DR 9025 (04/06/05)
COLORADO DEPARTMENT OF REVENUE
DIVISION OF RACING EVENTS
1881 PIERCE STREET, SUITE 108
LAKEWOOD, COLORADO 80214-1494

RENEWAL BACKGROUND INFORMATION FORM

NOTE: Providing false information or the omission of information on this application and/or renewal may result in denial, revocation, and/or other disciplinary action.

PERSONAL HISTORY INFORMATION

Hand print or type an answer to every question. If a question does not apply to you, so state with N/A. If space available is insufficient, use a separate sheet and precede each answer with the appropriate page and title. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Applicant must initial each page, as provided in the lower right hand corner. By placing his/her initial on each page, the applicant is attesting to the accuracy and completeness of the information contained on that page.

All applicants are advised that this Personal History Information is an official document and misrepresentation or failure to reveal information requested may be deemed to be sufficient cause for the denial, suspension, fine, or revocation of a license.

All applicants are further advised that an application for a racing license may not be withdrawn without the permission of the Colorado Division of Racing Events.

Failure to fully complete this application may result in the application not being processed, and may result in the application being returned to the applicant for completion, or may result in denial of a license.

Applicant Please Note: this application has been designed to allow the Division to determine your suitability for licensure. However, the division's investigation may require you to submit additional information in support of your application, any additional information requested must be provided in a timely manner or your application for license may be denied.

1. GENERAL INFORMATION

Date	Type of racing license	Key ☐	Business ☐

BUSINESS APPLICANTS ONLY

I REPRESENT A _____ % OWNERSHIP OF THIS BUSINESS.

2. TRADE NAME

Submitted in connection with application for racing license

Trade Name:

3. KEY EMPLOYEE INFORMATION

Do you intend to actively participate in the management and operation of the racing or OTB operation, and require continuing access to restricted areas at the facilities? If yes, please submit a Key Employee Application with this form. ☐ Yes ☐ No

4. PERSONAL INFORMATION

Name (last, first, middle)				
Alias (i.e. nicknames, maiden name, other name changes)			Date of Birth	Social Security Number
Present Residence Address				
City	County	State	ZIP	Since (date)
Present Business Address				
City	County	State	ZIP	Since (date)
Occupation		Business Phone		Residence Phone
Place of Birth (city, state, country)				

Sex	Color of Hair	Color of Eyes	Weight	Height	Driver's License Number and State of Issue

List All Other Social Security Numbers Used and FEIN# Obtained by Applicant

_____ _____ FEIN# _____

Scars, Tattoos or Distinguishing Marks and/or Characteristics

Are you a citizen of the United States: ☐ Yes ☐ No If "NO" provide documentation of authorization work in the United States **and** Alien Registration Number.

Documentation of Authorization to Work in U.S.		Alien Registration Number	
If Naturalized, Certificate Number	Place	Date	**Applicant's Initials**

5. MARITAL INFORMATION

☐ Single ☐ Married ☐ Separated ☐ Divorced ☐ Widowed ☐ Engaged

Children

Name	Date of Birth	Relationship Involved in Racing
Name	Date of Birth	Relationship Involved in Racing
Name	Date of Birth	Relationship Involved in Racing
Name	Date of Birth	Relationship Involved in Racing

6. ARRESTS, DETENTIONS, AND LITIGATIONS (Include those arrests in which you were not convicted)

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

A. Have your ever been arrested, detained, charged, indicted, or summoned to answer for any criminal offense or violation for any reason whatsoever, regardless of the disposition of the event (except MINOR traffic citations, but including reckless driving, DWI, or eluding)?

☐ Yes ☐ No If yes, give details in space provided below. List all cases without exception.

Date of Arrest	Age	Charge	City, County, State	Disposition	Arresting Agency

Have you ever been named as an unindicted co-conspirator? ☐ Yes ☐ No If yes, furnish details on a separate sheet.

Have you ever been questioned, in connection with the investigation of a felony or any racing or gambling - related offense, by a city, county, state, or federal law enforcement agency, commission or committee?

☐ Yes ☐ No If yes, furnish details on a separate sheet.

B. Has any member of your immediate family or of your spouse's immediate family ever been convicted of a felony?

☐ Yes ☐ No If Yes, complete the following:

Name	Relationship	Charge	Location	Date

Applicant's Initials

C. Have you, as an individual, member of a partnership, or owner, director, or officer of a corporation, ever been a party to a lawsuit as a defendant in which a judgment or settlement was rendered personally against you?

☐ Yes ☐ No (other than divorces)

If yes, give details below. List all cases without exception, including bankruptcies:

Plaintiff/Defendant	Court and Case Number	City, County, State	Disposition

7. EMPLOYMENT

Have you ever been fired or asked to resign from any employment? If yes please explain.

8. ASSET/LIABILITY INFORMATION

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

A. Do you own or control any racing or gaming related assets or liabilities located within or outside the United States, whereby you receive, or will receive, any benefit? ☐ Yes ☐ No

Describe:

B. Have you ever held a financial interest in a racing/gaming venture, including but not limited to, a race track, horse or greyhound, lottery, casino, bookmaking operation, card room, bingo parlor, pull tabs? ☐ Yes ☐ No

If yes, complete the following:

When	Where	% of Interest	Business Name	Business Location

C. Do you control, manage or hold in trust any racing or gaming assets or liabilities for another person or entity? ☐ Yes ☐ No

If yes, furnish details on separate sheet.

9. LICENSE REFUSAL INFORMATION

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

Have you ever been refused a racing or gaming license or related finding of suitability or been a participant in any group which has been denied a racing or gaming license or related finding of suitability? ☐ Yes ☐ No

Describe:

Applicant's Initials

10. FAMILY ASSOCIATION/INTEREST

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

A. Is there anyone in your immediate family who currently is associated with, has a financial interest in, or is otherwise employed in the racing or gaming industry (also include State Lottery and Gaming)? ☐ Yes ☐ No

If yes, complete the following:

Name	Relation	Address	Association or Employment

B. Does anyone in your immediate family own or control any racing or gaming related assets or liabilities located within or outside the United States, whereby you receive, or will receive, any benefit? ☐ Yes ☐ No

If yes, complete the following:

Name	Relation	Asset/Liability

11. ASSIGNMENT/PLEDGE/TRANSFERAL INFORMATION

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

Has your interest in this racing or any OTB operation been assigned, pledged or transferred to any person, firm, or corporation, or has any agreement been entered into whereby your interest is to be assigned, pledged or sold, either in part or in whole? ☐ Yes ☐ No

If yes, explain:

12. BANKRUPTCY INFORMATION

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

Have you ever filed for bankruptcy? ☐ Yes ☐ No If yes, furnish details on a separate sheet.

13. EVIDENCE OF FINANCIAL STABILITY

Required by [C.R.S. 12-60-504 (3)], and C.R.C.R. #3.416

A. Annual Income

Salary (describe source)	$
Interest (describe source)	$
Dividends (describe source)	$
Other (describe in detail)	$
	$
	$
TOTAL	**$**

Applicant's Initials

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

B. Detail below or on a separate sheet the amount of your interest in the subject business. Please detail the amount and source(s) of your initial investment and the amount and source(s) of your current investment. Include detailed descriptions of any funds, assets, or other items used as security for your investment and to whom pledged.

Have there been any changes in this area in the last three (3) years? ☐ ***YES*** ☐ ***NO*** ***If no, do not complete this section.***

C. Detail below or on a separate sheet all outstanding debts owed by you, your dependents or immediate family members, to any person or entity that is involved or associated with, any racing or gaming related business.

Applicant's Initials

SCHEDULE A

STATEMENT OF ASSETS

List all assets, both tangible and intangible on the appropriate line below. Enter the amount as of the date of this statement.

As of 20

CURRENT ASSETS	Original Cost/Investment	Market Value
Cash on Hand	$	$
Cash in Banks	$	$
Accounts and Notes Receivable	$	$
INVESTMENTS		
Stocks and Bonds	$	$
Business Investments	$	$
FIXED ASSETS		
Real Estate	$	$
OTHER ASSETS (CARS, ETC.)		
_____	$	$
_____	$	$
_____	$	$
	TOTAL ASSETS	**$**

Applicant's Initials

SCHEDULE B

STATEMENT OF LIABILITIES

List all liabilities, both tangible and intangible on the appropriate line below. Enter the amount as of the date of this statement.

As of **20**		
CURRENT LIABILITIES (Debts due and payable within one year)		
Accounts Payable (credit cards, etc.)	$	
Taxes Payable	$	
LONG TERM LIABILITIES (Debts due and payable in more than one year)		
Notes Payable	$	
Mortgages Payable	$	
Other Liabilities	$	
TOTAL LIABILITIES	**$**	
NET WORTH	**$**	

(Assets - Liabilities = Net Worth)

Applicant's Initials

SCHEDULE C

AUTHORIZATION AND RELEASE

I _____ , hereby authorize the Colorado Bureau of Investigation, the Colorado Attorney General, the Colorado Racing Commission and the Division of Racing Events (hereinafter collectively the "investigatory agencies") to obtain from any source, and to share with each other and release to the Racing Division, any information concerning me contained in any type of criminal history record files, wherever located. I understand that the criminal history record files contain records of arrests which may have resulted in a disposition other than a finding of guilty (i.e., dismissed charges, or charges that resulted in a not guilty finding). I further understand that the information may contain listings of charges that resulted in suspended imposition of sentence, even though I successfully completed the conditions of said sentence and was discharged pursuant to law. I acknowledge that this type of information may be released to the agencies listed above, even though this record may be designated as "confidential" or "nonpublic" under the provisions of state or federal laws.

In consideration for any of the investigatory agencies releasing any information concerning me contained within criminal history record files to the Colorado Racing Division, or to each other, I, on behalf of myself, my spouse, legal representatives, heirs, and assigns, hereby release, waive, discharge and agree to hold harmless the commission, the division, the investigatory agencies, their officers and employees, from all liability for any claim or damages resulting from the release of this information to the investigatory agencies.

Applicant Signature	Date	Time ☐ a.m. ☐ p.m.
City	State	
Witness Signature		
Witness Signature		

Applicant's Initials

AUTHORITY FOR RELEASE OF INFORMATION AND RECORDS

To **Colorado Racing Division**	From

1. I hereby authorize and request all persons to whom this request is presented having information relating to or concerning the above named applicant to furnish such information to a duly appointed agent of the Colorado Division of Racing Events, or the Colorado Bureau of Investigation, whether or not such information would otherwise be protected from the disclosure by any constitutional, statutory or common law privilege.
2. I hereby authorize and request all persons to whom this request is presented having documents relating to or concerning the above named applicant to permit a duly appointed agent of the Colorado Division of Racing Events, or the Colorado Bureau of Investigation to review and copy any such documents, whether or not such documents would otherwise be protected from disclosure by any constitutional, statutory, or common law privilege.
3. If the person to whom this request is presented is a brokerage firm, bank, savings and loan, or other financial institution or an officer of the same, I hereby authorize and request that a duly appointed agent of the Colorado Division of Racing Events, or the Colorado Bureau of Investigation be permitted to review and obtain copies of any and all documents, records or correspondence pertaining to me, including but not limited to past loan information, notes co-signed by me, checking account records, savings deposit records, safe deposit box records, passbook records, and general ledger folio sheets.
4. I do hereby make, constitute, and appoint any duly appointed agent of the Colorado Division of Racing Events, or the Colorado Bureau of Investigation, my true and lawful attorney in fact for me in my name, place, stead, and on my behalf and for my use and benefit for the following purposes only:
   (a) To request, review, copy, sign for, or otherwise act for investigative purposes with respect to documents and information in the possession of the person to whom this request is presented as I might;
   (b) To name the person or entity to whom this request is presented and insert that person's name in the appropriate location on this request:
   (c) To place the name of the agent presenting this request in the appropriate location on this request.
5. This release ends twelve (12) months from the date of execution.
6. The above named applicant has filed with the Colorado Racing Division an application for a racing license. Said applicant understands that it is seeking the granting of a privilege and acknowledges that the burden of proving its qualifications for a favorable determination is at all times on the applicant. Said applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action of financial loss which may result from action with respect to this application.
7. The applicant does, for itself, its heirs, executors, administrators, successors, and assigns, hereby release, remise, and forever discharge the person to whom this request is presented, and his agents and employees from all and all manner of actions, causes of action, suits, debts, judgements, executions, claims, and demands whatsoever, known or unknown, in law or equity, which the applicant ever had, now has, may have, or claims to have against the person to whom this request is being presented or his agents or employees arising out of or by reason of complying with the request.
8. The applicant agrees to indemnify and hold harmless the person to whom this request is presented and his agents and employees from and against all claims, damages, losses, and expenses, including reasonable attorneys' fees arising out of or by reason of complying with this request.
9. A Division reproduction of this request (photocopy or similar process) shall be for all intents and purposes as valid as the original.

Signature		Date Signed
Signature of Agent Representing Request		Date Signed
Printed Name (Last, First, Middle Initial)		Other Names Used
Date of Birth	Social Security Number	Current Home Address (Street, City, State and ZIP)
Home Telephone Number (Include Area Code)		

SCHEDULE E

INDIVIDUAL'S WAIVER OF LIABILITY

I, _____

(Name of Officer, Director, Stockholder or Limited Partner owning 5% or more, General Partner, Sole Proprietor, or Key Employee)

hereby waive all liability as to the State of Colorado, the Department of Revenue, the Division of Racing Events, the Colorado Bureau of Investigation, and their instrumentalities and agents, for any and all damages resulting to the undersigned from any disclosure or publication in any manner, other than a willfully unlawful disclosure or publication, of any material or information acquired during the licensing process or during any inquiries, investigations or hearing.

Signature of Person Named Above	Date

Applicant's Initials

SCHEDULE G

OATH AND AFFIRMATION

State Of	County Of

I, _____ , being duly sworn, depose and say that the above statements are true and correct to the best of my knowledge and belief and that these statements are executed with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for the refusal to issue a racing license by the State of Colorado. Further, that I am aware that later discovery of an omission or misrepresentation made in the above statements may be grounds for the revocation of a racing license. I further state that I am voluntarily submitting this application to the Colorado Racing Commission, under oath with full knowledge that I may be charged with perjury or other crimes for intentional misrepresentations pursuant to Colorado law.

Applicant's Signature	Date

REMARKS

Applicant's Initials