



APPLICATION FOR GAMING VENDOR COMPANY

To begin the CPN Licensing process, the following application must be completed along with requested documents, signed forms, and processing fees. Please return to:

**CPN GAMING COMMISSION
1601 S GORDON COOPER DR.
SHAWNEE, OKLAHOMA 74801**

All information must be sent in a complete package. Failure to do so will result in the licensing process being delayed.

1. Check in the amount of _____ for Corporate Licensing Fees.

Make checks payable to: **CPN GAMING COMMISSION**

2. Contract and/or agreement with either Casino (Grand and/or Firelake)
3. Organizational chart (Internal listing of principals and position(s) held. Including a brief job description)
4. List of Shareholders that own 5% or more.
5. Articles of Incorporation/Organization and Amendments (if applicable)
6. Corporation Annual/Bi-Annual Reports (Financial Reports)
7. List of all gaming licenses/permits/certificates ever issued or applied for.

All requested information is due by _____, close of business.

The Company will **NOT** be approved for a license until all requested information is provided, background completed and licensing decision is made.

Feel free to contact CPNGC Licensing @ 405-878-4838 or licensing@cpngc.org with questions.



Gaming Machine/Gaming Related Vendor License Class

Application

Renewal

Citizen Potawatomi Nation Gaming Commission

AUTHORIZATION TO RELEASE INFORMATION - VENDOR

Daniel LeClaire
Executive Director

PLEASE READ CAREFULLY BEFORE SIGNING

I authorize the Citizen Potawatomi Nation Gaming Commission and their authorized agents, for the purpose of determining suitability for involvement in Indian Gaming activities, including operational and regulatory, to obtain any and all information and records requested which are related to activities including past, present and future criminal investigations and law enforcement matters; administrative and internal investigations; regulatory and disciplinary proceedings; military activities and records. Educational and other information sources may include but are not limited to employers, educational institutions, criminal justice, law enforcement and court records, investigation and regulatory agencies, tax records, financial and lending institutions, consumer credit reports, businesses, residential management agents, property interests (real and personal), and relatives and acquaintances.

The Federal Fair Credit Reporting Act, consistent with the Consumer Credit Reform Act of 1996, mandates that the Citizen Potawatomi Nation Gaming Commission make written disclosure to you, the applicant, that the Citizen Potawatomi Nation Gaming Commission may procure a consumer credit report for employment and licensing purposes.

I authorize custodians of such records and sources of information to release such documents, records, correspondence and information, and to permit the review and copying of any and all documents, reports, records, correspondence, and information pertaining to my activities, upon request of the representative of the agencies indicated above, regardless of any previous agreement to the contrary.

For myself, my heirs, administrators, successors, and assigns, I hereby release, remise and forever discharge any person or entity to whom this request is presented and their agents and employees from any and all manner of actions, causes of actions, suits, debts, judgments, executions, claims and demands whatsoever, known or unknown in law or equity, which I ever had, now have, may have or may claim to have against such person or entity or their agents and employees arising out of or by reason of complying with this request.

I agree to accept any risk of adverse public notice, embarrassment, criticism, or financial loss that may result from use of information that is obtained in connections with a background investigation for any purpose listed in this document.

I agree to indemnify and hold harmless any person or entity to whom this request is lawfully presented and their agents and employees from and against all claims, damages, losses, and expenses including reasonable attorney's fees arising out of or by reason of complying with this request.

I understand that the information and records released by records custodians and other sources of information is for the purpose of conducting a background investigation to process my license or license renewal application related to employment, management, or providing goods, services, or financing in conjunction with gaming activities, operations, or regulations.

I, the undersigned, have read this release and fully understand all of its terms. I execute it voluntarily and with full knowledge of its significance.

My signature below shall be considered full acceptance, acknowledgement and agreement to the terms above.

Signed and or attested before me

In the County of _____, State

this _____ day of _____ 20____

Authorized Representative Signature

Business/Corporation/Entity

Notary Signature

Citizen Potawatomi Nation Gaming Commission
1601 South Gordon Cooper Drive
Shawnee, OK 74801
Phone (405) 878-4838
FAX (405) 275-1198

Notary Stamp/Seal



Citizen Potawatomi Nation Gaming Commission
GAMING MACHINE VENDOR LICENSE APPLICATION

INSTRUCTIONS

1. **PLEASE, ANSWER EVERY QUESTION.** If you feel that a question is not applicable, indicate so by answering with "N/A".
2. **INITIAL EACH PAGE** in the space provided (lower right corner.) This acknowledges that you have read and understand ALL of the information contained on that page. If you do not understand any information, please call the TGRA office for clarification. Please use blue or black ink, (or type-written) to answer all questions. **DO NOT USE PENCIL.**
3. Some areas may require additional sheets. These sheets can be obtained by copying sheets in this package or by merely using blank paper.
4. Please submit the following:
 - **APPLICATION** Page 2
 - **NOTARIZED RELEASE OF ALL CLAIMS**..... Page 9
 - **NOTARIZED VERIFICATION OF IDENTITY** Page 10
 - **NOTARIZED AUTHORIZATION TO RELEASE INFORMATION**www.cpngc.org
 - Completed **CONSENT TO DISCLOSE TAX INFORMATION** Page 11
 - Articles of Incorporation, including Amendments.
 - Articles of Organization, including Amendments.
 - Corporation annual and bi-annual reports. (Previous two years).
 - Organizational charts.
 - Publicly traded company information.
 - Application (or renewal) Fee.
5. The applicant agrees, if required to provide:
 - Any further financial data or other information which may be deemed necessary.
 - An annual profit and loss statement, balance sheet, and a copy of annual federal income tax return within 30 days after return is filed with the Federal Government.
 - At least annually, a complete list of all stockholders, partners, or member within 30 days after an annual meeting of stockholders of the corporation showing number of shares held by each.



Citizen Potawatomi Nation Gaming Commission
GAMING MACHINE VENDOR LICENSE APPLICATION

APPLICATION

New Application

Renewal

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Official Name of the Company

Federal Identification Number

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Company Trade Name (DBA)

State Tax Identification Number

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Physical Address

Mailing Address

Business Structure:

Corporation

Partnership

Joint Venture

Sole Proprietorship

Trust

Limited Liability

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Company Telephone Number

Company Fax Number

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Official Contact for Company

Social Security Account Number (SSAN)

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Title/Position Held

Date of Birth

Email Address:	
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Citizen Potawatomi Nation Gaming Commission
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BUSINESS DESCRIPTION

Provide a brief description of business activity (e.g. product, service, game provided)

State the type of equipment, goods and services that will be provided specifically to the casino: (Please provide copies of gaming laboratory certifications and/or attorney opinions for the machines to be placed in our facilities.)

Complete the following if the applicant business is a corporation,

- (a) State of Incorporation: _____ Date: _____
- (b) Date of qualification to do business in the State of Oklahoma: _____
- (c) A notarized copy of the Articles of Incorporation is attached:
Yes ___ No ___
If NO, state reason: _____
- (d) A complete list of all stockholders showing the number of shares of record held by each is filed herewith:
Yes ___ No _____.
If NO, state reasons: _____

**Complete the following if the applicant business is a Sole Proprietorship,
Partnership, or other form of business organization.**

1. State where registered or qualified to do business: _____
2. Date of qualification to do business or license number: _____
Provide Oklahoma business registration or license number: _____
3. Attach a true and correct copy of the partnership agreement, if applicable.
4. Attach a true and correct copy of any other agreement to do business, if applicable.



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List your company's major funding and financial sources, and major financial liabilities, including those of \$50,000 or more.

PUBLICLY TRADED COMPANIES

If your company is publicly traded, the following documents must be submitted with your completed application.

Copies of the past three years Annual and Quarterly Reports to Stockholders, Forms 10-K, 10KSB, and 8-K, and amendments thereto, and all other material documents or documents considered to be confidential or furnished to the holders of debt or equity securities of the Publicly Traded Company (PTC) which may be filed by a PTC with the SEC or any other national or regional securities exchange.

A list of the holders of a PTC's voting securities and submission of any amendments that are created after the vendor is licensed.

Copies of all press releases issued by the PTC or subsidiary thereof, FAXED to the CPN TGRA at or before time of release, to be followed by the filing of a hard copy of any such press release within five calendar days after release, following the submission of an application.

Notification after the election or appointment of any director, executive officer, or any other officer actively and directly engaged in the administration or supervision of the activities associated with the PTC.

A profit and loss statement and balance sheet for the PTC for the previous year.

Documents filed with or furnished to the SEC containing the same information may be substituted instead so that duplicate filing of the same information will be avoided.

Initial here, if not applicable _____



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PRIOR LICENSING

Has the Company ever applied for a license, permit or other authorization to participate in any gaming operation? Attach as an exhibit a list which includes Licensing Tribe/State or Regulatory Authority name, address, phone number AND FAX NUMBER; type of license, license number and date of issuance.

YES

NO

If yes, please provide details:

GAMING LICENSE DENIED, SUSPENDED, REVOKED

Has a gaming license for the Company ever been denied, suspended, or revoked?

YES

NO

If yes provide please details:



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DEBT, INSOLVENCY OR BANKRUPTCY PLAN

Has the Company ever filed, or had filed against it, a proceeding for bankruptcy?

YES

NO

If yes, please provide details: _____

FINANCIAL RECORDS

Who prepares the tax returns, government forms and reports for the business?

Name: _____

Address: _____

Title: _____

Telephone #: _____

Fax #: _____

Where are the financial records/books for this business kept?

Physical address: _____

Mailing Address: _____



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PRIOR NAMES AND ADDRESSES OF THE COMPANY

List all OTHER names the company has done business under for the last five (5) years:

BUSINESS REFERENCES

Provide three business references who you have regularly done business with within the last (5) five years and one financial reference. Include Name of business, Contact name, address, phone and FAX number.

1. _____

2. _____

3. _____

4. _____

5. _____

List attached.



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LITIGATION

Is the Company currently a party to any civil lawsuits?

YES

NO

If yes, please submit, as an exhibit, a description of all existing civil litigation to which the company or any subsidiary is presently a party, whether in Oklahoma or another jurisdiction. Include the following:

- Official Title or caption of the case.
- Docket or case number.
- Name and location of the court before which the case is pending.
- Identity of all parties to the litigation.
- General nature of all claims being made.

MISCONDUCT

In the past ten (10) years have any of the company's officers, executives, or managers been accused of misconduct?

YES

NO

If yes, please provide details: _____



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RELEASE OF ALL CLAIMS

The undersigned has filed with the Citizen Potawatomi Nation Tribal Gaming Regulatory Authority certain forms and documents in connection with a written request for licensing by the TGRA. The undersigned does for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the Citizen Potawatomi Nation and its TGRA, its members, agents, and employees from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims and demands whatsoever, know or unknown, in law or equity, which the undersigned ever had, now has, may have or claim to have against any or all of said entities or individuals arising out of or by reason of the processing or investigation of or other action relating to this application.

I, the undersigned, have read this release and understand all of its terms. I execute it voluntarily and with full knowledge of its significance.

In witness whereof, I have executed this release in the:

State of: _____ City of: _____ County of: _____

this _____ day of _____ 20 _____

Individual's Printed/Typed Name

Individual's Signature

Notary Public

Signed and or attested before me on this _____ day of _____ 20 _____

In the County of _____, in the State of _____.

Notary Signature: _____

Notary Commission Number: _____

My commission expires: _____

Notary Seal



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VERIFICATION of IDENTITY

I, _____, being first duly sworn upon oath or affirmation,
Please Print Full Name

depose and state that:

_____ I am the individual who is submitting this form.
Initials

_____ I personally supplied the information contained in this form.
Initials

_____ I swear (or affirm) that the information contained in this form is true, complete and
Initials accurate to the best of my knowledge and belief.

Individual's Signature

Date

Notary Public

Signed and or attested before me on this _____ day of _____ 20____

In the County of _____, in the State of _____.

Notary Signature: _____

Notary Commission Number: _____

My commission expires: _____ 20____

Notary Seal



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CONSENT TO DISCLOSE TAX INFORMATION

As a Principal of the business listed below, I authorize the Internal Revenue Service to disclose any of the returns and return information, as those terms are defined in Section 6103(b) of the Internal Revenue Code, for the tax year(s) listed below, which represent the last three years, to the Citizen Potawatomi Nation and their Tribal Gaming Regulatory Authority for their use as a regulatory agency of gaming activities. This information may be used in administrative or judicial proceedings connected with the issuance of vendor licenses

As an officer of the business listed below, I also authorize the Internal Revenue Service to disclose this information to any person to the extent Revenue Service deems necessary to clarify any matter pertaining to this that is published, discussed, or otherwise disseminated in the public record.

I am aware that without this authorization, the returns and return information are confidential and are protected by law under the Internal Revenue Code.

Business Name: _____

Business Officer Name (Please Print): _____

Business Officer Signature: _____

Business Officer's Title: _____

Federal Employer Identification Number: _____

State Employer Identification Number: _____

Current Address: _____

Previous Address: (If at current address less than 2 years)

Tax Years: _____ through _____

Current Telephone Number: _____ Date: _____

NOTE: Treasury Regulations require that the Internal Revenue Service must receive your request within 60 days following the date on which you sign and date the consent. Failure to complete all lines will result in the delay of processing your application.



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NOTICE TO APPLICANTS

Authority: Indian Gaming Regulatory Act, 25 U.S.C 2701 et seq., and Tribal Ordinances and Regulations.

Purpose: To protect the tribe, employees, patrons and public by ensuring that gaming activities are free from criminal activities and corruptive elements. The required information is used to determine the suitability of the applicant associated with gaming activities.

Burden of proof: An applicant is seeking the granting of a privilege. The burden of proving the applicant's qualifications is at all times on the applicant.

Disclosure of information: An applicant may be subject to denial or other actions for failing to provide all information, documentation and assurances as required or requested, or for failing to reveal any material facts or for providing misleading or untrue information. The Tribal Gaming Regulatory Authority (TRGA) reserves the right to request additional information at any time. The disclosure of your Social Security Account Number (SSAN) is **NOT** voluntary. Failure to supply a SSAN will result in your application being denied.

Waiver of claim for damages: An applicant accepts any risk of adverse reaction, financial loss, or public notice that may result from any action taken with respect to an application. By filing an application, an applicant expressly waives any claim for damages as a result of any action taken with respect to that applicant.

Withdrawal of an application: An application may not be withdrawn without permission of the TGRA.

Notice regarding false statements: In signing this application, I understand that false or misleading statements on any part of the application may be grounds for denial or revocation of a gaming vendor license.

Use of information provided on application: The information is requested to determine the eligibility of individuals to do business with the tribal gaming operation. The information will be used by the TGRA and the National Indian Gaming Commission (NIGC) members and staff to determine said eligibility. The information may be disclosed to appropriate federal, tribal, state, local or foreign law enforcement and regulatory agencies when relevant to civil, criminal, or regulatory investigation or prosecutions, or when pursuant to a requirement by the tribe in connection with the issuance or revocation of a vendor license, or investigation of activities while associated with the tribe or tribal gaming operation. Failure to consent to the disclosures requested in this application may result in the tribe being unable to do business with you or your company.

Level of Fees: The level of fees for issuance of a Gaming related vendor license, and the payment of such fees, shall be set forth by the CPN Gaming Commission.