

Kansas Racing and Gaming Commission



Level III Gaming Occupation License Application

**Kansas Racing and Gaming Commission
700 SW Harrison, Suite 500
Topeka, KS 66603-3754
Phone: 785-296-5800
Fax: 785-296-0900**

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LEVEL III GAMING OCCUPATION LICENSE APPLICATION

Instructions

All information on the *Level III Personal Background Disclosure* form and the *Gaming Occupation License Application* form shall be typed or printed legibly in **black ink**, except initials and signatures. The applicant must use **blue ink** when signing, dating or initialing any page of the form. All forms must be properly signed and notarized. No applicant shall provide false information on any application form or to any commission staff.

LEVEL III CRITERIA:

Each person who will be employed by or working for a gaming facility, or acting as an independent contractor of a gaming facility, or working with an ancillary gaming facility operator, and who is not required to obtain a Level I or Level II license shall be required to obtain a Level III Gaming Occupation License or temporary work permit before engaging in any work with the gaming facility.

FORMS:

Individuals seeking a Level III Gaming Occupation License must submit the following documents to the gaming facility's human resources office, which shall verify the completeness of the form and forward to a Commission licensing office:

- An original *Level III Personal Background Disclosure* (Form 553-01) and any documents supporting the form.
- A *Gaming Occupation License Application* (Form 410-00).

Licensee applicants will also be required to have a License Review Appointment, which will be scheduled by the gaming facility's human resources office. At the appointment the following must occur:

- Identification as described below must be brought to the scheduled license review appointment.
- Each applicant will be required to be fingerprinted at the time of the scheduled license review appointment.
- Each applicant will be photographed for their Photo ID Badge at the time of the scheduled license review appointment.

IDENTIFICATION REQUIREMENTS:

Each applicant shall identify themselves to commission staff by presenting the following valid identification:

- A current and valid U.S. passport or certification of naturalization or a current identification card issued by the INS containing a photograph or fingerprints and containing identification information including name, date of birth, sex, height, color of eyes and address.

- If the previous documentation is not available a student who is a citizen of another country with a J-1 authorization shall present the appropriate signed J-1 authorization document and a valid and current foreign passport with the United States citizenship and immigration stamp attached therein.
- If none of the previous documentation is available the applicant shall present one of following:
 - Current and valid state issued driver's license that has a photograph;
 - Current and valid identification card issued to persons who serve in the U.S. military, or their dependents, that has a photograph and/or other identifying information;
 - Current and valid school identification card containing a photograph, expiration date, the seal or logo of the issuing institution and the signature of the card holder; or
 - Current and valid identification card issued by a federal, state or local government agency that has a photograph
- If the applicant is not a citizen of the United States and cannot provide any of the identification previously specified, the applicant shall provide identification showing a country identification number from the applicant's country of citizenship.
- If the name on the application is different from the name on the identification the applicant shall provide a marriage certificate, divorce decree, court order granting a petition for name change.
- The commission may require supplemental identification.

RENEWALS:

Each Level III Gaming Occupation License shall be issued for a period no longer than two years and one month and shall expire on the last day of the month in which the licensee was born. Level III license renewal applications and supporting documents shall be submitted to the gaming facility's human resources office, which shall verify the completeness of the form and shall forward the application packet to the commission licensing office not less than 90 days before the expiration date of the license.

CHANGES IN APPLICATION INFORMATION AND EMPLOYMENT STATUS:

Each applicant and licensee has the duty to provide current information on the application and to submit any changes in application information to the commission licensing office within 11 days of the change. Each licensing office and gaming facility's human resources office shall have available a **Personal Change Notice/Update to Information** form available to file changes in application information.

Each licensee has the responsibility to immediately notify the commission licensing staff of changes in employment status, including termination. If a licensee's employment terminates, any commission issued credential shall be returned to the commission.

Each applicant and licensee has the duty to comply with all requirements of the Kansas Expanded Lottery Act and K.A.R. 112-100-1 *et. seq.*

For Office Use Only: Lic. No. _____ <input type="checkbox"/> NEW <input type="checkbox"/> RENEW Facility Bill \$ _____ Clerk _____ Date _____	<h2 style="margin: 0;">Kansas Racing and Gaming Commission</h2> <h3 style="margin: 0;">Gaming Occupation License Application</h3> <p style="margin: 0;">PLEASE USE BLACK INK AND PRINT CLEARLY ANSWER ALL QUESTIONS OR, IF NOT APPLICABLE, SO STATE.</p>	For Office Use Only: FPS Rcvd: _____ Bckgrnd Rcvd: _____ T/L Issue Date _____ KRGC REVIEW: _____
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ALL APPLICANTS MUST BRING PHOTO IDENTIFICATION BEFORE OBTAINING A LICENSE BADGE.
SOME TYPES OF LICENSES REQUIRE TESTING OR INTERVIEWING BEFORE LICENSING.
PROVIDING FALSE INFORMATION ON THIS APPLICATION MAY RESULT IN CRIMINAL PROSECUTION.

1. License Level <input type="checkbox"/> Level I <input type="checkbox"/> Level II <input type="checkbox"/> Level III	1a. _____ SSN 1b. _____ Job Title
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Your Social Security Number (SSN) is requested pursuant to K.S.A. 74-139. Your SSN will be used by licensing, law enforcement personnel, the director of taxation, and the national racing/gaming database to determine eligibility for licensure and detect violations of law or racing/gaming regulations. Failure to provide your SSN may result in denial of your application.

2a. _____	(Last)	(First)	(Middle)	(Maiden)		
Legal Name						
2b. _____	(Last)	(First)	(Middle)			
Spouse's Name						
3. _____	4a. _____	4b. _____		4c. _____		
	Date of Birth	Place of Birth		Age		
Nickname, Alias, Other Names Used	4d. _____	4e. _____	4f. _____	4g. _____	4h. _____	4i. _____
	Sex	Race	Height	Weight	Eyes	Hair
5a. _____	(Street Address)		(City)	(State)	(Zip)	
Permanent mailing address at which service of papers may be made:						
5b. _____	(Street Address)		(City)	(State)	(Zip)	
Current or local address, if different:						
6a. _____	6b. _____	6c. _____	6d. _____			
Home Phone	Business Phone	Cell Phone	Fax			

- 7a. YES NO Are you a United States citizen? If **NO**, indicate country of citizenship _____.
- 7b. YES NO Do you have an Alien Registration No. _____? If **YES** provide a copy of your identification card and any documentation of employment authorization to be employed in the United States.

8. IMPORTANT! In answering the following, you must disclose all records, including expunged records.

- YES NO Have you ever been convicted of a felony?
- YES NO Have you ever been adjudicated as a juvenile of an act that would be a felony if committed by an adult?
- YES NO Have you ever been convicted of a violation of any gambling laws?
- YES NO Have you ever been adjudicated as a juvenile of an act that would be a violation of gambling law if committed as an adult?
- YES NO Have you ever been convicted of a violation of any controlled substance law?
- YES NO Have you ever been adjudicated as a juvenile of an act that would be a violation of any controlled substance law if committed by an adult?
- YES NO Have you ever committed two or more acts of violence within the past two years, as established by any court?
- YES NO Have you ever failed to meet any monetary or tax obligation to the federal government, or any state and local government?
- YES NO Do you have any criminal charges pending against you in any jurisdiction?

If you answered **YES** to any of these questions, provide the following information and attach additional pages if necessary:

Date of Order	County	State	Nature of Crime/Offense	Disposition

Gaming Occupation License Application

9. **YES** **NO** Have you been licensed by any racing or gaming jurisdiction? If **YES**, list the four most recent licenses.

State/Jurisdiction	Year	License Occupation	State/Jurisdiction	Year	License Occupation

10. **YES** **NO** Have you ever (1) been excluded, expelled, ruled off or denied privileges at a racetrack or casino; (2) withdrawn your application for a license; (3) been refused or denied a license; (4) had your license suspended for 10 days or more; (5) paid a fine of \$500 or more; or (6) had your license revoked?

If **YES**, provide the following information:

Date	State/Jurisdiction	Disposition (Fine, Suspension, etc.)	Restored to Good Standing?
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

Facility Employer Verification to be completed by the Gaming Facility HR Office:

Department & Job Duty _____

Name of Facility _____

Signature-Human Resource Office

Date Signed

IMPORTANT – If I am granted an occupation license, I agree to be familiar with and comply with the provisions of the Kansas parimutuel racing act, commission regulations, and laws of the United States and the State of Kansas and subdivisions thereof; I consent to allow agents of the Kansas bureau of investigation or security personnel of the commission to search without warrant my person, personal property, and work premises while within the racetrack facility or adjacent facilities; I consent to submit to a breath or urine test, or both, immediately upon request by any authorized representative of the commission for the purpose of determining whether or not I may be under the influence of alcohol or any controlled substance; I understand and agree that refusal to submit to a breath or urine test, or both, immediately upon request shall result in suspension of my occupation license; I understand that this application is subject to the open records act of Kansas; I authorize all reporting agencies to release to the commission, or its agents, any information requested by them for completion of the background investigation and processing of this application; and I understand that providing false information or failing to provide complete information on this application will justify the commission in assessing a fine, refusing to issue, denying, suspending, or revoking my license. **I HEREBY CERTIFY UNDER PENALTY OF PERJURY THAT THE STATEMENTS AND ANSWERS I HAVE MADE IN THIS APPLICATION ARE COMPLETE AND TRUE.**

All occupation licenses require a satisfactory background investigation.

NOTARIZATION OF THIS APPLICATION IS REQUIRED BEFORE A KANSAS LICENSE MAY BE ISSUED

Signature of Applicant

Date

State of _____ County of _____

Sworn to before me this _____ day of _____, _____, by _____

(SEAL)

My Commission Expires: _____

Notary Public

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Home Page: www.ksracing.org Email: krge@ksracing.org

ATTACH ADDITIONAL PAGES IF NECESSARY



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**PERSONAL BACKGROUND DISCLOSURE FORM
 LEVEL III**

Position/Title: _____

Employing Racing or Gaming Facility: _____

Applicant Name:

 LAST FIRST MIDDLE

Applicant's Permanent Street Address:

 STREET LOCATION (NUMBER/STREET) CITY STATE ZIP

Current Driver's License Number: _____ State of Issuance: _____

Birth Date: ____/____/____ SSN: ____-____-____

1. Have you ever been arrested, detained, charged, indicted, or summoned to answer for any criminal offense or violation for any reason whatsoever, regardless of the disposition of the event?
 No Yes If yes, attach an explanation.

2. Have you ever been sued or named in any civil court action (including family matters, divorce, negligence matters, contract matters, collection matters, professional matters, bankruptcies, etc.)?
 No Yes If yes, attach an explanation.

3. Have you been reprimanded, suspended, terminated, or asked to leave (for any reason) by an employer?
 No Yes If yes, attach an explanation.

4. Are you now or have you been employed by a gaming entity or applied for a racing or gaming license in any jurisdiction?
 No Yes If yes, attach an explanation.

5. Do you have an interest, whether financial or otherwise, in any gaming entity, venture, or activity?
 No Yes If yes, attach an explanation.

6. Have you any ownership interest, directly or indirectly, as an owner, owner-trainer, or trainer of a horse or greyhound, or as a jockey of a horse entered in a race in any jurisdiction?
 No Yes If yes, attach an explanation.

7. Have you ever failed to meet any monetary or tax obligation to the federal government or to any state or local government?
 No Yes If yes, attach an explanation.

8. Have you received treatment or counseling for alcohol, controlled substance, or gambling abuse or addiction?
 No Yes If yes, attach an explanation.

9. I understand that failing to answer these questions completely and truthfully may be the basis for action to be taken against my occupation license, including fines, suspension, and/ or revocation.
 _____ (Initial here if you understand and agree)

CERTIFICATION

Under penalty of perjury, I certify that the answers given to questions in this personal background disclosure form and the documents I have filed with it are true, complete and correct to the best of my knowledge.

 Printed Name

 Signature

 Date

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

 Notary

[Seal]

SUPPORTING DOCUMENTATION

Please provide a photo copy of your current driver's license.

FINGERPRINT CARDS

Each applicant is required to submit two completed blue and white Applicant Fingerprint Cards along with the Personal Background Disclosure Form. These fingerprint cards are commonly available from local law enforcement agencies. Please have the law enforcement agency assist in fingerprinting and completing the cards.

BE SURE TO DATE AND SIGN ANY ATTACHED RELEASE FORMS.

**RELEASE FORMS AND FINGERPRINT CARDS MUST
BE FILED WITH THIS DISCLOSURE FORM.**



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AUTHORIZATION OF RELEASE

I hereby authorize and request any former and present employer, creditor, bank, savings and loan, credit union, finance company, mortgage company, credit card company, credit reporting agency, collection agency, school, college, university, agencies in the criminal justice system or any other person, company or corporation to release any and all information and documentation relating to my employment, evaluations, credit, financial condition, financial information, school activities, grades, degrees, character, integrity, criminal history including expunged records and any other information whatsoever to any agent or agents of the Kansas Bureau of Investigation, the Kansas Racing and Gaming Commission or other person designated by the commission.

Please check here if you:

- (1) are a current resident of California, Minnesota or Oklahoma;
- (2) are applying for employment with the Kansas Racing and Gaming Commission; and
- (3) would like to receive a copy of your consumer report directly from TransUnion, LLC.

Signature

Printed Name

Social Security Number

Date

Subscribed and sworn to before me this _____ day of _____, 20____.

Notary

[Seal]