



APPLICATION FOR SECONDARY LICENSE

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(Original and license fee of \$500.00 must be submitted for each person)

To: NEW MEXICO STATE RACING COMMISSION
4900 Alameda Blvd. NE
Albuquerque, NM 87113

PERSONAL HISTORY RECORD

Submitted in connection with the application of _____,
(name of primary licensee)

_____ for license to conduct a horse race
(name of secondary licensee)

meet in the state of New Mexico.

If an applicant for secondary license is a corporation, the corporation must complete this form, by each officer corporate officer, director and policy-making employee and by each stockholder owning directly, indirectly or beneficially 10% or more of the stock of the corporation. If such a stockholder is a corporation, then this form must be completed also by the corporation, by each corporate officer, director and policy making employee of that corporation and by each stockholder of that corporation owning directly, indirectly or beneficially 10% or more of the stock.
Horse Racing Act 60-1A-9

1. Your full name _____
Last First Middle
Also known as (maiden name, nickname, aliases) _____
2. Affiliation sought _____
Name and location of track _____
3. Your position, title _____
4. Home address _____ how long? _____
5. Mail address, if different _____
6. Name and address of present employer _____
What do you do _____ how long employed _____
7. Home phone _____ Business phone _____
Social Security Number _____
8. Date of birth _____ Place of birth _____
9. U.S. Citizen: Yes _____ No _____ If naturalized, state where, when and give certificate of naturalization number _____
10. If a foreign national, state what country _____
Are you living in the U.S. at this time? Yes _____ No _____ if so, state length and type of visa _____ Do you intend to become a U. S. Citizen? Yes _____ No _____ If so, when? _____
11. Height _____ Weight _____ Eyes _____ Hair _____
12. Education: Did you complete high school? Yes _____ No _____ if yes, give name and location of school and year of graduation.
- List all schools of higher learning you have attended, setting forth dates, course of study, and degree obtained, if any
- _____
- _____
13. Marital status _____
Spouse's full name (including maiden name if applicable) _____
Spouse's date of birth _____ Spouse's place of birth _____
If spouse's address is different from yours, list here _____
If spouse works, state name and address of employer and occupation _____
14. Father's name _____ if living, home address, where and by whom employed, and occupation _____
15. Mother's name _____ if living, home address, where and by whom employed, and occupation _____

16. List the names of all relatives working in the horse racing or gaming industry, giving relationship, position held, and name and location of employer (unless stated above)

17. Have you ever: (1) pleaded guilty, nolo contendere; or (2) been fined or forfeited bail for any criminal offense, either felony or misdemeanor (except minor traffic violations); or (3) Are criminal charges pending against you in any court in any state? If yes, give particulars concerning offense, plea, time, place and disposition.

18. Are you involved as a part in any current litigation? Yes _____ No _____ If so, complete the following (attached additional sheet if necessary):

Date	Plaintiff	Defendant	Name of Court	Location	Nature of Action	Amount Controversy

19. List ALL cities in which you have lived for the last 15 years, giving street addresses and dates (attach additional sheets if necessary):

20. List ALL former employers and businesses you have engaged in since you became 21 years of age (attach additional sheets if necessary):

City	State	Complete Address	Zip Code	Position	Date From/To

21. List five persons who have known you 5 years or more. (Do not include present or former employers or relatives.)

Name	Occupation	Complete Home Address and Telephone Number	Zip Code	Business Address and Telephone Number
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22. Have you ever held a professional or occupational license in any state, such as race horse owner, trainer, agent, jockey, promoter, manager, certified public accountant, attorney, etc.? Yes _____ No _____ if so, specify including location and years held.

23. Do you breed and race horses? Yes _____ No _____ if yes, have you or do you anticipate racing such horses at a New Mexico licensed track? Yes _____ No _____. If yes, list track(s) _____

24. Have you ever been employed in a gambling enterprise? Yes _____ No _____
If yes:

Name of Enterprise	Address	Position Held	Supervisor	Dates
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25. Have you ever held a financial interest in a licensed racetrack or other gambling venture?
Yes _____ No _____

Provide photograph taken within the Past 12 months, and indicate date taken.

If so, state when and give names and locations of businesses and names and addresses of all partners or business associates. If a corporation, names and addresses of all

stockholders, owning or holding directly,
indirectly or beneficially 10% or more of the
shares of stock issued (attach sheet if
necessary _____

26. Do you now have, or have you ever held, a financial interest in any New Mexico horse racetrack? Yes _____ No _____ If so, when and where?

27. Do you now or have you ever consorted or associated with bookmakers, or touts? Yes _____ No _____ if yes, list names and addresses of such persons.

28. Have you been or are you now a member of or participant in any structured organization or association which supplies for profit illegal goods and services, including, but not limited to, gambling, loan sharking, narcotics and other forms of vice and corruption? Yes _____ No _____

29. Have you ever been convicted or penalized for the violation of any law or regulation with respect to racing in any jurisdiction? Yes _____ No _____ if yes, explain in detail.

30. Have you ever been the subject of any action by an administrative agency, (federal, state or local) which could have or did result in the revocation or suspension of any license or in any other disciplinary action? Yes _____ No _____ if yes, explain in detail.

STATEMENT OF INTEREST IN PRIMARY LICENSE

31. What is the nature of the interest in the primary license that requires you to obtain a secondary license? (e.g. stock, loan, partner, director)

32. If interest is a loan, state nature and amount of loan or advance. _____

33. If interest is in stock or ownership of an entity, state number of shares or percentage owned and class.

Number of Shares	Class	Percentage Owned
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If applicant has not been previously licensed as secondary stockholder licensee, list from whom stock was purchased and acquired.

Name	Address	Shares

**FINANCIAL AND CRIMINAL BACKGROUND TO BE CONDUCTED BY NEW MEXICO
GAMING CONTROL BOARD**

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State of New Mexico

ss.

County of

I, _____, under the penalty of perjury being duly sworn, deposes and says that the above statements are true and correct to the best of his/her 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 or revocation of a state horse racing license and criminal prosecution.

The application for a license, which I have submitted, is a matter of public record. Furthermore, I understand that the State Racing Commission will cause an investigation to be made of my background, both personal and financial. Subsequently, I understand that I may be asked to answer questions in open public meetings of the Commission.

I hereby authorize any and all persons having information concerning me, either of public record or otherwise, to furnish it to a duly authorized agent of the State Racing Commission.

I hereby expressly waive, release and forever discharge the State of New Mexico, and its agents, from any and all manner of action and causes of action whatsoever, which I, my administrators or executors can, shall, or may have against the State of New Mexico, or its agents, as a result of my applying for a license to conduct a horse race meeting the State of New Mexico.

Applicant

Subscribed and sworn to before me this _____ day of _____, 200__.

Notary Public

My Commission Expires: _____.



APPLICANT'S INVESTIGATION AUTHORIZATION -AND- REQUEST TO RELEASE INFORMATION

1. I/We, Applicant's Printed Name, hereby authorize the New Mexico Gaming Control Board or its designee ("collectively, "Board") to conduct a complete investigation into my/our personal background, using whatever legal means they deem appropriate. I/We hereby waive any rights of confidentiality in this regard.
2. I/We hereby authorize and request a review, full disclosure, and release of any and all information, materials, and documents concerning me/us requested by the New Mexico Gaming Control Board ("Board"), its agents, or employees, whether the information, materials, and documents are of a public, private, or confidential nature and whether the information, materials, and documents would otherwise be protected from disclosure by any constitutional, statutory or common law privilege.
3. I/We understand that by signing this request, a financial records check will be conducted. I/We authorize any financial institution, financial services company and/or credit reporting agency to release to the Board, its agents, or employees, a complete and accurate record of my/our financial transactions, including but not limited to internal banking memoranda, past and present loan applications, checking account records, savings deposit records, safe deposit box records, securities transactions, credit reports and any other documents relating to my/our personal or business financial records in whatever form and wherever located.
4. I understand that by signing this authorization, a criminal history check will be performed. I authorize the Board to obtain, maintain, 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 that 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 law.
5. I/We authorize the Board, its agents, or employees to determine the persons or entities to whom this Request is to be presented.
6. I/We understand that the Board, its agents, or employees will conduct a complete and comprehensive investigation to determine the validity of all information gathered. The Board, the State of New Mexico, and the agents and employees of either, will not be held liable for inaccurate information.
7. If this Request is not sufficient to obtain access to certain records, I/we understand that I/we may be asked to sign another appropriate authorization or release and that any failure to do so may be taken into consideration by the Board, its agents, or employees in reviewing my/our application.
8. I/We understand that I/we may revoke this Request in writing at any time and that the Board, its agents, or employees may take the revocation into consideration in reviewing my/our application.
9. Upon receipt by the Board of a written request indicating an application in another jurisdiction for a gaming related license or permit, I/we consent to the disclosure of confidential information compiled by the Board in connection with my Board application to any law enforcement or any regulatory agency in that other jurisdiction, including any other state, the government of the United States, foreign country or Indian Tribe.
10. This authorization, information in the application, and fingerprints will be used to check the criminal history records of the FBI. If you believe any of the information in the FBI report is incomplete or inaccurate, you can apply to change, correct or update the FBI identification record. The procedure to do this is set forth in Title 28, C.F.R. §16.34. In the event you choose to engage in this process, upon written notice to the Licensing Division of the NMGCB, you will be given a reasonable amount of additional time before a decision is made concerning your application.

APPLICANT'S INVESTIGATION AUTHORIZATION -AND- REQUEST TO RELEASE INFORMATION (continued)

11. I/We hereby release, waive, discharge, and agree to hold harmless, and otherwise waive liability as to the State of New Mexico, the Board, and other agents or employees of the State of New Mexico for any damages resulting from any collection, use, disclosure, or publication in any manner, of any material or information acquired during inquiries, investigations, or hearings. I/We hereby authorized the lawful use, disclosure, or publication of this material or information so long as any disclosure is consistent with the confidentiality provisions of the Gaming Control Act and applicable Board rules. If this Authorization and Release is presented to another gaming regulatory agency in any State in which I/We have been granted a permit, license, privilege or any similar authority, I/We hereby authorize and direct that any duly authorized agent or employee of the New Mexico Gaming Control Board be permitted to review and obtain copies of any and all documents, records, or correspondence contained in any licensing file. I/We hereby authorize said agency, to make full and complete disclosure of any and all information including, but not limited to, complaints filed against me, disposition thereof, imposition of discipline, whether private or public, as well as such other information on file or available concerning me. I/We hereby release, waive, discharge, and agree to hold harmless, and otherwise waive liability as to those gaming regulatory agencies that provide any such information to the New Mexico Gaming Control Board.
12. I/We do, for myself/ourselves, my/our heirs, executors, administrators, successors, and assigns, hereby release the providers of the information collected pursuant to this Request, and their agents and employees, from any and all liability arising out of or by reason of complying with this Request.
13. A photocopy of this Request will be considered as valid and effective as the original.

Printed Full Legal Name (Last, First, Middle) _____

Signature (Must be notarized by notary public) _____ Date: _____

Spouse's Printed Full Legal Name (Last, First, Middle) _____

Spouse's Signature (Must be notarized by notary public) _____ Date: _____

State of _____)

County of _____)

Subscribed and sworn to before me by _____ and _____

this _____ day of _____, _____.

My commission expires: _____ Signed: _____

[SEAL]

Notary Public