

# Arizona Tribal – State Vendor Application

## New Individual Application

### Class D Vendor

#### **Mission Statement**

*We conduct investigations of gaming vendors to determine suitability and review records to ensure compliance with the Compact and its appendices in full support of the Tribes' and the Department's missions and values.*

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You are advised that this application is an official document and false or incomplete answers could result in criminal prosecution and the denial, or subsequent revocation, of State Certification. You are further advised that an application for State Certification may not be withdrawn without the permission of the Department of Gaming.

Under the Federal Privacy Act, disclosure of social security numbers is voluntary unless a statute specifically requires it or allows states to collect the number. In this instance, disclosure of your social security number is mandatory pursuant to Title 42 United States Code, Sections 405(c)(2)(c), and Sections 653, 654, and 666; and A.R.S. § 25-320(P) in order to aid the Department of Economic Security in locating non-custodial parents or the assets of non-custodial parents.

**PRINCIPAL**

**A Principal as defined in the Arizona Tribal – State Compact Section 2(ee):** “Principal: means with respect to any Person:

- 1) Each of its officers and directors;
- 2) Each of its principal management employees, including any chief executive officer, chief financial officer, chief operating officer or general manager;
- 3) Each of its owners or partners, if an unincorporated business;
- 4) Each of its shareholders who own more than ten (10) percent of the shares of the corporation, if a corporation; Each Person other than a banking institution who has provided financing for the entity constituting more than ten (10) percent of the total financing of the entity; and
- 5) Each of the beneficiaries, or trustees of a trust.

Any individual associated with the company (Partnerships, Limited Liability Companies or any other business entity) submitting an application for certification may be required to disclose by the Arizona Department of Gaming after its review of the organizational structure of the applicant.

**KEY PERSONNEL**

Key Personnel include, but are not limited to, any person who represents the company in a sales, services, consulting, or training capacity with any Arizona gaming facility. Furthermore, Key Personnel is any person authorized to represent the company’s interests in work projects, contracts, billing issues, or employee placement involving any Arizona gaming facility.

Any individual associated with the company submitting an application for certification may be required to disclose by the Arizona Department of Gaming after its review of the organizational structure of the applicant.

**Important Attachments**

THE FOLLOWING FORMS MUST BE COMPLETED AND RETURNED WITH APPLICATION FEE TO BEGIN PROCESSING

**Individual Forms**

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ADG-901 New	Application for Certification
ADG-902 Individual	Release of All Claims
ADG-903 Individual	Applicant Request to Release Information
ADG-904-D Individual	Personal Financial Questionnaire
ADG-906 Individual	Applicant Authorization to Release Information
Fingerprint Cards	Two (2) Cards

**Additional Items**

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Photograph	Taken within the past six (6) months
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**\*NOTE\***

In order to eliminate errors, please check for the following before submitting the application:

- ◆ Ensure that all forms have been **NOTARIZED** and stamped by a Notary Public.
- ◆ Ensure that each question is answered or noted “**NONE**.” “N/A” is not an acceptable answer.
  - ◆ **Initial** the bottom of **all pages** that are required – ADG-901 & ADG-904

# ARIZONA TRIBAL – STATE VENDOR APPLICATION

Application for State Certification and Tribal Licensure  
By Principal or Key Personnel

## INSTRUCTIONS

Type or print an answer to every question. Do not leave any spaces blank. If a question does not apply to you, mark the space with ‘None’. **Do not use N/A.** If you do not have enough space, continue writing your answers on page 10 or use a separate sheet. Be sure to mark each answer with the same number as the question. Answer each question with complete and truthful answers and do not leave any information out. Information on the application form will be reviewed and verified. You must place your initials in the lower right hand corner of each page to indicate that you have correctly answered each question on that page. If you do not understand a question, or need help completing the form, please call the Arizona Department of Gaming, Vendor Certification Unit.

### 1. PERSONAL INFORMATION

<b>Date:</b>	
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Last Name		First Name		Middle Name	
Alias, Nicknames, Maiden Name, Other Name Changes, Legal or Otherwise			E-Mail Address		
Present Residence Address - Street or RFD			City, State and Zip Code		Since (mm/yyyy)
Residence Phone	Personal Cell Phone	Social Security # Or National ID #		Passport #	
Employer			Occupation		
Present Business Address - Street or RFD			City, State and Zip Code		Since (mm/yyyy)
Business Phone		Business Cell Phone		Business Fax	
Date of Birth	Place of Birth (City, County, and State)			Sex	Age
Are you a U.S. citizen? <input type="checkbox"/> Yes <input type="checkbox"/> No		Alien Registration No.	Documentation of eligibility for employment in the U.S. Expiration Date		
Scars, tattoos or distinguishing marks and/or characteristics				Driver's License No.	
What is your primary spoken and written language?			Do you speak English fluently? <input type="checkbox"/> Yes <input type="checkbox"/> No		

**2. MARITAL INFORMATION**

Single     Engaged     Married  Separated     Divorced     Widowed

**A. Complete the information below, if you are Married, Separated or if your Divorce is pending.**

Date of Marriage		Place of Marriage (City, County, and State)			
Spouse's Full Name (Maiden)			Spouse's Social Security No.		
Date of Birth		Place of Birth (City, County, and State)			
Residence Address - Street or RFD				City, County, and State, Zip Code	
				Since (mm/yyyy)	
Residence Phone (include area code)		Personal Cell Phone(include area code)		Business Phone (include area code)	
Employer's Names			Occupation		
Employer's Address - Street or RFD				City, County, and State, Zip Code	
				Salary/Hourly wage	

**B. Previous Marriages** (If ever legally separated, divorced, or annulled, indicate below)

Name of Spouse (Maiden)	Date of Marriage (mm/yyyy)	Date of Decree (mm/yyyy)	Nature of Action (divorces, separated, annulled)	City/County/State	# of Children

**D. Children under the age of 18 living or not living with you, in which you are responsible for.**

Child's Name	Gender	Date of Birth	Name of Other Parent
	M F		
	M F		
	M F		

**3. EDUCATION**

Type	Name of School	Location ( City and State)	Dates Attended Year to Year	Graduate (Yes or No)
High School				
Trade School				
College or University				
Graduate School				
Post Graduate				
Other				

**Type of Degree(s)**

Trade School \_\_\_\_\_

College or University \_\_\_\_\_

College or University \_\_\_\_\_

Graduate School \_\_\_\_\_

Post Graduate \_\_\_\_\_

Other \_\_\_\_\_

**4. MILITARY INFORMATION**

Have you ever served in the armed forces?

Yes

No

If the answer is yes, complete the following information and provide a copy of DD-214.

Branch \_\_\_\_\_ Serial No. \_\_\_\_\_ Date of Entry \_\_\_\_\_

Date of Separation \_\_\_\_\_ Type of Discharge \_\_\_\_\_ Rating at Separation \_\_\_\_\_

While in the military service, were you ever arrested for an offense which resulted in summary action, a trial, or special or general court martial? If yes, you **must** provide a full explanation of the circumstances of any arrest below:

Yes

No


## 5. ARRESTS, DETENTIONS, AND LITIGATION

The questions below refer to all arrests, detentions, charges, indictments, or summons to answer for any criminal offense or violation for any reason whatsoever (except minor traffic violations), even if you were not convicted. If your answer to any question (A through H below) is yes, you must provide a full explanation of the circumstances on page 10. For example, provide dates, charges, city, state, courts involved, and court copies of disposition, etc.

- A. Have you ever been arrested ?  
 Yes       No
- B. Have you ever been convicted of a felony ?  
 Yes       No
- C. Has a criminal indictment, information, or complaint ever been returned against you, but for which you were not arrested or in which you were named as an unindicted co-party?  
 Yes       No
- D. Have you ever been questioned by a city, state, federal, or tribal law enforcement agency, commission or committee?  
 Yes       No
- E. Have you as an individual or as a representative of a business, ever been subpoenaed to appear or testify before a federal or state grand jury, board, or commission ?  
 Yes       No
- F. Have you ever had a civil or criminal record expunged or sealed by a court order?  
 Yes       No
- G. Have you ever received a pardon for any criminal offense, or been granted immunity in lieu of testimony?  
 Yes       No
- H. Have you ever had a Tribal License or State Gaming License denied, revoked, or suspended? (See Section 12)  
 Yes       No
- I. Has any member of your family or your spouse's family ever been convicted of a felony or a gaming offense?  
 Yes       No

If you answered yes to question I, you must provide the following information:

Name	Relationship	Charge	Location (City, County, State)	Date

J. Have you, as an individual, member of a partnership, limited liability company or owner, director, or officer of a corporation, ever been a party to a lawsuit as either a plaintiff or defendant ?

Yes       No

If you answered yes to question I, you must provide the following details below. List all cases without exception.

Plaintiff/Defendant	Court and Case Number	City, County, and State	Date and Disposition
<b>Case 1 Description of Case</b>			
Plaintiff	Court	City	Date
Defendant	Case No.	County and State	Disposition
<b>Case 2 Description of Case</b>			
Plaintiff	Court	City	Date
Defendant	Case No.	County and State	Disposition
<b>Case 3 Description of Case</b>			
Plaintiff	Court	City	Date
Defendant	Case No.	County and State	Disposition
<b>Case 4 Description of Case</b>			
Plaintiff	Court	City	Date
Defendant	Case No.	County and State	Disposition
<b>Case 5 Description of Case</b>			
Plaintiff	Court	City	Date
Defendant	Case No.	County and State	Disposition

## 6. RESIDENCES

Beginning with your current residence, list all your residences for the past 15 years.

Month and Year	Street Address or RFD	City, County, State and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code
To		City
From		County, State, and Zip Code

## 7. EMPLOYMENT

**Beginning with your current employment,** list your work history, all businesses with which you have been involved, and /or all periods of unemployment, for the last 10 years or since your 18th birthday, whichever comes first. In addition, list all corporations, partnerships or any other business ventures with which you have been associated as an officer, director, stockholder, or related capacity.

To	Employer Name	Occupation	Is the company involved in the Gaming industry? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming Industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming Industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming Industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming Industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving
To	Employer Name	Occupation	Is the company involved in the Gaming Industry ? <input type="checkbox"/> Yes <input type="checkbox"/> No
From	Mailing Address		
	Name of Supervisor	Business Phone	Reason for Leaving

**8. CHARACTER REFERENCES**

List five individuals who know you well enough to be used as character references. Do not include relatives, present employer, or employees where you are currently employed.

Name and Where Employed	Street, City, State and Zip Code	Phone	Years Known
Name	Residence Address		
Employer	Business Address		
Name	Residence Address		
Employer	Business Address		
Name	Residence Address		
Employer	Business Address		
Name	Residence Address		
Employer	Business Address		
Name	Residence Address		
Employer	Business Address		
Name	Residence Address		
Employer	Business Address		

**9. Have you ever held a privilege or professional license or certification in any state, including but not limited to, the following?  Yes  No**

- |                                    |                            |                |                          |
|------------------------------------|----------------------------|----------------|--------------------------|
| ___ Real Estate Broker or Salesman | ___ Race Horse/Dog Owner   | ___ Accountant | ___ Police Officer       |
| ___ Insurance Salesman             | ___ Race Horse/Dog Trainer | ___ Doctor     | ___ Security Officer     |
| ___ Securities Dealer              | ___ Race Horse/Dog Manager | ___ Lawyer     | ___ Private Investigator |
| ___ Liquor License                 | ___ Jockey                 | ___ Nurse      | ___ Architect            |
|                                    |                            |                | ___ General Contractor   |

If you answered yes, state what type license, where issued, and years held \_\_\_\_\_

\_\_\_\_\_

**10. Have you ever been disciplined by or appeared, for any reason whatsoever, before any licensing agency or similar authority in or outside the State of Arizona?**  Yes  No

If you answered yes, you must provide the details \_\_\_\_\_

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**11. Have you ever held a financial interest in a gambling venture, including a race track, dog track, race horse or dog, lottery, casino, bookmaking operation, or pari-mutuel operation outside the State of Arizona?**  Yes  No

If you answered yes, state what type, when and where held, and give the names and locations of the businesses in which you were involved and the names and addresses of all partners and principals.

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**12. Have you ever had, or been a participant in a group which has had a gaming license denied, suspended, revoked, forfeited or withdrawn by any gaming authority in any jurisdiction or any country?**  Yes  No

If you answered yes to either of the above questions, state where, when and for what reason \_\_\_\_\_

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**13. Have you ever been granted a gaming license/state certification or been a participant in any group which has been issued a gaming license/state certification in or outside the State of Arizona?**  Yes  No

If you answered yes, state the type of license, name of the issuing jurisdiction or Indian Tribe, location, and period held \_\_\_\_\_

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**14. Do you have any relatives associated with or employed in the gaming industry?**  Yes  No

If you answered yes, state the name, relationship, and association or employment \_\_\_\_\_

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State of \_\_\_\_\_ )  
 ) ss.  
County of \_\_\_\_\_ )

I, \_\_\_\_\_, being duly sworn, depose and say that this application is true and correct to the best of my knowledge and belief and that this oath is executed with the knowledge that false or incomplete answers could result in criminal prosecution and the denial, or subsequent revocation, of state certification by the Arizona Department of Gaming. Further, that I am voluntarily submitting this application under oath and with full knowledge that it will be reviewed by appropriate Tribal and State authorities charged by law with granting gaming licenses and state certifications.

\_\_\_\_\_  
Signature of Applicant

Subscribed and sworn to (or affirmed) before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

\_\_\_\_\_  
Notary Public

My commission expires \_\_\_\_\_

**ATTACH A PHOTOGRAPH  
TAKEN WITHIN THE  
LAST 30 DAYS**