

# PENNSYLVANIA GAMING CONTROL BOARD

## PUBLICLY TRADED CORPORATION AUTHORIZATION FORM

THE AUTHORIZATION FORM FEE IS \$250, WHICH MUST BE SUBMITTED WITH THIS FORM. THE BOARD MAY REQUIRE ADDITIONAL INFORMATION OR FILINGS FROM YOU AT ANY TIME.

1. **NAME OF THE CORPORATION:** \_\_\_\_\_

2. **STATE OF INCORPORATION:** \_\_\_\_\_

3. **DATE OF INCORPORATION:** \_\_\_\_\_

4. **CLASS OF STOCK:** \_\_\_\_\_

5. **ISSUANCE OF STOCK:** \_\_\_\_\_

6. **ISSUANCE OF STOCK:** \_\_\_\_\_

7. **ISSUANCE OF STOCK:** \_\_\_\_\_

8. **ISSUANCE OF STOCK:** \_\_\_\_\_

9. **ISSUANCE OF STOCK:** \_\_\_\_\_

10. **ISSUANCE OF STOCK:** \_\_\_\_\_

11. **ISSUANCE OF STOCK:** \_\_\_\_\_

12. **ISSUANCE OF STOCK:** \_\_\_\_\_

13. **ISSUANCE OF STOCK:** \_\_\_\_\_

14. **ISSUANCE OF STOCK:** \_\_\_\_\_

15. **ISSUANCE OF STOCK:** \_\_\_\_\_

16. **ISSUANCE OF STOCK:** \_\_\_\_\_

17. **ISSUANCE OF STOCK:** \_\_\_\_\_

18. **ISSUANCE OF STOCK:** \_\_\_\_\_

19. **ISSUANCE OF STOCK:** \_\_\_\_\_

20. **ISSUANCE OF STOCK:** \_\_\_\_\_

## APPENDICES

<p><b>APPENDIX: THE APPENDIX IS A DOCUMENT THE APPLICANT MUST PROVIDE OR CREATE. THE APPENDIX IS NOT REPRESENTED IN THE APPLICATION QUESTIONS. EACH APPENDIX MUST BE PRESENTED IN A TABBED MANNER AND EACH TAB MUST INDICATE THE APPENDIX NUMBER AS LISTED BELOW. IF AN APPENDIX DOES NOT APPLY TO AN APPLICANT, WRITE “DOES NOT APPLY” ON THE APPENDIX PAGE.</b></p>		
<input type="checkbox"/>	APPENDIX 1: ATTACH THE PUBLICLY TRADED CORPORATION’S TABLE OF ORGANIZATION SHOWING ALL AFFILIATES, INTERMEDIARIES AND SUBSIDIARIES.	MANDATORY
<input type="checkbox"/>	APPENDIX 2: ATTACH A LIST OF THE EXECUTIVE MANAGEMENT TEAM AND BOARD OF DIRECTORS, INCLUDING NAMES AND TITLES.	MANDATORY
<input type="checkbox"/>	APPENDIX 3: IF YOUR ENTERPRISE WILL BE PROVIDING CHARTER BUS SERVICES, PLEASE SUPPLY COPIES OF YOUR ENTERPRISE’S CERTIFICATES AND/OR REGISTRATIONS ISSUED BY THE PENNSYLVANIA PUBLIC UTILITIES COMMISSION AND/OR FEDERAL MOTOR CARRIER SAFETY ADMINISTRATION THAT ALLOW YOUR ENTERPRISE TO PROVIDE CHARTER BUS SERVICES.	MANDATORY

**CERTIFICATION**

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

SS:

THE UNDERSIGNED HEREBY CERTIFIES THAT TO THE BEST OF CEO OR DULY AUTHORIZED DESIGNEE’S KNOWLEDGE, THE INFORMATION CONTAINED HEREIN IS TRUE AND CORRECT AND THAT THERE ARE NO MISREPRESENTATIONS, FALSIFICATIONS OR OMISSIONS IN THIS FORM. FURTHER, THE SIGNATORY IS AWARE THAT ANY FALSE OR MISLEADING STATEMENTS OR OMITTED INFORMATION WILL BE CAUSE FOR REJECTION OR REVOCATION OF THE PUBLICLY TRADED VENDOR FORM AND MAY SUBJECT THE SIGNATORY TO CRIMINAL PENALTIES UNDER Pa.C.S.A. §§4902, 4903 AND 4904.

IN ADDITION, THE SIGNATORY AGREES THAT THE PRIOR AUTHORIZATION GRANTED PURSUANT TO 437A.9(A) TO CONDUCT BUSINESS MAY BE RESCINDED AT ANY TIME WITH OR WITHOUT PRIOR NOTICE TO THE PUBLICLY TRADED COMPANY IF THE BUREAU OF LICENSING DETERMINES THAT THE ELIGIBILITY OR SUITABILITY OF THE PUBLICLY TRADED COMPANY IS AT ISSUE OR THE PUBLICLY TRADED COMPANY FAILS TO COOPERATE WITH THE BOARD.

YOUR SIGNATURE AUTHORIZES THE PENNSYLVANIA DEPARTMENT OF REVENUE (“DOR”) AND THE DEPARTMENT OF LABOR AND INDUSTRY (“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

\_\_\_\_\_  
Signature of Executive Officer/Title

\_\_\_\_\_  
Witness Signature

\_\_\_\_\_  
Printed Name of Executive Officer

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**TO BE COMPLETED BY SLOT MACHINE APPLICANT/LICENSEE**

**SLOT MACHINE APPLICANT OR LICENSEE'S DUE DILIGENCE CERTIFICATION**

STATE OF \_\_\_\_\_ :  
 COUNTY OF \_\_\_\_\_ : SS:

ON BEHALF OF SLOT MACHINE APPLICANT/LICENSEE, THE CHIEF EXECUTIVE OFFICER/(CEO)/AUTHORIZED SIGNATORY OF \_\_\_\_\_ (NAME OF SLOT MACHINE APPLICANT OR LICENSEE) HEREBY CERTIFIES THAT IT HAS ENTERED INTO AN AGREEMENT OR CONTRACT WITH \_\_\_\_\_ (NAME OF GAMING SERVICE PROVIDER APPLICANT) TO CONDUCT BUSINESS AND HAS INVESTIGATED THE BACKGROUND AND QUALIFICATIONS OF THE ABOVE NAMED GAMING SERVICE PROVIDER APPLICANT, AS REQUIRED BY THE PENNSYLVANIA RACE HORSE DEVELOPMENT AND GAMING ACT AND BOARD REGULATIONS.

THE SLOT MACHINE APPLICANT OR LICENSEE HEREBY CONFIRMS THAT THE ABOVE NAMED GAMING SERVICE PROVIDER APPLICANT WILL BE PROVIDING NON-GAMING GOODS OR SERVICES FOR THE ABOVE NAMED SLOT MACHINE APPLICANT OR LICENSEE  IN THE "GAMING AREA"  IN AN AREA OTHER THAN THE "GAMING AREA"  IN A RESTRICTED AREA AS DEFINED IN 58 PA. CODE §401A.3. AND THAT TO THE BEST OF THE SLOT MACHINE APPLICANT OR LICENSEE'S KNOWLEDGE THERE IS NO MISREPRESENTATION, FALSIFICATION, OR OMISSION IN THIS APPLICATION. FURTHER THE SLOT MACHINE APPLICANT OR LICENSEE IS AWARE THAT ANY FALSE OR MISLEADING STATEMENT OR OMITTED INFORMATION WILL BE CAUSE FOR REJECTION OR REVOCATION OF A LICENSE AND MAY BE SUBJECT TO CRIMINAL PENALTIES UNDER 18 PA. C.S.A. §§4902, 4903, AND 4904.

THE SLOT MACHINE APPLICANT OR LICENSEE AFFIRMS THAT THE CONTRACT OR AGREEMENT WITH THE APPLICANT FOR A GAMING SERVICE PROVIDER REGISTRATION OR CERTIFICATION, WHETHER ORAL OR WRITTEN, SHALL BE TERMINATED IN THE EVENT THAT THE BOARD OR THE SLOT MACHINE APPLICANT OR LICENSEE FINDS THAT THE AGREEMENT OR CONTRACT FAILS TO MEET THE REQUIREMENTS OF THE BOARD'S REGULATIONS. 58 PA. CODE §437A.11(c).

THE ABOVE NAMED SLOT MACHINE APPLICANT OR LICENSEE AGREES THAT IT HAS AN AFFIRMATIVE DUTY TO AVOID AGREEMENTS OR RELATIONSHIPS WITH GAMING SERVICE PROVIDER APPLICANTS WHOSE BACKGROUND OR ASSOCIATION IS INJURIOUS TO THE PUBLIC HEALTH, SAFETY, MORALS, GOOD ORDER AND GENERAL WELFARE OF THE PEOPLE OF THE COMMONWEALTH OF PENNSYLVANIA, WHO THREATEN THE INTEGRITY OF GAMING IN PENNSYLVANIA OR WHO DISCREDIT OR TEND TO DISCREDIT THE PENNSYLVANIA GAMING INDUSTRY OR THE COMMONWEALTH OF PENNSYLVANIA. 58 PA. CODE §437A.11(B) AND AFFIRMS THAT IT HAS PERFORMED THE APPROPRIATE DUE DILIGENCE ON THE ABOVE NAMED GAMING SERVICE PROVIDER APPLICANT AND ITS OWNERS, MANAGERS OR EMPLOYEES AND BELIEVES THAT THE APPLICANT MEETS THE QUALIFICATIONS TO BE A GAMING SERVICE PROVIDER.

\_\_\_\_\_  
 Name of Gaming Service Provider Applicant

\_\_\_\_\_  
 Name of Slot Machine Licensee

\_\_\_\_\_  
 Printed Name and title of Authorized Signatory

\_\_\_\_\_  
 Signature of Authorized Signatory

\_\_\_\_\_  
 Date