Kansas Racing and Gaming Commission
700 SW Harrison, Suite 500
Topeka, KS 66603-3754
(785) 296-5800

BUSINESS ENTITY DISCLOSURE FORM

Applicants must submit an original and three copies of all forms and attachments to the Kansas Racing and Gaming Commission. All information on the enclosed forms shall be typed or printed legibly in **black ink,** except initials and signatures. The applicant must use **blue ink** when signing, dating or initialing any page of the application. All forms must be properly signed and notarized. No applicant shall provide false information on any application form or to any commission staff.

Application Type (check the appropriate boxes):

☐ This is an initial application for:
- ☐ a lottery facility manager certification
- ☐ a racetrack facility manager certification
- ☐ a gaming supplier certification
- ☐ a non-gaming supplier certification

☐ This is a renewal application for:
- ☐ a lottery facility manager certification
- ☐ a racetrack facility manager certification
- ☐ a gaming supplier certification
- ☐ a non-gaming supplier certification

Expiration date of current certification: _____ Current certification number:_____

☐ This form is submitted because this enterprise has been identified as a holding company or principal stockholder of _____

If the enterprise noted above is not an applicant for a gaming supplier license or non-gaming supplier license, please identify the enterprise that is the applicant and for which this form is being prepared as part of that application.

SECTION 1: ENTERPRISE INFORMATION

Please provide the following information about the enterprise.

Name of enterprise. Do not abbreviate. List the name as it appears on the certificate of incorporation, charter, by-laws, partnership agreement or other documents.

_____
NAME

D/B/A or any trade names:

_____
NAMES

_____
NAMES

_____
NAMES

SECTION 1: ENTERPRISE INFORMATION (CONTINUED)

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

NAME	FROM	TO

Contact Person. Person to be contacted in reference to these forms:

NAME _____ TITLE _____

PHONE _____ FAX NO. (IF AVAILABLE) _____ EMAIL _____

Addresses. The principal address of the enterprise:

STREET LOCATION (NUMBER/STREET) _____ CITY _____ STATE _____ ZIP _____

COUNTRY _____ PHONE _____ FAX NO. (IF AVAILABLE) _____

Mailing address, if different:

PO BOX or LOCATION (NUMBER/STREET) _____ CITY _____ STATE _____ ZIP _____

The address from which the enterprise will be conducting business:

STREET LOCATION (NUMBER/STREET) _____ CITY _____ STATE _____ ZIP _____

PHONE _____ FAX NO. (IF AVAILABLE) _____ EMAIL _____

SECTION 1: ENTERPRISE INFORMATION (CONTINUED)

All Other Addresses. State all other addresses that were not disclosed above but are presently held by the enterprise from which the enterprise is presently doing business. Should you require additional space, complete ***Supplement for Section 1A*** and use as many copies as necessary.

STREET LOCATION (NUMBER/STREET)	CITY	STATE	ZIP
STREET LOCATION	CITY	STATE	ZIP
STREET LOCATION	CITY	STATE	ZIP
STREET LOCATION	CITY	STATE	ZIP
STREET LOCATION	CITY	STATE	ZIP
STREET LOCATION	CITY	STATE	ZIP

Former Addresses. State all addresses, other than those listed above, that the enterprise held or from which it was conducting business during the last ten years, and give the approximate time periods during which such addresses were held. Should you require additional space, complete ***Supplement for Section 1B*** and use as many copies as necessary.

STREET LOCATION	CITY	STATE	ZIP	FROM	TO
STREET LOCATION	CITY	STATE	ZIP	FROM	TO
STREET LOCATION	CITY	STATE	ZIP	FROM	TO
STREET LOCATION	CITY	STATE	ZIP	FROM	TO
STREET LOCATION	CITY	STATE	ZIP	FROM	TO
STREET LOCATION	CITY	STATE	ZIP	FROM	TO

SECTION 2: DESCRIPTION OF ENTERPRISE

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

_____

B. Attach 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 ***Supplement for Section 2B***.

C. If the enterprise is a publicly traded corporation, indicate the exchange it is traded on and the stock symbol:

_____ _____

EXCHANGE STOCK SYMBOL

D. Provide your enterprise's Federal Employer Identification Number (FEIN#).

_____

FEIN #

☐ Check this box if the enterprise has applied for but not received a FEIN#.

E. Provide Social Security Number (SSN#) for sole proprietor, if applicable.

_____

SSN #

F. List all disciplinary actions commenced and sanctions imposed on the enterprise. Include the name of the jurisdiction and licensing entity that imposed the action or sanction. Should you require additional space, complete ***Supplement for Section 2F*** and use as many copies as necessary.

DISCIPLINARY ACTION

_____ _____

ACTION DATE

_____

SANCTIONS IMPOSED

_____ _____

JURISDICTION LICENSING ENTITY

DISCIPLINARY ACTION

_____ _____

ACTION DATE

_____

SANCTIONS IMPOSED

_____ _____

JURISDICTION LICENSING ENTITY

SECTION 2: DESCRIPTION OF ENTERPRISE (CONTINUED)

G. List all affiliated racing or gaming enterprises on ***Supplement of Section 2G***. Include the name and address of the affiliate, the location of the racing or gaming enterprise, the name of the jurisdiction the affiliate is licensed by, and all disciplinary actions commenced and sanctions imposed on the affiliate enterprise. Should you require additional space, make as many copies of the supplement as necessary

SECTION 3: DESCRIPTION OF PRESENT BUSINESS

On ***Supplement for Section 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. In answering, describe the following:

A. Competitive conditions in the industry or industries involved and the relative position of the enterprise to its competitors.

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 enterprise and the duration and effect of all material patents, trademarks, licenses, franchises, and concessions held.

E. If the enterprise is conducting or intends to conduct both gaming related and non-gaming related business, separately list and describe the gaming related goods or services and the non-gaming related goods or services.

SECTION 4: DESCRIPTION OF FORMER BUSINESS

On ***Supplement for Section 4*** describe any former business, not listed in response to Section 3, that the enterprise or any parent, intermediary or subsidiary company engaged in during the last ten year period and the reasons for the cessation of such business. Also indicate the approximate time period during which each such business was conducted.

A. Internet wagering. On ***Supplement for Section 4A*** list and describe any internet wagering associated with the enterprise, any parent, intermediary, subsidiary or affiliated company. Also indicate the approximate time period during which wagers were conducted. Include a description of any court action, civil or criminal, administrative proceedings, or any jurisdictional agreements in existence, past or present, for each such company in any jurisdiction.

SECTION 5: STOCK DESCRIPTION FOR CORPORATIONS

Describe below 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, provide an explanation.

_____

SECTION 6: SHAREHOLDERS

Identify each person or entity having at least a 0.5% interest in any stock issued by the corporation. Should you require additional space, complete ***Supplement for Section 6*** and use as many copies as necessary. **This information must be provided as of a date no more than sixty (60) days prior to the date of this application.**

SHAREHOLDER

NAME _____ DATE OF BIRTH _____

ADDRESS _____ CITY _____ STATE _____ ZIP _____

CLASS OF NON-VOTING STOCK _____ NUMBER OF SHARES HELD _____ % OF OUT STANDING STOCK _____

SHAREHOLDER

NAME _____ DATE OF BIRTH _____

ADDRESS _____ CITY _____ STATE _____ ZIP _____

CLASS OF NON-VOTING STOCK _____ NUMBER OF SHARES HELD _____ % OF OUT STANDING STOCK _____

SHAREHOLDER

NAME _____ DATE OF BIRTH _____

ADDRESS _____ CITY _____ STATE _____ ZIP _____

CLASS OF NON-VOTING STOCK _____ NUMBER OF SHARES HELD _____ % OF OUT STANDING STOCK _____

SHAREHOLDER

NAME _____ DATE OF BIRTH _____

ADDRESS _____ CITY _____ STATE _____ ZIP _____

CLASS OF NON-VOTING STOCK _____ NUMBER OF SHARES HELD _____ % OF OUT STANDING STOCK _____

SECTION 7: KEY PERSONNEL

On the following table, identify all persons or entities in your enterprise that correspond to the sub-items listed below. If any of the sub-items (A) through (J) do not apply, please indicate "Does Not Apply" directly on this form. Should you require additional space, complete ***Supplement for Section 7*** and use as many copies as necessary.

A Business Entity Disclosure (Forms Packet 550) or Level I Personal Disclosure Form (Forms Packet 551), whichever is more appropriate, must be completed by every person or entity listed in sub-items (A) through (I). All persons listed in sub-item (J) will initially be required to complete a Level III Personal Disclosure Form (Forms Packet 553). All forms are available on the Commission website at www.ksracing.org.

A. All persons who will act as the primary or sole sales representative or otherwise regularly engage in the solicitation of business from a racetrack facility manager or lottery facility manager.

B. If your company is a junket enterprise, each junket representative who will deal directly with a racetrack facility manager or lottery facility manager 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.

C. All persons who have signed or will sign any agreement with a racetrack facility manager or lottery facility manager.

D. The management employee supervising the regional or local office that employs the sales or junket representative(s) described in either sub-section A or B.

E. All officers of the enterprise.

F. All 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. Each person or entity that directly or indirectly holds any ownership interest of 5% or more of the enterprise.

J. Each person or entity owning at least 0.5% but less than 5% of an interest in the enterprise.

Name	Date of Birth	Home Address	Title, Position or Association With The Enterprise	Percent of Ownership

SECTION 7: KEY PERSONNEL (CONTINUED)

Name	Date of Birth	Home Address	Title, Position or Association With The Enterprise	Percent of Ownership

Should you require additional space, complete *Supplement for Section 7* and use as many copies as necessary.
***Include number of shares held and class of stock, if applicable.*

SECTION 8: OUTLINE OF OWNERSHIP

If **Section 7** identifies any enterprise that holds any interest in the applicant, prepare a flowchart that illustrates the interest in 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 and not another enterprise. If the parent company is publicly traded and no natural person controls 5% or more of the publicly traded stock, indicate that in the flowchart. This document must be labeled as ***Supplement for Section 8***.

SECTION 9: FORMER OFFICERS AND DIRECTORS

Furnish the information called for below for each person, not listed in response to **Section 7**, who held a position as an officer or director of the enterprise during the last ten years. Should you require additional space, complete ***Supplement for Section 9*** and use as many copies as necessary.

Name	Date of Birth	Last Known Address	Position and Dates Held	Reason for Leaving

SECTION 10: COMPENSATION OF OFFICERS, DIRECTORS, PARTNERS OR PROPRIETORS

List the total annual income 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 income is in the form of salary, wages, commissions, fees, stock options, bonuses or other things of value. Should you require additional space, complete ***Supplement for Section 10*** and use as many copies as necessary.

Name	Positions Held With The Enterprise	Amount of Income

SECTION 11: BONUS, PROFIT SHARING, RETIREMENT, DEFERRED COMPENSATION & SIMILAR PLANS

On ***Supplement for Section 11***, describe all bonus, profit sharing, pension, retirement, deferred compensation and similar plans in existence or to be created by the enterprise. In answering, describe the following:

A. The title or name 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.

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.

SECTION 12: 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.

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

C. Amount and nature of any anticipated future investments.

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

E. Percentage of ownership of each partner.

F. Method of distributing profits to each partner.

G. Withdrawals of investments/capital.

SECTION 13: DESCRIPTION OF LONG TERM DEBT

Describe the nature, type, terms (including any collateralization), 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, that 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.

SECTION 14: 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, that 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. Should you require additional space, complete ***Supplement for Section 14*** and use as many copies as necessary.

Name	Address	Date of Birth	Type and Class of Debt Instrument Held	Original Dollar Amount of Debt Held	Current Dollar Amount of Debt Held

SECTION 15: 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 **Sections 13 and 14**.

SECTION 16: 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 **Section 15**. Should you require additional space, complete ***Supplement for Section 16*** and use as many copies as necessary.

Name	Address	Date of Birth	Type of Debt Instrument Held	Original Dollar Amount of Debt Held	Current Dollar Amount of Debt Held

SECTION 17: SECURITIES OPTIONS (CORPORATION)

Describe in detail any options existing or to be created with respect to securities issued by the corporation. In answering, detail 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 options became or will become entitled to exercise the options and when such options expire. (For the purpose of this application, option shall mean right, warrant or option to subscribe to or purchase any securities issued by the corporation.)

SECTION 17A: IDENTIFY PERSONS

Identify all persons holding the options described in Item 17 and include the market value of the option at the time of issuance. Should you require additional space, complete ***Supplement for Section 17A*** and use as many copies as necessary.

Name	Market Value of Option at Time of Issuance	Name	Market Value of Option at Time of Issuance

SECTION 18: FINANCIAL INSTITUTIONS

Identify 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 ten 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. Should you require additional space, complete ***Supplement for Section 18*** and use as many copies as necessary.

Name	Address	Type of Account(s)	Account Number(s)	Time Period Account Held	
				From:	To:

SECTION 19: CONTRACTS AND SUPPLIERS

Identify all persons with whom the enterprise has contracts or agreements of $100,000 or more in value or from whom the enterprise has received $100,000 or more in goods or services in the past six months. Employment contracts need only be listed if, by their terms, they exceed one year in duration. Should you require additional space, complete ***Supplement for Section 19*** and use as many copies as necessary.

Name	Address	Nature of Contract or Goods or Services Supplied

SECTION 20: STOCK HELD BY ENTERPRISE

In the table below, identify each company in which the enterprise holds stock. Should you require additional space, complete ***Supplement for Section 20*** and use as many copies as necessary.

Name of Company	Address	Type of Stock Held	Purchase Price Per Share	Number of Shares Held	Percentage of Ownership

SECTION 21: INSIDER TRANSACTIONS (CORPORATION)

Identify each change within the last five (5) years in the ownership of the equity securities of the corporation on the part of any person who is indirectly or directly an owner of more than ten percent (10%) 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. Should you require additional space, complete ***Supplement for Section 21*** and use as many copies as necessary.

Date of Transaction	Nature of Transaction	Parties to Transaction (Include Positions)	Number of Securities Involved

SECTION 22: CRIMINAL HISTORY

These definitions and instructions apply to this question:

DEFINITIONS:

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 offenses.

INSTRUCTIONS:

A. Answer "yes" and provide all information to the best of your ability EVEN IF:
   1. The enterprise did not commit the offense charged;
   2. The charges were dismissed;
   3. The enterprise was not convicted;
   4. The charges or offenses happened a long time ago;
   5. The records relating to the charges have been expunged or sealed by court order.

QUESTION:
"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 Kansas, any other U.S. state or any international jurisdiction?" Should you require additional space, complete ***Supplement for Section 22*** and use as many copies as necessary.

☐ 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

SECTION 23: ANTITRUST, TRADE REGULATION AND SECURITIES JUDGMENTS; 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 ten years has the enterprise had a judgment, order, consent decree or consent order pertaining to any state or federal statute, regulation or code that resulted in a 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

SECTION 24: INSOLVENCY PROCEEDINGS & 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 ten year period?

☐ YES ☐ NO

B. Had 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 ten-year period?

☐ YES ☐ NO

C. Has any receiver, fiscal agent, trustee, reorganization trustee, or similar officer been appointed, in the last ten 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 C above is in the affirmative, complete the chart below.

Name of Person Appointed	Date Appointed	Court	Reason

SECTION 25: EXISTING LITIGATION

On ***Supplement for Section 25***, describe all existing civil litigation that the enterprise or any subsidiary is presently a part whether in any jurisdiction. Do not include any case for monetary damages in which the damages may not reasonably be expected to exceed $100,000 or 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, the general nature of all claims being made, the litigation's current status and a synopsis of the litigation.

SECTION 26: LICENSES

A. During the last ten-years has the enterprise (including any parent, subsidiaries, or intermediaries) 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 your response to Item A is "YES", identify the following. Should you require additional space, complete ***Supplement for Section 26A*** and use as many copies as necessary.

Type of License or Certificate	Name and Location of Governmental Agency	Action Taken	Date	Reason

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

☐ YES ☐ NO

If your response to Item B is "YES", identify the following. Should you require additional space, complete ***Supplement for Section 26B*** and use as many copies as necessary.

Name and Address of Licensing Agency	Date of Application	Disposition (Granted, Denied, Pending)	Type of Gambling Activity	If Issued, Give Appropriate Number and Expiration Date

ITEM 27: CONTRIBUTIONS AND DISBURSEMENTS OF ENTERPRISE

A. During the last ten-years 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 ten-years 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 ten-years have enterprise funds been donated or loaned for the purpose of opposing or supporting any government, political party, candidate or committee, either domestic or foreign?

☐ YES ☐ NO

D. During the last ten-years 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 ten-years 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 foreign or domestic?

☐ YES ☐ NO

F. During the last ten-years has the enterprise maintained any bank account, domestic or foreign, not reflected on the enterprise's books or records?

☐ YES ☐ NO

G. During the last ten-years has the enterprise maintained any numbered account or any account in the name of a nominee for the corporation?

☐ YES ☐ NO

SECTION 27: CONTRIBUTIONS AND DISBURSEMENTS OF ENTERPRISE (CONTINUED)

H. 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 (including any parent, subsidiaries or intermediaries).

Name	Address	Relationship

SECTION 28: FINANCIAL STATEMENTS

A. Attach as an appendix to this form audited financial statements that shall include but not be limited to the auditor's report, an income statement, balance sheet, statement of cash flows and all notes to such statements and related supplemental financial schedules, for the last fiscal year.

B. Attach as an appendix to this form copies of all financial statements 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.)

SECTION 29: 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 10-K and filed within the last five years.

SECTION 30: QUARTERLY REPORTS

Submit as an appendix to this application, a copy of all quarterly financial statements prepared by or for the enterprise, if any, since the last annual report noted in Item 29. If a corporation is a registrant with the Securities Exchange Commission (SEC), it may submit a copy of each Form 10-Q filed with the SEC since the last annual filing on Form 10-K in response to this item.

SECTION 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 (including required filings of terminated accountants, if applicable), or other material events. If a corporation is a registrant with the SEC, it may submit a copy of the most recent form 8-K filed with the SEC in response to this item.

SECTION 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.

SECTION 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.

SECTION 34: REPORTS OF ACCOUNTANTS

Submit as an appendix to this form a copy of all reports and correspondence, other than those previously included in this application, submitted in the last five years, by independent auditors for the enterprise that pertain to the issuance of financial statements, managerial advisory services, or internal control recommendations.

SECTION 35: ORGANIZATIONAL CHART

Provide as an appendix hereto an organizational chart of the entity.

SECTION 36: 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.

SECTION 37: AFFIDAVITS AND SIGNATURES

This form must be sworn to or affirmed, signed and dated before a person legally competent o 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;

D. if the enterprise is a sole proprietorship, the natural person who is the proprietor.

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

SECTION 38: CODE OF ETHICS

A. Does your company have a code of ethics?

☐ YES ☐ NO

B. Are your employees required to affirmatively acknowledge compliance with the Code of Ethics?

☐ YES ☐ NO

If "YES", provide a copy of the Code of Ethics.

SECTION 39: RELEASE AUTHORIZATION

Each enterprise must have the attached *Authorization of Release* (Form 555-02) properly signed, dated and notarized.

The release 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;

E. if the enterprise is a sole proprietorship, the natural person who is the proprietor.

SECTION 40: ACKNOWLEDGEMENT

I understand that failing to answer these questions completely and truthfully may be the basis for action to be taken against the gaming certification of this business entity, including fines, suspension, and/ or revocation;

I understand that if this business entity is granted a gaming certification, I agree, as the authorized representative of the business entity that the business entity described in this disclosure, and its representatives, employees and agents, will be familiar with and comply with the provisions of the Kansas expanded lottery act, commission regulations, and laws of the United States and the State of Kansas and subdivisions thereof;

I authorize agents of the Kansas racing and gaming commission to search without warrant the person, personal property or work premises of all representatives, employees or agents of the business entity while within a Kansas lottery gaming facility or adjacent facilities;

I will require all such representatives, employees or agents of the business entity to submit to a breath or urine test, or both, immediately upon request by any authorized representative of the commission for the purpose of determining whether or not they may be under the influence of alcohol or any controlled substance;

I understand and agree that refusal to submit to a breath or urine test, or both, immediately upon request may result in suspension of the business entity's gaming certification;

I authorize all reporting agencies to release to the commission, or its agents, any information requested by them for completion of the background investigation and processing of the entity's application; and

I understand that providing false information or failing to provide complete information on this application will justify the commission in assessing a fine, refusing to issue, denying, suspending, or revoking of the certification.

_____ (Initial here if you understand and agree)

AFFIDAVIT

STATE OF _____:

SS:

COUNTY OF _____:

I, _____, hereby acknowledge that
(NAME)
I am aware the Commission may deny a certification to any applicant that supplies information to the Commission or a Commission Employee that is untrue or misleading. Under penalty of perjury, I certify that the information provided in this background disclosure is true, complete and correct to the best of my knowledge.

_____
(SIGNATURE)

_____
(TYPE, STAMP OR PRINT NAME)

_____
(TITLE OR POSITION)

NOTARIZATION OF THIS SIGNATURE IS REQUIRED
BEFORE A KANSAS LICENSE OR CERTIFICATE MAY BE ISSUED

Before me, _____, a notary public in the state of _____, personally
Notary Public (printed) *State*

appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

Witness, my hand and notary seal, this _____ day of _____ , _____.
Day *Month* *Year*

by _____
Notary Public (Signature) (SEAL)