

VIRGINIA LOTTERY
GAMING LICENSING and INVESTIGATIONS DIVISION



PROCEDURES MANUAL for SPORTS BETTING
PERMIT HOLDER APPLICANTS

GENERAL INFORMATION

This procedures manual is a reference guide for applicants applying for a sports betting permit. The Virginia Lottery's intention is to provide applicants with guidance when using the automated licensing system to complete your online application prior to submitting it to the Virginia Lottery's Gaming Licensing and Investigations Division for the appropriate due diligence. The applicant must designate an account representative to complete the online application who will also be the point-of-contact for the Department. This person should serve in the role of a Compliance Officer or similar as they will be handling confidential sensitive information for the permit holder as well as for associated principals.

An applicant for a permit holder shall, in conjunction with the Department, identify those individuals that meet the definition of a principal. Individuals will meet the definition of a principal be required to complete a principal application. The account representative will be responsible for setting up the required principals in the licensing system. All applications must be submitted online through this automated system beginning October 15, 2020. A sample of the permit holder application can be found at www.vagamingregulations.com. The account representative should refer to the procedure manual for "Account Representatives" before contacting the Virginia Lottery's Gaming Licensing and Investigations Division at (804) 692-7165 to complete that account representative designation process.

The account representative will provide you with the following documents that are required to be notarized and returned to your account representative for upload into the automated system: Authorization for Release of Information and Affidavit of Individual Applicant. These documents can also be found on pages 6 to 7 of this manual. You will also be required to give your account representative several other documents to be uploaded into the automated system. These documents can be found in the sample application at www.vagamingregulations.com. The account representative will also provide you with the URL to access the Licensing website as well as a temporary password and username that you will use to sign into the automated system and begin the application process. Applicants will not be able to make any changes to their applications within the automated system once your application has been submitted. Once an application and all required supporting documents have been submitted, these items will become the property of the Virginia Lottery and will not be returned to you.

The account representative will also be responsible for providing the identified principals with the documents that are required to be notarized and the list of required documents that need to be uploaded into the licensing system. These documents can be found in the "Account Representatives" manual at www.vagamingregulations.com.

THE APPLICATION PROCESS

1. After accessing the automated system online, sign in using the username and temporary password provided by the account representative.
2. You will be prompted to change your password. Your new password must be 12 or more characters containing all the following: special character(s), alphabetical character(s), numerical character(s), upper case letter(s), **and** lowercase letter(s):

CHANGE PASSWORD

Use the form below to change your password.

Passwords must be at least 12 characters and meet the following criteria: at least 1 number, at least 1 lowercase letter, at least 1 uppercase letter, at least 1 special character, and cannot be the same as your previous password or only change by 1 character from previous passwords; and cannot be same as your username.

Account Information

Old Password:

New Password:

Confirm New Password:

3. Read the “Acknowledgement and Disclosure” form and click the button to acknowledge that you understand and agree to the terms within. If you aren’t clear on these terms, contact your account representative. You will not be able to proceed without acknowledging that you understand.
4. You will then be able to start entering information into your application. You must complete *every* section of the application prior to being able to submit it:

Licensing System	
The current progress on your Permit Holder application is listed below. If you have not yet started your application, click on the first section	
Section	Progress
Name, Address and Company Information	(0 of 13 Complete)
Directors, Partners, Officers and Trustees	(0 of 3 Complete)
Benefit Plans	(0 of 1 Complete)
Stock Description, Voting and Non-Voting Shareholders	(0 of 3 Complete)
Interest of Partners	(0 of 2 Complete)
Long Term Debt, Other Indebtedness, Security Devices and Options	(0 of 4 Complete)
Additional Principals	(0 of 1 Complete)
Financial Institution	(0 of 1 Complete)
Contracts	(0 of 1 Complete)
Applicant Stock Holding	(0 of 1 Complete)
Insider Transactions	(0 of 1 Complete)
Criminal, Investigatory, Litigations, and Regulatory Violations	(0 of 5 Complete)
Criminal, Investigatory, Litigations, and Regulatory Violations	(0 of 5 Complete)
Bankruptcy or Insolvency proceedings	(0 of 1 Complete)
Licenses	(0 of 1 Complete)
Contributions and Disbursements	(0 of 1 Complete)

5. Simply follow the instructions when entering your information for each section:

The screenshot shows a web application interface with two tabs: "Application" and "On Hold". The "Application" tab is active. Below the tabs, the text "NAME OF APPLICANT" is displayed. A note reads: "* As it is written on the Articles of Incorporation, By-Laws, Charter, partnership agreement or other official documents filed with the State". Below this, there are two input fields: "*Name:" with the value "Virginia Gaming" and "*Doing Business As (D/B/A) or Trade Name(s):" with the value "VA Gaming". At the bottom, there are four buttons: "Previous", "Next", "Hold", and "Completed". The "Completed" button is selected with a blue radio button.

6. When you get to the “Criminal Instructions” section of the application, click the instructions link and read the “Civil, Criminal, and Investigatory Proceedings” document prior to answering the questions in this section. You must acknowledge that you’ve read and understand the definitions in these instructions. If you do not understand, contact your account representative before proceeding:

The screenshot shows a web application interface titled "Gaming Licensing System". It has two tabs: "Application" and "On Hold". The "Application" tab is active. The section is titled "CRIMINAL HISTORY (Directors, Partners, Officers, Trustees and Owners)". Below the title, there is a note: "Prior to answering these questions, carefully review the definitions and instructions:". To the right of this note is a blue link "Click here for instructions" with a green arrow pointing to it. Below the note, there is a question: "Have you read and understood the definitions and instructions?" with a dropdown menu showing "Yes" and a green arrow pointing to it. Below the question, there is a paragraph: "The Department will make inquiries to establish whether the identified individuals have had any involvement with law enforcement agencies. Failure to disclose any such involvement will be taken into account in assessing the Applicant's character, honesty and integrity." Below the paragraph, there is another question: "Do you understand the instructions?" with a dropdown menu showing "Yes" and a green arrow pointing to it. At the bottom, there are four buttons: "Previous", "Next", "Hold", and "Completed".

7. Once you've completed each section you will be able to preview your application prior to submitting it. Be sure your information is accurate and complete as you will not be able to make changes within the automated system once you submit it. You will be able to print a copy of your application for your records.

The current progress on your Permit Holder application is listed below. If you have not yet started your application, click on the first section to begin. Once

Section	Progress
Name, Address and Company Information	(13 of 13 Complete) ✓
Directors, Partners, Officers and Trustees	(3 of 3 Complete) ✓
Benefit Plans	(1 of 1 Complete) ✓
Stock Description, Voting and Non-Voting Shareholders	(3 of 3 Complete) ✓
Interest of Partners	(2 of 2 Complete) ✓
Long Term Debt, Other Indebtedness, Security Devices and Options	(4 of 4 Complete) ✓
Additional Principals	(1 of 1 Complete) ✓
Financial Institution	(1 of 1 Complete) ✓
Contracts	(1 of 1 Complete) ✓
Applicant Stock Holding	(1 of 1 Complete) ✓
Insider Transactions	(1 of 1 Complete) ✓
Criminal, Investigatory, Litigations, and Regulatory Violations	(5 of 5 Complete) ✓
Criminal, Investigatory, Litigations, and Regulatory Violations	(5 of 5 Complete) ✓
Bankruptcy or Insolvency proceedings	(1 of 1 Complete) ✓
Licenses	(1 of 1 Complete) ✓
Contributions and Disbursements	(1 of 1 Complete) ✓



AUTHORIZATION FOR RELEASE OF INFORMATION

TO: _____

FROM: _____
(Applicant's Printed Name)

I am an applicant for a sports betting permit license in the Commonwealth of Virginia.

The Virginia Lottery "Department" is required by law to conduct an investigation of an applicant for a sports betting permit. I irrevocably give consent to the Department, and persons authorized by the Department, to: (1) verify all information provided in the license application documents; (2) conduct a background investigation of me; and (3) to have access to any and all information that I have provided to any other jurisdiction seeking a similar license in that jurisdiction, as well as the information obtained by that other jurisdiction during the course of any investigation that it may have conducted about me.

By executing this Authorization, I authorize any of the following entities to release to the Department any and all information about me that it requests: local, State or federal government unit; commercial or business enterprise; non-profit entity; individual; or any other public or private entity. The requested information may be released in written, verbal, electronic, or any other form.

With respect to any claims or liability arising from the release of the requested information to the Department I expressly waive, release, discharge and forever hold harmless and agree to indemnify, the unit, entity, or individual that releases information to the Department under the authority of this Authorization.

A photo, facsimile, or electronic copy of this signed and dated Authorization shall be equally effective as an original.

_____	_____
Signature of Applicant	Date
_____	_____
Printed Name	Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above-named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification. This _____ day of _____, 20____, and to which witness my hand and seal.

Stamp or Seal

Notary Public

Printed Name

My commission expires _____ 20_____



AFFIDAVIT for APPLICANT’S REPRESENTATIVE

Please read this document carefully, then sign and date it in ink. Please print the following information:

Applicant’s Full Business Name

Street Address City State Zip

I, _____ (printed name), am authorized to complete and execute this Sports Betting Permit License Application on behalf of _____ (printed name of Applicant). I am also authorized to provide all of the information requested in this application to the Virginia Lottery, its employees, agents, and vendors (collectively, “the Department”), and to make the representations set forth in this Affidavit.

I have read, and understand, every page of this application. To the best of my knowledge, information, and belief, the information that I have provided as part of this application is accurate, complete, and not misleading. I understand that any misrepresentation or omission may lead to the delay or denial of an application for a sports betting permit license and may subject me to civil or criminal liability. I understand that providing false or misleading information is grounds for the Department to reject this Application, or to suspend or revoke a license.

By a separate Authorization for Release of Information, I am authorizing any individual or person that has information about the Applicant to release that information to the Department for purposes of its investigation of the application for a sports betting license.

On behalf of the Applicant and its successors and assigns, I expressly waive, release, discharge, and forever hold harmless and agree to indemnify, the Department, the Commonwealth of Virginia, and their employees, agents, and representatives, from liability for any and all claims or legal action arising from any actions that the Department or the Commonwealth of Virginia may take related to the collection of information from the Applicant and the use of that information in connection with investigating the Applicant’s qualifications for a sports betting permit.

A photo, facsimile, or electronic copy of this signed and dated Affidavit shall be equally effective as an original.

Signature of Applicant Date

Print Name of Applicant Title

NOTARY PUBLIC

The undersigned, a Notary Public in and for the County of _____, in the State of _____, certifies that the above named individual appeared in person, and before me, either known to me or satisfactorily proven to be the individual whose name subscribed to the within instrument and signed the Authorization and Notification.

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

Notary Public

Printed Name

Stamp or Seal

My commission expires _____, 20

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