

The seal of the Nebraska Racing and Gaming Commission is a circular emblem. It features a central map of Nebraska with a horse and jockey racing on a track. The map is overlaid with the letters 'NRGC' in a large, stylized font. The seal is surrounded by a ring of stars and the text 'NEBRASKA' at the top and 'RACING AND GAMING COMMISSION' at the bottom.

*Nebraska  
Racing and  
Gaming  
Commission  
Racetrack  
Operators  
Application*

## **A MESSAGE FROM THE DIRECTOR:**

Dear Applicant,

Thank you for your interest in establishing an equine racetrack within the jurisdiction of Nebraska. The Nebraska Racing and Gaming Commission is committed to fostering a thriving, safe, and transparent horse racing industry in our state.

**A RACETRACK OPERATOR'S LICENSE** is required in accordance with the Nebraska Revised Statutes § 2-1201 through § 2-1247, which govern the licensing and authorization of horse racing operations in Nebraska.

Our primary objectives are to ensure equine safety, maintain a fair and honest racing environment, and uphold the integrity of the sport. The licensing process is designed to be comprehensive and rigorous, in alignment with the Racetrack Gaming Act. This approach allows us to carefully evaluate and regulate those who seek to participate in the horse racing industry, thereby protecting the interests of both the horsemen and the public.

The application process involves an extensive background investigation of your business and all affiliated individuals. This thorough examination is essential to our regulatory responsibilities. The findings of this investigation will be presented to the Nebraska Racing and Gaming Commission for consideration of your application.

Additionally, our licensing office operates on a schedule that includes specific days for different locations, which you should take into account when planning your application submission.

We appreciate your understanding of the rigorous nature of this process. It is designed to uphold the highest standards of integrity and safety within the horse racing industry in Nebraska.

The Nebraska Racing and Gaming Commission and its staff look forward to working with qualified applicants who share our commitment to excellence in horse racing. We wish you success in your endeavors and thank you for your interest in contributing to Nebraska's equine racing industry.

Sincerely,

Casey Ricketts  
Acting Director  
Nebraska Racing and Gaming Commission

## APPLYING FOR YOUR **Racetrack Operators License**

**1**

### **OBTAIN YOUR APPLICATION**

Applications can be obtained by calling 402-471-4155 or going to our website [racingcommission.nebraska.gov](http://racingcommission.nebraska.gov).

**2**

### **FILL OUT YOUR APPLICATION**

Items you must provide:

- Application forms (*completed, signed & notarized*)
- Supporting documentation as specified on the attached Application Instructions Checklist

**3**

### **SUBMIT YOUR APPLICATION**

Deliver hard copy to: Nebraska Racing and Gaming Commission  
3401 Village Drive, Suite 100  
Lincoln, Nebraska 68514

Deliver electronic copy (in a text searchable document format) to: [Ryan.Forrest@nebraska.gov](mailto:Ryan.Forrest@nebraska.gov)

Make a check or money order payable to: **The Nebraska Racing and Gaming Commission**

**4**

**ONLY UPON THE RECEIPT OF A COMPLETED APPLICATION WILL  
THE REVIEW PROCESS BEGIN**

- 1 APPLICATION FULLY COMPLETED IN BLACK INK**  
Type or clearly print an answer to every question. If a question does not apply to you, indicate so with an N/A. If you are unsure if a question applies to you or what information the form is asking you to provide, contact the Nebraska Racing and Gaming Commission office to seek clarification. If the available space is insufficient, continue on a separate sheet and precede each answer with the appropriate title.
- 2 ALL FORMS SIGNED & ATTACHED**  
The following accompanying forms must be signed and returned with the application:
- Affirmation & Consent
  - Investigation Authorization/Authorization to Release Information
  - Applicant's Request to Release Information (leave top line of form blank)
  - REQUEST FOR FINANCIAL RECORDS AND RELEASE FROM LIABILITY**
- 3 ALL REQUESTED INFORMATION ATTACHED**  
The following information must be attached, if applicable:
- All applicable information requested on pages 1 through 15 of the application
  - Trade Name Registration if applicable
  - Certificate of authority to do business in the state of Nebraska if incorporated or organized outside NE
  - Articles of Incorporation, including amendments and restated articles
  - Articles of Organization or Certificates of Organization, including amendments
  - Bylaws
  - Organizational minutes and/or other corporate records reflecting ownership and election of officers or managers
  - Partnership Agreement or Operating Agreement, including amendments
  - Trust Agreement, including amendments
  - Tax filings for the past three years
  - Meeting minutes from the past 12 months
  - A list of the amount and date of each capital contribution of any member/owner/partner to the applicant
  - Organizational chart listing positions being held for racing operations, along with their duties & responsibilities
- NOTE:** The Commission reserves the right to request additional information and documentation throughout consideration of this application.
- 4 INFORMATION ON DIRECTORS, EXECUTIVES, SHAREHOLDERS, MEMBERS & OWNERS**  
List the names and addresses of all directors, executives, officers, managers, shareholders, members and owners. List the names of all individuals that will be involved with administration and management of the racetrack. Indicate positions and offices held by each person named and their principal occupation(s) during the past three years.  
Fully disclose whether the applicant, or any director, executive, officer, manager, shareholder, member or owner has owned an interest in or has been employed by any firm, partnership, association or corporation previously licensed to conduct a race meeting in any jurisdiction.
- 5 APPLICATION FEES AND BACKGROUND DEPOSIT**  
Submit appropriate license, application, and background fees.
- Operator (racetrack): \$5,000.00 nonrefundable license fee
  - Check or money order payable to: **Nebraska Racing and Gaming Commission**
- 6 DELIVER APPLICATION**  
Deliver the application by hard copy and an electronic copy (in a text-searchable document format) to:  
Nebraska Racing and Gaming Commission  
3401 Village Drive, Suite 100, Lincoln Nebraska 68516  
[Ryan.Forrest@nebraska.gov](mailto:Ryan.Forrest@nebraska.gov)

Nebraska Racing and Gaming Commission  
**Nebraska Racetrack Operator**

Applicant's Name			
Doing Business As (DBA) & Trade Names		E-mail Address	
Street Address			Business Phone Number (       )
City	State	Zip	Business E-mail (       )
Mailing Address, if different from Street Address (city, state, zip)			
<b>On a separate sheet, list all principal places of business for the past 3 years if different from above.</b>			
Primary Contact Person for Business		Title	Primary Contact Phone Number (       )
Primary Contact Address (city, state, zip)			Primary Contact E-mail (       )
Type of Business Structure <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Partnership <input type="checkbox"/> Limited Liability Co <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Publicly Traded Corp <input type="checkbox"/> Trust <input type="checkbox"/> Other			
State of incorporation or creation of business entity			Date
Date of qualification to conduct business in Nebraska (PROVIDE CERTIFICATE OF AUTHORITY OR EQUIVALENT FROM NEBRASKA SECRETARY OF STATE)			
List all states where the applicant is authorized to conduct business			
List all names used by the applicant (other than above)			
<b>Attach copies of all articles of incorporation, bylaws, articles of organization, certificate of organization, operating agreement, or a true copy of any partnership, trust agreement or equivalent, including any and all amendments to such.</b>			
<b>Attach copies of biennial reports and SEC filings, if any, for past three years, and all minutes from all company meetings in the past 12 months.</b>			
<b>Racetrack Information (For Operators)</b>			
Total Square Footage of the land racetrack enclosure will reside	Breed of Horses to Race	Anticipated # of Races per year	Anticipated # of Barns / Stalls
Anticipated # of Race Days per year			
<b>Drawing to scale of the racetrack enclosure. Full construction plans for improvements within the racetrack enclosure. Provide proof of property ownership and/or lease or rental agreement (and amendments thereto), or other proof of legal possession of the premises.</b>			

FOR AGENCY USE ONLY			
<input type="checkbox"/> Check #	<input type="checkbox"/> Money Order #	Application Control #	Entity Control #

## OWNERSHIP STRUCTURE

List all persons and/or entities with an ownership interest in the Applicant, and all directors, executives, officers, managers, shareholders, members or owners, whether they have ownership interest or not. If an entity (corporation, partnership, LLC, etc.) has an interest in ownership or management, list (i) all persons affiliated with such entity, their ownership in the entity, and their effective ownership in the applicant, (ii) provide all of the documentation for that entity that is required of the applicant, and (iii) provide all of the information, for this entity, that has been requested of the applicant in this application. Please continue this process until all management and ownership reach warm blooded persons. List all parent, holding or other affiliate business interests. A Supplemental form must be submitted for the following: directors, executives, officers, managers, shareholders, members, owners, or other individuals or entities that exert significant influence over the applicant or who are involved with the administration and/or management of the racetrack. For purposes of shareholders, members and owners, a supplemental form will only be required if such person or entity holds an ownership interest in the applicant of 5% or more. If the applicant is a publicly traded corporation, please submit a current shareholder list from your transfer agent for all shares of common and preferred stock. See attached Ownership structure example attached as appendix A.

Make additional copies of this page, if necessary.

Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Name	Title	SSN/FEIN	Date of Birth
Address (city, state, zip)			Phone ( )
Business Affiliated With (Applicant or sub-entity)		Own. % in Business Affiliated With	Effective Own. % in Applicant
Total Shares or Units Authorized		Total Shares or Units Outstanding	Type of Shares or Units Issued <input type="checkbox"/> Preferred <input type="checkbox"/> Common

### Nebraska Revised Statute § 2-1215.

Violations; penalty - Any person, corporation, or association holding or conducting any horserace or horserace meeting in connection with which the parimutuel system of wagering is used or to be used, without a license duly issued by the commission; or any person, corporation, or association holding or conducting horseraces or horserace meetings in connection with which any wagering is permitted otherwise than in the manner specified in sections 2-1201 to 2-1218; or any person, corporation, or association violating any of the provisions of sections 2-1201 to 2-1218 or any of the rules and regulations prescribed by the commission, shall be guilty of a Class IV felony.

## LICENSING HISTORY

1. Has the applicant, the applicant's parent company or any affiliate of the applicant ever applied for a racing  YES  NO license in this or any other jurisdiction, foreign or domestic, whether or not the license was ever issued? If YES, provide details on a separate sheet, including jurisdiction, type of license, license number, and dates license held or applied for.
2. Has the applicant, the applicant's parent company or any affiliate of the applicant ever been denied a racing  YES  NO license, withdrawn a racing license or had any disciplinary action taken against any racing license that they have held in this or any other jurisdiction, foreign or domestic? If YES, provide details on a separate sheet, including jurisdiction, type of action, and date of action.
3. Is the applicant, the applicant's parent company or any affiliate of the applicant in good corporate standing in  YES  NO Nebraska, as certified by the Nebraska Secretary of State, and in all other states where it transacts business? If NO, provide details on a separate sheet.
4. Has the applicant, the applicant's parent company or any affiliate of the applicant (or director, executive,  YES  NO officer, manager, shareholder, member or owner) ever been charged with, or convicted of, any illegal racing and/or gaming activity in Nebraska or any other jurisdiction? If YES, provide details on a separate sheet, including jurisdiction, type of action, and date of action.

## FINANCIAL HISTORY

1. Is the applicant, the applicant's parent company or any affiliate of the applicant delinquent in the payment of any judgments or tax liabilities due to any governmental agency anywhere? If YES, provide details on a separate sheet and attach any documents to prove settlement or resolution of the delinquency.  YES  NO
2. Has the applicant, the applicant's parent company or any affiliate of the applicant ever held a financial interest in a gambling venture, including but not limited to, a race track, dog track, race horse or dog, lottery, casino, bookmaking operation, internet casino, card room, bingo parlor or pull tabs, whether or not a license to hold such interest was applied for or received? If YES, provide details on a separate sheet.  YES  NO
3. Has the applicant, the applicant's parent company or any affiliate of the applicant ever filed a bankruptcy petition, had such a petition filed against it, or had a receiver, fiscal agent, trustee, reorganization trustee or similar person appointed for it? If YES, provide details on a separate sheet and attach any documents from the bankruptcy court.  YES  NO
4. Does the applicant, the applicant's parent company or any affiliate of the applicant now own, has it ever owned, or does it otherwise derive a benefit from, assets held outside the United States, whether held in the business' name or another name, on its behalf or for another entity, or through other business entities, or in trust, or in any other fashion or status? If YES, provide details on a separate sheet.  YES  NO
5. Is the applicant, the applicant's parent company or any affiliate of the applicant currently a party to, or has it ever been a party to, in any capacity, any business trust instrument? If YES, provide details on a separate sheet.  YES  NO
6. Has a complaint, judgment, consent decree, settlement or other disposition related to a violation of federal, state or similar foreign antitrust, trade or security law or regulation ever been filed or entered against the applicant, the applicant's parent company or any affiliate of the applicant? If YES, provide details on a separate sheet and attach any documents to prove the settlement of any of these issues. Include any items currently under formal dispute or legal appeal.  YES  NO
7. Has the applicant, the applicant's parent company or any affiliate of the applicant ever been a party to a lawsuit within the last five years, either as a plaintiff or defendant, complainant, or respondent, or in any other fashion, in this or any other country? If YES, provide details on a separate sheet and attach any documents to prove the settlement of any of these issues. Include any items currently under formal dispute or legal appeal.  YES  NO
8. Has the applicant, the applicant's parent company or any affiliate of the applicant filed a business tax return in the past three years? If YES, attach all business tax returns filed in the past three years.  YES  NO
9. Is the applicant a prospective business or has it recently (within two years) begun operations? If so, submit an estimated beginning balance sheet (proforma) and a statement of amount(s) and source(s) of funding for the business and specific documentation to support the declaration.  YES  NO

10. Is the applicant a party to a lease of the land to be used for gaming operations, if any? If YES, attach copies of all leases to which the business is a party.  YES  NO
11. Is the applicant a party to any agreement or contract with any third party concerning gaming operations at the proposed racetrack enclosure? If YES, attach copies of all such agreements and/or contracts.  YES  NO
12. Has the applicant, the applicant's parent company or any affiliate of the applicant ever been a party to a bankruptcy within the last ten years, either as a plaintiff or defendant, complainant or respondent, or in any other fashion, in this or any other country? If YES, provide details on a separate sheet and attach any documents to prove the settlement of any of these issues. Include any items currently under formal dispute or legal appeal.  YES  NO

## FINANCIAL HISTORY ATTACHMENTS

- Attach a list of all checking accounts, operating accounts, and investment accounts for this applicant or equivalent, including financial institution name, address, and telephone number for each account.
- Attach a list detailing each outstanding loan and financial obligation obtained for use in this business, and all outstanding loans and financial obligations of the applicant, including creditor name, address, phone number, date the loan was acquired, loan amount, and loan terms.
- Attach balance sheets and profit and loss statements, **certified** by independent certified public accountant(s) covering the last three years for the applicant, the applicant's parent company and any affiliates of the applicant. Applicants that are subsidiaries of publicly traded companies can provide audited financial statements issued pursuant to Securities and Exchange Commission guidelines for Form K.
- If the business entity has been in business for less than three years, attach balance sheets and profit and loss statements from the time of commencement of business operations and projected for three years from the time of commencement of business operations.

## OTHER

- Will the applicant grant, assign or turn over to any person, corporation or association the operation or management of a race meeting? If YES, please explain in detail.
- Will any person, corporation or association or other third party, other than the applicant, have any share of the money received from admissions or parimutuel wagering?
- What parimutuel wagers will be conducted? What percentages will be withheld?
- When does the applicant anticipate running its race meet within the racing calendar?
- Please identify where the steward's stand will be located, where the finish line will be located, and where the required photo and video recording equipment will be located?
- Please identify the restroom facilities available for the racetrack patrons.
- Please identify the indoor and outdoor seating capacity available for the racetrack patrons, including capacity.
- Please identify what tv monitors, ticket windows, and ticket machines will be located at the racetrack.
- Please identify food and beverage services that will be available during the live race meet. Please identify food and beverage services that will be available during simulcasting.
- Please identify the tote board that will be utilized at the racetrack.

Applicant's Name	Federal Tax ID	
Printed Name of Authorized Agent (Last Name, First Name, Middle Name)		
Signature of Authorized Agent		Date



Person who maintains applicant's business records	Title
Address	Phone Number
Email address of Person who maintains applicant's business records	
Person who prepares applicant's tax returns	Title
Address	Phone Number
Email address of Person who prepares applicant's tax returns	
Location of financial books and records for applicant's business	
Applicant's Name	
Printed Name of Authorized Agent (Last Name, First Name, Middle Name)	
Signature of Authorized Agent	Date

**Schedule A**  
**STATEMENT OF PRE-  
 OPENING CASH**

<b>A. Funds Available Prior to Opening:</b>	<b>Totals</b>
1. Current investments (attach schedule providing details as to who invested the money and what interest in the firm or entity they received for their investment.)	\$
2. Current loans from lending institutions (attach schedule identifying the institution date of each loan, the terms of each loan, and original and current balance).	\$
3. Current loans from individuals and other business entities (attach schedule identifying the individual or business, date of each loan, the terms of each loan, and original and current balance).	\$
4. Anticipated investments (attach schedule providing details as to who will invest the money and what interest in the firm or entity they will receive for their investment).	\$
5. Anticipated loans from lending institutions (attach schedule certifying the institution and terms of the loan).	\$
6. Anticipated loans from individuals and other business entities (attach schedule identifying the individuals and other business entities and the terms of each loan).	\$
<b>Total Funds Available Prior to Opening:</b>	<b>\$</b>
<b>B. Total Prepaid Expenses and Licensing Related Fees</b>	
1. Other License Fees (Attach Schedule)	\$
2. Incurred Expenditures for:	
a. Building, Including Construction and Repair (Attach Schedule)	\$
b. Equipment (Attach Schedule)	\$
c. Supplies (Attach Schedule)	\$
d. Attach all Other Pre-Opening Expenditures (Salaries, Advertising, Deposits, Etc.) (Attach Schedule)	\$
3. Anticipated Expenditures for:	
a. Building, Including Construction and Repair (Attach Schedule)	\$
b. Equipment (Attach Schedule)	\$
c. Supplies (Attach Schedule)	\$
d. Attach all Other Pre-Opening Expenditures (Salaries, Advertising, Deposits, Etc.) (Attach Schedule)	\$
Applicant's Name	
Printed Name of Authorized Agent (Last Name, First Name, Middle Name)	
Signature of Authorized Agent	Date

\* **Subsidiaries of publicly traded companies can provide audited financial statements issued pursuant to Securities and Exchange Commission guideline for Form K.**





# INVESTIGATION AUTHORIZATION (AUTHORIZATION TO RELEASE INFORMATION)

The undersigned, on behalf of the applicant, hereby authorizes the Nebraska Racing and Gaming Commission, its employees, and/or its designee (collectively, "Commission") to conduct a complete investigation into the Applicant's background and into my personal background, using whatever legal means they deem appropriate. I hereby authorize any person or entity contacted by the Commission to provide any and all such information deemed necessary by the Commission. 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 Commission a complete and accurate record of such transactions that may have occurred with that institution, including, but not limited to, present loan applications, financial statements and any other documents relating to my personal or 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 Commission 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.

The Commission reserves the right to investigate all relevant information and facts to its satisfaction. I understand that the Commission may conduct a complete and comprehensive investigation to determine the accuracy of all information gathered. However, the State of Nebraska, the Commission, the commissioners, and other agents or employees of the State of Nebraska shall not be held liable for the receipt, use, or dissemination of inaccurate information from any source.

I, on behalf of the applicant, its legal representatives, and assigns, consent to the disclosure of information on the applicant by the board to any law enforcement or any regulatory agency of this or any other state, the government of the United States, any foreign country, or any Indian Tribe. I, on behalf of the applicant, its legal representatives, and assigns understand any information could include any information contained within my application, within any financial or personnel record, and information found or obtained from any source, and any information maintained by the Commission. I, on behalf of the applicant, its legal representatives, and assigns, hereby release, waive, discharge, and agree to hold harmless, and otherwise waive liability as to the State of Nebraska, the Commission, the commissioners, and other agents or employees of the State of Nebraska 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 inquiries, investigations, or hearings, and hereby authorize the lawful use, disclosure, or publication of this material or information.

Applicant's Name	Trade Name (DBA)
Printed Name of Authorized Agent (Last, First, Middle)	Title
Signature of Authorized Agent	Date

State of \_\_\_\_\_ )  
 \_\_\_\_\_ )  
 County of \_\_\_\_\_ )

Subscribed and sworn to before me by \_\_\_\_\_  
 this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

My commission expires: \_\_\_\_\_ Signed: \_\_\_\_\_  
 [SEAL] Notary Public

# APPLICANT'S REQUEST TO RELEASE INFORMATION

TO: NRGC Use Only FROM: Applicant's Printed Name

**ON BEHALF OF THE APPLICANT:**

1. I hereby authorize and request a review, full disclosure, and release of any and all information, materials, and documents concerning the applicant requested by the Nebraska Racing and Gaming Commission ("Commission"), 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.
2. I understand that by signing this request, a financial records check will be conducted. I authorize the person named above to release to the Commission, its agents, or employees, a complete and accurate record of the applicant's 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, and any other documents relating to the applicant's personal or business financial records in whatever form and wherever located.
3. I authorize the Commission, its agents, or employees to determine the person or entity to whom this request is to be presented and to insert that person's or entity's name in the appropriate location in this request.
4. I understand that the Commission, its agents, or employees will conduct a complete and comprehensive investigation to determine the validity of all information gathered. The Commission, the State of Nebraska, and the agents and employees of either, will not be held liable for inaccurate information.
5. If this request is not sufficient to obtain access to certain records, I understand that I or another authorized representative of the applicant may be asked to sign another appropriate authorization or release and that any failure to do so may be taken into consideration by the Commission, its agents, or employees in reviewing the application.
6. I understand that I may revoke this request in writing on behalf of the applicant, at any time and that the Commission, its agents, or employees may take the revocation into consideration in reviewing the application.
7. I, for the applicant and its agents, 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.
8. A photocopy of this request will be considered as valid and effective as the original.
9. Upon receipt by the Commission 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 Commission in connection with my Commission 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.

**Authorized Signature**

Applicant's Name	Trade Name (DBA)
Printed Name of Authorized Agent (Last, First, Middle)	Title
Signature of Authorized Agent	Date

State of \_\_\_\_\_ )  
 \_\_\_\_\_ )  
 County of \_\_\_\_\_ )

Subscribed and sworn to before me by \_\_\_\_\_  
 this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

My commission expires: \_\_\_\_\_ Signed: \_\_\_\_\_

[SEAL]

Notary Public



# ADDITIONAL REQUIREMENTS FOR RACETRACK OPERATOR'S LICENSE APPLICANTS



## BUSINESS PLAN

An applicant for a racetrack operator's license must submit with the application a proposed business plan for the conduct of racing. The plan must include, at a minimum, all of the following elements, in the order shown below.

- Comprehensive Racetrack Facility Architectural Plans and Specifications.
  - (1) Property Overview
    - Detailed layout of the entire property
    - All buildings supporting the racing program
  - (2) Architectural Drawings and Models
    - Full construction plans depicting proposed size and layout
    - Configurations of all component parts of the facility
    - Exterior design
  - (3) Engineering Plans
    - Electrical systems layout and specifications
    - Plumbing systems layout and specifications
    - Structural engineering details
  - (4) Construction Specifications
    - Detailed specifications for all structures
    - Materials to be used in construction
  - (5) Patron Facilities
    - Grandstand
    - Emergency Shelters
    - Betting Windows
    - Restroom Facilities
    - Concessions, Clubs, and Special Facilities
      - Names and addresses of concessionaires
      - Terms of concession contracts
  - (6) Operational Facilities
    - Tote Room
    - Jockey's Quarters
    - Stewards Office
    - Placing Judges/Chart Callers Area
    - Photo Finish Area
    - Racing Office
    - Commission Offices
  - (7) Barn Area Specifications
    - Barn Structure
      - Layout, design, and materials
      - Number of stalls
      - Tack rooms
    - Support Facilities
      - Hay and feed storage and Manure removal system
    - Horse Accommodation
      - Designated ship-in stalls
      - Trailer parking for daily ship-in horses to include long-term horse trailer parking
    - Horsemen Accommodation
      - On-site or near-track facilities
  - (8) Racing Surface Details
    - Construction, layout, and design
    - Exact dimensions of the proposed track (circumference, cross fall, etc.)
    - Proposed racetrack rail system
  - (9) Racetrack Lighting Details
  - (10) Furnishings and Equipment Plans
    - Specifications for all necessary equipment
    - Furnishing plans for all areas
  - (11) Horse Population
    - Estimated number of active horses needed for the racing program



(12) Required Documentation

- All plans signed and sealed by licensed professional architects and engineers
  - Compliance certificates with state regulations
- The total estimated construction cost of the racetrack facility proposed by the applicant distinguishing between known costs and projections, and separately identifying:
- (1) A facility design expense
  - (2) Land acquisition or site lease costs
  - (3) Site preparation costs
  - (4) Construction cost or renovation cost
  - (5) Equipment acquisition cost
  - (6) Cost of interim financing
  - (7) Organization, administrative and legal expenses; and
  - (8) Projected permanent financing costs.
- An estimated timetable for the proposed financing arrangements through completion of construction.
- Explanation and identification of the source or sources of funds for the construction of the Racing Facility.
- The construction schedule proposed for completion of the Racing Facility including therein projected dates for completion of construction and commencement of Racing Activities and indicating whether the construction contract includes a performance bond.
- (1) Describe the expansion plans, with timing, if the buildout is to be done in stages.
  - (2) The beginning and ending dates desired for the race meet and the days during that time period when horse races are to be scheduled.
  - (3) Describe what type of racetrack you are building (i.e., Thoroughbred, Quarter Horse, etc.)
  - (4) What are the projected number of race days and races for the next ten years?
  - (5) What are the projected race purses for the next ten years?
  - (6) Is there another active racetrack license in the same county?
- Proposed security plan in accordance with Chapter 6 of the Racetrack Gaming Rules.
- Plans for training and deterring of human trafficking.
- Describe the Marketing Plan
- Provide a detailed plan for simulcasting operations, including:
- (1) Simulcast locations for patrons, year-round and during the live meet.
  - (2) Technical specifications for simulcast equipment and transmission
  - (3) Agreements with host tracks or simulcast providers
  - (4) Projected simulcast handle and revenue
  - (5) Staffing plan for simulcast operations
  - (6) Security measures for simulcast wagering integrity
  - (7) Plan for distribution of simulcast signal to other facilities
- Describe the effect of competition with other racetracks in and out of the state and with other sports or recreational facilities in the area.

**ADDITIONAL INFORMATION REQUIRED FOR RACETRACK OPERATORS LICENSE  
RELATING TO POSSESSION OF LICENSED PREMISES**

Provide the following information if the applicant leases all or part of the proposed licensed premises. Use additional sheets, if necessary.

Name, address and statement of the nature of business of the lessor of the premises

Material terms of the lease

Statement describing any business relationships between the applicant and the lessor other than the lease (please provide copies of all agreements/contracts between the lessor and the applicant, or any of their affiliates).

If an applicant owns all or part of the premises consisting of the racetrack enclosure, please provide proof of ownership.