



**WASHINGTON STATE GAMBLING COMMISSION**  
 LOCATION: 4565 7th Avenue SE, Lacey WA 98503  
 MAILING ADDRESS: P.O. Box 42400, Olympia WA 98504-2400  
 TELEPHONE: 360-486-3440 / FAX NUMBER: 360-486-3630  
 IN-STATE: 1-800-345-2529 / WEB SITE: www.wsgc.wa.gov

**INSTITUTIONAL INVESTOR CERTIFICATION FORM**

**INSTRUCTIONS:** Complete this form by supplying the requested information in the blank spaces as indicated, provide supporting documentation, then execute and sign the completed form with the assistance of a Notary Public, or other similar official. The highest-ranking individual or designee of the Washington State Gambling Commission applicant or licensee must sign the oath section. Forward the executed form to the Washington State Gambling Commission. Questions shall be directed to the Licensing Unit.

**CORPORATE LICENSEE INFORMATION**

IN THE MATTER OF \_\_\_\_\_  
 (Corporate Name of Licensee)

doing business as \_\_\_\_\_  
 (Trade Name)  
 (hereafter referred to as the "Licensee")

**INSTITUTIONAL INVESTOR**

COMES NOW \_\_\_\_\_ of full age, before the Washington State  
 (Affiant)

Gambling Commission, who certifies and says under oath and penalty of perjury:

1. I am the \_\_\_\_\_  
 (Position)  
 of \_\_\_\_\_  
 (Investment Company)

(hereafter referred to as "Investment Company"). As such, I am fully empowered to make the representations contained within this Certification. I am fully familiar with the facts represented herein, and I am fully empowered to bind the Investment Company to the terms and provisions contained herein, because \_\_\_\_\_

\_\_\_\_\_  
 (Attach additional sheet, if necessary, to fully explain the basis of your authority)

2. The Investment Company is registered with the Securities and Exchange Commission as follows:

\_\_\_\_\_  
 (Attach additional sheet if necessary)

**Please provide a copy of the Investment Company's registrations with the SEC as an investment company, if any.**

3. Investment Company, with its principal place of business at

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

(City)

(State)

(Zip)

(County)

now currently holds within all managed groups of funds identified below (Attach additional sheet if necessary):

(Fund)

(Fund Manager)

(Date of Birth)

(Social Security Number)

(Fund)

(Fund Manager)

(Date of Birth)

(Social Security Number)

(Fund)

(Fund Manager)

(Date of Birth)

(Social Security Number)

a combined total of \_\_\_\_\_ shares of Voting Securities (hereafter referred to as "Voting Securities")

of \_\_\_\_\_ which combined holdings

(Licensee)

represent approximately \_\_\_\_\_ % of all the issued and outstanding \_\_\_\_\_

(Type of Stock)

Voting Securities of the Licensee.

4. The Voting Securities held by the Investment Company were acquired and are held for investment purposes only, and were acquired and are held in the ordinary course of business as an institutional investor and not for the purposes of causing, directly or indirectly, the election or appointment of any director or management member of Licensee. Nor are the Voting Securities held for the purpose of causing, directly or indirectly, any change in the chartering documents (including articles of incorporation, bylaws, and other documents), or other operating agreements, management, directorship, policies, or operations of the Licensee. Further, the Investment Company acquired the Voting Securities disclosed above solely for investment purposes, and the Investment Company has no involvement in the business activities of Licensee, nor does Investment Company have any intention of influencing or affecting, or participating in the affairs of the Licensee.

5. If the Investment Company subsequently intends to influence or affect the affairs of the Licensee, they shall provide not less than 30 days written notice of such intent, and shall file with the Washington State Gambling Commission the appropriate application for licensure/suitability **before taking any action** that may influence or affect the affairs of the Licensee; provided, however, that Investment Company shall be permitted to vote on matters put to the vote of the outstanding security holders at any time without providing notice to the Washington State Gambling Commission.

6. For purposes of this Certificate and the matters set forth herein, the Investment Company acknowledges that it is bound by and shall comply with all regulations enacted by the Washington State Gambling Commission and, to such extent, is subject to the jurisdiction of the courts of Washington and consents to Washington as the choice of forum in the event any dispute, question, or controversy arises regarding the application of these regulations.

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7. On a separate page, identify the name, address, telephone number, date of birth, and social security, federal tax identification number or foreign national identification number of the following classes of persons or entities:
- a. Any person or entity which possesses or controls, directly or indirectly the beneficial ownership (including, but not limited to, Voting Securities and other equivalent) of 5% or more of your Investment Company or any one fund holding shares of the licensee;
  - b. Officers and directors, or their equivalent, of Investment Company;
  - c. Any person or entity which has direct or indirect control over Investment Company's holdings of Voting Securities of Licensee to include any individual or organization that owns 10% or more of the Investment Company's interest in the shares of the licensee.
  - d. Any person or entity which has direct or indirect power to direct or control the Investment Company's voting rights as a holder of Voting Securities of Licensee;
  - e. Investment Company's affiliates.

8. On a separate page, identify all securities of the Licensee that are or were, directly or indirectly, beneficially owned by Investment Company (including their affiliates) within the preceding year, setting forth a description of the securities, their amount, and the dates of their acquisition and sale.

9. On a separate page, identify and list all regulatory agencies with which Investment Company (including their affiliates which beneficially own Voting Securities of Licensee) file, periodic reports, and the name, address, and telephone number of the person, if known, to contact at each agency regarding Investment Company's regulatory compliance.

10. On a separate page, disclose all criminal and regulatory sanctions imposed during the preceding ten years, and all administrative and court proceedings filed by any regulatory agency during the preceding five years, concerning Investment Company, their affiliates, any current officer or director, or any former officer or director or tenure ended within the preceding twelve months. As pertains to any former officer or director, such information need only be provided to the extent it relates to actions arising out of or during such person's tenure with Investment Company (including their affiliates). Documentation supporting disposition of aforementioned listed activities shall be submitted.

11. Attach a copy of any filing to any federal governmental agency with respect to the acquisition or proposed acquisition of Voting Securities of the Licensee.

12. I certify that the statements made by me herein, and all attachments submitted herewith, are true, correct, and complete to the best of my knowledge and belief, under penalty of perjury.

Sworn to this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
(Day) (Month) (Year)

Affiant: \_\_\_\_\_

Position: \_\_\_\_\_

Investment Company: \_\_\_\_\_

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STATE OF: \_\_\_\_\_

COUNTY OF: \_\_\_\_\_

SWORN TO AND SUBSCRIBED before me by \_\_\_\_\_  
(Affiant)

a person known to me or whose identity I confirmed, and who did make the foregoing Certification statement under oath and penalty of perjury this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_  
(Day) (Month) (Year)

NOTARY PUBLIC: \_\_\_\_\_

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

SEAL:

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**OATH OF HIGHEST-RANKING INDIVIDUAL OR DESIGNEE OF  
WASHINGTON STATE GAMBLING COMMISSION APPLICANT / LICENSEE**

I declare under penalty of perjury, under the laws of the State of Washington, that all information provided on this application is true and complete to the best of my knowledge. I understand that untruthful, misleading, or incomplete answers whether through misrepresentation, concealment, inadvertence, or mistake, are cause for suspension or revocation of any gambling license(s) currently held, or denial of any future applications for a new license.

I understand that I am responsible to know and comply with all rules and laws, RCW 9.46 and WAC 230, which can be found on the Internet websites of the Washington State Gambling Commission or the Washington State Legislature. In the event I am the Designee, I also acknowledge that the Highest-Ranking Individual is also responsible to know and comply with all previously referenced rules and laws.

Name: \_\_\_\_\_  
First Middle Last

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Signature: \_\_\_\_\_