



# ENTITY DISCLOSURE FORM

Oregon State Lottery  
 Retail Contract Administration  
 PO Box 12649  
 Salem OR 97309-0649

<b><u>For Lottery Use Only</u></b>
Retailer # _____
Business Name _____

## Section A- Entity Information:

Entity Name:			
Corporate Physical Address:	City:	State:	Zip:
Mailing Address (If different):	City:	State:	Zip:
Entity Telephone: (     )			
Other names by which company is known:			
State where the Corporation or other entity is filed/registered to do business:			
Date Corporation/or other entity filed:			
Other States/Jurisdictions where filed/registered to do business:			

## Section B- Type of Business Entity (please mark appropriate box) holding ownership interest/shares in applicant entity

Corporation	Trust
Limited Liability Company	Partnership
<b>Taxpayer Identification Number (TIN)</b>	
Federal Taxpayer Identification Number:	Effective Date:
Is this business entity wholly or partially owned by <u>any</u> other business entity, i.e., a parent company?	
<input type="checkbox"/> <b>Yes</b> <input type="checkbox"/> <b>No</b> (If yes, you must provide the name of the business entity, and the names and titles of all principals, i.e., stockholders, directors, partners, members. Attach a separate sheet.) NOTE: Additional documentation may be required.	

## Section C (Key Persons, see Appendix OAR Chapter 177, attached)

**Below, list the name and title of all KEY PERSONS involved in this entity** (i.e., all officers, directors, and stockholders in a corporation; all members of an LLC; all partners in a partnership, whether general or limited; and, in a trust, list the trustee and all persons who are entitled to receive benefit from the trust):

NAME (LAST)	(FIRST)	(MI)	TITLE	DATE OF BIRTH	SOC. SEC. NO.
ADDRESS			CITY, STATE, ZIP CODE	DISCLOSURE ATTACHED?	HOME PHONE
				<input type="checkbox"/> YES <input type="checkbox"/> NO	
NAME (LAST)	(FIRST)	(MI)	TITLE	DATE OF BIRTH	SOC. SEC. NO.
ADDRESS			CITY, STATE, ZIP CODE	DISCLOSURE ATTACHED?	HOME PHONE
				<input type="checkbox"/> YES <input type="checkbox"/> NO	

**If additional key persons, please attach an additional sheet.**

## Section D-Gaming/Gambling Licenses, Goods and Services

<p><b>A. HAS THIS COMPANY OR INDIVIDUAL EVER HELD OR DOES IT NOW HOLD ANY GAMBLING OR GAMING LICENSES, PERMITS OR CONTRACTS IN ANY JURISDICTION EXCEPT THE OREGON LOTTERY?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, LIST ON A SEPARATE SHEET THE LICENSE TYPE, LICENSE NUMBER (IF APPLICABLE), JURISDICTION, REGULATORY AGENCY, AGENCY ADDRESS, AGENCY CONTACT PERSON, AGENCY TELEPHONE, DATE OF LICENSING OR PERMIT, AND LICENSE STATUS.</p>
<p><b>B. HAS ANY GAMING LICENSE, CONTRACT OR PERMIT FOR THIS COMPANY OR INDIVIDUAL BEEN DENIED, REVOKED, OR SUSPENDED (INCLUDING OREGON LOTTERY)?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, PROVIDE COMPLETE DETAILS ON A SEPARATE SHEET.</p>
<p><b>C. LIST ALL STATES OR PLACES WHERE YOUR COMPANY CONTRACTS TO SUPPLY GAMING GOODS OR SERVICES AND TO WHOM THOSE GOODS OR SERVICES ARE PROVIDED.</b></p>

## Section E-Ownership

<p><b>A. ARE THERE ANY SILENT PARTNERS OR ANY PREVIOUS OWNERS INVOLVED IN THIS BUSINESS OR ENTITY IN ANY WAY?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, LIST NAMES AND CAPACITY.</p>									
<p><b>B. DO ANY OF THE PAST OWNERS OR OFFICERS (LISTED ABOVE OR UNDISCLOSED) NOW OWN ANY SHARE OF THE PRESENT COMPANY?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO</p>									
<p><b>C. ARE ANY PAST OWNERS OR OFFICERS NOW EMPLOYED BY THIS COMPANY OR USED AS CONSULTANTS, MANAGEMENT CONTRACTORS OR IN ANY OTHER CAPACITY?</b>  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, LIST NAMES AND CAPACITY.</p>									
<p><b>D. ARE THERE ANY KEY PERSON(S) OR SUBCONTRACTOR OF THE BUSINESS, OR ANY EMPLOYEE THEREOF WHO IS ASSIGNED TO AN OREGON LOTTERY PROJECT, OR WHO HAS A CLOSE PERSONAL RELATIONSHIP WITH OR IS AN IMMEDIATE FAMILY MEMBER OF ANY LOTTERY EMPLOYEE.</b> <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, LIST NAMES AND CAPACITY.</p>									
<table border="1"> <thead> <tr> <th>PERSON (RETAILER)</th> <th>RELATIONSHIP</th> <th>LOTTERY EMPLOYEE</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	PERSON (RETAILER)	RELATIONSHIP	LOTTERY EMPLOYEE						
PERSON (RETAILER)	RELATIONSHIP	LOTTERY EMPLOYEE							

## Section F-Legal Background

<p><b>A. CRIMINAL INVESTIGATIONS</b></p> <p>HAS THE APPLICANT, A SUBSIDIARY, INTERMEDIARY COMPANY, PARENT COMPANY, HOLDING COMPANY, RELATED CORPORATION OR BUSINESS ENTITY EVER BEEN THE SUBJECT OF A GRAND JURY OR CRIMINAL INVESTIGATION?  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, PROVIDE COMPLETE DETAILS ON A SEPARATE PAGE.</p>
<p><b>B. INDICTMENTS AND RECORDS OF CONVICTION</b></p> <p>HAS THE APPLICANT, A SUBSIDIARY, INTERMEDIARY COMPANY, PARENT COMPANY, HOLDING COMPANY, RELATED CORPORATION OR BUSINESS ENTITY, OR ANY KEY PERSON IN ANY OF THE PRECEDING EVER BEEN INDICTED, CONVICTED, OR ARRESTED FOR ANY CRIMINAL OFFENSE?  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, PROVIDE COMPLETE DETAILS ON A SEPARATE PAGE.</p>
<p><b>C. CIVIL ACTIONS</b></p> <p>HAS THE APPLICANT, A SUBSIDIARY, INTERMEDIARY COMPANY, PARENT COMPANY, HOLDING COMPANY, RELATED CORPORATION OR BUSINESS ENTITY, OR ANY KEY PERSON IN ANY OF THE PRECEDING EVER BEEN INVOLVED IN A CIVIL LAWSUIT WHICH WAS BASED IN WHOLE OR IN PART ON ALLEGATIONS OF CONDUCT WHICH WOULD CONSTITUTE A CRIME OR WOULD AMOUNT TO FRAUD, DECEIT OR MISREPRESENTATION?  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, PROVIDE COMPLETE DETAILS ON A SEPARATE PAGE.</p>
<p><b>D. JUDGMENTS OR DECREES</b></p> <p>HAS THE APPLICANT, A SUBSIDIARY, INTERMEDIARY COMPANY, PARENT COMPANY, HOLDING COMPANY, RELATED CORPORATION OR BUSINESS ENTITY, OR ANY KEY PERSON IN ANY OF THE PRECEDING EVER BEEN THE SUBJECT OF ANY ORDER, JUDGMENT, OR DECREE OF ANY COURT OR ANY ORDER OF AN ADMINISTRATIVE AGENCY, BOARD, OR BODY PROHIBITING IT FROM, OR OTHERWISE LIMITING ITS TYPE OF BUSINESS, PRACTICE OR AUTHORITY?  <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, PROVIDE COMPLETE DETAILS ON A SEPARATE PAGE.</p>

**Section G- Business History- IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS YES, PLEASE ATTACH A SEPARATE SHEET WITH DETAILS AND ANY SUPPORTING DOCUMENTS.**

<b>A. HAS THE BUSINESS/ORGANIZATION OR INDIVIDUAL EVER GONE THROUGH BUSINESS/PERSONAL BANKRUPTCY?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>B. DOES THE BUSINESS/ORGANIZATION OWE ANY PAST DUE TAXES, FEES, OR OBLIGATIONS TO LOCAL, STATE OR FEDERAL GOVERNMENT?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>C. HAVE YOU EVER BEEN OR APPLIED TO BE AN OREGON LOTTERY RETAILER?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, EXPLAIN:	
NAME OF BUSINESS AND CITY	RETAILER IDENTIFICATION NUMBER IF KNOWN

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**DISCLOSURE STATEMENT (READ CAREFULLY)**

I, the undersigned, upon an oath do hereby declare that the forgoing information is true, correct, and complete. I understand that untruthful or misleading answers may be cause for denial as a Key Person as defined in OAR Chapter 177-040-0000 (7) (m) (See Appendix attached).

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**TYPED OR PRINTED NAME**

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**TITLE** (Officer, Member, Partner, etc)

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**SIGNATURE**

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**DATE**

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## APPENDIX

### Oregon State Lottery-OAR CHAPTER 177

#### Division 40-Retailer Contract

#### 177-040-0000 Definitions

#### KEY PERSON DEFINITIONS

(7) “**Key person**” means:

(a) Corporations: For any corporation, including a subsidiary of a parent corporation:

(A) Stockholders: Any stockholder of a corporation who owns 10% or more of the outstanding stock in such corporation.

(B) Directors: Any director of a corporation who owns or controls 3% or more of the voting stock in such corporation.

(C) Officers: Any officer of a corporation.

(b) Private Clubs: For a private club as described in ORS 471.175(8):

(A) The treasurer.

(B) Any officers, directors, or trustees who oversee or direct the operation of the food, beverage, Lottery, or other gambling-related activities of the private club, and

(C) Each manager in charge of the food, beverage, Lottery, or other gambling-related activities of the private club.

The provisions of paragraphs (7)(a)(A), (B), and (C) of this rule do not apply to private clubs.

(c) Trusts: The trustee and all persons entitled to receive income or benefit from the trust.

(d) Associations: The members, officers, and directors.

(e) Partnerships and Joint Ventures: All of the general partners, limited partners, or joint venturers.

(f) Limited Liability Companies: Any manager of the limited liability company, and any members of the limited liability company whose investment commitment or membership interest is 10% or more in the limited liability company.

(g) Layered Ownership: If the parent company, general partner, limited partner, joint venturer, stockholder, member or manager of a limited liability company is itself a corporation, trust, association, subsidiary, partnership, joint venture or limited liability company, then the Director may require that the applicant provide disclosure for such entity as if such entity were a key person itself.

(h) Family Members: Immediate family members as required in ORS 461.300(2)(b)(G) and (H).

(i) Sole Proprietors: The sole proprietor, if the retailer is a sole proprietor.

(j) Managers:

(A) General: A person, regardless of title, who acts or who has real or apparent authority to act on behalf of the owner in most matters concerning the operation of the owner’s business during all business hours, or who routinely performs all of the following duties:

(i) The hiring and firing of employees;

(ii) Making purchasing decisions relating to the buying of supplies and inventory; and

(iii) Conducting banking functions for the business.

(B) Exception: This definition does not include a “shift manager” or a “convenience store manager” unless otherwise qualified under this rule.

(C) Examples: The following are examples of managers who are key persons under this definition:

(i) General Manager: A person who operates the business for a corporate or absentee owner.

(ii) Area Manager: A person who operates multiple locations or supervises multiple store managers.

(k) Landlord: A landlord who receives 40% or more of the retailer’s Lottery commissions as a part of lease payments or rent, or any landlord who the Director finds, based on reasonably reliable information, exerts influence over the operation of the retailer’s business.

(l) Contractual Relationship: Any person who has a lease, contract, or other agreement with the applicant or retailer or anyone else, to provide food service or to manage or operate any part of the business in a Video LotterySM retailer’s premises other than as an employee.

(m) Control Person: Any reference to a “control person” of a retailer in OAR Chapter 177, a Lottery retailer contract, or Lottery form in effect or in use on or after the effective date of this rule shall be deemed to refer to a “key person” as defined in this section.

(8) “**Personal disclosure**” means those documents and information that are part of the application which relate to a natural person’s personal, criminal, and financial background, and associations with other people.

(9) “**Mediation**” has the meaning as defined in ORS 36.110(4).

(10) “**Mediator**” means a person who performs mediation.

(11) “**Multi-State Retail Chain**” means a retailer, including an applicant, who:

(a) Operates five or more retailer locations within the State of Oregon and one or more retail locations outside of the State of Oregon, all of which engage in similar business activities;

(b) Has common ownership and control over each location; and

(c) Sells no Oregon Lottery® games except traditional lottery games within the State of Oregon.

(12) “**Public Company**” means a retailer, including an applicant, who is a business entity that offers securities registered for sale by the federal Securities and Exchange Commission to the general public and sells no Oregon Lottery® games except traditional lottery games within the State of Oregon.

Stat. Auth.: OR Const. Art. XV, Sec. 4(4)

Stats. Implemented: ORS 461.300

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