



**PUEBLO OF LAGUNA
TRIBAL GAMING REGULATORY AUTHORITY**

P.O. Drawer 225 ♦ Laguna, NM 87026

Phone: (505) 352-8240 | Fax: (505) 352-8241

Dear Gaming License Applicant:

Thank you for your interest in applying for a gaming license with the Pueblo of Laguna Tribal Gaming Regulatory Authority (“TGRA”). Before you complete your application, we wish to make you aware of a few facts:

Indian gaming is one of the most scrutinized and highly regulated businesses in this country. An important part of the overall responsibilities of the Laguna Gaming Control Board (“LGCB”) and the Tribal Gaming Regulatory Authority (“TGRA”) is to assure that Indian gaming and everyone involved with Pueblo of Laguna gaming operations meet stringent standards. We take our regulatory oversight of Indian gaming seriously, including your suitability to hold a gaming license, which is a privilege, not a right.

During the licensing process, a thorough background investigation is conducted which includes review of an applicant’s civil, criminal and financial records. If eligibility standards are met, you will be issued a gaming license appropriate to position and consistent with current LGCB rules. To accomplish this, you must be thoroughly honest when completing your licensing application and submit it timely in order for the TGRA to meet all deadlines required by this agency.

A gaming license application submitted by mail requires that certain signatures must be witnessed by a Notary Public. Please note that it is normal for notaries to charge a fee for their services and you are responsible for those fees. No fee is charged for signature verification or notary services completed at the TGRA office. Mailed applications may be returned by the means you deem most expedient. If mailed, the documents must be sent via a carrier where the mailing receives a tracking number. You are required to provide to, and the tracking number MUST be received by the TGRA no later than the next business day after it is supplied by the carrier. Please note that the TGRA Licensing Department is open Monday through Friday 7:00am to 5:00pm Mountain Time.

Please note: Contractor technicians are allowed 30 calendar days from their date of receipt to return their application.

All information received by the TGRA is confidential and licensing staff are available to assist you with the application process. You are encouraged to contact them if you require additional information or clarification.

In completing your application for a gaming license, you are required to disclose arrests, civil and criminal summons, charges or convictions of crimes or offenses when you were charged as an adult and within specific periods of time, regardless of the final disposition of your case. **Failure to disclose information is the primary reason individuals are denied a license. In the majority of instances, when the information is disclosed, it does not preclude you from being licensed.**

You may qualify to hold a gaming license if you have a history of bad credit, traffic or criminal violations, but you will be denied if you fail to disclose all required information.

As a reminder, full disclosure is mandatory and no excuse is accepted for your failure to fully disclose required information.

CONDITION OF LICENSING:

As a requirement of the Pueblo of Laguna Tribal Gaming Regulatory Authority:

I, (Print name) _____, understand that it is my responsibility to conduct my personal life in such a manner that does not result in negative publicity and/or consequences to the Pueblo of Laguna and their gaming operations.

I understand that I must disclose, within each applicable period of time as identified on my gaming license application, criminal charges, on-going investigations, arrests, and convictions; or civil and criminal summons; regardless of the final disposition of the case; even if the charges were dropped, dismissed, deferred, or filed Nolle Prosequi.

I understand that as long as I am required to hold a license issued by the TGRA, I must report the following to the Pueblo of Laguna Tribal Gaming Regulatory Authority within the time limits allowed by current LGCB regulations:

1. Change of residence address or contact telephone number.
2. Each criminal charge that is filed against me.
3. Each personal or business civil complaint filed against me.
4. Any case involving bankruptcy filed on my own behalf or where I am named as an additional party.

I further understand the Pueblo of Laguna Tribal Gaming Regulatory Authority retains the right to conduct additional background investigations of any person required to be licensed at their discretion and at any time while the license is valid.

I have read and understand the Pueblo of Laguna Tribal Gaming Regulatory Authority's Condition of licensing form:

Applicant Signature

Date

Print Name

TGRA Representative or Notary Public Signature

Date

Print Name

Gaming License Application

Date: _____

APPLICANT INFORMATION:

Last First Middle Date of Birth
(Please print full name, including middle name)

Former names used, Aliases, Maiden Names, etc.: _____

All Languages spoken or written: _____

Sex: Male Female

Social Security Number: _____ Place of Birth: _____
City State

Citizenship: United States Other If Other, Country of Origin: _____

Registration Number: _____

If you are a naturalized United States Citizen:

Naturalization Date Certificate Number Place of Naturalization

Driver License Number: _____ State Driver's License Issued: _____

Home Phone Number: _____ Work/Alternate Phone Number: _____

Ethnic Identity: Caucasian African American Asian Native American Hispanic Other

If Other, specify: _____

Tribal Affiliation: _____ Census/Roll Number: _____

Are you under the age of 21 at the time of this application? Yes No

Position Applied For: _____

CURRENT ADDRESS:

Physical Address:

Address City State Zip

Mailing Address if different from above:

Address City State Zip

RESIDENTIAL HISTORY:

List your other residential addresses for the past 10 years.
If you have more than three to report, copy or ask for additional sheets

Address, City, County, State, Zip	Date From	Date To

CHARACTER REFERENCES:

List the names, current addresses and phone numbers of at least three (3) personal references. You are required to *include one (1) personal reference that was acquainted with you during each period of residence listed in the above residential history section.* Do not include family members.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

MILITARY SERVICE:

Have you served in any Branch of Military? Yes No

If "Yes", you must submit a copy of your certificate of release or discharge from active duty (form DD214) within 30 days of this application.

BUSINESS RELATIONSHIPS:

Do you currently have, or have you had, business relationships within the gaming industry or hold any ownership interests or shares of stock in those businesses? Yes No

If yes, please list and describe: *Ask for additional sheets if necessary.*

Business	Address	Position Held	Ownership Interest
Date License Received	License Expiration Date	Type of License	Number of shares owned

Are you currently affiliated with another Indian Tribe, manufacturer or distributor of gaming products, or any privately-owned or publicly-traded gaming enterprise in an Executive, Director, Supervisory, Management or Consultant Position? Yes No

If yes, please provide:

 Entity Address Position Held Date of Hire

 Duties Contact Person

Have you ever applied in any jurisdiction for a license, permit or other authorization to participate in Indian Gaming or a commercial gaming-related operation, including manufacture or distributor of gaming supplies & equipment, casino gaming, horse racing, dog racing, pari-mutuel operations, lottery or sports betting? *This includes activity as a parent organization, subsidiary, director and/or principal.* Yes No

If yes, submit the following information:

Name & Address of Licensing Agency	License #	Type of License	Status

EMPLOYMENT HISTORY:

Currently and for the previous ten (10) years any business and employment positions held, ownership interests in those businesses and business addresses:

1. _____
 Employer Phone

 Address (If unknown, please indicate city and state)

 Job Title Worked From Worked To

 Reason for Leaving

2. _____
 Employer Phone

 Address (If unknown, please indicate city and state)

 Job Title Worked From Worked To

 Reason for Leaving

3. _____
Employer Phone

Address (If unknown, please indicate city and state)

Job Title Worked From Worked To

Reason for Leaving

4. _____
Employer Phone

Address (If unknown, please indicate city and state)

Job Title Worked From Worked To

Reason for Leaving

5. _____
Employer Phone

Address (If unknown, please indicate city and state)

Job Title Worked From Worked To

Reason for Leaving

6. _____
Employer Phone

Address (If unknown, please indicate city and state)

Job Title Worked From Worked To

Reason for Leaving

PRIVACY ACT NOTICE

The purpose of the requested information is to determine the eligibility of individuals to be granted a gaming license. The information will be used by the Tribal Gaming Regulatory Authorities and staff who have need for the information in the performance of their official duties. The information may be disclosed by the tribe to appropriate Federal, Tribal, State, Local or Foreign law enforcement and regulatory agencies when relevant to civil, criminal or regulatory investigations or prosecutions or when pursuant to a requirement by a tribe in connection with the issuance, denial, or revocation of a gaming license, or investigations of activities while associated with a tribe or a gaming operation. Failure to consent to the disclosures indicated in this notice will result in a tribe's being unable to issue a gaming license.

The disclosure of your Social Security Number (SSN) is voluntary. However, failure to supply a SSN may result in errors in processing your application.

I have read and understand this Notice:

Signature

Date

Print Name

NOTICE REGARDING FALSE STATEMENT

A false statement on any part of your license application may be grounds for denying a license or the suspension or revocation of a license.

I have read and understand this notice:

Signature

Date

Print Name

CRIMINAL HISTORY:

Do not rely upon your understanding that an arrest or charge is “not supposed to be” on your record. A criminal record was not cleared, erased, sealed or expunged unless you have a written order from a judge directing that action in your possession.

*An Applicant must disclose a criminal traffic violation when the individual was sentenced to probation, jail, prison, or if you received a deferred judgment, deferred sentence, or probation. Your documentation must include the date you were discharged or released from probation or other supervision.

Please answer each question:

- 1. Since the age of 18, have you been convicted of a *felony offense, or are you currently involved in an on-going prosecution for a *felony offense? Yes No

- 2. Have you been charged with, convicted of, or are you currently involved in an on-going prosecution for any *misdemeanor offense within the past ten (10) years of the date of this application*? Yes No

- 3. Have you been arrested, served with a criminal summons, bench warrant, restraining order, charged with or convicted of ANY criminal offense in any manner, even if the charges were dismissed or you were found not guilty within the past ten (10) years of the date of this application*? Yes No

- 4. Have you ever been convicted of any gambling related crime or misdemeanor in any jurisdiction? Yes No

- 5. Have you ever refused to cooperate with any legislative body or other official investigatory body involved in the investigation of crimes related to gaming, official corruption or organized crime? Yes No

I have thoroughly read and understand the questions listed above, and understand that I may not be able to hold a gaming license if, at any time or in the future, I can answer “Yes” to any of the questions above.

Signature

Date

Print Name

CRIMINAL HISTORY INFORMATION:

Instructions: READ CAREFULLY

On the Section below, list the Date, Charge, Court, and Disposition for each item you answer as "Yes".

- List each **Felony** for which there is an on-going prosecution, or conviction since age eighteen.
- List each **Misdemeanor** in the ten years prior to the application date for which there is a charge, an ongoing prosecution, or conviction.
- List each **Criminal traffic charge** in the ten years prior to the application date, if such charge is not otherwise listed, and there is an ongoing prosecution or conviction.

1. Date Of Charge(s): _____

Type of Charge(s): Misdemeanor Felony Criminal Traffic

List Charge(s): _____

Name/Address of Court: _____

Court Name (If known)	City & County	State
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Case Disposition(s): _____

2. Date Of Charge(s): _____

Type of Charge(s): Misdemeanor Felony Criminal Traffic

List Charge(s): _____

Name/Address of Court: _____

Court Name (If known)	City & County	State
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Case Disposition(s): _____

3. Date Of Charge(s): _____

Type of Charge(s): Misdemeanor Felony Criminal Traffic

List Charge(s): _____

Name/Address of Court: _____

Court Name (If known)	City & County	State
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Case Disposition(s): _____

Ask for additional sheets if needed

FINANCIAL HISTORY:

Please be advised that in accordance to the Laguna Gaming Control Board ("LGCB") regulations 1017(c)(6), the TGRA may deny a license to any applicant for past due financial obligations that exceed \$2,500 for any one collector or \$5,000 in the aggregate, except that the TGRA may, in its discretion, consider whether those debts are composed of one or more of the following categories and therefore are likely to pose an acceptable level of risk regarding the integrity of Gaming: 1) Medical expenses; 2) Closed delinquent debt; 3) Repossessions; 4) Charge-Offs; or 5) Foreclosures.

Are you delinquent in any of the following:

- Filing of any tax return with any taxing agency? Yes No
- Payment of any taxes, interest, or penalties due to any taxing agency? Yes No
- Payment of any judgment due to any government agency? Yes No
- Repayment of any government insured student loans? Yes No
- Payment of child support? Yes No

If you answered "Yes" to any of the questions above, give details here. Attach any documents to prove your settlements on this issue.

If you answered "Yes" to any of the questions above, you must provide proof you have taken steps to resolve the financial delinquency before being issued a permanent gaming employee license.

- Have you ever filed bankruptcy? Yes No

If you answered "Yes", list year filed and year discharged:

You will also be required to provide a copy of the Bankruptcy Discharge papers.

_____ Year Filed

_____ Year Discharged

AFFIRMATION & CONSENT:

I state under penalty of perjury that the entire Gaming License Application Form, statements, attachments, and supporting schedules are true and correct to the best of my knowledge and belief, and that this statement is executed with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for the refusal to issue a gaming license by the Tribal Gaming Regulatory Authority. Further, I am aware that later discovery of an omission or misrepresentation made in the above statements may be grounds for the denial or revocation of the license. I am voluntarily submitting this application to the Tribal Gaming Regulatory Authority under oath and with full knowledge that I may be charged with perjury or other crimes for the intentional omissions and misrepresentations pursuant to federal, tribal and other applicable law. I further consent to any background investigation necessary to determine my present and continuing suitability and this consent continues as long as I hold a gaming License, and for a period of ninety (90) days following the expiration or surrender of such license. I also agree that the Tribal Gaming Regulatory Authority, its officer and designee, shall be entitled to collect from me all expenses incurred in recovery of any debt created by this license application, or in pursuing any other remedy provided by law including but not limited to reasonable attorney fees and costs.

Signature of Applicant

Date

Print Name

Authorization for Disclosure Internal Revenue Service

Print Full Legal Name:

Last

First

Middle

Social Security Number:

Mailing Address

Street # or P.O. Box

City

State

Zip

Name and Social Security Number of Person(s) who have filed a Joint Tax Return with you within the past 5 years.
(Dependents claimed are not considered a Joint Tax Return).

Print Full Legal Name:

Last

First

Middle

Social Security Number:

I authorize the Internal Revenue Service to disclose tax return information (including, but not limited to, fact of filing, fact of payment, terms of installment agreement) regarding the above returns to the Tribal Gaming Regulatory Authority.

Signature of Applicant

Date

Print Name

Investigation Authorization

Authorization to Release Information

I, _____
Full Name - **Print Legibly** Social Security Number _____ Date of Birth _____

Hereby authorize the Tribal Gaming Regulatory Authority, the Federal Bureau of Investigation and the National Indian Gaming Commission (collectively "The Investigatory Agencies") to conduct a complete investigation into my personal background, using whatever legal means they deem appropriate. I hereby authorize any person or entity contacted by the Investigatory Agencies to provide any and all such information deemed necessary by the Investigatory Agencies. I hereby waive any rights of confidentiality in this regard.

I understand that by signing this authorization, a financial record check may be performed. I authorize any financial institution to surrender to the Investigatory Agencies a complete and accurate record of such transactions that may have occurred with that institution, including, but not limited to, internal banking memoranda, past and present loan applications, financial statements and any other documents relating to my personal business financial records in whatever form and wherever located.

I understand that by signing this authorization, a criminal history check will be performed. I authorize the Investigatory Agencies to obtain and use from any source, 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 guilt (i.e., dismissed charges, or charges that resulted in a not guilty finding). I 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 authorize the release of this type of information, even though this record may be designated as "confidential" or "nonpublic" under the provisions of state or federal laws.

The Investigatory Agencies reserve the right to investigate all relevant information and facts to their satisfaction. I understand that the Investigatory Agencies may conduct a complete and comprehensive investigatory to determine the accuracy of all information gathered. However, the Investigatory Agencies, and other agents or employees of the Investigatory Agencies shall not be held liable for the receipt, use, or dissemination of inaccurate information. I, on behalf of my legal representatives and assigns, hereby release, waive, discharge, and agree to hold harmless, and otherwise waive liability as to the Investigatory Agencies, and other agents or employees of the Investigatory Agencies for any damages resulting from any use, disclosure, or publication in any manner, other than a willfully unlawful disclosure or publication, of any material or information acquired during inquires, investigations, or hearings, and herby authorize the lawful use, disclosure, or publication of this material or information.

Any information contained within my application, contained within any financial or personnel record, or otherwise found, obtained, or maintained by the Investigatory Agencies, shall be accessible to law enforcement agents of this or any other state, the Government of the United States, any foreign country, or any Indian Tribe.

MUST SIGN IN THE PRESENCE OF A NOTARY

Signature

State of _____

County of _____

Subscribed and sworn before me this _____ Day of _____ 20 _____

(SEAL)

Notary Public

NOTIFICATION

Please carefully read the following and sign your name in the designated area indicating you understand and read the following reminders:

- If you are notified by the TGRA to respond to either a request for additional information or to physically report to the TGRA office you must respond within the allotted time specified. Failure to respond may result in regulatory enforcement action(s).
- The following examples are listed for your information, and are reasons for denial, suspension, revocation, or other gaming license actions that TGRA may impose against an applicant or licensee: Outstanding warrants; felony convictions; failure to disclose civil penalties, criminal history, or tax liens; violations of procedure or LGCB rules; not meeting imposed deadlines failing to submit information requested by the TGRA; or if you have ever had a gaming license revoked, denied, or suspended by another gaming regulatory agency, authority, or commission. The examples listed are not all inclusive and LGCB/TGRA retains the right and authority to conduct an action against a gaming license.
- If you have a change of address while licensed by the TGRA you must provide the new information to the TGRA within ten (10) business days or face regulatory enforcement action.
- You are not allowed to alter, deface or obscure your gaming license in any manner. If you lose your gaming license, you will be required to obtain a replacement license at a cost of \$5.00 from our office.
- Gaming licenses cannot be loaned to anyone. This will result in a regulatory action against both licensees.
- Upon resignation/termination with the licensed contractor, your license must be immediately returned to a TGRA Compliance Office or TGRA Administration Office before any final processing will be forwarded to you. Failure to return your license to the TGRA may result in regulatory enforcement action.
- The Application Fee, Initial license fees, renewal fees, late fees, and renewal of expired license fees are NON-REFUNDABLE.
- Failure to renew your gaming license at least 30 days prior to its expiration will result in a late fee being assessed in addition to the renewal fee. If you allow your gaming license to expire, you are required to apply for a new gaming license and be assessed the fee for renewal of an expired license.

It is your responsibility to ensure your gaming license is current.

Signature of Applicant

Date

Print Name

**PUEBLO OF LAGUNA
TRIBAL GAMING REGULATORY AUTHORITY
LICENSING DEPARTMENT**

FULL DISCLOSURE ASSURANCES

Note: If you cannot attest to, truthfully acknowledge, or do not fully understand the statements below you must notify a TGRA licensing investigator for assistance and clarification.

I acknowledge that:

I do not have any other criminal history required to be disclosed such as arrests or detainments, with any law enforcement agency (City, County, Tribal, State, or Federal) or court cases on record of deferred sentencing, dismissed, dropped or Nolle Prosequi in tribal courts or in ANY other Court of Jurisdiction other than what is listed on my gaming license application: _____ Initials

I understand that the phrase “**I did not remember** “ or “**I just plain forgot**” will not be accepted as an excuse for failing to reveal criminal history: _____ Initials

I understand that the burden of proving my suitability to hold any license is at all times mine alone. I will obtain and provide any required documents requested by the Pueblo of Laguna TGRA within the specified time allotted: _____ Initials

Lastly, I certify that a representative of the Pueblo of Laguna TGRA is available to review this gaming license application with me. I also acknowledge that I have answered all sections in good faith with the full knowledge that I can be denied a Gaming License for not being honest or for failing to disclose any criminal activity in which I have been involved as required within this application: _____ initials

Applicant Signature

Date

Print Name

TGRA Representative Signature

Date

Print Name