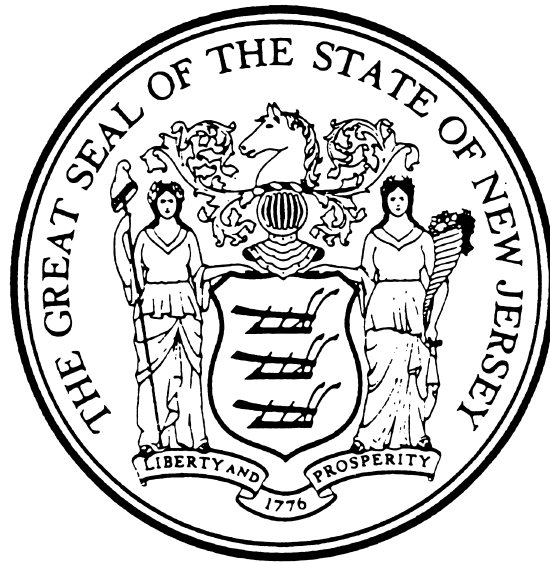


**STATE OF NEW JERSEY**  
**Division of Gaming Enforcement**



**BUSINESS ENTITY DISCLOSURE FORM**  
**Casino Service Industry Enterprise License**

# BUSINESS ENTITY DISCLOSURE FORM-

## Casino Service Industry Enterprise Form

NAME OF ENTERPRISE AND DATES OF USE\* (DO NOT ABBREVIATE)

\*Name as it appears on the Certificate of Incorporation, charter, by-laws, partnership agreement, formation documents or other official document.

D/B/A or Trade Name(s)

**PERSON TO BE CONTACTED IN REFERENCE TO THESE FORMS:**

Name and Title

Home Telephone Number with Area Code

Daytime OR Work Telephone Number with Extension and Area Code

Cell Number with Area Code

E-Mail Address

Fax Number (if available)

**PRINCIPAL BUSINESS ADDRESS OF THE ENTERPRISE:**

STREET LOCATION

Number/Street

City

State

Zip Code

MAILING ADDRESS, if different (P.O. Box, City, State, Zip Code)

COUNTRY

TELEPHONE

Area Code

Number

Fax Number (if available)

WEBSITE (URL)

**ADDRESS FROM WHICH THE ENTERPRISE IS OR WILL BE CONDUCTING ANY BUSINESS, AS PART OF AN AGREEMENT WITH A CASINO HOTEL:**

STREET LOCATION

Number/Street

City

State

Zip Code

COUNTRY

TELEPHONE

Area Code

Number

Fax Number (if available)

Check the appropriate box:

- This is an initial application for a Casino Service Industry Enterprise License.
- This is an application to retain a Casino Service Industry Enterprise License.
- If this is an application for retention of a Casino Service Industry Enterprise License, provide the license number and date of the last submission filed: \_\_\_\_\_.
- This form is submitted because the enterprise has been identified as a holding company or principal stockholder of: \_\_\_\_\_.

**Note:** If the enterprise noted above is not an applicant for a Casino Service Industry Enterprise License, please identify the enterprise which is the applicant and for which this form is being prepared as part of that application.

FOR STATE OF NEW JERSEY USE ONLY				
VRF #	LOG #	FILED DATE	NOB CODE(S)	FOR RESUBMISSIONS-TIME PERIOD

**BUSINESS ENTITY DISCLOSURE FORM-  
Casino Service Industry Enterprise Form**

**IMPORTANT**

**A complete copy of the entire Casino Service Industry Enterprise License application, including all attachments, must be submitted with the original. The application will be deemed incomplete and not processed if a copy is not included.**

**Note:** For purposes of this application, “enterprise” shall be defined to include any corporation, association, operation, firm, partnership, trust, or other form of business association, as well as any sole proprietor or natural person.

**ITEM 1      OTHER NAMES AND ADDRESSES OF THE ENTERPRISE**

A. List all other names under which the enterprise has done business and give approximate time periods during which such names were being used:

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B. State all other addresses presently held by the enterprise and all addresses from which the enterprise is presently doing business:

NUMBER AND STREET	CITY	STATE	ZIP CODE

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 1B.

C. State all addresses, other than those listed above, which the enterprise held or from which it was conducting business, during the last 10-year period, and give the approximate time periods during which such addresses were held:

NUMBER AND STREET	CITY	STATE	ZIP CODE	DATES	
				FROM	TO

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 1C.

ITEM 2            DESCRIPTION OF ENTERPRISE

A.     Specify the business form of this enterprise (that is, corporation, partnership, trust, joint venture, sole proprietorship, or otherwise):

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B.     Please submit a copy of the Certificate of Incorporation and all amendments, charter, by-laws, partnership agreement, trust agreement, or other basic documentation of the enterprise, if any. This document must be labeled as ITEM 2B.

C.     If the enterprise is a publicly-traded corporation, please indicate below on what exchange its stock is traded and under what symbol.

D.     Provide below your enterprise's Federal Employer Identification Number (FID#):

FID #    \_\_\_ \_\_\_ - \_\_\_ \_\_\_ \_\_\_ \_\_\_ \_\_\_ \_\_\_

Check box if applied for

E.     If the enterprise completing this form is applying for the issuance of a Casino Service Industry Enterprise License, provide a copy of the business registration certificate or other valid business registration issued to it by the Division of Revenue in the New Jersey Department of Treasury. This document must be labeled as ITEM 2E.

If the enterprise completing this form is NOT itself applying for a Casino Service Industry Enterprise License and is filing as a holding company or principal stockholder of another enterprise that is filing a license application, please indicate "Does Not Apply" on this form.

ITEM 3            DESCRIPTION OF PRESENT BUSINESS

As an attachment labeled ITEM 3, describe the business presently conducted and the business intended to be conducted by the enterprise and its parent, holding, subsidiary and intermediary companies, and the general development of such business during the past five years, or such shorter period as the corporation or its parent, subsidiary and intermediary companies may have been engaged in business. The description shall include information on matters such as the following:

A.     Competitive conditions in the industry or industries involved and the competitive position of the enterprise, if known.

B.     The principal products produced and services rendered by the enterprise and its parent, intermediary and subsidiary companies, the principal markets for said products or services, and the methods of distribution.

C.     The sources and availability of raw materials essential to the business of the enterprise.

- D. The importance to the business and the duration and effect of, all material patents, trademarks, licenses, franchises, and concessions held.
- E. This description must contain a detailed account of the goods or services being provided or to be provided, to the casino industry. If your enterprise is conducting or intends to conduct both gaming-related and non-gaming-related business, differentiate between the gaming-related goods or services and the non-gaming goods or services.

ITEM 4            DESCRIPTION OF FORMER BUSINESS

As an attachment labeled ITEM 4, describe any former business, not listed in response to ITEM 3, which the enterprise or any parent, intermediary or subsidiary company engaged in during the last 10-year period, and the reasons for the cessation of such business. Also indicate the approximate time period during which each such business was conducted.

ITEM 5            STOCK DESCRIPTION (CORPORATION)

Describe the nature, type, terms, conditions, rights and privileges of all classes of voting, non-voting and other stock issued, or to be issued, by the corporation, including the number of shares of each class of stock authorized or to be authorized, and the number of shares of each class of stock outstanding (i.e., not held by or on behalf of the issuer), as of this date.

If the right of holders of any class of stock may be modified otherwise than by a vote of a majority or more of the outstanding shares so affected, voting as a class, so state and explain briefly:

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ITEM 6            NON-VOTING SHAREHOLDERS

Furnish the information called for in the table below, as to each person or entity holder of record or having a beneficial interest in any non-voting stock issued by the corporation:

NAME AND ADDRESS	DATE OF BIRTH	CLASS OF NON-VOTING STOCK HELD <sup>1</sup>	NUMBER OF SHARES HELD	% OF OUTSTANDING VOTING STOCK

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 6.

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<sup>1</sup> This information must be provided as of a date no more than 60 days prior to the date of this application.

ITEM 7            QUALIFIERS

Please indicate all persons or entities in your enterprise that correspond to the sub-items listed below. If any of the sub-items (A) through (I) do not apply, please indicate "Does Not Apply" directly on this form.

**NOTE: IF YOU ARE APPLYING FOR A CASINO SERVICE INDUSTRY ENTERPRISE LICENSE, A MULTI-JURISDICTIONAL PERSONAL HISTORY DISCLOSURE FORM AND GAMING ENTERPRISE NEW JERSEY SUPPLEMENTAL FORM MUST BE COMPLETED BY EVERY NATURAL PERSON NOTED IN ITEM A. THROUGH I. BELOW.**

- A. All persons who will act as sales representatives or otherwise regularly engage in the solicitation of business from a casino licensee or applicant.
- B. If your company is a junket enterprise, each person who indirectly holds any beneficial or ownership interest of 10% or more of that enterprise, and each junket representative who will deal directly with casino licensee or applicant or their employees. A junket representative is defined as any person who negotiates the terms of, or engages in the referral, procurement or selection of persons who may participate in any junket to a licensed casino, regardless of whether or not those activities occur within the State of New Jersey. (*N.J.S.A. 5:12-29.2.*)
- C. All persons who have signed or will sign any agreement with a casino licensee or applicant.
- D. The management employee supervising the regional or local office which employs the sales or junket representative(s) described in either sub-section A. or B.
- E. All officers of the enterprise.
- F. All inside directors or trustees of the enterprise.
- G. All partners, whether general, limited or otherwise.
- H. The sole proprietor, if the enterprise is a sole proprietorship.
- I. If the enterprise is applying for a Casino Service Industry Enterprise License, each natural person or business entity that **directly or indirectly** holds any beneficial or ownership interest of five percent or more of the enterprise. If the enterprise is or is to become a subsidiary, each holding company and intermediary company of the enterprise must complete a Business Entity Disclosure Form-CSI.

For every person or entity noted in ITEM 7 A. through I. on the previous page, please provide the information requested in the following tabular form:

NAME	DATE OF BIRTH	HOME ADDRESS	TITLE, POSITION OR ASSOCIATION WITH THE ENTERPRISE	% OF OWNERSHIP <sup>2</sup>

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 7A., B., etc.

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<sup>2</sup> Include number of shares held and class of stock, if applicable.



ITEM 8 OUTLINE OF OWNERSHIP

If ITEM 7 notes **any enterprise** as holding any stock, holding a partnership interest or holding any other ownership interest in the applicant, as an attachment labeled ITEM 8, prepare a flowchart which illustrates the fully-diluted ownership of the applicant. List all parent, holding or intermediary companies until the flowchart reflects the stock, partnership or ownership interest as being held by a natural person(s) and not another enterprise(s). If the ultimate parent company is publicly traded and no natural person controls 5% or more of the publicly-traded stock, indicate that in a footnote to the flowchart.

ITEM 9 FORMER OFFICERS AND DIRECTORS

Furnish the information called for below for each person, not listed in response to ITEM 7, who held a position as an officer or director of the enterprise during the last 10 years:

NAME	DATE OF BIRTH	LAST KNOWN ADDRESS	POSITION AND DATES HELD	REASON FOR LEAVING

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 9.

ITEM 10      COMPENSATION OF OFFICERS AND DIRECTORS OR PARTNERS

List the total annual compensation received during the last calendar year and the amount to be received during the calendar year subsequent thereto by each director, trustee, officer and/or partner of the enterprise, whether such compensation is in the form of salary, wages, commissions, fees, stock options, bonuses or otherwise:

NAME	POSITIONS HELD WITH THE ENTERPRISE	AMOUNT OF COMPENSATION

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 10.

ITEM 11      COMPENSATION OVER \$300,000

Furnish the information called for below as to each person, other than those listed in response to ITEM 7, who currently receives, or who reasonably can be expected to receive from the enterprise, within one calendar year from the date of this form, compensation as described in ITEM 10, exceeding \$300,000 per annum:

NAME	DATE OF BIRTH	HOME ADDRESS	POSITION AND LENGTH OF TIME EMPLOYED WITH THE ENTERPRISE	AMOUNT OF COMPENSATION

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 11.

ITEM 12 BONUS, PROFIT SHARING, RETIREMENT, DEFERRED COMPENSATION, & SIMILAR PLANS

As an attachment labeled ITEM 12, describe all bonus, profit sharing, pension, retirement, deferred compensation, and similar plans in existence, or to be created by the enterprise, which description shall include but not be limited to:

- A. The title of the plan;
- B. The identity and address of the trustee of the plan or the person administering such plan;
- C. The material features of the plan;
- D. The methods of financing the plan;
- E. The identity of each class of person who is or will participate in the plan;
- F. The approximate number of persons in each such class; and
- G. The amount distributed under the plan to each class of persons during the last fiscal year, if the plan was in effect during that time period.

ITEM 13 INTEREST OF PARTNERS (PARTNERSHIP)

Describe the interest held by each partner, whether general or limited, in the partnership:

- A. Amount of initial investment, whether in the form of cash, negotiable instruments, property, or otherwise;

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- B. Amount of any additional contributions made to the partnership;

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- C. Amount and nature of any anticipated future investments;

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- D. Degree of control of each partner over the activities of the partnership;

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- E. Percentage of ownership of each partner; and

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- F. Method of distributing profits to each partner.

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ITEM 14      DESCRIPTION OF LONG-TERM DEBT

Describe the nature, type, terms, covenants, and priorities of all outstanding bonds, loans, mortgages, trust deeds, notes, debentures, or other forms of indebtedness issued or executed (including loans made by shareholders), or to be issued or executed by the enterprise, which mature more than one year from the date of issuance or which, by their terms, are renewable for a period of more than one year from the date of issuance:

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ITEM 15      HOLDERS OF LONG-TERM DEBT

Furnish the information called for in the table below as to each person or entity holding any outstanding bonds, loans, mortgages, trust deeds, notes, debentures, or other forms of indebtedness executed or issued by the enterprise, which mature more than one year from the date of issuance or which, by their terms, are renewable for a period of more than one year from the date of issuance:

NAME AND ADDRESS	DATE OF BIRTH	TYPE AND CLASS OF DEBT INSTRUMENT HELD	DOLLAR AMOUNT OF DEBT HELD (Both Original Amount and Current Balance)

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 15.

ITEM 16      OTHER INDEBTEDNESS AND SECURITY DEVICES

Describe the nature, type, terms, conditions, and covenants of all outstanding loans, mortgages, trust deeds, pledges, lines of credit, or other evidence of indebtedness or security devices utilized by the enterprise, other than those described in response to ITEMS 14 or 15:

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ITEM 17      HOLDERS OF INDEBTEDNESS

Furnish the information called for in the table below with respect to each holder of any outstanding loan, mortgage, trust deed, pledge or other evidence of indebtedness or security device described in response to ITEM 16:

NAME AND ADDRESS	DATE OF BIRTH	TYPE OF DEBT INSTRUMENT HELD	DOLLAR AMOUNT OF DEBT HELD (Both Original Amount and Current Balance)

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 17.

ITEM 18      SECURITIES OPTIONS<sup>3</sup> (CORPORATION)

Describe in detail any options existing or to be created with respect to securities issued by the corporation, which description shall include, but not be limited to, the title and amount of securities subject to option, the year or years during which the options were or will be granted, the conditions under which the options were or will be granted, the consideration for granting the option and the year or years during, and the terms under which optionees became or will become entitled to exercise the options and when such options expire:

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ITEM 18A

Identify all persons holding the options described in Item 18 and include the market value of the option at the time of issuance:

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<sup>3</sup> For the purpose of this application, option shall mean right, warrant, or option to subscribe to or purchase any securities issued by the corporation.

ITEM 19      FINANCIAL INSTITUTIONS

Furnish the information called for in the table below with respect to each bank, savings and loan association or other financial institution, whether domestic or foreign, in which the enterprise has or has had an account over the last 10-year period, regardless of whether such account was held in the name of the enterprise, a nominee of the enterprise or was otherwise under the direct or indirect control of the enterprise:

NAME AND ADDRESS	TYPE OF ACCOUNT(S)	ACCOUNT NUMBER(S)	TIME PERIOD ACCOUNT HELD	
			FROM	TO

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 19.

ITEM 20      CONTRACTS AND SUPPLIERS

Furnish the information called for in the table below with respect to the top 10 dollar value contracts or agreements with individuals during the past year:

NAME	ADDRESS	NATURE OF CONTRACT OR GOODS OR SERVICES SUPPLIED

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 20.



ITEM 21 STOCK HELD BY ENTERPRISE

Furnish the information called for in the table below with respect to each company in which the enterprise holds stock:

NAME AND ADDRESS OF COMPANY	TYPE OF STOCK HELD	PURCHASE PRICE PER SHARE	NUMBER OF SHARES HELD	PERCENTAGE OF 5% OR MORE OF THE OWNERSHIP

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 21.

ITEM 22 INSIDER TRANSACTIONS (CORPORATION)

Furnish the information called for by the table below of each change within the last five years preceding this application in the beneficial ownership of the equity securities of the corporation on the part of any person who is indirectly or directly a beneficial owner of more than 10 percent of any class of an equity security of the corporation or who is or was within that period a director or officer of the corporation (include changes resulting from (a) gift; (b) purchase; (c) sale; (d) exercise of an option to purchase; (e) exercise of an option to sell; (f) grant or receipt of a put; or (g) grant or receipt of a call).:

DATE OF TRANSACTION	NATURE OF TRANSACTION	PARTIES TO TRANSACTION (INCLUDE POSITIONS)	NUMBER OF SECURITIES INVOLVED

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 22.

ITEM 23 CRIMINAL HISTORY

The next question asks about any charges or offenses the enterprise may have committed. Prior to answering this question, carefully review the definitions and instructions which follow.

DEFINITIONS: For purposes of this question:

- A. "Charge" includes any indictment, complaint, information, summons, or other notice of the alleged commission of any "offense."
- B. "Offense" includes all felonies, crimes, high misdemeanors, disorderly persons offenses, and petty disorderly offense.

DEFINITIONS:

- A. Answer "yes" and provide all information to the best of your ability, EVEN IF:
  - 1. The enterprise did not commit the offense charge;
  - 2. The charges were dismissed;
  - 3. The enterprise was not convicted; or
  - 4. The charges or offenses happened a long time ago.
- B. Answer "no" if the records relating to the charges have been expunged or sealed by court order.

Has the enterprise, or any of its subsidiaries, ever been indicted, charged with or convicted of a criminal or disorderly persons offense, or been a party to or named as an unindicted co-conspirator in any criminal proceeding in this State or any other jurisdiction?

Yes  No

If Yes, complete the chart below:

NAME OF CASE AND DOCKET NUMBER	NATURE OF CHARGE OR COMPLAINT	DATE OF CHARGE OR COMPLAINT	NAME AND ADDRESS OF LAW ENFORCEMENT AGENCY OR COURT INVOLVED	DISPOSITION (ACQUITTED, CONVICTED, DISMISSED, ETC.)	SENTENCE

Note: Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 23.

ITEM 24      ANTITRUST, TRADE REGULATION AND SECURITIES AGREEMENTS; STATUTORY AND REGULATORY VIOLATIONS

A.      Has the enterprise ever had a judgment, order, consent decree, or consent order, pertaining to a violation, or alleged violation, of the federal antitrust, trade regulation or securities laws or similar laws of any state, province or country entered against it?

Yes       No

B.      In the past 10 years, has the enterprise had a judgment, order, consent decree, or consent order pertaining to a violation, or alleged violation, of any state or federal statute, regulation or code that resulted in a penalty or fine of \$50,000 or more entered against it?

Yes       No

If YES to either question, provide the following information for each judgment, order, consent decree, or consent order:

DATE OF OFFENSE	NATURE OF OFFENSE	TITLE OF CASE AND DOCKET NUMBER	NAME AND ADDRESS OF COURT OR AGENCY	NATURE OF JUDGMENT, DECREE OR ORDER	DATE ENTERED

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 24.

ITEM 25 INSOLVENCY PROCEEDINGS AND APPOINTED RECEIVER, AGENT OR TRUSTEE

A. Has the enterprise, its parent or any intermediary company, had any petition under any provision of the Federal Bankruptcy Act or under any state insolvency law filed by or against it in the last 10-year period?

Yes  No

B. Has the enterprise, its parent or any intermediary company, sought relief under any provision of the Federal Bankruptcy Act or under any state insolvency law in the last 10-year period?

Yes  No

C. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer, been appointed, in the last 10-year period, by a court for the business or property of the enterprise or its parent, holding, intermediary or subsidiary companies?

Yes  No

If the response to Item 25C is in the affirmative, complete the chart below:

NAME OF PERSON APPOINTED	DATE APPOINTED	COURT	REASON

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 25.

ITEM 26 EXISTING LITIGATION

As an attachment labeled ITEM 26, describe all existing civil litigation at equity and law to which the enterprise, or any subsidiary, is presently a part, whether in this state or in another jurisdiction. Do not include any case for monetary damages in litigation in which the damages may not reasonably be expected to exceed \$100,000, or litigation in which damages may be expected to exceed \$100,000, but which involve claims against the enterprise which are fully and completely covered under an insurance carrier. This description shall include the title and docket number of the litigation, the name and location of the court before which it is pending, the identity of all parties to the litigation, and the general nature of all claims being made.

ITEM 27 LICENSES

A. During the last 10-year period, has the enterprise ever had any license or certificate issued by a government agency, in this state or any other jurisdiction, denied, suspended or revoked?

Yes  No

If the response to Item 27A is in the affirmative, complete the chart below:

TYPE OF LICENSE OR CERTIFICATE	NAME AND LOCATION OF GOVERNMENTAL AGENCY	ACTION TAKEN	DATE	REASON

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 27A.

B. Has the enterprise ever applied, in this State or any other jurisdiction, for a license, permit or other authorization, to participate in lawful gambling operations (including casino gaming, horse racing, dog racing, pari-mutuel operation, lottery, sports betting, etc.)?

Yes  No

If the response to Item 27B is in the affirmative, complete the chart below:

NAME AND ADDRESS OF LICENSING AGENCY	DATE OF APPLICATION	DISPOSITON (GRANTED, DENIED, PENDING)	TYPE OF GAMBLING ACTIVITY	IF ISSUED, GIVE APPROPRIATE NUMBER AND EXPIRATION DATE

**Note:** Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 27B.

CONTRIBUTIONS AND DISBURSEMENTS OF ENTERPRISE

- A. During the last 10-year period, has the enterprise, any director, officer, partner, or employee or any third party acting for or on behalf of the enterprise, made any bribes or kickbacks to any employee, company or organization, to obtain favorable treatment?  
 Yes  No
- B. During the last 10-year period, has the enterprise, any director, officer, partner, or employee or any third party acting for or on behalf of the enterprise, made any bribes or kickbacks to any government official, domestic or foreign, to obtain favorable treatment?  
 Yes  No
- C. During the last 10-year period, have enterprise funds been donated or loaned for the purpose of or for the use or benefit of, or in opposing or supporting any government, political party, candidate or committee, either domestic or foreign?  
 Yes  No
- D. During the last 10-year period, has enterprise property been donated or loaned for the purpose of opposing or supporting any government, political party, candidate or committee, either domestic or foreign?  
 Yes  No
- E. During the last 10-year period, did the enterprise make any loans, donations or other disbursements to directors, officers, partners, or employees, for the purpose of reimbursing such individuals for political contributions, either domestic or foreign?  
 Yes  No
- F. During the last 10-year period, has the enterprise reimbursed any loans, donations or other disbursements to directors, officers, partners, or employees, for the purpose of reimbursing such individuals for political contributions, either domestic or foreign?  
 Yes  No
- G. During the last 10-year period, has the enterprise maintained any bank account, domestic or foreign, not reflected on the enterprise's books or records?  
 Yes  No
- H. During the last 10-year period, has the enterprise maintained any numbered account or any account in the name of a nominee for the corporation?  
 Yes  No
- I. List the names and addresses of any present or former directors, officers, partners, or employees or third parties, who would have knowledge or information concerning the questions affirmatively answered under this item:

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ITEM 29      FINANCIAL STATEMENTS

- A.      Attach as an Appendix to this form, an audited financial statement which shall include, but not be limited to, an income statement, balance sheet, statement of sources, and application of funds, and all notes to such statements and related schedules, for the last fiscal year.
- B.      Attach as an Appendix to this form, copies of all annual financial statements, whether audited or unaudited, prepared in the last five years, with respect to the enterprise and any exceptions taken to such statements by any management response thereto.
- C.      If the enterprise does not normally have its financial statement audited, attach as an Appendix to this form, all unaudited financial statements prepared in the last five years with respect to the enterprise. (If the enterprise has neither audited nor unaudited financial statements prepared, please note same below this paragraph).

ITEM 30      ANNUAL REPORTS

- A.      Attach as an Appendix to this form, a copy of all annual reports of the enterprise that were submitted to shareholders, partners, or other persons during the last five years.
- B.      In addition to the information required in Paragraph A., a corporation that is a registrant under the Securities Act of 1933, or the Securities Exchange Act of 1934, shall submit a copy of all annual reports prepared on Form 10K and filed within the last five years.

ITEM 31      INTERIM REPORTS

Submit as an Appendix to this form, a copy of all reports prepared due to the occurrence of any of the following events: change in control of the enterprise, acquisition or disposition of assets, bankruptcy or receivership proceedings, changes in the enterprise's certifying accountant, or other material events. If a corporation is a registrant with the SEC, it may submit a copy of the most recent Form 8K filed with the SEC in response to this item.

ITEM 32      PROXY AND INFORMATION STATEMENT (CORPORATION)

Submit as an Appendix to this form, a copy of the last definitive Proxy or Information Statement filed pursuant to Section 14 of the Securities Exchange Act of 1934.

ITEM 33      REGISTRATION STATEMENTS

Submit as an Appendix to this form, a copy of all Registration Statements filed, in the last five years, pursuant to the Securities Act of 1933.

ITEM 34      ORGANIZATIONAL CHART

Provide as an Appendix hereto, an organizational chart of the enterprise which includes position descriptions and the names of persons holding such positions.

ITEM 35      TAX RETURNS

Provide as an Appendix to this form, a copy of all 1120 Forms (U.S. Corporate Income Tax Return), or all 1065 Forms (U.S. Partnership Return), or 1040 Forms (personal tax returns), for the last five years. Be sure to include all schedules and attachments for these returns.

ITEM 36      AFFIDAVITS AND SIGNATURES

Pursuant to the regulations of the Division, *N.J.A.C. 13:69A-7.10*, this form must be sworn to or affirmed, signed and dated before a person legally competent to take an oath or affirmation, who shall himself date the signature of the affiant and indicate the basis of his authority to take oaths and affirmations.

Each of the following persons must complete an affidavit attesting to the truth of the information in this form:

- A.      If the enterprise is a corporation, the president or any officer so authorized to affirm;
- B.      If the enterprise is a partnership, each of the partners; if a limited partnership, only by each of the general partners;
- C.      If the enterprise is any other business form, organization or association, the president or any officer so authorized to affirm; and
- D.      If the enterprise is a sole proprietorship, the natural person who is the proprietor.

Each requested affidavit must be identical to the model that appears on the next page of this form.



**AFFIDAVIT**

STATE OF \_\_\_\_\_:

SS:

COUNTY OF \_\_\_\_\_:

I, \_\_\_\_\_, hereby acknowledge that I am aware that the Division of  
(Name)  
Gaming Enforcement (Division) may deny a license to any applicant which supplies information to the  
Division which is untrue or misleading as to a material fact pertaining to the qualification criteria.

Further I, \_\_\_\_\_, hereby swear (or affirm) that the foregoing  
(Name)  
statements made by me on behalf of \_\_\_\_\_  
(Name of Enterprise)  
are true. I am aware that if any of the foregoing statements made by me are willfully false, I am subject  
to punishment.

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

\_\_\_\_\_  
(Type, Stamp or Print Name)

\_\_\_\_\_  
(Title or Position)

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

\_\_\_\_\_  
(Notary Public)

\_\_\_\_\_  
(Attorney Preparing Form, if any)

ITEM 37      RELEASE AUTHORIZATION; NOTICE

Pursuant to the *N.J.A.C. 13:69A-5.15(b)2*, each enterprise must have the attached "Release Authorization" properly signed, dated and notarized. The attached "Notice" must also be acknowledged by a proper signature and date.

Each document must be signed by the following person:

- A.      If the enterprise is a corporation, the president or any officer so authorized to execute such a document and bind the corporation;
- B.      If the enterprise is a partnership, a partner;
- C.      If the enterprise is a limited partnership, a general partner;
- D.      If the enterprise is any other business form, organization, or association, the president or any officer so authorized to execute such a document and bind the enterprise; and
- E.      If the enterprise is a sole proprietorship, the natural person who is the proprietor.

**RELEASE AUTHORIZATION**

TO: All Courts, Probation Departments, Selective Service Boards, Employers, Educational Institutions, Banks, Credit Agencies, Financial and Other Such Institutions and All Governmental Agencies – Federal, State and Local, without exception, both foreign and domestic.

On behalf of \_\_\_\_\_,  
(Name of Enterprise)

I, \_\_\_\_\_, have authorized the New Jersey Division of  
(Name of President, Officer, Partner, or Sole Proprietor)

Gaming Enforcement to conduct a full investigation into the background of said business entity.

Therefore, you are hereby authorized to release any and all information pertaining to the said enterprise, documentary or otherwise, as requested by any employee or agent of the Division of Gaming Enforcement, provided that he or she certifies to you that said enterprise has an application pending before the Division of Gaming Enforcement or that said enterprise is presently a licensee or registrant required to be qualified under the provisions of the Casino Control Act.

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

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

**NOTICE**  
**The Division, in connection with its investigation of this submission, will conduct checks with law enforcement / fingerprint agencies and credit agencies.**

\_\_\_\_\_  
(Date)

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

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

\_\_\_\_\_  
(Notary Public)

NOTICE

1. Information supplied to the Division of Gaming Enforcement or the Casino Control Commission (Commission), or otherwise obtained by either of them, is confidential and shall not be revealed, except in the course of the necessary administration of the Casino Control Act (Act), or upon the lawful order of a court of competent jurisdiction, or with the approval of the Attorney General, to a duly-authorized law enforcement agency, pursuant to Section 74.1 of the Casino Control Act. Nevertheless, an applicant or licensee waives any liability of the State of New Jersey and its instrumentalities and agents, for any damages resulting from any disclosure or publication, in any manner, other than a willfully unlawful disclosure or publication, pursuant to Section 80b of the Casino Control Act.
2. An applicant for, or holder of, a license or registration under the Casino Control Act, is subject to inspections, searches and seizures, as authorized by the Act and by the regulations of the Division. More specifically, Section 79a(6) of the Act, *N.J.S.A. 5:12-79*, empowers the Division of Gaming Enforcement to conduct searches, administrative inspections and, with the approval of the director, to "inspect the person, and personal effects present in a casino facility licensed under this act, of any holder of a license or registration, issued pursuant to this act while that person is present in a licensed casino facility."
3. The filing fee, which must accompany the submission of a Casino Service Industry Enterprise License application, is not refundable once the application is accepted for filing. *N.J.A.C. 13:69A-9.19(b)* states in pertinent part, "...amounts actually paid by an applicant or licensee in accordance with the Act and this subchapter shall not be refundable."
4. No Casino Service Industry Enterprise License shall be issued to any person unless that person shall provide proof of valid business registration with the Division of Revenue in the Department of Treasury. A licensed casino service contractor under contract with a casino applicant or licensee, may not enter into any subcontract unless the subcontractor first provides the licensed contractor with proof of the subcontractor's business registration. The licensed casino service contractor is responsible for forwarding proof of the subcontractor's business registration to the Department of Treasury's Division of Taxation.

Effective September 1, 2001, businesses that register with the Division of Revenue are issued a business registration certificate. This certificate will serve as proof of valid business registration for the purposes of Casino Service Industry Enterprise licensure.

If the prospective applicant for issuance of a Casino Service Industry License has not registered with the Division of Revenue as required by New Jersey law, it can do so by utilizing the Division of Revenue's online registration service at:

<http://www.state.nj.us/treasury/revenue/gettingregistered.shtml>

by calling the Registration Hotline at (609) 292-1730 to obtain a registration form, or by downloading a paper registration form from the Internet at:

<http://www.state.nj.us/treasury/revenue/revprnt.shtml>

Once the prospective license applicant has registered with the Division of Revenue, that agency will send the prospective license applicant a business registration schedule.

Receipt of Notice Acknowledged on Behalf of: \_\_\_\_\_

\_\_\_\_\_  
(Date)

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

\_\_\_\_\_  
(Type, Stamp or Print Name)

\_\_\_\_\_  
(Title or Position)