

HOLLYWOOD CASINO JOLIET

Responses to Section 5.1(a)

Of The

Riverboat Gambling Act

**2014**

**SECTION 5.1(a)(1-12)**

The following are the responses of Hollywood Casino Joliet to Section 5.1(a) (1-12) of the Riverboat Gambling Act:

1. The name, business address and business telephone number of the licensee:
  - A. Name: *HC Joliet, LLC*
  - B. Business address: *777 Hollywood Blvd., Joliet, Illinois 60436*
  - C. Business telephone number: *(815) 744-9400*
  
2. The identification of the state of incorporation, the corporate officers and the identity of all shareholders of the licensee:
  - A. State of Incorporation: *Illinois*
  - B. Corporate officers:  
  
*Peter M. Carlino - Chairman, Board of Directors*  
*Timothy Wilmott - President, Chief Executive Officer*  
*Wayne Smith - V.P./General Manager*
  - C. Identity of all shareholders:  
  
*Penn National Gaming, Inc.*
  
3. The identification of any business, including, if applicable, the state of incorporation or registration, in which the licensee has an equity interest of more than 5%.  
  
*None.*
  
4. Whether the licensee has been indicted, convicted, pleaded guilty or nolo contendere or forfeited bail concerning any criminal offense under the laws of any jurisdiction, either felony or misdemeanor (except for traffic violations), including the date, the name and location of the court, arresting agency and prosecuting agency, the case number, the offense, the disposition and the location and length of incarceration.  
  
*None.*
  
5. Whether the licensee has had any license or certificate issued by a licensing authority in Illinois or any other jurisdiction denied, restricted, suspended, revoked or not renewed and a statement describing the facts and circumstances

**SECTION 5.1(a)(1-12)**

concerning the denial, restriction, suspension, revocation or non-renewal, including the licensing authority, the date each such action was taken, and the reason for each such action.

*None.*

6. Whether the licensee has ever filed or had filed against it a proceeding in bankruptcy or has ever been involved in any formal process to adjust, defer, suspend or otherwise work out the payment of any debt including the date of filing, the name and location of the court, the case and number of the disposition.

*None.*

7. Whether the licensee has filed, or been served with a complaint or other notice filed with any public body, regarding the delinquency in the payment of, or a dispute over the filings concerning the payment of, any tax required under federal, State or local law, including the amount, type of tax, the taxing agency and time periods involved.

*On August 30, 2010 the Licensee received notice from the Internal Revenue Service assessing a penalty of \$13,250 relating to the filing of forms 1099 and W2-G for tax period ending December 31, 2008. On October 11, 2010, the Licensee disputed the fine. As of March 17, 2014 we have not received a final determination from the Internal Revenue Service.*

*On September 3, 2012, the Licensee received notice from the Internal Revenue Service assessing a proposed penalty in the amount of \$33,800 related to the filing of forms 1099 and W2-G for tax period ending December 31, 2010. The Licensee disputed the fine on October 18, 2012. On April 18, 2013 we received a final determination from the Internal Revenue Service, and the penalty was abated.*

*On August 26, 2013, the Licensee received notice from the Internal Revenue Service assessing a proposed penalty in the amount of \$12,700 related to the filing of forms 1099 and W2-G for tax period ending December 31, 2011. The Licensee disputed the fine on October 10, 2013. As of March 17, 2014, we have not received a final determination from the Internal Revenue Service.*

*See the responses to **question 18** of HC Joliet, LLC Annual Owner's License Disclosure Affidavits (2010 through 2013) for a description of any delinquencies or disputes for the period since our last filing of an Application for Renewal of Owner's License (2010).*

**SECTION 5.1(a)(1-12)**

8. A statement listing the names and titles of all public officials or officers of any unit of government, and relatives of said public officials or officers who, directly or indirectly, own any financial interest in, have any beneficial interest in, are the creditors of or hold any debt instrument issued by, or hold or have any interest in any contractual or service relationship with, the licensee.

*To the best of LICENSEE's knowledge, no public officials or officers or employees of any unit of government, or relatives of said public officials, officers or employees, directly or indirectly, own any financial interest in, have any beneficial interest in, are the creditors of or hold any debt instrument issued by, or hold or have any interest in any contractual or service relationship with LICENSEE, any of its key persons, or any individual or business entity having an interest in the operation.*

*To the extent that any said public officials, officers or employees or their relatives would have a financial interest in Penn National Gaming Company and not disclose this fact to Penn National, Penn National would not be aware of this interest, unless such person qualified as a Key Person under the definition of the Act.*

9. Whether the licensee has made, directly or indirectly, any political contribution, or any loans, donations or other payments, to any candidate or office holder, within 5 years from the date of filing the application, including the amount and the method of payment:

*See attached Exhibit 9.*

10. The name and business telephone number of the counsel representing the licensee in matters before the Board:

*Cezar Froelich  
Shefsky & Froelich  
111 East Wacker, Suite 2800  
Chicago, IL 60601  
312-836-4002*

11. A description of the approved riverboat gaming operation, including (a) the type of boat, (b) home dock location, (c) expected economic benefit to the community, (d) anticipated or actual number of employees, (e) any statement from the licensee regarding compliance with federal and State affirmative action guidelines, (f) projected or actual admissions and (g) projected or actual adjusted gross gaming receipts:

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- (a) *The riverboat gaming operation is located on a permanently moored barge of three levels that is approximately 340 feet long and 106 feet wide.*
  - (b) *Licensee has its home dock in Joliet, Illinois.*
  - (c) *In 2013, the Licensee paid \$7,802,456 in gaming revenue to the City of Joliet which was used for city operations. In addition, the Licensee spent \$4,256,349 with local vendors for capital improvements, goods, and services. Licensee contributed over \$254,000 in cash and in-kind donations to local charities and non-profit organizations. In 2013 Hollywood Casino contributed \$70,000 to the Joliet/Will County Center for Economic Development (CED). The CED acts as the main contact point, facilitator and information clearinghouse for any business looking to locate in the Joliet/Will county area. The CED actively markets the region to generate business leads and attract development dollars into the area. Hollywood's funding commitment to the CED is one of its single largest funding sources.*
  - (d) *Licensee has approximately 664 employees.*
  - (e) *Licensee is in compliance with federal and State affirmative action guidelines.*
  - (f) *Licensee had 1,237,432 patron admissions in 2013.*
  - (g) *Licensee adjusted gross gaming receipts gaming (gaming revenue) totaled \$131,302,477 in 2013.*
12. A description of the product or service to be supplied by an applicant for a supplier's license.

*Not applicable.*

**SECTION 5.1(a)(1-12**

**Exhibit 9**

**Political Contributions**

**2009 through 2013**

## EXHIBIT 5.1(a)-9d

**Empress Casino Joliet Corporation  
2009 Political Contributions**

Date	Candidate / Organization	Amount of Contribution
2Q-09	Friends of Joann Thompson	\$ 2,500.00
4Q-09	Sen. John Cullerton	\$ 3,333.30
4Q-09	Rep. Tom Cross	\$ 2,666.64
4Q-09	Sen. Christine Radagno	\$ 2,666.64
4Q-09	Sen. Linda Holmes	\$ 1,666.65
4Q-09	Sen. James DeLeo	\$ 1,666.65
4Q-09	Sen. Bill Haine	\$ 1,666.65
4Q-09	Rep. Linda Chapa LaVia	\$ 1,666.65
4Q-09	Rep. Lou Lang	\$ 333.33
4Q-09	Sen. A. J. Wilhelmi	\$ 1,666.65
4Q-09	Rep. Skip Saviano	\$ 1,333.32
4Q-09	Democratic Party of IL	\$ 833.33
4Q-09	House Republican Organization	\$ 833.33
4Q-09	Illinois Senate Democratic Fund	\$ 833.33
4Q-09	Republican State Senate Campaign Committee	\$ 833.33
4Q-09	Rep. Daniel Beiser	\$ 333.33
4Q-09	Sen. James Clayborne	\$ 333.33
4Q-09	Rep. Edward Acevedo	\$ 166.67
4Q-09	Rep. Daniel Burke	\$ 166.67
4Q-09	Sen. Kirk Dillard	\$ 166.67
4Q-09	Sen. John Millner	\$ 333.33
4Q-09	Sen. Tony Munoz	\$ 333.33
4Q-09	Rep. Timothy Schmitz	\$ 333.33
4Q-09	Rep. Mark Beaubien	\$ 166.67
4Q-09	Sen. Michael Bond	\$ 166.67
4Q-09	Sen. Kwame Raoul	\$ 333.33
4Q-09	Sen. Gary Forby	\$ 166.67
4Q-09	Rep. Jay Hoffman	\$ 333.33
4Q-09	Rep. Kevin McCarthy	\$ 333.33
4Q-09	Rep. Brandon Phelps	\$ 333.33
4Q-09	Rep. Dan Reitz	\$ 333.33
4Q-09	Rep. Jim Durkin	\$ 333.33
4Q-09	Rep. Mike McAuliffe	\$ 333.33
4Q-09	Rep. Renee Kosel	\$ 333.33
4Q-09	Rep. Dennis Reboletti	\$ 333.33
4Q-09	Sen. Don Harmon	\$ 333.33
4Q-09	Rep. Emily McCassey	\$ 333.33
4Q-09	Sen. Dale Risinger	\$ 333.33
4Q-09	Rep. Jim Watson	\$ 166.67
4Q-09	Rep. Chapin Rose	\$ 166.67
4Q-09	Rep. Frank Mautino	\$ 166.67
4Q-09	Sen. Terry Link	\$ 333.33
4Q-09	Friends of Mike Madigan	\$ 3,333.30
		<b>\$ 35,333.01</b>

## 2011 OWNER LICENSEE DISCLOSURE AFFIDAVIT - HOLLYWOOD CASINO JOLIET

## EXHIBIT 5.1(a)-9e

**Empress Casino Joliet Corporation  
2010 Political Contributions**

<u>Date</u>	<u>State</u>	<u>Candidate or Committee Name</u>	<u>Amount of Contribution</u>
1Q10	IL	Committee to Elect Darlene Senger	\$ 166.67
2Q10	IL	Friends of AJ Wilhelmi	\$ 250.00
2Q10	IL	Friends of AJ Wilhelmi	\$ 1,666.67
3Q10	IL	Citizens for Linda Holmes	\$ 1,666.67
3Q10	IL	Senator John Cullerton	\$ 3,333.33
3Q10	IL	Representative Tom Cross	\$ 2,666.67
3Q10	IL	Senator Christine Rodongo	\$ 2,666.67
3Q10	IL	Senator Bill Haine	\$ 1,666.67
3Q10	IL	Representative Linda Chapa La Via	\$ 1,666.67
3Q10	IL	Representative Lou Lang	\$ 333.33
3Q10	IL	Senator Dave Syverson	\$ 666.67
3Q10	IL	Representative Skip Saviano	\$ 1,333.33
3Q10	IL	Democratic Party of IL	\$ 833.33
3Q10	IL	House Republican Organization	\$ 833.33
3Q10	IL	Illinois Senate Democratic Victory Fund	\$ 833.33
3Q10	IL	Republican State Senate Campaign Committee	\$ 833.33
3Q10	IL	Representative Daniel Beiser	\$ 333.33
3Q10	IL	Senator James Clayborne	\$ 666.67
3Q10	IL	Representative Edward Acevedo	\$ 166.67
3Q10	IL	Representative Daniel Burke	\$ 333.33
3Q10	IL	Senator Kirk Dillard	\$ 166.67
3Q10	IL	Representative Kay Hatcher	\$ 166.67
3Q10	IL	Senator John Millner	\$ 333.33
3Q10	IL	Senator Tony Munoz	\$ 333.33
3Q10	IL	Representative Timothy Schmitz	\$ 333.33
3Q10	IL	Representative Darlene Senger	\$ 166.67
3Q10	IL	Representative Mark Beaubien	\$ 166.67
3Q10	IL	Senator Michael Bond	\$ 166.67
3Q10	IL	Senator Kwame Raoul	\$ 333.33
3Q10	IL	Senator Gary Forby	\$ 166.67
3Q10	IL	Representative Jay Hoffman	\$ 333.33
3Q10	IL	Representative Kevin McCarthy	\$ 333.33
3Q10	IL	Representative Brandon Phelps	\$ 333.33
3Q10	IL	Representative Dan Reitz	\$ 333.33
3Q10	IL	Representative Jim Durkin	\$ 333.33
3Q10	IL	Representative Mike McAuliffe	\$ 166.67
3Q10	IL	Representative Renee Kosel	\$ 666.67
3Q10	IL	Representative Dennis Reboletti	\$ 333.33
3Q10	IL	Senator Don Harmon	\$ 333.33
3Q10	IL	Senator Dale Risinger	\$ 333.33
3Q10	IL	Representative Jim Watson	\$ 166.67
3Q10	IL	Representative Mike Connelly	\$ 166.67
3Q10	IL	Representative Frank Mautino	\$ 166.67
3Q10	IL	Senator Terry Link	\$ 333.33

2011 OWNER LICENSEE DISCLOSURE AFFIDAVIT - HOLLYWOOD CASINO JOLIET

3Q10	IL	Representative Randy Ramey	\$	166.67
3Q10	IL	Friends of Mike Madigan	\$	3,333.33
3Q10	IL	Representative Ed Sullivan	\$	166.67
				<hr/>
				\$33,250

*Cut from corporate, reimbursed by the three IL properties via intercompany allocation*

## EXHIBIT 12.1

2011 Local Political Contributions<sup>1</sup>

State	Name	Amount
IL	Friends of Michael Madigan	3,334.00
IL	Senator John Cullerton	1,666.00
IL	Citizens to Elect Tom Cross	1,666.00
IL	Citizens for Christine Rodongo	1,666.00
IL	Citizens for Linda Holmes	1,666.00
IL	Friends of AJ Wilhelmi	1,666.00
IL	Friends of Linda Chapa L	1,666.00
IL	Democratic Party of Illinois	1,666.00
IL	Illinois Senate Democrat	1,666.00
IL	Friends of Saviano	1,334.00
IL	Republican State Senate	1,166.00
IL	Friends of Clayborne	1,166.00
IL	Citizens for Kirk Dillard	1,000.00
IL	Friends of Bill Haine	834.00
IL	House Republican Organization	834.00
IL	REP. MIKE CONNELLY	834.00
IL	Citizens to Elect Ron Sa	834.00
IL	Dan Kotowski for State	833.33
IL	Citizens for Noland	666.67
IL	Friends for Renee Kosel	666.00
IL	Committee to Elect Dan Beiser	334.00
IL	REP. KAY HATCHER	334.00
IL	Citizens for Tony Munoz	334.00
IL	Friends of Tim Schmitz	334.00
IL	Friends of Kwame Raoul	334.00
IL	Brandon Phelps for State	334.00
IL	Citizens for Jim Durkin	334.00
IL	Citizens for Michael P.	334.00
IL	Citizens for Dennis M. Reboletti	334.00
IL	Friends of Don Harmon	334.00
IL	Representative Randy Ram	334.00
IL	FRIENDS OF KELLY BURKE	334.00
IL	FRIENDS OF CAMILLE Y. LI	334.00
IL	CITIZENS TO ELECT ANDRE	334.00
IL	Brophy for Joliet	250.00
IL	Citizens for Lou Lang	166.00
IL	Syverson for Senate	166.00
IL	Citizens for Edward Acevedo	166.00
IL	Committee to Elect Darle	166.00
IL	Gary Forby Campaign Fund	166.00
IL	GARY FORBY- voided	(166.00)
IL	Citizens for Jim Watson	166.00
IL	Citizens for Sullivan	166.00
IL	Committee for Frank Maut	166.00
IL	Citizens for Beiser	166.00
		<u>33,084.00</u>

<sup>1</sup> Includes contributions made on behalf of Hollywood Casino Joliet by Penn National Gaming, Inc. Does not include contributions made in other jurisdictions. Please refer to the Annual Business Entity Disclosure Affidavit filed by Penn National Gaming, Inc., licensee's ultimate parent.

**Empress Casino Joliet Corporation  
2012 Political Contributions**

**Exhibit 5.1(a) - 9 Political Contributions**

<b>State</b>	<b>Candidate or Committee Name</b>	<b>Amount of Contribution</b>
IL	Friends of Joann Thompson	\$ 2,500.00
IL	Committee to Elect Don Fisher	\$ 100.00

**Note:** All other political contributions are paid directly by Penn National Gaming, Inc., the Licensee's ultimate parent and are disclosed in the 2013 Annual Business Entity Disclosure Affidavit filed by Penn National Gaming, Inc.

2013 OWNER LICENSEE DISCLOSURE AFFIDAVIT - EMPRESS CASINO JOLIET CORPORATION

**Penn National Gaming, Inc.**  
**2012 Local Political Contributions<sup>1</sup>**  
**Exhibit 5.1(a) - 9 Political Contributions**

State	Name	Amount
IL	Friends of Michael Madigigan	\$ 3,333.34
IL	Friends of Joann Thompson	\$ 2,500.00
IL	Citizens for Christine Rondongo	\$ 1,666.66
IL	Citizens for Linda Holmes	\$ 1,666.66
IL	Citizens to Elect Tom Cross	\$ 1,666.66
IL	Democratic Party of Illinois	\$ 1,666.66
IL	Friends of Linda Chapa	\$ 1,666.66
IL	Illinois Senate Democrat	\$ 1,666.66
IL	McGuire for Senate	\$ 1,666.66
IL	Republican State Senate	\$ 1,666.66
IL	Senator John Cullerton	\$ 1,666.66
IL	Friends of Saviano	\$ 1,333.34
IL	Citizens for Kirk Dillar	\$ 833.34
IL	Dan Kotowski for State	\$ 833.34
IL	House Republican Organization	\$ 833.34
IL	Rep Mike Kwily	\$ 833.34
IL	Citizens for Noland	\$ 833.34
IL	Friends for Renee Kosel	\$ 666.66
IL	Friends of Bill Haine	\$ 666.66
IL	Friends of Sue Rezin	\$ 666.66
IL	Brandon Phelps for State	\$ 333.34
IL	Citizens for Dennis M. Reboletti	\$ 333.34
IL	Citizens for Jim Durkin	\$ 333.34
IL	Citezens for Karen McCon	\$ 333.34
IL	Citizens for Michael P.	\$ 333.34
IL	Citizens for Tony Munoz	\$ 333.34
IL	Citizens to elect Andre	\$ 333.34
IL	Citizens to Elect Ron Sa	\$ 333.34
IL	Committee to Elect Dan Beiser	\$ 333.34
IL	Friends of Camille Y. Li	\$ 333.34
IL	Friends of Don Harmon	\$ 333.34
IL	Friends of Jim Oberweis	\$ 333.34
IL	Friends of Kelly Burke	\$ 333.34
IL	Friends of Kwame Raoul	\$ 333.34
IL	Friends of Tim Schmitz	\$ 333.34
IL	Gary Forby Campaign Fund	\$ 333.34
IL	Rep Kay Hatcher	\$ 333.34
IL	Citizens for Beiser	\$ 166.66
IL	Citizens for Edward Acev	\$ 166.66
IL	Citizens for Fred Crespo	\$ 166.66
IL	Citizens for Jim Watson	\$ 166.66
IL	Citizens for Lou Lang	\$ 166.66
IL	Committee for Frank Maut	\$ 166.66
IL	Committee to Elect Darle	\$ 166.66
IL	Friends for Pam Roth	\$ 166.66
IL	Syverson for Senate	\$ 166.66
IL	Friends of Clayborne	\$ (1,166.00)
		\$ 34,334.02

**HC Joliet, LLC**  
**Political Contributions**  
**2013**

<u>Name</u>	<u>Amount</u>
Brandon Phelps for State IL PO	\$ 333
Citizens for Christine R IL PO	\$ 333
Citizens for Dale A Righ IL PO	\$ 333
CITIZENS FOR DARIN LAHOO IL PO	\$ 333
Citizens for Dennis M. R IL PO	\$ 333
CITIZENS FOR FRED CRESPO IL PO	\$ 333
Citizens for Jim Durkin IL POL	\$ 333
CITIZENS FOR KAREN McCON IL PO	\$ 1,667
Citizens for Kirk Dillar IL PO	\$ 333
Citizens for Linda Holme IL PO	\$ 1,667
Citizens for Noland IL POLITIC	\$ 333
Citizens for Pamela Alth IL PO	\$ 333
Citizens for Rep. Bob Pr IL PO	\$ 333
CITIZENS TO ELECT ANDRE' IL PO	\$ 333
Citizens to Elect Ron Sa IL PO	\$ 333
Committee to Elect Dan B IL PO	\$ 333
Committee to Elect Darle IL PO	\$ 333
COMMITTEE TO ELECT DAVID IL PO	\$ 333
Committee to Elect Jenni IL PO	\$ 1,667
COMMITTEE TO ELECT JENNIFER	\$ 800
COMMITTEE TO ELECT K. ANDERSON	\$ 150
COMMITTEE TO ELECT MCFARLAND	\$ 100
COMMITTEE-ELECT TOM GIARRANTE	\$ 280
Democratic Party of IL IL POLI	\$ 1,667
FRIENDS FOR LARRY WALSH IL POL	\$ 1,667
Friends for Marty Moylan IL PO	\$ 333
FRIENDS FOR MULROE IL POLITICA	\$ 333
Friends for Renee Kosel IL POL	\$ 333
Friends for Verschoore IL POLI	\$ 333
FRIENDS OF ANDY MANAR IL POLIT	\$ 333
FRIENDS OF ARTHUR TURNER IL PO	\$ 333
Friends of Clayborne IL POLITI	\$ 333
Friends of Don Harmon IL POLIT	\$ 333
FRIENDS OF ELGIE SIMS JR IL PO	\$ 333
FRIENDS OF JERRY COSTELL IL PO	\$ 333
FRIENDS OF JIM OBERWEIS IL POL	\$ 1,667
FRIENDS OF JOHN SULLIVAN IL PO	\$ 333
Friends of Linda Chapa L IL PO	\$ 1,667
FRIENDS OF MELINDA BUSH IL POL	\$ 333
Friends of Mike Jacobs IL POLI	\$ 333
FRIENDS OF NATALIE MANLE IL PO	\$ 1,667
FRIENDS OF STEPHANIE KIF IL PO	\$ 1,667
FRIENDS OF SUE REZIN IL POLITI	\$ 333
Friends of Tim Schmitz IL POLI	\$ 333
FRIENDS OF TOM CULLERTON IL PO	\$ 333
House Republican Organiz IL PO	\$ 1,667
Illinois Senate Democrat IL PO	\$ 1,667
McGUIRE FOR SENATE IL POLITICA	\$ 1,667
REP. MIKE CONNELLY IL POLITICA	\$ 333
Republican State Senate IL POL	\$ 1,667
Senator John Cullerton IL POLI	\$ 333
	<u>\$ 34,330</u>