



# **Sports Wagering Personal History Disclosure Form**

**MGCU - 8100**

## **Maine Gambling Control Unit**

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**Department of Public Safety  
Central Maine Commerce Center  
87 State House Station  
45 Commerce Drive, Suite 5  
Augusta, Maine 04333-0087  
(207) 626-3900 – Office  
(207) 626-4356 – Fax**

**INFORMATION THAT IS CONFIDENTIAL PURSUANT TO 8 MRS §1204(3)(H) MAY NOT BE DISSEMINATED BY THE DIRECTOR OR DISCLOSED TO ANY OTHER PERSON OR ENTITY EXCEPT AS PROVIDED IN §1204(3)(F). OTHER AREAS MAY BE CONFIDENTIAL IF PROTECTED BY APPLICABLE STATE OR FEDERAL LAW, THE INDIVIDUAL COMPLETING THIS PERSONAL HISTORY DISCLOSURE FORM SHALL DISCLOSE THIS INFORMATION WITH THIS FORM IF KNOWN.**

**PERSONAL HISTORY DISCLOSURE FORM INSTRUCTIONS**

**PLEASE READ ALL INSTRUCTIONS CAREFULLY BEFORE COMPLETING THIS FORM. PLACE A CHECKMARK IN THE APPROPRIATE BOX FOR ALL YES OR NO ANSWERS.**

**I. COMPLETING THIS FORM:**

- a. Documents submitted to the Gambling Control Unit by or on behalf of an applicant for purposes of determining the qualifications of the applicant shall be sworn to or affirmed before a notary public in accordance with Unit Rules, Ch. 52. (1)(5) If any form or document is signed by an attorney for the applicant, the signature shall certify that the attorney has read the forms or documents and that, to the best of his or her knowledge, information, and belief, based on diligent inquiry, the contents of the form or documents so supplied are true.
- b. To the extent, if any, that the information supplied by the applicant or on the applicant's behalf becomes outdated, inaccurate, or incomplete, the applicant shall notify the Director within 30 days in writing as soon as it is aware that the information is outdated, inaccurate or incomplete, and shall at that time supply the information necessary to correct the timeliness, inaccuracy, or incompleteness of the information.
- c. The applicant shall cooperate fully with the Unit, 3<sup>rd</sup> party contractor, in any background investigation of the applicant.
- d. You must make accurate statements and include all material facts. Any misrepresentation, or the failure to provide requested information, may result in the denial of the application submitted to the Unit.
- e. Read each question carefully prior to answering. Answer every question completely. Do not leave blank spaces. If a question does not apply to you, indicate "Does Not Apply" in response to that question. If there is nothing to disclose in response to a particular question, indicate "None" or "Not Applicable" in response to that question. Failure to provide a response to every question could result in the delay or rejection of the application submitted to the Unit.
- f. All entries on this form, except signatures, must be typed or printed in block lettering. If this form is not legible, it will not be accepted.
- g. If the space available is insufficient to respond to a question, please supply the required information on the last page or an additional page and clearly identify which question you are answering with initials and date.

- h. If you make any modifications to the pre-printed questions or information contained in this form without the consent of the Director or Maine Gambling Control Unit staff, this form will be rejected. Once this form is accepted, it becomes the property of the Maine Gambling Control Unit and will not be returned.

## **II. BE SURE TO:**

- a. Sign the Request to Release Information form on page 4 and your spouse, if applicable, in the presence of a notary public or other person legally authorized to notarize your signature.
- b. Sign the Affirmation and Consent on pages 5 & 6 in the presence of a notary public or other person legally authorized to notarize your signature.
- c. Attach the following documents:
1. A recent (within the past 6 months) color photograph of yourself in the space provided on page 8.
  2. A current copy of your resume.
  3. Provide signed copies of the personal federal, state and or foreign income tax returns for the past 3 years.
  4. Your DD214, if applicable.
  5. A copy of your Driver's License.
  6. A copy of your Birth Certificate.
  7. Copies of all pages of your Passport (Ensuring that all visa, work permit and permanent residence entries are clearly legible).
  8. Educational Verification (i.e., Copies of Diplomas, Certificates and Degrees).
  9. Criminal record Character Certificate for Non-US Citizens (Foreigners must submit an original police clearance certificate or the equivalent from the county of origin).
  10. Marriage Certificate or Divorce Decree (copies be submitted, if applicable).
- d. Ensure that the two F.B.I. fingerprint cards are filled out completely and signed. In addition, the Fingerprint Verification Form on page 8 must be completed and signed by the full time, law enforcement or corrections officer taking your fingerprints.
- e. Retain a completed copy of the Personal History Disclosure Form package for your own records.
- f. Include the Sports Wagering Personal History Disclosure Application fee of \$250 and fingerprint fee of \$52 for a total of \$302.

**NOTE: The MGCU-8100, along with all attachments, are submitted in an electronic format; i.e., thumb drive with each document being clearly labeled. For investigative efficiency, document dumps will not be accepted. For any required document not submitted with the application, provide an explanation and time frame for compliance.**

# AFFIRMATION & CONSENT

Name of Authorized Agent

I, \_\_\_\_\_, as authorized agent of the Applicant, state the following:

- A. That the statements made in the application and any documents made a part of the application are true and correct:
- B. That the applicant understands that the information provided on application forms required by the Maine Gambling Control Unit is used by the Unit, 3<sup>rd</sup> party contractor, along with other information, in judging the applicant's suitability and that this information may be cause for refusal to issue a license: and
- C. That the applicant understands that knowingly making a false statement in the application, during the application process or in a document made a part of the application is among the grounds for refusal to issue a license or other disciplinary action, up to and including revocation or suspension of a license.

I understand that I/the Applicant may be subject to criminal prosecution for making false statements on my application, based on the following:

- A. Making a false statement under oath or affirmation constitutes false swearing in violation of 17-A M.R.S.A. § 452 (Class D) provided that I do not believe the statement to be true and that I make the statement with the intent to mislead a public servant performing his/her official duties.
- B. Making a written false statement that I do not believe to be true on my application constitutes unsworn falsification in violation of 17-A M.R.S.A. § 453 (Class D).
- C. Making a false written statement that I do not believe to be true with the intent to deceive a public servant in the performance of his/her official duties constitutes unsworn falsification in violation of 17-A M.R.S.A. § 453 (Class D).

I further consent to any background investigation necessary to determine the present and continuing suitability of the Applicant and that this consent continues as long as the Applicant holds a Maine gaming license or certification, and for 90 days following the expiration or surrender of such gaming license or certification. I understand that further information may be requested of the Applicant in regard to this application, and that the Applicant agrees to supply such information upon request.

I understand that the information provided in this form along with other information will be used by the Unit to judge my suitability and that this information may be cause for the refusal to issue a license.

|                                                        |                  |
|--------------------------------------------------------|------------------|
| Applicant's Business name                              | Trade Name (DBA) |
| Printed Full Legal Name of Agent (Last, First, Middle) | Title            |
| Signature                                              | Date             |

State of: \_\_\_\_\_ )      County of: \_\_\_\_\_ )

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

My commission expires: \_\_\_\_\_

\_\_\_\_\_  
*Signature (Notary Public)*

# INVESTIGATION AUTHORIZATION

## AUTHORIZATION TO RELEASE INFORMATION

Company Name

Authorized Name (President/CEO

On behalf of \_\_\_\_\_, I, \_\_\_\_\_, hereby authorize the Maine Gambling Control Unit, the Maine State Police Gambling Control Unit, 3<sup>rd</sup> party contractor, its agents, or employees to conduct a complete investigation into the background of \_\_\_\_\_, using whatever legal means they deem appropriate.

Company Name

I, on behalf of the applicant, its legal representatives and assigns, understand and acknowledge that by submitting this application, an investigation to include a full range of criminal history checks, may be performed with regard to persons identified in 8 M.R.S.A., Chapter 31, §1016(3), to include key executives, directors, officers, partners, shareholders, creditors, owners, and associates of \_\_\_\_\_.

Company Name

The Unit reserves the right to investigate all relevant information and facts to its satisfaction. I understand that the Unit may conduct a complete and comprehensive investigation to determine the accuracy of all information gathered. However, the State of Maine, the Unit, 3<sup>rd</sup> party contractor, and other agents or employees of the State of Maine shall not be held liable for the receipt, use, or dissemination of inaccurate information from any source.

I, on behalf of the applicant, its legal representatives and assigns, consent to the disclosure of information on the applicant and any person subject to investigation under 8 M.R.S.A., Chapter 31, §1016(3) by the Unit, 3<sup>rd</sup> party contractor, to any law enforcement or any regulatory agency of this or any other state, the government of the United States, any foreign country, or any Indian Tribe.

I, on behalf of the applicant, its legal representatives and assigns understand information could include any information contained within the application filed by \_\_\_\_\_ within any financial or personnel record, and information obtained from any source, or any information maintained by the Unit, 3<sup>rd</sup> party contractor, unless otherwise designated confidential by law.

I, on behalf of the applicant, its legal representatives and assigns, hereby release, waive, discharge, and agree to hold harmless, and otherwise waive liability as to the State of Maine, the Unit, 3<sup>rd</sup> party contractor, and other agents or employees of the State of Maine for any damages resulting from any use, disclosure, or publication in any manner, other than a willfully unlawful disclosure or publication of any material or information acquired during inquiries, investigations, or hearings, and hereby authorize the lawful use, disclosure, or publication of this material or information.

|                                                        |  |                  |  |
|--------------------------------------------------------|--|------------------|--|
| Applicant's Business name                              |  | Trade Name (DBA) |  |
| Printed Full Legal Name of Agent (First, Middle, Last) |  | Title            |  |
| Signature                                              |  | Date             |  |

State of: \_\_\_\_\_) County of: \_\_\_\_\_)

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

My commission expires: \_\_\_\_\_

\_\_\_\_\_  
*Signature (Notary Public)*

# APPLICANT'S REQUEST TO RELEASE INFORMATION

Applicant's Name

ON BEHALF OF THE APPLICANT: \_\_\_\_\_

Entity to Which Request is Addressed

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

1. I hereby authorize and request full disclosure and release of any and all information, materials, and documents concerning the applicant requested by the Maine Gambling Control Unit, the Maine State Police Gambling Control Unit, 3<sup>rd</sup> party contractor, its agents, or employees, whether the information, materials, and documents are of a public, private, or confidential nature and whether the information, materials, and documents would otherwise be protected from disclosure by any constitutional, statutory or common law privilege.
2. I understand that my application will result in a financial records check. I authorize the person named above to release to the Unit, the Maine State Police Gambling Control Unit, 3<sup>rd</sup> party contractor, its agents, or employees, a complete and accurate record of the applicant's financial transactions, including but not limited to internal banking memoranda, past and present loan applications, checking account records, savings deposit records, safe-deposit box records, securities transactions, and any other documents relating to the applicant's personal or business financial records in whatever form and wherever located.
3. I authorize the Unit, the Maine State Police Gambling Control Unit, 3<sup>rd</sup> party contractor, its agents, or employees to determine the person or entity to which this request is to be presented and to insert that person or entity's name in the appropriate location in this request.
4. I understand that the Unit, the Maine State Police Gambling Control Unit, 3<sup>rd</sup> party contractor, its agents, or employees will conduct a complete and comprehensive investigation to determine the validity of all information gathered. The Unit, the State of Maine, and the agents and employees of either, will not be held liable for inaccurate information.
5. If this request is not sufficient to obtain access to certain records, I understand that I or another authorized representative of the applicant may be asked to sign another appropriate authorization or release and that any failure to do so may be taken into consideration by the Unit, 3<sup>rd</sup> party contractor, its agents, or employees in reviewing the application.
6. I understand that I may revoke this request in writing at any time and that the Unit, 3<sup>rd</sup> party contractor, its agents, or employees may take the revocation into consideration in reviewing the application.
7. This request is valid for a period not to exceed 18 months from the date of execution.
8. I, for the applicant and its agents, administrators, successors, and assigns, hereby release the providers of the information collected pursuant to this request, and their agents and employees, from any and all liability arising out of or by reason of complying with this request.
9. A photocopy of this request will be considered as valid and effective as the original.

|                                                        |  |                  |  |
|--------------------------------------------------------|--|------------------|--|
| Applicant's Business name                              |  | Trade Name (DBA) |  |
| Printed Full Legal Name of Agent (First, Middle, Last) |  | Title            |  |
| Signature                                              |  | Date             |  |

## **IMPORTANT**

**ATTACH PHOTO**

Print your name on the front bottom  
border of the photograph before  
attaching it.

**\*A PHOTO TAKEN IN THE LAST SIX MONTHS SHALL BE INSERTED WITH THE  
ELECTRONIC COPY OF THIS SPORTS WAGERING PERSONAL HISTORY  
DISCLOSURE FORM.**

# MAINE GAMBLING CONTROL UNIT

Pursuant to Title 8 MRS § 1204 (3) the Department of Public Safety shall exchange fingerprint data with, and receive criminal history record information from, the Federal Bureau of Investigation for use in considering an applicant for a license issued pursuant to the provisions of Title 8 MRS, Chapter 35 regulation of sports wagering statute. In addition, pursuant to 8 MRS §1204, the Director has the authority to request information to investigate the qualifications and suitability of an applicant under §1204 (2) as an employee with control of an applicant or a licensee as a key executive, director, officer, partner, shareholder, creditor, owner, and/or associates of the applicant. Therefore, all fingerprints submitted will be run through the FBI for a criminal history check.

## FINGERPRINT VERIFICATION

This form is to be completed by the law enforcement agency, or upon Director approval, another entity providing the service of a certified, full-time, law enforcement or corrections officer who takes your fingerprints\*. Cards are to be filled out in **BLACK INK**.

The enclosed fingerprint cards contain the prints of \_\_\_\_\_  
Name

|                                    |       |
|------------------------------------|-------|
| Name of Person Taking Fingerprints | Title |
| Law Enforcement Agency Name        |       |
| ORI # or Certification #           |       |
| Signature                          | Date  |

**\*QUESTIONS REGARDING THIS FORM CAN BE ADDRESSED BY CALLING THE MAINE GAMBLING CONTROL UNIT AT (207) 626-3900.**

## Privacy Act Statement

*This privacy act statement is located on the back of the [FD-258 fingerprint card](#).*

**Authority:** The FBI's acquisition, preservation, and exchange of fingerprints and associated information is generally authorized under 28 U.S.C. 534. Depending on the nature of your application, supplemental authorities include Federal statutes, State statutes pursuant to Pub. L. 92-544, Presidential Executive Orders, and federal regulations. Providing your fingerprints and associated information is voluntary; however, failure to do so may affect completion or approval of your application.

**Principal Purpose:** Certain determinations, such as employment, licensing, and security clearances, may be predicated on fingerprint-based background checks. Your fingerprints and associated information/biometrics may be provided to the employing, investigating, or otherwise responsible agency, and/or the FBI for the purpose of comparing your fingerprints to other fingerprints in the FBI's Next Generation Identification (NGI) system or its successor systems (including civil, criminal, and latent fingerprint repositories) or other available records of the employing, investigating, or otherwise responsible agency. The FBI may retain your fingerprints and associated information/biometrics in NGI after the completion of this application and, while retained, your fingerprints may continue to be compared against other fingerprints submitted to or retained by NGI.

**Routine Uses:** During the processing of the application and for as long thereafter as your fingerprints and associated information/biometrics are retained in NGI, your information may be disclosed pursuant to your consent, and may be disclosed without your consent as permitted by the Privacy Act of 1974 and all applicable Routine Uses as may be published at any time in the Federal Register, including the Routine Uses for the NGI system and the FBI's Blanket Routine Uses. Routine uses include, but are not limited to, disclosures to: employing governmental or authorized non-governmental agencies responsible for employment, contracting, licensing, security clearances, and other suitability determinations; local, state, tribal, or federal law enforcement agencies; criminal justice agencies; and agencies responsible for national security or public safety.

As of 03/30/2018

The FBI Privacy Act Statement can be found at <https://www.fbi.gov/services/cjis/compact-council/privacy-act-statement>.

### **Applicant Notification of Procedures for Obtaining an Amendment to an FBI Record**

Your fingerprints will be used to check the criminal history records of the FBI. You have the opportunity to complete or challenge the accuracy of the information contained in the FBI identification record. The procedure for obtaining a change, correction, or update of an FBI criminal history record are set forth at 28 CFR 16.34. Information regarding this process may be found at <https://www.fbi.gov/services/cjis/identity-history-summary-checks> and <https://www.edo.cjis.gov>.

**PLEASE PRINT OR TYPE THE ANSWERS TO THE  
FOLLOWING QUESTIONS IN THE SPACES PROVIDED**

**PERSONAL DATA**

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**NAME: Last** (include Sr., Jr., etc. if applicable)      **First**      **Middle**

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**SEX**    **EYE COLOR**      **HAIR COLOR**      **HEIGHT** (feet / inches)      **WEIGHT** (Lbs.)

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**MAILING / POSTAL ADDRESS:**  
**NUMBER AND STREET**    **APT #**      **CITY/TOWN**      **STATE/PROVINCE**    **ZIP/POSTAL CODE**

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**HOME ADDRESS: (IF DIFFERENT FROM MAILING / POSTAL ADDRESS SHOWN ABOVE)**  
**NUMBER AND STREET**    **APT #**      **CITY/TOWN**      **STATE/PROVINCE**    **ZIP/POSTAL CODE**

**TELEPHONE NUMBER:** (\_\_\_\_\_) \_\_\_\_\_      **E-MAIL:** \_\_\_\_\_  
(AREA CODE & NUMBER)

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**PRESENT BUSINESS ADDRESS:**  
**NUMBER AND STREET**    **APT #**      **CITY/TOWN**      **STATE/PROVINCE**    **ZIP/POSTAL CODE**

**BUSINESS TELEPHONE NUMBER:** (\_\_\_\_\_) \_\_\_\_\_ **EXT.** \_\_\_\_\_  
(AREA CODE & NUMBER)

**FAX NUMBER:** (\_\_\_\_\_) \_\_\_\_\_  
(AREA CODE & NUMBER)

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**DATE OF BIRTH:** (MONTH / DAY / YEAR)      **PLACE OF BIRTH:** (CITY / STATE / COUNTRY)

**SOCIAL SECURITY NUMBER:** \_\_\_\_\_ \*

\*The following statement is made pursuant to the Privacy Act of 1974, §7(b): Disclosure of your Social Security number is mandatory. Solicitation of your Social Security number is solely for the investigation of the qualifications and suitability of an applicant for a Facility Sports Wagering, Mobile Sports Wagering, Management Services or Supplier license pursuant to 8 M.R.S. §§ 1204. Chapter 52 of the Sports Wagering Gambling Control Unit Rules allows the Unit to request the Social Security numbers of all individuals who are directors, officers, owners, partners, key executives, and any other individual who exert significant influence in a company as part of an application for one of these licenses. No further use will be made of your Social Security number without your consent. It shall be treated as confidential information pursuant to 8 M.R.S. § 1204(3)(H).

1. Have you ever been known by any other name(s) or alias(es)?

☐ Yes ☐ No

If yes, list the additional names below and specify dates of use for each.  
(Include maiden names, aliases, nicknames, other name changes, legal or otherwise)

2. Do you have any scars, tattoos, or other distinguishing marks and/or characteristics?

☐ Yes ☐ No

If so, please describe.

3. Are you a citizen or permanent resident of the United States?

☐ Yes ☐ No

If not, of what country are you a citizen? \_\_\_\_\_

4. Have you ever been issued a passport?

☐ Yes ☐ No

If yes, provide the following information about your passport(s) in addition to copies of each page including any visas, work permits or permanent residence authorizations:

|                 |                  |              |             |                 |
|-----------------|------------------|--------------|-------------|-----------------|
| Passport Number | Country of Issue | Place Issued | Date Issued | Expiration Date |
|                 |                  |              |             |                 |
| Passport Number | Country of Issue | Place Issued | Date Issued | Expiration Date |
|                 |                  |              |             |                 |

## RESIDENCE DATA

5. Beginning with your current residence(s) and working backward, provide the following information with respect to each place where you have lived (including residences while attending college or while in military service) during the last fifteen years or since the age of 18, whichever is less.

| FROM<br>(MO/YR) | TO<br>(MO/YR) | ADDRESS<br>STREET, APT, CITY/TOWN, STATE, ZIP | NAME OF MORTGAGE HOLDER OR<br>LANDLORD AND ADDRESS |
|-----------------|---------------|-----------------------------------------------|----------------------------------------------------|
|                 |               |                                               |                                                    |

## FAMILY / SOCIAL DATA

6. Please provide your current information below:

Are you currently:      Single              Married              Divorced              Widowed

Date of current status if other than single: \_\_\_\_\_

*Spouse is considered current or former.*

Name of Spouse: \_\_\_\_\_  
(FIRST NAME) (MIDDLE NAME) (MAIDEN NAME)

Spouse's Date of Birth: \_\_\_\_\_

Spouse's Place of Birth: \_\_\_\_\_  
(CITY/TOWN) (STATE/PROVINCE) (COUNTRY)

Spouse's Occupation: \_\_\_\_\_

Spouse's Home Address: \_\_\_\_\_  
(STREET) (CITY/TOWN)  
\_\_\_\_\_  
(STATE/PROVINCE) (ZIP/POSTAL CODE)

Spouse's Telephone Number: (\_\_\_\_\_) \_\_\_\_\_  
(AREA CODE & NUMBER)

Spouse's Email: \_\_\_\_\_

7. List the names of all your biological children, stepchildren and adopted children, their date of birth, and their current address.

| NAME OF CHILDREN OR DEPENDENTS | DATE OF BIRTH | % OF SUPPORT | PRESENT ADDRESSES OF CHILDREN OR DEPENDENTS |
|--------------------------------|---------------|--------------|---------------------------------------------|
|                                |               |              |                                             |

- 7A. Please mark the appropriate response regarding your child support and to whom the obligation is appointed:

I am not subject to a court order for the support of a child.

I am subject to a court order for the support of one or more children and am in compliance with a plan approved by the public agency/court enforcing the order for the repayment of the amount owed pursuant to the order; or

I am subject to a court order for the support of one or more children and am **NOT** in compliance with the order or plan approved by the public agency/court enforcing the order for the repayment of the amount owed pursuant to the order. Identify the public agency/court responsible for enforcing the child support order.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_

List child(ren) under support order:

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## MILITARY SERVICE DATA

8. Have you ever served in a military organization of any country or have you been an active or inactive member of a reserve force of any country?

☐ Yes ☐ No

If yes, provide the following information:

Country of Service: \_\_\_\_\_

Branch of Service: \_\_\_\_\_ Service Identification #: \_\_\_\_\_

Highest Rank Held: \_\_\_\_\_

Period(s) of Active Service: From: \_\_\_\_\_ To: \_\_\_\_\_

From: \_\_\_\_\_ To: \_\_\_\_\_

9. Date and type of discharge or separation (Honorable, Dishonorable, Other Than Honorable, Medical, etc.) from Military Service(s):

Date of each discharge/separation:

\_\_\_\_\_

Type of discharge(s):

\_\_\_\_\_

**ATTACH a copy of your discharge records. If unavailable, attach a copy of a letter to the appropriate branch of the military requesting a copy of your discharge records. If in the reserves, please attach a copy of your discharge papers.\***

\*In the United States, a discharge record is called a DD Form 214. If you have served in the U.S. Military, you should provide a copy of this record. If our military service was in another country, you should provide a copy of whatever official documentation was provided to you at the time of your discharge.

**10.** Have you been subject to court martial or non-judicial punishment by the United States Military, regardless of outcome? \*\*

☐ Yes ☐ No

If yes, complete the following chart:

| NATURE OF CHARGE OR ARREST | DATE AND LOCATION OF CHARGE | DISPOSITION AND SENTENCE | NAME OF ORGANIZATION FILING CHARGES |
|----------------------------|-----------------------------|--------------------------|-------------------------------------|
|                            |                             |                          |                                     |

**\*\*Members of the United States Military are subject to the Uniform Code of Military Justice. Charges for violations of the Uniform Code of Military Justice may be resolved at different levels of court martial or through non-judicial (administrative or “Article 15”) punishment.**

## EDUCATIONAL DATA

11. Beginning with high school, provide the dates attended, name and address of school, type of degree or certification and a short description of the program with respect to each school, college, university, graduate, or post-graduate school you have attended.

| DATES ATTENDED | NAME AND ADDRESS OF SCHOOL | LIST TYPE OF DEGREE OR CERTIFICATION | DESCRIPTION OF PROGRAM |
|----------------|----------------------------|--------------------------------------|------------------------|
|                |                            |                                      |                        |

- 12.** List all offices, trusteeships, directorships, or fiduciary positions (including non-profit charitable entities and family trusts) held by you with any firm, corporation, association, partnership, or other business entity during the last fifteen-year period. Provide the name and address of the firm, corporation, or business and any compensation received. Begin with the most recent and work backward.

| DATES | TITLE OF OFFICE OR POSITION HELD | NAME AND ADDRESS OF FIRM, CORPORATION, OR BUSINESS | COMPENSATION RECEIVED |
|-------|----------------------------------|----------------------------------------------------|-----------------------|
|       |                                  |                                                    |                       |

- 13.** List all government positions and offices, whether salaried or unsalaried, held by you during the last fifteen-year period. Provide the name and address of the government agency. Begin with the most recent and work backward.

| DATES | TITLE OF OFFICE OR POSITION HELD | NAME AND ADDRESS OF GOVERNMENT AGENCY |
|-------|----------------------------------|---------------------------------------|
|       |                                  |                                       |

**EMPLOYMENT AND LICENSING DATA**

14. In the chart below, provide the information regarding your employment for the past fifteen years or until the age of 18, whichever is less. Begin with your present job and work backward. Give dates of any unemployment between jobs in proper sequence. Include all part-time and full-time employment and any military service.

| DATES | NAME, ADDRESS, TELEPHONE, AND SUPERVISOR OF EMPLOYER | TITLE/POSITION HELD AND DESCRIPTION OF DUTIES | REASON FOR LEAVING |
|-------|------------------------------------------------------|-----------------------------------------------|--------------------|
|       |                                                      |                                               |                    |

**15.** With regard to the previously listed employment:

**A.** Were you ever discharged, suspended, or asked to resign from employment?

☐ Yes ☐ No

**B.** During the last fifteen-year period, were you ever charged with any infraction in relation to any employment, which was the subject of any disciplinary action?

☐ Yes ☐ No

**C.** During the last fifteen-year period, did you ever resign or quit your employment to avoid any disciplinary action or from being fired?

☐ Yes ☐ No

If yes to any of the above, complete the following chart as to each time you were discharged, suspended, asked to resign, or disciplined:

| DATE OF DISCIPLINARY ACTION | NAME, ADDRESS, TELEPHONE, AND SUPERVISOR OF EMPLOYER | TITLE/POSITION HELD AND DESCRIPTION OF DUTIES | REASON FOR DISCHARGE, SUSPENSION, OR RESIGNATION |
|-----------------------------|------------------------------------------------------|-----------------------------------------------|--------------------------------------------------|
|                             |                                                      |                                               |                                                  |

16. Have you ever been employed by a gaming/gambling related company in any jurisdiction? \*

☐ Yes ☐ No

**\*Gaming/gambling related company includes any form or type of gaming/gambling related operation, any manufacturer of gaming/gambling equipment, junket enterprise, horse racing, dog racing, pari-mutuel operation, lottery, sports betting, Internet gaming, etc.**

| DATES | NAME OF GAMING/GAMBLING COMPANY AND COUNTRY/STATE WHERE EMPLOYED | TITLE/POSITION HELD AND DESCRIPTION OF DUTIES | REASON FOR LEAVING |
|-------|------------------------------------------------------------------|-----------------------------------------------|--------------------|
|       |                                                                  |                                               |                    |

17. Have you or your spouse ever applied for, or held, a license, permit, registration, finding of suitability, qualification, or other authorization to participate in any form or type of gaming/gambling related operation (including any manufacturer of gaming/gambling equipment, junket operation, horse racing, dog racing, pari-mutuel operation, lottery, sports betting, Internet gaming, etc.) in any jurisdiction? You must answer “YES” to this question if you ever applied and your application as granted, denied, returned to you by the gaming agency for any reason, withdrawn, or is currently pending.
- ☐ Yes      ☐ No

If yes, complete the following chart:

| DATE OF APPLICATION | NAME & ADDRESS OF LICENSING AGENCY / ORGANIZATION | TYPE OF LICENSE OR APPROVAL | DISPOSITION (GRANTED, DENIED, OR PENDING) | LICENSE NUMBER & HELD BY WHOM |
|---------------------|---------------------------------------------------|-----------------------------|-------------------------------------------|-------------------------------|
|                     |                                                   |                             |                                           |                               |

**18.** Have you ever had any adverse action\* taken against a gambling-related license or application in any jurisdiction?

☐ Yes ☐ No

If yes, complete the following chart as to each adverse action:

| DATE OF ACTION | NAME AND ADDRESS OF GOVERNMENTAL AGENCY | TYPE OF LICENSE, PERMIT, OR CERTIFICATE | REASON FOR ADVERS ACTION |
|----------------|-----------------------------------------|-----------------------------------------|--------------------------|
|                |                                         |                                         |                          |

**\*Adverse action includes, but is not limited to, a condition resulting from an administrative, civil, or criminal violation, a suspension or revocation of a license or a voluntary surrender of a license to avoid or resolve a civil, criminal, or disciplinary action.**

- 19. Begin with your spouse's current employer.** List any and all compensated employment, of whatever nature, held by your spouse during the past twelve-month period.

| DATES | TITLE OR POSITION HELD | NAME, ADDRESS, AND TELEPHONE OF EMPLOYER |
|-------|------------------------|------------------------------------------|
|       |                        |                                          |

- 20.** To the best of your knowledge have you or your spouse served as a trustee or other fiduciary officer in any capacity during the last twelve-month period?

☐ Yes ☐ No

If yes, complete the following chart:

| DATES | CAPACITY AND NATURE OF TRUST OR OTHER FUND | INCOME RECEIVED | FOR WHOM HELD |
|-------|--------------------------------------------|-----------------|---------------|
|       |                                            |                 |               |

21. Have you or your spouse ever sought and been denied a position as a trustee or other fiduciary officer?

☐ Yes ☐ No

21A. Have you or your spouse ever been suspended or removed from a position as a trustee or other fiduciary officer?

☐ Yes ☐ No

If yes to either question, complete the following chart:

| DATE | CAPACITY | NATURE OF TRUST OR<br>OTHER OFFICE | REASON FOR DENIAL,<br>SUSPENSION, OR REMOVAL |
|------|----------|------------------------------------|----------------------------------------------|
|      |          |                                    |                                              |

22. In the last fifteen years, have you ever applied for, or held, any **NON-GAMBLING** professional or occupational license, permit, or certification, in any jurisdiction? You must answer “YES” to this question if you ever applied and your application was granted, denied, suspended, revoked, voluntarily surrendered to avoid an adverse action, withdrawn, currently pending, or subject to any conditions in any jurisdiction.

☐ Yes ☐ No

If yes, complete the following chart:

| DATES | NAME ON LICENSE AND TYPE | NAME AND ADDRESS OF LICENSING AGENCY AND FINAL<br>DISPOSITION OF APPLICATION |
|-------|--------------------------|------------------------------------------------------------------------------|
|       |                          |                                                                              |

- 23.** List any group, firm, partnership, corporation, or any other businesses in which you have held an ownership interest of 10% or more for the last fifteen years, or since the age of 18, whichever is less.

| DATE | NAME, ADDRESS(ES) OF BUSINESS(ES) | CURRENT STATUS OF BUSINESS | % OF INTEREST HELD BY YOU | NAME OF OWNERS AND THEIR ADDRESSES | STATE OR PROVINCE |
|------|-----------------------------------|----------------------------|---------------------------|------------------------------------|-------------------|
|      |                                   |                            |                           |                                    |                   |

24. Has an entity in which you, or your spouse, is/was a director, officer, partner, key executive, or an owner with 10% or greater interest ever had a license, permit, or certificate issued by a governmental agency in any jurisdiction denied, suspended, revoked, or subject to any conditions?

☐ Yes ☐ No

If yes, complete the following chart as to each denial, suspension, or revocation:

| DATE OF ACTION | NAME AND ADDRESS OF GOVERNMENTAL AGENCY | TYPE OF LICENSE, PERMIT, OR CERTIFICATE | REASON FOR DENAIL, SUSPENSION, OR REVOCATION |
|----------------|-----------------------------------------|-----------------------------------------|----------------------------------------------|
|                |                                         |                                         |                                              |

25. For each gaming/gambling related license, permit, registration, finding of suitability, qualification, or other authorization identified in the previous question, were you or your spouse ever called to appear to testify, or otherwise participate in a hearing or proceeding before the licensing agency or commission to which you were applying?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF APPEARANCE | NAME AND ADDRESS OF LICENSING AGENCY OR COMMISSION | NATURE OF HEARING | WAS TESTIMONY GIVEN |
|--------------------|----------------------------------------------------|-------------------|---------------------|
|                    |                                                    |                   |                     |

26. To the best of your knowledge, in the last fifteen years or since the age of 18, whichever is less, have you held a direct or indirect financial or ownership interest in any group, firm, corporation, partnership, or other business entity that has applied to any licensing agency in any jurisdiction for any license, permit, registration, finding of suitability, or qualification in connection with any form or type of gaming/gambling related operation (including any manufacturer of gaming/gambling equipment, junket operation, horse racing, dog racing, pari-mutuel operation, lottery, sports betting, Internet gaming, etc.)?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF APPLICATION | NAME AND ADDRESS OF BUSINESS IDENTITY | NATURE OF YOUR INTEREST | NAME AND ADDRESS OF LICENSING AGENCY | TYPE OF LICENSE AND DISPOSITION |
|---------------------|---------------------------------------|-------------------------|--------------------------------------|---------------------------------|
|                     |                                       |                         |                                      |                                 |

27. To the best of your knowledge, in the last fifteen years or since the age of 18, whichever is less, have any members of your family (spouse, children, stepchildren, adopted children, or parents) been associated with, or been employed in, any form or type of a gaming/gambling related operation as defined in Question 17, in any jurisdiction?

☐ Yes ☐ No

If yes, complete the following chart:

| NAME OF PERSON | NAME OF GAMING/GAMBLING OPERATION AND ADDRESS | RELATIONSHIP | BUSINESS TELEPHONE |
|----------------|-----------------------------------------------|--------------|--------------------|
|                |                                               |              |                    |

## **CIVIL, CRIMINAL, AND INVESTIGATORY PROCEEDINGS**

The next set of questions asks about any arrests, charges, or offenses you may have committed. Prior to answering these questions, carefully review the definitions and instructions that follow.

**DEFINITIONS:** For purposes of this Personal History Disclosure Form:

- A. "Arrest" signifies the apprehension or detention of a person in order that he may be forthcoming to answer for an alleged crime.
- B. "Charge" includes any indictment, complaint, information, summons, or other notice of the alleged commission of any "offense".
- C. "Offense" for the purpose of this form, includes all crimes, felonies, misdemeanors, driving while intoxicated/impaired motor vehicle offenses and violations of probation, civil contempt, or any other court order.
- D. "Convictions" include a finding of guilt (1) after trial by a jury or judge (2) following a plea of guilty or (3) following a plea of nolo contendere.

**INSTRUCTIONS:** Answer "YES" and provide all information to the best of your ability  
EVEN IF:

- A. You did not commit the offense charged;
- B. The charges were dismissed or subsequently downgraded to a lesser charge;
- C. You completed a Pretrial Intervention (PTI) or equivalent diversionary program in other jurisdictions;
- D. You were not convicted;
- E. You did not serve any time in prison or jail; or
- F. The charges or offenses happened a long time ago.

Answer "NO" IF any records relating to a charge, arrest or conviction have been expunged or otherwise officially sealed by a court or government agency, or if you have been granted a full and free pardon.

### **IMPORTANT**

**The Maine Gambling Control Unit will make inquiries to establish whether the individual completing this form has had involvement with any law enforcement agency. Failure to disclose any such involvement will be taken into account in assessing your character, honesty, and integrity.**

28. Have you ever been arrested, summonsed, charged, or indicted for any criminal offense? You must answer “YES” to this question if a criminal charge was initiated against you, even if the charge was subsequently reduced, amended, or dismissed.

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF<br>CHANGE OR<br>OFFENSE | NATURE OF CHARGE OR OFFENSE AND<br>LOCATION OF WHERE INCIDENT<br>OCCURRED | NAME AND ADDRESS OF LAW<br>ENFORCEMENT AGENCY OR COURT | DISPOSITION<br>AND<br>SENTENCE |
|---------------------------------|---------------------------------------------------------------------------|--------------------------------------------------------|--------------------------------|
|                                 |                                                                           |                                                        |                                |

29. Have you ever been convicted of a criminal offense? You must answer “YES” to this question if you pleaded guilty, pleaded nolo contendere, or were found guilty after trial held before a judge or jury.

☐ Yes ☐ No

If yes, complete the following chart:

| DATE | NAME AND ADDRESS OF GOVERNMENT AGENCY | NATURE OF PROCEEDING |
|------|---------------------------------------|----------------------|
|      |                                       |                      |

30. To the best of your knowledge, have you ever been the subject of a criminal, civil, or administrative investigation? Such an investigation may have been conducted by a law enforcement agency (local, county, state, federal, etc.), a governmental agency/organization, a court, a commission, a committee, or a grand jury.

☐ Yes ☐ No

If yes, complete the following chart:

| INVESTIGATION PERIOD | NAME AND ADDRESS OF COURT OR OTHER AGENCY | NATURE OF PROCEEDING OR INVESTIGATION | DATES OF TESTIMONY IF GIVEN |
|----------------------|-------------------------------------------|---------------------------------------|-----------------------------|
|                      |                                           |                                       |                             |

31. Have you ever received a reduction of charges, reduced sentence, or pardon for testimony provided before of federal, national, state, county grand jury, or other criminal investigatory body, to include any civil or administrative proceeding or hearing?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF ACTION | NAME AND ADDRESS OF GOVERNMENTAL AGENCY/ORGANIZATION GRANTING PARDON, DISMISSAL, OR DEFERRAL | TYPE OF ACTION TAKEN |
|----------------|----------------------------------------------------------------------------------------------|----------------------|
|                |                                                                                              |                      |

32. In the last fifteen years, have you as an individual, member of a partnership, or owner, director, or officer of a corporation, ever been a party to a lawsuit, as either a plaintiff or defendant, or to arbitration as either a claimant or defendant? (Include matrimonial matters, negligence matters, auto accident matters, collection matters, debt matters, bankruptcies, etc.)

☐ Yes ☐ No

If yes, complete the following chart:

| DATE FILED | NAME AND ADDRESS OF COURT | DOCKET / CASE NUMBER | NATURE OF SUIT AND OTHER PARTIES INVOLVED | DATE OF DISPOSITION |
|------------|---------------------------|----------------------|-------------------------------------------|---------------------|
|            |                           |                      |                                           |                     |

33. In the last fifteen years, has any general partnership, business venture, sole proprietorship or closely held corporation, which you were associated with as a 10% owner, officer, director, or partner, been a party to a lawsuit, arbitration, or bankruptcy?

☐ Yes ☐ No

If yes, complete the following chart:

| TYPE OF ENTITY | NAME OF ENTITY OR ORGANIZATION | DATE(S) OF LAWSUIT | WHERE ACTION WAS FILED |
|----------------|--------------------------------|--------------------|------------------------|
|                |                                |                    |                        |

34. Have you ever been barred or otherwise excluded, for any reason, other than for the denial, suspension, or revocation of a license or registration, from any form of type of gaming/gambling-related operation in any jurisdiction? (Indicate “YES” even if the disbarment or exclusion is no longer in effect or has been lifted.)

☐ Yes ☐ No

If yes, complete the following chart:

| DATES | GAMING / GAMBLING AGENCY | REASON FOR EXCLUSION |
|-------|--------------------------|----------------------|
|       |                          |                      |

## VEHICLE OPERATOR DATA

35. In the chart below, list all current operator licenses (automobiles, motorcycles, airplanes, boats, recreational vehicles, etc.) issued to you in any jurisdiction:

| DATE LAST<br>ISSUED | LICENSE NUMBER AND TYPE | JURISDICTION ISSUING<br>LICENSE | EXPIRATION DATE OF<br>LICENSE |
|---------------------|-------------------------|---------------------------------|-------------------------------|
|                     |                         |                                 |                               |

## FINANCIAL DATA

36. Have any individual, local, city, county, provincial, state, federal, national, or any other governmental liens/debts been filed against you as an individual, sole proprietor, member of a partnership, or owner of a corporation in any jurisdiction?

☐ Yes ☐ No

If yes, complete the following chart:

| NATURE OF LIEN / DEBT | WHERE LIEN / DEBT WAS FILED | WHEN FILED | STATUS |
|-----------------------|-----------------------------|------------|--------|
|                       |                             |            |        |

37. Have you personally ever been adjudicated bankrupt or filed a petition for any type of bankruptcy, insolvency, or liquidation under any bankruptcy or insolvency law in any jurisdiction?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE FILED | NAME AND ADDRESS OF COURT | DOCKET / CASE NUMBER | NAME AND ADDRESS OF TRUSTEE |
|------------|---------------------------|----------------------|-----------------------------|
|            |                           |                      |                             |

- 38.** In the last fifteen years or since the age of 18, whichever is less, has any business entity in which you held a 10% or greater ownership interest, or in which you served as an officer or director, been adjudicated bankrupt or filed a petition for any type of bankruptcy or insolvency under any bankruptcy or insolvency law?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE<br>FILED | NAME AND ADDRESS OF COURT | DOCKET / CASE NUMBER | NAME AND ADDRESS<br>OF TRUSTEE |
|---------------|---------------------------|----------------------|--------------------------------|
|               |                           |                      |                                |

- 39.** Have you as an individual, member of a partnership, or owner, director or officer of a corporation ever been in a business entity that has been in liquidation, receivership, or been placed under some form of governmental administration or monitoring?

☐ Yes ☐ No

If yes, complete the following chart:

| NAME AND ADDRESS OF<br>BUSINESS ENTITY | YOUR RELATIONSHIP TO<br>BUSINESS ENTITY | REASON PLACED UNDER<br>LIQUIDATION,<br>RECEIVERSHIP, ETC. | DATE PLACED UNDER AND<br>CURRENT STATUS |
|----------------------------------------|-----------------------------------------|-----------------------------------------------------------|-----------------------------------------|
|                                        |                                         |                                                           |                                         |

40. Have your wages, earning, or other income been subject to garnishment, attachment, charging order, voluntary wage execution, or the like during the past fifteen-year period?

☐ Yes ☐ No

If yes, complete the following chart:

| DOCKET<br>NUMBER AND<br>DATE FILED | NAME AND ADDRESS OF COURT | NATURE AND AMOUNT<br>OF OBLIGATION | NAME AND ADDRESS OF<br>HOLDER OF OBLIGATION |
|------------------------------------|---------------------------|------------------------------------|---------------------------------------------|
|                                    |                           |                                    |                                             |

41. In the last fifteen years, have you ever had any property, real or personal, repossessed by a finance company in any jurisdiction?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE<br>REPOSSESSED | TYPE OF PROPERTY | NAME AND ADDRESS OF COMPANY<br>REPOSSESSING PROPERTY | REASON FOR REPOSSESSION |
|---------------------|------------------|------------------------------------------------------|-------------------------|
|                     |                  |                                                      |                         |

**42.** In the last fifteen years, have you been:

**A.** An executor (trix), personal representative, administrator, conservator, or other fiduciary of any estate;

**B.** A beneficiary or legatee under a will or received anything of value under an intestacy statute, in excess; or

**C.** A settlor/grantor, beneficiary, or trustee of any trust?

☐ Yes ☐ No

If yes, complete the following chart as to each estate and trust:

| POSITION /<br>INTEREST HELD | NAME AND LOCATION OF ESTATE /<br>TRUST | DATE(S) ON WHICH POSITIONS<br>WERE HELD OR RECEIVED | AMOUNT OF COMPENSATION OR<br>BENEFIT RECEIVED |
|-----------------------------|----------------------------------------|-----------------------------------------------------|-----------------------------------------------|
|                             |                                        |                                                     |                                               |

**43A.** Please state your country of residence: \_\_\_\_\_

**43B.** During the last fifteen-year period, have you had any right of ownership in, control over the interest in any bank account(s), which are located outside the country of residence identified in Question 43A?

☐ Yes      ☐ No

If yes, complete the following chart:

| DATE FROM / TO | NAME AND ADDRESS OF INSTITUTION HOLDING ACCOUNT & ACCOUNT NUMBER | NAME AND ADDRESS OF EACH PERON / ENTITY APPEARING ON THE ACCOUNT | PRESENT AMOUNT HELD |
|----------------|------------------------------------------------------------------|------------------------------------------------------------------|---------------------|
|                |                                                                  |                                                                  |                     |

**43C.** Do you own, manage, or control any assets, or are you responsible for any liabilities, located outside the country of residence as identified in (A) above (excluding any foreign bank accounts identified in (B) above)?

☐ Yes      ☐ No

If yes, complete the following chart:

| DESCRIPTION OF ASSET / LIABILITY | LOCATION OF ASSET / LIABILITY |
|----------------------------------|-------------------------------|
|                                  |                               |

44. Do you own, hold, or have an interest in any assets in a trust in any jurisdiction? (You may exclude those assets disclosed in your answer to Question 42.)

☐ Yes ☐ No

If yes, complete the following chart:

| DESCRIPTION OF TRUST | LOCATION OF TRUST | NAME OF TRUSTEE(S) | NAMES OF OTHER(S) WITH INTERESTS IN TRUST |
|----------------------|-------------------|--------------------|-------------------------------------------|
|                      |                   |                    |                                           |

45. Do you hold, manage, or control in trust, or otherwise, any assets or liabilities for another person or entity in any jurisdiction? (You may exclude those assets or liabilities disclosed in your answer to Question 41.)

☐ Yes ☐ No

If yes, complete the following chart:

| DESCRIPTION OF TRUST | LOCATION OF TRUST | NAMES OF OTHER(S) WITH INTEREST IN TRUST |
|----------------------|-------------------|------------------------------------------|
|                      |                   |                                          |

46. During the last fifteen-year period, have you or your spouse received a loan in excess of \$25,000 USD?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE RECEIVED LOAN | NAME AND ADDRESS OF LENDER | NAME OF BORROWER AND ALL CO-SIGNERS | LOAN AMOUNT, PERCENTAGE RATE, AND TERMINATION DATE |
|--------------------|----------------------------|-------------------------------------|----------------------------------------------------|
|                    |                            |                                     |                                                    |

47. During the last fifteen-year period, have you or your spouse made any loan in excess of \$25,000 USD?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF LOAN | NAME AND ADDRESS OF BORROWER AND ALL CO-PARTIES | NAME OF LENDER | LOAN AMOUNT, PERCENTAGE, AND TERMINATION DATE |
|--------------|-------------------------------------------------|----------------|-----------------------------------------------|
|              |                                                 |                |                                               |

48. Have you ever exchanged currency in an amount of more than \$10,000 USD within the last fifteen years?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE AND AMOUNT OF EXCHANGE | LOCATION WHERE EXCHANGE WAS MADE | REASON FOR EXCHANGE | DID YOU FILL OUT OR FILE ANY GOVERNMENTAL REPORTING DOCUMENT |
|-----------------------------|----------------------------------|---------------------|--------------------------------------------------------------|
|                             |                                  |                     |                                                              |

49. Do you maintain a brokerage or margin account with any securities or commodities dealer?

☐ Yes ☐ No

If yes, complete the following chart:

| NAME AND ADDRESS OF DEALER | TYPE OF ACCOUNT | AMOUNT OF MARGIN |
|----------------------------|-----------------|------------------|
|                            |                 |                  |

- 50.** Have you or your spouse filed any claims in excess of \$100,000 USD under any fire, theft, automobile, or insurance policy within the last fifteen-year period?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE OF CLAIM | NAME AND ADDRESS OF INSURANCE CARRIER | NATURE OF CLAIM | DISPOSITION |
|---------------|---------------------------------------|-----------------|-------------|
|               |                                       |                 |             |

- 51.** During the last fifteen-year period, have you or your spouse given or received any gift or gifts, from any one individual, which either individually or in the aggregate exceeded \$10,000 USD in value, in any one-year period?

☐ Yes ☐ No

If yes, complete the following chart as to each gift:

| DATE GIFT GIVEN / RECEIVED | NAME OF THE DONOR OR DONEE | DESCRIPTION OF GIFT | APPROXIMATE VALUE |
|----------------------------|----------------------------|---------------------|-------------------|
|                            |                            |                     |                   |

**52.** Do you have any safe deposit boxes in your name in any jurisdiction?

☐ Yes ☐ No

**52A.** Do you have access to the funds in any other safe deposit boxes in any jurisdiction?

☐ Yes ☐ No

If yes to either question, complete the following:

| ACCOUNT NO. OR<br>SAFE DEPOSIT BOX | NAME AND ADDRESS OF BANK OR OTHER<br>INSTITUTION / BUSINESS LOCATION AND<br>ACCOUNT NUMBER OR SAFE DEPOSIT BOX | NAME IN WHICH<br>ACCOUNT(S) IS / ARE<br>HELD | TYPE OF ACCOUNT |
|------------------------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------------------|-----------------|
|                                    |                                                                                                                |                                              |                 |

**53.** In the last fifteen years, or since the age of 18, whichever is less, have you received any referral or finder's fee in excess of \$10,000 USD?

☐ Yes ☐ No

If yes, complete the following chart:

| DATE RECEIVED | NAME AND ADDRESS OF ALL PARTIES<br>INVOLVED | NATURE OF GOODS OR<br>SERVICES PROVIDED | AMOUNT RECEIVED |
|---------------|---------------------------------------------|-----------------------------------------|-----------------|
|               |                                             |                                         |                 |

**54.** Have you, in the last fifteen years or since the age of 18, whichever is less, given a guarantee, co-signed, or otherwise insured payment of a loan, debt, or other financial obligation in any jurisdiction?

☐ Yes      ☐ No

If yes, complete the following chart:

| DATE OBLIGATION<br>MADE | NAME OF PERSON RESPONSIBLE FOR<br>OBLIGATION | NATRE OF OBLIGATION | STATUS OF UNDERLYING<br>OBLIGATION |
|-------------------------|----------------------------------------------|---------------------|------------------------------------|
|                         |                                              |                     |                                    |

## NET WORTH STATEMENT – ASSETS AND LIABILITIES

NOTE: Complete the financial statements form Schedule “A” through Schedule “O,” and copy the totals in the appropriate space below.

- 55.** Please list all assets, tangible, and intangible, in which you and/or your spouse hold a direct or indirect interest. For each line item, list both the cost of the asset and the present market values as of the date of this statement unless this cannot reasonably be done, in which case any special valuation date should be noted in the column provided. Detail each line entry on the appropriate schedule.

| ASSET                                       | COST AT DATE<br>ACQUIRED OR<br>PURCHASED<br>(A) | CURRENT MARKET<br>VALUE<br>(B) | SPECIAL VALUATION DATE,<br>IF ANY |
|---------------------------------------------|-------------------------------------------------|--------------------------------|-----------------------------------|
| 1. CASH a. ON HAND<br>b. IN BANK            |                                                 |                                |                                   |
| 2. LOANS, NOTES, AND OTHER<br>REVENUES      |                                                 |                                |                                   |
| 3. SECURITIES                               |                                                 |                                |                                   |
| 4. REAL ESTATE INTERESTS                    |                                                 |                                |                                   |
| 5. CASH VALUE LIFE<br>INSURANCE             |                                                 |                                |                                   |
| 6. CASH VALUE PENSION /<br>RETIREMENT FUNDS |                                                 |                                |                                   |
| 7. VEHICLES                                 |                                                 |                                |                                   |
| 8. OTHER ITEMS > \$3,000.00                 |                                                 |                                |                                   |
|                                             |                                                 |                                |                                   |
| TOTAL ASSETS                                |                                                 |                                |                                   |

- 56.** Please list all liabilities of you or your spouse. Enter the amount as of the date of this statement. Detail each line entry on the appropriate schedule.

| LIABILITY                                                                          | ORIGINAL AMOUNT OF<br>LIABILITY<br>(C) | AMOUNT OUTSTANDING<br>(D) |
|------------------------------------------------------------------------------------|----------------------------------------|---------------------------|
| 9. NOTES PAYABLE                                                                   |                                        |                           |
| 10. LOANS AND OTHER PAYABLES                                                       |                                        |                           |
| 11. TAXES PAYABLE                                                                  |                                        |                           |
| 12. MORTGAGES OR LIENS ON REAL<br>ESTATE                                           |                                        |                           |
| 13. LOANS AGAINST INSURANCE / PENSION                                              |                                        |                           |
| 14. OTHER INDEBTEDNESS                                                             |                                        |                           |
| TOTAL LIABILITIES                                                                  |                                        |                           |
| NET WORTH – TOTAL ASSETS (FROM COLUMN B)<br>LESS TOTAL LIABILITIES (FROM COLUMN D) |                                        |                           |
| 15. CONTINGENT LIABILITIES                                                         |                                        |                           |

Date of Statement: \_\_\_\_\_

Please provide the name, address and telephone number of the person completing this statement, if someone other than you completes it.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone: \_\_\_\_\_

## SCHEDULE “A” – CASH IN BANK

- 57.** List below all bank accounts (checking, savings, time deposits, certificates of deposit, money market funds, etc.) foreign and domestic, maintained by you and/or your spouse. Identify with an asterisk (\*) any check writing accounts held with brokerage houses, insurance companies, etc.

| NAME AND ADDRESS<br>OF INSTITUTION | NAME AND PERSON(S)<br>AND TAX<br>IDENTIFICATION<br>NUMBERS | ACCOUNT<br>NUMBER | INTEREST RATE AND GENERAL<br>NATURE OF ACCOUNT | BALANCE AND<br>DATE |
|------------------------------------|------------------------------------------------------------|-------------------|------------------------------------------------|---------------------|
|                                    |                                                            |                   |                                                |                     |
|                                    |                                                            |                   | TOTAL CURRENT BALANCE:                         |                     |

## SCHEDULE “B” – LOANS, NOTES AND OTHER RECEIVABLES

**58.** List below all loans, notes and other receivables held by you and/or your spouse.

| NAME AND ADDRESS<br>OF DEBTOR | INTEREST RATE AND<br>ORIGINAL LOAN<br>AMOUNT | DATE OF LOAN<br>AND TOTAL<br>PAYMENTS | NATURE OF ADVANCE AND<br>NATURE OF SECURITY, IF ANY<br>(INDICATE IF UNSECURED) AND<br>FROM WHICH DEPENDENT IT<br>ORIGINATES FROM | CURRENT<br>BALANCE |
|-------------------------------|----------------------------------------------|---------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|--------------------|
|                               |                                              |                                       |                                                                                                                                  |                    |
|                               | TOTAL ORIGINAL<br>LOAN AMOUNTS:              |                                       | TOTAL CURRENT BALANCE:                                                                                                           |                    |

## SCHEDULE “C” – SECURITIES

- 59.** Provide the information in the table below for all stocks, bonds, mutual funds, commodity accounts, options, warrants, etc., held or controlled by you and/or your spouse in any jurisdiction. Whenever interest exists through a mutual fund or holding company, the individual stocks or bonds held by such mutual fund or holding company need not be listed; whenever such interest exists through a beneficial interest in a trust, the securities held in such trust shall be listed if you and/or your spouse have knowledge of what securities are so held.

INDICATE PUBLICLY TRADED SECURITIES BY AN ASTERISK (\*)

| INDICATE IF HELD BY SPOUSE AND NUMBER OF SECURITIES HELD | TYPE OF SECURITY AND NAME OF ISSUEING COMPANY OR GOVERNMENT | DATE OF AND PRICE AT PURCHASE | PERCENTAGE OF OWNERSHIP AND REGISTERED OWNER | CURRENT MARKET VALUE |
|----------------------------------------------------------|-------------------------------------------------------------|-------------------------------|----------------------------------------------|----------------------|
|                                                          |                                                             |                               |                                              |                      |
|                                                          | TOTAL PURCHASE PRICE:                                       |                               | TOTAL CURRENT MARKET VALUE:                  |                      |

## SCHEDULE “D” – REAL ESTATE INTERESTS

60. Indicate below the location, size, general nature, acquisition date and other information requested regarding any real property in any jurisdiction in which any direct, indirect, vested, or contingent interest is held by you and/or your spouse, along with the names of all individuals or entities who share a direct, indirect, vested and/or contingent interest therein.

| INDICATE IF HELD BY SPOUSE AND ADDRESS OF PARCEL / LOT | TYPE OF PROPERTY TO INCLUDE LOT SIZE AND BUILDING AREA (SQUARE FOOTAGE) | PURCHASE PRICE OF % OWNED | DATE ADQUIRED AND INDIVIDUALS OR ENTITIES SHARING INTEREST (INCLUDE % OWNERSHIP OF ALL PARTIES) | ESTIMATED MARKET VALUE OF % OWNED |
|--------------------------------------------------------|-------------------------------------------------------------------------|---------------------------|-------------------------------------------------------------------------------------------------|-----------------------------------|
|                                                        |                                                                         |                           |                                                                                                 |                                   |
|                                                        | TOTAL PURCHASE PRICE:                                                   |                           | TOTAL CURRENT MARKET VALUE:                                                                     |                                   |

## SCHEDULE “E” – CASH VALUE – LIFE INSURANCE

61. Indicate below the information requested with regard to the cash value of all life insurance policies held by you and/or your spouse.

| INDICATE IF HELD BY SPOUSE AND DATE PURCHASED | INSURANCE CARRIER POLICY NUMBER AND BENEFICIARY(IES) | DATE OF AND PRICE AT PURCHASE | FACE VALUE AND ANNUAL PREMIUM PAYMENT | CASH SURRENDER VALUE |
|-----------------------------------------------|------------------------------------------------------|-------------------------------|---------------------------------------|----------------------|
|                                               |                                                      |                               |                                       |                      |
|                                               |                                                      |                               | TOTAL CASH SURRENDER VALUE:           |                      |

## SCHEDULE “F” – CASH VALUE – PENSION/RETIREMENT FUNDS

62. Indicate below the information requested with regard to the cash value of all retirement/investment/pension funds held by you and/or your spouse.

| INDICATE IF HELD BY SPOUSE AND TYPE OF FUND | EMPLOYER / INSTITUTION AND ACCOUNT NUMBER | CUMULATIVE EMPLOYEE CONTRIBUTION | CUMULATIVE EMPLOYER CONTRIBUTION | CURRENT CASH VALUE |
|---------------------------------------------|-------------------------------------------|----------------------------------|----------------------------------|--------------------|
|                                             |                                           |                                  |                                  |                    |
|                                             | TOTAL PURCHASE PRICE:                     |                                  | TOTAL CURRENT MARKET VALUE:      |                    |

## SCHEDULE “G” – VEHICLES

- 63.** Indicate below the information requested with regard to all vehicles owned or leased by you and/or your spouse.

| INDICATE IF HELD BY YOU OR YOUR SPOUSE AND INICATE IF OWNED OR LEASED* | TYPE OF VEHICLE INCLUDING: YEAR, MAKE AND MODEL | COST ** | DATE ACQUIRED AND LOCATION | IF OWNED, CURRENT MARKET VALUE |
|------------------------------------------------------------------------|-------------------------------------------------|---------|----------------------------|--------------------------------|
|                                                                        |                                                 |         |                            |                                |
|                                                                        | TOTAL COST OF VEHICLES:                         |         | TOTAL CURRENT CASH VALUE:  |                                |

\*If leased specify in this column the length of the lease, total lease costs, down payments, monthly payments, and number of payments over the life of the lease.

\*\*If leased, enter the sum of the down payment plus monthly payments to date as the total cost.

## SCHEDULE “H” – OTHER ASSESTS

- 64.** List below the information requested regarding all other assets, including any business investments in which any direct, indirect, vested, or contingent is held by you and/or your spouse. Business interest should include, but not be limited to, joint ventures, partnerships, sole proprietorships, corporations, and LLCs. Other assets should include, but not be limited to, art collections, coin collections, and antiques.

| INDICATE IF HELD BY SPOUSE | NATURE OF ASSET AND DATE OF ACQUISITION | COST | % OF OWNERSHIP INTEREST AND DATE OF VALUATION | ESTIMATED MARKET VALUE OF % OWNED |
|----------------------------|-----------------------------------------|------|-----------------------------------------------|-----------------------------------|
|                            |                                         |      |                                               |                                   |
|                            | TOTAL COST PRICE:                       |      | TOTAL CURRENT MARKET VALUE:                   |                                   |

- 65.** List below the information requested with regard to all notes payable for which you and/or your spouse are obligated.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF CREDITOR | ACCOUNT NUMBER, DATE INCURRED, AND AMOUNT OF PERIODIC PAYMENT | ORIGINAL AMOUNT OF NOTE | NATURE OF SECURITY AND TOTAL PAYMENTS | OUTSTANDING AMOUNT OF LIABILITY |
|-------------------------------------------------------------|---------------------------------------------------------------|-------------------------|---------------------------------------|---------------------------------|
|                                                             |                                                               |                         |                                       |                                 |
|                                                             | TOTAL ORIGINAL AMOUNT OF NOTES:                               |                         | TOTAL AMOUNT OF NOTES PAYABLE:        |                                 |

## SCHEDULE “J” – LOANS AND OTHER PAYABLES

66. List below the information requested with regard to all accounts payable (include lines of credit, installment loans, revolving charge accounts and any other accounts) for which you and/or your spouse are obligated.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF CREDITOR | DATE INCURRED AND AMOUNT OF PERIODIC PAYMENT | ORIGINAL AMOUNT OF LIABILITY | NATURE OF SECURITY AND TOTAL PAYMENTS | CURRENT AMOUNT OUTSTANDING |
|-------------------------------------------------------------|----------------------------------------------|------------------------------|---------------------------------------|----------------------------|
|                                                             |                                              |                              |                                       |                            |
|                                                             | TOTAL OF ORIGINAL AMOUNT OF LIABILITY:       |                              | TOTAL AMOUNT OF OUTSTANDING PAYABLE:  |                            |

SCHEDULE “K” – TAXES PAYABLE

67. List below the information requested with regard to all taxes payable for which you and/or your spouse are obligated. Only real estate and income taxes need to be included.

| INDICATE IF HELD BY SPOUSE AND NATURE OF TAX | TAXING AUTHORITY                         | DATE AND AMOUNT OF ORIGINAL OBLIGATION | FINES, PENALTIES, AND INTEREST, IF ANY | TOTAL AMOUNT DUE |
|----------------------------------------------|------------------------------------------|----------------------------------------|----------------------------------------|------------------|
|                                              |                                          |                                        |                                        |                  |
|                                              | TOTAL ORIGINAL AMOUNT OF TAX OBLIGATION: |                                        | TOTAL AMOUNT OF TAXES PAYABLE:         |                  |

## SCHEDULE “L” – MORTGAGES OR LIENS PAYABLE ON REAL ESTATE

- 68.** List below the information requested with regard to all mortgages or liens due and owning on real estate for which you and/or your spouse are obligated.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF MORTGAGE/LIEN HOLDER | ACCOUNT NUMBER, DATE INCURRED, AND DESCRIPTION / ADDRESS OF REAL ESTATE | ORIGINAL AMOUNT OF LIABILITY | TERM OF MORTGAGE / INTEREST RATE AND PERIODIC PAYMENT | CURRENT MORTGAGE BALANCE |
|-------------------------------------------------------------------------|-------------------------------------------------------------------------|------------------------------|-------------------------------------------------------|--------------------------|
|                                                                         |                                                                         |                              |                                                       |                          |
|                                                                         | TOTAL ORIGINAL MORTGAGES OR LIENS PAYABLE:                              |                              | TOTAL MORTGAGES OR LIENS PAYABLE ON REAL ESTATE:      |                          |

## SCHEDULE “M” – LOANS AGAINST INSURANCE/PENSION PLANS

69. List below the information requested with regard to all loans against life insurance policies, pension plans, etc., taken by you and/or your spouse.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF INSURANCE CARRIER | INTEREST RATE, DATE INCURRED, AND AMOUNT OF PERIODIC PAYMENT | ORIGINAL AMOUNT OF LOAN | PURPOSE OF LOAN                                     | CURRENT LOAN BALANCE |
|----------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|-----------------------------------------------------|----------------------|
|                                                                      |                                                              |                         |                                                     |                      |
|                                                                      | TOTAL OBLIGATION LIABILITY INSURANCE / PENSION LOANS:        |                         | TOTAL AMOUNT OUTSTANDING INSURANCE / PENSION LOANS: |                      |

- 70.** List below the information requested with regard to any other indebtedness for which you and/or your spouse are obligated.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF CREDITOR | INTEREST RATE, DATE INCURRED, AND AMOUNT OF PERIODIC PAYMENT | ORIGINAL AMOUNT OF LIABILITY | DESCRIPTION OF LIABILITY, TYPE OF OBLIGATION, AND NATURE OF SECURITY | OUTSTANDING AMOUNT OF INDEBTEDNESS |
|-------------------------------------------------------------|--------------------------------------------------------------|------------------------------|----------------------------------------------------------------------|------------------------------------|
|                                                             |                                                              |                              |                                                                      |                                    |
|                                                             | TOTAL ORIGINAL AMOUNT OF OTHER INDEBTEDNESS:                 |                              | TOTAL AMOUNT OUTSTANDING OTHER INDEBTEDNESS:                         |                                    |

71. List below the information requested with regard to all contingent liabilities for which you and/or your spouse are obligated.

| INDICATE IF HELD BY SPOUSE AND NAME AND ADDRESS OF CONTINGENT CREDITOR | ACCOUNT NUMBER, DATE INCURRED, AND PRIMARY DEBTOR | ORIGINAL AMOUNT OF CONTINGENT OBLIGATION | DESCRIPTION OF OBLIGATION INCLUDING NATURE OF SECURITY, IF ANY | CURRENT AMOUNT OF CONTINGENT OBLIGATION |
|------------------------------------------------------------------------|---------------------------------------------------|------------------------------------------|----------------------------------------------------------------|-----------------------------------------|
|                                                                        |                                                   |                                          |                                                                |                                         |
|                                                                        | TOTAL ORIGINAL CONTINGENT LIABILITIES:            |                                          | TOTAL AMOUNT OF OUTSTANDING CONTINGENT LIABILITIES:            |                                         |

72. Have you ever been adjudicated of committing a civil violation or convicted of a criminal violation involving dishonesty, deception, misappropriation, or fraud?

☐ Yes ☐ No

If yes, please explain:

73. Have you ever engaged in conduct in the State of Maine or in any other jurisdiction that would constitute a violation of Title 8, Chapter 31 [Gambling Control Unit]; Title 8, Chapter 11 [Harness Racing] involving gambling; Title 17, Chapter 13-A [Beano or Bingo]; Title 17, Chapter 62 [Games of Chance]; Title 17-A, Chapter 39 [Unlawful Gambling]; or substantially similar offenses in other jurisdictions?

☐ Yes ☐ No

If yes, please explain:

74. Are you a fugitive from justice (See 15 MRS § 201 (4))?

**“Fugitive from justice” means:**

- A. Any person accused of a crime in the demanding state who is not in that state, unless he is lawfully absent pursuant to the terms of his bail or other release. This definition shall include both a person who was present in the demanding state at the time of the commission of the alleged crime and thereafter left the demanding state and a person who committed an act in this State or in a 3<sup>rd</sup> state or elsewhere resulting in or constituting a crime in the demanding state; or
- B. Any person convicted of a crime in the demanding state who is not in that state, unless he is lawfully absent pursuant to the terms of his bail or other release, who has not served or completed a sentence imposed pursuant to the conviction. This definition shall include, but not be limited to, a person who has been released pending appeal or other review of the conviction, the review having been completed; a person who has been serving a sentence in this State; a person who has escaped from confinement in the demanding state; or a person who has broken the terms of his bail, probation, or parole.

☐ Yes ☐ No

If yes, please explain:

75. Are you a drug abuser (See 5 MRS § 20003 (10))?

**“Drug abuser” means a person who uses any drugs, dependency-related drugs, or hallucinogens in violation of any law of the State.**

☐ Yes ☐ No

If yes, please explain:

76. Are you a drug addict (See 5 MRS § 20003 (11))?

**“Drug addict” means a drug-dependent person who, due to the use of a dependency-related drug, has developed such tolerance to the dependency-related drug that abrupt termination of its use would produce withdrawal symptoms.**

☐ Yes ☐ No

If yes, please explain:

77. Are you a drug-dependent person (See 5 MRS § 20003(12))?

**“Drug-dependent person” means any person who is unable to function effectively and whose inability to do so causes, or results from, the use of dependency-related drug.**

☐ Yes ☐ No

If yes, please explain:

78. Are you an illegal alien?

☐ Yes ☐ No

79. Are you current in filing all applicable State and Federal tax returns? **Include a copy of the preceding year's tax returns with this application.**

☐ Yes ☐ No

If no, please explain:

80. Are you current in all payments of taxes, penalties, and interest owed to this State, any other state, or Federal? **Include copies of payments and/or payment arrangements.**

☐ Yes ☐ No

If no, please explain:

81. Have you ever intentionally, knowingly, or recklessly caused bodily injury or offensive physical contact to a spouse, former spouse, an individual presently or formally living as a spouse or sexual partner, natural parents of the same child, adult household member related by consanguinity or affinity or minor child of any household member?

☐ Yes ☐ No

If yes, please explain:

81. Have you ever been serviced with a protection from abuse order (PFA) or a protection from harassment order (PFH)?

☐ Yes ☐ No

If yes, please explain:

- 82.** Please write a brief statement outlining the basis of your knowledge within the gambling industry. Include references to special training and work experiences that are relevant to the position that you are applying for.

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- 83.** Please write a brief statement describing your ability to manage and operate your financial business interests. Give examples from the last fifteen years that show a continuing level of financial responsibility, including public and private business examples.

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Provide the names and other information requested of three (3) references over the age of 18 who have known you for at least one year and can attest to your good character and reputation. You may not use a member of your family as reference. For purposes of this question, family members include 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).

**REFERENCE ONE:**

Name: \_\_\_\_\_ Business Address: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Telephone No. (\_\_\_\_\_) \_\_\_\_\_  
E-mail address: \_\_\_\_\_ Occupation: \_\_\_\_\_  
How long have you known the reference? \_\_\_\_\_

**REFERENCE TWO:**

Name: \_\_\_\_\_ Business Address: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Telephone No. (\_\_\_\_\_) \_\_\_\_\_  
E-mail address: \_\_\_\_\_ Occupation: \_\_\_\_\_  
How long have you known the reference? \_\_\_\_\_

**REFERENCE THREE:**

Name: \_\_\_\_\_ Business Address: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Telephone No. (\_\_\_\_\_) \_\_\_\_\_  
E-mail address: \_\_\_\_\_ Occupation: \_\_\_\_\_  
How long have you known the reference? \_\_\_\_\_

**As indicated in the instructions on page 1 of this form, this page is to be used by you for any questions that required additional space to answer. The question number must be stated immediately prior to your answer.**

**IDENTIFY ALL ANSWERS BY ORIGINAL QUESTION NUMBERS  
USE ADDITIONAL PAGES IF NECESSARY**