

For Agency Use Only:  
Date Received \_\_\_\_\_  
Date Approved: \_\_\_\_\_  
License Number: \_\_\_\_\_



# Gaming Employee Supplemental Disclosure Form MGCB-1500

## Maine Gambling Control Board

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Department of Public Safety  
Central Maine Commerce Center  
87 State House Station  
45 Commerce Drive, Suite 3  
Augusta, Maine 04333-0087  
(207) 626-3900 - Office  
(207) 287-4356 - Fax

**Effective 07/11/2017**

**The Maine Gambling Control Board requests that you complete this Gaming Employee Supplemental Disclosure Form as part of the application of a slot machine operator, casino operator, slot machine distributor, table game distributor, or a gambling services vendor for a license to operate in the State of Maine.**

**This is a supplemental form for those Maine employees who have either been promoted or are Key employees who have the power to exercise considerable influence over significant decisions concerning the applicant's or licensee's business.**

**INFORMATION THAT IS CONFIDENTIAL PURSUANT TO 8 M.R.S. §1006(1)(A)-(G) IS NOT SUBJECT TO RELEASE UNLESS IT IS PUBLICLY AVAILABLE. HOWEVER, INFORMATION AFFORDED CONFIDENTIALITY PURSUANT TO 8 M.R.S. §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 THE SUPPLEMENTAL DISCLOSURE FORM SHALL DISCLOSE THIS INFORMATION WITH THIS FORM IF KNOWN.**

**SUPPLEMENTAL 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 Board 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 Board Rules, Ch. 2. 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- B. To the extent, if any, that the information supplied by the applicant or on the applicant's behalf becomes outdated, inaccurate or incomplete, the applicant shall notify the Board in writing as soon as it is aware that the information is outdated, inaccurate or incomplete,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 Board 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 Board.

- 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 Board.
- 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.
- H. Place a checkmark in the appropriate box for all “Yes” or “No” answers.
- 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, this form will be rejected. Once this form is accepted, it becomes the property of the Maine Gambling Control Board with which it has been filed and will not be returned.

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

- a. **Sign the Request to Release Information form** on page 4 and the **Affirmation and Consent** on pages 5 & 6 in the presence of a notary public or other person legally authorized to notarize your signature.
- b. Attach a current copy of curriculum vitae or resume.
- c. Provide signed copies of the personal federal and state income tax returns for the past three years.
- d. Include a copy of the completed Gaming Employee Supplemental Disclosure Form in approved electronic format.

## **III. BEFORE YOU SUBMIT THIS FORM TO THE MAINE GAMBLING CONTROL BOARD, BE SURE THAT:**

- a. You have reviewed the filing instructions and legal requirements for the type of license, approval or qualification that you are seeking.
- b. You have included all required attachments listed in this form.
- c. The Request to Release Information & Affirmation and Consent forms are notarized.
- d. Every question has been answered truthfully and in its entirety.

e. You retain a completed copy of the Gaming Employee Supplemental Disclosure Form package for your own records.

# MAINE GAMBLING CONTROL BOARD

## Request To Release Information

Printed name: \_\_\_\_\_

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

To all courts, probation departments, employers, educational institutions, banks, financial and other such institutions, and all government agencies--federal, state, and local; foreign and domestic; civilian and military.

I have authorized the Maine Gambling Control Board, its designees, and the Maine State Police to conduct a full investigation into my background and activities.

Therefore you are hereby authorized to release any and all information pertaining to me, documentary or otherwise, as requested by any employee or agent of the Maine Gambling Control Board, or Maine State Police, provided that he or she certifies to you that I have Gaming Employee Supplemental Disclosure Form pending before the Maine Gambling Control Board or that I am presently an applicant, licensee, or other person required to be qualified under the provisions of 8 M.R.S. Chapter 31.

I hereby release any and all entities from responsibility regarding the information they release to the Gambling Control Board. I hereby authorize the Gambling Control Board and their designees to transmit any information contained in the Gaming Employee Supplemental Disclosure Form, or information that may otherwise become available to them, to any agency, organization, or individual, who, in the judgment of the Board, has a legitimate interest in such information.

If I am an applicant or licensee, or other person required to be qualified under the provisions of 8 M.R.S. Chapter 31, I waive liability as to the State, its instrumentalities and agents for any damages resulting from any disclosure or publication in any manner other than a willful unlawful disclosure or publication of any material or information acquired during inquiries, investigations or hearings.

This authorization shall supersede and countermand any prior request or authorization to the contrary.

A photocopy of this authorization will be considered as effective and valid as the original.

PRINTED FULL LEGAL NAME (FIRST, MIDDLE, LAST)
SIGNATURE

SPOUSE'S PRINTED FULL LEGAL NAME (FIRST, MIDDLE, LAST)
SIGNATURE

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

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

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

*Signature (Notary Public)*

# MAINE GAMBLING CONTROL BOARD

## Affirmation & Consent Form

Name

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

- A. That the statements made in the Gaming Employee Supplemental Disclosure Form and any documents made a part of the form are true and correct;
- B. That I understand that the information provided on this Gaming Employee Supplemental Disclosure Form required by the Board is used by the 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 Gaming Employee Supplemental Disclosure Form or in a document made a part of the form might provide grounds for refusal to issue a Maine Gambling Control Board license or other disciplinary action, up to and including full revocation or suspension of a Board license.

**I understand that I may be subject to criminal prosecution for making false statements on my Gaming Employee Supplemental Disclosure Form, based on the following:**

- A. Making a false statement under oath or affirmation constitutes false swearing in violation of 17-A M.R.S. § 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 Gaming Employee Supplemental Disclosure Form constitutes unsworn falsification in violation of 17-A M.R.S. §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. § 453 (Class D).

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

# MAINE GAMBLING CONTROL BOARD

## Affirmation & Consent Form

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/Town*

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

*State*

\_\_\_\_\_  
*Signature*

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

County of \_\_\_\_\_)

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

My commission expires: \_\_\_\_\_  
\_\_\_\_\_  
*Signature (Notary Public)*

**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    COLOR OF EYES    COLOR OF HAIR    HEIGHT (FEET/INCHES)    WEIGHT (LBS)**

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

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

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

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

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

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

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

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**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 tax administration purposes pursuant to 36 M.R.S. §175 as authorized by the Tax Reform Act of 1976 (42 U.S.C. §405 (c)(2)(C)(i)); child support enforcement purposes pursuant to 42 U.S.C. §666 (a)(13)(A) and 19-A M.R.S. §§2104, 2201; and 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 M.R.S. §§ 1016-1017. Your Social Security number may 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 Health and Human Services, Division of Support Enforcement and



Recovery for use in child support enforcement procedures. In addition, Chapter 2 of the Gambling Control Board Rules allows the Board to request the Social Security numbers of all individuals who are directors, officers, owners, partners, key executives, and/or slot machine and casino operations employees 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 tax information pursuant to 36 M.R.S. § 191; confidential support enforcement information pursuant to 19-A M.R.S. §2152; and confidential information pursuant to 8 M.R.S. § 1006(1)(H).

**1. 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

2. 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

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

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

**4.** 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

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

Yes  No

5A. 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 OTHER OFFICE	REASON FOR DENIAL, SUSPENSION, OR REMOVAL

6. 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 or is 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 DISPOSITION OF APPLICATION

7. 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(S) OF BUSINESS(S)	CURRENT STATUS OF BUSINESS	% OF INTEREST HELD BY YOU	NAME OF OWNERS AND THEIR ADDRESSES	STATE OR PROVINCE

**8.** Has any 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 DENIAL, SUSPENSION, OR REVOCATION

**9.** For each casino, 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

**10.** 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 a casino, 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 ENTITY	NATURE OF YOUR INTEREST	NAME AND ADDRESS OF LICENSING AGENCY	TYPE OF LICENSE AND DISPOSITION

**11.** 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 casino, or other gaming/gambling related operation as defined in Question 10, in any jurisdiction?

Yes       No

If yes, complete the following chart:

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



**12.** 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, contract 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

**13.** 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 FILED

**14.** 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

**15.** 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 TRUCTEE

**16.** 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 FILED	NAME AND ADDRESS OF COURT	DOCKET NUMBER	NAME AND ADDRESS OF TRUSTEE

**17.** 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 BUSINESS ENTITY	YOUR RELATIONSHIP TO BUSINESS ENTITY	REASON PLACED UNDER LIQUIDATION, RECEIVERSHIP, ETC.	DATE PLACED UNDER AND CURRENT STATUS

**18.** Have your wages, earnings, 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 NUMBER AND DATE FILED	NAME AND ADDRESS OF COURT	NATURE AND AMOUNT OF OBLIGATION	NAME AND ADDRESS OF HOLDER OR OBLIGATION

**19.** 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 REPOSSESSED	TYPE OF PROPERTY	NAME AND ADDRESS OF COMPANY REPOSSESSING PROPERTY	REASON FOR REPOSSESSION

**20.** 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 / INTEREST HELD	NAME AND LOCATION OF ESTATE / TRUST	DATE(S) ON WHICH POSITIONS WERE HELD OR RECEIVED	AMOUNT OF COMPENSATION OR BENEFIT RECEIVED

**21A.** Please state your country of residence \_\_\_\_\_

**21B.** During the last fifteen-year period have you had any right of ownership in, control over or interest in any bank account(s), which are located outside the country of residence identified in Question 21A?

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 PERSON / ENTITY APPEARING ON THE ACCOUNT	PRESENT AMOUNT HELD

**21C.** 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

**22.** 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 20).

Yes       No

If yes, complete the following chart:

DESCRIPTION OF TRUST	LOCATION OF TRUST	NAME OF TRUSTEE(S)	NAME OF OTHER(S) WITH INTEREST IN TRUST



**23.** 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 20).

Yes  No

If yes, complete the following chart:

DESCRIPTION OF TRUST	LOCATION OF TRUST	NAME OF OTHER(S) WITH INTEREST IN TRUST

**24.** 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

**25.** 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 RATE AND TERMINATION DATE

**26.** 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 GOVERNMENT REPORTING DOCUMENTS

**27.** 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

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

Yes  No

If yes, complete the following chart:

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

**29.** 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

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

Yes  No

**30A.** 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 chart:

NAME AND ADDRESS OF BANK OR OTHER INSTITUTION / BUSINESS LOCATION & ACCOUNT NUMBER OR SAFE DEPOSIT BOX	NAME IN WHICH ACCOUNT(S) ARE HELD	TYPE OF ACCOUNT

**31.** 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 INVOLVED	NATURE OF GOODS OR SERVICES PROVIDED	AMOUNT RECEIVED

**32.** 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 MADE	NAME OF PERSON RESPONSIBLE FOR OBLIGATION	NATURE OF OBLIGATION	STATUS OF UNDERLYING OBLIGATION

# NET WORTH STATEMENT -- ASSETS AND LIABILITIES

NOTE: Complete the financial statements from Schedule "A" through Schedule "O," and copy the totals in the appropriate space below.

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

**34.** 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 LIABILITY	AMOUNT OUTSTANDING (D)
9. NOTES PAYABLE		
10. LOANS AND OTHER PAYABLES		
11. TAXES PAYABLE		
12. MORTGAGES OR LIENS ON REAL ESTATE		
13. LOANS AGAINST INSURANCE / PENSION		
14. OTHER INDEBTEDNESS		
TOTAL LIABILITIES		
NET WORTH – TOTAL ASSETS (FROM COLUMN B) LESS TOTAL LIABILITIES (FROM COLUMN D)		
15. CONTIGENT 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

**35.** 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 OF INSTITUTION	NAME OF PERSON(S) AND TAX IDENTIFICATION NUMBERS	ACCOUNT NUMBER	INTERST RATE AND GENERAL NATURE OF ACCOUNT	BALANCE AND DATE
		TOTAL CURRENT BALANCE		



## SCHEDULE "B" – LOANS, NOTES AND OTHER RECEIVABLES

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

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

## SCHEDULE "C" - SECURITIES

**37.** 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 & NUMBER OF SECURITIES HELD	TYPE OF SECURITY AND NAME OF ISSUING 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

**38.** 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 & ADDRESS OF PARCEL / LOT	TYPE OF PROPERTY TO INCLUDE LOT SIZE AND BUILDING AREA (SQUARE FOOTAGE)	PURCHASE PRICE OF % OWNED	DATE ACQUIRED 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

**39.** 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 & DATE PURCHASED	INSURANCE CARRIER POLICY NUMBER AND BENEFICIARY(IES)	DATE OF AND PRICE AT PURCHASE	FACE VALUE AND ANNUAL PREMIUM PAYMENT	CASH SURRENDER VALUE
			<b>TOTAL CASH SURRENDER VALUE:</b>	

## SCHEDULE "F" - CASH VALUE - PENSION/RETIREMENT FUNDS

**40.** 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 & TYPE OF FUND	EMPLOYER / INSTITUTION AND ACCOUNT NUMBER	CUMULATIVE EMPLOYEE CONTRIBUTION	CUMULATIVE EMPLOYER CONTRIBUTION	CURRENT CASH VALUE
	<b>TOTAL PURCHASE PRICE:</b>		<b>TOTAL CURRENT MARKET VALUE:</b>	

## SCHEDULE "G" - VEHICLES

**41.** 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 & INDICATE IF OWNED OR	TYPE OF VEHICLE INCLUDING YEAR, MAKE, AND MODEL	COST**	DATE ACQUIRED AND LOCATION	IF OWNED, CURRENT MARKET VALUE
	<b>TOTAL COST OF VEHICLES:</b>		<b>TOTAL CURRENT CASH VALUE:</b>	

\*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 ASSETS

**42.** 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 interests 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
	<b>TOTAL COST PRICE:</b>		<b>TOTAL CURRENT MARKET VALUE:</b>	

## SCHEDULE "T" – NOTES PAYABLE

**43.** 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 & 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
	<b>TOTAL ORIGINAL AMOUNT OF NOTES:</b>		<b>TOTAL AMOUNT OF NOTES PAYABLE:</b>	



## SCHEDULE "J" - LOANS AND OTHER PAYABLES

**44.** 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 & 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
	<b>TOTAL ORIGINAL AMOUNT OF LIABILITY:</b>		<b>TOTAL AMOUNT OF OUTSTANDING PAYABLE:</b>	

## SCHEDULE "K" - TAXES PAYABLE

**45.** 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 & NATURE OF TAX	TAXING AUTHORITY	DATE AND AMOUNT OF ORIGINAL OBLIGATION	FINES, PENALTIES, AND INTEREST, IF ANY	TOTAL AMOUNT DUE
	<b>TOTAL ORIGINAL AMOUNT OF TAX OBLIGATION:</b>		<b>TOTAL ORIGINAL AMOUNT OF TAX OBLIGATION:</b>	

## SCHEDULE "L" - MORTGAGES OR LIENS PAYABLE ON REAL ESTATE

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

INDICATE IF HELD BY SPOUSE & 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

**47.** 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 & 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 ORIGINAL LIABILITY INSURANCE / PENSION LOANS:		TOTAL AMOUNT OUTSTANDING INSURANCE / PENSION LOANS:	

**48.** 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 & 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
	<b>TOTAL ORIGINAL AMOUNT OF OTHER INDEBTEDNESS:</b>		<b>TOTAL AMOUNT OUTSTANDING OTHER INDEBTEDNESS:</b>	

**49.** 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 & 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 ORIGINAL CONTINGENT LIABILITIES:	

- 50.** 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 hold with the entity that is applying for a license.
- 51.** 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.
- 52.** Has any of the information provided in your last Maine Gambling Control Board Gaming Employee Application and/or Gaming Employee Renewal form changed since you submitted the application(s)/form(s)? If any of your information has changed, please explain below.

**As indicated in the instructions on page 1 of this form, this page is to be used by you for any questions that require 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**