Shares:		% of Ownership Interest:	

(B) Additional required information. Submit as **Exhibit 6(B)**:

- 1) A detailed description of the organization of the corporation, including but not limited to:
  - a) for each corporation, as applicable, the name, including all former and assumed names, business address and telephone number of corporate headquarters, place and date of organization, any state tax registration numbers, FEIN number and any federal tax stamp numbers held for transporting Gaming Equipment.

- b) the name of the state in which each corporation is incorporated, the date of incorporation, and, if a corporation is not incorporated in Illinois, whether the corporation is authorized to conduct business in Illinois;
- c) for each Key Person, their name, the place and date of birth, social security number, occupation, business and residential addresses and telephone numbers, percentage of ownership and dates when participation occurred, and the amount of and dates when Compensation was received during the three (3) years prior to the filing of this Application;
- 2) The classes of stock and number of shares authorized, issued, and outstanding.
- 3) The par value and market value of each class of shares.
- 4) The voting rights per class of shares, including any proxy statements, and whether the voting rights are cumulative or non-cumulative (identify and briefly explain if the rights of holders of any class of stock may be modified otherwise than by a vote of a majority or more of the outstanding shares so affected, voting as a class).
- (5) For each Publicly Held Company, submit:
- a) a list of stock certificates which have been or will be pledged by an Affiliate of the Business Entity and the name, address and telephone number of the pledgor and pledgee of any such stock certificates in the Business Entity;
  - b) the exchange(s) on which any class of stock may be traded; and
  - c) a list of names, addresses and number of shares held for all holders of 5% or more of all outstanding shares.
- (6) For each non-Publicly Held Company:
- a) a copy of the current stock register or comparable listing;
  - b) a list of stock certificates which have been or will be pledged by an Affiliate of the Business Entity and the name, address and telephone number of the pledgor and pledgee of any such stock certificates in the Business Entity; and
  - c) if within the previous five (5) years there has been a change in the beneficial ownership of the equity securities of the corporation, including changes resulting from an assignment, gift, purchase, sale, issuance or exercise of an option to purchase, sell, or grant, or receipt of a put or call, on the part of any owner of 10% or more of any class of an equity security of the Business Entity, provide the following for each change of ownership:
    - i) date and nature of transaction;
    - ii) the parties, including their position, to the transaction and their relationship to the beneficial owner of the securities;
    - iii) the number, class and percentage of ownership of securities involved; and
    - iv) explanation as to how the securities were valued.
- 7) If the beneficial owner or Nominee of any stock in any corporation is an Individual or Business Entity other than the owner of record or subscriber, identify the following:
- a) the name and address of the owner of record;
  - b) the name and address of the Nominee or subscriber;
  - c) the name and address of the beneficial owner;

- d) the conditions under which the owner of record, Nominee or subscriber holds and votes or has subscribed for such stock; and
- e) submit a copy of any contract or other instrument relating to said beneficial ownership, including any contingency agreement or event in which the Nominee or person, other than the owner of record or subscriber, can become the owner of record or subscriber.

8) A description for each corporation of all stock warrants, options or common stock equivalents which are authorized, issued and exercisable, including applicable lists of participants' names, addresses and amounts of holdings.

7. Additional Business Information (TO BE COMPLETED BY ALL APPLICANTS)

Are there any previous owners, partners, directors, officers or employees not otherwise identified or disclosed involved in the Business Entity's business or operation in any way?  Yes  No If yes, provide the information requested below for each such Individual or Business Entity. If additional space is needed, provide this information on a separate sheet of paper and submit as **Exhibit 7**.

Name:		Date of Birth:	Social Security Number /FEIN:	Sex
				<input type="checkbox"/> Male <input type="checkbox"/> Female
Address:		City/State/Zip:		
Email Address:			Phone:	
Capacity of Involvement:				

- 8. Submit as **Exhibit 8** a statement listing the names, titles, addresses and telephone numbers of all Public Officials or officers or employees of any unit of government, and Relatives of said Public Officials, officers or employees, 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, Applicant or any of its Key Persons.
- 9. If Applicant is not a Publicly Held Company, submit as **Exhibit 9** a statement listing the names, addresses and telephone numbers of each Individual or Business Entity having an interest of any kind in Applicant not disclosed elsewhere, and describing in detail the nature, facts and circumstances concerning each such Individual, Business Entity and interest.

**SECTION 3 - FINANCIAL INFORMATION**

10. Submit as **Exhibits 10(A)** through **10(X)**, as applicable, copies of the following documents, which apply to Applicant or its Substantial Owners:
- (A) partnership agreement;
  - (B) trust agreement;
  - (C) joint venture agreement;
  - (D) operating agreement;
  - (E) management agreement;
  - (F) membership agreement;
  - (G) certified copies of the articles of incorporation, corporate charters or certifications of incorporation, and any amendments thereto, of Applicant and its Substantial Owners;
  - (H) a certificate of good standing of the state of incorporation of Applicant;
  - (I) a certificate of authority issued by the Illinois Secretary of State indicating Applicant is qualified to do business in the State of Illinois;
  - (J) proof of registration with the Illinois Department of Revenue, or an application for such registration, or the reason why such registration is not necessary;
  - (K) articles of association;
  - (L) by-laws;
  - (M) other legal instrument of organization;
  - (N) contracts, leasing or rental agreements, or other agreements relating to Gaming;
  - (O) Debt Instruments;
  - (P) non-Gaming agreements or contracts exceeding \$20,000;
  - (Q) non-Gaming lease agreements which have an annualized rental exceeding \$20,000;
  - (R) contracts for the acquisition and disposition of assets, stocks or options;
  - (S) management contracts;
  - (T) employment contracts;
  - (U) stock bonus or profit sharing plans;
  - (V) shareholders' agreements;
  - (W) organizational charts, including position descriptions and the names of Individuals holding such positions; and
  - (X) share certificates (both sides) of any Business Entity held by or on behalf of Applicant or its Substantial Owners.

11. If there are instruments, agreements or contracts which relate to the organization of Applicant or its Substantial Owners which are not listed above, submit as **Exhibit 11** said instruments, agreements or contracts and, if applicable, a full description of all oral agreements and contracts exceeding \$10,000.00.
12. Submit as **Exhibit 12** a statement setting forth for each Business Entity in which stock is held by or on behalf of Applicant or its Substantial Owners:
  - (A) the name, address and telephone number of each company;
  - (B) the class of stock held;
  - (C) the purchase price per share;
  - (D) the current market value per share;
  - (E) the number of shares held; and
  - (F) the percentage of ownership.
13. If Applicant or any of its Substantial Owners is a Publicly Held Company, submit as **Exhibit 13** for each Publicly Held Company copies of any state or federal registration statements and any other documents filed within the last three (3) fiscal years, including without limitation Proxy or Information Statements filed pursuant to Section 14 of the Securities Exchange Act of 1934, Annual Reports (Form 10K), Quarterly Reports (Form 10Q), Periodic Reports (Form 8K), and statements prepared in accordance with Regulation S-X, under the Securities Act of 1933, the Securities Exchange Act of 1934, the Public Utility Holding Company Act of 1935, or the Investment Company Act of 1940. **(Note: if any documentation required to be filed in response to Question 13 is available on a website maintained by the Securities And Exchange Commission, identify the document and where it can be accessed electronically. Only submit one (1) hard copy of any such document with one of the copies of the Application filed with the Board.)**
14. Submit as **Exhibit 14(A)** and **14(B)** copies of the following documents for Applicant and its Substantial Owners, for the last three (3) fiscal years and for the period ending one (1) month prior to the date of Application, or where such Applicant or Substantial Owner has not existed as a Business Entity in any jurisdiction for the last three fiscal years, for the Applicant or Substantial Owner or any Predecessor Company to the extent that they exist for the last three (3) fiscal years:
  - (A) Financial Statements and state and federal tax returns, certified or authenticated by independent certified public accountants if such certified or authenticated documents have been prepared; and
  - (B) Management representations and lawyer's contingency letters provided to certified public accountants pertaining to certified financial audits and all reports and correspondence which pertain to the issuance of Financial Statements, managerial advisory services or internal control recommendations.
15. Submit as **Exhibit 15** a schedule listing the accounts or instruments held by Applicant or its Substantial Owners during the ten (10) year period prior to the date of this Application from any bank, savings and loan association, credit union or other financial institution, domestic or foreign, whether such account or instrument was or is held in the name of Applicant, a Nominee of Applicant, or was or is otherwise under the direct or indirect control of Applicant, stating for each such account or instrument:
  - (A) the name, business address and telephone number of the financial institution involved;
  - (B) the type of account or instrument;
  - (C) the account or instrument number;
  - (D) the rate of interest;
  - (E) the time period during which the account or instrument was or will be held; and
  - (F) the opening and current or closing balance.

16. Submit as **Exhibit 16** a statement describing in detail all of Applicant's or its Substantial Owners' existing or applied for grants, tax relief or low interest loans given or guaranteed by any unit of government; submit copies of all documents evidencing each grant, relief or loan, and copies of all agreements between Applicant or any of its Substantial Owners and any unit of government.
17. Submit as **Exhibit 17** a description of all bonus, profit sharing, pension, retirement, deferred compensation and similar plans in existence or to be created by Applicant and any of its Substantial Owners, including:
- (A) the title or name of the plan;
  - (B) the identity and address of the trustee of the plan or the person administering such plan;
  - (C) the material features of the plan;
  - (D) the methods of financing the plan;
  - (E) the identity of each class of person who is or will participate in the plan;
  - (F) the approximate number of persons in each such class; and
  - (G) the amounts distributed under the plan to each class of persons during the last fiscal year if the plan was in effect during that time period.
18. Submit as **Exhibit 18** a list of the names, addresses and telephone numbers of each Individual for whom an Individual Key Person Personal Disclosure Form will be submitted.

#### SECTION 4 - LEGAL AND TAX INFORMATION

19. State whether Applicant, its Predecessor Company or any of Applicant's Substantial Owners:

(A) have ever had any of their securities or debt offerings suspended from trading;	<input type="checkbox"/> Yes <input type="checkbox"/> No
(B) have been involved in an investigation by the Securities and Exchange Commission; or	<input type="checkbox"/> Yes <input type="checkbox"/> No
(C) have had action taken against them by the SEC.	<input type="checkbox"/> Yes <input type="checkbox"/> No

If 20(A), (B) or (C) were answered affirmatively, submit as **Exhibit 19** a detailed statement describing each suspension, investigation or action.

20. State whether Applicant, its Key Persons or its Substantial Owners:

have ever been or currently are a party to a lawsuit (excluding personal injury claims filed more than ten years prior to the filing of this Application or which sought less than \$100,000.00, as well as all divorce proceedings):	<input type="checkbox"/> Yes <input type="checkbox"/> No
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If the answer is "yes," submit as **Exhibit 20** a detailed list of all cases, stating for each lawsuit:

- (A) the names of the parties;
- (B) the case number;
- (C) the name of the court and its location;
- (D) the type and nature of the case; and
- (E) the status or disposition of the case.

Submit copies of all complaints, petitions or similar pleadings which initiated each lawsuit. In addition, for all pending litigation, unsatisfied judgments, decrees, restraining orders, or injunctive orders, state:



(F) in detail, all pertinent facts, including the type and amount of relief sought.

21. To the extent not already disclosed in your answer to Question 19 or 20, state whether Applicant, its Key Persons or its Substantial Owners:

have ever been involved in any formal or informal process or agreement to adjust, defer, suspend or otherwise work out the payment of any debt:	<input type="checkbox"/> Yes <input type="checkbox"/> No
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If the answer is "yes," submit as **Exhibit 21** a statement setting forth all details concerning each debt and the relating formal or informal process or agreement.

22. State whether Applicant, its Substantial Owners or Substantial Creditors, or any Key Persons of these entities:

have ever been involved in any civil lawsuit which was based in whole or part on allegations of conduct which would constitute a crime or would amount to fraud, deceit or misrepresentation:	<input type="checkbox"/> Yes <input type="checkbox"/> No
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If your answer is "yes," submit as **Exhibit 22** a statement describing in detail the facts, circumstances and results of said audit or adjustment.

23. State whether Applicant, its Substantial Owners or Substantial Creditors, or any Key Persons of these entities:

are party to any unresolved lawsuits, administrative actions, unsatisfied judgments, decrees, restraining orders or injunctive orders involving the Business Entity and any Affiliate, Substantial Owner, officer or director:	<input type="checkbox"/> Yes <input type="checkbox"/> No
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

If yes, provide complete details on a separate sheet of paper, identifying the litigation, current status, damages claimed and identities of all counsel of record, and submit as **Exhibit 23**.

24. State whether Applicant, its Substantial Owners or Substantial Creditors, or any Key Persons of these entities:

ever filed for or been involved in a bankruptcy or insolvency proceeding other than as a creditor:	<input type="checkbox"/> Yes <input type="checkbox"/> No
----------------------------------------------------------------------------------------------------	----------------------------------------------------------

If yes, provide complete details on a separate sheet of paper, and provide all supporting documents including final court order(s) and discharge settlement(s) as applicable, and submit as **Exhibit 24**.

25. State whether Applicant, its Substantial Owners or Substantial Creditors, or any Key Persons of these entities:

(A) are delinquent in the payment of, or in dispute over the filings concerning or the payment of, any tax required under federal, state or municipal law:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(B) have ever had any municipal, state or federal tax returns audited or adjusted:	<input type="checkbox"/> Yes <input type="checkbox"/> No

If your answer is "yes," submit as **Exhibit 25(A) or (B)** a statement describing in detail the facts, circumstances and results of said audit or adjustment.

26. State whether Applicant or any of its Substantial Owners has:

(A) ever possessed or applied for a Gaming-related license (casino, charitable games, lottery, pari-mutuel, etc.) issued by any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(B) had an interest in a Business Entity, which has possessed or applied for a Gaming-related license issued by any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(C) has ever voluntarily withdrawn a Gaming-related license application in any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(D) had an interest in a Business Entity, which has voluntarily withdrawn a Gaming-related license application in any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(E) has ever been denied a Gaming-related license or related findings of suitability in any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(F) has had an interest in a Business Entity, which has been denied a Gaming-related license or related findings of suitability in any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(G) has ever had a Gaming-related license in any jurisdiction suspended:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(H) has had an interest in a Business Entity, which had a Gaming-related license in any jurisdiction suspended:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(I) has ever had a Gaming-related license in any jurisdiction revoked, or for which a disciplinary or other action to revoke the license was initiated:	<input type="checkbox"/> Yes <input type="checkbox"/> No

(J) had an interest in a Business Entity, which had a Gaming-related license revoked or for which a disciplinary or other action to revoke the license was initiated in any jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(K) has ever had a Gaming-related license in any jurisdiction non-renewed or considered for non-renewal:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(L) has had an interest in a Business Entity, which had a Gaming-related license in any jurisdiction non-renewed or considered for non-renewal:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(M) has been the subject of disciplinary action by a licensing authority:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(N) has had an interest in a Business Entity, which had a Gaming-related license in any jurisdiction that was the subject of disciplinary action by a licensing authority:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(O) been found unsuitable or ordered to economically disassociate from any business entity or for which a preliminary action relating to unsuitability or economic disassociation was initiated:	<input type="checkbox"/> Yes <input type="checkbox"/> No

If any of the above questions were answered affirmatively, submit as **Exhibit 26(A), (B), (C), (D), (E), (F), (G), (H), (I), (J), (K), (L), (M), (N) or (O)** a detailed statement describing the circumstances of each incident.

27. State whether Applicant, its Substantial Owners, its Substantial Creditors or any Key Person of one of these entities:

(A) has been convicted of a Felony under the laws of Illinois, any other state, the United States, or any other jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(B) has been convicted of any violation of Article 28, Gambling and Related Offenses, of the Criminal Code of 1961, 720 ILCS 5, or of similar laws of any other jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(C) has been convicted of a crime involving dishonesty or moral turpitude under the laws of Illinois, any other State or any other jurisdiction:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(D) has ever been the subject of a grand jury or criminal investigation:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(E) is a current or former member or current or former employee or contractor of the Illinois Gaming Board:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(F) is related to a current or former member or a current or former employee of the Illinois Gaming Board:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(G) is a Public Official or officer or employee of any unit of government or a relative of a Public Official or officer or employee of any unit of government:	<input type="checkbox"/> Yes <input type="checkbox"/> No
(H) holds more than a 10% direct, Indirect or Attributed ownership interest in any Business Entity which holds a license issued under the Act, or which has applied or intends to apply for a license under the Act:	<input type="checkbox"/> Yes <input type="checkbox"/> No

If the answer to any of the above subparagraphs is "yes", submit as **Exhibit 27(A), (B), (C), (D), (E), (F), (G), or (H)** a detailed statement describing the circumstances of each incident.

28. To the extent not disclosed in response to question 27, state whether Applicant, its Substantial Owners or any Key Persons of those entities:

have been arrested, charged, indicted, convicted, pleaded guilty or nolo contendere, received supervision, conditional discharge or probation or forfeited bail concerning any criminal offense under the laws of any jurisdiction or the Uniform Code of Military Justice, either Felony or misdemeanor (except for traffic violations for which a sentence of imprisonment could not be imposed), including any arrest or disposition which has been expunged or sealed:	<input type="checkbox"/> Yes <input type="checkbox"/> No
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------

If the answer is "yes," submit as **Exhibit 28** a statement setting forth for each case:

- 1) the date;
- 2) the names, addresses and telephone numbers of the Individuals and Business Entities involved;
- 3) the name and location of the court, arresting agency and prosecuting agency;
- 4) the case number;
- 5) the offense;
- 6) the status or disposition, including a certified copy of the disposition;
- 7) the location and length of incarceration; and
- 8) the order of expungement or the order to seal the records.

**NOTE: All arrests must be disclosed, regardless of the outcome. Failure to disclose an arrest may result in the denial of the Applicant. Despite anything contained herein to the contrary, the Applicant, its Substantial Owners or any Key Persons of those entities are not obligated to disclose sealed or expunged records of a conviction or arrest.**

29. If this Application is submitted in association with an owner licensee, submit as **Exhibits 29(A)** and **29(B)** statements setting forth the following:

(A) a detailed description of the Related Party relationship between Applicant or its Substantial Owners and:

- 1) the Gaming Operations Manager;
- 2) any Support Facility owner;
- 3) any Supplier;
- 4) any Substantial Creditor of the owner licensee; and
- 5) any Substantial Owner of these entities;

(B) a detailed description of any transaction in the last five years, or contemplated in the future, between Applicant or its Substantial Owners and:

- 1) the Gaming Operations Manager;
- 2) any Support Facility owner;
- 3) any Supplier;
- 4) any Substantial Creditor of the owner licensee; and
- 5) any Substantial Owner of these entities.

Submit any documents relating to each transaction.

## **SECTION 5 – EXPERIENCE**

30. Submit as **Exhibit 30** a detailed statement concerning the experience of Applicant and its Key Persons in the fields of Gaming Operations, Riverboat Gaming Operations, Riverboat Operations, Organization Gaming Operations, Sports Wagering Operations and other fields germane to Gaming; submit all materials and documents, including resumes and curricula vitae, which support this statement.

**ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT  
BUSINESS ENTITY DISCLOSURE FORM SCHEDULE OF EXHIBITS**

This Schedule relates to the Business Entity Disclosure Form of:

\_\_\_\_\_

Complete Name of Applicant

If an Exhibit is not applicable, indicate "N.A.".

Exhibit Number	Person who made or directed preparation of Exhibit (state which)	Official Title
1		
2A		
2B		
2C		
2D		
2E		
2F		
3		
4A		
4B		
5A		
5B		
6A		
6B		
7		
8		
9		
10A		
10B		
10C		
10D		
10E		
10F		
10G		
10H		
10I		

	Person who made or directed preparation of Exhibit (state which)	Official Title
10J		
10K		
10L		
10M		
10N		
10O		
10P		
10Q		
10R		
10S		
10T		
10U		
10V		
10W		
10X		
11		
12		
13		
14A		
14B		
15		
16		
17		
18		
19A		
19B		
19C		
20		
21		
22		
23		
24		
25A		
25B		
26A		
26B		
26C		
26D		
26E		
26F		

	Person who made or directed preparation of Exhibit (state which)	Official Title
26G		
26H		
26I		
26J		
26K		
26L		
26M		
26N		
26O		
27A		
27B		
27C		
27D		
27E		
27F		
27G		
27H		
28		
29A		
29B		
30		

**APPLICANT'S REQUEST TO RELEASE INFORMATION**

TO: \_\_\_\_\_

FROM: \_\_\_\_\_

(Applicant's Name)

1. Applicant hereby authorizes and requests all persons or entities to which this request is presented having information relating to or concerning Applicant to furnish such information to a duly appointed agent of the Illinois Gaming Board, whether or not such information would otherwise be protected from disclosure by any constitutional, statutory or other legal privilege.
2. Applicant hereby authorizes and requests all persons or entities to which this request is presented having documents relating to or concerning Applicant to permit a duly appointed agent of the Illinois Gaming Board to review and copy any such documents, whether or not such documents would otherwise be protected from disclosure by any constitutional, statutory or other legal privilege.
3. If the person or entity to whom this request is presented is a brokerage firm, bank, savings and loan, or other financial institution or an officer of same, Applicant hereby authorizes and requests that a duly appointed agent of the Illinois Gaming Board be permitted to review and obtain copies of any and all documents, records or correspondence pertaining to Applicant, including but not limited to past loan information, notes co-signed by Applicant, checking account records, savings deposit records, safe deposit box records, passbook records, and general ledger folio sheets.
4. Applicant hereby makes, constitutes, and appoints any duly appointed agent of the Illinois Gaming Board Applicant's true and lawful attorney in fact for Applicant in Applicant's name, place, stead, and on Applicant's behalf and for Applicant's use and benefit:
  - (a) to request, review, copy, sign for, or otherwise act for investigative purposes with respect to documents and information in the possession of the person or entity to whom this request is presented as Applicant might;
  - (b) to name the person or entity to whom this request is presented and insert that person's or entity's name in the appropriate location on this request;
  - (c) to place the name of the Illinois Gaming Board agent presenting this request in the appropriate location on this request.
5. Applicant grants to said attorney in fact full power and authority to do, take, and perform all and every act and thing whatsoever requisite, proper, or necessary to be done, in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as Applicant might or could do, with full power of substitution or revocation, hereby ratifying and confirming all that said attorney in fact, or his substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted.
6. This power of attorney ends eighteen (18) months from the date of execution or at the termination of all licenses issued to Applicant by the Illinois Gaming Board, whichever occurs later.

- 7. Applicant has filed with the Illinois Gaming Board an "Application." Applicant understands that Applicant is seeking the granting of a privilege and acknowledges that the burden of proving Applicant's qualifications for a favorable determination is at all times on Applicant. Applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action of financial loss, which may result from action with respect to this Application.
- 8. Applicant does, for itself, its heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the person or entity to whom this request is presented, and his or its agents and employees from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims, and demands whatsoever, known or unknown, in law or equity, which Applicant ever had, now has, may have, or claim to have against the person or entity to whom this request is presented or his or its agents or employees arising out of or by reason of complying with this request.
- 9. Applicant agrees to indemnify and hold harmless the person or entity to whom this request is presented and his or its agents and employees from and against all claims, damages, losses, and expenses, including reasonable attorneys' fees arising out of or by reason of complying with this request.
- 10. A reproduction of this request by photocopy shall be for all intents and purposes as valid as the original.

IN WITNESS WHEREOF, I have executed this request at \_\_\_\_\_, City

\_\_\_\_\_ on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_. State

Applicant: \_\_\_\_\_

By: \_\_\_\_\_ (Print Name)

\_\_\_\_\_  
(Signature)

Its: \_\_\_\_\_ (Title)

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the

County of \_\_\_\_\_

State of \_\_\_\_\_

Signature of Illinois Gaming Board  
Agent presenting this request:

\_\_\_\_\_

Date: \_\_\_\_\_



**RELEASE OF ALL CLAIMS**

The undersigned has filed with the Illinois Gaming Board ("Board") certain forms and documents in connection with a written request for licensing by the Board ("Application"). In consideration of the assurance by the Board that no vote on said Application will be taken except after a deliberate, intensive and thorough investigation of the undersigned, including but not limited to background, associates, and finances, the undersigned does for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the State of Illinois, the Board, its members, agents, and employees, from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims and demands whatsoever, known or unknown, in law or equity, which the undersigned ever had, now has, may have, or claim to have against any or all of said entities or individuals arising out of or by reason of the processing or investigation of or other action relating to the Application.

I, the duly authorized \_\_\_\_\_ of the undersigned,  
(Office)

have read this affidavit and understand its terms. On behalf of and in accordance with the instructions of the undersigned, I execute it with full knowledge that the undersigned will be bound hereby.

IN WITNESS WHEREOF, I have executed this release at \_\_\_\_\_,  
City

\_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
State

Applicant: \_\_\_\_\_

By: \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Its: \_\_\_\_\_  
(Title)

\_\_\_\_\_  
Notary Public

Notary Public in and for the

County of \_\_\_\_\_

State of \_\_\_\_\_

**AFFIDAVIT OF FULL DISCLOSURE**

State of \_\_\_\_\_ )  
 ) ss  
County of \_\_\_\_\_ )

I, \_\_\_\_\_, being the duly authorized  
(Officer)  
\_\_\_\_\_ of \_\_\_\_\_, being  
(Office) (Name of Applicant)

first duly sworn upon oath or affirmation, depose and state:

that, except as reported in Applicant's Application ("Application"), Applicant has no agreements or understandings with any person or entity and no present intent to hold as agent, nominee or otherwise any interest in the Application;

that, except as reported in the Application, Applicant has no agreements or understandings with any person or entity and no present intent to pay any sums of money or give anything of value as, including but without limitation, a finder's fee or commission to any person or entity related to the acquisition of any interest in the Application;

that, except as reported in the Application, Applicant has no agreements or understandings and no present intent to pay any sums of money or give anything of value as, including but without limitation, a finder's fee or commission to any person or entity related to the sale of any interest in the Application;

that any funds used or to be used, and any liabilities incurred or to be incurred by Applicant in the acquisition of any interest in the Application were not provided to Applicant or made available to Applicant through the efforts of any person or entity not reported in the Application;

that, except as reported in the Application, no person or entity has provided collateral for or guaranteed payment of any loans made to Applicant which relate to the Application.

I, the duly authorized \_\_\_\_\_ of the undersigned,  
(Office)

have read this Affidavit of Full Disclosure and understand its terms. On behalf of and in accordance with the instructions of the undersigned, I execute it with full knowledge that the undersigned will be bound hereby.

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the

County of \_\_\_\_\_

State of \_\_\_\_\_

Applicant: \_\_\_\_\_  
(Applicant)

By: \_\_\_\_\_  
(Print Name)

Signature: \_\_\_\_\_

Its: \_\_\_\_\_  
(Title)

**VERIFICATION**

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss

I, \_\_\_\_\_, being the duly authorized  
(Officer)  
\_\_\_\_\_ of \_\_\_\_\_, being  
(Office) (Name of Applicant)

first duly sworn upon oath or affirmation depose and state:

1. On behalf of Applicant I submit this Application.
2. I swear (or affirm) and certify that the information contained in this application is true, complete and accurate to the best of my knowledge and belief.

Applicant: \_\_\_\_\_

By: \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

Its: \_\_\_\_\_  
(Title)

SUBSCRIBED and SWORN to before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the  
County of \_\_\_\_\_  
State of \_\_\_\_\_

**IMPORTANT – To Prevent Delays in Processing**  
**Please Read and Follow These Instructions:**  
**Instructions for 4506-T Request for Transcript of Tax Return**

Tax transcripts of your business tax return are required for the previous four years by the Illinois Gaming Board in order to complete your application.

Complete Form 4506-T Request for Transcript of Tax Return and fax the form to the IRS. This form is available from the IRS at <http://www.irs.gov/pub/irs-pdf/f4506t.pdf> . Please follow the following instructions when completing the form:

- Parts 1a & 1b: Enter Entity Name listed on Business Tax Return and FEIN.
- Parts 2a and 2b: Fill in Part 2a and 2b if any of the requested tax years include a joint filer.
- Part 3: Enter Entity's Current Address.
- Part 4: Complete this section if any of the requested tax years were filed using a different address.
- Part 6: Enter the tax form number (income tax 1120, 1120S, or 1065); (unemployment tax 940); and (payroll tax quarterly 941s). A separate 4506-T is required for each type of form.
- **Part 6b:** The Illinois Gaming Board requires Account Transcripts for Forms 1120, 1041, 940, and 941 and Record of Account Transcripts for Form 1065. Check box 6b.
- **Part 6c:** The Illinois Gaming Board requires Record of Account Transcripts for Form 1065. Check box 6c.
- Part 9: Enter the ending date of the last four years in mm/dd/yyyy format for the income tax and unemployment tax and each quarter ending for the four quarters for 941s. Note, for the 941 transcripts a separate 4506-T form will need to be prepared for each of the four years requested with each of the quarters listed for the corresponding year.
- SIGN and DATE the Form – Note: Must be signed by the 'Responsible Party' as listed on the SS-4 Application Form or by the subsequent individual designated per Form 8822-B.

Any amendments or changes to the form which have been crossed-out will need to be initialed and dated.

Once you receive your tax transcripts, please mail or fax the transcripts to:

Illinois Gaming Board  
 Attn: Financial Analysis Unit  
 801 South Seventh St. Suite 400 – South  
 Springfield, IL 62703

Fax: 217-524-0228