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RCPT. NO.	_____	YR	_____	LOC
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ID NO.:	_____			

**EXCHANGE WAGERING LICENSE
APPLICATION**

NEW JERSEY RACING COMMISSION
P.O. BOX 088
TRENTON, NJ 08625-0088
609-292-0613

RCPT. DATE	_____	OPER	_____
CHECK	_____	\$	_____
MO	_____	\$	_____

The New Jersey Racing Commission (hereinafter “Commission”), pursuant to N.J.S.A. 5:5-168 et. seq., known as “Exchange Wagering Act” (hereinafter “Act”), has the full power to prescribe rules, regulations and conditions under which an exchange wagering license is issued in this State and to revoke, suspend or refuse to renew a license if, in the opinion of the Commission, the revocation of, suspension of or refusal to renew such license is in the public interest.

Pursuant to the powers vested in it by the Act, the Commission has promulgated regulations governing the conduct of exchange wagering in this State, which appear at N.J.A.C. 13:74C et seq. In accordance with the Act and Subchapter 2 to N.J.A.C. 13:74C, the Commission has prescribed the within “exchange wagering license application” form to be completed by the New Jersey Sports and Exposition Authority (hereinafter “applicant”), or successor in interest thereto, and filed with the Commission. Upon the filing of this properly completed application, the Commission shall consider such application pursuant to the procedures set forth at N.J.A.C. 13:-74C-2.1 in the case of initial application, and pursuant to N.J.A.C 13:74C-2.2 in the case of a renewal application.

Any exchange wagering license issued by the Commission, subject to the review and approval of the Attorney General [See N.J.A.C. 13:74C-2.1(e), 2.2(g)], shall specify the effective dates of the license, the methods of exchange wagering authorized by the license, and such other terms or conditions which may be imposed by the Commission in accordance with the Act, and N.J.A.C. 13:74C-2.1 or 2.2, as appropriate.

In making this application, the applicant acknowledges that it is required to provide full and complete answers and disclosures to all questions asked, and that any license granted to it by the Commission is predicated upon the accuracy and completeness of the information provided in this application.

If the space allotted within this application is not sufficient to provide an accurate and complete answer, or where the submission of an attachment is specifically required, the applicant shall attach such additional pages as are necessary and complete the response thereupon. Where the applicant furnishes an attachment to this application in response to any question, the applicant shall insert the phrase “see attachment ___” in the answer space to the question on this application form. In all cases, the applicant shall also label the actual attachment with the corresponding attachment number (“attachment ___”). Each attachment shall be preceded by a tab index, also labeled in such manner.

1) Pursuant to the Act, the applicant hereby makes application for an exchange wagering license, as designated immediately below, to the Commission:

() Initial Application, which application is accompanied by a non-refundable filing fee of \$2,500 [See N.J.A.C. 13:74C-2.1(a)].

() Renewal Application, which application is accompanied by a non-refundable filing fee of \$2,500 for each year the license is to be effective, and is to be filed with the Commission by October 15th of the year preceding the year for which the license renewal is sought [See N.J.A.C. 13:74C-2.2(b) and 2.2(c)].

If this is an Initial Application, proceed to question 2 now. If a Renewal Application, answer the additional questions below:

If a Renewal Application, indicate the term of years for which the applicant seeks a renewal license:

one year (requires filing fee of \$2,500)

two years (requires filing fee of \$5,000)

If a Renewal Application, indicate below the date upon which exchange wagering first became operational in the State (that is, the date the first exchange wager was accepted):

Month: _____ Day: _____ Year: _____

If a Renewal Application, attach a written report identifying in detail any significant problems associated with or encountered by the exchange wagering system during the 12-month period preceding the date of the filing of this application with the Commission [See N.J.A.C. 13:74C-2.2(d)9]. If no such problems occurred, the attachment should affirmatively indicate such. Is such an attachment included?

Yes No

2) Set forth the full and proper name of the applicant.

3) Set forth the principal address of the applicant.

4) Set forth the principal telephone number of the applicant.

5) Provide the name, address and telephone number of the natural person who is authorized to accept service of process on behalf of the applicant.

6) Attach as an addendum to this application a written narrative/description of the applicant’s participatory role in the exchange wagering system, and the participatory role of other persons or entities in the exchange wagering system, including but not limited to any racetrack permit holders (New Jersey), any exchange management agent, any exchange services agent, and any key vendors to the proposed system [See N.J.A.C. 13:74-2.1(b)3, 2.2(d)3].

Is such an addendum attached?

Yes _____ No _____

7) Will the grant of an exchange wagering license to the applicant promote the economic future of horse racing in the State, foster the potential for increased commerce, employment and recreational opportunities in the State, and help to preserve open spaces [See N.J.S.A. 5:5-169b]?

Yes ____ No ____

If Yes, attach an addendum explaining with specificity how, and provide examples. Is such attached?

Yes _____ No _____

8) Has the applicant entered into a written agreement to assign or transfer any exchange wagering license, which may be issued to the applicant by the Commission as a result of this application, to a successor in interest?

Yes _____ No _____

If the answer to question 8 is No, proceed to question 9 now. If Yes, answer the following:

a) As part of this application, is the applicant seeking the regulatory approvals required by N.J.A.C. 13:74C-3.1?

Yes _____ No _____. If Yes, is a joint petition by the applicant and proposed successor in interest (accompanied by a completed exchange wagering license application by the proposed successor in interest), as required by N.J.A.C. 13:74C-3.1(b), attached?

Yes _____ No _____

9) Has the applicant entered into any written agreement as concerns financing related to the implementation and/or operating costs associated with the exchange wagering system?

Yes _____ No _____

If Yes, set forth below the name of the bank or financing entity, and address, from which funding will be provided:

If No, explain the source of funding related to the implementation and/or operating costs associated with the exchange wagering system:

10) Has the applicant entered into a written business agreement with all racetrack permit holders for the distribution of the net exchange revenues remaining after the distributions required by N.J.A.C. 13:74C-3.5(a)1 through and including (a)5 [See N.J.A.C. 13:74C-3.5(a)6, 3.5(c) and (d), N.J.A.C. 13:74C-1.1]?

Yes _____ No _____

If the answer to question 10 is No, proceed to question 11 now. If Yes, answer the following questions:

a) Attach a copy of the written business agreement to this application. Is such agreement attached?

Yes _____ No _____

b) Without incorporating it by reference in your response, attach an addendum to this application explaining in narrative format the key terms of the written business agreement, including a description of the intended distribution of the net exchange wagering revenues as contemplated by said agreement. Is such an addendum attached?

Yes _____ No _____

c) List the parties to the written business agreement (with the exception of the applicant), the principal address of each, and the principal telephone number of each.

- d) Provide the name, address and telephone number of the natural person who is authorized to accept service of process on behalf of each party to the written business agreement (with the exception of the applicant).

- 11) Has the applicant entered into any other written agreement or agreements (that is, other than as contemplated by question #10 to this application), with one or more racetrack permitholders, concerning any aspect of the exchange wagering system?

Yes _____ No _____

If the answer to question 11 is No, proceed to question 12 now. If Yes, answer the following questions:

- a) Attach a copy of each written agreement to this application. Is/are such attached?

Yes _____ No _____

- b) For each written agreement, without incorporating the written agreement by reference in your response, attach a separate addendum to this application explaining in written narrative the parties to the respective agreement, the reasons why the respective agreement was entered into, and the key terms of such. Is such attached?

Yes _____ No _____

- 12) Does the applicant intend to enter into a written agreement with an exchange management agent, as defined at N.J.A.C. 13:74C-1.1? [See also N.J.A.C. 13:74C-3.2(a), (d)].

Yes _____ No _____

If the answer to question 12 is No, proceed to question 13 now. If Yes, answer the following questions:

- a) Identify the legal name of the exchange management agent, the principal address and telephone number thereof, and the principals thereof:

- b) Attach a copy of the intended written agreement, between the applicant and the exchange management agent, to this application. Is such attached?

Yes _____ No _____

Describe with specificity below, in narrative form, the key elements of the agreement, and the respective role of each party to the agreement as concerns the exchange management agent functions subject of the written agreement:

c) Indicate below what the role or roles of the exchange management agent will be [See N.J.A.C. 13:74C-3.2]:

>The exchange management agent shall conduct or operate the exchange wagering system for the exchange wagering licensee _____

>The exchange management agent will act as agent for the applicant in all matters approved by the Commission _____

>If the exchange management agent will perform other or additional functions, explain below:

>If the exchange management agent will employ other persons or entities (other than it own staff members) to perform any of its functions, explain what those particular functions to be performed by others are (and who will be performing said functions):

d) As part of this application, is the applicant seeking the regulatory approvals as concerns the retention of the exchange management agent, as required by N.J.A.C. 13:74C-3.2?

Yes _____ No _____

If Yes, is a joint petition attached, as required by N.J.A.C. 13:74C-3.2(a)1?

Yes _____ No _____

- e) Does the applicant have any other written agreements (with regard to any matter, related or unrelated to exchange wagering) with the exchange management agent?

Yes _____ No _____

If Yes, explain with specificity below what those other written agreements are:

- 13) Will the applicant directly (itself), or will another person/entity, perform the functions of exchange services agent, as defined at N.J.A.C. 13:74C-1.1, in connection with the exchange wagering system [See N.J.A.C. 13:74C-3.2(b), (d)]?

>The applicant will directly (itself) perform such services _____

>A person/entity, other than the applicant, will perform such services _____

If the applicant is to directly (itself) perform such services, proceed to question 14 now. If another person or entity is to perform such services, answer the additional questions below [See N.J.A.C. 13:74C-3.2(b), (c)]:

- a) Indicate which of the following is correct, and if necessary provide explanatory comment:

>The applicant shall directly (itself) select and retain an exchange services agent [See N.J.A.C. 13:74C-3.2(c)] _____

>The applicant, as part of a written agreement with an exchange management agent, shall authorize the exchange management agent to select and retain a separate exchange services agent [See N.J.A.C. 13:74C-3.2(c)] _____

>The applicant, as part of a written agreement with an exchange management agent, has authorized the exchange management agent itself (directly) to also

perform the functions of an exchange services agent [See N.J.A.C. 13:74C-3.2(c), (d)] _____

Explanatory comment (if necessary):

- b) Identify the legal name of the exchange services agent, the principal address and telephone number thereof, and the principals thereof:

- c) Attach a copy of the intended written agreement with the exchange services agent. Is such attached?

Yes _____ No _____

Identify below the parties to the agreement:

Describe with specificity below, in narrative form, the key elements of the agreement, and the respective role of the applicant, as well as each party to the agreement as concerns the exchange services agent functions subject of the written agreement:

- d) As part of this application, is the applicant seeking the regulatory approvals as concerns the retention of an exchange services agent, as required by N.J.A.C. 13:74C-3.2(b)?

Yes _____ No _____

If Yes, is a joint petition, as required by N.J.A.C. 13:74C-3.2(b)1 attached?

Yes _____ No _____

If Yes, identify the parties to the joint petition by checking the appropriate answer:

>The parties to the joint petition are the applicant and the exchange services agent, because the applicant intends to directly (itself) select and retain the exchange services agent [See N.J.A.C. 13:74C-3.2(b)1] _____

>The parties to the joint petition are the applicant, the exchange service agent, and the exchange management agent, because the applicant has authorized the exchange management agent to select and retain a separate exchange services agent [See N.J.A.C. 13:74C-3.2(c)] _____

>The parties to the joint petition are the applicant and the exchange management agent because, as the applicant has authorized the exchange management agent itself (directly) to also perform the functions of an exchange services agent [See N.J.A.C. 13:74C-3.2(c), (d)] _____

>Other (explain below) _____

- 14) Indicate, by which of the methods below, the applicant intends to satisfy the internal control procedure requirements applicable to it, as imposed by Title 13, Chapter 74C to the New Jersey Administrative Code:

>The applicant's own internal control procedures, without reference to the internal control procedures of any other entity/person, shall satisfy the requirements of Title 13, Chapter 74C _____

>Although the applicants internal control procedures at a minimum include sufficient provisions to insure that it maintains meaningful and adequate oversight controls with respect to both the exchange wagering license and the exchange wagering system, the following shall be retained in connection with the exchange wagering system, and consistent with N.J.A.C., 13:74C-2.2(d)8 and N.J.A.C. 13:74C-3.2(c) , the applicant has included in its own internal control procedures certification(s) evidencing that it has reviewed the internal control procedures of the person(s)/entity(ties) designated below and finds them to be sufficient:

Exchange management agent _____

Exchange services agent_____

Exchange management agent who will itself (directly) also perform the functions of an exchange services agent _____

>Other (explain below) _____

- 15) Attach a complete copy of the internal control procedures, as referenced in the answer to question 14, to this application. Are the internal control procedures attached?

Yes _____ No _____

If no internal control procedures are attached, proceed to question 15 now. If internal control procedures are attached, by checking the appropriate answer, indicate what internal control procedures are attached in response to this question:

>The internal control procedures of the applicant only are attached, because the applicant does not also intend to rely upon the internal control procedures of any exchange management agent and/or exchange services agent _____

>The internal control procedures of the applicant are attached, together with the internal control procedures of each of the following, and the internal control procedures of the applicant include certification(s) that it has reviewed the internal control procedures of the person(s)/entity(ties) designated below and finds them to be sufficient:

Exchange management agent _____

Exchange services agent_____

Exchange management agent who will itself (directly) also perform the functions of an exchange services agent _____

>Other (explain below) _____

16) a) Indicate below whether the internal control procedures, attached to this application in response to question 15, address each of the following [See N.J.A.C. 13:74C-2.1(b)3, 8]. If no internal control procedures are attached, however, proceed to question 17 now.

>Procedures to effectively operate the exchange wagering system

Yes _____ No _____

>Procedures to effectively manage the exchange wagering system

Yes _____ No _____

>Procedures to effectively insure that all aspects of wagering integrity will be maintained, which includes procedures to insure that wagers placed through the exchange wagering system will be accurately processed

Yes _____ No _____

>Procedures to effectively insure that all wagering record keeping will be maintained

Yes _____ No _____

>Procedures to effectively insure that the exchange wagering system will operate with fiscal soundness

Yes _____ No _____

>Procedures to effectively insure that the exchange wagering system will operate with technical reliability

Yes _____ No _____

>Procedures to effectively insure that there are sufficient safeguards in-place to maintain the integrity of the horse racing industry in this State

Yes _____ No _____

b) Indicate below whether the internal control procedures, attached to this application in response to question 15, include provisions specifically required by Title 13, Chapter 74C of the New Jersey Administrative Code, in the following areas:

> Procedures which designate when exchange wagering shall cease in the event the transmission of data conveying the official “off-time” for a race is interrupted or corrupted [See N.J.A.C. 13:74C-1.1]

Yes _____ No _____

> Procedures which relate to the receipt and processing of applications to establish exchange wagering account applications [See N.J.A.C. 13:74C-4.1(c), 4.2(a)]

Yes _____ No _____

>Procedures which encompass the operation rules adopted by the exchange wagering licensee, which are to be provided to prospective exchange wagering account holders, as described within Title 13, Chapter 74C to the New Jersey Administrative Code generally, and specifically at N.J.A.C. 13:74C-4.1(f)

Yes _____ No _____

>Procedures concerning the manner in which confidential personal identification numbers are to be selected in connection with the establishment of exchange wagering accounts [See N.J.A.C. 13:74C-4.3(a)]

Yes _____ No _____

>Procedures concerning the manner in which credits and deposits are to be made and posted to an exchange wagering account, and procedures addressing the handling of interest accumulated with regard to exchange wagering accounts [See N.J.A.C. 13:74C-4.4]

Yes _____ No _____

>Procedures concerning the manner in which debits and withdrawals are to be made and posted to exchange wagering accounts [See N.J.A.C. 13:74C-4.5]

Yes _____ No _____

>Procedures concerning dormant exchange wagering accounts, including notice provisions to be provided to the holders of such accounts prior to any closing of such accounts [See N.J.A.C. 13:74C-4.6]

Yes _____ No _____

>Procedures concerning the provision of statements of accounts to exchange wagering account holders, the dispute resolution procedures available to exchange wagering account holders, and related records retention requirements [See N.J.A.C. 13:74C-4.7]

Yes _____ No _____

>Procedures in the event of a technological breakdown of the exchange wagering system [See N.J.A.C. 13:74C-5.3, 5.4]

Yes _____ No _____

>Procedures defining the circumstances where the exchange wagering licensee may cause a corrective wager to be placed [See N.J.A.C. 13:74C-5.5]

Yes _____ No _____

>Procedures concerning non-starters and declared scratches or entries, and notification thereof to exchange wagering account applicants [See N.J.A.C. 13:74C-5.8]

Yes _____ No _____

>Procedures concerning the availability, or lack of availability, of race information to exchange wagering account holders [See N.J.A.C. 13:74C-5.13]

Yes _____ No _____

17) a) Is the establishment, operation and maintenance of an exchange wagering system projected to generate new jobs (to include but not be limited to any employees of the applicant, any management agent, any services agent, any key vendors)?

Yes _____ No _____

If Yes, identify how many (by number): _____

If Yes, identify how many (by number) of those total new jobs will be created in-State and out-of-state:

In-state _____ Out-of-state: _____

- b) Is the establishment, operation and maintenance of an exchange wagering system projected to create additional work responsibilities for existing employees presently working or performing services with regard to any aspect of the New Jersey racing industry (to include but not be limited to any employees of the applicant, any management agent, any services agent, any key vendors)?

Yes _____ No _____

If Yes, identify how many (by number): _____

If Yes, identify how many (by number) of those total existing employees will be affected at in-State and out-of-state locations:

In-state _____ Out-of-state: _____

- 18) a) Identify the physical address of the required in-state office location associated with the exchange wagering system, as well as any additional in-state office locations for each of the below listed. [See N.J.A.C. 3:74C-3.3(a)].

For the applicant:

For any exchange management agent:

For any exchange services agent:

- b) Are all business activities and functions related to the exchange wagering system without exception (including the performance of all job responsibilities incident to the system, processing of information/data, and all hardware or software components necessary for the operation of the system), to be conducted and situated at the above identified in-state locations [See N.J.A.C. 13:74C-3.3]?

Yes _____ No _____

If the answer to question 17b is Yes, proceed to question 18 now. If No, answer the following:

- i) in a written/narrative attachment, identify with specificity and without exception, all business activities and functions related to the exchange wagering system (including the performance of job responsibilities incident to the system, processing of information/data, and all hardware or software components necessary for the operation of the system), which are to be situated or conducted out-of-state (include addresses where). As part of your reply, the person or entity who is proposed to directly provide any out-of-state services in connection with the system in each case, whether itself or through the employment of others, shall specifically be identified [See N.J.A.C. 13:74C-3.3, 3.4]. Is such an attachment included?

Yes _____ No _____

- ii) As part of this application, is a waiver of the in-State requirement being sought [See N.J.A.C. 13:74C-3.3]?

Yes _____ No _____.

If Yes, is a written petition or joint petition seeking such waiver, as required by N.J.A.C. 13:74C-3.3(a), attached?

Yes _____ No _____.

If such petition is attached, identify the party or parties to the petition:

19) Provide an answer to each of the following totalisator related questions:

a) Do the technological requirements of the exchange wagering system require integration with a totalisator system, as defined at N.J.A.C. 13:74C-1.1 [See also N.J.A.C. 13:74C-3.3(c)]?

Yes _____ No _____

b) Does the technology associated with the exchange wagering system not require integration with a totalisator system, as defined at N.J.A.C. 13:74C-1.1 and 3.3(c), and therefore, does the system comprise a stand-alone system which does not include a totalisator as one of its components?

Yes _____ No _____

c) Will the exchange wagering system utilize a totalisator system, as defined at N.J.A.C. 13:74C-1.1 and 3.3(c), in connection with the exchange wagering system?

Yes _____ No _____

If the answer to question 19c is No, proceed to question 20 now. If Yes, identify whether the totalisator to be utilized in connection with the exchange wagering system will be the same totalisator situated within the hub facility in this state and licensed by the Commission pursuant to N.J.A.C. 13:74-8.1 [See N.J.A.C. 13:74C-3.3(c)].

Yes _____ No _____

20) As part of this application, is the applicant seeking Commission approval of an exchange wagering application form to be completed by residents of this State who desire to maintain an exchange wagering account [See N.J.A.C. 13:74C-4.1(c)]?

Yes _____ No _____

If the answer to question 20 is No, proceed to question 21 now. If Yes, answer the following:

Is a copy of the proposed application form attached?

Yes _____ No _____

21) Identify where (physical address, both in-state and out-of-state) all exchange wagering systems records, required to be maintained by N.J.A.C. 13:74C-4.7, shall be stored and maintained, and by whom (if at more than one location, identify the address of each):

22) Attach a “Table of Organization” of the applicant (overall structure including any upstream and downstream entities to the applicant). Is such attached?

Yes _____ No _____

a) For each entity identified in the “Table of Organization,” attach a table (or tables) identifying: the constituency of each entity (if a corporate entity, the members of the board of directors of each; if a partnership, the partners of each, etc.); the identity and constituency of each and every parent in succession thereto, as well as any downstream constituents; and the identity of any holder of a 5% or more ownership interest in each entity. Is such a “Table of Organization” (or tables) attached (answer one)?

Yes _____, a table for each entity is attached
Yes _____, a table for one or more (but not all) entities is attached
No _____, no tables are attached

If the answer to question 22a is “Yes, a table for one or more (but not all) entities is attached,” or “No, no tables are attached,” list each entity below for which such table is not attached and provide an explanation why that respective table is not attached:

23) Attach a separate “Table of Organization” of the applicant only limited to: the identity of each entity part of the applicant’s overall structure which will have any management, administrative and/or oversight responsibility with respect to the exchange wagering system; and the identity of each individual agent or employee (name, entity employer, employment position) who will have any managerial, administrative or oversight responsibility on behalf of each such entity with regard to the exchange wagering system. Is such “Table of Organization” attached?

Yes _____ No _____

24) If an exchange management agent and/or exchange services agent is to be employed in connection with the exchange wagering system, attach a separate “Table of Organization” which identifies the parties (that is, the applicant only, and any exchange management agent, and any exchange services agent) and the inter-relationship between them with respect to the exchange wagering system. Is such attached?

Yes _____ No _____

25) Is the applicant, as part of this application, seeking Commission approval of any of the allowable markets [See N.J.A.C. 13:74C-5.2], for wagering by exchange wagering account holders, following any grant of an exchange wagering license?

Yes _____ No _____

If Yes, is the petition required by N.J.A.C. 13:74C-5.2(a) attached?

Yes _____ No _____

26) Is the applicant, as part of this application, seeking Commission approval to include any pools of exchange wagers in the wagering pools at the track conducting the races which are to be the subject of exchange wagering? [See N.J.A.C. 13:74C-5.9(a)].

Yes _____ No _____

If Yes, attach a detailed explanation as to the request, which includes the particular tracks involved, with any supporting documentation. Is such attached?

Yes _____ No _____

- 27) Is the applicant, as part of this application, seeking Commission approval to retain, withhold, or takeout any amounts from any exchange wagers? [See N.J.A.C. 13:74C-5.9(b)].

Yes _____ No _____

If Yes, attach a detailed explanation as to the request, which includes the amount to be retained, withheld or taken out, with reasons and any supporting documentation. Is such attached?

Yes _____ No _____

- 28) Is the applicant, as part of this application, seeking Commission approval to impose any surcharge associated with exchange wagering accounts and exchange wagers? [See N.J.A.C. 13:74C-5.11].

Yes _____ No _____

If Yes, attach a detailed explanation as to the request, which includes the amount of the surcharge, with reasons and any supporting documentation. Is such attached?

Yes _____ No _____

- 29) Is the applicant, as part of this application, seeking Commission approval to itself offer, or otherwise participate in, any interstate exchange pool? [See N.J.A.C. 13:74C-5.10].

Yes _____ No _____

If Yes, attach a detailed explanation as to the request, which includes the particular tracks involved, with any supporting documentation, including evidence as concerns the legality of each proposed interstate exchange pool. Is such attached?

Yes _____ No _____

- 30) Does the applicant intend to make available, to exchange wagering account holders, race information data? [See N.J.A.C. 13:74C-5.13].

Yes _____ No _____

If Yes, include an attachment explaining what race information will be made available to exchange wagering account holders. Is such attached?

Yes _____ No _____

If No, include an attachment explaining the position of the applicant (with reasons) as to whether the Commission should require, as a condition to any issued license, that race information be made available by the applicant to exchange wagering account holders. Is such attached?

Yes _____ No _____

- 31) Explain in an attachment how the applicant intends to comply with the badge requirements of N.J.A.C. 13:74C-6.7. Is such attached?

Yes _____ No _____

If Yes, is the applicant, as part of this application, seeking Commission approval for an identification tag, devised or authorized by the applicant, to be worn by personnel at the premises set forth in N.J.A.C. 13:74C-6.7?

Yes _____ [if yes, the proposed identification tag must be included in the attachment required by the answer to the first part to this question]

No _____

- 32) To the applicant's knowledge, has any entity or person disclosed in completing this application ever been convicted of any crime?

Yes _____ No _____

If Yes, provide a detailed account of the charges and disposition.

- 33) To the applicant’s knowledge, has any entity or person disclosed in the process of completing this application ever been suspended, denied a license or ruled off by this or any other Racing Commission or turf governing body?

Yes _____ No _____

If Yes, provide details identifying the individual and explaining the circumstances.

- 34) To the applicant’s knowledge, is any entity or person disclosed in the process of completing this application presently the subject of any pending criminal investigation, criminal complaint, criminal charges or criminal indictment?

Yes _____ No _____

If Yes, provide details identifying the individual and explaining the circumstances.

- 35) To the applicant’s knowledge, is any entity or person disclosed in the process of completing this application presently party to any civil proceeding where the potential liability may exceed \$10,000?

Yes _____ No _____

If Yes, please identify the individual and explain the circumstances.

- 36) To the applicant's knowledge, is any entity or person disclosed in the process of completing this application the subject of any pending investigation or pending complaint by any federal or state regulatory body or any foreign nation?

Yes ____ No ____

If Yes, identify the person or entity and provide a detailed explanation of the circumstances.

- 37) In the space provided below, identify the name and employment position of the individual who, on behalf of the applicant, assumed primary responsibility for completing this application.

- 38) In the space provided below, identify the name and employment position of the high managerial agent of the applicant who, on behalf of the applicant, is attesting (in the signature space below) that the disclosures within this application are, to the best of his or her knowledge, true, accurate and complete, as required by N.J.A.C. 13:74C-2.1(b)9 or 2.2(d)10.

I, _____, being duly authorized to execute this application on behalf of the applicant, certify that, to the best of my knowledge, the answers and disclosure within this application and its attachments are true, accurate and complete.

Sworn and subscribed to
before me this _____
day of _____

A Notary Public of New Jersey

My Commission expires: _____