



# Internet Gaming / Sports Wagering Supplemental Application

## MGCU - 3300

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

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

2. Name of Applicant: \_\_\_\_\_

An individual who is actively licensed under section 1015 as an employee of a casino that has a facility sports wagering license or who is actively licensed under section 1210 as an employee of a facility sports wagering licensee or mobile sports wagering licensee may obtain or renew a license under this section without paying an initial license fee or a renewal license fee under this section.

The expiration date of the gaming employee license will be the same date for the expiration of a combo license. A licensed sports wagering or Internet Gaming employee may not apply for a casino employee license without paying the license fee associated with the casino employee license.

### Maine Gambling Control Unit

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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**

**NOTE: The MGCU-3300, 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.**

**INFORMATION THAT IS CONFIDENTIAL PURSUANT TO 8 MRS §1404(3)(H) MAY NOT BE DISSEMINATED BY THE DIRECTOR OR DISCLOSED TO ANY OTHER PERSON OR ENTITY EXCEPT AS PROVIDED IN §1404(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.**

**INTERNET GAMING / SPORTS WAGERING SUPPLEMENTAL APPLICATION 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. 72. (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.

**AFFIRMATION & CONSENT**

Name of Applicant

I, \_\_\_\_\_, state the following:

- A. That the statements made in the Personal History Disclosure Form and any documents made a part of the Personal History Disclosure Form are true and correct;
- B. That I understand that the information provided on this Personal History Disclosure Form required by the Unit/Board is used by the Unit/Board, 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 I understand that knowingly making a false statement in the application or in a document made a part of the application, might provide grounds for refusal to issue a license or other disciplinary action, up to and including full 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 false written 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/Board to judge my suitability and that this information may be cause for the refusal to issue a license.

**I, the undersigned, have read this release and understand all its terms. I execute it voluntarily and with full knowledge of its significance.**

**In witness Whereof, I have executed this release at** \_\_\_\_\_, \_\_\_\_\_  
*City* *State*

**on the** \_\_\_\_\_ **day of** \_\_\_\_\_, **20** \_\_\_\_\_

\_\_\_\_\_  
Applicant Signature

**\*NOTARY USE ONLY\***

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

Country of: \_\_\_\_\_ )

Subscribed & 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:** \_\_\_\_\_

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

(Do Not Write Above This Line – For Gaming Control Board Use Only)

**NOTE: IF YOU ARE MARRIED, YOUR SPOUSE'S SIGNATURE IS REQUIRED BELOW.**

1. I/We hereby authorize and request full disclosure and release of any and all information, materials, and documents concerning me/us requested by the Maine Gambling Control Unit, 3rd 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/We understand that my application will result in a financial records check. I/We authorize the person named above to release to the Unit, 3rd party contractor, its agents, or employees, a complete and accurate record of my/our 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 my/our personal or business financial records in whatever form and wherever located.
3. I/We authorize the Unit, 3rd 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/We understand that the Unit, 3rd 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/We understand that I/We 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, 3rd party contractor, its agents, or employees in reviewing the application.
6. I/We understand that I/We may revoke this request in writing at any time and that the Unit, 3rd 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/We, 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.

Printed Full Legal Name of Agent (First, Middle, Last)	
Signature	Date

Printed Spouse's Full Legal Name of Agent (First, Middle, Last)	
Signature	Date

State of: _____ )	<b>*NOTARY USE ONLY*</b>
County of: _____ )	
Subscribed & sworn to before me by: _____	
This _____ day of _____, 20__	
My commission expires: _____	

Signature (Notary Public)

# PERSONAL DATA

NAME: LAST (INCLUDE SR., JR., ETC., IF APPLICABLE)      FIRST      MIDDLE

SEX      EYE COLOR      HAIR COLOR      HEIGHT (FEET/INCHES)      WEIGHT (LBS)

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

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

TELEPHONE NUMBER: (    ) \_\_\_\_\_  
(AREA CODE & NUMBER)

EMAIL ADDRESS: \_\_\_\_\_

CURRENT GCU GAMING LICENSE #: \_\_\_\_\_

BUSINESS ENTITY ASSOCIATED WITH GCU GAMING LICENSE: \_\_\_\_\_

TYPE OF GAMING LICENSE HELD: \_\_\_\_\_

DATE OF MOST RECENT INITIAL OR RENEWAL LICENSE: \_\_\_\_\_

**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)

DATE OF BIRTH: (MM/DD/YYYY)      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 slot machine operator, casino operator, slot machine distributor, table game distributor, or gambling services vendor license pursuant to 8 MRS §§ 1404. Chapter 72 of the Internet Gaming 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 exerts 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 MRS §1404(3).

## 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 Internet Gaming, Sports Wagering Supplemental 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 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.

### **IMPORTANT**

**The Maine 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 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.

If yes, complete the following chart:

Yes

No

DATE OF CHARGE OR OFFENSE	NATURE OF CHARGE OR OFFENSE AND LOCATION OF WHERE INCIDENT OCCURRED	NAME AND ADDRESS OF LAW ENFORCEMENT AGENCY OR COURT	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 chart:

Yes

No

DATE	NAME AND ADDRESS OF GOVERNMENTAL AGENCY	NATURE OF PROCEEDING

- C.** 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.

If yes, complete the following chart:

Yes

No

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

**D.** Have you ever 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 chart:

DATE OF ACTION	NAME AND ADDRESS OF GOVERNMENTAL AGENCY / ORGANIZATION GRANTING PARDON, DISMISSAL OR DEFERRAL	NATURE OF PROCEEDING

**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 Unit]; 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?

Yes No

If yes, please explain:

**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, Federal and Foreign tax returns, if applicable?  
**Include copies of payments and/or payment arrangements**

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 or Foreign, if applicable? **Include copies of payments and/or payment arrangements.**

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

**ATTACH EXTRA SHEETS, IF NEEDED, BY NUMBER OR LETTER ACCORDINGLY.**