

**APPLICATION FOR SECONDARY LICENSE
(Original and six copies must be submitted)**

**To: STATE RACING COMMISSION
4900 Alameda Blvd. NE, Suite A
Albuquerque, NM 87113**

PERSONAL HISTORY RECORD

Submitted in connection with the application of _____
(name of primary licensee)
_____ for license to conduct a horse race
meeting in the state of New Mexico. **Horse Racing Act 60-1-6-C.**

If an applicant for secondary license is a corporation, the corporation must complete this form, by each officer corporate officer, director and policy-making employee and by each stockholder owning directly, indirectly or beneficially 10% or more of the stock of the corporation. If such a stockholder is a corporation, then this form must be completed also by the corporation, by each corporate officer, director and policy making employee of that corporation and by each stockholder of that corporation owning directly, indirectly or beneficially 10% or more of the stock. **Horse Racing Act 60-1-6-C**

1. Your full name _____

Last
First
Middle

 Also known as (maiden name, nickname, aliases) _____
2. Affiliation sought _____
 Name and location of track _____
3. Your position, title _____
4. Home address _____ how long? _____
5. Mail address, if different _____
6. Name and address of present employer _____
 What do you do _____ how long employed _____
7. Home phone _____ Business phone _____
 Social Security Number _____
8. Date of birth _____ Place of birth _____
9. U.S. Citizen: Yes _____ No _____ If naturalized, state where, when and give certificate of naturalization number _____
10. If a foreign national, state what country _____
 Are you living in the U.S. at this time? Yes _____ No _____ if so, state length and type of visa _____ Do you intend to become a U. S. Citizen? Yes _____ No _____ If so, when? _____
11. Height _____ Weight _____ Eyes _____ Hair _____
12. Education: Did you complete high school? Yes _____ No _____ if yes, give name and location of school and year of graduation. _____

 List all schools of higher learning you have attended, setting forth dates, course of study, and degree obtained, if any

13. Marital status _____
 Spouse's full name (including maiden name if applicable) _____

 Spouse's date of birth _____ Spouse's place of birth _____
 If spouse's address is different from yours, list here _____
 If spouse works, state name and address of employer and occupation _____

14. Father's name _____ if living, home address, where and by whom employed, and occupation _____

15. Mother's name _____ if living, home address, where and by whom employed, and occupation _____

16. List the names of all relatives working in the horse racing or gaming industry, giving relationship, position held, and name and location of employer (unless stated above)

17. Have you ever: (1) pleaded guilty, nolo contendere; or (2) been fined or forfeited bail for any criminal offense, either felony or misdemeanor (except minor traffic violations); or (3) Are criminal charges pending against you in any court in any state? If yes, give particulars concerning offense, plea, time, place and disposition.

18. Are you involved as a part in any current litigation? Yes _____ No _____ If so, complete the following (attached additional sheet if necessary):

Date	Plaintiff	Defendant	Name of Court	Location	Nature of Action	Amount Controversy
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19. List ALL cities in which you have lived for the last 15 years, giving street addresses and dates (attach additional sheets if necessary):

20. List ALL former employers and businesses you have engaged in since you became 21 years of age (attach additional sheets if necessary):

City	State	Complete Address	Zip Code	Position	Date From/To
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21. List five persons who have known you 5 years or more. (Do not include present or former employers or relatives.)

Name	Occupation	Complete Home Address and Telephone Number	Zip Code	Business Address and Telephone Number

22. Have you ever held a professional or occupational license in any state, such as race horse owner, trainer, agent, jockey, promoter, manager, certified public accountant, attorney, etc.? Yes _____ No _____ if so, specify including location and years held.

23. Do you breed and race horses? Yes _____ No _____ if yes, have you or do you anticipate racing such horses at a New Mexico licensed track? Yes _____ No _____. If yes, list track(s) _____

24. Have you ever been employed in a gambling enterprise? Yes _____ No _____
If yes:

Name of Enterprise	Address	Position Held	Supervisor	Dates

25. Have you ever held a financial interest in a licensed racetrack or other gambling venture?
Yes _____ No _____

Provide photograph taken within the Past 12 months, and indicate date taken.

If so, state when and give names and locations of businesses and names and addresses of all partners or business associates. If a corporation, names and addresses of all

stockholders, owning or holding directly, indirectly or beneficially 10% or more of the shares of stock issued (attach sheet if necessary _____

26. Do you now have, or have you ever held, a financial interest in any New Mexico horse racetrack? Yes _____ No _____ If so, when and where?

27. Do you now or have you ever consorted or associated with bookmakers, or touts? Yes _____ No _____ if yes, list names and addresses of such persons.

28. Have you been or are you now a member of or participant in any structured organization or association which supplies for profit illegal goods and services, including, but not limited to, gambling, loan sharking, narcotics and other forms of vice and corruption? Yes _____ No _____

29. Have you ever been convicted or penalized for the violation of any law or regulation with respect to racing in any jurisdiction? Yes _____ No _____ if yes, explain in detail.

30. Have you ever been the subject of any action by an administrative agency, (federal, state or local) which could have or did result in the revocation or suspension of any license or in any other disciplinary action? Yes _____ No _____ if yes, explain in detail.

STATEMENT OF INTEREST IN PRIMARY LICENSE

31. What is the nature of the interest in the primary license that requires you to obtain a secondary license? (e.g. stock, loan, partner, director)

32. If interest is a loan, state nature and amount of loan or advance. _____

33. If interest is in stock or ownership of an entity, state number of shares or percentage owned and class.

Number of Shares	Class	Percentage Owned
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If applicant has not been previously licensed as secondary stockholder licensee, list from whom stock was purchased and acquired.

Name	Address	Shares

FINANCIAL INFORMATION

Note: In lieu of completing the following Statement of Assets and Statement of Liabilities, a balance sheet certified to by a certified public accountant may be submitted if it contains substantially the information required in the Statement of Assets and Statement of Liabilities.

34. Are you attaching a separate certified balance sheet? Yes _____ No _____ If yes, answer questions 35 and 36. If no, the following Statement of Assets and Statement of Liabilities must be completed in full.

35. Name and address of certified public accountant who prepared balance sheet.

36. Balance sheet prepared as of _____

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Fixed Assets

Real Estate (Give location, brief description and fair value of each parcel)

Real Estate	Date Acquired	Cost at Time Acquired
_____		\$ _____
_____		\$ _____
_____		\$ _____
_____		\$ _____

Other Assets

Automobiles and other personal property

Other Property	Date Acquired	Cost at Time Acquired
_____		\$ _____
_____		\$ _____
_____		\$ _____
_____		\$ _____

TOTAL ASSETS \$ _____

If any assets are pledged or encumbered, explain in detail.

I certify that I am a certified public accountant licensed to practice in New Mexico, that I have examined the foregoing statement of Assets and Statement of Liabilities, that my examination was made in accordance with generally accepted auditing standards and accordingly included such tests of the accounting records and such other auditing procedures as I considered necessary under the circumstances and that the foregoing Statement of Assets and Statement of Liabilities fairly represents the Assets and Liabilities of _____ for the year then ended, in conformity with generally accepted accounting principles applied on a basis consistent with that of the previous year. **EXCEPTIONS, IF ANY (Explain fully below).**

Certified Public Accountant

Subscribed and sworn to before me this _____ day of _____, 200__.

Notary Public

My Commission Expires: _____.

State of New Mexico

ss.

County of

I, _____, under the penalty of perjury being duly sworn, deposes and says that the above statements are true and correct to the best of his/her knowledge and belief and that this statement is executed with the knowledge that misrepresentation or failure to reveal information requested may be deemed sufficient cause for the refusal to issue or revocation of a state horse racing license and criminal prosecution.

The application for a license, which I have submitted, is a matter of public record. Furthermore, I understand that the State Racing Commission will cause an investigation to be made of my background, both personal and financial. Subsequently, I understand that I may be asked to answer questions in open public meetings of the Commission.

I hereby authorize any and all persons having information concerning me, either of public record or otherwise, to furnish it to a duly authorized agent of the State Racing Commission.

I hereby expressly waive, release and forever discharge the State of New Mexico, and its agents, from any and all manner of action and causes of action whatsoever, which I, my administrators or executors can, shall, or may have against the State of New Mexico, or its agents, as a result of my applying for a license to conduct a horse race meeting the State of New Mexico.

Applicant

Subscribed and sworn to before me this _____ day of _____, 200__.

Notary Public

My Commission Expires: _____.