

# Major Procurement Vendor Disclosure

Class III Gaming



Investigations Conducted By  
Oregon State Police  
Gaming Enforcement Division

# MAJOR PROCUREMENT DISCLOSURE INFORMATION FORM

Name of Business Entity: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

## GENERAL INSTRUCTIONS

Read every question carefully prior to responding. Answer every question completely.

- All entries on this form must be typed or neatly printed except for signatures.
- If a question does not apply, so state with N/A in the response to that question. If there is nothing to disclose as to a particular question, state "None" in response to that question.
- If space available is insufficient, continue on a separate sheet and precede each answer with the appropriate title and section number.
- The applicant company president, CEO, or company representative must initial each page as provided in lower right-hand corner. The applicant is attesting to the accuracy and completeness of the information contained on that page.
- All applicants are advised that this Vendor Disclosure is an official document and misrepresentation or failure to reveal information requested may be deemed to be sufficient cause for the refusal or revocation of a contract or agreement and cause for possible criminal prosecution.
- Return the completed Procurement Disclosure Form (original) to the Oregon State Police, Gaming Enforcement Division, Vendor Investigations Section, 4190 Aumsville Hwy SE, Salem, OR 97317-8981.





2. List all CONTROL PERSONS (corporate officers, directors, partners, members, key employees, and management contractors). Also list all STOCKHOLDERS owning 5% or more interest in this company. List full name, title, residence address, date of birth, and social security number.

|             |         |      |                |     |
|-------------|---------|------|----------------|-----|
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |
| Name (Last) | (First) | (MI) | Title          | DOB |
| Address     |         |      | City/State/Zip | SSN |

Provide a Personal Disclosure form for each control person.

3. Are there any Officers, Directors, Partners, Members, Stockholders (5% or more) or Key Employees who are actively involved in this vendor's day-to-day operation as it relates to any class III gaming in Oregon?  
 Yes  No

If Yes, provide their names and addresses:

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Applicant's Initial\_\_\_\_\_

4. List the Business's Certified Public Accountants:

Internal:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

External:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

5. Has this company ever held or does it now hold any gambling or gaming licenses or permits in any jurisdiction?  Yes  No

If Yes, list the license or permit type, license number (if applicable), jurisdiction, regulatory agency, agency address, agency contact person, agency telephone, date of licensing or permit, and license status, on a separate page.

6. Has a gaming license or permit for this company ever been denied, revoked or suspended?  Yes  No

If Yes, provide complete details on a separate page.

7. Has this company ever been fined by any gaming authority for any reason within the past three years?  Yes  No

If Yes, provide complete details on a separate page.

8. Has this company ever withdrawn an application for a gaming license?  Yes  No

If Yes, provide complete details on a separate page.

9. List all sales agreements and contracts with Native American Tribes in Oregon for the most recent twelve month period, on a separate page.

|  |
|--|
| <b>SECTION 2<br/>LEGAL PROCEEDINGS</b> |
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For any questions answered "Yes" in this section, provide complete details on a separate page.

1. Has the vendor, a subsidiary or intermediary company, parent company, or holding company, or related corporation or business entity ever been the subject of a GRAND JURY or CRIMINAL INVESTIGATION?  Yes  No

2. Has the vendor, a subsidiary or intermediary company, parent company, or holding company, related corporation or business entity, or any key person in any of the preceding ever been ARRESTED, INDICTED, or CONVICTED for any criminal or gambling offense?  Yes  No

3. Has the vendor, a subsidiary or intermediary company, parent company, holding company, related corporation, or business entity, or any key person in any of the preceding ever been involved in any civil lawsuit?  Yes  No

Applicant's Initial \_\_\_\_\_

4. Were any of the lawsuits referenced above predicated in whole or in part upon conduct which allegedly constituted a crime or crimes?  Yes  No
5. Has the business or its officers or directors ever been the subject of antitrust violation allegations, trade regulation allegations, security judgments, or insolvency proceedings within the last 5 years?  Yes  No
6. Has the company ever been investigated for violating any tax laws, either civil or criminal?  Yes  No
7. Is the company aware of any tax liens against it?  Yes  No
8. List all attorneys and law firms representing your company in the State of Oregon, including address and phone numbers.

| <u>Name</u> | <u>Address</u> | <u>Phone Number</u> |
|-------------|----------------|---------------------|
|             |                |                     |
|             |                |                     |
|             |                |                     |

**SECTION 3  
FINANCIAL DATA**

1. Has the business been deemed legally bankrupt or filed a petition for any type of bankruptcy or insolvency, under any bankruptcy or insolvency law, within the last 7 years?  Yes  No  
If Yes, provide details including date filed, docket number, name and address of court, name and address of filing party, and name and address of trustee on a separate page.
2. Provide audited FINANCIAL STATEMENTS for the past three (3) years as prepared by a certified public accountant. If the business does not have audited financial statements, then submit unaudited financial statements and also include federal tax filings for past three years.
3. List all holding companies, business organizations, other entities, or individuals which hold any financial interest in this company. Include companies which have liens or other financial interest caused by company debt.  
\_\_\_\_\_  
\_\_\_\_\_
4. Is the business or property  owned,  rented,  leased, or  other, by the applicant? List the mortgage holder (if owned) including the terms of the mortgage and attach a copy of the contract. If the location is rented or leased, list the lessor or owner and provide a copy of the rental or lease agreement. Include the property owner's name, address, and phone number.  
\_\_\_\_\_  
\_\_\_\_\_

Applicant's Initial \_\_\_\_\_

|   |
|---|
| <b>SECTION 4<br/>REQUIRED ATTACHMENTS</b> |
|---|

1. Copy of Articles of Incorporation/Partnership Agreement.  Attached
2. Organization chart of the business showing its relationship to existing parent, subsidiary or affiliated companies.  Attached
3. Personal Disclosure form for each control person.  Attached
4. List of gambling or gaming licenses or permits.  Attached
5. Explanations for gaming license denials, suspensions, revocations, withdrawals, and fines.  Attached
6. List of all sales agreements and contracts with Native American Tribes in Oregon for the most recent twelve month period.  Attached
7. Summary of past and current litigation including case number, date, courts, all parties, subject matter, and disposition.  Attached
8. Financial statements for past three years. If financial statements are unaudited, also include federal tax filings for past three years.  Attached
9. List of lien and interest holders.  Attached
10. Minutes of last three years of Board of Directors and Shareholders meetings.  Attached
11. All current real property lease summary agreements.  Attached

Applicant's Initial\_\_\_\_\_



# FINANCIAL RECORDS DISCLOSURE AUTHORIZATION

## TO ANY FINANCIAL INSTITUTION:

I authorize and direct you to disclose any and all records and to deliver true copies thereof concerning or pertaining in any way to me or to the undersigned business to any law enforcement officer of the Oregon State Police, Gaming Enforcement Division. Disclosure is authorized for any civil, administrative, or criminal action which may be undertaken by the State of Oregon against me or any other person or business. Further, I authorize and direct you to honor a true copy of the original of this authorization as if the copy were the original itself.

## NOTICE TO APPLICANT:

I understand that pursuant to ORS 192.593(2)(d), I may revoke this authorization at any time in writing. Any such revocation shall be sent to the Lieutenant, Oregon State Police, Tribal Gaming Section, 4190 Aumsville Hwy SE, Salem, Oregon 97317-8981, certified mail, return receipt requested.

EXECUTED this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Applicant's Title

Subscribed and Sworn to before me  
this \_\_\_\_\_  
day of \_\_\_\_\_, 20\_\_\_\_,  
at \_\_\_\_\_,  
City State

(SEAL)

\_\_\_\_\_  
Notary Public (Signature)

\_\_\_\_\_  
Print Name

My Commission Expires \_\_\_\_\_

Applicant's Initial \_\_\_\_\_



# Request for Transcript of Tax Return

OMB No. 1545-1872

▶ Request may be rejected if the form is incomplete or illegible.

**Tip.** Use Form 4506-T to order a transcript or other return information free of charge. See the product list below. You can quickly request transcripts by using our automated self-help service tools. Please visit us at [IRS.gov](http://IRS.gov) and click on "Order a Transcript" or call 1-800-908-9946. If you need a copy of your return, use **Form 4506, Request for Copy of Tax Return**. There is a fee to get a copy of your return.

|   |   |
|---|---|
| <b>1a</b> Name shown on tax return. If a joint return, enter the name shown first.  | <b>1b</b> First social security number on tax return, individual taxpayer identification number, or employer identification number (see instructions) |
| <b>2a</b> If a joint return, enter spouse's name shown on tax return.   | <b>2b</b> Second social security number or individual taxpayer identification number if joint tax return  |
| <b>3</b> Current name, address (including apt., room, or suite no.), city, state, and ZIP code (see instructions)   |   |
| <b>4</b> Previous address shown on the last return filed if different from line 3 (see instructions)  |   |
| <b>5</b> If the transcript or tax information is to be mailed to a third party (such as a mortgage company), enter the third party's name, address, and telephone number. |   |

Oregon State Police, Vendor Investigations Section, 4190 Aumsville Highway SE, Salem, OR 97317

**Caution.** If the tax transcript is being mailed to a third party, ensure that you have filled in lines 6 through 9 before signing. Sign and date the form once you have filled in these lines. Completing these steps helps to protect your privacy. Once the IRS discloses your IRS transcript to the third party listed on line 5, the IRS has no control over what the third party does with the information. If you would like to limit the third party's authority to disclose your transcript information, you can specify this limitation in your written agreement with the third party.

**6 Transcript requested.** Enter the tax form number here (1040, 1065, 1120, etc.) and check the appropriate box below. Enter only one tax form number per request. ▶ \_\_\_\_\_

**a Return Transcript**, which includes most of the line items of a tax return as filed with the IRS. A tax return transcript does not reflect changes made to the account after the return is processed. Transcripts are only available for the following returns: Form 1040 series, Form 1065, Form 1120, Form 1120A, Form 1120H, Form 1120L, and Form 1120S. Return transcripts are available for the current year and returns processed during the prior 3 processing years. Most requests will be processed within 10 business days . . . . .

**b Account Transcript**, which contains information on the financial status of the account, such as payments made on the account, penalty assessments, and adjustments made by you or the IRS after the return was filed. Return information is limited to items such as tax liability and estimated tax payments. Account transcripts are available for most returns. Most requests will be processed within 30 calendar days . . . . .

**c Record of Account**, which provides the most detailed information as it is a combination of the Return Transcript and the Account Transcript. Available for current year and 3 prior tax years. Most requests will be processed within 30 calendar days . . . . .

**7 Verification of Nonfiling**, which is proof from the IRS that you **did not** file a return for the year. Current year requests are only available after June 15th. There are no availability restrictions on prior year requests. Most requests will be processed within 10 business days . . . . .

**8 Form W-2, Form 1099 series, Form 1098 series, or Form 5498 series transcript.** The IRS can provide a transcript that includes data from these information returns. State or local information is not included with the Form W-2 information. The IRS may be able to provide this transcript information for up to 10 years. Information for the current year is generally not available until the year after it is filed with the IRS. For example, W-2 information for 2010, filed in 2011, will not be available from the IRS until 2012. If you need W-2 information for retirement purposes, you should contact the Social Security Administration at 1-800-772-1213. Most requests will be processed within 45 days . . . . .

**Caution.** If you need a copy of Form W-2 or Form 1099, you should first contact the payer. To get a copy of the Form W-2 or Form 1099 filed with your return, you must use Form 4506 and request a copy of your return, which includes all attachments.

**9 Year or period requested.** Enter the ending date of the year or period, using the mm/dd/yyyy format. If you are requesting more than four years or periods, you must attach another Form 4506-T. For requests relating to quarterly tax returns, such as Form 941, you must enter each quarter or tax period separately. \_\_\_\_\_

Check this box if you have notified the IRS or the IRS has notified you that one of the years for which you are requesting a transcript involved **identity theft** on your federal tax return . . . . .

**Caution.** Do not sign this form unless all applicable lines have been completed.

**Signature of taxpayer(s).** I declare that I am either the taxpayer whose name is shown on line 1a or 2a, or a person authorized to obtain the tax information requested. If the request applies to a joint return, **either** husband or wife must sign. If signed by a corporate officer, partner, guardian, tax matters partner, executor, receiver, administrator, trustee, or party other than the taxpayer, I certify that I have the authority to execute Form 4506-T on behalf of the taxpayer. **Note.** For transcripts being sent to a third party, this form must be received within 120 days of the signature date.

|  |   |
|--|---|
|  | Phone number of taxpayer on line 1a or 2a |
| <b>Sign Here</b> ▶ Signature (see instructions)                            | Date                                      |
| ▶ Title (if line 1a above is a corporation, partnership, estate, or trust) |   |
| ▶ Spouse's signature   | Date                                      |

Section references are to the Internal Revenue Code unless otherwise noted.

## What's New

The IRS has created a page on IRS.gov for information about Form 4506-T at [www.irs.gov/form4506](http://www.irs.gov/form4506). Information about any recent developments affecting Form 4506-T (such as legislation enacted after we released it) will be posted on that page.

## General Instructions

**CAUTION.** Do not sign this form unless all applicable lines have been completed.

**Purpose of form.** Use Form 4506-T to request tax return information. You can also designate (on line 5) a third party to receive the information. Taxpayers using a tax year beginning in one calendar year and ending in the following year (fiscal tax year) must file Form 4506-T to request a return transcript.

**Note.** If you are unsure of which type of transcript you need, request the Record of Account, as it provides the most detailed information.

**Tip.** Use Form 4506, Request for Copy of Tax Return, to request copies of tax returns.

**Where to file.** Mail or fax Form 4506-T to the address below for the state you lived in, or the state your business was in, when that return was filed. There are two address charts: one for individual transcripts (Form 1040 series and Form W-2) and one for all other transcripts.

If you are requesting more than one transcript or other product and the chart below shows two different addresses, send your request to the address based on the address of your most recent return.

**Automated transcript request.** You can quickly request transcripts by using our automated self-help service tools. Please visit us at IRS.gov and click on "Order a Transcript" or call 1-800-908-9946.

## Chart for individual transcripts (Form 1040 series and Form W-2 and Form 1099)

| If you filed an individual return and lived in:  | Mail or fax to the "Internal Revenue Service" at:    |
|--|--|
| Alabama, Kentucky, Louisiana, Mississippi, Tennessee, Texas, a foreign country, American Samoa, Puerto Rico, Guam, the Commonwealth of the Northern Mariana Islands, the U.S. Virgin Islands, or A.P.O. or F.P.O. address                        | RAIVS Team<br>Stop 6716 AUSC<br>Austin, TX 73301     |
| Alaska, Arizona, Arkansas, California, Colorado, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Utah, Washington, Wisconsin, Wyoming  | RAIVS Team<br>Stop 37106<br>Fresno, CA 93888         |
| Connecticut, Delaware, District of Columbia, Florida, Georgia, Maine, Maryland, Massachusetts, Missouri, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Vermont, Virginia, West Virginia | RAIVS Team<br>Stop 6705 P-6<br>Kansas City, MO 64999 |
|  | 512-460-2272   |
|  | 559-456-5876   |
|  | 816-292-6102   |

## Chart for all other transcripts

| If you lived in or your business was in:   | Mail or fax to the "Internal Revenue Service" at:                    |
|--|--|
| Alabama, Alaska, Arizona, Arkansas, California, Colorado, Florida, Hawaii, Idaho, Iowa, Kansas, Louisiana, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, a foreign country, or A.P.O. or F.P.O. address | RAIVS Team<br>P.O. Box 9941<br>Mail Stop 6734<br>Ogden, UT 84409     |
| Connecticut, Delaware, District of Columbia, Georgia, Illinois, Indiana, Kentucky, Maine, Maryland, Massachusetts, Michigan, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, West Virginia, Wisconsin                         | 801-620-6922   |
|  | RAIVS Team<br>P.O. Box 145500<br>Stop 2800 F<br>Cincinnati, OH 45250 |
|  | 859-669-3592   |

**Line 1b.** Enter your employer identification number (EIN) if your request relates to a business return. Otherwise, enter the first social security number (SSN) or your individual taxpayer identification number (ITIN) shown on the return. For example, if you are requesting Form 1040 that includes Schedule C (Form 1040), enter your SSN.

**Line 3.** Enter your current address. If you use a P. O. box, include it on this line.

**Line 4.** Enter the address shown on the last return filed if different from the address entered on line 3.

**Note.** If the address on lines 3 and 4 are different and you have not changed your address with the IRS, file Form 8822, Change of Address.

**Line 6.** Enter only one tax form number per request.

**Signature and date.** Form 4506-T must be signed and dated by the taxpayer listed on line 1a or 2a. If you completed line 5 requesting the information be sent to a third party, the IRS must receive Form 4506-T within 120 days of the date signed by the taxpayer or it will be rejected. Ensure that all applicable lines are completed before signing.

**Individuals.** Transcripts of jointly filed tax returns may be furnished to either spouse. Only one signature is required. Sign Form 4506-T exactly as your name appeared on the original return. If you changed your name, also sign your current name.

**Corporations.** Generally, Form 4506-T can be signed by: (1) an officer having legal authority to bind the corporation, (2) any person designated by the board of directors or other governing body, or (3) any officer or employee on written request by any principal officer and attested to by the secretary or other officer.

**Partnerships.** Generally, Form 4506-T can be signed by any person who was a member of the partnership during any part of the tax period requested on line 9.

**All others.** See section 6103(e) if the taxpayer has died, is insolvent, is a dissolved corporation, or if a trustee, guardian, executor, receiver, or administrator is acting for the taxpayer.

**Documentation.** For entities other than individuals, you must attach the authorization document. For example, this could be the letter from the principal officer authorizing an employee of the corporation or the letters testamentary authorizing an individual to act for an estate.

## Privacy Act and Paperwork Reduction Act

**Notice.** We ask for the information on this form to establish your right to gain access to the requested tax information under the Internal Revenue Code. We need this information to properly identify the tax information and respond to your request. You are not required to request any transcript; if you do request a transcript, sections 6103 and 6109 and their regulations require you to provide this information, including your SSN or EIN. If you do not provide this information, we may not be able to process your request. Providing false or fraudulent information may subject you to penalties.

Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation, and cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. Generally, tax returns and return information are confidential, as required by section 6103.

The time needed to complete and file Form 4506-T will vary depending on individual circumstances. The estimated average time is: **Learning about the law or the form, 10 min.;** **Preparing the form, 12 min.;** and **Copying, assembling, and sending the form to the IRS, 20 min.**

If you have comments concerning the accuracy of these time estimates or suggestions for making Form 4506-T simpler, we would be happy to hear from you. You can write to:

Internal Revenue Service  
Tax Products Coordinating Committee  
SE:W:CAR:MP:T:M:S  
1111 Constitution Ave. NW, IR-6526  
Washington, DC 20224

Do not send the form to this address. Instead, see *Where to file* on this page.

# Oregon State Police - Gaming Division

Department 

## Disclosure Forms



Lists

About Us

Contact Us

Oregon State Athletic Commission

Lottery Gaming Section

Tribal Gaming Section

Vendor Investigation Unit

Oregon State Police

State Police Divisions

### Disclosure Forms

Below you will find the disclosure forms needed to complete the process.

- [Major Procurement Disclosure Form](#)
- [Sensitive Procurement Disclosure Form](#)
- [Personal Disclosure Form](#)
- [Personal Disclosure Update Form](#)
- [Vendor Employee Disclosure Form](#)

### Additional Information

#### Questions?

If you have any questions regarding the disclosure process or need additional fingerprint cards, please contact Lieutenant Craig Heuberger at (503) 378-6999 or by e-mail at: [craig.heuberger@state.or.us](mailto:craig.heuberger@state.or.us)

### OREGON.GOV

- State Directories
- Agencies A to Z
- Oregon Administrative Rules
- Oregon Revised Statutes
- Oregon - an Equal Opportunity Employer
- About Oregon.gov



### WEB SITE LINKS

- Text Only Site
- Accessibility
- Oregon.gov
- File Formats
- Privacy Policy
- Site Map
- Web Site Feedback

### PDF FILE ACCESSIBILITY

Adobe Reader, or equivalent, is required to view PDF files. Click the "Get Adobe Reader" image to get a free download of the reader from Adobe.

