

# ILLINOIS GAMING BOARD

160 N. LaSalle Street, Suite 300  
Chicago, Illinois 60601-3103



## ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT SUPPLIER LICENSE/TIER 2 OFFICIAL LEAGUE DATA PROVIDER LICENSE APPLICATION

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

Doing Business As: \_\_\_\_\_  
(an assumed name must be registered with the Secretary of State)

Check all that apply:

### ILLINOIS GAMBLING ACT

*The Applicant is applying for a:*

Suppliers License

### SPORTS WAGERING ACT

*The Applicant is applying for a:*

Supplier License

Tier 2 Official League Data Provider License

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

Telephone #: \_\_\_\_\_ Email: \_\_\_\_\_

FEIN/Identification #: \_\_\_\_\_ Illinois Business Tax # (if applicable): \_\_\_\_\_

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Authorized Agent Name/Title: \_\_\_\_\_  
(please print name/title)

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Email: \_\_\_\_\_ Contact #: \_\_\_\_\_

Legal Rep: \_\_\_\_\_

Email: \_\_\_\_\_ Contact #: \_\_\_\_\_

**INSTRUCTIONS FOR ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT  
SUPPLIER LICENSE/TIER 2 OFFICIAL LEAGUE DATA PROVIDER LICENSE  
APPLICATION**

**WARNING**

**BY FILING THIS APPLICATION, YOU ACCEPT ANY RISK OF ADVERSE PUBLIC NOTICE, EMBARRASSMENT, CRITICISM, OR OTHER ACTION, OR FINANCIAL LOSS WHICH MAY RESULT FROM ACTION TAKEN OR NOT TAKEN WITH RESPECT TO THE LICENSE APPLICATION, AND EXPRESSLY WAIVE ANY CLAIM FOR DAMAGES AS A RESULT THEREOF. THE BOARD MAY REQUEST INFORMATION NOT REQUIRED IN THIS APPLICATION OR IN ADDITION TO THAT PROVIDED IN RESPONSE TO THIS APPLICATION.**

Read the entire Application before responding to the questions.

This Application is an official document. You should respond to the questions contained herein to the Best of your Knowledge after substantial inquiry. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. **ANY misrepresentation, failure to reveal information, or omission, is grounds for denial of a license application or a finding of unsuitability requiring economic disassociation. “A person who knowingly makes a false statement on an application is guilty of a Class A misdemeanor.” 230 ILCS 10/1 et seq.**

You are under a continuing duty to disclose promptly any changes in the information provided in this Application and additional information and materials submitted to the Illinois Gaming Board. The duty to make such additional disclosures shall continue throughout any Application period and period of licensure granted by the Illinois Gaming Board associated with this Illinois Gambling Act Suppliers, Sports Wagering Act Supplier, Tier 2 Official League Data Provider License Application.

Answer all questions. If a question does not apply to you, so state with “N/A” on the Schedule of Exhibits. If the space provided for an answer to a question is insufficient, submit the additional information as a separate exhibit, and identify the question for which the supplement addresses. An authorized agent must initial each page, as provided in the top right hand corner. By placing such initials on each page, the Applicant attests to the accuracy and completeness of the information contained on that page.

The male pronoun when used herein shall include the masculine, feminine and neuter as well as the plural, as appropriate.

By filing this Application, Applicant acknowledges and agrees that it is covered by, and shall comply with, all applicable statutory and regulatory provisions relating to its Application which include all current and future statutory and regulatory provisions during their entire effective periods.

A. FORMS AND DOCUMENTS

Applicant must submit the following items in an electronic format to the Board:

1. Illinois Gambling Act & Sports Wagering Act Supplier License/Tier 2 Official League Data Provider License Application.
2. Schedule of Exhibits
3. Applicant's Request to Release Information
4. Release of All Claims
5. Affidavit of Full Disclosure
6. Verification
7. 5.1 Disclosure of Records
8. IRS Tax Transcripts for the past five (5) years  
*(see instructions for IRS 4506-T Request for Transcript of tax Return for assistance)*
9. Tax Returns for the past three (3) years
10. Individual Key Person Personal Disclosure Form. Applicant must submit this Form for each of its Individual Key Persons. The Board may require Applicant to submit this Form for other Individuals.
11. Business Entity Form. Applicant must submit this Form for each of its Business Entity Key Persons. The Board may require Applicant to submit this Form for other Business Entities.
12. Trust Identification and Disclosure Form. Applicant must submit this Form for any trust that holds a direct or indirect interest in any gaming entity that is subject to regulation by a gaming jurisdiction for which they are a grantor, trustee or beneficiary, or for any other trust in which they have an interest, if so requested by the Board.
13. Institutional Investor Disclosure Form (*Illinois Gambling Act*). This Form must be completed and submitted to the Illinois Gaming Board by Institutional Investors that individually or jointly with others cumulatively acquire 10% or more, but less than 25% of any class of voting securities of a publicly-traded entity licensed by the Illinois Gaming Board or its publicly-traded parent.

Institutional Investor Disclosure Form (*Sports Wagering Act*). This Form must be completed and submitted to the Illinois Gaming Board by Institutional Investors that individually or jointly with others cumulatively acquire 5% or more, but less than 25% of any class of voting securities of a publicly-traded entity licensed by the Illinois Gaming Board or its publicly-traded parent.

Submit two electronic copies of this form and other required documents to the address listed below. The electronic copies must be labeled with the Applicant's name, and tabbed/indexed so it is easy to maneuver from question to question and section to section.

Illinois Gaming Board  
Attn: Licensing Unit  
160 N. LaSalle St. Suite 300  
Chicago, IL 60601-3103

**B. APPLICATION AND LICENSE FEES****ILLINOIS GAMBLING ACT:****Suppliers License:**

Applicants shall pay to the Board a nonrefundable \$10,000 application fee. The Board may issue a Suppliers license to such persons, firms or corporations upon a determination by the Board that the applicant is eligible for a Suppliers license, and upon payment of a \$5,000 annual license fee.

Application Fee: \$10,000

Annual License Fee: \$5,000

**SPORTS WAGERING ACT:****Supplier License:**

Applicants shall pay to the Board a nonrefundable \$150,000 license and application fee. After the initial 4-year term, the Board shall renew Supplier licenses annually thereafter. The Board shall renew a Supplier license if the renewal applicant has continued to comply with all applicable statutory and regulatory requirements, upon submission of the Board-issued renewal forms and payment of the \$150,000 renewal fee.

**Tier 2 Official League Data Provider License:**

The initial license fee for a Tier 2 Official League Data Provider license is payable to the Board at the end of the first year of licensure based on the amount of data sold to Master Sports Wagering licensees as official league data, as follows:

- (1) for data sales up to and including \$500,000, the fee is \$30,000;
- (2) for data sales in excess of \$500,000 and up to and including \$750,000, the fee is \$60,000;
- (3) for data sales in excess of \$750,000 and up to and including \$1,000,000, the fee is \$125,000;
- (4) for data sales in excess of \$1,000,000 and up to and including \$1,500,000, the fee is \$250,000;
- (5) for data sales in excess of \$1,500,000 and up to and including \$2,000,000, the fee is \$375,000; and
- (6) for data sales in excess of \$2,000,000, the fee is \$500,000.

The license is valid for 3 years. The Tier 2 Official League Data Provider licensee may renew the license for 3 years by paying a renewal fee to the Board based on the amount of data sold to Master Sports Wagering licensees as official league data in the immediately preceding year as provided in (1) through (6) listed above.

### C. DEFINITIONS

For the purposes of this Application, the following terms shall have the following meanings:

**Abnormal Wagering Activity:** Wagering activity exhibited by patrons and deemed by the Master Sports Wagering Licensee or Management Services Provider Licensee as a potential indicator of suspicious activity. Abnormal Wagering Activity may include the size of a patron's wager or increased wagering volume on a particular event or wager type. Abnormal Wagering Activity may include a pattern of behavior by one or more patrons.

**Act:** The Illinois Gambling Act or Sports Wagering Act.

**Adjusted Gross Sports Wagering Receipts:** Means a Master Sports Wagering Licensee's gross sports wagering receipts, less winnings paid to wagers in such games.

**Administrator:** The chief executive officer responsible for day-to-day operations of the Illinois Gaming Board.

**Affiliate:** An "affiliate of", "affiliated entity of," or person "affiliated with" another person shall mean a person that directly, or indirectly through one or more intermediaries, owns, controls, is controlled by, or is under common ownership or control with, the other person.

**Applicant:** A person applying for any License under the Illinois Gambling Act or Sports Wagering Act.

**Application:** All material, including the instructions, definitions, forms and other documents issued by the Illinois Gaming Board, submitted to the Illinois Gaming Board by an Applicant pursuant to the Illinois Gambling Act and/or Sports Wagering Act.

**Athlete:** Means any current or former professional athlete or collegiate athlete.

**Attributed Interest:** A direct or indirect interest in an enterprise deemed to be held by an Individual not through the Individual's actual holdings but either through the holdings of the Individual's relatives or through a third party or parties on behalf of the Individual pursuant to a plan, arrangement, or contract.

**Bank:** (A) A banking institution organized under the laws of the United States or any other country or jurisdiction, (B) a member bank of the Federal Reserve System, (C) any other banking institution or trust company, whether incorporated or not, doing business under the laws of any State or of the United States, a substantial portion of the business of which consists of receiving deposits or exercising fiduciary powers similar to those permitted to national banks under the authority of the Comptroller of the Currency, and which is supervised and examined by State or Federal authority having supervision over banks, and which is not operated for the purpose of evading the provisions of this title, and (D) a receiver, conservator or other liquidating agent of any institution or firm included in clauses (A), (B) or (C) of this paragraph.

**Beneficial Interest:** A right, interest, benefit or advantage that a person enjoys from a property or trust, resulting from a contract or agreement, without actual ownership or control of the property.

**Best of Knowledge:** Applicant's knowledge after substantial inquiry.

**Board:** The Illinois Gaming Board.

**Business Entity or Entity:** A partnership, association or group, firm, corporation, limited liability company, partnership for shares, trust, sole proprietorship or other business enterprise.

**Casino:** A facility at which lawful gambling is authorized as provided in the Illinois Gambling Act.

**Compensation:** Anything of value, including without limitation salary, wages, commissions, tips, gratuities, fees, bonuses, stock options, warrants and distributions from S corporations, in any form, including cash, securities, real property and tangible and intangible personal property.

**Contingent Liability:** Any obligation, indebtedness or claim, the amount of which cannot be definitely ascertained until the occurrence or nonoccurrence of some future event.

**Control:** The possession, direct or indirect, of the power to direct or cause the direction of the management, operation or policies of an Individual or Business Entity, whether through the ownership of voting securities, by contract, or otherwise.

**Covered Persons:** Includes athletes; umpires, referees, and officials; personnel associated with clubs, teams, leagues, and athletic associations; medical professionals, (including athletic trainers) who provide services to athletes, and players; and the family members and associates of these persons where required to serve the purposes of the Sports Wagering Act.

**Debt Instrument:** Any bond, loan, mortgage, trust deed, note, debenture, subordination, guaranty, letter of credit, security agreement, surety agreement, pledge, chattel mortgage or other form of indebtedness.

**Department:** Means the Department of the Lottery.

**Dependent:** Any Individual who received over half of his support in a calendar year from any other Individual.

**Designated Gaming Area (*Sports Wagering*):** The portion of a facility not accessible to the public in which the actual operation of sports wagering occurs, including, but not limited to, the employee side of a sports betting window or counter, surveillance rooms, count rooms, or rooms containing wagering equipment other than publicly accessible and operational kiosks.

**Designee:** Means a Master Sports Wagering Licensee under Section 25-30, 25-35, or 25-45 of the Sports Wagering Act or a Management Services Provider Licensee.

**Docksite:** The location where a Riverboat Gaming Operation conducts gambling operations pursuant to an Owners License or where a Riverboat moors for the purpose of embarking passengers for and disembarking passengers from a Riverboat Gaming Operation.

**Due Diligence:** A thorough review of public and private source information that is conducted pursuant to a detailed investigative plan on the identity, background experience, credentials, licensing, financial stability, and other factors related to a Person's ability to perform contractual obligations or otherwise meet the requirements for suitability and licensing in the State of Illinois.

**Entity:** A partnership, corporation, association, firm, limited liability company, partnership for shares, trust, sole proprietorship or other business enterprise.

**FEIN:** Federal Employee Identification Number.

**Felony:** A criminal offense for which a sentence of imprisonment for one year or more may be imposed under the laws of any jurisdiction.

**Financial Statement:** Any balance sheet, income statement, profit and loss statement, statement of cash flow, and sources and uses of funds statement.

**Game:** A gambling activity which is played for money, property, or anything of value, including without limitation those played with cards, chips, tokens, vouchers, dice, implements, or electronic, electrical, or mechanical devices or machines.

**Gaming:** The dealing, operating, carrying on, conducting, maintaining or exposing for play of any Game.

**Gaming-related:** Anything related to the dealing, operating, carrying on, conducting, maintaining or exposing for play of any game.

**Gaming Equipment/Supplies:** A machine, mechanism, device or implement which is integral to the operation of a Game or affects the result of a Game by determining win or loss, including without limitation: electronic, electrical, or mechanical devices or machines; cards or dice; layouts for live gaming devices; any representative of value used with any Game, including without limitation chips, tokens, or electronic cards; voucher systems; voucher printers; voucher validation terminals; computer monitoring systems; and hardware and software related to any item described herein.

**Gaming Facility:** Means a facility at which gambling operations are conducted under the Illinois Gambling Act, pari-mutuel wagering is conducted under the Illinois Horse Racing Act of 1975, or Sports Wagering is conducted under the Sports Wagering Act.

**Gaming Operation:** The Applicant for a Casino/Riverboat or Organization Gaming License, Owner licensees, Organization Gaming licensees, Gaming Operations Manager, or, as the context requires, the conduct of Gaming and all related activities, including without limitation the purveying of food, beverages, parking, retail goods and services, and transportation, at a Casino/Riverboat or Organization Gaming facility and at its Support Facilities.

**Gaming Operations Manager:** An Individual or Business Entity other than the holder of an Owners License or an Organization Gaming License who has the ultimate responsibility to manage, direct or administer the conduct of Gaming at a Casino or Riverboat.

**Immediate Family:** Spouse (other than a spouse who is legally separated from the Individual under a decree of divorce or separate maintenance), parents, grandparents, siblings, children and grandchildren, step-children, whether by blood, marriage, adoption or natural relationship.

**Indirect Interest:** An interest in a Business Entity that is deemed to be held by an Applicant or holder of an Owners License, Organization Gaming License, Master Sports Wagering License, Management Services Provider License, Supplier License, or Tier 2 Official League Data Provider license, not through the Applicant's or holder's actual holdings in the Business Entity, but through the Applicant's or holder's holdings in other Business Entities.

**Individual:** Any natural person.

**Institutional Investor (IL Gambling Act):** A "qualified institutional buyer" as defined by Securities and Exchange Commission Rule 144A (17 CFR 230.144A) under the Securities Act of 1933, as amended.

**Institutional Investor (Sports Wagering Act):**

- A retirement fund administered by a public agency for the exclusive benefit of federal, state or local public employees;
- An investment company registered under section 8 of the Investment Company Act of 1940 (15 USC 80a-8);
- A collective investment trust organized by a bank under Part 9 of the Rules of the Comptroller of the Currency (12 CFR 9.18);
- A closed end investment trust registered with the United States Securities and Exchange Commission;
- A chartered or licensed life insurance company or property and casualty insurance company;
- A federal or state bank;
- An investment advisor registered under the Investment Advisors Act of 1940 (15 USC 80b-1 through 80b-21); or
- Such other person as the Illinois Gaming Board may determine for reasons consistent with the Act and this Part.

**Internet Wagering:** The conduct of Sports Wagering activities over the internet between a Master Sports Wagering Licensee and a patron, through use of an internet wagering system.

**Internet Wagering System:** All hardware, software, and communications, used by a Master Sports Wagering Licensee to offer Sports Wagering to patrons over the internet, including any client software.

**Internal Control System:** Proprietary internal procedures and administration and accounting controls designed by the holder of an Owners License, Organization Gaming License, Master Sports Wagering License, or Management Services Provider License, for the purpose of exercising control over the Gaming Operation or Sports Wagering Operation.

**Junketeer:** A Person or entity that facilitates a patron's participation in gaming at a Casino/Riverboat Gaming Operation and is compensated, not as an employee but as an independent contractor, by that Operation based upon how much the patron actually wagers or loses.

**Key Person: (Casino Supplier):** A Person identified by the Board under Section 3000.222 as subject to regulatory approval as a Person able to control, or exercise significant influence over, the management, assets, or operating policies of an owner or supplier licensee.

**Key Person: (Sports Wagering Supplier/Tier 2 Official League Data Provider):** A Person identified by the Board under Section 1900.530 as subject to regulatory approval as a person able to control or exercise significant influence over the management, assets, or operating policies of Master Sports Wagering, Management Services Provider, Supplier or Tier 2 Official League Data Provider Licensee.

**Kiosk:** Any kiosk, terminal, machine, or other device through which a patron may place or redeem an in person wager without requiring the involvement of an employee.

**Licensee:** A person that holds a license granted by the Board pursuant to the Illinois Gambling Act or Sports Wagering Act.

**Management Services Provider Licensee:** A license issued to an entity who has contracted with a Master Sports Wagering Licensee to conduct its sports wagering operation in accordance with the provisions of the Sports Wagering Act and the rules of the Illinois Gaming Board.

**Material Litigation:** Pending or threatened litigation and resolved lawsuits, administrative actions, unsatisfied judgments, decrees, restraining orders, injunctive orders, excluding personal injury litigation resolved for or seeking less than \$1,000,000.

**Minor League:** Those events, contests, individuals, and entities affiliated with a Sports Governing Body which do not constitute the highest level of play or competition under that Sports Governing Body.

**Nominee:** Any Individual or Business Entity that holds as owner of record the legal title to tangible or an intangible personality or real property, including without limitation any stock, bond, debenture, note, investment contract or real estate on behalf of another Individual or Business Entity, and as such is designated and authorized to act on his or its behalf with respect to such property.

**Occupational Licensee:** An individual who holds an Occupational License granted by the Board under the Illinois Gambling Act or Sports Wagering Act.

**Official League Data:** Means statistics, results, outcomes, and other data related to a sports event obtained pursuant to an agreement with the relevant Sports Governing Body, or an entity expressly authorized by the Sports Governing Body to provide such information to licensees, that authorizes the use of such data for determining the outcome of Tier 2 Sports Wagers on such Sports Events.

**Official League Data Provider:** An individual, partnership, corporation or limited liability company that is licensed under the Sports Wagering Act to provide Official League Data pursuant to an agreement with a relevant Sports Governing Body for determining the outcome of Tier 2 Sports Wagers.

**Organization Gaming License:** A license issued by the Illinois Gaming Board under Section 7.7 of the Illinois Gambling Act authorizing gaming pursuant to that section at an organization gaming facility.

**Organization Licensee:** Has the meaning given to that term in the Illinois Horse Racing Act of 1975.

**Owners License:** A license issued by the Illinois Gaming Board to conduct riverboat or a casino gambling operation, but does not include an Organization Gaming license.



**Ownership Interest:** Includes, but is not limited to, direct, indirect, beneficial or attributed interest, or holder of stock options, convertible debt, warrants or stock appreciation rights, or holder of any beneficial ownership, or lease hold interest in a Business Entity.

**Parent Company:** A "parent company" of a specified person is an affiliate controlling such person directly, or indirectly through one or more intermediaries.

**Pecuniary:** Refers to something paid or given in money, or a monetary interest in something.

**Predecessor Company:** A Business Entity which no longer exists in its original form but whose assets in substantial part have been acquired by another Business Entity or which had undergone certain internal changes, such as those of identity, form, or capital structure.

**Person:** Means an individual, partnership, committee, association, corporation, or any other organization or group of persons.

**Privately Held Company:** A company that is not Publicly Held.

**Personal Biometric Data:** Means an athlete's information derived from DNA, heart rate, blood pressure, perspiration rate, internal or external body temperature, hormone levels, glucose levels, hydration levels, vitamin levels, bone density, muscle density, and sleep patterns.

**Professional Sport or Athletic Event:** A contest, event, or game at which two or more persons participate and receive compensation in excess of actual expenses for their participation in such event.

**Prohibited Conduct:** Includes any statement, action, and other communication intended to influence, manipulate, or control a betting outcome of a sporting contest or of any individual occurrence or performance in a sporting contest in exchange for financial gain or to avoid financial or physical harm. "Prohibited Conduct" includes statements, actions, and communications made to a covered person by a third party, such as a family member or through social media. "Prohibited Conduct" does not include statements, actions, or communications made or sanctioned by a team or Sports Governing Body.

**Public Official:** An Individual who is elected to, is an officer of, or employed by, any federal or state office or political subdivision, pursuant to federal or state law, or who is appointed to an office which is established under and the qualifications and duties of which are prescribed by such federal or state law to discharge a public duty.

**Publicly Held Company:** A company that has filed a registration statement with the Securities and Exchange Commission.

**Qualified Applicant:** Means an Applicant for a license under the Illinois Gambling Act or Sports Wagering Act whose Application meets the mandatory minimum qualification criteria as required by the Board.

**Registered Agent:** Any Individual or Business Entity against whom service of process may be made on behalf of any Business Entity or that is designated as such by any articles of incorporation or other corporate filings in any state.

**Redemption Kiosk:** Any kiosk, terminal, machine, or other device through which a patron may redeem an in person wager without requiring the involvement of an employee.

**Related Party:** An Individual or Business Entity having a pecuniary interest in a Business Entity which is not a Publicly Held Company; a holder of more than 5% of the outstanding shares of a Publicly Held Company; a Key Person of a Business Entity; an Affiliate of a Business Entity; a Relative of an Individual having a pecuniary interest in a Business Entity which is not a Publicly Held Company; a Relative of a holder of more than 5% of the outstanding shares of a corporation which is a Publicly Held Company; a Relative of a Key Person of a Business Entity; a Relative of an Affiliate of a Business Entity; a trust for the benefit of or managed by a Business Entity or a Key Person thereof; or any other Individual or Business Entity who is able to control or significantly influence the management or operating policies of a Business Entity.

**Relative:** Spouse, parents, grandparents, children, siblings, uncles, aunts, nephews, nieces, first cousins, fathers-in-law, mothers-in-law, sons-in-law, daughters-in-law, brothers-in-law, sisters-in-law, whether by blood, marriage, adoption or natural relationship, and Dependents.

**Riverboat:** A self-propelled excursion boat or a permanently moored barge on which lawful gambling is authorized and licensed as provided in the Act.

**Riverboat Gaming Operation:** The Owner licensee, Gaming Operations Manager, or, as the context requires, the conducting of Gaming and all related activities, including without limitation the purveying of food, beverages, retail goods and services, and transportation, on a Riverboat and at its Support Facilities.

**Sole Proprietor:** An Individual who in his or her own name owns 100% of the assets and who is solely liable for the debts of a business.

**Sporting Contest:** Means a Sports Event or game on which the State allows sports wagering to occur under this Act.

**Sports Event:** Means a professional sport or athletic event, a collegiate sport or athletic event, a motor race event, or any other event or competition of relative skill authorized by the Board under this Act.

**Sports Facility:** Means a facility that hosts Sports Events and holds a seating capacity greater than 17,000 persons.

**Sports Governing Body:** Means the organization that prescribes final rules and enforces codes of conduct with respect to a Sports Event and participants therein.

**Sports Wagering:** Means accepting wagers on Sports Events or portions of Sports Events, or on the individual performance statistics of athletes in a Sports Event or combination of Sports Events, by any system or method of wagering, including, but not limited to, in person or over the Internet through websites and on mobile devices. "Sports Wagering" includes, but is not limited to, single-game bets, teaser bets, parlays, over-under, moneyline, pools, exchange wagering, in-game wagering, in-play bets, proposition bets, and straight bets.

**Sports Wagering Activity:** Includes any of the following:

- Placing or accepting, or attempting to place or accept a Sports Wager;
- Redeeming or attempting to redeem a Sports Wager;
- The setting or changing of betting odds or lines; or
- The outcome of any events upon which wagers are placed.

**Sports Wagering Account:** Means a financial record established by a Master Sports Wagering Licensee for an individual patron in which the patron may deposit and withdraw funds for sports wagering and other authorized purchases and to which the Master Sports Wagering Licensee may credit winnings or other amounts due to that patron or authorized by that patron.

**Sports Wagering Operation:** The conduct of authorized sports wagering under the Sport Wagering Act and all related activities, including but not limited to: accepting wagers, redeeming wagers, accounting, security, surveillance, marketing, and advertising.

**Sports Wagering System:** Collectively, all hardware, software, communications technology, and sports wagering equipment used to conduct sports wagering activity.

**Substantial Creditor:** The holder of any Debt Instrument of whatever character, against an Individual or Business Entity, whether secured or unsecured, matured or unmatured, liquidated or unliquidated, absolute, fixed or contingent, the aggregate amount of which is \$50,000 or more.

**Substantial Owner** (*Casino Supplier*): The holder of at least 25% of the total combined voting power of a corporation or at least 25% of the total value of shares of all classes of stock of a corporation; or at least a 25% interest in a partnership; or at least 25% of the value of a trust computed actuarially; or at least 25% of the legal or beneficial interest in any other

Business Entity. For purposes of computing the foregoing percentages, a holder shall be deemed to own any stock or other interest in a Business Entity, whether owned directly or indirectly.

**Supplier (Casino):** A provider of Gaming Equipment/Supplies, Gaming Equipment maintenance or repair services, security services or a lessor of a Casino, Riverboat or dock facility.

**Supplier (Sports Wagering):** An individual, partnership, corporation or limited liability company that is licensed under the Act to sell or lease sports wagering equipment, systems, or other gaming items to conduct Sports Wagering and offer services related to the equipment or other gaming items and data to a Master Sports Wagering Licensee.

**Support Facility:** A place of business which is part of, or operates in conjunction with, a Casino/Riverboat or an Organization Gaming Operation, or is owned in whole or in part by a holder of an Owners License, Organization Gaming License, or a Supplier's license or any of their Key Persons, including without limitation Casinos, Riverboats, Organization Gaming facilities, offices, docking facilities, parking facilities, hotels, restaurants, etc.

**Table of Ownership and Control:** A listing of all Individuals that hold a position or a level of ownership, control or influence that is material to the regulatory concerns and obligations of the Board or who could influence, directly or indirectly, the conduct of gaming, in a Casino/Riverboat Gaming Operation, Organization Gaming Operation, Sports Wagering Operation or any other business conducted by or on behalf of a licensee or Key Person, and as otherwise defined and required in the Board's Adopted Rules, regardless of their actual legal relationship to the Applicant or Licensee.

**Tier 1 Sports Wager:** Means a Sports Wager that is determined solely by the final score or final outcome of the sports event and is placed before the sports event has begun.

**Tier 2 Sports Wager:** Means a Sports Wager that is not a Tier 1 Sports Wager.

**Wager:** Means a sum of money or thing of value risked on an uncertain occurrence.

**Wagering Equipment:** A machine, mechanism, device, or implement which is integral to the operation of Sports Wagering, or which monitors, records, or determines the outcome of any Wager, including without limitation: electronic, electrical, or mechanical devices for the making or recording of wagers; any system for displaying or determining wager information; any kiosk, terminal, or other device for the redemption of a Wager; computer monitoring systems; and hardware and software related to any item described herein.

**Winning Bidder:** Means a qualified Applicant for a Master Sports Wagering License chosen through the competitive selection process under Section 25-45 of the Sports Wagering Act.

**QUALIFICATION**

1. Identify all that apply:
- Casino/Riverboat Gaming Operations Entity
  - Supplier of Casino/Riverboat Equipment/Supplies (including manufacturer, distributor, wholesaler or retailer)
  - Supplier of Casino/Riverboat Gaming Equipment maintenance or repair services
  - Lessor of Casino/Riverboat and/or Dock Facilities
  - Supplier of Sports Wagering Equipment/Supplies (including manufacturer, distributor, wholesaler or retailer)
  - Supplier of Sports Wagering Equipment maintenance or repair services
  - Tier 1 Data Provider
  - Tier 2 Official League Data Provider
  - Other

Submit a detailed statement identifying the Applicant’s Products or Services:

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**APPLICANT INFORMATION**

2. Identify the category below that describes the Applicant’s business structure.
- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Limited Partnership         | <input type="checkbox"/> Limited Liability Limited Partnership | <input type="checkbox"/> ESOP                       |
| <input type="checkbox"/> General Partnership         | <input type="checkbox"/> Partnership for Shares                | <input type="checkbox"/> Trust                      |
| <input type="checkbox"/> Corporation (Publicly Held) | <input type="checkbox"/> Corporation (Privately Held)          | <input type="checkbox"/> Unincorporated Association |
| <input type="checkbox"/> Limited Liability Company   | <input type="checkbox"/> S Corporation                         |   |

Other: \_\_\_\_\_

3. (a) Identify and describe any Predecessor Company of the Applicant.
- (b) Submit a list of all current and former addresses that Applicant or its Predecessor Company has held or from which it has conducted business within ten (10) years from the date of submitting this information, including the approximate time periods during which such addresses were held.
- (c) Submit a current Table of Ownership and Control of Applicant. The chart should illustrate all ownership percentages and include the fully diluted ownership of the Applicant.
- (d) Submit a proposed Table of Ownership and Control of Applicant after acquisition of the license. The chart should illustrate all ownership percentages and include the fully diluted ownership of the Applicant.
- (e) Submit a detailed description of Applicant’s business, including the background and skills of the Applicant and the Applicant’s Key Persons.
- (f) Submit a detailed description of Applicant’s Affiliates including the name, address and telephone number of each Affiliate and its Key Persons.
4. If Applicant or any of its Key Persons conducts business outside Illinois, submit a statement listing all other jurisdictions where Applicant or its Key Persons conduct business, describing the business activity conducted in those other jurisdictions and listing all addresses from which Applicant or its Key Persons currently conduct business.

5. (a) List, for Applicant, the name, business address, telephone number and email address of the Applicant's Illinois:
- (1) Registered Agent(s);
  - (2) legal representatives;
  - (3) accounting representatives;
  - (4) banking and financial representatives; and
  - (5) lobbyists.
- (b) List, for Applicant, the name, business address, telephone number and email address of the Applicant's other:
- (1) Registered Agent(s);
  - (2) legal representatives,
  - (3) accounting representatives, if applicable;
  - (4) banking and financial representatives, if applicable; and
  - (5) lobbyists.
6. If Applicant is a corporation submit, as applicable:
- (a) For each corporation:
- (1) the name, including all former and assumed names, and FEIN numbers;
  - (2) business address, telephone number(s), of corporate headquarters;
  - (3) place and date of organization;
  - (4) any state tax registration numbers;
  - (5) the name of the State in which each corporation is incorporated;
  - (6) the date of incorporation;
  - (7) for a corporation that is not incorporated in Illinois, a statement and documentation as to whether the corporation is authorized to conduct business in Illinois;
  - (8) the classes of stock and number of shares;
  - (9) the number of shares authorized, issued, and outstanding;
  - (10) the par value and market value of each class of shares;
  - (11) the voting rights per class of share, including any proxy statements, and whether the voting rights are cumulative or non-cumulative (identify and briefly explain if the right of holders of any class

of stock may be modified other than by a vote of a majority or more of the outstanding shares so affected, voting as a class); and

- (12) the Exchange, if any, on which any class of stock may be traded.
- (b) For each corporation that is a Publicly Held Company:
- (1) the names, addresses, telephone numbers, email addresses, and number of shares held, for all holders of 5% or more of all outstanding shares; and  
*(Each Individual or Business Entity with an ownership interest or voting rights of 5% or more in the Applicant or Licensee, and the trustee(s) and beneficiaries of any trust holding 5% or more ownership interest or voting rights, must submit with this Application a Key Person Personal Disclosure Form, or a Business Entity Disclosure Form, as applicable. Each Trust holding 5% ownership interest or voting rights, must submit a Trust Disclosure Form with this Application. Each Institutional Investor with 10% (Illinois Gambling Act) or 5% (Sports Wagering Act) or more, but less than 25% ownership interest, must submit with this Application an Institutional Investor Disclosure Form.)*
  - (2) a list of stock certificates which have been or will be pledged by an affiliate of the corporation and the name, address, telephone numbers, and email address, of the pledgor and pledgee of any such stock certificates in the corporation; and,
  - (3) the name, addresses, telephone numbers, and email addresses, of the Chief Executive Officer, Chief Operating Officer and Chief Financial Officer or their functional equivalents. *(Each Individual listed must submit with this Application an Individual Key Person Personal Disclosure Form)*
- (c) For each corporation that is not a Publicly Held Company:
- (1) a list of the names, addresses, telephone numbers, email addresses and number of shares held for all holders of outstanding shares; and  
*(Each Individual or Business Entity with an ownership interest or voting rights of 5% or more in the Applicant or Licensee, and the trustee(s) and beneficiaries of any trust holding 5% or more ownership interest or voting rights, must submit with this Application a Key Person Personal Disclosure Form, or a Business Entity Disclosure Form, as applicable. Each Trust holding 5% ownership interest or voting rights, must submit a Trust Disclosure Form with this Application. Each Institutional Investor with 10% (Illinois Gambling Act) or 5% (Sports Wagering Act) or more, but less than 25% ownership interest, must submit with this Application an Institutional Investor Disclosure Form.)*
  - (2) a list of stock certificates which have been or will be pledged, and the name, address and telephone number of the pledgor and pledgee of any such stock certificates in the corporation.
  - (3) the name, addresses, telephone numbers, and email addresses, of the Chief Executive Officer, Chief Operating Officer and Chief Financial Officer or their functional equivalents. *(Each Individual listed must submit with this Application an Individual Key Person Personal Disclosure Form)*
  - (4) if within the previous five (5) years there has been a change in the beneficial ownership of the equity securities of a corporation, including changes resulting from a gift, purchase, sale, exercise of an option to purchase or sell, or grant or receipt of a put or call, on the part of any Individual or Business Entity who is or was a direct or indirect beneficial owner of 1% or more of any class of an equity security of the corporation, or who is or was a Key Person of the corporation, provide the following for each change of ownership:
    - (A) the date of the transaction;

- (B) the nature of the transaction;
  - (C) the parties, including their position, to the transaction and their relationship to the beneficial owner of the securities;
  - (D) the number, class and percentage of ownership of securities involved;
  - (E) an explanation of how the securities were valued;
  - (F) if securities were gifted, submit copies of Federal Gift Tax Returns. If no Federal Gift Tax Returns were filed, provide an explanation; and
  - (G) if securities were sold, list the following for each transaction:
    - (1) the date of the transaction;
    - (2) the purchasers of the securities;
    - (3) the sales price of the securities;
    - (4) the broker or any other fees paid;
    - (5) the disposition of proceeds received from the sale; and
    - (6) if any loans or gifts were received by the shareholder of record from the person or entity gaining beneficial ownership of the equity security resulting from a gift, purchase, sale, exercise of an option to purchase or sell on grant or receipt of a put or call, provide details of each transaction, loan and/or gift.
- (d) If the beneficial owner or Nominee of any stock in any corporation is an Individual or Business Entity other than the owner of record or subscriber, identify the following:
- (1) the name and address of the owner of record;
  - (2) the name and address of the nominee or subscriber;
  - (3) the name and address of the beneficial owner;
  - (4) the conditions under which the owner of record, nominee or subscriber holds and votes or has subscribed for such stock; and
  - (5) submit a copy of any contract or other instrument relating to said beneficial ownership, including any contingency agreement or event in which the nominee or person other than the owner of record or subscriber can become the owner of record or subscriber.
- (e) A description for each corporation of all stock warrants, options or common stock equivalents which are authorized, issued and exercisable, including applicable lists of participant names, addresses and amounts of holdings.

7. If Applicant is a Publicly Held Company, submit for each Publicly Held Company copies of any state or federal registration statements and any other documents filed within the last three (3) fiscal years, including without limitation Proxy or Information Statements filed pursuant to Section 14 of the Securities Exchange Act of 1934, Annual Reports (Form 10K), Quarterly Reports (Form 10Q), Periodic Reports (Form 8K), and statements prepared in accordance with Regulation S-X, under the Securities Act of 1933, the Securities Exchange Act of 1934, the Public Utility Holding Company Act of 1935, or the Investment Company Act of 1940. **(Note: if any documentation required to be filed in response to this question is available on a website maintained by the Securities And Exchange Commission, identify the document and where it can be accessed electronically).**
8. If Applicant is a Partnership or LLC submit:
- (a) the name (include all former and assumed names), and FEIN numbers;
  - (b) business address and telephone number(s) of LLC or Partnership headquarters;
  - (c) place and date of organization;
  - (d) any state tax registration numbers;
  - (e) the name of the State in which the LLC is registered. For a partnership, if the business name is different from the surnames of the individual partners, confirm the Assumed Business Name Certificate is registered with the office of the county clerk in the county where the principal place of business is located. Partnerships must publish the partnership name in a local newspaper for three consecutive weeks.
  - (f) for an LLC, LP, LLP/RLLP, or LLLP not registered in Illinois, a statement and documentation as to whether the business is authorized to do business in Illinois;
  - (g) the name, address, phone number and email address of each Partner, Member or Manager;  
*(Each Individual or Business Entity with ownership interest in the Applicant or Licensee, and the trustee(s) and beneficiaries of a trust with ownership interest, must submit with this Application a Key Person Personal Disclosure Form, Business Entity Disclosure Form, or Institutional Investor Disclosure Form, as applicable. Each Trust with ownership interest in the Applicant must submit a Trust Disclosure Form with this Application.)*
  - (h) a detailed description of the organization of the Partnership or LLC, including whether the Partnership or LLC is managed by an outside manager;
  - (i) for each Partner or Member:
    - (1) the date and amount of the initial investment, whether in the form of cash, negotiable instrument, property or otherwise;
    - (2) the amount and nature of any anticipated future investment;
    - (3) the degree of control over the activities of the Partnership or LLC; and
    - (4) the method of distributing Partnership or LLC profits;
  - (j) A detailed description of any options to purchase any interest in the Applicant or any options for management or sharing distributions.
  - (k) The exchange(s) on which any Ownership Interests of Applicant are publically traded.



- (1) If within the previous five (5) years there has been a change in the beneficial Ownership Interests of the partnership or LLC, including changes resulting from an assignment, gift, purchase, sale, issuance or exercise of an option to purchase, sell, or grant, or receipt of a put or call, on the part of any owner of any Ownership Interest of the Applicant, provide the following for each change of ownership:
  - (1) date and nature of transaction;
  - (2) the parties, including their position, to the transaction and their relationship to the beneficial owner of the Ownership Interest;
  - (3) the percentage of ownership involved; and
  - (4) explain how the Ownership Interests were valued.
9. If Applicant is not a Publicly Held Company, identify the names, addresses and telephone numbers of each Individual or Business Entity having an interest of any kind in Applicant which interest is not disclosed elsewhere. Submit a detailed statement describing the nature, facts and circumstances concerning each such Individual, Business Entity and interest.
10. If any Key Person of Applicant is a Business Entity submit, as applicable:
  - (a) a detailed description of the organization of each Business Entity, including the name and address of each participant in each Business Entity;
  - (b) for each Business Entity, as applicable:
    - (1) the name, including all former and assumed names and FEIN numbers;
    - (2) business address, telephone numbers, email addresses;
    - (3) place and date of organization;
    - (4) any state tax registration numbers;
    - (5) any federal tax stamp numbers held for transporting Gaming Equipment; and
    - (6) percentage of ownership (direct and indirect) interest.
  - (c) for each Individual who is or was a Key Person of the Business Entity:
    - (1) his/her name;
    - (2) social security number;
    - (3) place and date of birth;
    - (4) occupation;
    - (5) business and residential addresses, telephone numbers and email address;
    - (6) percentage of ownership and dates when participation occurred; and
    - (7) the amount of and dates when compensation was received during the three (3) years prior to the filing of this Application; and

*(Each Individual or Business Entity with an ownership interest or voting rights of 5% or more in the Applicant or Licensee, and the trustee(s) and beneficiaries of any trust holding 5% or more ownership interest or voting rights, must submit with this Application a Key Person Personal Disclosure Form, or a Business Entity Disclosure Form, as applicable. Each Trust holding 5% ownership interest or voting rights, must submit a Trust Disclosure Form with this Application. Each Institutional Investor with 10% (Illinois Gambling Act) or 5% (Sports Wagering Act) or more, but less than 25% ownership interest, must submit with this Application an Institutional Investor Disclosure Form.)*

- (d) for each Business Entity which is not organized under Illinois law, a statement identifying the law under which it is organized and whether it is authorized to conduct business in Illinois.

**LEGAL, TAX AND LICENSING**

11. Submit a detailed statement concerning any pending or threatened material litigation in any forum including administrative proceedings to which Applicant, its Affiliates, its parent corporation, its Key Persons, its officers and/or its Occupational Level 1 Management employees are a party. For all such litigation, submit a detailed statement identifying the litigation, the current status, the damages claimed, the name of the court and its location, and identities of all counsel of record.
12. Submit a detailed statement concerning whether the Applicant or any of its Key Persons have been named as a defendant in any civil action based in whole or in part on allegations of conduct that constitute fraud, misrepresentation or omission of material information, breach of fiduciary duty, unfair or deceptive trade practices, or a violation of the Illinois False Claims Act or any similar law in any other jurisdiction. For all, include a detailed statement identifying the following: plaintiff/defendant; claimant/respondent; date filed; court case number; location/jurisdiction; allegation(s)/claim(s); and, disposition (including date of disposition).
13. State whether the applicant, or any owner or Key Person thereof, has been served with a grand jury subpoena, been the subject of any search warrant, or has any reason to believe it is or has been the subject of a criminal investigation. Provide details of any disclosure.
14. Identify whether Applicant:
  - (a) is a current or former member or current or former employee of the Illinois Gaming Board;
  - (b) has ever possessed a Gaming-related license (casino, video gaming, charitable games, lottery, pari-mutuel, sports wagering, etc.) issued by any jurisdiction and submit a copy of each license;
  - (c) has had an interest in a Business Entity, which has possessed a Gaming-related license issued by any jurisdiction and submit a copy of each license;
  - (d) holds a direct interest, Indirect Interest or Attributed Interest in any Business Entity which holds a license issued under the Act, or which has applied or intends to apply for a license under the Act.
  - (e) has ever voluntarily withdrawn a Gaming-related license application in any jurisdiction, and submit a detailed statement describing each withdrawal;
  - (f) has had an interest in a Business Entity, which has voluntarily withdrawn a Gaming-related license application in any jurisdiction, and submit a detailed statement describing each withdrawal;
  - (g) has ever been denied a Gaming-related license or related findings of suitability in any jurisdiction, and submit a detailed statement describing the denial or related findings;
  - (h) has had an interest in a Business Entity, which has been denied a Gaming-related license or related findings of suitability in any jurisdiction, and submit a detailed statement describing the denial or related findings.
  - (i) has ever had a Gaming-related license in any jurisdiction suspended, and submit a detailed statement regarding each suspension;
  - (j) has had an interest in a Business Entity, which had a Gaming-related license in any jurisdiction suspended, and submit a detailed statement describing each suspension;
  - (k) has ever had a Gaming-related license in any jurisdiction revoked, or for which a disciplinary or other action to revoke the license was initiated, and submit a detailed statement describing each incident;

- (l) had an interest in a Business Entity, which had a Gaming-related license revoked or for which a disciplinary or other action to revoke the license was initiated in any jurisdiction, and submit a detailed statement describing each incident;
  - (m) has ever had a Gaming-related license in any jurisdiction non-renewed or considered for non-renewal, and submit a detailed statement regarding the circumstances;
  - (n) has had an interest in a Business Entity, which had a Gaming-related license in any jurisdiction non-renewed or considered for non-renewal, and submit a detailed statement regarding the circumstances; or
  - (o) been found unsuitable or ordered to economically disassociate from any business entity or for which a preliminary action relating to unsuitability or economic disassociation was initiated;
15. To the extent not otherwise disclosed in detail in response to any other question, submit a detailed statement concerning the nature, facts and circumstances of each conviction, revocation, finding of unsuitability, order of economic disassociation or ownership interest in any Business Entity which holds or held a license issued under the Illinois Gambling Act, former Riverboat Gambling Act, Video Gaming Act, and/or Sports Wagering Act, or which has applied or intends to apply for a license under any of the aforementioned Acts.
16. To the extent not disclosed in response to any other question, identify whether Applicant or any of its Key Persons have been arrested, charged, indicted, convicted, pleaded guilty or *nolo contendere*, received supervision, conditional discharge or probation or forfeited bail concerning any criminal offense under the laws of any jurisdiction or the Uniform Code of Military Justice, either Felony or misdemeanor (except for traffic violations for which a sentence of imprisonment could not be imposed), including any arrest or disposition which has been expunged or sealed. For each incident, submit:
- (a) the date;
  - (b) the names, addresses and telephone numbers of the Individuals and Business Entities involved;
  - (c) the name and location of the court, arresting agency and prosecuting agency;
  - (d) the case number;
  - (e) the offense, including severity (misdemeanor, felony, etc.);
  - (f) the circumstances surrounding the offense;
  - (g) the status or disposition, including a certified copy of the disposition;
  - (h) the location and length of incarceration; and
  - (i) the order of expungement or the order to seal the records.
17. Identify whether Applicant or any of its Key Persons:
- (a) has owned, operated, leased, provided for use, facilitated, enabled or participated in, or been alleged by any governmental agency of, the use of any type of coupon or sweepstakes machine. If yes, explain;
  - (b) has owned, operated, leased, provided for use, facilitated, enabled, or participated in, or been alleged by any governmental agency of, the use of coin operated or amusement devices for gambling purposes. If yes, explain.

18. To the extent not disclosed in response to any other question, identify whether Applicant or any of its Key Persons has had an application denied by, has had a license or certificate not renewed by, or has been the subject of disciplinary action by a licensing authority. For each incident, submit a detailed statement describing the facts and circumstances concerning such denial, non-renewal, suspension, fine, or any other type of disciplinary or regulatory action, including the licensing authority, the date each such action was taken, the reason for each such action and the outcome, if any.
19. Identify any Related Party relationship between Applicant or any of its Key Persons and the proposed Casino/Riverboat, Organization Gaming, and/or Sports Wagering Operation not disclosed in response to any other question. Submit a detailed description of all such relationships and any documents relating to each transaction.
20. Identify the names, titles, addresses and telephone numbers of all Public Officials or officers or employees of any unit of government, and Relatives of said Public Officials, officers or employees, who, directly or Indirectly, own any financial interest in, have any beneficial interest in, are the creditors of, hold any Debt Instrument issued by or hold or have any interest in any contractual or service relationship with Applicant or any of its Key Persons. Attach any and all documentation that evidences any relationship identified in your answer. Describe in detail what steps Applicant has taken to verify the accuracy of the response to this question.

**FINANCIAL INFORMATION**

21. Submit as applicable, copies of the following documents that apply to Applicant:
- (a) partnership agreements;
  - (b) trust agreements;
  - (c) joint venture agreements;
  - (d) Operating Agreements;
  - (e) Management Agreements;
  - (f) Certified copies of the articles of incorporation, corporate charters or certifications of incorporation, and any amendments thereto;
  - (g) A certificate of good standing of the state of incorporation;
  - (h) A certificate of authority issued by the Illinois Secretary of State indicating that Applicant is qualified to do business in the State of Illinois;
  - (i) Proof of registration with the Illinois Department of Revenue, or an application for such registration, or the reason why such registration is not necessary;
  - (j) Articles of association;
  - (k) By-laws;
  - (l) Debt Instruments;
  - (m) Shareholders' agreements;
  - (n) other legal instrument of organization; and
  - (o) other documents of formation or creation, not otherwise listed above.
22. Submit, as applicable, copies of the following documents, which apply to Applicant:
- (a) Written contracts, leasing or rental agreements, or other written agreements or detailed summaries of any oral agreements or discussions concerning future agreements
  - (b) Written non-Gaming agreements or detailed summaries of oral agreements or discussions concerning future agreements relating to such;
  - (c) Written non-Gaming lease agreement or detailed summaries of oral agreements or discussions concerning future agreements relating to such;
  - (d) Written agreements for the acquisition and disposition of assets, stocks or options or detailed summaries of oral agreements or discussions concerning future agreements relating to such;
  - (e) Written management agreements or detailed summaries of oral agreements or discussions concerning future agreements relating to such;

- (f) Written employment agreements or detailed summaries of oral agreements or discussions concerning future agreements relating to such;
- (g) Written consulting agreements or detailed summaries of oral agreements or discussions concerning future agreements relating to such;
- (h) Stock bonus or profit sharing plans;
- (i) Share certificates (both sides) of any Business Entity held by or on behalf of Applicant or any of its Key Persons; and
- (j) Copy of the current stock register or comparable listing, including share certificates.

23. For each Business Entity in which stock is held by or on behalf of Applicant or any of its Key Persons identify:

- (a) The name, address and telephone number of each company;
- (b) The class of stock held;
- (c) The purchase price per share;
- (d) The current market value per share;
- (e) The number of shares held; and
- (f) The percentage of ownership.

24. Submit the following documents for Applicant and any of its Key Persons, for the last three (3) fiscal years and through the date of Application or where such Applicant or Key Person has not existed as a Business Entity in any jurisdiction for the last three fiscal years, for Applicant or any Key Persons to the extent that they exist for the last three (3) fiscal years:

- (a) Financial Statements, including those internally prepared or certified or authenticated by independent certified public accountants if such certified or authenticated documents have been prepared;
- (b) State and federal tax returns;
- (c) Management representations, General Counsel Opinions, and other contingent liability statements or letters provided to auditors or certified public accountants pertaining to certified financial audits; and
- (d) All reports and correspondence which pertain to the issuance of Financial Statements, managerial advisory services or internal control recommendations.

25. Submit a schedule listing the accounts or instruments held by Applicant or any of its Key Persons during the three (3) previous calendar years and the period prior to the date of this response from any bank, savings and loan association, credit union or other financial institution, domestic or foreign, whether such account or instrument was or is held in the name of Applicant, a Nominee of Applicant, or was or is otherwise under the direct or indirect control of Applicant, stating for each such account or instrument:

- (a) The name, business address and telephone number of the financial institution involved;
- (b) The type of account or instrument;
- (c) The account or instrument number;

- (d) The rate of interest;
  - (e) The time period during which the account or instrument was or will be held; and
  - (f) The opening and current or closing balance.
26. Identify all of Applicant's or any of its Key Person's existing or pending applications for grants, tax relief or low interest loans given or guaranteed by any unit of government or entity related thereto. Submit a detailed statement describing each grant, relief or loan, and copies of all agreements between Applicant or any of its Key Persons and any unit of government or entity related thereto.
27. Identify whether Applicant or its Key Persons has been involved in any formal or informal process or agreement to adjust, defer, suspend or otherwise work out the payment of any debt, been in violation of any restrictive covenant, or received waivers of such covenants. Submit a detailed statement describing each such incident and provide supporting agreement and/or documentation.
28. Identify whether Applicant or its Key Persons are delinquent in the payment of, or in dispute over the filings concerning, or the payment of any tax required under federal, state or municipal law. Submit a detailed statement describing the delinquency or dispute, including the amount, type of tax, the taxing agencies and the time periods involved.
29. Identify whether Applicant or its Key Persons have ever had any municipal, state or federal tax returns audited or adjusted. Submit a detailed statement describing the facts, circumstances and results of said audit or adjustment.
30. Identify whether Applicant or any of Applicant's Key Persons:
- (a) has ever had any of its securities or debt offerings suspended from trading;
  - (b) has been involved in an investigation by the Securities and Exchange Commission; or
  - (c) has had action taken against it by the SEC.
31. Submit a detailed statement concerning Applicant's business plan, including annual pro forma budgets and pro forma Financial Statements for the next three (3) years. Identify the name of the person(s) who developed the plan and all assumptions made in regard to the plan.
32. Submit a detailed statement concerning the capitalization of the Applicant including the amount and source of debt and equity involved, and the guarantees that Applicant can offer that Applicant will be able to operate during the duration of the license. Submit all documents which support this statement, including surety agreements, guarantor agreements, loan commitments and agreements, Security and Exchange Commission disclosure documents, prospectuses, a list of assets which will be used to constitute all or part of the capitalization, appraisals, broker's market studies to support real estate values, brokerage and bank statements. Additionally, list all sources of financing contacted by Applicant or on Applicant's behalf.
33. Submit a statement describing the types and levels of insurance which Applicant is proposing to obtain relating to the Applicant's Operation, including without limitation liability, casualty, capital loss, fire, theft and workmen's compensation insurance. To the extent available, submit copies of all written agreements or other documents evidencing this insurance. Submit a detailed statement identifying and describing any oral agreements for such.



**BUSINESS INFORMATION**

34. Submit as a complete list of all equipment and services the Applicant intends to sell, deliver, or offer.
- (a) Applicant's complete inventory
  - (b) Applicant's form lease agreement for tangible personal property.
  - (c) Applicant's form purchase agreement.
  - (d) Applicant's form service agreement.
  - (e) Any contracts and agreements between Applicant and holders of or applicants for an Owners license or a Supplier's License to be a Gaming Operations Manager.
  - (f) Is the Applicant currently licensed by any other jurisdiction to supply products or services?  Yes  No  
If yes, provide a list of jurisdictions, license numbers, dates of licensure, and types of products or services the Applicant is authorized to supply.
  - (g) If applying for a Tier 2 Official League Data Provider license:
    - (1) is the Applicant a Sports Governing Body or a sports league, organization, or association?  
 Yes  No
    - (2) is the Applicant currently a vendor authorized by a Sports Governing Body or sports league, organization, or association, to distribute Tier 2 Official League Data?  Yes  No If yes, complete Section 40(B) of this Application.
  - (h) If applying for a Tier 2 Official League Data Provider license, describe in detail, the Applicant's experience with providing Tier 2 Official League Data, and include a detailed summary regarding the proposed method of data distribution.
  - (i) Provide a detailed summary regarding procurement goals for businesses owned by women, minorities, veterans, and persons with disabilities and small business enterprises, including an explanation of the plan to increase those goals.
35. Submit as applicable, detailed statements stating and describing:
- (a) Applicant's products, any other principal goods produced or services rendered, including any significant changes in the kinds of products, other goods or services, and the principal markets for and methods of distribution of such products, other goods or services, including any significant changes in the markets and methods of distribution during the past three (3) fiscal years;
  - (b) the competitive conditions concerning the industry or industries relating to, and the competitive position in such industry or industries of, Applicant's products, any other principal goods produced or services rendered, or classes of products, other goods or services, including the particular markets and the number and identification of competitors during the past three (3) fiscal years;
  - (c) if a material part of Applicant's business is dependent upon a single customer or a few customers, for each such customer:
    - (1) its name, business address, and telephone number; and
    - (2) its relationship with and its importance to Applicant's business.
  - (d) if backlog is a factor affecting Applicant's business operations:

- (1) the dollar amount of backlog orders believed to be firm as of a date during the current fiscal year and as of comparable dates during the preceding two (2) fiscal years;
  - (2) the portion of current backlog orders not reasonably expected to be filled within the current fiscal year; and
  - (3) the seasonal or other material aspects of the backlog.
- (e) the sources and availability of raw materials essential to Applicant's business;
  - (f) the duration, importance, effect and holders of all patents, trademarks, copyrights, licenses, franchises and concessions which are material to Applicant's business;
  - (g) the circumstances surrounding and results of any bankruptcy, receivership or similar proceedings affecting Applicant's business;
  - (h) the circumstances surrounding and the results of any material reorganization, merger, consolidation, readjustment or succession of Applicant's business;
  - (i) the acquisition or disposition of any material amount of assets other than in the ordinary course of Applicant's business during the past three (3) fiscal years;
  - (j) any material changes in the mode of conducting Applicant's business during the past three (3) fiscal years;
  - (k) a summary of warranties in effect on Applicant's products, including claims relating to such warranties; and
  - (l) a summary of all litigation relating to Applicant's products.
36. Submit a list identifying by name, address and telephone number all distributors, sales representatives or other Individuals or Business Entities which formally or informally distribute, market or represent any good produced or service rendered by Applicant.
  37. Submit a statement confirming that Applicant is fully registered and licensed in accordance with all laws necessary to enable Applicant to provide its products. Submit certified copies of all certificates, registrations and licenses.
  38. Submit a detailed statement describing the methodology to be used to insure that the entire workforce to be employed by Applicant in connection with the providing of its products will be in accord with the requirements of all pertinent federal and Illinois equal employment opportunity laws.
  39. Describe in detail, any and all Responsible Gaming tools and products applicant intends to offer to Illinois licensees.

### CONTRACTS

40. (a) Has the Applicant entered into any written contracts, written agreements or any oral agreements with an Illinois Gaming Board Applicant or Licensee to supply products or services?  Yes  No If yes, provide details and complete the following for each Applicant or Licensee:

Name of Applicant/Licensee:		Assumed or D/B/A Name:	
Licensed by IGB		License Number/Type:	Date License Issued:
<input type="checkbox"/> Yes <input type="checkbox"/> No			
Address:		City/State/Zip:	
Description of equipment, systems and other product(s):			
Contact Name:		Title:	
Email Address:		Phone Number:	

Submit as Exhibit 40(a) a copy of any contract, if applicable. If the Applicant has had oral discussions to enter into any contract, provide complete details.

- (b) If the Applicant is applying for a Tier 2 Official League Data Provider license, has the Applicant entered into any written contracts, written agreements, or any oral agreements, with a Sports Governing Body or a sports league organization, or association, to distribute Tier 2 official league data?  Yes  No If yes, provide details and complete the following:

Name of Sports Governing Body, sports league, organization, or association		Assumed or D/B/A Name:	
Address:		City/State/Zip:	
Contact Name:		Title:	
Email Address:		Phone Number:	

Submit as Exhibit 40(b) a copy of any contract, if applicable. If the Applicant has had oral discussions to enter into any contract, provide complete details.

**ILLINOIS GAMBLING ACT & SPORTS WAGERING ACT  
 SUPPLIER LICENSE/TIER 2 OFFICIAL LEAGUE DATA PROVIDER  
 LICENSE APPLICATION  
 SCHEDULE OF EXHIBITS**

This Schedule relates to the Illinois Gambling Act & Sports Wagering Act Supplier License/Tier 2 Official League Data Provider License Application of:

\_\_\_\_\_

Complete Name of Applicant

If an Exhibit is not applicable, indicate "N.A.".

Exhibit Number	Person who made or directed preparation of Exhibit (state which)	Official Title
1		
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**APPLICANT'S REQUEST TO RELEASE INFORMATION**

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

FROM: \_\_\_\_\_

(Applicant's Name)

1. Applicant hereby authorizes and requests all persons or entities to which this request is presented having information relating to or concerning Applicant to furnish such information to a duly appointed agent of the Illinois Gaming Board, whether or not such information would otherwise be protected from disclosure by any constitutional, statutory or other legal privilege.
2. Applicant hereby authorizes and requests all persons or entities to which this request is presented having documents relating to or concerning Applicant to permit a duly appointed agent of the Illinois Gaming Board to review and copy any such documents, whether or not such documents would otherwise be protected from disclosure by any constitutional, statutory or other legal privilege.
3. If the person or entity to whom this request is presented is a brokerage firm, bank, savings and loan, or other financial institution or an officer of same, Applicant hereby authorizes and requests that a duly appointed agent of the Illinois Gaming Board be permitted to review and obtain copies of any and all documents, records or correspondence pertaining to Applicant, including but not limited to past loan information, notes co-signed by Applicant, checking account records, savings deposit records, safe deposit box records, passbook records, and general ledger folio sheets.
4. Applicant hereby makes, constitutes, and appoints any duly appointed agent of the Illinois Gaming Board Applicant's true and lawful attorney in fact for Applicant in Applicant's name, place, stead, and on Applicant's behalf and for Applicant's use and benefit:
  - (a) to request, review, copy, sign for, or otherwise act for investigative purposes with respect to documents and information in the possession of the person or entity to whom this request is presented as Applicant might;
  - (b) to name the person or entity to whom this request is presented and insert that person's or entity's name in the appropriate location on this request;
  - (c) to place the name of the Illinois Gaming Board agent presenting this request in the appropriate location on this request.
5. Applicant grants to said attorney in fact full power and authority to do, take, and perform all and every act and thing whatsoever requisite, proper, or necessary to be done, in the exercise of any of the rights and powers herein granted, as fully to all intents and purposes as Applicant might or could do, with full power of substitution or revocation, hereby ratifying and confirming all that said attorney in fact, or his substitute or substitutes, shall lawfully do or cause to be done by virtue of this power of attorney and the rights and powers herein granted.
6. This power of attorney ends eighteen (18) months from the date of execution or at the termination of all licenses issued to Applicant by the Illinois Gaming Board, whichever occurs later.



- 7. Applicant has filed with the Illinois Gaming Board an "Application." Applicant understands that Applicant is seeking the granting of a privilege and acknowledges that the burden of proving Applicant's qualifications for a favorable determination is at all times on Applicant. Applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action of financial loss, which may result from action with respect to this Application.
- 8. Applicant does, for itself, its heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the person or entity to whom this request is presented, and his or its agents and employees from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims, and demands whatsoever, known or unknown, in law or equity, which Applicant ever had, now has, may have, or claim to have against the person or entity to whom this request is presented or his or its agents or employees arising out of or by reason of complying with this request.
- 9. Applicant agrees to indemnify and hold harmless the person or entity to whom this request is presented and his or its agents and employees from and against all claims, damages, losses, and expenses, including reasonable attorneys' fees arising out of or by reason of complying with this request.
- 10. A reproduction of this request by photocopy shall be for all intents and purposes as valid as the original.

IN WITNESS WHEREOF, I have executed this request at \_\_\_\_\_, City

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

Applicant: \_\_\_\_\_

By: \_\_\_\_\_ (Print Name)

\_\_\_\_\_  
(Signature)

Its: \_\_\_\_\_ (Title)

Signature of Illinois Gaming Board Agent presenting this request:

\_\_\_\_\_

Date: \_\_\_\_\_

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the

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

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

**RELEASE OF ALL CLAIMS**

The undersigned has filed with the Illinois Gaming Board ("Board") certain forms and documents in connection with a written request for licensing by the Board ("Application"). In consideration of the assurance by the Board that no vote on said Application will be taken except after a deliberate, intensive and thorough investigation of the undersigned, including but not limited to background, associates, and finances, the undersigned does for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the State of Illinois, the Board, its members, agents, and employees, from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims and demands whatsoever, known or unknown, in law or equity, which the undersigned ever had, now has, may have, or claim to have against any or all of said entities or individuals arising out of or by reason of the processing or investigation of or other action relating to the Application.

I, the duly authorized \_\_\_\_\_ of the undersigned,  
(Office)

have read this affidavit and understand its terms. On behalf of and in accordance with the instructions of the undersigned, I execute it with full knowledge that the undersigned will be bound hereby.

IN WITNESS WHEREOF, I have executed this release at \_\_\_\_\_,  
City

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

Applicant: \_\_\_\_\_

By: \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

Its: \_\_\_\_\_  
(Title)

\_\_\_\_\_  
Notary Public

Notary Public in and for the

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

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

**AFFIDAVIT OF FULL DISCLOSURE**

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

I, \_\_\_\_\_, being the duly authorized  
(Officer)  
\_\_\_\_\_ of \_\_\_\_\_, being  
(Office) (Name of Applicant)

first duly sworn upon oath or affirmation, depose and state:

that, except as reported in Applicant's Application ("Application"), Applicant has no agreements or understandings with any person or entity and no present intent to hold as agent, nominee or otherwise any interest in the Application;

that, except as reported in the Application, Applicant has no agreements or understandings with any person or entity and no present intent to pay any sums of money or give anything of value as, including but without limitation, a finder's fee or commission to any person or entity related to the acquisition of any interest in the Application;

that, except as reported in the Application, Applicant has no agreements or understandings and no present intent to pay any sums of money or give anything of value as, including but without limitation, a finder's fee or commission to any person or entity related to the sale of any interest in the Application;

that any funds used or to be used, and any liabilities incurred or to be incurred by Applicant in the acquisition of any interest in the Application were not provided to Applicant or made available to Applicant through the efforts of any person or entity not reported in the Application;

that, except as reported in the Application, no person or entity has provided collateral for or guaranteed payment of any loans made to Applicant which relate to the Application.

I, the duly authorized \_\_\_\_\_ of the undersigned,  
(Office)

have read this Affidavit of Full Disclosure and understand its terms. On behalf of and in accordance with the instructions of the undersigned, I execute it with full knowledge that the undersigned will be bound hereby.

SUBSCRIBED and SWORN to before me this

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the

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

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

Applicant: \_\_\_\_\_  
(Applicant)

By: \_\_\_\_\_  
(Print Name)

Signature: \_\_\_\_\_

Its: \_\_\_\_\_  
(Title)

**VERIFICATION**

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

I, \_\_\_\_\_, being the duly authorized  
(Officer)  
\_\_\_\_\_ of \_\_\_\_\_, being  
(Office) (Name of Applicant)

first duly sworn upon oath or affirmation depose and state:

1. On behalf of Applicant I submit this Application.
2. I swear (or affirm) and certify that the information contained in this Application is true, complete and accurate to the best of my knowledge and belief.

Applicant: \_\_\_\_\_

By: \_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Signature)

Its: \_\_\_\_\_  
(Title)

SUBSCRIBED and SWORN to before me this  
\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

Notary Public in and for the

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

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

**IMPORTANT – To Prevent Delays in Processing  
Please Read and Follow These Instructions:  
Instructions for 4506-T Request for Transcript of Tax Return**

Tax transcripts of your business tax return are required for the previous five years by the Illinois Gaming Board in order to complete your Application.

Complete Form 4506-T Request for Transcript of Tax Return and fax the form to the IRS. This form is available from the IRS at <http://www.irs.gov/pub/irs-pdf/f4506t.pdf>. Please follow the following instructions when completing the form:

- **Parts 1a & 1b:** Enter Entity Name listed on Business Tax Return and FEIN.
- **Parts 2a and 2b:** Fill in Part 2a and 2b if any of the requested tax years include a joint filer.
- **Part 3:** Enter Entity's Current Address.
- **Part 4:** Complete this section if any of the requested tax years were filed using a different address.
- **Part 6:** Enter the tax form number (income tax 1120, 1120S, or 1065); (unemployment tax 940); and (payroll tax quarterly 941s). A separate 4506-T is required for each type of form.
  - **Part 6b:** The Illinois Gaming Board requires Account Transcripts for Forms 1120, 1041, 940, and 941. Check box 6b.
  - **Part 6c:** The Illinois Gaming Board requires Record of Account Transcripts for Form 1065. Check box 6c.
- **Part 9:** Enter the ending date of the last four years in mm/dd/yyyy format for the income tax and unemployment tax and each quarter ending for the four quarters for 941s. Note, for the 941 transcripts a separate 4506-T form will need to be prepared for each of the four years requested with each of the quarters listed for the corresponding year.
- **SIGN and DATE the Form** – Note: Must be signed by the 'Responsible Party' as listed on the SS-4 Application Form or by the subsequent individual designated per Form 8822-B.

Any amendments or changes to the form which have been crossed-out will need to be initialed and dated.

Once you receive your tax transcripts, please mail or fax the transcripts to:

Illinois Gaming Board  
Attn: Financial Analysis Unit  
801 South Seventh St. Suite 400 – South  
Springfield, IL 62703  
Fax: 217-524-0228