

6. Beginning with your current residence and working backwards provide the following information with respect to each place where you have lived during the past five years.

| DATES | | ADDRESS (NUMBER, STREET, APARTMENT, CITY, STATE, COUNTRY AND ZIP CODE) | TELEPHONE NUMBER |
|-----------------|---------------|---|------------------|
| FROM (MO\YR) | TO (MO\YR) | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 6.**

BUSINESS DESCRIPTION

7. Name of Trainer:

| PRINT NAMES OF TRAINERS WHOM YOU CURRENTLY WORK FOR |
|---|
| |
| |
| |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 7.**

8. In the chart below, provide the name(s) of your last employer?

| NAME OF LAST EMPLOYER | TYPE OF LICENSE | DATES | |
|-----------------------|-----------------|-----------------|---------------|
| | | FROM (MO/YR) | TO (MO/YR) |
| | | | |
| | | | |
| | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 8.**

9. Provide the names of three (3) Trainers for references in the chart below:

| PRINT NAMES OF TRAINERS |
|-------------------------|
| 1. |
| 2. |
| 3. |

Initials/Date: _____

CIVIL, CRIMINAL AND INVESTIGATORY PROCEEDINGS

The next question asks about any arrests, charges or offenses you may have committed. Prior to answering this question, carefully review the definitions and instructions which follow:

DEFINITIONS: For purposes of this question:

- A. **Arrest** means being taken into custody by any police or other law enforcement authority.
- B. **Charge** includes any indictment, complaint, information or other notice of the alleged commission of any "offense."
- C. **Conviction** includes the finding of guilty of any "offense" upon a trial or a plea of guilty. An adjudication of delinquency shall not be considered a conviction. Such a finding may, however, be considered for purposes of determining the suitability of an applicant.
- D. **Crime or Offense** includes all felonies and misdemeanors.
- E. **Disposition** the way the case was resolved: guilty, not guilty, continued without a finding, dismissed, pending,

INSTRUCTIONS:

- A. Please note, this is not an application for employment. Accordingly, you must answer all questions completely and may not omit information. Answer "yes" and provide all information to the best of your ability **EVEN IF:**
 - 1. You did not commit the offense charged;
 - 2. The charges were dismissed or subsequently downgraded to a lesser charge;
 - 3. You completed a diversionary program or the equivalent thereof;
 - 4. You were not convicted;
 - 5. You did not serve any time in prison or jail;
 - 6. The charges or offenses happened a long time ago.
- B. Answer "no" **IF:**
 - 1. You have never been arrested or charged with any crime or offense.
 - 2. Records of criminal appearances, criminal dispositions, and/or any information concerning acts of delinquency that have been sealed.

10. Have you ever been arrested, charged and/or convicted of any crime or offense in any jurisdiction (including Massachusetts)?

Yes No If you checked yes, complete the following chart:

| NATURE OF CHARGE OR OFFENSE | DATE CHARGE OR OFFENSE | NAME AND ADDRESS OF LAW ENFORCEMENT OR COURT INVOLVED | DISPOSITION |
|-----------------------------|------------------------|---|-------------|
| | | | |
| | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 10.**

11. A. Are you presently on parole or probation?

Yes No

B. Have you ever had any permit or license of any type whatsoever denied, suspended, or revoked by any Federal, State, or City Agency?

Yes No If you checked yes to any of above questions, complete the following chart:

| DATE FILED | JURISDICTION | DOCKET NUMBER | OTHER PARTIES TO THE LAWSUIT | NATURE OF THE LAWSUIT | DISPOSITION (IF APPLICABLE) | DATE OF DISPOSITION (IF APPLICABLE) |
|------------|--------------|---------------|------------------------------|-----------------------|-----------------------------|-------------------------------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 11.**

Initials/Date: _____

LICENSING HISTORY

12. Have you been licensed previously by the Massachusetts State Racing or Gaming Commission?

Yes No If you checked yes, complete the following chart:

| YEAR OF LICENSURE | TYPE OF LICENSE, PERMIT, REGISTRATION, CERTIFICATION, OR OTHER AUTHORIZATION |
|-------------------|--|
| | |
| | |
| | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 12.**

13. Do you have, or have you ever had a racing license in any other state?

Yes No If you checked yes, complete the following chart:

| NAME STATE | TYPE OF LICENSE | YEAR(S) |
|------------|-----------------|---------|
| | | |
| | | |
| | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 13.**

14. Are you now or have you ever been found ineligible for licensure, denied a license, had a license revoked or suspended, or been set down, ruled off or otherwise barred from participating in racing by any racing organization, association, commission or other recognized turf authority in the U.S. or elsewhere?

Yes No If you checked yes, complete the following chart:

| DATE | STATE | TRACK | SPECIFIC VIOLATION |
|------|-------|-------|--------------------|
| | | | |
| | | | |
| | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 14.**

15. Have you ever been assessed a fine of \$500 or greater by any racing organization, association, commission or other recognized turf authority in the U.S. or elsewhere?

Yes No If you checked yes, complete the following chart:

| DATE | STATE | TRACK | SPECIFIC VIOLATION |
|------|-------|-------|--------------------|
| | | | |
| | | | |
| | | | |

Note: Should you require additional space, attach a separate sheet of paper in the same format and label it **attachment to question 15.**

Initials/Date: _____

READ THE FOLLOWING STATEMENTS AND SIGN BELOW

SIGNATURE SECTION

STATEMENT OF TRUTH and CONSENT

I hereby state under the pains and penalties of perjury that:

1. The information contained herein and accompanies this application is true and accurate to the best of my knowledge and understanding.
2. I personally supplied and/or reviewed the information contained in this form.
3. I understand and read the English language or I have had an interpreter read, explain and record the answer to each and every question on this application form.
4. Any document accompanying this application that is not an original document is a true copy of the original document.
5. I am aware that if any of the foregoing statements made by me are false or misleading this application may be denied.
6. I hereby consent to fingerprinting, photographing and the supplying of handwriting exemplars as authorized by 205 CMR 134.07.

I understand if I have questions regarding this form, I should ask an employee of the Commission's Division of Licensing.

NOTICE TO APPLICANT:

The Bureau or Commission may decline to issue, deny suspend or revoke a license or registration if the individual has been convicted of a felony or other crime involving embezzlement, theft, fraud or perjury; submitted an application under M.G.L. c. 268, sec. 9A and 205 CMR 3.00, that contains false or misleading information; or committed prior acts which form a pattern of misconduct that makes the applicant unsuitable. In determining whether an applicant is suitable, the Bureau or Commission will evaluate and consider the overall reputation of the applicant including, without limitation, the individual's integrity, honesty, good character and reputation, and whether the applicant has been convicted of a crime of moral turpitude.

SIGN UNDER THE PAINS AND PENALTIES OF PERJURY

License applied for Expires December 31st year of Issuance

| | |
|--|---|
| <p>X _____ Signature of Applicant</p> <p>_____ Print Name of Applicant</p> <p>_____ Date of Signature</p> | <p>I hereby employ the above named applicant as of the date of this application. To the best of my knowledge, the applicant is legally in the United States and has complied with the Immigration Reform Act and Control Act of 1986 by completing a Form 1-9, I acknowledge the workmen's compensation insurance requirements established by the Worker's Compensation Act, M.G.L. c. 1542 as they appear I the "Notice to Trainer's" section of my current Massachusetts Thoroughbred trainer license application</p> <p>_____ Signature of Trainer</p> <p>_____ Print Name of Trainer</p> <p>_____ Date of Signature</p> |
|--|---|

RELEASE AUTHORIZATION - INDIVIDUAL

To: Law Enforcement Agencies, Courts, Probation Departments, Military Organizations, Selective Service Boards, Employers, Educational Institutions, Banks, Financial and Other Such Institutions, All Gaming Regulatory Agencies, and All Governmental Agencies – federal, state and local, without exception, both foreign and domestic (the "issuing entity").

I, _____, authorize the Massachusetts Gaming Commission (Commission) and Investigations and Enforcement Bureau (Bureau) to conduct a full investigation into my background and activities.
(Print Name)

I acknowledge that the Commission and/or Bureau may contract or may have contracted with third parties for the purpose of conducting due diligence suitability investigations on behalf of the Commission and/or Bureau in connection with my application filed with the Commission.

I authorize the release of any and all information pertaining to me, documentary or otherwise, as requested by any employee or agent of the Commission or Bureau, provided that he or she certifies to you that I have an application pending before the Commission or that I am presently a licensee or person required to be qualified.

I release any issuing entity, the Commission, the Bureau and their agents, representatives and employees, both individually and collectively, from any and all liability for damages of whatever kind, which may at any time result because of compliance with this authorization for release of information.

I acknowledge that this authorization shall supersede and replace any prior release authorization executed by me for the Commission and/or Bureau.

This release shall be valid from the date of signature and, once issued, for the duration of the license.

A photocopy of this authorization will be considered as effective and valid as the original.

X _____ (Signature of Applicant) _____ (Type, Stamp or Print Name) _____ (Date)

Approved **Denied**

Signature of Steward / Judge Date

Print Name of Steward / Judge

Approved **Denied**

Mass. State Police
Reviewing Officer: _____

Date: _____

Approved **Denied**

Signature of Steward / Judge Date

Print Name of Steward / Judge

Approved **Denied**

Signature of Steward / Judge Date

Print Name of Steward / Judge

Comments: