





































































\_\_\_ YES  
\_\_\_ NO

If the answer to this question is yes, submit as **Exhibit 5.14** a list of all accusations, charges, and settlements including the date of each incident and a thorough explanation of the circumstances.

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**5.15.** Submit as **Exhibit 5.15** all of the following that are available:

- (a) A copy of Applicant’s employee handbook
- (b) A copy of all of Applicant’s policies and procedures regarding internal controls including but not limited to those policies that deal with the handling and protection of money, the placing of wagers both in person and via account deposits, security and surveillance, and method of accounting. Alternatively, a plan for establishing such internal controls.
- (c) A copy of Applicant’s audit committee and compliance committee charters as well as a list of the audit and compliance committee members and their relationship to the Applicant
- (d) Any other policies that demonstrate the Applicant’s proficiency in general industry standards for business and financial practices, procedures, and controls.

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*Please note: the Commission may condition any license award on Applicant supplying complete and satisfactory information relative to its internal controls and associated practices.*

**5.16.** Submit as **Exhibit 5.16** the following documents: a copy of the Applicant’s most recent audited financial statements, most recent audited or unaudited quarterly financial statement, and an audited profit and loss statement for the Applicant’s most recent fiscal year. Please include a description of any interest held by Applicant or any of its Qualifiers in any concessionaire. In the event that the Applicant does not have the requested document, please attach a statement explaining why not.

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*Please note: the Commission may condition any license award on Applicant supplying complete and satisfactory financial statements.*

**5.17.** Submit as **Exhibit 5.17** a list of which, if any of the Applicant’s Qualifiers will be involved in funding the proposed project. For each such Qualifier, explain the amount and form of funding the Qualifier intends to provide for the project, and documentation supporting the Qualifier’s capacity to provide that funding.

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**5.18.** Submit as **Exhibit 5.18** copies of all policies of insurance carried by Applicant as well as a statement setting forth all other types of insurance carried, or anticipated to be carried, for the protection of employees and patrons.

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*Please note: the Commission may impose a license condition requiring Applicant to obtain satisfactory worker’s compensation insurance, public liability insurance, jockey insurance, and driver’s insurance.*

**5.19.** Applicant may submit as **Exhibit 5.19** a statement explaining any other information relevant to its capacity to hold or conduct honestly managed racing meetings.

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*Please note: if awarded a license the licensee will be required to maintain its suitability on an ongoing basis.*

**5.20.** Applicant may submit as **Exhibit 5.20** a statement explaining any other information relevant to

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