



# Pennsylvania Gaming Control Board

## **Principal/Key Employee Form** Pennsylvania Supplement to the Multi-Jurisdictional Personal History Disclosure Form (**Initial or Renewal**)

<b>SECTION 1:</b> <i>Please fill in the name of the individual completing this application.</i>
<b>Individual's Name:</b> <hr/>
<b>SECTION 2:</b> <i>Please fill in the type of license applicant is applying</i>  <input type="checkbox"/> <b>Principal</b> <input type="checkbox"/> <b>Key Employee</b>
<b>SECTION 3:</b> <i>Please select the application period</i>  <input type="checkbox"/> <b>Initial</b> <input type="checkbox"/> <b>Renewal</b>
<b>SECTION 4:</b> <i>Please fill in the associated entity the applicant is applying with</i>
<b>Associated Entity:</b> <hr/>

# INSTRUCTIONS

Unless otherwise provided for in the Pennsylvania Race Horse Development and Gaming Act (“Act”) and Pennsylvania Gaming Control Board (“Board”) regulations, each principal; key employee; person with controlling interest and financial backer must complete the Multi-Jurisdictional Personal History Disclosure Form and the Principal/Key Employee Form – Pennsylvania Supplement to the Multi-Jurisdictional Personal History Disclosure Form.

These instructions are applicable to any natural person who is a principal or key employee as defined in the Act and regulations.

## 1. PRINCIPAL/KEY EMPLOYEE FORM – PENNSYLVANIA SUPPLEMENT TO THE MULTI-JURISDICTIONAL PERSONAL HISTORY DISCLOSURE FORM (PA SUPPLEMENT)

This form is for each natural person who is a principal or key employee and must be completed in addition to the Multi-Jurisdictional Personal History Disclosure Form.

**The original form, and either one paper copy or one compact discs (cd)** containing all forms must be sent to the Pennsylvania Gaming Control Board, Bureau of Licensing, 303 Walnut Street, Fifth Floor, Commonwealth Tower, Harrisburg, Pennsylvania 17101 with the appropriate fee. Please refer to the licensing section of the Board’s website for cd formatting requirements.

## 2. APPLICATION FEES

Application fees must be submitted with the application. These fees are non-refundable deposits that will be used by the Board to process and investigate the principal/key employee filing the form.

There may be additional costs and expenses incurred by the Board in its processing and investigation of the principal/key employee filing the form, which must be reimbursed to the Board. Fees shall be paid by money order or check made payable to the “Pennsylvania Gaming Control Board.” Cash will not be accepted by the Board.

Non-VGT Principal/Key Employee.....	\$2,500
VGT Principal/Key Employee.....	\$500
VGT Principal/Key Employee (Request for Conditional License).....	additional \$100

## 3. APPLICATION FORM INSTRUCTIONS

### A. Generally

As used in the PA Supplement, the words “applicant” and “you” shall mean the Principal or the Key Employee completing this PA Supplement.

As used in the PA Supplement, the words “Business Entity” shall mean the enterprise applicant or licensee or any of its affiliates, intermediaries, subsidiaries or holding companies for which you are a principal or key employee.

All entries on the form must be typed or printed in block lettering. Initials and signatures must be handwritten by the person providing the information. If the answers are not legible, the application may not be accepted.

Read each question carefully prior to answering. Answer every question completely. Do not leave blank spaces. If a question does not apply to the Applicant, write “Does Not Apply” in response to that question.

All pages of the form must be initialed by the applicant. 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.

All required documentation, such as tax returns, must be submitted at the time of filing this form.

The Application for Pennsylvania Tax Clearance Review and SF 180 (pertaining to military records) must be signed by applicant. All Affidavits, Authorizations, Waivers of Liability, Statement of Conditions and compliance forms must be signed by applicant and notarized.

Should you be unable to understand this form fully in English, it is your responsibility to acquire adequate means of translation. If you submit a document to the Board that is in a language other than English, you must also submit an English translation.

All notices regarding your application will be sent to the address you provide on this form. You must immediately notify the Board if you change your address.

Failure to answer any question completely and truthfully will result in denial of your application and/or revocation of your license, registration, certificate or permit and may subject you to criminal penalties under 18 Pa. C.S.A. §4903.

Any person who applies for and obtains a license, registration, certificate or permit from the Board may be required to submit to warrantless searches when present in a licensed gaming facility pursuant to the Act.

Confidential information (as defined in 58 Pa. Code §401a.3 and 4 Pa.C.S. § 3305(b)) supplied to the Board or otherwise obtained shall not be revealed except in the course of the necessary administration of the Act, or upon the lawful order of a court of competent jurisdiction, or with the approval of the Attorney General, to a duly authorized law enforcement agency. An applicant or license, registration, certificate or permit holder waives any liability of the Commonwealth of Pennsylvania and its instrumentalities and agents for any damages resulting from any disclosure or publication in any manner, other than a willfully unlawful disclosure or publication.

Applicant will be required to provide proof of identification and authorization for Pennsylvania State Police to obtain and retain fingerprints and photographic images. Failure to comply with these requirements will result in the denial of your license, permit, registration or certificate.

Once an application has been filed, applicant may not withdraw its application without the permission of the Board.

A license, permit, certification or registration issuance, renewal or other approval issued by the Board is a revocable privilege. No person holding a license, permit, certification or registration, renewal, or other approval is deemed to have any property rights related to the license, permit, certification or registration or other approval.

An application that has been accepted for filing and all related materials submitted to the Board become the property of the Board and will not be returned to the applicant.

## **B. PA Supplement**

Unless otherwise provided for in the Act and regulations, each principal; key employee; who is a natural person must complete the Multi-Jurisdictional Personal History Disclosure Form and the PA Supplement. This includes natural persons with a controlling interest and financial backers.

Applicant is submitting this Principal/Key Employee form because he or she is a Principal/Key Employee of \_\_\_\_\_.

Describe the relationship between applicant and the business entity/licensee named above, including amounts and terms of ownership and control.

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**VGT Applicants Only:** Is the applicant requesting conditional licensure?  YES  NO

If you answer YES to this question, the VGT Conditional Licensure Affidavit must be completed on page S9 and payment for each individual must be provided with the application (\$100 per entity and individual in addition to the regular application fee.)

All required documentation must be submitted at the time of filing this form.

IF YOU HAVE ANY QUESTIONS REGARDING THE APPLICATION PACKAGE FORMS OR THE INFORMATION REQUIRED TO COMPLETE ANY APPLICATION, PLEASE CONTACT THE PENNSYLVANIA GAMING CONTROL BOARD - BUREAU OF LICENSING AT (717) 346-8300.

## Pennsylvania Supplement

Name and Address					
First Name	Middle Name	Last Name		Suffix (Jr., Sr., etc.)	
Maiden Name				Date of Birth	
Address Line 1			Address Line 2		
City		County	State/Province		Postal Code
Country		Email Address		Phone Number	Cell Number
Mailing Address (if different from address above)					
Address Line 1			Address Line 2		
Address Line 3		City	County	State/Province	
Postal Code	Country	Email Address		Phone Number	Cell Number
Descriptive Information					
Height _____ ft in	Weight _____ Lbs	Social Security Number*		Driver's License No. _____ State Issued: _____ Operator's Number: _____	
Tattoos, scars or distinguishing marks:				Marital Status: <input type="checkbox"/> Single (never married) <input type="checkbox"/> Separated <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Divorced	
Hair Color		Eye Color		Sex	
<input type="checkbox"/> (BK) Black <input type="checkbox"/> (BR) Brown <input type="checkbox"/> (BD) Blonde <input type="checkbox"/> (RD) Red <input type="checkbox"/> (GY) Gray <input type="checkbox"/> (WH) White <input type="checkbox"/> (BA) Bald		<input type="checkbox"/> (BK) Black <input type="checkbox"/> (BR) Brown <input type="checkbox"/> (HZ) Hazel <input type="checkbox"/> (BL) Blue <input type="checkbox"/> (GY) Gray <input type="checkbox"/> (GR) Green		<input type="checkbox"/> (M) Male <input type="checkbox"/> (F) Female	
Race**					
<input type="checkbox"/> (C) Caucasian <input type="checkbox"/> (B) Black <input type="checkbox"/> (H) Hispanic <input type="checkbox"/> (A) Asian <input type="checkbox"/> (N) Native American <input type="checkbox"/> (I) Indian (India) <input type="checkbox"/> (O) Other					
List any other name or names you have been known by (include aliases; nicknames; married names)					
Have you been known by any other name or names? <input type="checkbox"/> YES <input type="checkbox"/> NO If YES, list the additional names below and specify dates of use for each. Include maiden name, aliases, nicknames or any other name.					
First Name	Middle Name	Last Name		Suffix (Jr., Sr., etc.)	From Date

\* Disclosure of your social security number is mandatory in order for the PGCB to comply with the Federal Social Security Act pertaining to Child Support Enforcement, as implemented in the Commonwealth of Pennsylvania at 23 Pa. C.S. §4304.1(a). The social security number will also be used to confirm the identification of the applicant or licensee and will not be used as a personal identification number by the PGCB.

\*\* You are NOT REQUIRED to provide this information. it is optional.

## 1. Business Entity Information

Provide the following information about the business entity with which you are a principal/key employee.

Business Entity Name			
Business name as it appears on the business entity's certificate of incorporation, charter, bylaws, partnership agreement or other official documents (spell out complete name, do not use abbreviations).			
Trade name(s) and Doing Business As ("DBA") Names.			
Business Entity Principal Address			
Address Line 1			
Address Line 2			
Address Line 3			
City	Township	County	
State/Province		Postal Code	
Country	Email Address	Web URL	
Phone Number		Fax Number	
Business Entity Address In Pennsylvania (if applicable)			
Address Line 1			
Address Line 2			
Address Line 3			
City	Township(s)	County(ies)	
State/Province		Postal Code	
Country	Email Address	Web URL	
Phone Number		Fax Number	
Applicant's Employment or Other Association With Business Entity			
<input type="checkbox"/> I am a <b>KEY EMPLOYEE</b> of the business entity.		Title or Position held or will hold	
<input type="checkbox"/> I am a <b>PRINCIPAL</b> of the business entity.		Principal Role	
		<input type="checkbox"/> Officer	<input type="checkbox"/> Other
		<input type="checkbox"/> inside Director	<input type="checkbox"/> Outside Director
		<input type="checkbox"/> Audit Committee Member	<input type="checkbox"/> Procurement Agent

## 2. Expungements

Have you ever been arrested or charged with any crime or offense which has been expunged or otherwise officially sealed by a court or government agency?       YES       NO

NATURE OF CHARGE OR OFFENSE/ LOCATION OF WHERE INCIDENT OCCURRED	DATE OF CHARGE OR OFFENSE	NAME AND ADDRESS OF LAW ENFORCEMENT AGENCY OR COURT INVOLVED	DISPOSITION (CONVICTED, ACQUITTED, DISMISSED, PENDING, PARDONED, ETC.)	SENTENCE

## 3. Alcohol and Controlled Substances

Provide information relating to any health-related issues involving alcohol or controlled substances.

Alcohol and Controlled Substances

## 4. History of Insurance Claims

Describe the nature, type, terms and conditions of all insurance claims relating to the business activities of applicant for the last ten (10) year period.

Insurance Claims

**5. REFERENCES**

Provide the names and other information requested of two (2) references over the age of 18 who have known you for at least one year and can attest to your good character and reputation. No person can be a reference who is a member of your family. (Spouse, parents, grandparents, children, grandchildren, siblings, uncles, aunts, nephews, nieces, fathers-in-law, mothers-in-law, sons-in-law, daughters-in-law, brothers-in-law and sisters-in-law whether by whole or half blood, by marriage, adoption or natural relationship.)

**NOTE: Reference must be different than those provided in the Multi-Jurisdictional Personal History Disclosure Form.**

**REFERENCE ONE**

Name \_\_\_\_\_

Business Address \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Occupation \_\_\_\_\_

Telephone # \_\_\_\_\_

Business telephone # \_\_\_\_\_

Cell phone # \_\_\_\_\_

How long have you known the reference?

\_\_\_\_\_

**REFERENCE TWO**

Name \_\_\_\_\_

Business Address \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Occupation \_\_\_\_\_

Telephone # \_\_\_\_\_

Business telephone # \_\_\_\_\_

Cell phone # \_\_\_\_\_

How long have you known the reference?

\_\_\_\_\_



## 6. FINANCIAL INTEREST

Applicant Ownership Interest or Financial Interests	
Do you have any ownership interest, financial interest or financial investment in any business entity applying to, or presently licensed by, the Pennsylvania Gaming Control Board? <input type="checkbox"/> YES <input type="checkbox"/> NO If YES, complete the information required and detail all debt and equity holdings in the business entity.	
Amount (Number of Shares/Units) and description of your interest/investment/debt holding/equity holding.	Percent of ownership in the business entity

## 7. PUBLIC OFFICIAL

Are you, your spouse, minor child or unemancipated child, currently or within the last 12 months, an executive-level public employee, public official or party officer?     Yes <input type="checkbox"/> No <input type="checkbox"/>				
If yes, complete the following chart. <b>NOTE:</b> An unemancipated child is one who is under the age of 21, not married and is in your care and control.				
Dates		Name of person who holds or held the position of executive-level public employee, public official, or party officer	Relationship to applicant	Title/position held
From: (mo/yr)	To: (mo/yr)			

## 8. Federal, State and Foreign Tax Information

Applicant Tax History		
When did you file your last Federal Income Tax Return	Period Covered	IRS Office Location
When did you file your last State Income Tax Return	Period covered	State of Filing
Attach to this form, a copy of each IRS Form(s) filed and all supporting IRS schedules* filed by you in each of the last five (5) years. If you and your spouse filed separate tax returns for any year in the last five (5) years, also attach a copy of your spouse's tax returns.		
Attach to this form, a copy of each State Income Tax Return(s) filed and all supporting schedules filed by you in the each of the last five (5) years. If you and your spouse filed separate tax returns for any year in the last five (5) years, also attach a copy of your spouse's tax returns.		
Has your tax return ever been audited or adjusted?		<input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, describe the nature and resolution of the audit and the tax year(s).		
Have you ever failed to file Federal or State Income Tax returns?		<input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, describe the reason for failure to file and the tax year(s).		
Have you or your spouse ever filed any type of tax return, statement or form in any jurisdiction outside the United States within the last five (5) years?		<input type="checkbox"/> YES <input type="checkbox"/> NO
If the answer is yes, please provide the information required below.		
Tax Years Filed	Country Filed	Amount of Tax
Attach to this form a copy of each such tax return and all appropriate schedules or other attachments required by the tax authorities of the foreign jurisdictions.		

\* All IRS schedules filed with the applicant's tax return including but not limited to Schedule A, Schedule C, Schedule D, Alternative Minimum Tax Return, Schedule SE, etc. must be filed with this application.

**Signature Documents**

**APPLICATION FOR PENNSYLVANIA TAX CLEARANCE REVIEW**

Completion of this form is a condition of this application and will authorize the Pennsylvania Department of Revenue (“DOR”) and the Department of Labor and Industry (“DLI”) to review the tax records of the person and/or entity as part of the licensing evaluation by the Pennsylvania Gaming Control Board (“Board”). Your signature authorizes the DOR and DLI to provide tax information to the Board and its authorized investigatory agents.

Name as Listed on Tax Return	Employer Identification Number/Tax Identification Number/*Social Security Number
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Address	City	State	Zip Code
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I certify that I am the individual whose tax records are to be reviewed. If the tax records are for an entity, I certify that I am the authorized signatory for the applicant.

Applicant Signature	Telephone Number	Date
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\* Disclosure of your social security number is mandatory in order for the PGCB to comply with the Federal Social Security Act pertaining to Child Support Enforcement, as implemented in the Commonwealth of Pennsylvania at 23 Pa. C.S. §4304.1(a). The social security number will also be used to confirm the identification of the applicant or licensee and will not be used as a personal identification number by the PGCB.

**TAX AFFIDAVIT**

AFFIDAVIT OF \_\_\_\_\_  
(NAME OF APPLICANT)

COMMONWEALTH/STATE OF \_\_\_\_\_ :  
: SS  
COUNTY OF \_\_\_\_\_ :

I, \_\_\_\_\_, of full age, being duly sworn according to law upon my oath, hereby depose and say:

CHECK ONE OF THE BOXES BELOW:

- I have filed the appropriate returns/forms AND have no outstanding federal income taxes, state income taxes, local income taxes, property taxes, school taxes, personal taxes or taxes owed to any other governmental entity.
- I have outstanding federal income taxes, state income taxes, local income taxes, property taxes, school taxes and/or personal taxes as described below:

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I am providing this affidavit as part of my application. The foregoing statements made by me are true and correct to the best of my knowledge, information and belief and I expect to be able to prove these facts should the Pennsylvania Gaming Control Board request that I do so.

\_\_\_\_\_  
(SIGNATURE OF APPLICANT)

SWORN AND SUBSCRIBED TO ME THIS \_\_\_\_\_  
OF \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC  
COMMISSION EXPIRES ON: \_\_\_\_/\_\_\_\_/20\_\_\_\_

**For Official Use Only**

**LAW ENFORCEMENT AND GAMING/CASINO ENFORCEMENT REFERENCES**

***(slot machine principals and key employees only)***

I the undersigned licensee have filed an "application" with the Pennsylvania Gaming Control Board as that term is defined in the Board's regulations. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my qualifications and suitability for a favorable determination is at all times my sole responsibility. I accept any risk of adverse public notice, embarrassment, criticism, or other action or financial loss which may result from action with respect to this application.

In addition to an application I understand that "each applicant shall produce a letter of reference from law enforcement agencies having jurisdiction in the applicant's place of residence and principal place of business. Each letter of reference shall indicate that the law enforcement agencies do not have any pertinent information concerning the applicant or, if the law enforcement agency does have information pertaining to the applicant, shall specify the nature and content of that information." 4 Pa.C.S. §1310 (b).

I further understand that "if the applicant has held a gaming license in a jurisdiction where gaming activities are permitted, the applicant shall produce a letter of reference from the gaming or casino enforcement or control agency which shall specify the experiences of that agency with the applicant, the applicant's associates and the applicant's gaming operation". 4 Pa.C.S. §1310 (c).

**I certify** that I have made the appropriate requests for references of the law enforcement agencies having jurisdiction over my place of residence and principal place of business in accordance with 4 Pa.C.S. §1310 (b).

**I certify** that, if I have held a gaming license in a jurisdiction where gaming activities are permitted, I have made the appropriate requests for references of the gaming/casino enforcement or control agency in that jurisdiction in accordance with 4 Pa.C.S. §1310 (c).

**I certify I will provide to the PGCB any response received** from the law enforcement agencies having jurisdiction over my place of residence and principal place of business along with references of the gaming/casino enforcement or control agency in the jurisdictions where I have been previously or am currently licensed.

The statements made by me on this form are true, complete, and correct, based on my knowledge and belief and are made in good faith. I understand that falsification of any information on this form will void my application for a license with the Pennsylvania Gaming Control Board. I understand that this information will be used, in part, to determine my eligibility for a license with the Pennsylvania Gaming Control Board.

Certification (Required) Date: \_\_\_\_/\_\_\_\_/20\_\_

Printed Applicant Name

Applicant Signature

Subscribed and sworn to me this \_\_\_\_\_ day of

\_\_\_\_\_ 20\_\_\_\_\_

Notary Public

My Commission expires on \_\_\_\_/\_\_\_\_/20\_\_

**AFFIDAVIT**

STATE OF \_\_\_\_\_:

COUNTY OF \_\_\_\_\_:

SS:

The applicant hereby certifies that the information contained herein is true and correct and that there is no misrepresentation, falsification or omission in this application. Further, the applicant is aware that any false or misleading statement or omitted information will be cause for rejection or revocation of a license, registration, certificate or permit and may be subject to criminal penalties under 18 Pa. C.S.A. §§4902, 4903 and 4904.

The applicant has familiarized himself/herself with the contents of the Gaming Act and its Regulations and agrees, if licensed, registered, certified or permitted, to abide by same, and specifically agrees and affirms the following:

The Bureau of Investigations and Enforcement ("BIE"), the Department of Revenue ("DOR") and the Pennsylvania State Police ("PSP") shall have the authority, without notice and without warrant, to do all of the following in the performance of their duties:

1. Inspect and examine all premises where slot machine operations are conducted, gaming devices or equipment are manufactured, sold, distributed or serviced or where records of these activities are prepared or maintained.
2. Inspect all equipment and supplies in, about, upon or around premises referred to in Paragraph 1.
3. Seize, summarily remove and impound equipment and supplies from premises referred to in Paragraph 1 for the purposes of examination and inspection.
4. Inspect, examine and audit all books, records and documents pertaining to a slot machine licensee's operation.
5. Seize, impound or assume physical control of any book, record, ledger, game, device, cash box and its contents, counting room or its equipment or slot machine operations.

In addition, to further effectuate the purposes of the Gaming Act and its Regulations, the BIE and the PSP may obtain administrative warrants for the inspection and seizure of property possessed, controlled, bailed or otherwise held by an applicant, licensee, registrant, certificant, permittee, intermediary, subsidiary, affiliate or holding company.

Applicant shall have the duty to:

1. Provide any assistance or information required by the Pennsylvania Gaming Control Board ("Board"), or the PSP and to cooperate in any inquiry, investigation or hearing;
2. Consent to inspection, searches and seizures;
3. Inform the Board of any actions which they believe would constitute a violation of this part; and
4. Inform the Board of any arrests for any criminal violations or offenses including those enumerated under 18 Pa. C.S.A. (Relating to Crimes and Offenses).

Furthermore, the applicant hereby certifies that there is no misrepresentation, falsification or omission in this application and further agrees to the terms of licensing, registration, certification or permitting as specified within the regulations and specifications of the Pennsylvania Gaming Control Board.

I hereby expressly waive, release, and forever discharge the Board, the DOR, the PSP, the Commonwealth of Pennsylvania and its instrumentalities, and their agents, employees and representatives from any and all manner of action and causes of action whatsoever which I, my administrators or executors can, shall, or may have against the Commonwealth of Pennsylvania, the licensing agency and their agents, as a result of my applying for a gaming license, registration, certificate or permit in the Commonwealth of Pennsylvania.

<p>Applicant Certification (Required)    Date: ____/____/20____</p> <p>_____</p> <p>Name of Applicant</p> <p>_____</p> <p>Signature of Applicant</p> <p>_____</p> <p>Individual preparing this form if different from applicant</p> <p>_____</p> <p>(Name, Title and Signature)</p>	<p>Subscribed and sworn to me this ____ day of</p> <p>_____ of 20____.</p> <p>_____</p> <p style="text-align: center;">Notary Public</p> <p>My Commission expires on ____/____/20____</p>
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**RELEASE AUTHORIZATION**

TO: \_\_\_\_\_  
(DO NOT WRITE ABOVE THIS LINE – FOR GAMING CONTROL BOARD USE ONLY)

FROM: \_\_\_\_\_  
APPLICANT'S NAME (PLEASE PRINT)

**(TO BE COMPLETED BY APPLICANTS FOR AND RELATING TO INITIAL AND RENEWAL LICENSE APPLICATIONS FOR PRINCIPALS AND KEY EMPLOYEES)**

I, \_\_\_\_\_, the undersigned applicant/licensee have filed with the Pennsylvania Gaming Control Board an application. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my/our qualifications and suitability for a favorable determination is at all times my/our burden. I understand that a background investigation of myself will be conducted by agents of the Pennsylvania Gaming Control Board's Bureau of Investigations and Enforcement pursuant to their statutory duty to investigate the character, honesty, integrity and suitability of myself and any entity with which I am associated with. I further understand and agree that I am voluntarily executing this Release Authorization to expressly authorize and permit agents of the Pennsylvania Gaming Control Board to obtain any and all information they deem necessary to perform this duty, and accept any risk of adverse public notice, embarrassment, criticism, or other action or financial loss which may result from action with respect to this application.

The rights and powers herein granted are intended to facilitate the background investigation being conducted by the Pennsylvania Gaming Control Board at my request and is not otherwise intended to create or establish a legal or fiduciary relationship between the Pennsylvania Gaming Control Board, its agents or employees and me. I hereby acknowledge that no such relationship exists.

1. I hereby authorize and request every person, firm, company, corporation, board, association or institution of any kind, and every Federal, State or local governmental agency, including, but not limited to, every court, law enforcement agency, criminal justice agency, or probation department, without exception, both foreign and domestic, to whom this Release Authorization is presented having any knowledge, information, documents, forms, photographs, computer files, accounts, ledgers or other items about, relating to or concerning me to fully discuss with, and answer any inquiry made by any duly authorized investigator of the Pennsylvania Gaming Control Board.
2. If this Release Authorization is presented to a brokerage firm, bank, savings and loan, or other financial institution or an officer of same, I hereby authorize and request that any duly authorized investigator of the Pennsylvania Gaming Control Board be permitted to review and obtain copies of any and all documents, records, or correspondence pertaining to me, including but not limited to past loan information, notes co-signed by me, checking account records, savings deposit records, safe deposit box records, passbook records, and general ledger folio sheets.
3. I hereby authorize an agent of the Pennsylvania Gaming Control Board to review and obtain copies of any and all documents, records, or correspondence pertaining to me, and I hereby authorize any federal, state, local or municipal agency or body, law enforcement agency or criminal justice agency or department, tax agency or authority, regulatory authority, agency or body, to make full and complete disclosure of any and all information and documents including, but not limited to, documents and information otherwise privileged or not subject to public disclosure, as well as such other information on file or available concerning me.

**Note: If applicant is married the spouse's initials and signature are required on this three page form.**

4. This Release Authorization extends to the review and copy of any information protected by law or contract from disclosure, privilege or obligation.
5. This Release Authorization shall remain in effect until such time as I cease to be an applicant or a licensee under the Pennsylvania Race Horse Development and Gaming Act.
6. I do, for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, exonerate, and forever discharge the Pennsylvania Gaming Control Board, its members, agents and employees, the Pennsylvania State Police, the Commonwealth of Pennsylvania and its instrumentalities, and any agents and employees thereof, from any and all liabilities, including but not limited to all manner of actions, causes of action, suits, debts, judgments, executions, claims, and demands whatsoever, known or unknown, in law or equity, which exist now or in the future against those entities and persons other than relating to a willfully unlawful disclosure or publication of material or information acquired during my investigation.
7. I do, for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, exonerate, and forever discharge every person, firm, company, corporation, board, association or institution of any kind, and every federal, state or local governmental agency, including, but not limited to, every court, law enforcement agency, criminal justice agency, or probation department, without exception, both foreign and domestic, to whom this request is presented, and any agents and employees thereof, from any and all liabilities, including but not limited to all manner of actions, causes of action, suits, debts, judgments, executions, claims, and demands whatsoever, known or unknown, in law or equity, which exist now or in the future against those entities and persons to whom this request is presented, and any agents or employees thereof, arising out of or by reason of, the furnishing of or inspection of documents, records, and other information released in compliance with a request made pursuant to, or as a result of having been presented with, this Release Authorization.
8. I agree to indemnify and hold harmless the Pennsylvania Gaming Control Board, its officials and employees and every person, firm, company, corporation, board, association or institution of any kind, and every Federal, State or local governmental agency, to whom this request is presented and from and against all claims, damages, losses, and expenses including reasonable attorneys' fees arising out of or by reason of, the acts permitted and provided for in the release authorization.
9. I agree that a reproduction of this request by photocopy, facsimile or similar process shall be for all intents and purposes as valid as the original.

**Note: If applicant is married the spouse's initials and signature are required on this three page form.**



**Applicant has read this Release Authorization and understands all of its terms. Applicant executes this document voluntarily and with full knowledge of its significance.**

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

State  
on this, the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_  
\_\_\_\_\_  
Signature

On this, the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, the subscriber, a Notary Public, in and for  
\_\_\_\_\_, \_\_\_\_\_, personally appeared \_\_\_\_\_, (known by me or  
County State

satisfactorily proven) to be the person whose name is subscribed to this Release Authorization, and acknowledged that they executed the same for the purpose herein contained.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

Applicant's spouse acknowledges and agrees that the background investigation of the applicant may involve and necessitate inquiry regarding assets, accounts and records jointly held, or at times individually held by the spouse and/or any other matter related to the applicant's suitability to assure that applicant is not in violation of proscriptions of the Gaming Act and is suitable to be licensed in Pennsylvania to engage in the gaming industry. The access and use of records relating to a spouse is specifically for the purposes of determining suitability for licensure under the provisions of 4 Pa.C.S. §§ 301-342 ("Fantasy Contests"), 1101-1904 ("Casino Gaming") and 3101-4506 ("Video Gaming") ("collectively the "Gaming Act").

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

State  
on this, the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_  
\_\_\_\_\_  
Signature

On this, the \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me, the subscriber, a Notary Public, in and for  
\_\_\_\_\_, \_\_\_\_\_, personally appeared \_\_\_\_\_, (known by me or  
County State

satisfactorily proven) to be the person whose name is subscribed to this Release Authorization, and acknowledged that they executed the same for the purpose herein contained.

IN WITNESS WHEREOF, I hereunto set my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

Signature of Pennsylvania Gaming Control Board Agent Presenting This Request:

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

**Note: If applicant is married the spouse's initials and signature are required on this three page form.**

**WAIVER OF LIABILITY**

I, \_\_\_\_\_ (Name Of Applicant), hereby waive liability as to the Commonwealth of Pennsylvania and its instrumentalities and agents, for any damages resulting to me from any disclosure or publication in any manner, other than a willfully unlawful disclosure or publication, of any material or information acquired during the licensing, registration or permitting process or during any inquiries, investigations or hearings related thereto.

I am aware that false or misleading statements or omitted information will be cause for rejection or revocation of my license, registration, certificate or permit and I may be subject to criminal penalties under 18 Pa C.S.A. §§4902, 4903 and 4904.

\_\_\_\_\_  
Applicant Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

(\_\_\_\_\_)\_\_\_\_\_  
Daytime Telephone number

Sworn and subscribed to me this \_\_\_\_\_

Day of \_\_\_\_\_, 20\_\_\_\_\_.

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

My Commission Expires on: \_\_\_\_/\_\_\_\_/20\_\_\_\_

**Affidavit for Conditional Licensure  
(Applicable to VGT-related applicants only seeking conditional licensure)**

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

County of \_\_\_\_\_: **ss:**

Pursuant to 4 Pa.C.S. §3520, relating to conditional licensure of principal or key employees for establishment, terminal operator and VGT related manufacturers and suppliers, I, being duly affirmed according to law, depose and state under penalty of perjury that to the best of my knowledge, information, and belief I am not otherwise prohibited from licensure according to the conditional licensure requirements of 4 Pa.C.S. §3520 or any other video gaming related provisions set forth in this Commonwealth.

DATE: \_\_\_\_ / \_\_\_\_ / 20\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

Sworn and subscribed before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Signature of Notary Public

**AUTHORIZATION FOR PENNSYLVANIA STATE POLICE TO OBTAIN AND  
RETAIN FINGERPRINTS AND PHOTOGRAPHIC IMAGES**

Pursuant to The Gaming Act and Pennsylvania Gaming Control Board Regulations, I hereby agree to submit an Authorization For Pennsylvania State Police To Obtain And Retain Fingerprints And Photographic Images, to include visible scars, marks, and tattoos, by the Pennsylvania State Police ("PSP") for the purpose of assisting the Board in carrying out the policies and purposes of the Act.

I also authorize the PSP to retain and transmit copies of my Authorization for Pennsylvania State Police to obtain and Retain Fingerprints and Photographic Images, using electronic means if appropriate, to meet the needs of the PSP as directed by the Board pursuant to the Gaming Act. I further understand and agree that the PSP will transmit copies of my Authorization for Pennsylvania State Police to obtain and Retain Fingerprints and Photographic Images to the Board, the Federal Bureau of Investigations, and such other law enforcement agencies as the Board or PSP determines to be appropriate for purposes of verifying my identity, obtaining records relevant to my eligibility to acquire or maintain Board authorization to engage in activities regulated by, or pursuant to the Act, or for purposes of taking any other action deemed necessary by the Board or PSP to fulfill the policies and purposes of the Act.

I further authorize the PSP to use and retain the Authorization for Pennsylvania State Police to obtain and Retain Fingerprints and Photographic Images for general law enforcement purposes.

By signing this form, I am knowingly, willingly and voluntarily waiving any and all present and future claims or causes of action that could be asserted against the PSP and the Board relative to the Board and PSP obtaining, retaining and/or disseminating the within referenced Authorization for Pennsylvania State Police to obtain and Retain Fingerprints and Photographic Images for the purposes and in the manner stated herein.

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Name (Please Print)

\_\_\_\_\_  
Daytime Telephone Number

Subscribed and sworn to me this \_\_\_\_\_ day  
of \_\_\_\_\_ of, 20\_\_\_\_

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

My commission expires on: \_\_\_\_ / \_\_\_\_ /20\_\_

## **Instructions for completing SF 180, Request Pertaining to Military Records**

1. If you served in the US Military, complete, sign and date the SF 180, Request Pertaining to Military Records, and include the following information in the appropriate space:

### Section I – Information Needed to Locate Records

- Complete all blanks and answer all questions.

### Section II – Information and/or Documents Requested

- Item 1 – Select DD Form 214 or equivalent.
- Item 1 – Check Other and insert the phrase “Information related to any military court martial or charges filed against me under Article 15 of the Uniform Code of Military Justice.”
- Item 2 – Select Other and insert the phrase “This information is necessary in order for the Pennsylvania Gaming Control Board to complete my background investigation.”

### Section III – Return Address and Signature

- Item 1 – Check “Other” and specify “Pennsylvania Gaming Control Board.”
- Item 2 – PGCB – Attn: Lori Bruno, Investigative Analyst  
P.O. Box 69060  
Harrisburg, PA 17106
- Item 3 – Complete and sign with your information

2. Submit this completed document to the Board with your application.

**Pennsylvania Political Contributions Form**

1. Do you currently hold a gaming license in another jurisdiction similar to the one you are applying for in Pennsylvania?  
 Yes  If yes, date initial application submitted: \_\_\_\_\_  
 No
2. Are you currently an applicant/licensee with an entity applying for or holding a horse or harness racing license?  
 Yes  If yes, date initial application submitted: \_\_\_\_\_  
 No

If you answered **no to Questions 1 and 2**, go directly to # 4. If **yes to either 1 or 2**, complete all questions.

3. In the chart below, provide the required information for all contributions of monetary or in-kind contributions made by the principal/key employee, meaning the applicant completing this application form, to a candidate for nomination or election to any public office in this Commonwealth, or any political party committee or other political committee in this Commonwealth or any group, committee or association organized in support of any such candidate, political committee or other political committee in this Commonwealth. Any such contribution(s) must be disclosed from the earliest date provided in question 1 or 2.

If you have made more than one contribution to the same candidate, political committee, State party, etc., separate entries must be listed for each contribution.

**NOTE:** If you need space for additional entries, please make additional copies of this form. If you have not made any political contributions in Pennsylvania, enter “**NONE**” in the grid below.

Date of Contribution	Name and address of the candidate, political committee or State party, or group, committee or association organized in support of such candidate, political committee or State party	Amount or Value of Contribution

4. Printed Name: \_\_\_\_\_ Licensee with whom you are filing: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Today's Date: \_\_\_\_\_

**Pennsylvania Gaming Control Board**  
**Statement of Conditions**  
**Principal/Key Employee Applicant or Licensee**

I hereby expressly accept, agree and stipulate to the following conditions to the license, permit or registration issued to me by the Pennsylvania Gaming Control Board ("Board") pursuant to the Act of July 5, 2004 (P.L. 572, No. 71) known as the Pennsylvania Race Horse Development and Gaming Act, 4 Pa. C.S. §§1101 et seq., Part II and Part III. More particularly, I expressly accept, agree and stipulate that I will abide by the following conditions:

1. To at all times comply with all provisions of the Pennsylvania Race Horse Development and Gaming Act ("Act") and any rules, regulations, technical standards or orders in effect as of this date or later amended or promulgated by the Board.
2. To at all times acknowledge and agree that any license, permit or registration issued to me by the Board is a non-transferable privilege to engage in activities regulated by the Board.
3. To at all times acknowledge that any license, permit, certification or registration issuance, renewal or other approval issued by the Board is a revocable privilege. No person holding a license, permit, certification or registration, renewal or other approval is deemed to have any property rights related to the license, permit, certification or registration.
4. To at all times acknowledge and agree that any revocation of a license, permit or registration issued to me by the Board prohibits me from reapplying for a license, permit or registration for a period of five (5) years.
5. To at all times acknowledge and agree that the credential issued to me in connection with my license, permit or registration is property of the Board and must be surrendered upon request.
6. To promptly reimburse the Board for all costs associated with any background or other investigation conducted in connection with my application, and to promptly pay any other fine, fee, sanction or assessment imposed by the Board or the Department of Revenue. (NOTE: Costs associated with the background or other investigation conducted in connection with your application, including the application fee, may have been paid by your employer. Ask your employer about any costs that may be your responsibility.)
7. To ensure at all times that information provided to the Board by me in my application and supplemental information is true and correct, and to immediately notify the Board upon knowing or suspecting that any false or misleading information may have been provided to the Board, or that required or relevant information was omitted.
8. To notify the Board within thirty (30) days upon my charging, indictment or conviction for any felony or gambling offense, and upon conviction, to cause the withdrawal of any pending application filed by me or on my behalf.
9. To immediately notify the Board upon learning of any inquiry or investigation by any regulatory agency or self-regulatory organization or of any action filed by any governmental authority against me.
10. To ensure that at all times, I meet and maintain the suitability requirements of the Act, including but not limited to those relating to good character, honesty and integrity.
11. In addition to any notification and action required by Condition 8, to ensure that I comply with all of the following:

**Pennsylvania Gaming Control Board**  
**Statement of Conditions**  
**Principal/Key Employee Applicant or Licensee**

- A. Provide any requested assistance or information required by the Board, the Pennsylvania Department of Revenue, or the Pennsylvania State Police and cooperate in any inquiry, investigation or hearing.
  - B. Inform the Board of any actions which I know or suspect constitute a violation of the Act or any rules, regulations, technical standards or orders in effect as of this date or later amended or promulgated by the Board.
  - C. Inform the Board of my arrest within thirty (30) days for any violations or offenses enumerated under 18 Pa. C.S. (relating to crimes and offenses) or any similar offense under the laws of another jurisdiction.
  - D. Inform the Board of any material changes in the information, materials and documents submitted in my license, permit or registration application as well as changes in circumstances that may render me ineligible, unqualified or unsuitable to hold a license, permit or registration under the Board's standards.
12. To be responsible for and to protect, indemnify and hold harmless the Board, the Pennsylvania Department of Revenue, the Pennsylvania State Police, the Commonwealth of Pennsylvania and its instrumentalities, and their agents, employees and representatives, from and against any and all claims or payments for personal injury, property damage or other loss of any kind by any and all parties and claimants, arising out of, or in connection with any negligence, error or omission by the Board, the Pennsylvania Department of Revenue, the Pennsylvania State Police, the Commonwealth of Pennsylvania and its instrumentalities, or their agents, employees and representatives, attendant to any or all of the following:
- A. any investigation, consideration, or action taken in connection with my application;
  - B. the suspension, revocation or conditioning of the license, permit or registration issued to me, including any enforcement action taken with respect to any such license, permit or registration;
  - C. any action taken which may or does result in the suspension of my employment or the issuance of an emergency order; and;
  - D. any disclosure or publication in any manner, other than willfully unlawful disclosure or publication, of material or information acquired during any past, present or future investigation of me.
13. To at all times comply with this Statement of Conditions and such other general or specific conditions as may be later required by the Board and duly requested.



**Pennsylvania Gaming Control Board  
Statement of Conditions  
Principal/Key Employee Applicant or Licensee**

I hereby certify and affirm that I have read and fully understand the foregoing Statement of Conditions and that my signature below is an acknowledgement of same and evidences my intent to be legally bound to abide by the conditions contained therein.

**Any condition which requires notification to the Board must, at a minimum, include filing a supplement to your application. Supplements should be mailed to the address below:**

**PA Gaming Control Board  
303 Walnut St./Strawberry Square  
Commonwealth Tower/5<sup>th</sup> Floor  
Harrisburg PA 17101-1825**

Sworn to and subscribed before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By:

\_\_\_\_\_  
Signature and Title Date

\_\_\_\_\_  
Signature of Notary Public

\_\_\_\_\_  
Printed Name of Signatory

\_\_\_\_\_  
Printed Name of Notary Public

\_\_\_\_\_  
Date Commission Expires