

LIMITED LICENSE APPLICATION

Application, Schedules, and Instructions

PURPOSE AND FILING INSTRUCTIONS

Purpose: Applicants use this form to apply for a limited license or renew a limited license. The application is structured as a common core for all limited license applicants, with supplemental schedules based on statutory category, facility type, race meet, pari-mutuel wagering activity, simulcast activity, HHR-related obligations, and operational risk. Applicants must identify whether the requested limited license includes live racing only, live racing with pari-mutuel wagering, simulcast wagering in conjunction with the race meeting, HHR-related live racing obligations, or any combination of those activities.

Instructions: File the completed application, all required exhibits, schedules, and appendices with the Virginia Racing Commission at VRCLicense@vrc.virginia.gov or to the Virginia Racing Commission by **5:00 p.m. on September 1 of the applicable year**. A license is valid for the calendar year in which issued. Renewal applicants or existing licensees may incorporate prior filings by reference only when the applicant identifies the prior filing, confirms that the information remains current and accurate, and supplies updates for any material change. Do not resubmit unchanged materials unless VRC requests them.

Common VRC forms: Use the Common VRC Authorization for Release of Information, Common VRC Personnel Disclosure Schedule, and Common VRC Character and Suitability Disclosure where required. Do not repeat the same disclosure in multiple sections; identify the completed common form, appendix, or exhibit and cross-reference it in the application.

After submission of the application, the Applicant must notify VRC before assigning any new employee, subcontractor employee, third-party worker, manager, supervisor, key employee, system-access person, or other Covered Individual to perform regulated work or receive regulated access. If the new or newly assigned individual will perform duties, hold a role, or receive access that requires an individual permit, credential, or approval under VRC statutes, regulations, directives, permit conditions, or access-control requirements, the individual must submit the required permit application and receive VRC approval before performing those duties or receiving that access, unless VRC authorizes otherwise in writing.

An Applicant or permit holder may not avoid individual permit, credential, disclosure, or approval requirements by identifying a person only as a Covered Individual on the application. VRC may require any Covered Individual, including a newly hired or newly assigned employee, to submit a permit application, fingerprints, additional disclosures, authorizations, or other suitability materials based on the person's duties, access, regulatory history, or potential effect on racing integrity, wagering integrity, patron protection, funds, records, systems, or Commission-regulated operations.

Continuing Duty to Update Personnel Information. The Applicant has a continuing duty to update VRC regarding Covered Individuals and material personnel changes. Notice to the Applicant, employer, supervisor, or other counterparty does not constitute notice to VRC unless VRC receives the required written disclosure or filing.

Fees and background costs: The application must include the nonrefundable fee required by 11VAC10-30-30, currently \$100 for each racing day requested, unless otherwise directed by the Commission. Attach payment documentation and billing contact information.

1. APPLICATION TYPE AND STATUTORY CATEGORY

License Year Ending		Application Type	[] Initial [] Renewal
Number of Race Dates Requested		Total Race Meetings Requested	

STATUTORY CATEGORY - SELECT ONE

☐ Significant Infrastructure Limited License - Va. Code § 59.1-376 (not to exceed 75 race days)

☐ Limited License - Va. Code § 59.1-376 (not to exceed 14 race days)

☐ Limited License for Certain Pari-Mutuel Facility - Va. Code § 59.1-378.1 (not to exceed 14 race days)

2. RACE MEET AND WAGERING SUMMARY

Facility Name		Facility Address	
Race Type(s)	☐ Thoroughbred flat ☐ Steeplechase ☐ Standardbred/Harness ☐ Other: _____	Sanctioning Organization(s)	
First Requested Race Date		Last Requested Race Date	
Number of Race Dates Requested		Races Per Day	
Post Time of First Race		Pari-Mutuel Pools Offered	
Written Request for Approval of Pari-Mutuel Pool Types Attached or Submitted	☐ Yes ☐ No Date Submitted / To Be Submitted: _____	Native Industry / Health, Safety, and Welfare Statement Attached or Waiver Requested	☐ Attached ☐ Waiver Requested ☐ N/A
Simulcast Wagering in Conjunction with Meet	☐ Yes ☐ No	HHR Facility Ownership/Operation Related to Applicant	☐ Yes ☐ No ☐ N/A
Simulcast Race Dates Requested		Simulcast Wagering Location Within Facility	
Host Track(s) / Signal Source(s), if		Simulcast Wagering Will Occur	☐ Yes ☐ No

known		Only in Conjunction with Approved Race Meeting	
Interstate Horse Racing Act Compliance Documentation Attached, if applicable	☐ Yes ☐ No ☐ N/A	Recognized Majority Horsemen's Group Contract / Purse Deposit Arrangement Attached or Identified	☐ Yes ☐ No ☐ N/A
Totalizator Vendor		Wagering/Payment Processor(s)	

REQUESTED RACE DATES

Date	Day of Week	Weekend Race Day?	Race Type	Facility	Estimated # Races	Post Time	Sanctioning Organization	Live / Simulcast / Both	Counts Toward HHR Live Racing Obligation?
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A
		☐ Yes ☐ No							☐ Yes ☐ No ☐ N/A

3. APPLICANT AND CONTACT INFORMATION

Legal Name of Applicant		Trade Name / DBA	
Form of Organization	☐ Individual ☐ Partnership ☐ Corporation ☐ LLC ☐ Trust ☐ Nonprofit ☐ Other	Jurisdiction and Date of Formation	
Virginia Registration No.		Date Began Doing Business in Virginia	
Federal Employer Identification Number		Tax-Exempt Status	☐ 501(c)(3) ☐ 501(c)(4) ☐ N/A
Principal Business Address		Mailing Address if Different	
Website		Main Telephone No.	
Authorized Contact Name / Title		Authorized Contact Email / Phone	
Payment Contact Name / Title		Payment Contact Email / Telephone	

Payment Contact: identify the person the VRC should contact regarding application fees, background investigation costs, bond documentation, purse/wagering payout assurances, and related payment questions.

4. OWNERSHIP, CONTROL, EXECUTIVES, AND DECISION-MAKERS

Disclose each person or entity with a direct or indirect ownership interest of 5.0% or more, each officer and director, each manager, and any person or entity that exercises any degree of management, control, policymaking authority, executive authority, management authority, or decision-making responsibility for the applicant, the race meet, the facility, or wagering operations. Include parent, intermediary, holding, subsidiary, and affiliate entities as applicable. Ownership and voting-interest disclosures must be traced through each nonindividual owner until all persons or entities holding 5.0% or more direct or indirect ownership, voting interest, or control are identified. If the applicant cannot provide required ownership information, attach a written explanation and supporting documentation. Ownership and control requirements may be satisfied through labeled supporting schedules, capitalization tables, beneficial ownership schedules, and organizational charts if the schedules clearly trace direct and indirect ownership and control through each tier.

Attach a Management Qualifications Schedule for each manager, policymaker, executive, race-meet director, wagering operations manager, compliance officer, safety/security manager, and other person with material operational responsibility. The schedule should summarize relevant horse racing, pari-mutuel wagering, facility operations, compliance, safety/security, financial, or management experience.

Covered Individual Definition and Required Forms. For purposes of this application, a “Covered Individual” means each natural person who is an owner of 5.0% or more, officer, director, partner, trustee, manager, policymaker, executive, key employee, management employee, control person, or any other person who exercises management, control, decision-making authority, or significant influence over the applicant, purse funds, wagering systems, compliance functions, or regulated operations.

Each Covered Individual must be identified in this section (if additional space is needed, add the names to Appendix B) and must complete and submit: (1) the Common VRC Character and Suitability Disclosure (Appendix C); and (2) the Common VRC Authorization for Release of Information (Appendix D). The Commission may require additional individuals to complete these forms if necessary to evaluate the application, determine suitability, or protect the integrity of pari-mutuel wagering in the Commonwealth.

Covered Individual Disclosure; No Separate Permit Application Required at Yearly Filing. A Covered Individual disclosed as part of this Limited License Application is not required to submit a separate individual permit application solely because the individual is identified as a Covered Individual, provided that the individual submits all VRC-required covered individual materials with the Limited License Application, including the Common VRC Character and Suitability Disclosure, the Common VRC Authorization for Release of Information, fingerprints or background materials if required, and any supplemental information requested by VRC.

The Common VRC Character and Suitability Disclosure and Common VRC Authorization for Release of Information are intended to allow VRC to review the suitability of Covered Individuals associated with the Applicant without requiring each such Covered Individual to file a separate permit application at the time of the Limited Licensee’s initial application, renewal, or change filing, unless VRC specifically directs otherwise.

OWNERSHIP AND CONTROL SUMMARY					
Name	Individual or Entity	Title / Role	% Direct Interest	% Indirect Interest	Decision-Making Authority?

4A. ORGANIZATIONAL DISCLOSURE CHECKLIST		
Applicant Type	Required Disclosure / Attachment	Status / Exhibit
Individual applicant	Legal name; U.S. citizenship status; aliases and business/trade names currently or previously used.	
Corporation	Full corporate name and trade names; jurisdiction and date of incorporation; date began doing business in Virginia; certificate of authority; articles of incorporation; general nature of business; directors and officers listed separately with addresses.	
Organization other than corporation	Full legal name and trade names; jurisdiction of organization; date began doing business in Virginia; general nature of business; governing agreements; partners, officers, and other persons sharing policymaking authority with addresses.	
Tax-exempt organization	IRS documentation granting tax-exempt status under section 501(c)(3) or 501(c)(4), if applicable.	
Tiered ownership / control	Identify direct and indirect ownership and control through each entity tier until all persons or entities with 5.0% or more direct or indirect ownership, voting interest, beneficial interest, or control are disclosed.	
Ownership / operation / compensation agreements	Attach agreements or understandings regarding ownership, operation, management, fees, rents, salaries, compensation, facility use, or other rights connected to the race meet or wagering operations.	
Other racing, wagering, or gaming interests	Disclose whether the applicant or any covered person holds or has held any license or permit, financial interest, or operational role in horse racing, pari-mutuel wagering, or other gaming activity.	
4B. COVERED INDIVIDUAL PERSONAL INFORMATION AND RELEASE TRACKING		

List manager, policymaker, executive, key employee, management employee, control person, key contractors, or any other person who exercises management, control, decision-making authority, or significant influence over the applicant, race-meet operations, pari-mutuel wagering, finance, purse funds, wagering systems, compliance functions, security, safety, facility operations, racing operations, veterinary coordination, or regulated operations.

Name	Title / Role	Covered Basis	DOB	Residence Address	Release Attached
		Manager / policymaker / executive / key employee / 5% owner / management employee / control person / key contractors			☐
					☐
					☐
					☐
					☐
					☐
					☐
					☐
					☐

5. FACILITY, SITE CONTROL, AND GOVERNMENTAL APPROVALS			
Facility Street Address		City / County / Zip	
Facility Owner		Applicant Controls Facility By	☐ Ownership ☐ Lease ☐ Use Agreement ☐ Other
Local Referendum / Facility Approval Status		Date of Commission Facility Approval if Applicable	
Zoning / Land Use Compliance	☐ Yes ☐ No	Other Required Governmental Approvals	

If the applicant is not in compliance with applicable state statutes, local charter provisions, local ordinances, or local regulations pertaining to the development, ownership, or operation of the facility, attach an explanation and corrective plan.

6. WAGERING OPERATIONS, BOND, AND PAYOUT CAPABILITY			
Bond / Financial Assurance Type	☐ Surety bond ☐ Irrevocable letter of credit ☐ Other Commission-approved assurance	Bond / Assurance Amount	
Surety / Issuing Institution		Effective Period	
Covered Race Dates / Meets		Covered Obligations	☐ Winning wagers ☐ Refunds ☐ Pari-mutuel liabilities ☐ Taxes/fees ☐ Purses ☐ Simulcast wagering settlement / host fees / purse-account deposits ☐ Other
Account or Escrow Arrangements		Person Responsible for Payout Reconciliation	
Procedures for Accepting Wagers		Procedures for Cashing / Paying Wagers	
Mutuel Department Operations Policy Attached	☐ Yes ☐ No ☐ N/A	Interest-Bearing Escrow Account Documentation Attached, if required	☐ Yes ☐ No ☐ N/A
Will any race require nominating, sustaining, entry, or starting fees?	☐ Yes ☐ No	If yes, will total fees exceed \$15,000 or be due more than 180 days before the advertised race date?	☐ Yes ☐ No

Attach the bond or other Commission-approved financial assurance. The applicant must demonstrate ability to satisfy wagering payout obligations and related liabilities for the requested race meet(s).

If simulcast wagering is requested, describe procedures for accepting, cashing, refunding, canceling, and reconciling simulcast wagers, including commingled pools, host-track settlements, transmission or communication failures, patron disputes, and purse-account or State Racing Operations Fund deposits. If wagers will be commingled with another jurisdiction, attach the Commission-approved written policy for circumstances in which commingling cannot be accomplished, including payout or refund procedures.

Attach Pari-Mutuel Ticketing Procedures addressing ticket issuance, required ticket information, ticket validation, cancellation approvals, lost/destroyed/mutilated tickets, refunds, patron claims, and the 180-day cashing period.

Mutuel Department Operations Policy should cover opening of mutuel windows, locking of machines, steward control or Commission-approved locking method, delayed starts, interruptions or malfunctions, reopening after inadvertent lock, prohibition on sales after lock, and reconciliation after lock.

7. RACING OPERATIONS, OFFICIALS, AND EQUIPMENT			
Racing Secretary / Meet Director		Stewards / Judges Work Area Description	
Starting Gate or Apparatus, including vendor and manufacturer, if known (operators must have a permit)		Timing System, including vendor and manufacturer, if known (operator must have a permit)	
Photo Finish / Photo Patrol / Video Equipment, including vendor and manufacturer, if known (operators must have a permit)		Totalizator Equipment Description, including vendor and manufacturer, if known (Totalizator operator must have vendor permit)	
Simulcast Equipment / Signal / Communications Description, if applicable		Simulcast Operations Contact / Responsible Person and Phone No.	
Detention Facility		Sample Collection Arrangements	
Veterinary Coverage (must have a permit)		Ambulance / EMS Coverage	
Fire / Police / Emergency Coordination		Participant Credentials / Access Controls	

8. SAFETY, SECURITY, INTEGRITY, AND VISITOR ACCESS				
8A. OPERATIONAL READINESS AND LICENSE CRITERIA				
	Operational Readiness / License Criteria	YES	NO	Exhibit / Comment
A	Racing surfaces are safe and humane for participants and meet generally accepted standards for	☐	☐	

	the type of racing being conducted.			
B	Grounds and facilities will be neat, clean, in good repair, and maintained with consideration for public, employee, participant, and horse safety.	☐	☐	
C	Procedures are in place to honor Commission exclusions and to eject and report excluded persons found at the facility.	☐	☐	
D	All racing officials, department heads, vendors, totalizator personnel, and other regulated personnel will hold required VRC permits or approvals before performing regulated duties.	☐	☐	
E	The facility has adequate outriders, timing devices or trained manual timers, starting equipment, photo-finish capability, and video/photo-patrol arrangements appropriate to the racing type.	☐	☐	
F	The totalizator and pari-mutuel equipment are capable of recording wagers, calculating pools, displaying approximate odds and payouts, and preserving wagering records as required.	☐	☐	
G	Required responsible gambling and illegal gaming tip-line signage will be posted conspicuously in every place where pari-mutuel wagering is conducted.	☐	☐	
H	If simulcast wagering is requested, simulcast wagering will comply with the Interstate Horse Racing Act of 1978 and Commission requirements	☐	☐	
I	If simulcast wagering from outside the Commonwealth is requested, the applicant has identified the recognized majority horsemen's group contract, Commission-approved contract status, or alternate deposit arrangement required by law.	☐	☐	
J	The applicant has attached a quality and condition statement for physical improvements and regulated equipment, including detention facilities, totalizator, starting, timing, photo finish, photo patrol, video, simulcast, and other wagering or safety equipment.	☐	☐	

Attach a Safety and Security Plan addressing operational security, accepting and cashing wagers, money and ticket safeguarding, restricted areas, detention/sample collection, participant protection, emergency procedures, access control, surveillance, and coordination with local fire and police agencies.

	Question	YES	NO
A	Does the applicant provide uniformed security personnel in areas where pari-mutuel wagering is conducted?	☐	☐
B	Does the safety and security plan identify restricted areas and access control procedures?	☐	☐
C	Does the facility have video surveillance covering wagering areas, restricted areas, barns or stabling areas, and other critical operations where applicable?	☐	☐
D	Does the applicant have a protocol for suspicious activity reporting and escalation to the VRC?	☐	☐
E	If authorized visitor access to designated nonsecure areas will be permitted, has a written visitor access protocol been attached?	☐	☐

8B. AUTHORIZED VISITOR ACCESS PROTOCOL - IF APPLICABLE

	If Authorized Visitor Access Is Requested, Protocol Must Address	Included?	Exhibit / Page	Staff Notes
A	Categories of individuals who may be authorized visitors and the legitimate purpose for access.	☐ Yes ☐ No		
B	Specific designated nonsecure areas accessible to visitors and clear separation from restricted areas.	☐ Yes ☐ No		
C	Registration, identity verification, temporary credentials distinct from Commission permits, and escort requirements if applicable.	☐ Yes ☐ No		
D	Expected visitor conduct, including compliance with track rules and respect for racing operations and personnel.	☐ Yes ☐ No		
E	Limitations on days, times, duration of visits, and interaction with horses or racing participants without authorization.	☐ Yes ☐ No		
F	Integrity and safety controls, including monitoring, designated access points, and clear demarcation of visitor areas.	☐ Yes ☐ No		
G	Training for racetrack staff managing authorized visitors and enforcing the protocol.	☐ Yes ☐ No		

9. CHARACTER AND SUITABILITY DISCLOSURE

The Applicant must answer the questions in this section. Covered individuals should complete the Common VRC Suitability and Disclosure only once and should not repeat the same answers in both the main application and Appendix. If a question is answered Yes, attach a concise schedule identifying the person or entity, date, jurisdiction or authority, matter number if any, disposition, current status, and exhibit reference.

	Question	YES	NO
A	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, owner, officer, director, partner, policymaker, manager, Covered Individual, or racing-related principal ever been indicted, charged, summoned, arrested, convicted, found guilty, pleaded guilty or no contest, entered into a deferred disposition, been named as an unindicted co-conspirator, or otherwise been a party to any criminal proceeding other than a minor traffic violation? For purposes of this question, driving under the influence and reckless driving are not minor traffic violations and must be disclosed.	☐	☐
B	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, owner, officer, director, partner, policymaker, manager, Covered Individual, or racing-related principal ever been the subject of a horse racing, pari-mutuel wagering, HHR, gaming, gambling, business, professional, or occupational license, permit, registration, credential, or approval denied, suspended, revoked, conditioned, restricted, withdrawn, surrendered, lapsed, fined, or renewal denied, or been a party to a proceeding to do so? Include any voluntary surrender, withdrawal, lapse, or failure to renew while under investigation or in lieu of discipline.	☐	☐
C	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, or any Covered Individual ever filed, initiated, or been a party to an administrative appeal, judicial action, or other formal dispute involving a governmental regulator of horse racing, pari-mutuel wagering, HHR, gaming, gambling, or equine-regulated activity?	☐	☐
D	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, owner, officer, director, partner, policymaker, manager, Covered Individual, or racing-related principal ever been the subject of a governmental or regulatory investigation, inquiry, subpoena, civil investigative demand, administrative charge, consent order, consent decree, judgment, order, settlement, or enforcement action involving horse racing, pari-mutuel wagering, HHR, gaming, gambling, securities, trade regulation, antitrust, consumer protection, tax, fraud, corruption, integrity, financial responsibility, unfair labor practices, discrimination, or similar laws or regulations?	☐	☐
E	Has the Applicant, parent, affiliate, intermediary, subsidiary, holding company, or any Covered Individual been involved in material civil litigation, arbitration, or other dispute-resolution proceeding during the past five years?	☐	☐
F	Has the Applicant, parent, affiliate, intermediary, subsidiary, holding company, or any Covered Individual been subject to	☐	☐

	Question	YES	NO
	bankruptcy, insolvency, receivership, assignment for the benefit of creditors, fiscal agent, trustee, reorganization, liquidation, or similar proceeding during the past ten years?		
G	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, or any Covered Individual failed to satisfy any judgment, decree, order, tax obligation, assessment, wagering obligation, purse obligation, horsemen account obligation, regulatory fee, license fee, or other financial obligation material to regulated operations?	☐	☐
H	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, or any Covered Individual been delinquent in filing any tax return required by law or in remitting any tax, fee, assessment, purse payment, horsemen account payment, regulatory fee, or other amount required by any governmental authority or racing, wagering, gaming, or equine-regulatory authority?	☐	☐
I	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, or any Covered Individual operated, offered, accepted wagers through, facilitated, managed, controlled, or materially supported, pari-mutuel wagering, HHR, gaming, gambling, or related wagering activity in any jurisdiction without required authorization or in violation of applicable law, regulation, license condition, permit condition, order, or directive?	☐	☐
J	Has the Applicant, affiliate, parent, subsidiary, intermediary, holding company, or any Covered Individual received or been the subject of any pending or unresolved notice of violation, disciplinary complaint, show-cause notice, rule violation allegation, integrity-related allegation, or similar matter involving horse racing, pari-mutuel wagering, HHR, gaming, gambling, medication/testing, equine health/safety, wagering integrity, or regulatory compliance?	☐	☐
K	Is there any other fact, circumstance, conduct, relationship, financial matter, regulatory matter, pending issue, or adverse history not otherwise disclosed that may be relevant to the Commission's review of the Applicant's honesty, integrity, financial responsibility, regulatory compliance, operational suitability, wagering integrity in the Commonwealth?	☐	☐
10. FINANCIAL RESPONSIBILITY, VENDORS, AND SUPPLEMENTAL SUITABILITY			

Complete this section to the extent applicable to the applicant's statutory category, ownership complexity, facility operations, wagering footprint, vendor dependency, and requested race dates. The VRC may require additional information when necessary for a full understanding and evaluation of the application.

	Question	YES	NO
A	Does the applicant have audited financial statements for the most recent fiscal year?	☐	☐
B	Does the applicant have unaudited year-to-date financial statements?	☐	☐
C	Does the applicant rely on parent, affiliate, donor, sponsor, lender, or other third-party financial support for the meet?	☐	☐
D	Does the applicant have material contracts with totalizator, pari-mutuel equipment, payment processing, integrity monitoring, surveillance, security, data, or other essential vendors?	☐	☐
E	Does the applicant have a written responsible gambling or patron assistance program applicable to its wagering operations?	☐	☐
F	Does the applicant have a plan for cost overruns, nonreceipt of expected funds, failure to achieve projected revenues, or other financial adversity?	☐	☐
G	Does the applicant request approval to conduct simulcast wagering in conjunction with the requested race meeting?	☐	☐
H	If yes, has the applicant attached or identified simulcast agreements, host-track/signal arrangements, tote/communications arrangements, purse-account deposit procedures, and any recognized majority horsemen's group contract or Commission-approved alternative?	☐	☐
I	All contractual agreements concerning simulcast horse racing have been attached, identified, or will be submitted for Commission approval before use.	☐	☐
J	Applicant acknowledges that contracts relating to satellite facility operations must be provided to the Commission upon request.	☐	☐
K	Does the applicant have procedures to ensure timely deposit of required amounts into the appropriate horsemen's purse account or State Racing Operations Fund, if applicable?	☐	☐
L	If the applicant is a significant infrastructure limited licensee or is affiliated with HHR operations, has the applicant attached an HHR Live Racing Obligation Schedule?	☐	☐

11. PUBLIC INTEREST, COMPETITION, AND PROMOTION OF HORSE RACING

Attach a concise narrative explaining why the requested race dates will not be harmful to other limited or unlimited licenses issued by the VRC and how the proposed operations serve the public interest, the horse racing industry, and the Commonwealth of Virginia. If the applicant seeks simulcast wagering approval, the narrative must address the relationship between simulcast wagering and the requested live race meeting, the impact on other licensees or satellite facilities, and how the activity promotes the orderly growth of horse racing in the Commonwealth. If the applicant is a significant infrastructure limited licensee or is affiliated with HHR operations, the narrative must explain how the requested live racing days satisfy or contribute to the applicant's HHR-related live racing obligations.

Estimated Attendance		Estimated Handle	
Estimated Employment / Volunteers		Estimated Tax / Fee Impact	
Marketing / Promotion Plan Attached	☐ Yes ☐ No	Economic Impact Narrative Attached	☐ Yes ☐ No

12. LICENSEE PERMIT, AUTHORIZATION, AND FINGERPRINT COMPLIANCE

List all employees, agents, contractors, and material vendor personnel who work on behalf of the licensee or whose duties involve operations, purse money, wagering transactions, wagering funds, patron funds, purse funds, payout obligations, wagering records, pari-mutuel reporting, Commission-required reporting, payment processing, identity or residence verification, information security, compliance, risk/integrity monitoring, or confidential patron, wagering, or licensee information. For each person or role listed, indicate whether the individual holds a Virginia Racing Commission permit or is licensed, permitted, or otherwise authorized by the state where the limited license facility, race meet, or wagering operation is located. Covered ownership or control persons who do not perform limited license facility, race-meet, or wagering operation duties or other regulated operational duties are not required to be listed as permit-required personnel solely because of their ownership, control, or management status, unless the Commission directs otherwise. Virginia Racing Commission permit applications are available on the VRC website at <https://vrc.virginia.gov/Licensing.html>.

PERMIT / AUTHORIZATION ROSTER					
Name / Role	Employer	Work Performed / Location	Access to Funds, Wagers, or Confidential Data?	Permit / Other State Authorization	Fingerprint / Fieldprint Status
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A
			☐ Yes ☐ No	☐ VRC Permit ☐ Other State Authorization ☐ N/A	☐ VRC Fingerprinted ☐ Fieldprint Appt. ☐ Fingerprint Cards ☐ N/A

FINGERPRINT / FIELDPRINT INSTRUCTIONS

Individuals required by the VRC to complete fingerprinting must do so before performing regulated duties. Applicants who have not previously been fingerprinted by the VRC, or who are directed by the VRC to provide updated fingerprints, must follow the VRC's Fingerprint / Fieldprint Instructions. Applicants should schedule electronic fingerprinting through Fieldprint at: <https://fieldprintusa.com/individuals> and use VRC's Fieldprint code: **FPVARacingCommission**. After fingerprinting is completed, the applicant must email the TCN Number to VRCLicense@vrc.virginia.gov. If Fieldprint is unavailable, fingerprint cards may be submitted. Attach TCN Number, fingerprint-card submission, or other VRC-approved fingerprint documentation, as applicable.

PERMIT MATERIALS - CHECK ALL THAT APPLY					
☐ VRC permit applications attached or separately submitted	☐ Fieldprint instructions provided to personnel	☐ Fingerprint-card instructions provided when applicable	☐ Limited License operations center roster attached	☐ Other-state authorization proof attached	☐ Separation/role-change reporting process attached

13. APPLICANT AFFIDAVIT AND CERTIFICATION

The chief executive officer, director, officer, or other authorized participant in the applicant must affirm the following. Documentation of authority to execute the application must be attached.

1. This application is made for a limited license to conduct a horse race meeting with pari-mutuel wagering privileges within the applicable statutory race-day limit in the Commonwealth.
2. The affiant is the agent of the applicant and is duly authorized to make the representations in this application on behalf of the applicant, its owners, partners, members, directors, officers, and personnel. Documentation of authority is attached.
3. The applicant seeks a grant of privilege from the Commonwealth of Virginia, and the burden of proving qualifications rests at all times with the applicant.
4. The applicant consents to inquiries by the Commonwealth of Virginia, its employees, the Commission, its members, employees, staff, and agents into financial, character, and other qualifications.
5. The applicant, its owners, partners, members, directors, officers, and personnel accept the risk of adverse public notice, embarrassment, criticism, or other circumstances, including financial loss, and waive claims that otherwise could be made against the Commonwealth, the Commission, and their employees, staff, or agents.
6. The affiant has read the application and knows the contents; the contents are true to the affiant's own knowledge except matters stated on information and belief, and as to those matters, the affiant believes them to be true.
7. The applicant recognizes that all representations are binding, and false or misleading information, omission of required information, or substantial deviation from representations may result in denial, revocation, suspension, conditioning of a license, or imposition of a fine, or any or all of the foregoing.
8. The applicant will comply with all applicable state and federal statutes and regulations, all Commission regulations, and all other applicable local ordinances.
9. If pari-mutuel wagering is conducted, the applicant will post, in a conspicuous place in every place where pari-mutuel wagering is conducted, required responsible gambling and illegal gaming tip-line signage, including the National Problem Gambling Helpline and the illegal gaming tip-line information required by Virginia law.
10. If simulcast wagering is conducted, the applicant will conduct simulcast horse racing only as authorized by the Commission, only at an authorized facility, and in compliance with applicable federal and state law, including the Interstate Horse Racing Act of 1978.
11. If wagering on simulcast horse racing from outside the Commonwealth is conducted, the applicant will comply with applicable recognized majority horsemen's group contract requirements, purse-account deposit requirements, or any Commission-approved alternate deposit arrangement.
12. If the applicant is a significant infrastructure limited licensee that offers pari-mutuel wagering on historical horse racing, the applicant certifies that the requested race dates have been reported in connection with its HHR live racing obligation and that supporting terminal-count and race-day calculation documentation has been or will be submitted as required by the Commission.
13. The applicant will notify the Commission promptly of any material change in ownership, control, operations, systems, wagering funds, patron funds, purse funds, payout obligation, race-meet operations, simulcast operations, HHR-related obligations, key vendors, terms of agreement, or other information submitted with this application.
14. Applicant acknowledges that, if granted a limited license, the holder of the limited license shall be charged with the same duties and responsibilities as holders of unlimited licenses with respect to the observance and enforcement of Chapter 29 (§ 59.1-364 et seq.) of Title 59.1 of the Code of Virginia and the regulations of the Commission.

Signature of Affiant		Date	
Printed Name of Affiant		Organization and Position	
Business Address		Telephone / Email Address	

NOTARY

The undersigned, a Notary Public in and for the City/County of _____ in the Commonwealth/State of _____, certifies that the above-named individual appeared in person before me, either known to me or satisfactorily proven to be the individual whose name is subscribed to this instrument and signed it.

This _____ day of _____, 20____, to which witness my hand and seal.

Stamp or Seal		Notary Public Signature	
		Notary Public Printed Name	
My commission expires			

OFFICE USE ONLY

Date Received		Application Fee		Annual Fee / Billing	
Background Investigation Deposit/Cost		Bond Received/Verified		Race Meet Fee Contact Verified	
Responsible Gambling / Illegal Gaming Signage Reviewed		Simulcast Materials Complete	☐ Yes ☐ No ☐ N/A	Horsemen's Contract / Purse Deposit Arrangement Reviewed	☐ Yes ☐ No ☐ N/A
Simulcast Approval	☐ Yes ☐ No ☐ N/A	HHR Live Racing Obligation Reviewed	☐ Yes ☐ No ☐ N/A		
Staff Initials		Commission Action / Date			

APPENDIX CHECKLIST – GROUPED BY CATEGORY

Use this matrix rather than a purely numerical appendix list. Check each item as attached, not applicable, or incorporated by reference. Submit payment and background investigation cost documentation with the filing. If visitor access is requested, attach a protocol addressing each required element.

CATEGORIZED APPENDIX MATRIX							
Code	Category	Document / Information	Required For	Attached	N/A	Incorp. by Ref.	Upon Request
A1	Entity, Ownership, and Control	Formation documents / governing agreements	All	☐	☐	☐	☐
A2	Entity, Ownership, and Control	Virginia certificate of authority or registration evidence	All	☐	☐	☐	☐
A3	Entity, Ownership, and Control	Ownership and control chart through ultimate 5% owners	All	☐	☐	☐	☐
A4	Entity, Ownership, and Control	Officers, directors, partners, trustees, policymakers, executives, and management personnel list	All	☐	☐	☐	☐
A5	Entity, Ownership, and Control	IRS tax-exempt determination letter	§ 59.1-378.1 applicants / if applicable	☐	☐	☐	☐
A6	Entity, Ownership, and Control	Organizational disclosure checklist; corporation/noncorporation disclosures; tiered 5.0% ownership/control look-through	All	☐	☐	☐	☐
A7	Entity, Ownership, and Control	Management Qualifications Schedule, including resumes or summaries of experience for managers and persons with material operational responsibility.	All	☐	☐	☐	☐
B1	Character and Suitability	Character and Suitability Disclosure for applicant and each covered individual	All	☐	☐	☐	☐
B2	Character and Suitability	Authorization for Release of Information for each covered individual	All	☐	☐	☐	☐
B3	Character and Suitability	Litigation, regulatory action, license discipline, bankruptcy, insolvency, and political contribution schedules	All	☐	☐	☐	☐
B4	Character and Suitability	Covered individual personal information and release tracking form, including business and residence addresses, telephone numbers, date/place of birth, optional SSN, and release status	All covered persons	☐	☐	☐	☐
C1	Facility and Racing Operations	Facility ownership, lease, or use agreement	All	☐	☐	☐	☐
C2	Facility and Racing Operations	Race dates, race types, races per day, first post, pools, and sanctioning body	All	☐	☐	☐	☐
C3	Facility and Racing Operations	Detention facility and sample collection plan	All	☐	☐	☐	☐
C4	Facility and Racing Operations	Totalizator, starting, timing, photo finish, photo patrol, video, and stewards/judges work area descriptions	All	☐	☐	☐	☐
C5	Facility and Racing Operations	Veterinary, ambulance, EMS, fire, police, and emergency coordination documentation	All	☐	☐	☐	☐
C6	Facility and Racing Operations	Operational readiness and license criteria certification, including safe racing surfaces, facility condition, Commission exclusion/ejection procedures, permits/approvals for regulated personnel, and equipment readiness	All	☐	☐	☐	☐
C7	Facility and Racing Operations	For any race meeting or facility subject to HISA Racetrack Safety Program requirements, attach or identify current racetrack safety documentation, including, as applicable, risk management and injury prevention plan, emergency warning system approval, catastrophic injury protocol, fire-safety documentation, hazardous-weather protocol, biosecurity plan, human ambulance/EMS support procedures, emergency action plan, and any HISA portal submission or approval documentation. If a document has been submitted through the HISA portal or previously provided to VRC, identify the document, date, and location or prior filing.	If applicable	☐	☐	☐	☐
D1	Wagering, Bond, Integrity, and Security	Bond or Commission-approved financial assurance for wager payout and related obligations	All	☐	☐	☐	☐
D2	Wagering, Bond, Integrity, and Security	Procedures for accepting wagers, issuing valid pari-mutuel tickets, ticket cancellation, lost/destroyed/mutilated tickets, refunds, cashing/paying wagers, 180-day cashing limitation, and payout reconciliation	All	☐	☐	☐	☐

D3	Wagering, Bond, Integrity, and Security	Safety and Security Plan, including access controls, money/ticket safeguarding, surveillance, restricted areas, and emergency procedures	All	☐	☐	☐	☐
D4	Wagering, Bond, Integrity, and Security	Integrity monitoring, suspicious activity reporting, and material wagering vendor contracts	All	☐	☐	☐	☐
D5	Wagering, Bond, Integrity, and Security	Responsible gambling or patron assistance program, including proof or certification of required National Problem Gambling Helpline signage and illegal gaming tip-line signage at every place where pari-mutuel wagering is conducted.	All	☐	☐	☐	☐
D6	Wagering, Integrity, Security, and Safety Controls	Authorized visitor access protocol satisfying 11VAC10-30-60.	If applicable / if visitor access to designated nonsecure areas is requested.	☐	☐	☐	☐
D7	Wagering, Simulcast, and Purse Obligations	Simulcast Operations Schedule, including requested simulcast dates, host tracks/signal sources, IHA compliance documentation, tote/communications arrangements, wagering procedures, settlement procedures, and responsible person.	Required if simulcast wagering is requested	☐	☐	☐	☐
D8	Wagering, Simulcast, and Purse Obligations	Recognized majority horsemen's group contract, Commission approval status, purse-account deposit procedures, or State Racing Operations Fund alternate deposit arrangement – Required if wagering on simulcast horse racing from outside the Commonwealth is requested.	Required if simulcast wagering from outside Virginia is requested	☐	☐	☐	☐
D9	Wagering, Simulcast, and Purse Obligations	Written request for approval of pari-mutuel pool types under 11VAC10-20-270, including native-industry statement or waiver request	All	☐	☐	☐	☐
D10	Wagering, Simulcast, and Purse Obligations	Escrow account documentation for nominating, sustaining, entry, or starting fees, if required under 11VAC10-20-400.	All as applicable	☐	☐	☐	☐
E1	Financial Responsibility and Business Capability	Most recent financial statements and year-to-date financials	All	☐	☐	☐	☐
E2	Financial Responsibility and Business Capability	Debt, financing, bank letter, insurance, tax compliance, and cost-overrun plan	All	☐	☐	☐	☐
E3	Financial Responsibility and Business Capability	Material vendor list and contracts for totalizator, wagering, payment, security, surveillance, data, and essential services	All	☐	☐	☐	☐
E4	Financial Responsibility and Business Capability	Application fee payment documentation, background investigation cost documentation/deposit, and payment contact information	All	☐	☐	☐	☐
F1	Governmental Approvals and Public Interest	Governmental approvals, land use/zoning compliance, referendum/facility approval information	All as applicable	☐	☐	☐	☐
F2	Governmental Approvals and Public Interest	Effects on competition statement	All	☐	☐	☐	☐
F3	Governmental Approvals and Public Interest	Economic impact, marketing/promotion, competition, simulcast impact if applicable, and orderly growth of horse racing narrative	All / proportionate	☐	☐	☐	☐
F4	Governmental Approvals and Public Interest	Affirmative action / minority participation plan or statement addressing participation by minority persons in contracts granted by the applicant/licensee – 59.1-369(3)	All	☐	☐	☐	☐
G1	Statutory Supplements	Supplement A - Significant Infrastructure / HHR-Related Operations, including HHR terminal-count and live-racing-day obligation schedule	If applicable	☐	☐	☐	☐
G2	Statutory Supplements	Supplement B - Certain Pari-Mutuel Facility / Tax-Exempt Facility	If applicable	☐	☐	☐	☐
G3	Statutory Supplements	Supplement C - Streamlined Event Information for Minimal Race Meets	If applicable	☐	☐	☐	☐
G4	Statutory Supplements	Simulcast Wagering Supplement – required if simulcast wagering is requested	If simulcast wagering is requested	☐	☐	☐	☐

LIMITED LICENSE APPLICATION

Application, Schedules, and Instructions

SCHEDULE A - SIGNIFICANT INFRASTRUCTURE LIMITED LICENSE / HHR-RELATED OPERATIONS

Complete Schedule A if applying as a significant infrastructure limited licensee under Va. Code § 59.1-376 or if the applicant owns, operates, controls, or is affiliated with HHR facilities.

Attach a schedule showing the calculation of live Thoroughbred racing days required under Va. Code § 59.1-369(17), including the number of fully operational HHR terminals installed at the significant infrastructure facility and any satellite facility owned, operated, controlled, managed, or otherwise directly or indirectly affiliated with the applicant, calculated as of December 31 of the calendar year in question.

Significant Infrastructure Facility Name		Requested Race Days (not to exceed 75)	
HHR Facilities Owned / Operated / Affiliated	☐ Yes ☐ No	List Facility Locations	
Number of HHR Terminals Installed at Significant Infrastructure Facility as of Prior December 31		Number of HHR Terminals Installed at Affiliated Satellite Facilities as of Prior December 31	
Total Fully Operational HHR Terminals Used for Live Racing Obligation Calculation		Required Live Thoroughbred Race Days Based on Terminal Count	
Requested Live Thoroughbred Race Days in This Application		Minimum Eight Races Per Required Day Satisfied?	☐ Yes ☐ No ☐ N/A
If More than One Required Live Thoroughbred Race Day, At Least One Weekend Day Requested?	☐ Yes ☐ No ☐ N/A	Race Dates Intended to Satisfy HHR Live Racing Obligation	
Terminal Count / Calculation Schedule Attached	☐ Yes ☐ No ☐ N/A	Cross-Reference to HHR Application or HHR Compliance Filing	
Relationship Between Live Racing and HHR Operations		HHR/Wagering Compliance Contact	
Integrity Monitoring Provider (must have permit)		Responsible Gambling Program Contact	
HHR or Wagering Vendor Changes Since Last Application	☐ Yes ☐ No	If Yes, Attach Schedule	☐ Attached ☐ N/A

Attach a narrative describing how live racing obligations, pari-mutuel wagering operations, HHR-related operations, integrity monitoring, vendor oversight, responsible gambling controls, and financial responsibility are coordinated and overseen.

LIMITED LICENSE APPLICATION Application, Schedules, and Instructions

SCHEDULE B - CERTAIN PARI-MUTUEL FACILITY / TAX-EXEMPT FACILITY

Complete Schedule B if applying under Va. Code § 59.1-378.1.

Facility Approved by Commission	☐ Yes ☐ No	Date of Facility Approval	
Tax-Exempt Status	☐ 501(c)(3) ☐ 501(c)(4)	IRS Determination Letter Attached	☐ Yes ☐ No
Race Days Requested (not to exceed 14)		Simulcast Horse Racing in Conjunction with Approved Race Meeting	☐ Yes ☐ No
Requested Simulcast Dates / Hours		Simulcast Will Occur Only During or in Conjunction with Approved Race Meeting Dates	☐ Yes ☐ No
Simulcast Operations Schedule Attached	☐ Yes ☐ No ☐ N/A	Host Track / Signal / IHA Compliance Documentation Attached or Identified	☐ Yes ☐ No ☐ N/A
Horsemen's Contract / Purse Deposit Arrangement Attached or Identified, if applicable	☐ Yes ☐ No ☐ N/A	Facility Use Agreement Attached	☐ Yes ☐ No
Prior License Granted to Facility / Owner / Operator	☐ Yes ☐ No	Prior License Year(s)	
Referendum History / Circumstances if Applicable			

LIMITED LICENSE APPLICATION Application, Schedules, and Instructions

SCHEDULE C - STREAMLINED EVENT INFORMATION FOR MINIMAL RACE MEETS

Complete Schedule C for applicants requesting two or fewer race days. The applicant must still complete the common core application, bond/financial assurance section, character disclosures, facility disclosures, safety/security plan, and required certifications. The purpose of this supplement is to permit concise responses or incorporation by reference where appropriate.

Use of Schedule C does not waive required simulcast, signage, horsemen's contract, purse-deposit, HHR-related, safety/security, or wagering documentation if those activities or obligations apply.

Requested Race Date 1		Requested Race Date 2	
Race Type	☐ Steeplechase ☐ Thoroughbred ☐ Standardbred/Harness ☐ Other	Sanctioning Organization	
Information Incorporated by Reference from Prior Year	☐ Yes ☐ No	Identify Prior Application / Sections	
Material Changes Since Prior Application	☐ Yes ☐ No	If Yes, Attach Explanation	☐ Attached ☐ N/A

LIMITED LICENSE APPLICATION Application, Schedules, and Instructions

SCHEDULE D - Simulcast Wagering / Satellite Facility Supplement

Is simulcast wagering requested?	☐ Yes ☐ No	Is simulcast wagering conducted at a licensed racetrack, satellite facility, or other Commission-approved facility? Identify facility type	
Interstate Simulcasting Schedule Attached, if applicable	☐ Yes ☐ No ☐ N/A	Intrastate Simulcasting Schedule Attached, if applicable	☐ Yes ☐ No ☐ N/A
Schedule includes dates, days of week, hours of operation, total races per date, reason dates are sought, breed, host track(s), number of races, and races per date	☐ Yes ☐ No ☐ N/A	Special Events Requested	☐ Yes ☐ No; if yes, attach request
Commission Approval / Temporary Approval Required Before Simulcast Schedule Changes	☐ Acknowledged	Simulcast Signal/Data Interruption Policy Attached	☐ Yes ☐ No ☐ N/A
Person Designated to Lock Ticket-Issuing Machines at Satellite Facility or Simulcast Wagering Location		Digital Display Compliance Confirmed	☐ Yes ☐ No ☐ N/A
Uplink / Communications Security and Encryption Controls Attached	☐ Yes ☐ No ☐ N/A		

 Virginia Racing Commission 10700 Horsemen Road New Kent, Virginia 23124 www.vrc.virginia.gov	LIMITED LICENSE APPLICATION Application, Schedules, and Authorizations	Appendix B
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AUTHORIZATION FOR RELEASE OF INFORMATION - ENTITY APPLICANT			
TO		FROM: Licensee Applicant Name	
Authorized Representative Legal Name		Title	
Business Address		Email / Phone	

The above listed entity is applying for a Limited License in the Commonwealth of Virginia. I am an authorized representative of the entity. On behalf of the entity, I give consent to the Virginia Racing Commission (VRC) and persons authorized by VRC to verify all information provided in the Limited License application materials; conduct a background investigation of the entity; obtain and evaluate business, regulatory, licensing, financial, litigation, tax, ownership, control, contract, and suitability information concerning the entity; and access information that the entity has provided to any other jurisdiction or regulatory authority seeking a similar license, permit, approval, or certification, as well as information obtained by that jurisdiction or authority during its review.

On behalf of the entity and its successors and assigns, I authorize any local, state, federal, foreign, or tribal governmental agency; regulatory authority; law-enforcement agency; court; commercial or business enterprise; financial institution; employer; non-profit entity; individual; or other public or private person or entity to release to VRC any information requested by VRC concerning the entity. The requested information may be released in written, oral, electronic, or any other form.

On behalf of the entity, I waive, release, discharge, and hold harmless any person or entity that provides information to VRC in reliance on this Authorization from any claim, liability, action, or cause of action arising from the release, disclosure, inspection, review, or use of such information. A photocopy, facsimile, scanned copy, or electronic copy of this signed Authorization has the same force and effect as the original.

Signature of Authorized Representative		Date	
Printed Legal Name of Authorized Representative		Title	

NOTARY

The undersigned, a Notary Public in and for the City/County of _____ in the Commonwealth/State of _____, certifies that the above-named individual appeared in person before me, either known to me or satisfactorily proven to be the individual whose name is subscribed to this instrument and signed it.

This _____ day of _____, 20____, to which witness my hand and seal.

Stamp or Seal		Notary Public Signature	
		Notary Public Printed Name	
My commission expires			

LIMITED LICENSE APPLICATION

Application, Schedules, and Instructions

COVERED INDIVIDUAL CHARACTER AND SUITABILITY DISCLOSURE			
Full Legal Name		Date of Birth	
Business Address		Residence Address	
Business Telephone No./ Email Address		Cell Phone No.	
Place of Birth		Social Security Number	
Applicant / Entity Relationship		Title / Role / Decision-Making Authority	

Answer each question completely. A "Yes" answer does not automatically disqualify an applicant or covered individual, but failure to disclose required information may result in denial, suspension, revocation, or other action by the Virginia Racing Commission. For each "Yes" answer, attach a schedule identifying the date, jurisdiction, court or agency, docket or case number if applicable, circumstances, current status, and final disposition.

#	Question	YES	NO
1	Other Criminal Proceedings. Other than matters disclosed in response to Questions 11 through 15, have you ever been indicted, charged, summoned, arrested, convicted, found guilty, pleaded guilty or no contest, entered into a deferred disposition, or been named as an unindicted co-conspirator in any criminal proceeding, other than a minor traffic violation? If yes, disclose the nature of the charge or offense, date charged, court or law-enforcement agency, jurisdiction, and disposition.	[]	[]
2	License, Permit, Credential, or Regulatory Discipline. Have you ever had a horse racing, HHR, pari-mutuel wagering, gaming, gambling, equine health/safety, veterinary, laboratory/testing, business, professional, or occupational license, permit, registration, credential, or approval denied, suspended, revoked, conditioned, restricted, withdrawn, fined, ruled off, excluded, ejected, surrendered, lapsed, or renewal denied, or have you been a party to a proceeding to do so? Include any voluntary surrender, withdrawal, lapse, or failure to renew while under investigation or in lieu of discipline. If yes, disclose the date, jurisdiction, authority, circumstances, and disposition.	[]	[]
3	Action Against a Regulator. Have you ever filed, initiated, or been a party to an administrative appeal, judicial action, or other formal dispute involving a governmental regulator of horse racing, HHR, pari-mutuel wagering, gaming, gambling, or equine-regulated activity? If yes, disclose the date, forum, regulator, circumstances, and disposition.	[]	[]
4	Governmental, Regulatory, or Integrity-Related Matter. Have you ever been the subject of a governmental or regulatory investigation, inquiry, subpoena, civil investigative demand, administrative charge, consent order, consent decree, judgment, order, settlement, or enforcement action involving horse racing, HHR, pari-mutuel wagering, gaming, gambling, equine health/safety, medication/testing, securities, trade regulation, tax, fraud, corruption, integrity, financial responsibility, unfair labor practices, discrimination, or similar laws or regulations? If yes, explain.	[]	[]
5	Material Litigation. During the past five years, have you been a party to material civil litigation, arbitration, or other dispute-resolution proceeding that may reflect on financial responsibility, honesty, integrity, regulatory compliance, professional conduct, racing integrity, wagering integrity, equine health/safety, or suitability? If yes, attach a schedule.	[]	[]
6	Bankruptcy, Insolvency, or Similar Proceeding. During the past ten years, have you been subject to bankruptcy, insolvency, receivership, assignment for the benefit of creditors, fiscal agent, trustee, reorganization, liquidation, or similar proceeding? If yes, explain.	[]	[]
7	Unsatisfied Financial Obligations. Have you failed to satisfy any judgment, decree, order, tax obligation, assessment, purse obligation, horsemen account obligation, wagering obligation, regulatory fee, license fee, or other financial obligation material to racing, HHR, wagering, gaming, equine-regulated activity, or governmental authority? If yes, explain.	[]	[]
8	Tax, Fee, or Assessment Delinquency. Have you been delinquent in filing any tax return required by law or in remitting any tax, fee, assessment, purse payment, horsemen account payment, regulatory fee, or other amount required by any governmental authority or racing, wagering, gaming, or equine-regulatory authority? If yes, explain.	[]	[]
9	Racing, Gaming, Wagering, or Regulatory Discipline Involving You or Your Spouse. Have you or your spouse ever been fined, ruled off, excluded, ejected, suspended, expelled, disqualified, or otherwise disciplined by any horse racing, HHR, pari-mutuel wagering, gaming, gambling, racing association, racetrack, gaming establishment, stewards, judges, commission, HISA/HIWU, or other regulatory or governing authority? If yes, identify the person involved, relationship to you if applicable, authority, date, circumstances, and disposition.	[]	[]
10	Refusal or Failure to Comply with Regulatory Requirement. Have you ever refused, failed, or been alleged to have refused or failed to submit to or comply with a search, inspection, audit, interview, subpoena, order, ruling, directive, document request, drug test, alcohol test, breath test, blood test, urine test, sample collection, or other lawful requirement of a racing authority, wagering regulator, HHR regulator, gaming regulator, law-enforcement agency, or other regulatory authority? If yes, explain.	[]	[]
11	Pending Criminal Matters. Are any criminal charges, complaints, summonses, warrants, indictments, or criminal proceedings currently pending against you, including driving under the influence or reckless driving? If yes, disclose the charge, date, court or agency, jurisdiction, and current status.	[]	[]
12	Multiple Misdemeanor Offenses. Within the past five years, have you pleaded guilty or no contest, been found guilty, been convicted, entered into a deferred disposition, or been fined for three or more misdemeanor offenses? For purposes of this question, driving under the influence and reckless driving are not minor traffic violations and must be disclosed. If yes, disclose each offense, date, court, jurisdiction, and disposition.	[]	[]
13	Felony or Racing/Wagering/Gaming-Related Offense. Have you ever been convicted of, pleaded guilty or no contest to, been found guilty of, entered into a deferred disposition for, or been fined for any felony or any offense involving wagering, bribery, fraud, theft, touting, drugs, controlled substances, animal cruelty, animal abuse, animal neglect, fraudulent use of a credential, unlawful transmission of information, race fixing, manipulation of a wagering or racing outcome, unlawful administration of a substance to a horse, or other conduct related to horse racing, pari-mutuel wagering, HHR, gaming, gambling, or equine-related activity? If yes, explain.	[]	[]
14	Corrupt or Fraudulent Racing, Wagering, HHR, or Gaming Conduct. Have you ever been found guilty of, admitted to, sanctioned for, or entered into any settlement or agreement involving corrupt, fraudulent, dishonest, deceptive, or integrity-related conduct in connection with horse racing, pari-mutuel wagering, HHR, gaming, gambling, equine health/safety, medication/testing, laboratory services, veterinary services, or any Commission-regulated activity? If yes, explain.	[]	[]
15	Crimes Involving Violence, Dishonesty, Property, Fraud, or Breach of Trust. Have you ever pleaded guilty or no contest to, been found guilty of, been convicted of, entered into a deferred disposition for, or been fined for any violent offense, burglary, arson, larceny, theft, robbery, embezzlement,	[]	[]

#	Question	YES	NO
	forgery, uttering, credit-card fraud, identity theft, financial fraud, animal cruelty, animal abuse, animal neglect, or other offense involving dishonesty, breach of trust, misappropriation, or harm to another person or animal? If yes, explain.		
16	Other Suitability Information. Is there any other fact, circumstance, conduct, relationship, disciplinary matter, financial matter, regulatory matter, or pending issue not otherwise disclosed that may be relevant to VRC's review of your honesty, integrity, financial responsibility, racing integrity, wagering integrity, equine health/safety responsibility, regulatory compliance, or suitability to participate in Commission-regulated activity? If yes, explain.	[]	[]

COVERED INDIVIDUAL CONSENTS, ACKNOWLEDGMENTS, AND VERIFICATION

By signing this Covered Individual Character and Suitability Disclosure, I certify, acknowledge, and agree as follows:

- I have read this disclosure form and understand the information requested. If another person assisted me in reading, translating, interpreting, preparing, or completing this form, I certify that the contents were fully explained to me before I signed it and that the information submitted is true, complete, and accurate.
- I understand that I have a personal obligation to provide complete and accurate information directly to the Virginia Racing Commission. Disclosure to my employer, supervisor, manager, racing stable, licensed facility, HHR facility, racetrack, horsemen's organization, licensee applicant, or any other person or entity does not satisfy my obligation to disclose information to VRC on this form.
- I understand that I must answer each question based on my own knowledge, history, conduct, licenses, credentials, employment, access, duties, and suitability. I may not omit information because I believe my employer, supervisor, facility, racing stable, or another person already knows about it or has previously reported it.
- I understand that any misstatement, omission, incomplete answer, misleading answer, or failure to update required information may result in denial, suspension, revocation, conditioning, restriction, invalidation, or other action concerning my permit, access, credential, approval, or ability to participate in Commission-regulated activity.
- I understand that any permit, credential, access approval, or authorization issued to me is conditional upon completion of any required background investigation and my continued compliance with applicable Commission statutes, regulations, directives, rulings, orders, permit conditions, and access restrictions.
- I consent to fingerprinting, criminal history record checks, background investigation, and verification of the information provided in this disclosure and in any related application, authorization, or supporting document, as required or requested by VRC.
- I acknowledge that I am subject to the jurisdiction and authority of the Virginia Racing Commission, its stewards, judges, agents, and authorized representatives while I hold a permit, credential, access approval, or other authorization, or while I participate in, provide services to, or access any Commission-regulated activity or location.
- I understand that any permit, credential, access approval, or authorization issued to me is not transferable and is valid only for the role, employer, licensee applicant, racing counterparty, location, term, access level, and conditions approved by VRC.
- I consent to inspections or searches of my person, personal property, work area, vehicle, equipment, tack, containers, electronic devices to the extent authorized by law or regulation, and areas within the enclosure, licensed premises, stable area, restricted area, or other Commission-regulated location, as authorized by Commission statutes, regulations, rulings, orders, or permit conditions, including seizure of prohibited items or evidence of violations.
- I acknowledge that I may be required to submit to drug testing, alcohol testing, breath testing, blood testing, urine testing, sample collection, or other testing required or authorized by Commission statutes, regulations, rulings, orders, directives, or permit conditions.
- I understand that refusal or failure to comply with Commission rules, inspections, searches, seizures, testing requirements, document requests, interviews, directives, rulings, orders, or access restrictions may result in disciplinary action, including denial, suspension, revocation, restriction, exclusion, ejection, or denial of entry to restricted areas or Commission-regulated locations.
- I understand that failure to report observed violations of Commission statutes, regulations, rulings, orders, directives, permit conditions, or state or federal law during a race meeting or in connection with Commission-regulated activity may result in disciplinary action.
- I understand that disorderly conduct, use of another person's permit or credential, misuse of my permit or credential, unauthorized access, misrepresentation of my identity or role, or assisting another person in unauthorized access may result in disciplinary action.
- I acknowledge that VRC may deny, suspend, revoke, condition, restrict, or refuse to issue a permit, credential, access approval, or authorization if VRC determines that issuance or continued approval would not be in the interests of the people of the Commonwealth, the horse racing industry of the Commonwealth, or the honesty and integrity of horse racing in the Commonwealth, or if I am unqualified or unsuitable to perform the duties or exercise the access requested.
- I understand that VRC may refuse to issue, may condition, or may take action against a permit, credential, access approval, or authorization consistent with Va. Code § 59.1-389, 11VAC10-60-190, 11VAC10-60-200, and other applicable statutes, regulations, rulings, orders, directives, or permit conditions.
- I affirm that I am familiar with and will comply with applicable Commission statutes, regulations, directives, rulings, permit conditions, and access restrictions applicable to my role, duties, employer, licensee applicant, racing counterparty, facility, or approved access.
- I agree to notify VRC in writing within ten (10) days of any arrest, criminal charge, summons, indictment, conviction, deferred disposition, disciplinary action, license or credential action, termination of employment, material change in duties, change in employer, change in vendor relationship, or change in access need. I agree to notify VRC in writing within thirty (30) days of any change of residential address, mailing address, telephone number, or email address.
- I understand that my continuing disclosure obligation is owed directly to VRC. Notice to my employer, supervisor, racing stable, licensed facility, HHR facility, racetrack, horsemen's organization, licensee applicant, or any other person or entity does not satisfy my obligation to notify VRC unless VRC confirms in writing that such notice has been received and accepted.

SIGNATURE AND VERIFICATION

I, the undersigned Covered Individual, swear or affirm that I am the person named in this disclosure; that I have personally reviewed the information provided; that I understand my independent obligation to disclose complete and accurate information directly to the Virginia Racing Commission; and that the information provided in this disclosure and any attachments is true, complete, and accurate to the best of my knowledge, information, and belief.

Printed Legal Name		Signature	
Date		Applicant Entity Employer	

LIMITED LICENSE APPLICATION Application, Schedules, and Instructions

AUTHORIZATION FOR RELEASE OF INFORMATION - COVERED INDIVIDUAL (Make additional copies as needed)

Full Legal Name		Date of Birth	
Business Address / Phone No./ Email		Residence Address / \ Cell Phone No.	
Applicant / Entity Relationship	☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Manager/Supervisor ☐ Key Employee ☐ System/Data Access ☐ Subcontractor ☐ Other	Title / Role	

I am submitting this Authorization in connection with an application for a Limited License before the Virginia Racing Commission. I understand that this Authorization applies because I am, or may be, an owner of five percent (5.0%) or more; partner; director; officer; trustee; proprietor; policymaker; executive; manager; supervisor; key employee; subcontractor employee; person with direct or supervisory responsibility; person with access to restricted areas, wagering/HHR systems, wagering records, funds, surveillance/security functions, patron information, or other regulated activity; or another individual whose review VRC deems necessary.

I authorize the VRC and any person or entity acting on behalf of, or at the direction of, the VRC to verify any information provided in application materials; conduct a background investigation concerning me, including criminal history, licensing, regulatory, employment, financial responsibility, civil litigation, tax compliance, and other suitability information; and obtain, review, and use information provided to or obtained by any other jurisdiction, agency, racing authority, gaming authority, wagering regulator, law-enforcement agency, or similar body in connection with any license, permit, registration, approval, investigation, or suitability review.

I authorize any local, state, federal, foreign, or tribal governmental agency; regulatory authority; law-enforcement agency; court; commercial or business enterprise; consumer reporting agency; financial institution; employer; educational institution; nonprofit entity; individual; or other public or private person or entity to release to VRC any information requested by VRC concerning me. The requested information may be released in written, oral, electronic, or any other form.

To the fullest extent permitted by law, I waive, release, discharge, and hold harmless any person or entity that provides information to VRC in reliance on this Authorization from any claim, liability, action, or cause of action arising from the release, disclosure, inspection, review, or use of such information. A photocopy, facsimile, scanned copy, or electronic copy of this signed Authorization has the same force and effect as the original. This Authorization remains valid during the application review process and, if a permit is granted, during the permit term and any renewal, investigation, compliance review, or enforcement matter related to the permit, unless revoked in writing to the extent revocation is permitted by law.

Signature of Covered Individual	Date
Printed Full Legal Name	Title / Relationship to Applicant

NOTARY

The undersigned, a Notary Public in and for the City/County of _____ in the Commonwealth/State of _____, certifies that the above-named individual appeared in person before me, either known to me or satisfactorily proven to be the individual whose name is subscribed to this instrument and signed it.

This _____ day of _____, 20____, to which witness my hand and seal.

Stamp or Seal		Notary Public Signature	
		Notary Public Printed Name	
My commission expires			