

## Explanation of Instructions for Vendor Supplemental Information

DGC-APP. 021 (Rev. 11/03)

### EXPLANATION OF INSTRUCTIONS FOR VENDOR SUPPLEMENTAL INFORMATION

**Prior to submitting your suitability application, please review the following supporting forms and documents listed below to ensure that all of the required information is included.**

<b>APPLICATION FOR A FINDING OF SUITABILITY</b>	<p>Application is required for the business <u>and</u> the sole proprietors, directors, financial providers, and shareholders with more than 10% interest. Any application with omitted information will be rejected. The physical address must be a numerical street or road address.</p>
<b>SUPPLEMENTAL BACKGROUND INFORMATION GAMING RESOURCE SUPPLIER/FINANCIAL SOURCES - VENDORS (BUSINESS AND PRINCIPAL)</b>	<p>Supplemental Background Information is required for the business and the sole proprietors, directors, financial providers, and shareholders with more than 10% interest. Any Supplemental Background Information with omitted information will be rejected. The physical address must be a numerical street or road address.</p>
<b>AUTHORIZATION TO RELEASE INFORMATION FORM</b>	<p>This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. This form must be dated, signed and notarized.</p>
<b>VENDOR DECLARATION OF FULL DISCLOSURE FORM</b>	<p>This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. This form must be dated and signed.</p>
<b>FBI FINGERPRINT CARDS</b> (Non-California Residents)  <b>OR</b>  <b>LIVE SCAN SERVICE FORM</b> (California Residents)	<p>Two (2) FBI fingerprint cards are required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. The cards must be filled out completely with all required information and both required signatures.</p> <p>This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. Take the form to one of the specified locations on the California Applicant Live Scan Services list where fingerprints will be processed via Live Scan.. The second copy of the form must be returned with your application package.</p>
<b>INTERNAL REVENUE SERVICE TAX INFORMATION AUTHORIZATION FORM</b>	<p>This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. The form must be signed and dated.</p>
<b>REQUEST FOR COPY OF PERSONAL INCOME TAX OR FIDUCIARY RETURN</b>	<p>This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. The form must be signed and dated.</p>

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<b>REQUEST FOR COPY OF CORPORATION OR PARTNERSHIP RETURN</b>	This form is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest. The form must be signed and dated.
<b>VENDOR APPOINTMENT OF DESIGNATED AGENT FORM</b>	This form must be properly notarized. The designation must specify the role and responsibility of the agent. An appointment of Designated Agent must be signed by either an owner, or by all partners, or by the highest ranking officer of the business.
<b>TAX RETURNS</b>	It is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest, and the business for the past three (3) years, including all schedules and attachments.
<b>BANK STATEMENTS</b>	It is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest, and the business for the past eighteen (18) months.
<b>INVESTMENT ACCOUNT STATEMENTS (If applicable)</b>	It is required for each owner, director, officer, financial provider, and shareholder with more than 10% interest, and the business for the past eighteen (18) months.
<b>BALANCE SHEETS AND INCOME STATEMENTS</b>	It is required for each business to provide balance sheets and income statements for the past three (3) years.
<b>ARTICLES OF INCORPORATION AND CURRENT AMENDMENTS (If applicable)</b>	If a corporation is applying, a copy of the Articles of Incorporation, along with the most recent amendment, must be provided along with Secretary of State Certificate. A complete list of all stockholders must be provided so that the total percentage of ownership equals 100%.
<b>CURRENT STATEMENT OF OFFICERS</b>	If a corporation is applying, a copy of the most recently filed Statement of Officers must be provided.
<b>ARTICLES OF ORGANIZATION (If applicable)</b>	If a Limited Liability Company is applying, a copy of the Articles of Organization must be provided along with Secretary of State Certificate.
<b>PARTNERSHIP AGREEMENT (If applicable)</b>	If a partnership is applying, an executed copy of the Partnership Agreement must be provided along with the Secretary of State Certificate.
<b>TRUST AGREEMENT (If applicable)</b>	If ownership interest is held in trust, an executed copy of the Trust Agreement must be provided. Trust structure documents are required if the Trust is set up for the purpose of running the business.
<b>ORGANIZATIONAL CHART</b>	A diagram must be enclosed indicating names, job titles, and lines of accountability of employees.

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<b>NON-REFUNDABLE APPLICATION FEE</b>	\$500 per business and per individual application submitted. This is a one time non-refundable fee. <u>Make checks payable to: California Gambling Control Commission.</u>
<b>BACKGROUND INVESTIGATION DEPOSIT</b>	Each applicant must submit a background investigation deposit that, in the judgment of the Director of the Division, will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code section 19867. An applicant is responsible for all costs incurred by the Division while conducting his/her background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded to the applicant. <u>Make checks payable to: California Gambling Control Commission.</u>

**Please mail the entire application package to the California Gambling Control Commission at the address listed below:**

For regular mail delivery, address package to:

**California Gambling Control Commission  
2399 Gateway Oaks Drive, Suite 100  
Sacramento, CA 95833-4231**

Telephone Number: (916) 263-0700

Facsimile Number: (916) 263-0499

Website Address: <http://www.cgcc.ca.gov/>

The Division of Gambling Control can be contacted at the address and telephone number below:

**Department of Justice  
Division of Gambling Control  
1425 River Park Drive, Suite 400  
Sacramento, CA 95815-4509**

Telephone Number: (916) 263-3408

Facsimile Number: (916) 363-3403

Website Address: <http://www.caag.state.ca.us/>