



COMMONWEALTH LOTTERY COMMISSION

P.O. Box 5234 CHRB, Saipan MP 96950 TEL: (670) 664-1100 Fax: 670 664-1115



LOTTERY LICENSE ENTITY APPLICATION CHECKLIST INSTRUCTIONS

Business Name: _____

Individual Name: _____

Complete and return this checklist with your application. All applications must be arranged in the order listed below. A complete application will consist of the applicable documents/items listed below and any additional documents/items as may be necessary and/or required by CLC Regulations.

The following forms and items must be submitted to the Commonwealth Lottery Commission.

- ☐ This checklist completed and signed.
- ☐ Form 1A Application for a Preliminary Finding of Suitability for Conditional License (if applying for conditional license.
- ☐ Form 2 Application for Approval by Corporation/Partnership/LLC.
- ☐ Form 3 Statement of Pre-Opening Cash/First Years Cash Flow: to be submitted if the business entity is seeking initial licensing.
- ☐ Form 6 Release and Indemnity of All Claims: to be filed by each individual and entity required to be licensed or found suitable.
- ☐ One copy of tax returns from the last three (3) years.
- ☐ A complete list of all stockholders, members, and/or partners showing the number of shares and/or interest of record held by each.
- ☐ One copy of each of the following (as applicable)
 - ☐ All Lease Agreements
 - ☐ Articles of Incorporation
 - ☐ Articles of Organization
 - ☐ Gaming equipment/device purchase agreements
 - ☐ Joint Venture Agreement
 - ☐ Management Agreement
 - ☐ Partnership Agreement
 - ☐ Purchase/Sale Agreement
 - ☐ Stock, bonus or profit-sharing plans
 - ☐ Trust Agreement
- ☐ Written house rules governing all wagering transactions and gameplay, including:
 - ☐ Fee structures and wagering terms

- ☐ Game rules and conditions of play
- ☐ Wagering and time limits, if applicable
- ☐ Continuous player access via a conspicuous online link or display, if applicable.
- ☐ Depiction of each page of the interactive gaming website and instructions for the navigation of the site, if applicable.
- ☐ Advertising and promotion plan for the operation of the lottery. Include any agreements with marketing affiliates, if applicable.
- ☐ Internal controls procedures addressing administrative, accounting, and system integrity standards, including:
 - ☐ Procedures for player registration, identity verification, and privacy protection
 - ☐ System security and transaction monitoring
 - ☐ Fraud, collision, and unauthorized access prevention
 - ☐ Compliance with anti-money laundering laws
- ☐ Policies and procedures for the registration of players and the self-exclusion of players.

Each applicant needs to complete and sign a checklist attesting the information being provided to the Commission is accurate and complete, agrees to cooperate with all requests, inquiries, or investigations of the Commission. An applicant for a lottery license is seeking the granting of a privilege, and the burden of proving his/her qualifications to receive such a license is at all times on the applicant. An applicant must accept any risk of adverse public notice, embarrassment, criticism, or other action, or financial loss which may result from action with respect to an application, and expressly waives any claim for damages as a result thereof.

Name	Title
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Signature	Date
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