

VENDOR SERVICE PERMIT APPLICATION Application, Schedules, and Authorizations

PURPOSE AND FILING INSTRUCTIONS

Purpose: Vendors use this form to apply for, renew, or report a change to a Vendor Service Permit. The form is structured to identify the vendor entity, ownership and control, key personnel, business relationship with a licensed pari-mutuel wagering facility, HHR facility, racetrack, applicant, permitted racing participant, racing stable, or other Commission-regulated counterparty, scope of regulated racing, HHR, wagering, facility, or participant-support goods or services, and required authorizations.

Instructions: Submit the completed application, required schedules, and applicable attachments to VRCLicense@vrc.virginia.gov or to the Virginia Racing Commission at the address above before conducting regulated business with a Virginia pari-mutuel wagering facility, HHR facility, racetrack, racing stable area, licensed racing participant, or other Commission-regulated racing activity. Renewal applicants or existing permit holders 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. VRC's vendor tier determination is an administrative classification used to determine the scope of review and required disclosures; it does not create a separate permit type beyond the Vendor Service Permit required by applicable Virginia law and VRC regulations." Answer every question. If a question is not applicable, write "N/A" and briefly explain.

Business Relationship Certification (Appendix E): The Racing, HHR, or Pari-Mutuel Wagering Business Relationship Certification must be completed and signed by the licensed pari-mutuel wagering facility, HHR facility, racetrack, applicant, licensed racing participant, racing stable, horsemen's organization, or other Commission-regulated counterparty, not by the vendor. The vendor may provide its identifying information, but the facility or applicant must certify the relationship and scope of services.

Personnel Disclosure: Do not submit a blanket roster of every employee unless requested by VRC. Instead, disclose all owners, partners, directors, officers, policymakers, management personnel, supervisory personnel, employees with direct responsibility for the Virginia facility, racing, HHR, wagering, stable-area, or participant-support relationship; employees with access to restricted areas, stable areas, racing office areas, test barns, detention barns, paddocks, track surfaces, wagering/HHR systems, racing data, official results, equine health/safety functions, funds, or patron data; and subcontractor personnel performing regulated work. Provide total employee counts for personnel directly associated with the Virginia facility work.

Covered Individual. For purposes of this application, a "Covered Individual" means any individual whose identity, role, ownership, control, access, or conduct may be relevant to VRC's review of the Vendor Applicant's suitability, regulatory responsibility, or participation in Commission-regulated activity. Covered Individuals include, but are not limited to:

1. Each owner, proprietor, partner, trustee, director, officer, or person holding or controlling, directly or indirectly, five percent (5.0%) or more of the Vendor Applicant;
2. Each person who has or shares policymaking, decision-making, operational-control, financial-control, or management authority for the Vendor Applicant or for the Vendor Applicant's Virginia racing, HHR, pari-mutuel wagering, facility, stable-area, or participant-support relationship;
3. Each manager, supervisor, project manager, account representative, site lead, field supervisor, or other individual with direct or supervisory responsibility for goods or services provided to a Virginia pari-mutuel wagering facility, HHR facility, racetrack, racing stable, licensed racing participant, horsemen's organization, or other Commission-regulated counterparty;
4. Each key employee or other individual whose duties may affect racing integrity, wagering integrity, HHR operations, official racing functions, equine health or safety, medication/testing, laboratory services, veterinary services, security, surveillance, access control, patron data, racing data, wagering data, financial accountability, or regulatory compliance;
5. Each individual who will have access to restricted areas, stable areas, backstretch areas, racing office areas, paddocks, test barns, detention barns, track surfaces, starting gates, wagering areas, HHR areas, surveillance or security areas, money rooms, cash/ticket handling areas, or other regulated or sensitive locations;
6. Each individual who will have access to wagering systems, HHR systems, totalizator systems, racing systems, racing records, official results, wagering records, patron data, horsemen or participant data, equine health/safety information, laboratory or testing information, purse or horsemen account information, funds, tickets, vouchers, or cashless wagering functions;
7. Each subcontractor employee or third-party individual who performs, supervises, controls, or materially supports regulated work for the Vendor Applicant; and
8. Any other individual VRC determines should be disclosed or reviewed based on the individual's ownership, control, access, duties, regulatory history, relationship to the Vendor Applicant, relationship to a licensed facility or racing participant, or potential effect on racing integrity, wagering integrity, equine health or safety, or Commission-regulated operations.

VRC does not require a blanket roster of every employee unless all employees perform covered work or VRC requests a complete roster. The Vendor Applicant must disclose Covered Individuals and provide the disclosures, authorizations, fingerprints, background information, or supplemental information required by VRC based on the vendor tier, the individual's role, and the scope of regulated activity.

Covered Individual Disclosure; No Separate Permit Application Required at Yearly Vendor Filing. A Covered Individual disclosed as part of this Vendor Service Permit 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 vendor 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 Vendor Applicant without requiring each such Covered Individual to file a separate permit application at the time of the vendor's initial application, renewal, or change filing, unless VRC specifically directs otherwise.

New Employees, Newly Assigned Personnel, and Material Personnel Changes. After submission of the vendor application, the Vendor Applicant must notify VRC before assigning any new employee, subcontractor employee, third-party worker, manager, supervisor, key employee, system-access person, racing-operations person, equine health/safety person, stable-area or restricted-area 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.

A Vendor 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 vendor 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, equine health or safety, patron protection, funds, records, systems, or Commission-regulated operations.

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

1. VENDOR TIER DETERMINATION

Purpose of Tier Determination. The Virginia Racing Commission uses the following vendor tiers as an administrative review tool to determine the scope of information, disclosures, background review, and attachments required for a Vendor Service Permit application. These tiers do not create separate statutory or regulatory license categories. VRC retains final authority to determine whether a vendor must be permitted, the appropriate scope of review, the individuals or entities that must submit disclosures or authorizations, and any conditions placed on a permit. The applicant should review the tier definitions below and select the tier that most closely describes the goods or services to be provided. If the applicant is uncertain, the applicant should select "Unsure – VRC determination requested." The applicant's selection is preliminary and does not bind VRC.

- **Tier 1 – Racing / HHR / Wagering Vendor – Primary.** Select this tier if the vendor will provide goods or services that directly affect the integrity, conduct, outcome, security, accounting, data, or operation of horse racing, pari-mutuel wagering, historical horse racing, advance deposit wagering, wagering systems, racing systems, or other Commission-regulated activity. This tier may include, but is not limited to, vendors providing or supporting HHR systems or terminals; wagering platforms; totalizator systems; racing office systems; entries, results, timing, photo finish, or official racing data; payment processing or cashless wagering functions; identity verification, geolocation, cybersecurity, or data services tied to wagering or racing operations; surveillance or security systems; laboratory, testing, medication-related, veterinary, equine health/safety, or integrity services; or other goods or services that VRC determines are material to racing, wagering, HHR, or regulatory integrity.
- **Tier 2 – Racing / HHR / Wagering Vendor – Secondary.** Select this tier if the vendor will provide goods or services that support racing, HHR, wagering, or facility operations but do not directly control wagering outcomes, racing outcomes, wagering accounts, HHR game functionality, official racing results, or core regulated systems. This tier may include, but is not limited to, vendors providing recurring or significant operational support, restricted-area access, racing-area access, stable-area or backstretch support, information technology support, construction or maintenance in regulated areas, security-sensitive facility services, equipment installation, track or facility maintenance, horse transportation, feed/bedding, farrier, participant-support services, or other services that involve access to regulated areas, racing participants, horses, wagering records, patron data, funds, or Commission-regulated operations.
- **Tier 3 – Racing Support / Ancillary Facility - Vendor Registration.** Select this tier if the vendor will provide ordinary commercial goods or services to a racetrack, HHR facility, ADW operator, racing participant, horsemen's organization, or other regulated counterparty, but the vendor will not directly affect racing integrity, wagering integrity, HHR operations, official racing functions, restricted areas, wagering/HHR systems, racing systems, patron data, wagering records, funds, equine health/safety functions, or other sensitive Commission-regulated activity. This tier may include, but is not limited to, routine office supplies, general merchandise, ordinary food or beverage supply, landscaping, general non-restricted janitorial services, general advertising goods, or other low-risk commercial services.
- **Unsure – VRC Determination Requested.** Select this option if the applicant or facility cannot determine the appropriate tier. VRC may request additional information from the applicant, the licensed facility, racing participant, horsemen's organization, or other counterparty before determining the appropriate scope of review.

VRC will determine the appropriate vendor tier based on the nature of the goods or services, the vendor's relationship to horse racing, HHR, or pari-mutuel wagering operations, access to restricted areas, stable areas, racetrack operational areas, or regulated systems, access to wagering records, racing records, official results, equine health/safety information, funds, patron data, surveillance/security functions, contract value and duration, number and role of subcontractors, public safety considerations, regulatory history, and any other facts VRC deems material. The vendor's selection and facility recommendation are preliminary and do not bind VRC.

Horse Racing Activities: For purposes of this application, vendors may include companies or individuals providing goods or services that participate in, support, or materially affect horse racing activities, including racing operations, racing office functions, racing data and official results, equine health or safety, veterinary or laboratory support, starting gate, timing/photo-finish, track surface, paddock, test barn, detention barn, stable area, backstretch, horse transportation, feed/bedding, farrier, equipment, security, surveillance, or participant-support services. VRC may classify such vendors as Primary, Secondary, or Registration based on risk, access, and regulatory nexus.

Field	Vendor / Facility Response
Proposed Vendor Tier:	☐ Tier 1 - Racing / HHR / Wagering Vendor – Primary ☐ Tier 3 - Racing Support / Ancillary Facility Vendor Registration ☐ Tier 2 - Racing / HHR / Wagering Vendor – Secondary ☐ Unsure – VRC determination requested
Basis for Proposed Tier:	☐ Direct HHR/wagering system involvement ☐ Direct racing operations or racing integrity involvement ☐ Racing office, entries, timing, photo finish, starting gate, official results, racing data, or track-surface function ☐ Equine health/safety, veterinary, laboratory, medication, testing, or integrity-related services ☐ Access to restricted racing area, stable area, test barn, detention barn, paddock, backstretch, or other regulated racing area ☐ Access to wagering/HHR systems, racing systems, wagering records, racing records, patron data, horsemen/participant data, or confidential regulatory data ☐ Funds, ticket, purse, payment-processing, or cashless wagering/horsemen account handling ☐ Surveillance, security, cybersecurity, or access-control function ☐ Construction, maintenance, transportation, operational, or IT work in a regulated or restricted area ☐ Ordinary commercial goods or services only ☐ Other: _____
VRC Final Classification:	☐ Tier 1 - Primary ☐ Tier 3 - Registration ☐ Tier 2 - Secondary ☐ Reclassified after review

Staff initials/date: _____

2. APPLICATION TYPE			
Permit Year Ending		Application Type	☐ Initial ☐ Renewal ☐ Change
Existing Permit Number, if any		Change Filing Only	☐ Name/DBA ☐ Ownership/Control ☐ Address/Contact ☐ Scope/Facility ☐ Personnel ☐ Other

3. VENDOR APPLICANT INFORMATION			
Legal Name of Applicant		Trade Name / DBA / T/A	
Form of Organization	☐ Individual/Sole Proprietor ☐ Partnership ☐ LP ☐ Corporation ☐ LLC ☐ Trust ☐ Other	FEIN / SSN if sole proprietor	
Principal Business Address (no P.O. Box)		Mailing Address, if different	
City / State / Zip		County / Country	
Main Telephone No.		Website	
Primary Email for Notices		Virginia SCC Entity ID, if any	

4. ENTITY FORMATION AND AUTHORITY TO DO BUSINESS			
Jurisdiction of Formation		Date of Formation	
Date Began Conducting Business in Virginia		Registered to Do Business in Virginia?	☐ Yes ☐ No ☐ N/A
States/Jurisdictions Where Registered or Authorized to Do Business		Certificate of Good Standing / Authority Attached	☐ Yes ☐ No ☐ N/A

Attach formation documents, governing agreements, Virginia SCC registration or certificate of authority if applicable, and a current certificate of good standing or equivalent documentation.

5. AUTHORIZED CONTACTS			
Authorized Representative Name / Title		Authorized Representative Email / Phone	
Licensing Contact Name / Title		Licensing Contact Email / Phone	
Payment or Billing Contact Name / Title		Payment or Billing Contact Email / Phone	
On-Site / Facility Relationship Contact Name / Title		On-Site / Facility Relationship Contact Email / Phone	

The Authorized Representative must have authority to make representations and bind the Vendor Applicant for purposes of this application.

6. RACING / HHR / PARI-MUTUEL BUSINESS RELATIONSHIP			
Licensed Facility / Racetrack / HHR Facility / ADW / Racing Stable / Licensed Racing Participant / Other Counterparty		Counterparty Contact Name / Title	
Counterparty Contact Email / Phone		Contract or Relationship Status	☐ Executed Contract ☐ Proposed Contract ☐ Purchase Order ☐ Other
Contract Effective Date / Term		Business Relationship Certification Attached	☐ Yes ☐ No

Attach Appendix E, completed by the licensed pari-mutuel wagering facility, HHR facility, racetrack, applicant, licensed racing participant, racing stable, or other Commission-regulated counterparty. The certification must identify the vendor, describe the goods or services, and be signed by a facility/applicant/racing counterparty representative authorized to certify the relationship, not the vendor applicant.

7. VENDOR TYPE AND SCOPE OF ACTIVITIES	
Information Requested	Vendor Response
Specific goods or services to be provided to the Virginia pari-mutuel wagering facility, HHR facility, racetrack, applicant, licensed racing participant, racing stable, or other Commission-regulated counterparty.	
Whether services involve wagering systems, HHR systems, totalizator operations, payment processing, surveillance, security, data access, money/ticket handling, racing operations, racing office functions, entries, timing, photo finish, official results, starting gate, track surface, test barn/detention barn, equine health or safety functions, veterinary/medical support, horse transport, stable-area operations, construction, hospitality, maintenance, or other Commission-regulated activity	
Locations where services will be performed, including on-site areas, remote work, restricted areas, or system access points	
Other pari-mutuel wagering facilities, racing facilities, HHR facilities, racing commissions, horse racing participants, or gaming/wagering jurisdictions served by the vendor; list facility/counterparty name, city, state, and country if outside the United States	
Licenses, permits, registrations, or approvals held by the vendor in racing, equine health/safety, gaming, wagering, security, payment processing, transportation, laboratory/testing, or other regulated industries	

If services involve horse racing activities, identify the racing function and location, including any stable-area, backstretch, paddock, test barn, detention barn, track surface, starting gate, racing office, timing/photo-finish, laboratory/testing, equine health/safety, horse transport, feed/bedding, farrier, veterinary, equipment, or participant-support services.	
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8. PERSONNEL DISCLOSURE AND EMPLOYEE INFORMATION

Disclose all Covered Individuals, as defined in the Purpose and Filing Instructions, in the table below or attach a labeled schedule. For privacy and proportionality, VRC should not require a list of every employee unless all employees will perform covered work in Virginia or VRC requests a full roster. The vendor must provide total counts and identify covered personnel whose roles are relevant to suitability, control, access, supervision, or regulated work.

Total employees in Virginia directly associated with the goods or services		Total employees outside Virginia directly associated with the goods or services	
Will any vendor personnel work on-site at a Virginia pari-mutuel wagering facility, HHR facility, racetrack, stable area, test barn, detention barn, paddock, racing office, or other regulated location?	☐ Yes ☐ No	Will any personnel have access to restricted areas, stable areas, racing office areas, test barns, detention barns, paddocks, track surfaces, wagering/HHR systems, racing systems, racing records, official results, equine health/safety information, wagering records, patron data, money/ticket handling, or surveillance/security functions?	☐ Yes ☐ No

Each covered individual identified as an owner, partner, director, officer, policymaker, manager/supervisor with direct facility, racing, HHR, wagering, stable-area, or participant-support responsibility, key employee, or individual with significant access to regulated systems, restricted areas, stable areas, racing office areas, test barns, detention barns, paddocks, track surfaces, funds, wagering records, racing records, official results, equine health/safety information, or patron data must submit (1) the Covered Individual Character and Suitability Disclosure (Appendix C) and (2) Authorization for Release of Information – Individual (Appendix D) unless VRC determines that it is not required.

Name	Employer / Entity	Title / Role	Covered Basis	Work Location / Access	Release Attached?
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A
			☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Policymaker ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ On-Site Regulated Work ☐ Subcontractor		☐ Yes ☐ No ☐ N/A

Disclose all individuals and entities with direct or indirect ownership or control of five percent (5.0%) or more, and all officers, directors, partners, trustees, proprietors, managers, supervisors, and other persons who have or share policymaking or decision-making authority for the Vendor Applicant or the Virginia facility, racing, HHR wagering, stable-area, or participant-support relationship.

9. OWNERSHIP, CONTROL, OFFICERS, DIRECTORS, PARTNERS, AND POLICYMAKERS

Name	Individual or Entity	Title / Relationship	% Direct Interest	% Indirect Interest	Voting / Control / Policymaking Authority	Release Attached?
						☐ Yes ☐ No ☐ N/A
						☐ Yes ☐ No ☐ N/A
						☐ Yes ☐ No ☐ N/A
						☐ Yes ☐ No ☐ N/A

Identify subcontractors or key vendors that will perform regulated services, supervise covered work, access restricted areas, handle funds, wagering records, racing records, official results, equine health/safety information, access wagering/HHR/racing systems, provide security/surveillance services, provide track/stable-area services, provide equine health/safety support, or otherwise materially support the vendor's regulated work.

10. SUBCONTRACTORS AND OTHER KEY VENDORS					
Subcontractor / Key Vendor Name	Service or Function	Work Location	Personnel Performing Covered Work	Agreement / Scope Attached?	Release(s) Attached?
				☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A
				☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A
				☐ Yes ☐ No ☐ N/A	☐ Yes ☐ No ☐ N/A

11. SUITABILITY AND BACKGROUND DISCLOSURE
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The Vendor 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 Vendor Applicant, affiliate, parent, subsidiary, owner, officer, director, partner, policymaker, manager, covered individual, or racing-related principal ever been indicted, charged, or convicted in any criminal proceeding other than a minor traffic violation or been a party to, or named as an unindicted co-conspirator in, any criminal proceeding? If yes, disclose the nature of the charge, date charged, court, and disposition.	☐	☐
B	Has the Vendor Applicant or covered individual ever had a horse racing, gambling, business, professional, or occupational license or permit revoked, suspended, denied, withdrawn, or renewal denied, or been a party to a proceeding to do so? If yes, disclose the date, circumstances, and disposition.	☐	☐
C	Has the Vendor Applicant or covered individual begun an administrative or judicial action against a governmental regulator of horse racing, gambling, HHR, or gaming? If yes, disclose the date, forum, circumstances, and disposition.	☐	☐
D	Has the Vendor Applicant or covered individual been the subject of a governmental or regulatory investigation, inquiry, consent order, consent decree, judgment, order, or enforcement action involving racing, equine health/safety, medication/testing, wagering, gaming, securities, trade regulation, fraud, corruption, integrity, or financial responsibility? If yes, explain.	☐	☐
E	Has the Vendor Applicant, parent, affiliate, subsidiary, or covered individual been involved in material litigation during the past five years? If yes, attach a schedule.	☐	☐
F	Has the Vendor Applicant, parent, affiliate, subsidiary, or covered individual been subject to bankruptcy, receivership, insolvency, fiscal agent, trustee, or similar proceeding during the past ten years?	☐	☐
G	Has the Vendor Applicant or covered individual failed to satisfy a judgment, decree, order, tax obligation, assessment, wagering obligation, purse obligation, racing fee, horsemen account obligation, license fee, or other financial obligation material to regulated operations? If yes, explain.	☐	☐
H	Has the Vendor Applicant or covered individual ever been charged in an administrative or judicial proceeding with violating a statute or regulation relating to unfair labor practices or discrimination?	☐	☐
I	Has the Vendor Applicant or covered individual been delinquent in filing any tax returns required or remitting taxes, fees, assessments, purse payments, horsemen account payments, regulatory fees, or other amounts required by any governmental authority or racing/wagering/equine regulatory authority?	☐	☐
J	Has the Vendor Applicant or covered individual been accused of violating horse racing, gambling, HHR, or pari-mutuel wagering laws or regulations?		

12. EXHIBIT MATRIX

Attachment / Disclosure	Primary	Secondary	Registration/Ancillary	Notes
Formation documents and governing agreements	Required	Required	Required	For all entity applicants
Good standing / authority to do business	Required	Required	Required if applicable	Virginia SCC or equivalent documentation
Facility Business Relationship Certification	Required	Required	Required	Licensee facility completes; vendor must not sign for licensee
Detailed scope of services / contracts / SOWs	Required	Required	Summary acceptable unless requested	Primary should include system functions, racing/HHR/wagering functions, equine health/safety functions, access rights, interfaces, and operational control points.
Ownership/control chart through ultimate 5% owners	Required	Required	Basic 5% owners	VRC may request expanded ownership.
Officers, directors, partners, trustees, proprietors, policymakers	Required	Required	Required for applicant entity	Individual releases as determined by tier and role
Covered personnel list	Required	Required	Upon request	Do not require blanket roster unless all employees perform covered work or VRC requests.
System-access / racing-operation / restricted-area personnel	Required	Required if applicable	Upon request	Include role, access type, racing/HHR/wagering function, work location, and supervisor
Subcontractor/key vendor schedule	Required	Required if applicable	If applicable	Include subcontractor personnel performing covered work.
Individual Authorization for Release of Information for each covered individual	Required for all qualifiers/covered individuals	Required for owners/control/key covered personnel	Upon request	VRC may expand based on review.
Entity Authorization for Release of Information	Required	Required	Required	Signed by authorized representative for entity applicant
Criminal, regulatory, litigation, bankruptcy, tax suitability questions	Required	Required	Limited questions	Primary includes most detailed suitability review.
Financial statements / tax transcripts / financial responsibility documents	Required or upon request	Upon request	Generally not required	Require for high-risk, system, funds, or financial-responsibility vendors
Insurance documentation	Required if operationally relevant	Required if operationally relevant	Upon request	Particularly for construction, security, IT, funds, and facility work
Racing-function description and location map/list	Required if applicable	Required if applicable	Upon request	Identify racing office, paddock, stable area, backstretch, test barn, detention barn, track surface, starting gate, lab/testing, or equine health/safety function.
Horse racing participant, occupation, veterinary, laboratory, transportation, or other professional credentials	Required if applicable	Required if applicable	Upon request	Applies to racing-service vendors and individuals whose work may affect racing integrity, equine health/safety, or participant conduct
Controlled substance / medication / laboratory / veterinary protocols	Required if applicable	Upon request	Generally not required	Required for vendors handling equine medications, samples, test results, veterinary records, or laboratory services

13. CERTIFICATION AND APPLICANT AFFIDAVIT

The Authorized Representative must certify the application. Documentation of authority to execute this application must be attached if the authority is not apparent from title or governing documents.

I certify and affirm that: (1) I am authorized to complete and execute this Vendor Service Permit Application on behalf of the Vendor Applicant; (2) the Vendor Applicant seeks the privilege of doing business with a Virginia pari-mutuel wagering facility, HHR facility, racetrack, applicant, licensed racing participant, racing stable, or other Commission-regulated counterparty and bears the burden of establishing suitability; (3) the information provided in this application and all attachments is true, complete, and not misleading to the best of my knowledge, information, and belief; (4) the Vendor Applicant has disclosed all covered owners, officers, directors, partners, policymakers, management personnel, supervisory personnel, key employees, and other covered individuals required by this application or requested by VRC; (5) the Vendor Applicant will not conduct regulated business requiring a permit until VRC approval is issued; (6) the Vendor Applicant will comply with all applicable statutes, regulations, Commission directives, and permit conditions; and (7) the Vendor Applicant has a continuing duty to promptly notify VRC of material changes to the information submitted.

Signature of Authorized Representative		Date	
Printed 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			

OFFICE USE ONLY

Date Received		Application Fee Received	
Staff Review Date		Background Costs	
Staff Initials		Commission Action / Date	
Completeness Notes			



VENDOR SERVICE PERMIT APPLICATION Application, Schedules, and Authorizations

Appendix A

AUTHORIZATION FOR RELEASE OF INFORMATION - ENTITY APPLICANT

TO		FROM:	
Authorized Representative Legal Name		Vendor Applicant Name	
		Title	
Business Address		Email / Phone	

The above listed entity is applying for a Vendor Service Permit in the Commonwealth of Virginia. I am an authorized representative of the entity. On behalf of the entity, I give consent to VRC and persons authorized by VRC to verify all information provided in the vendor 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 vendor 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.

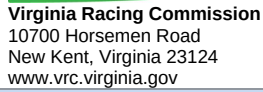
Signature of Authorized Representative		Date	
Printed Legal Name of Authorized Representative		Title	

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			



Appendix B

Use this schedule for covered individuals only unless VRC requests a complete roster.

[illegible]



Virginia Racing Commission
10700 Horsemen Road
New Kent, Virginia 23124
www.vrc.virginia.gov

VENDOR SERVICE PERMIT APPLICATION Application, Schedules, and Authorizations (Make additional copies as needed)

Appendix C

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 / Racing Counterparty 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, occupational, or vendor 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	☐	☐

#	Question	YES	NO
	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, 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, vendor 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, vendor 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, vendor 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, vendor 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	



VENDOR SERVICE PERMIT APPLICATION Application, Schedules, and Authorizations

Appendix D

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 Number	
Applicant / Entity Relationship	☐ Owner ☐ Partner ☐ Director ☐ Officer ☐ Manager/Supervisor ☐ Key Employee ☐ Racing Operations ☐ Equine Health/Safety ☐ Stable/Backstretch Access ☐ System/Data Access ☐ Subcontractor ☐ Other	Title / Role	

I am submitting this Authorization in connection with an application for a Vendor Service Permit 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 for goods or services provided to a Virginia pari-mutuel wagering facility; HHR facility, racetrack, racing stable, licensed racing participant, other Commission-regulated racing activity; person with access to restricted areas, wagering/HHR systems, racing systems, wagering records, racing records, official results, funds, equine health/safety information, 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			

VENDOR SERVICE PERMIT APPLICATION Application, Schedules, and Authorizations

Appendix E

RACING, HHR, OR PARI-MUTUEL BUSINESS RELATIONSHIP CERTIFICATION

Counterparty Certification Form – This page is to be completed **only** by a Racetrack Facility / HHR Facility / ADW / other, not by the Vendor Applicant. This certification is required to verify that the Vendor Applicant has an established or proposed business relationship with a licensed pari-mutuel wagering facility, HHR facility, racetrack, applicant, licensed racing participant, racing stable, or other Commission-regulated counterparty authorized by the Virginia Racing Commission. The vendor should not complete, sign, or certify this form on behalf of the facility/applicant/racing counterparty.

Racetrack Facility / HHR Facility / ADW / Racing Stable / Horsemen's Organization / Licensed Racing Participant / Other		Facility / Racing License / Applicant Reference, if any	
Facility / Racing Counterparty Business or Trade Name		Facility / Racing Counterparty Address	
Vendor Applicant Legal Name		Vendor Trade Name / DBA / T/A	
Facility / Racing Counterparty Representative Completing Certification		Title / Authority	
Representative Email / Phone		Relationship Status	☐ Executed Contract ☐ Proposed Contract ☐ Purchase Order ☐ Other
Goods / Services to be Provided by Vendor Including Racing-Related Services	Facility / Location	Expected Start Date	Term / Duration Anticipated Value of \$ in a calendar year

The undersigned representative of the licensed facility or applicant certifies that: (1) the Vendor Applicant named above is presently engaged in, or has entered into an agreement, contract, purchase order, or written understanding to conduct business with the facility/applicant/racing counterparty named above; (2) the goods or services described above are directly related to horse racing activities, HHR or wagering systems, pari-mutuel wagering, racing operations, equine health or safety, stable-area or backstretch operations, construction, hospitality, maintenance, security, surveillance, data, payment processing, or other Commission-regulated, racing participant, or facility-support activity; (3) the undersigned is authorized to complete and execute this certification on behalf of the facility/applicant/racing counterparty; (4) the undersigned understands that the Vendor Applicant must obtain and maintain a valid Vendor Service Permit issued by VRC before conducting regulated business activities requiring that permit; (5) I am authorized to complete and execute / sign Business Relationship Agreements on behalf of the Virginia licensed or permitted racetrack / HHR / ADW / racing stable / licensed racing participant / horsemen's organization / other regulated counterparty and (6) the information provided in this certification is true, complete, and accurate to the best of the undersigned's knowledge.

Signature of Facility / Applicant Representative (A vendor applicant is prohibited from signing this form)	Date	
Printed Legal Name of Facility / Applicant 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			