



Lottery and Gaming Control Commission

1800 Washington Boulevard, Suite 330, Baltimore, MD 21230

SPORTS WAGERING PRINCIPAL ENTITY DISCLOSURE FORM

Form #4006

For a Principal Entity of an applicant or holder of a:

Sports Wagering Facility License;
Sports Wagering Facility Operator License;
Mobile Sports Wagering License;
Online Sports Wagering Operator License; or
Sports Wagering Contractor License.

Principal Entity: _____

Sports Wagering Applicant/Licensee: _____

NOTICE

Maryland’s Sports Wagering Law is long and complex. It is located in State Government Article, Title 9, Subtitle 1E, Annotated Code of Maryland (“SG”). The regulations promulgated by the Maryland Lottery and Gaming Control Commission (“Commission”) are found in Code of Maryland Regulations (“COMAR”) 36.10. Collectively, SG § 9-1E *et seq.* and COMAR 36.10 are referred herein as the “Sports Wagering Law”. In addition to the Sports Wagering Law, other relevant authority for the Sports Wagering Law is found in SG § 9-1A *et seq.* and COMAR 36.03, collectively referred to as the “Gaming Law”.

The cites referenced within this disclosure form are for explanatory purposes, are subject to change, may be different from what is provided, and should not be relied upon. You are expected to be familiar with the current Sports Wagering Law and Gaming Law; updates and information may be found at <https://www.mdgaming.com/>.

Failure or refusal to adhere to Sports Wagering Law may result in the Commission imposing sanctions and/or penalties, to include, but not limited to, the placing of conditions on a sports wagering license; suspension or revocation of a sports wagering license; reprimand of a licensee; and/or fines, and may result in criminal and/or civil charges being filed against the licensee.

APPLICABILITY AND ELIBIGILITY

The Commission is required to investigate an Applicant for a sports wagering license pursuant to the Sports Wagering Law. An Applicant for a sports wagering license must establish by clear and convincing evidence that the Applicant is qualified for licensure, and must not be subject to any grounds for mandatory disqualification from license eligibility. SG § 9-1E-07(e)(1); COMAR 36.10.03.

As part of the investigation to determine whether an Applicant meets all legal requirements and qualifications for licensure, the Applicant must disclose to the Commission all principal employees, as defined in COMAR 36.10.01, and principal entities. COMAR 36.10.02. A principal entity means a person, other than an individual, that is a principal. COMAR 36.03.01.02. A principal for purposes of the Sports Wagering Law is defined in COMAR 36.10.01. Each principal and principal entity must submit either a Sports Wagering Principal Employee License Application or a Sports Wagering Principal Entity Disclosure Form. Each application provides further guidance as to which form may be appropriate.

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SECTION A - IMPORTANT NOTICES

A.1 The background investigation of the Principal Entity shall be conducted as part of the background investigation into an applicant for one of the following: Sports Wagering Facility License; Sports Wagering Facility Operator License; Mobile Sports Wagering License; Online Sports Wagering Operator License; or a Sports Wagering Contractor License (referred herein singularly as “Applicant”).

A.2 The Applicant is responsible for the payment of all application fees required under the Sports Wagering Law and Gaming Law and the posting of a bond that may be required by the Commission. The application will not be processed until the fees are submitted. Additionally, the Applicant is ultimately responsible for payment to the Commission of the administrative costs associated with the Principal Entity’s background investigation. Any payment arrangement between the Applicant and the Principal Entity does not relieve Applicant of the responsibility to pay the fees due to the Commission.

A.3 The Sports Wagering Principal Entity Disclosure Form 4006 (“Disclosure Form”) is submitted to the Commission **electronically** via the Maryland Lottery and Gaming Control Agency’s ‘eLicensing’ system. Paper submissions of the Disclosure Form will not be accepted by the Commission.

Note: The Applicant is required to designate or assign at least one employee who will be responsible for the licensing process and perform certain tasks within the ‘eLicensing’ system including submitting applications and Disclosure Forms for the Applicant. The designated ‘eLicensing’ Administrator will be required to contact the Licensing Division (gaming.services@maryland.gov) as soon as possible to allow sufficient time for the Licensing Division staff to provide comprehensive instructions prior to starting the process.

A.4 The burden of proving qualifications is at all times on the Principal Entity. The Principal Entity accepts any and all risk of adverse public notice, embarrassment, criticism, emotional distress or financial loss that may result from any action with respect to this Disclosure Form. The Principal Entity expressly waives any and all claims for damages as result thereof. Information not called for in this Disclosure Form or in addition to that which is provided in response to this Disclosure Form may be requested. The Principal Entity shall provide all information, documents, materials and certifications at the Principal Entity’s expense.

A.5 The Principal Entity **must** make complete, accurate and truthful statements and include all material facts. Any misrepresentations, failure to provide any requested information, or failure to meet any other requirement as set forth in the Sports Wagering Law or Gaming Law may result in the denial of the Applicant’s application to which the Disclosure Form is submitted; revocation of any license issued relying in part of the Disclosure Form; and may subject the Principal Entity to civil and/or criminal penalties.

- A.6** The Principal Entity is under a continuing duty to **promptly** disclose any changes in the information provided in the Disclosure Form, as well as all changes to any of the materials in connection with the Disclosure Form. The duty to make such additional disclosures shall continue throughout any period of Applicant's licensure.
- A.7** The Principal Entity shall **promptly** provide written notification to the Commission of any corrections or changes to this Disclosure Form once submitted, and to any of the materials submitted in connection with this Disclosure Form. The duty to notify the Commission of any change or corrections shall continue throughout any period of Applicants licensure.
- A.8** All notices regarding the Disclosure Form will be sent to the address provided by the Principal Entity on this Disclosure Form. All notices regarding the application will be sent to the address provided by the Applicant on the application. The Principal Entity or Applicant must immediately notify the Commission of any change of address.
- A.9** To legally conduct business in Maryland, the Applicant **must** be registered with the Maryland State Department of Assessments and Taxation ("Maryland SDAT") and must maintain "Good Standing" status for the entire term of any license issued by the Commission. Failure to maintain compliance with Maryland SDAT regulations while conducting business in Maryland is a violation of Maryland law and may subject the Applicant to penalties or sanctions, including, but not limited to, the suspension or revocation of any license issued by the Commission.
- Note:** The Applicant's compliance with Maryland SDAT regulations **will be audited periodically**.
- A.10** Any attempt by the Principal Entity to withdraw or retract this Disclosure Form may jeopardize the Applicant's application, and the Principal Entity shall be solely responsible for the consequences of such action.
- A.11** All submissions with and for this Disclosure Form and the Applicant's application become the property of the Commission and **will not** be returned.
- A.12** The Maryland Lottery and Gaming Control Agency's Licensing and Background Investigations Division is referred to, throughout this application, as the "Licensing Division."

SECTION B - INSTRUCTIONS

These instructions are applicable to any Principal Entity of an Applicant for a Sports Wagering Facility License; Sports Wagering Facility Operator License; Mobile Sports Wagering License; Online Sports Wagering Operator License; or Sports Wagering Contractor License under the Sports Wagering Law.

- B.1** This Disclosure Form must be submitted **electronically** for each Principal Entity of an Applicant that meets the definition of "Principal Entity" in COMAR 36.03.01, COMAR 36.10.02, and described in the Section C.
- B.2** Read each question carefully. Answer each and every question completely. **Do not leave blank spaces.**

B.3 Do not misstate or omit any material fact(s). All information is subject to verification. False or misleading information is grounds for the Commission to deny the Applicant’s application, or to suspend or revoke the Applicant’s license.

B.4 The Principal Entity should clearly identify those portions of its Disclosure Form that it deems to be confidential, proprietary commercial information, trade secrets, or confidential financial information of the Principal Entity or an individual associated with the Principal Entity or Applicant and provide justification of why such materials may not be disclosed by the Commission pursuant to a request made under the Public Information Act (“PIA”), Title 4, Subtitle 3, General Provisions Article, Annotated Code of Maryland (“GP”). A Principal Entity’s blanket statement that its entire Disclosure Form is “confidential” is unacceptable. Confidential information supplied by the Principal Entity shall be used in the ordinary course of processing an Applicant’s application and evaluating the qualifications of an Applicant.

Disclosure Forms may be subject to partial disclosure pursuant to a request under the PIA. When the Commission receives a PIA request, Staff will collect and review all records that are responsive to the request. The Commission will notify the Principal Entity and Applicant of a request made under the PIA and will consider the Principal Entity and Applicant’s views as to whether the requested information is exempt from disclosure under the PIA. The Commission will make a determination as to whether the information may be disclosed.

B.5 The Commission may request additional financial and other information as needed.

B.6 If conducting business in the State, the Principal Entity must show proof of registration with the Maryland State Department of Assessments and Taxation (“Maryland SDAT”). Submit a *.pdf* of the Principal Entity’s ‘Good Standing’ status with the Maryland SDAT (**do not** submit a certificate from the Maryland Comptroller’s Office) into the ‘eLicensing’ system.

A copy of the ‘General Information’ page that displays the status (found on <https://egov.maryland.gov/BusinessExpress/EntitySearch/Search>) may be submitted. The \$20 copy of the certificate from Maryland SDAT **is not needed** for the Applicant’s application process.

SECTION C - DEFINITIONS

Refer to the list of Definitions in the Sports Wagering Law in COMAR 36.10.01, which are applicable to all sports wagering applications. Additional resources for gaming applications; instant bingo license applications; and sports wagering license applications are available on the Maryland Lottery and Gaming Control Agency’s website: <https://www.mdgaming.com/licensing/>.

SECTION D – PRINCIPAL ENTITY INFORMATION

D.1 NAME OF PRINCIPAL ENTITY *

* As it is written on the Articles of Incorporation, By-Laws, Charter, partnership agreement or other official documents filed with a State or Federal Government.

Doing Business As (D/B/A) or Trade Name(s):

D.2 PRINCIPAL ENTITY’S FORM OF ORGANIZATION

Check one:

- Sole Proprietorship
 Partnership
 Limited Partnership
 C-Corporation
 Limited Liability Company
 S-Corporation
 Trust
 Other (Describe) _____

D.3 POINT-OF-CONTACT FOR PRINCIPAL ENTITY

Name		Title / Position	
Email Address	Telephone Number	Fax Number	

D.4 PRINCIPAL ENTITY’S PRINCIPAL ADDRESS

Address Line 1 (Street Location)

Address Line 2

City	State	Zip Code
Country	Telephone Number ()	Fax Number ()

Mailing Address – if different from above Address Line 1

Address Line 2

City	State	Zip Code
Country	Telephone Number ()	Fax Number ()

Web Site Address(es)

D.5 INCORPORATION
Even if you are a Sole Proprietorship, provide an answer to these questions.

a. PRINCIPAL ENTITY’S INCORPORATION DOCUMENTS

- Business name as it appears on formation documents:

- Place of Incorporation or other type of formation:

- Date of formation: _____

b. INCORPORATORS / FOUNDERS

Use **Exhibit 1(a)** to provide the Principal Entity’s Incorporators / Founders. **Note:** Even if you are a Sole Proprietorship, provide the applicable information on the Exhibit.

c. **MARYLAND STATE DEPARTMENT OF ASSESSMENTS AND TAXATION, (“Maryland SDAT”), COMPLIANCE**

1. Is the Principal Entity registered with Maryland SDAT to do business in Maryland?

Yes No

2. If “No,” you are **PROHIBITED from conducting business in Maryland** until you are registered with Maryland SDAT to do business in Maryland.

3. If “Yes,” provide the Maryland SDAT Department ID number: _____

IMPORTANT: To legally conduct business in Maryland, a company **must** be registered with the Maryland State Department of Assessments and Taxation (Maryland SDAT). Submit a *.pdf* of the Applicant’s “Good Standing” status with the Maryland SDAT, **not** a certificate from the Maryland Comptroller’s Office. Upload the “Good Standing” *.pdf* from Maryland SDAT into ‘eLicensing’ system on the Applicant Case Checklist Item page.

The Administrator for the Applicant may print and upload a copy of the 'General Information' page that displays the status (found on <https://egov.maryland.gov/BusinessExpress/EntitySearch/Search>). The Applicant will not need to click on the >>*Order Certificate of Status*, (unless one is needed one for the Applicant’s corporate records). The \$20 copy of the certificate from Maryland SDAT is **not needed** for this process.

d. **OTHER NAMES IN WHICH PRINCIPAL ENTITY HAS DONE BUSINESS**

Use **Exhibit 1(b)** to list all other names in which the Principal Entity has done business and give the approximate time periods during which these names were being used. **Note:** Even if you are a Sole Proprietorship, provide applicable information on the Exhibit.

e. **CURRENT ADDRESSES OF PRINCIPAL ENTITY**

Use **Exhibit 1(c)** to provide all of the current addresses of the Principal Entity and all current addresses from which the Principal Entity is doing business. **Note:** Even if you are a Sole Proprietorship, provide applicable information on the Exhibit.

f. **PREVIOUS ADDRESSES OF PRINCIPAL ENTITY**

Use **Exhibit 1(d)** to provide all addresses, other than those listed in **Exhibit 1(c)**, which Principal Entity has used or from which it was conducting business during the last ten (10) year period, and list the approximate dates during which said addresses were held. **Note:** Even if you are a Sole Proprietorship, provide applicable information on the Exhibit.

g. **ALL BUSINESSES OPERATED BY THE PRINCIPAL ENTITY**

Use **Exhibit 1(e)** to provide a description of all businesses presently operated or intended to be operated by the Principal Entity and all businesses operated by the Principal Entity in the past ten (10) years.

h. RELATIONSHIP BETWEEN PRINCIPAL ENTITY AND THE SPORTS WAGERING LICENSE APPLICANT

Use **Exhibit 1(f)** to describe the relationship between the Principal Entity and the Applicant for a sports wagering license, and include any terms and conditions that affect ownership and control.

D.6 CURRENT DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

Use **Exhibit 2** to provide information about each Director, Partner, Officer and Trustee of the Principal Entity. Include any Grantor or Beneficiary of a Trust who is required to be licensed as a Principal as defined in COMAR 36.10.01.

IMPORTANT:

As part of this Disclosure Form, each Director, Partner, Officer and Trustee of the Applicant **must** complete and submit a **Principal Employee Application**. Principal Employee License Applications are submitted to the Commission **electronically** via the ‘eLicensing’ system. Paper applications for Principal Employee Licenses **will not** be accepted by the Commission.

D.7 OWNERS OF PRINCIPAL ENTITY

Use **Exhibit 3** to identify each person who has a direct ownership interest in; and all individuals and trusts who have a 5% or greater indirect ownership interest in the Applicant for a sports wagering license.

D.8 CRIMINAL HISTORY: Subsidiaries, Directors, Partners, Officers, Trustees and Owners**IMPORTANT:**

The Commission **will investigate** to establish whether the individuals and subsidiaries listed in this application have had any involvement with law enforcement agencies. Failure to disclose any such involvement will be taken into account when assessing the Principal Entity’s character, honesty and integrity.

This section asks about any arrests, offenses or charges against the Principal Entity or any of its Subsidiaries, Directors, Partners, Officers, Trustees or Owners.

Prior to answering this question, carefully review the DEFINITIONS and INSTRUCTIONS.

DEFINITIONS – For purposes of this section ONLY:

- a. **ARREST:** includes any time that you were stopped by any law enforcement officer and advised that you were under arrest, detained, held for questioning or were requested by a law enforcement officer to come to a law enforcement office or facility and answer questions. “Arrest” also includes any circumstances in which you were taken into custody by any law enforcement officer, fingerprinted,

detained in any jail or detention center, or otherwise been the subject of a court order to appear in a judicial proceeding in which you were accused of a crime or offense as defined in subsection c.

- b. **CHARGE:** includes any indictment, complaint, information, summons, or other notice of the alleged commission of any “offense.”
- c. **OFFENSE:** includes all felonies, misdemeanors, and summary offenses that may have required you to appear before any municipal, state, or federal grand jury, court, or any other judicial tribunal except juvenile court. “Offense” includes all sports betting/wagering, gaming and gambling offenses in any jurisdiction except juvenile court. “Offense” also includes all driving-related charges or offenses that carry any period of incarceration. Examples include: Driving Under the Influence; Driving While Intoxicated; Driving While Suspended; Driving While Revoked; Fleeing and Eluding; Falsified Registration Plates; and False Reports.

INSTRUCTIONS for Section D.8’s Question

- 1) Answer “Yes” and provide *all* information to the best of your ability **EVEN IF:**
- You did not commit the offense charged;
 - The charges were dismissed or downgraded to a lesser charge;
 - You completed a pretrial intervention or other rehabilitation or diversionary program;
 - You were not convicted;
 - You did not serve any time in a correctional facility;
 - The charges or offenses happened a long time ago; or
 - You were not arrested for the charge.
- 2) Answer “No” if:
- You have never been charged with or arrested for any crime or offense;
 - You were arrested or charged when you were under eighteen (18) years of age and your arrest or charge, including any sentence that a court imposed, was adjudicated entirely in juvenile court;
 - The records of the charge or arrest have been expunged pursuant to an order of court or otherwise sealed by a court of competent jurisdiction.

Section D.8’s Question:

- Has the Principal Entity;
- Have any of the Principal Entity’s subsidiaries; or
- Have any of the Principal Employees, (Directors, Partners, Officers, Trustees, Owners) ever been indicted, arrested, charged with, or convicted of, a criminal offense; sports wagering offense; gambling offense; gaming offense, or been a party to or named as an unindicted conspirator in any criminal proceeding in this state or any other jurisdiction?

Yes No

If “Yes,” use **Exhibit 4** to provide information concerning criminal history.

D.9 INVESTIGATIONS, TESTIMONY or POLYGRAPHS

- a. Has the Principal Entity, any of its subsidiaries, principals, directors, partners, trustees or officers ever been called to testify before, been the subject of an investigation conducted by, or requested to take a

polygraph exam by any governmental agency, court, committee, grand jury, commission, or investigatory body in any jurisdiction other than in response to minor traffic related offenses?

Yes No

b. If “Yes,” use **Exhibit 5** to describe the investigations, testimony or polygraphs.

D.10 LITIGATION

Use **Exhibit 6** to describe all existing civil litigation or any settled or closed legal action over the past three (3) years to which the Principal Entity, its parent, affiliate, holding or any subsidiary is or was a party whether in this state or in another jurisdiction. This description must include the entire case caption which is the title and docket number, the name and location of the court before which it is pending or concluded, and the identity of all parties to the matter. Also include a description of the general nature of all claims being made, and the resolution of the matter.

List the most recent litigation first.

D.11 ANTITRUST, TRADE REGULATION & SECURITIES MATTERS

- a. Has the Principal Entity ever been subject to a subpoena, judgment, order, consent decree, or consent order pertaining to a violation or alleged violation of the federal antitrust, trade regulation or securities laws, or similar laws of any jurisdiction entered against it? Yes No
- b. In the past ten years, has the Principal Entity ever been subject to a judgment, order, consent decree, or consent order pertaining to any federal antitrust, trade regulation, securities law, similar laws or other code of any jurisdiction that resulted in a fine or penalty of \$10,000 or more entered against it? Yes No
- c. If “Yes,” to either question, use **Exhibit 7** to provide the following information for each subpoena, judgment, order, consent decree or consent order.

D.12 BANKRUPTCY OR INSOLVENCY PROCEEDINGS

In the last ten (10) years:

- a. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company had any petition under any provision of the Federal Bankruptcy Code or under any state insolvency law filed by or against it? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company sought relief under any provision of the Federal Bankruptcy Code or under any state insolvency law? Yes No

- c. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed by a court for the business or property of the Principal Entity, or any affiliate, intermediary, subsidiary or holding companies? Yes No
- d. If “Yes,” to question a., b., or c., use **Exhibit 8** to provide detailed information for each bankruptcy or insolvency proceeding.

D.13 LICENSES (SPORTS WAGERING, CASINO, BINGO, GAMING, and NON-GAMING)

- a. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal or holding company of the Principal Entity ever applied in any jurisdiction for a license, permit or other authorization to conduct or offer sports wagering operations (including single–game bets, teaser bets, parlays, over–under, money line, pools, exchange wagering, in–game wagering, in–play bets, Proposition bets, and straight bets, etc.)? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal or holding company ever applied in any jurisdiction for a license, permit or other authorization to conduct or offer gambling (including slot machines, video lottery terminals, table gaming, horse racing, dog racing, pari-mutuel operation etc.) or Instant Bingo operations? Yes No
- c. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company of the Principal Entity ever had any license application, license, permit or other authorization offered or issued by any jurisdiction be denied, suspended or revoked in last ten year period? Yes No
- d. If “Yes,” to question a., b., or c. use **Exhibit 9** to provide detailed information.

D.14 CONTRIBUTIONS AND DISBURSEMENTS

In the last ten (10) years:

- a. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, director, officer, or employee or any third party acting for or on behalf of the Principal Entity made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any employee, company or organization to obtain favorable treatment? Yes No
- b. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, director, officer or employee or any third party acting for or on behalf of the corporation made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment? Yes No

- c. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company maintained any bank account, domestic or foreign, not reflected on the Principal Entity's books or records? Yes No
- d. Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, maintained any numbered accounts or any account in the name of a nominee or designee for the Principal Entity? Yes No
- e. If "Yes," to question a., b., c., or d., use **Exhibit 10** to provide information for any present or former persons who would have knowledge or information concerning the questions above answered in the affirmative.

D.15 AUTHORIZATION FOR RELEASE OF INFORMATION

Use **Exhibit 12** and **Exhibit 13** to authorize the Commission to obtain information about the Principal Entity and individuals affiliated with the Principal Entity in order to investigate the Applicant.

D.16 AFFIDAVIT OF REPRESENTATIVE OF THE PRINCIPAL ENTITY

Use **Exhibit 14** to provide the Commission with an affidavit from an authorized representative of the Principal Entity acknowledging that the information in this Disclosure Form is accurate, complete, and not misleading.

D.17 ACKNOWLEDGEMENT AND DISCLOSURE

Use **Exhibit 15** to provide the Commission with an acknowledgment of understanding the investigation process. This form also provides the Commission with an acknowledgment of the Principal Entity's continuing obligations during the term of any license issued to the Applicant.

D.18 REQUEST FOR TRANSCRIPTS OF FEDERAL TAX RETURNS

IVES Request for Transcript of Tax Return, IRS Form 4506-C, Instructions:

The IRS **Form 4506-C** must be executed so that the Commission will be authorized to obtain independent verification of the Applicant's filing of required federal tax returns.

Once the Applicant's sports wagering license application is assigned to the Licensing Division's Financial Investigations Team, a financial investigator will contact the Applicant. The financial investigator will provide the Applicant with specific instructions for the completion of the **Form 4506-C** that will ensure the Commission receives the correct reports.

Please **do not** complete or submit the two **IRS Form 4506-C** forms until the Applicant is instructed to do so by a financial investigator.

SECTION E - EXHIBITS

Principal Entity Disclosure Form Checklist

Note: Use this checklist to indicate with an “X” that the exhibit is attached with this Disclosure Form. All attachments are **mandatory**.

If a question, exhibit or addendum is not applicable, indicate “Not Applicable” and state why it is not applicable in **Exhibit 11**. If any item is missing or not submitted according to these directions, the Disclosure Form will be considered incomplete and will not be processed. This may affect the processing of the Applicant’s sports wagering license application.

EXHIBIT NUMBER	EXHIBIT DESCRIPTION	PLACE X
See D.5	Maryland SDAT “Certificate of Good Standing”	
See D.18	Request for Transcript of Federal Income Tax Returns Form 4506-C	
1(a)	Incorporators/Founders	
1(b)	Other Names and Addresses of the Principal Entity	
1(c)	Current Addresses of Principal Entity	
1(d)	Previous Addresses of Principal Entity in the Last 10 Years	
1(e)	Description of Businesses Operated by the Principal Entity	
1(f)	Relationship Between the Principal Entity and the Applicant	
2	Current Directors, Partners, Officers, Trustees and their Compensation	
3	Owners of Principal Entity	
4	Criminal History	
5	Investigations, Testimony, or Polygraphs	
6	Litigation	
7	Antitrust, Trade Regulations and Securities Matters	
8	Bankruptcy or Insolvency Proceedings	
9	Licenses (Sports Wagering, Casino, Bingo, Gaming and Non-gaming)	
10	Contribution and Disbursements	
11	Required Attachments - Explanations	
12	Authorization for Release of Information (Business)	
13	Authorization for Release of Information (Individual)	
14	Affidavit of Representative of Principal Entity	
15	Acknowledgment and Disclosure	

EXHIBIT 1(a):

INCORPORATORS/FOUNDERS

Provide the Principal Entity's Incorporators/Founders. Note: Even if you are a Sole Proprietorship, provide applicable information on this Exhibit.

Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)
Occupation		Title	
Address Line 1		Address Line 2	
City	State/Province	Postal Code	
Country	Email Address	Phone Number	

Principal Employee (Form 1004) submitted electronically via the 'eLicensing' system

Yes No

Sports Wagering Principal Entity Disclosure Form (Form 4006) submitted electronically via the 'eLicensing' system

Yes No

Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)
Occupation		Title	
Address Line 1		Address Line 2	
City	State/Province	Postal Code	
Country	Email Address	Phone Number	

Principal Employee (Form 1004) submitted electronically via the 'eLicensing' system

Yes No

Sports Wagering Principal Entity Disclosure Form (Form 4006) submitted electronically via the 'eLicensing' system

Yes No

Note: Additional Incorporators/Founders may be entered in the data fields in the 'eLicensing' system.

EXHIBIT 1(b):

OTHER NAMES AND ADDRESSES OF THE PRINCIPAL ENTITY

List all other names in which the Principal Entity has done business and give the approximate time periods during which these names were being used. Note: If a Sole Proprietorship, provide appropriate information in this Exhibit.

NAME	FULL ADDRESS	FROM (MM/YYYY)	TO (MM/YYYY)

Note: Additional Other Names and Addresses of the Principal Entity may be entered in the data fields in the 'eLicensing' system.

EXHIBIT 1(c):

CURRENT ADDRESSES OF PRINCIPAL ENTITY

Provide all of the current addresses of the Principal Entity and all current addresses from which the Principal Entity is doing business. Note: Even if you are a Sole Proprietorship, provide applicable information on this Exhibit.

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / Storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 2	
City	State/Province	Postal Code
Country	Email Address	Phone Number
Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / Storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	State/Province	Postal Code
Country	Email Address	Phone Number
Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / Storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	State/Province	Postal Code
Country	Email Address	Phone Number

Note: Additional Current Addresses of Principal Entity may be entered in data fields in the 'eLicensing' system.

EXHIBIT 1(d):

PREVIOUS ADDRESSES OF PRINCIPAL ENTITY

Provide all of the previous addresses of the Principal Entity and all previous addresses from which the Principal Entity has done business during the last 10 years.

Note: Even if you are a Sole Proprietorship, provide applicable information on this Exhibit.

Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 2	
City	State/Province	Postal Code
Country	Email Address	Phone Number
Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	State/Province	Postal Code
Country	Email Address	Phone Number
Describe the Principal Entity's use of this address: (check all that apply to this address)		
<input type="checkbox"/> Mailing <input type="checkbox"/> Residential <input type="checkbox"/> Corporate <input type="checkbox"/> Production <input type="checkbox"/> Development / Testing <input type="checkbox"/> Warehouse / storage <input type="checkbox"/> Distribution <input type="checkbox"/> Other (Describe) _____		
Address Line 1	Address Line 1	
City	State/Province	Postal Code
Country	Email Address	Phone Number

Note: Additional Previous Addresses of Principal Entity may be entered in data fields in the 'eLicensing' system.

EXHIBIT 1(e):

ALL BUSINESSES OPERATED BY THE PRINCIPAL ENTITY

Provide a description of all businesses presently operated, or intended to be operated, by the Principal Entity and all businesses operated by the Principal Entity in the past ten (10) years.

Name of Business		Operated From Date/To Date		Federal Identification Number/ Social Security Number/ Tax Identification Number	
Address Line 1			Address Line 2		
City			State/Province		City
Country	Email Address		Contact Person		Contact Number
Description of the business and business activities					

Name of Business		Operated From Date/To Date		Federal Identification Number/Social Security Number/Tax Identification Number	
Address Line 1			Address Line 2		
City			State/Province		City
Country	Email Address		Contact Person		Contact Number
Description of the business and business activities					

Note: Additional All Businesses Operated by The Principal Entity may be entered in the data fields in the ‘eLicensing’ system.

EXHIBIT 1(f): RELATIONSHIP BETWEEN THE PRINCIPAL ENTITY AND THE APPLICANT

Provide a description of the relationship between the Principal Entity and the Applicant for the Sports Wagering License, and include any terms and conditions that affect ownership and control.

Note: Additional Relationship Between the Principal Entity and the Applicant may be entered in the data fields in the ‘eLicensing’ system.

EXHIBIT 2: CURRENT DIRECTORS, PARTNERS, OFFICERS AND TRUSTEES

Provide information about each Director, Partner, Officer and Trustee of the Principal Entity. Include any Grantor or Beneficiary of a Trust who is required to be licensed as a Principal as defined in COMAR 36.10.01.

Name, Home Address & Business Address of Director, Partner, Officer or Trustee				
Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Home Address Line 1		Home Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	
Business Address Line 1		Business Address Line 2		
City		State/Province	Postal Code	
Country		Business Email Address	Business Contact Number	

Title/Position Held, Dates, Compensation (List Current Position first, then list in reverse chronological order)			
Title/Position	From Date/To Date	Annual Compensation	Structure of Compensation (i.e. Salary, wages, bonus, fees, commission, stock options, other benefits, etc.)

Note: Additional Current Directors, Partners, Officers and Trustees may be entered in the data fields in the ‘eLicensing’ system.

EXHIBIT 3:

OWNERS OF PRINCIPAL ENTITY

1. Identify each person who has a direct ownership interest in the Applicant for the sports wagering license; and
2. Provide all individuals and trusts who have a 5% or greater indirect ownership interest in the Applicant for the sports wagering license.

Name, Home & Business Address of Director, Partner, Officer or Trustee				
Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Home Address Line 1		Home Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	
Business Address Line 1		Business Address Line 2		
City		State/Province	Postal Code	
Country		Business Email Address	Business Contact Number	

Title/Position Held, Dates, Compensation (List Current Position first, list in reverse chronological order)			
Title/Position	From Date/To Date	Annual Compensation & Value	Reason for leaving

Note: Additional Owners of Principal Entity may be entered in the data fields in the ‘eLicensing’ system.

EXHIBIT 4:

CRIMINAL HISTORY

NOTICE: Prior to answering the following question, carefully review the **DEFINITIONS and INSTRUCTIONS** in Section D.8. Do not complete Exhibit 4 without reading and understanding the **DEFINITIONS and INSTRUCTIONS** in Section D.8.

Question -

- Has the Principal Entity;
- Have any of the Principal Entity’s subsidiaries; or
- Have any of the Principal Employees, (Directors, Partners, Trustees, Officers, Owners) ever been indicted, charged with, or convicted of, a criminal offense; sports wagering offense; gambling offense; gaming offense; or been a party to or named as an unindicted co-conspirator in any criminal proceeding in this state or any other jurisdiction? Yes No If “Yes” describe below:

Name of Case and Docket Number	Nature of Charge or Complaint	Date of Charge or Complaint	Name and Address of Law Enforcement Agency or Court Involved	Disposition (Acquitted, Convicted, Dismissed, Etc.)	Sentence	Name of Director, Partner Officer or Trustee

Note: Additional Criminal History may be entered in the into the ‘eLicensing’ system.

EXHIBIT 5:

INVESTIGATIONS, TESTIMONY OR POLYGRAPHS

Has the Principal Entity, any of its subsidiaries, principals, directors, partners, trustees or officers ever been called to testify before, been the subject of an investigation conducted by, or requested to take a polygraph exam by any governmental agency, court, committee, grand jury, commission, or investigatory body in any jurisdiction other than in response to minor traffic related offenses?

NAME AND ADDRESS OF COURT OR OTHER AGENCY	NATURE OF PROCEEDING OR INVESTIGATION	WAS TESTIMONY OR POLYGRAPH GIVEN?	DATES ON WHICH TESTIMONY OR POLYGRAPH WAS GIVEN	APPROXIMATE TIME PERIOD OF INVESTIGATION	DIRECTOR, PARTNER, OFFICER OR TRUSTEE

Type of Proceeding or Investigation

NAME AND ADDRESS OF COURT OR OTHER AGENCY	NATURE OF PROCEEDING OR INVESTIGATION	WAS TESTIMONY OR POLYGRAPH GIVEN?	DATES ON WHICH TESTIMONY OR POLYGRAPH WAS GIVEN	APPROXIMATE TIME PERIOD OF INVESTIGATION	DIRECTOR, PARTNER, OFFICER OR TRUSTEE

Type of Proceeding or Investigation

Note: Additional Investigations, Testimony or Polygraphs may be entered in the ‘eLicensing’ system.

EXHIBIT 6:

LITIGATION

Describe all existing civil litigation or any settled or closed legal action over the past three (3) years to which the Principal Entity, its parent, affiliate, holding or any subsidiary is or was a party whether in this state or in another jurisdiction. This description must include the entire case caption which is the title and docket number, the name and location of the court before which it is pending or concluded, and the identity of all parties to the matter. Also include a description of the general nature of all claims being made and the resolution of the matter.

List the most recent litigation first.

Name of Case and Docket Number	Name and Address of Court Involved in Litigation	Name of All Parties Involved in Litigation	Nature of Claim(s) and Judgment (if Judgment has been rendered) or Other Resolution

Note: Additional Litigation may be entered in the ‘eLicensing’ system.

EXHIBIT 7: ANTITRUST, TRADE REGULATION AND SECURITIES MATTERS

Has the Principal Entity ever been subject to a subpoena, a judgment, order, consent decree or consent order pertaining to a violation or alleged violation of the federal antitrust, trade regulation or securities laws, or similar laws of any jurisdiction entered against it? Yes No If “Yes” describe below

In the past ten years, has the Principal Entity ever been subject to a judgment, order, consent decree, or consent order pertaining to any federal antitrust, trade regulation, securities law, similar laws or other code of any jurisdiction that resulted in a fine or penalty of \$10,000 or more entered against it? Yes No If “Yes” describe below

Title or Case and Docket Number	Name and Address of Court or Agency	Date of Subpoena or Offense
Nature of Subpoena or Offense		
Disposition of Action		
Nature of Judgment, Decree or Order		

Title or Case and Docket Number	Name and Address of Court or Agency	Date of Subpoena or Offense
Nature of Subpoena or Offense		
Disposition		
Nature of Judgment, Decree or Order		

Note: Additional Antitrust, Trade Regulation and Securities Matters may be entered in the ‘eLicensing’ system.

EXHIBIT 8:

BANKRUPTCY OR INSOLVENCY PROCEEDINGS

In the last ten (10) years:

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company had any petition under any provision of the Federal Bankruptcy Code or under any state insolvency law filed by or against it? Yes No If “Yes” describe below

Has the Principal Entity, or any affiliate, intermediary, subsidiary or holding company sought relief under any provision of the Federal Bankruptcy Code or under any state insolvency law? Yes No If “Yes” describe below

Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed by a court for the business or property of the Principal Entity, or any affiliate, intermediary, subsidiary or holding companies? Yes No If “Yes” describe below

Date Petition Filed or Relief Sought	Title of Case and Docket Number	Name and Address of Court or Agency
Date Judgment Entered		Name and Date Appointed of Court Appointed Receiver, Agent or Trustee
Nature of Judgment or Relief		

Note: Additional Bankruptcy or Insolvency Proceedings may be entered in the ‘eLicensing’ system.

EXHIBIT 9: LICENSES (SPORTS WAGERING, CASINO, BINGO, GAMING and NON-GAMING)

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company of the Principal Entity ever applied in any jurisdiction, for a license, permit or other authorization to conduct or offer sports wagering operations (including single-game bets, teaser bets, parlays, over-under, money line, pools, exchange wagering, in-game wagering, in-play bets, Proposition bets, and straight bets, etc.)? Yes No If "Yes" describe below

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company of the Principal Entity ever applied in any jurisdiction, for a license, permit or other authorization to conduct or offer gambling (including slot machines, video lottery terminals, table gaming, horse racing, dog racing, pari-mutuel operation etc.) or Instant Bingo operations? Yes No If "Yes" describe below

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company of the Principal Entity ever had any license application, license, permit or other authorization offered or issued by any jurisdiction be denied, suspended or revoked in last ten-year period? Yes No If "Yes" describe below

List sports wagering licenses FIRST, casino operation licenses SECOND, instant bingo licenses THIRD, gaming licenses FOURTH, and non-gaming licenses FIFTH.

Type of License or Permit	Name and Location of Governmental Entity	Application Number	Disposition (i.e. Granted, Denied, Pending, Expired, Suspended, Revoked Withdrawn etc.)	Disposition Date	If Issued, Provide License, Permit or Other Such Number and Expiration Date. If Denied, Pending, Expired, Suspended, Conditioned, Withdrawn or Revoked, Provide a Detailed Explanation

Note: Additional Licenses (Sports Wagering, Casino, Bingo and Non-Gaming) may be entered in the 'eLicensing' system.

EXHIBIT 10:

CONTRIBUTIONS AND DISBURSEMENTS

In the last ten (10) years:

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, director, officer, or employee or any third party acting for or on behalf of the Principal Entity made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any person to obtain favorable treatment? Yes No If "Yes" describe below

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, director, officer or employee or any third party acting for or on behalf of the Principal Entity made any bribes or kickbacks or made any payments alleged to have been bribes or kickbacks to any government official, domestic or foreign to obtain favorable treatment? Yes No If "Yes" describe below

Has Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company maintained any bank account, domestic or foreign, not reflected on the Principal Entity's books or records? Yes No If "Yes" describe below

Has the Principal Entity, or any affiliate, intermediary, subsidiary, principal, or holding company, maintained any numbered accounts or any account in the name of a nominee or designee for the Principal Entity? Yes No If "Yes" describe below

Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Entity Name				
Address Line 1		Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	
Last Name	First Name	Middle Name	Suffix (Jr., Sr., etc.)	Date of Birth
Entity Name				
Address Line 1		Address Line 2		
City		State/Province	Postal Code	
Country		Email Address	Contact Number	

Note: Additional Contributions and Disbursements may be entered in the 'eLicensing' system.

**EXHIBIT 12
AUTHORIZATION FOR RELEASE OF INFORMATION (BUSINESS)**

TO: _____
(Leave BLANK - to be filled in by the Commission)

FROM: _____
(Printed Name of Principal Entity)

I am, or represent, a principal entity of an Applicant for a sports wagering license in the State of Maryland.

The Maryland Lottery and Gaming Control Commission ("Commission") is required by law to conduct an investigation of an Applicant for a sports wagering license. That investigation requires the Commission to collect and evaluate information about the Applicant's principal entities. On behalf of the principal entity identified above, I irrevocably give consent to the Commission, and persons authorized by the Commission, to: (1) verify all information provided in the license application documents; (2) conduct a background investigation of the entity; and to have access to any and all information that the entity has provided to any other jurisdiction seeking a similar license in that jurisdiction, as well as the information obtained by that other jurisdiction during the course of any investigation that it may have conducted about the entity.

That investigation requires the Commission to collect and evaluate information about the Applicant for a sports wagering license. By executing this Authorization for Release of Information, I authorize any: Local, State or Federal government unit; commercial or business enterprise, including a consumer reporting agency, a non-profit entity, an individual or any other public or private entity, to release to the Commission any and all information about me or the principal entity that I represent that the Commission requests. The requested information may be released in written, verbal, electronic, or any other form.

With respect to any claims or liability arising from the release of the requested information to the Commission, on behalf of the Principal Entity, I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Commission under the authority of this Authorization. Photo, facsimile, or electronic copy of this signed and dated Authorization shall be equally effective as an original.

Signature of Individual Completing Form	Date
Printed Name	Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Printed Name

Stamp or Seal

My commission expires _____, 20_____

**EXHIBIT 13
AUTHORIZATION FOR RELEASE OF INFORMATION (INDIVIDUAL)**

TO: _____
(Leave BLANK - to be filled in by the Commission)

FROM: _____
(Applicant affiliate's printed name)

I, the above listed individual, am affiliated with an Applicant who is applying to the Maryland Lottery and Gaming Control Commission ("Commission") for a sports wagering license. I am affiliated with the Applicant as an:
 Owner Partner Director Officer Manager/Supervisor/Employee Other _____

The Commission, and its employees, agents, and vendors, is required by law to conduct an investigation of an Applicant and the Applicant's officers; partners; directors; proprietors; owners; certain employees; and certain other individuals affiliated with the Applicant as deemed necessary.

That investigation requires the Commission to collect and evaluate information about me. By executing this Authorization for Release of Information, I authorize any: Local, State or Federal government unit; commercial or business enterprise, including a consumer reporting agency, a non-profit entity, an individual or any other public or private entity, to release to the Commission any and all information about me that the Commission requests. The requested information may be released in written, verbal, electronic, or any other form.

With respect to any claims or liability arising from the release of the requested information to the Commission, I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Commission, under the authority of this Authorization.

A photo, facsimile, or electronic copy of this signed and dated Authorization shall be equally effective as an original.

_____	_____
Signature of Individual Completing Form	Date
_____	_____
Printed Name	Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Printed Name

Stamp or Seal

My commission expires _____, 20____

EXHIBIT 14
AFFIDAVIT OF REPRESENTATIVE OF PRINCIPAL ENTITY

I, _____ (printed name), am authorized to complete and execute this Sports Wagering Principal Entity Disclosure Form on behalf of _____ (printed name of Principal Entity). I am also authorized to provide all of the information requested on this Affidavit to the Maryland State Lottery and Gaming Control Commission, its employees, agents, and vendors (collectively, "the Commission"), and to make the representations set forth in this Affidavit.

I have read, and understand, every page of this Disclosure Form. To the best of my knowledge, information, and belief, the information that I have provided on, or attached to, or otherwise submitted in connection with this Disclosure Form is accurate, complete, and not misleading. I understand that any misrepresentation or omission may lead to the delay or denial of the Applicant's application for a sports wagering license, or may result in the Commission imposing sanctions against the Applicant, up to and including revocation of its license if it has been issued a license. I understand that any misrepresentation or omission on this Disclosure Form may also subject me, or the Principal Entity that I represent, to civil or criminal liability. I understand and acknowledge that the Applicant has an ongoing duty to promptly notify the Commission if any information it provides the Commission changes.

By a separate Authorization for Release of Information, I am authorizing any entity or individual that has information about the Principal Entity to release that information to the Commission for purposes of its investigation of the Applicant for a sports wagering license.

On behalf of the Principal Entity and its successors and assigns, I expressly waive, release, discharge, and forever hold harmless and agree to indemnify, the Commission, the State of Maryland, and their employees, agents, and representatives, from liability for any and all claims or legal action arising from any actions that the Commission or the State of Maryland may take related to the collection of information from the Principal Entity and the use of that information in connection with investigating the Applicant.

Signature of Authorized Representative

Date

Printed Name of Authorized Representative

Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Stamp or Seal

Printed Name

My commission expires _____, 20____

**EXHIBIT 15
ACKNOWLEDGMENT AND DISCLOSURE**

I understand and acknowledge the following:

I am a representative of _____ (printed name of Principal Entity), who is a Principal Entity of _____ (Name of Applicant for sports wagering license) who is applying to the Maryland Lottery and Gaming Control Commission (“Commission”) to be an Applicant for a sports wagering license in the State of Maryland. The Principal Entity cannot conduct business with a sports wagering license applicant or a sports wagering license holder unless the Commission finds that the Principal Entity meets the legal requirements and qualifications to permit licensure of the Applicant. The Commission, through its employees, agents and vendors, is required by law to conduct a background investigation of each Principal Entity.

During the investigation, the Commission is required to collect and evaluate various kinds of information and reports to determine if the Principal Entity meets the eligibility and qualification requirements. The background investigation will include, but not be limited to, information or reports about the Principal Entity’s: character; general reputation; personal characteristics, including honesty and integrity; financial stability; debts to State agencies; criminal records, records of involvement with federal, state or other law enforcement agencies, as specified in the Disclosure Form, or record of involvement with any litigation. As a representative, I have the right to request a complete and accurate disclosure of the nature and scope of the investigation and a copy of a summary of the Principal Entity’s rights under federal credit reporting law.

I am requesting that the Commission, through its employees, agents or vendors, obtain this information about the Principal Entity to evaluate the Applicant’s eligibility for a license. I acknowledge that this disclosure and authorization remain in effect during the time the Applicant’s application is pending and during the time of any sports wagering license that may be granted to the Applicant.

By separate Authorization for Release of Information, I am authorizing any entity or individual that has information about the Principal Entity that I represent, to release that information to the Commission for purposes of its investigation of a Principal Entity of an Applicant for a sports wagering license in the State of Maryland.

Signature of Individual Completing Form

Date

Printed Name

Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

This _____ day of _____, 20____, and to which witness my hand and seal.

Notary Public

Stamp or Seal

Printed Name

My commission expires _____, 20_____

SECTION F - APPENDICES

Principal Entity Disclosure Form Appendices

This is a checklist of all of the attachments or appendices that you are to provide or create. Each document must be uploaded into the 'eLicensing' system on the [Applicant Case Checklist Item](#) page.

If an attachment is not applicable to the Principal Entity, indicate "N/A", then use **Exhibit 11** to explain why it is not applicable. This information shall be provided **in addition** to the exhibits.

Appendix	Appendix Description	X IF ATTACHED (ALL FORMS ARE MANDATORY)
1	Description of Existing Litigation. Description of any settled or closed litigation against the Principal Entity for the past three (3) years. Also describe any existing or settled or closed litigation for the past three (3) years for any holding, intermediary, subsidiary or affiliate. A description of any judgments against Applicant, holding, intermediary, subsidiary or affiliate for the past five (5) years. Describe if any judgments were covered by insurance and if so the insurance company. Provide this information in addition to both Exhibit 6 and Exhibit 8 .	
2	Audited Financial statements for the last five years, including the Principal Entity's last fiscal year. If audited financial statement do not exist, then provide unaudited financial statements.	
3	Annual Reports for the last five years.	
4	Description of Security Options for the Principal Entity.	
5	Annual Reports prepared on the SEC's form 10K for the last 5 years.	
6	A copy of the last quarterly Unaudited Financial Statement.	
7	Copy(ies) of any Interim Reports.	
8	A copy of the last definitive Proxy or Information Statement (SEC)	
9	A copy of all Registration Statements for the last five years filed in accordance with the Securities Act of 1933.	
10	Copies of all other reports prepared in the last five years by independent auditors of the Principal Entity.	
11	Certified copies of the Articles of Incorporation, Charter and By-laws, and all amendments and proposed amendments.	
12	Current ownership table of organization of the Principal Entity.	
13	Copies of 1120 forms and 941 forms filed with the IRS in the last five years.	
14	Copies of IRS 5500 form filed in the last 5 years.	
15	If Principal Entity has held a sports wagering or gaming license in another jurisdiction, provide a letter of reference from the sports wagering, gaming or casino enforcement or regulatory agency. The letter shall specify the agency's experiences with the Principal Entity, the Principal Entity's associates and Principal Entity's sports wagering or gaming operation.	
16	Provide a chart of existing vendors including the name, address, phone and tax identification number of the vendor, type of good and/or services provided by the	

	vendor, total amount of business with vendor in the past twenty-four (24) months.	
<p>17</p>	Along with the description provided in Exhibit 8 , provide the nature and results of any other material reorganization, readjustment or success of the Principal Entity, holding, intermediary, subsidiary or affiliate. Describe the acquisition or disposition of any material amount of assets otherwise than in the normal course of business and any material change in the way business was conducted by the Principal Entity, holding company, intermediary, subsidiary or affiliate because of such an event or proceeding.	

- End -