

**\*\*Before Moving Foreword Please Complete The Below Section\*\***

1. Name of Associated Company: \_\_\_\_\_

2. Name of Application: \_\_\_\_\_



# Gaming Employee Renewal

## MGCB - 1401

### Maine Gambling Control Board

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Department of Public Safety  
Gambling Control Unit  
87 State House Station  
45 Commerce Drive, Suite 5  
Augusta, Maine 04333-0087  
(207) 626-3900 - Office  
(207) 287-4356 - Fax

**Information that is confidential pursuant to 8 MRSA §1006(1)(A)-(G), is not subject to release unless it is publicly available. However, information afforded confidentiality pursuant to 8 MRSA §1006(1)(H) is not subject to release by the Gambling Control Board or staff, even if publicly available through other sources.**

**Other areas may be confidential if protected by applicable state or federal law. The individual completing this personal history disclosure renewal form shall disclose this information with this form if known.**

**This application must be completed and received no less than 60 days prior to the expiration of your current license, or you may be subject to disciplinary action by the Board.**

**COMPLETING THIS FORM:**

- A. The application, as well as other documents submitted to the Gambling Control Unit by or on behalf of the applicant for purposes of determining the qualifications of the applicant, shall be sworn to, or affirmed before a notary public in accordance with 8 M.R.S.A. §1017. 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. The applicant shall initial and date at the bottom of each page, that to the best of their knowledge all information provided is true as of that date and to the extent, if any, that the information in the application or the supplemental information provided by the applicant becomes, outdated, inaccurate or incomplete, the applicant shall notify the Unit in writing as soon as it is aware that the information is outdated, inaccurate or incomplete, and shall at that time supply the information necessary to make the application or supplementary information current, accurate and complete.
- C. Sign the Applicant's Request to Release Information form and the Affirmation and Consent in the presence of a notary public or other person legally authorized to notarize your signature.
- D. The applicant shall cooperate fully with the Unit in any background investigation of the applicant.
- E. 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 your application.
- F. 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.
- G. All entries on this form, except signatures, must be typed or printed in block lettering. If your application is not legible, it will not be accepted.
- H. If the space available is insufficient to respond to a question, you are to supply the required information on the last page or an additional page and clearly identify which question you are answering.
- I. If you make any modification to the pre-printed questions or information contained in this form without consent of the Maine Gambling Control Board or staff, your application will be rejected. Once your application is accepted, it becomes the property of the Gambling Control Unit and will not be returned.
- J. Retain a completed copy of your application for your own records.
- K. Include the Gaming Employee Renewal Application fee of \$25.00 for 1 year OR \$50.00 for 3 years.

# 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, 3rd 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 (First, Middle, Last)	Title
Signature	Date
<b>*NOTARY UES ONLY*</b>	
State of: _____ )	
County of: _____ )	
Subscribed & sworn 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, Maine Gambling Control Board, any 3rd 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, it's 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 / Board reserves the right to investigate all relevant information and facts to its satisfaction. I understand that the Unit / Board may conduct a complete and comprehensive investigation to determine the accuracy of all information gathered. However, the State of Unit / Board, 3rd 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 / Board, 3rd 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 / Board, 3rd 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 / Board, 3rd 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
<b>*NOTARY UES ONLY*</b>	
State of: _____ )	
County of: _____ )	
Subscribed & sworn 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

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

**1. Employee Name:** \_\_\_\_\_ **Term:** 11 year (\$25) 3 year (\$50)

**2. Employer:** \_\_\_\_\_

**3. Current Position:** \_\_\_\_\_

**4. MGCB Gaming License #** \_\_\_\_\_ **5. License Expiration:** \_\_\_\_\_

**6. Date of Birth:** \_\_\_\_\_

**7. Social Security # :** \_\_\_\_\_ 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 tax administration purposes pursuant to 36 MRSA § 175 as authorized by the Tax Reform Act of 1976, 46 USC § 405(c)(2)(C)(i), and for child support enforcement purposes pursuant to 42 USC § 666(a)(13)(A) and 19-A MRSA §§ 2104, 2201. Your social security number will be disclosed to the State Tax Assessor or an authorized agent for use in determining filing obligations and tax liability pursuant to Title 36 of the Maine Revised Statutes and/or to the Department of Human Services Division of Support Enforcement and Recovery for use in child support enforcement procedures. No further use will be made of your social security number. It shall be treated as confidential tax information pursuant to 36 MRSA § 191 and confidential support enforcement information pursuant to 19-A MRSA § 2152.

**8. Daytime Telephone #:** \_\_\_\_\_

**9. Email Address:** \_\_\_\_\_

**10. Since your last application for a Maine Gambling Control Board license, the employee certifies, by checking the boxes corresponding to subparts (a)&(b), that:**

(a): Has there been a change in your address?                      Yes                      No

(b): Has your name or marital status changed?                      Yes                      No

(If answered yes to (a) and/or (b) above, complete a Name/Address Change form (MGCB-1700) and attach to this application.)

**CIVIL, CRIMINAL, AND INVESTIGATORY PROCEEDINGS**

The next question asks about any arrests, charges, or offenses you may have committed. Prior to answering this question, carefully review the definitions and instructions, which follow.

**DEFINITIONS:** For purposes of this personal history disclosure and application:

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 application, 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. If additional space is needed to answer a particular question, please attach a separate sheet and label what question to which it pertains. 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.

**\*\*The Maine State Police assigned to the Gambling Control Unit will make inquiries to establish whether the applicant 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.**

**A.** Have you 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.

If yes, complete the following: Yes                      No

1. Date or charge of offense: \_\_\_\_\_
2. Nature of charge or offense and location of where incident occurred:
  
3. Name and address of law enforcement agency or court:
  
4. Disposition and sentence:

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

If yes, complete the following: Yes                      No

1. Date: \_\_\_\_\_
2. Name of governmental agency: \_\_\_\_\_
3. Address of government agency: \_\_\_\_\_
4. Nature of Proceedings:

**A.** 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, provincial, state, federal, etc. a governmental agency/organization, a court, a commission, a committee or a grand jury.

Yes No

If yes, complete the following:

1. Investigation period: \_\_\_\_\_
2. Name of court or other agency: \_\_\_\_\_
3. Address of court or other agency: \_\_\_\_\_
4. Nature of proceedings or investigation: \_\_\_\_\_
5. Dates of testimony if given: \_\_\_\_\_

**D.** Have you received a reduction of charges, reduced sentence, or pardon for testimony provided before a 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:

1. Date of action: \_\_\_\_\_
2. Name of Governmental agency/organization granting pardon, dismissal, or deferral:  
\_\_\_\_\_
3. Address of Governmental agency/organization granting pardon, dismissal, or deferral:  
\_\_\_\_\_
4. Type of action taken: \_\_\_\_\_

**E.** Have you 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:

**F.** Have you been 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 Board]; Title 8, Chapter 11 [Harness Racing] involving gambling; Title 17, Chapter 13-A [Beano or Bingo]; Title 17, Chapter 14 [Games of Chance]; Title 17-A, chapter 39 [Unlawful Gambling]; or substantially similar offenses in other jurisdictions?

If yes, please explain: Yes No

**G.** Are you a fugitive from justice?

"Fugitive from justice" means: (15 M.R.S.A. § 201 (4))

**A.** Any person accused of a crime in the demanding state that 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 3rd state or elsewhere resulting in or constituting a crime in the demanding state; or [1977, c. 671, § 3 (new) .]

**B.** Any person convicted of a crime in the demanding state that 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. [1981, c. 317, § 1 (amd).]

If yes, please explain:

Yes

No

**H.** Are you a drug abuser, addict, or drug dependent person (5 M.R.S.A. § 20003 (10), (11), (12))?

If yes, please explain:

Yes

No

**I.** Are you an illegal alien?

If yes, please explain:

Yes

No

**J.** Are you current in filing all applicable State and Federal tax returns? **If you opted for a 1-year period on your previous renewal application OR if your previous application was an initial, include your most recent tax return to this application. If you opted for a 3-year period on your previous renewal application, include your most recent 3 years of tax returns to this application.**

If no, please explain:

Yes

No

**K.** Are you current in all payments of taxes, penalties, and interest owed to this State, any other state, or Federal?

**\*If a tax balance was owed, applicants must submit official documentation issued by the applicable taxing authority demonstrating that all tax obligations have been paid in full or are subject to an approved and current payment arrangement. Acceptable documentation includes tax account transcripts or account statements reflecting a zero balance, formal notices of satisfaction, or other official records issued by the taxing authority verifying the account's paid or current status. Bank records may be accepted only when they clearly identify the taxing authority as the payee and show that the payment has posted. Screenshots, confirmation numbers, or informal documentation will not be accepted.**

If no, please explain:

Yes

No

**L.** Have you 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?

If yes, please explain:

Yes

No

**M.** Have you ever been served with a protection from abuse order (PFA) or a protection from harassment order (PFH)?

If yes, please explain:

Yes

No

**N.** Has any action been taken against your license in this or any other jurisdiction?

If yes, please explain:

Yes

No