

NOTICE – DOCUSIGN DISCLOSURE AND WAIVER

In processing your license application, the Pueblo of Laguna Gaming Control Board and Tribal Gaming Regulatory Authority (“TGRA”) have contracted with DocuSign, the leading company for securely providing electronic signature services. Particularly during the pandemic, TGRA is committed to limiting travel and personal contact, which makes an e-signature service like DocuSign important. As part of the application process, therefore, TGRA will provide documents to be hosted by DocuSign, which then makes them available to you over the internet for review and signature.

DocuSign claims to have industry-standard security and also claims that it does not access or review any documents it hosts for signature, but there is always some risk. By submitting your application to TGRA electronically, you also acknowledge that you waive any claim against TGRA for any data breach relating to the use of DocuSign for licensure purposes.

ACKNOWLEDGEMENT AND AUTHORIZATION

By submitting my application to TGRA electronically, I consent to TGRA providing application data, including my personal information, to DocuSign, I hereby authorize TGRA to use DocuSign for TGRA’s process of reviewing, obtaining electronic signatures, and tracking my licensure documents, which necessarily includes DocuSign having possession of my personal information.



**PUEBLO OF LAGUNA
TRIBAL GAMING REGULATORY AUTHORITY**

P.O. Box 225 ♦ Laguna, NM 87026

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

GAMING APPLICATION INSTRUCTIONS

PLEASE READ BEFORE COMPLETING YOUR APPLICATION

Full name must be listed, including full Middle Name. If you do not have a middle name, enter “NMN”

All languages spoken or written:

- English is primary language and should be listed first. All other languages to follow (if applicable).

Address:

- Both addresses (physical/ mailing) must be listed if both are different from one another. If the mailing address is the same as the physical address, enter “same as above” in the space provided.

Residential History:

- The past 10 years of residence must be listed. If you moved within the last 10 years, your current and all previous addresses must be listed as stated on the gaming application.
- If you lived one place all your life, list the address and enter “life” under “dates from.”

Character References:

- There is space for six (6) individuals, but a minimum of three (3) must be listed. Further instructions are listed in that section.
- List the First & last name of individual, mailing address (if you don't know their mailing address you can list city & state of where they reside), telephone number (must be valid numbers).
- No character references can be family members (i.e. aunts, uncles, siblings, parents, grandparents, etc.)

Employment history:

- List all employment in the past 10 years.
- You are required to fill in any chronological gaps from the date of the application to the past 10 years.
- If you were unemployed or in school between dates of employment, add those as well.
- If there is an employer that is no longer in business, list that in the phone number line as “No longer in business”.
- If you list termination as a reason for leaving, you must list the reason you were terminated.

Criminal History:

- List date of charge(s) to the best of your knowledge (month & year). List all charge(s) if you received multiple charges on a criminal violation.
- Case disposition is the outcome of your charge(s). (i.e. dismissed, paid fines, completed probation, etc.)

If you filed for Bankruptcy within the last 10 years, you will need to submit the Bankruptcy Discharge documentation when you bring the gaming application in for review.

DO NOT SIGN THIS DOCUMENT.

- After you complete the gaming application, call the TGRA office at the number noted in the letterhead to schedule a new gaming application review appointment.
- Print the gaming application and bring the hard copy with you to your appointment. If you do not have access to a printer, you may email the completed gaming application to licensing@ltgra.org.
- At any point you have questions about this application, please contact the Licensing department at the number noted in the letterhead.
- Please bring 2 (two) forms of ID. Valid forms of ID are a State issued Identification, a valid Driver's License, a Social Security Card, or a Tribal Identification ID that displays your full SSN.

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 and the National Indian Gaming Commission or “NIGC”.

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 a notary 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. If you are applying as a potential employee of the Laguna Development Corporation (“LDC”), all materials contained within the application packet must be received by the TGRA within ten (10) calendar days from the date of your receipt or it will not be considered. An exception to the required time to return your application may be requested no less than two (2) days in advance of the return deadline, and must be pre-approved on a case to case basis by TGRA staff. Please note that the TGRA Licensing Department is open Monday through Friday 7:00am to 4:30pm Mountain Time. Submission of your fingerprints may be required as part of the application process and must be completed at a recognized law enforcement agency or the applicant may arrange to conduct the fingerprinting process at the TGRA office during licensing hours at no expense, Please note that applicants who wish to provide fingerprints at the TGRA Administrative office must call in advance to schedule that service.

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 after the age of 18 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 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.

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, attach 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.

	Name	Address	Phone Number	Relationship	Years Known
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, Yes No Supervisory, Management or Consultant Position?

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. _____ Phone _____
Employer

Address (If unknown, please indicate city and state)

_____ Worked From _____ Worked To _____
Job Title

Reason for Leaving

2. _____ Phone _____
Employer

Address (If unknown, please indicate city and state)

_____ Worked From _____ Worked To _____
Job Title

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

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.

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

CRIMINAL HISTORY INFORMATION:

Instructions: READ CAREFULLY

On the Section below, list the Date, Charge, Name and address of the Court involved, and Disposition, if any, for each item below:

- List each **Felony** for which there is an on-going prosecution or conviction since age eighteen¹.
- List each **Misdemeanor**, excluding minor traffic violations as defined below, in the ten years prior to the application date and for which there is an ongoing prosecution or conviction².
- List each **Criminal charge**, excluding minor traffic violations as defined below, in the ten years prior to the application date, if such charge is not otherwise listed, whether or not there is a conviction.³

Minor traffic violations are non-felony traffic violations unless they result in suspension or revocation of a driver’s license or are based on allegations of driving under the influence of liquor or drugs⁴. In other words, you **must** list a traffic violation if it (1) is charged as a felony, (2) involves driving under the influence of alcohol or drugs, or (3) results in suspension or revocation of your driver’s license, Note that if you failed to pay a citation for a minor traffic offense and a warrant was issued for your arrest based on your failure to pay or appear, you must list the minor traffic offense and state that a warrant was issued as a result.

1. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal

List Charge(s): _____

Name/Address of Court: _____

Court Name (If known) _____ City & County _____ State _____

Case Disposition(s): _____

2. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal
 List Charge(s): _____

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

3. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal
 List Charge(s): _____

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

4. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal
 List Charge(s): _____

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

5. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal
 List Charge(s): _____

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

6. Date of Charge(s): _____ Type of Charge: Misdemeanor Felony Criminal
 List Charge(s): _____

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

Ask for additional sheets if needed

¹ Pueblo of Laguna Gaming Code - Section 14-1-6(B)(8); ² Pueblo of Laguna Gaming Code - Section 14-1-6(B)(9);

³ Pueblo of Laguna Gaming Code - Section 14-1-6(B)(10); ⁴ Laguna Gaming Control Board Regulations - Part 1109(c)

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

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 been charged or convicted of any felony, misdemeanor or criminal traffic violation you must provide the information to the TGRA within ten (10) calendar days or face regulatory enforcement action.
- 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.
- Please note that you must keep your Gaming license on your person while you are on duty or on the gaming property in uniform and must provide it when requested by a TGRA representative, or your supervisor. If you cannot produce your gaming license while on duty or on the gaming property in uniform, you will not be allowed to work, or have access to the restricted areas of the gaming facility. 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. In addition to this license, you will also receive a separate identification badge form LDC which functions to allow you proxy access to the appropriate areas of the gaming facility and utilize the timeclocks.
- Gaming licenses cannot be loaned to anyone. This will result in a regulatory action against both licensees.
- Upon resignation/termination with LDC gaming Enterprise or 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.
- Payroll deductions are available for an employee of the Laguna Development Corporation. Fees are subject to change by the Laguna Gaming Control Board.
- 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.

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

FULL DISCLOSURE AND 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 detentions, 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.

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.

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.

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.

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.

By my signature below, I have read and understand the Full Disclosure and Assurances above:

Applicant Signature

Date

Print Name