



Maine Lottery

<p>For office use only.</p> <p>Retail Agent License #:</p> <p>Date Activated:</p>

Application for a Lottery License

Please complete this entire application. When completed, return this application to the Maine State Lottery together with a fifty dollar (\$50.00) non-refundable application fee made payable to the Treasurer of State. An incomplete or illegible application will be returned without being reviewed. For questions relating to this application, please call (207) 287-3721 or email us at MaineLottery@Maine.gov.

Section 1: Type of Application

- New Change of ownership of an existing licensed location

Section 2: Type of Ownership: (select only one)

- | | |
|---|---|
| A. <input type="checkbox"/> Individual | D. <input type="checkbox"/> Corporation |
| B. <input type="checkbox"/> Sole proprietorship | E. <input type="checkbox"/> Limited Liability Company |
| C. <input type="checkbox"/> Partnership | F. <input type="checkbox"/> Limited Partnership |
| | G. <input type="checkbox"/> Limited Liability Partnership |

Federal Tax Identification Number: (if B, D, E, F or G is checked) _____

Section 3.A: If you checked A, B or C above, please list the Name of the Business:

Section 3.B: If you checked D, E, F or G above, please list the exact Legal Name of the Business as it is registered with the Secretary of State and other business name for your entity (DBA), if any:

- If the applicant is a sole proprietorship or general partnership, your legal name in Section 2 is your personal name. In Section 3.B, your DBA is your business name.
- If the applicant is a registered business entity, the information must match the information on file with the Maine Secretary of State’s office. If you have questions regarding this information, please call the Secretary of State’s office at (207) 624-7752.

Section 4: Location of Business: (town/city and county) _____

Section 5: Address and Telephone Number of Business:

Physical Address: _____

Mailing Address: (if different) _____

Business Telephone Number: _____

Alternate Telephone Number: _____

Section 6: Are you currently licensed by the Maine State Lottery in another location?

Yes No

If Yes, please provide lottery agent number(s) and location(s):

Section 7: Type and Classification of Business; Hours of operation; Other Licenses.

A. Classification: (select only one)

- | | |
|---|---|
| <input type="checkbox"/> 5000 Miscellaneous | <input type="checkbox"/> 5700 Department/Box Store |
| <input type="checkbox"/> 5400 Grocery Store/Market | <input type="checkbox"/> 5715 Bowling Alley |
| <input type="checkbox"/> 5415 Convenience Store | <input type="checkbox"/> 5800 Tavern/Lounge |
| <input type="checkbox"/> 5416 Convenience Store/Gas | <input type="checkbox"/> 5810 Restaurant |
| <input type="checkbox"/> 5540 Service Station | <input type="checkbox"/> 5910 Drug Store |
| <input type="checkbox"/> 5600 Hardware Store | <input type="checkbox"/> 5990 Newsstand/Card Shop |
| <input type="checkbox"/> 5615 Video Store | <input type="checkbox"/> 8640 Non-profit Organization |

B. Type: (select only one)

Year round Seasonal

If seasonal, please provide months of operation: _____

C. Hours of Operations:

Sunday: From: _____ to: _____

Monday: From: _____ to: _____

Tuesday: From: _____ to: _____

Wednesday: From: _____ to: _____

Thursday: From: _____ to: _____

Friday: From: _____ to: _____

Saturday: From: _____ to: _____

D. Date business to start operations: _____

E. Other Licenses: (check all that apply)

Is your business licensed to sell: Distilled Spirits Beer and Wine

Section 8: Chain Store affiliation (if none, so indicate): _____

Section 9: Insurance Coverage for Theft and Fire – Please attach Certificate of Insurance

Name of Insurance Carrier: _____

Name and telephone number of Insurance Agent: _____

Policy #: _____ Deductible: _____

Extent of Coverage: _____

Section 10: Persons associated with business; contacts.

A. Please list the names, home addresses, dates of birth and social security numbers as follows:

If Section 2.A. or B. is selected: All owners

If Section 2.D. is selected: All officers, directors or shareholders

If Section 2.C or G is selected: All partners

If Section 2.E. is selected: All members or managers

If Section 2.F. is selected: All general partners

<u>Name</u>	<u>Address</u>	<u>SSN</u>	<u>Date of Birth</u>
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(Attach additional sheets as necessary)

B. Primary and Secondary Contacts for the Maine State Lottery. Please provide the names, title, telephone numbers (business, home and mobile), fax number and email address for a primary and secondary contact for the Maine State Lottery.

Primary Contact:

<u>Name</u>	<u>Title</u>	<u>Cell</u>	<u>Business or Home</u>	<u>Email</u>
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Secondary Contact:

<u>Name</u>	<u>Title</u>	<u>Cell</u>	<u>Business or Home</u>	<u>Email</u>
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Section 11: Background information. The Maine State Lottery will conduct a financial and criminal background check on all persons listed in the application. As part of this background check, please answer the following questions:

- A.** Has anyone listed in Section 7 ever been convicted of an offense other than a traffic violation?
 Yes No
- B.** Has anyone listed in Section 7 ever been subject to any disciplinary action, past or pending, by any administrative, governmental, or regulatory body? Yes No
- C.** Has anyone listed in Section 7 ever been charged with a violation of any statute, rule, regulation or ordinance of any municipal, administrative, regulatory, or governmental body?
 Yes No
- D.** Is your business in default of taxes, fees or other obligation to the State of Maine or any of its governmental subdivisions? Yes No

Note: If the answer is **Yes** to any question in this section, please attach an additional sheet to this application with a complete description and details of the offense, disciplinary action or violation as described in this section.

Section 12: Terms and Conditions of a License with the Maine State Lottery.

- A.** The applicant agrees to pay an installation fee of \$200. This fee will appear as an adjustment on the weekly settlement report over 8 weeks in \$25 increments;
- B.** The applicant agrees to establish a separate account to manage all financial transactions related to the lottery;
- C.** The applicant agrees to be bound by and comply with the laws, rules and instructions promulgated by the Maine State Lottery if a license is issued as a result of this application;
- D.** The applicant agrees to make available for sale to the public, valid draw and instant lottery tickets during normal business hours;
- E.** The applicant is responsible for the retail price of the tickets in the possession of the applicant;
- F.** The applicant agrees that all lottery tickets accepted from the Maine State Lottery or its authorized distributor are deemed to have been purchased by the applicant and therefore, the tickets are the sole property of the applicant for purposes of this agreement and for liability for theft or other loss;
- G.** The applicant agrees to sell and maintain a minimum of 16 active instant ticket games at all times;
 - 1.** A Lottery Field Operations staff will work with the applicant to determine if another lower minimum or higher minimum is appropriate for the applicant's business location;
 - 2.** A recommendation on the minimum will be made to the Manager of Field Operations who makes the final determination;
 - 3.** The applicant must agree to this recommendation and if, the minimum number of tickets is less than 16, the applicant must agree to increase the number of tickets over the next year to the 16 active instant ticket game minimum standard;
 - 4.** The Lottery reserves the right to terminate this license at any time if the minimum number of instant ticket games are not sold by the applicant or for low sales based on an acceptable standard in the applicant's geographical location;
- H.** The applicant agrees to sell the lottery's portfolio of draw games that include Megabucks Powerball, Hot Lotto, Mega Millions, Lucky for Life, Gimme 5, Pick3 and Pick4;
 - 1.** The applicant agrees to meet a minimum sales standard to be determined after its first 6 months of operations as a lottery retail agent;
 - 2.** A Lottery Field Operations staff will work with the applicant to set this minimum sales standard and make a recommendation to the Manager of Field Operations who will make the final determination. This minimum sales level must be maintained throughout the life of the license;
 - 3.** The applicant's sales will be reviewed semi-annually and the Lottery reserves the right to increase or decrease the minimum draw games sales standard based on this review;
 - 4.** The Lottery reserves the right to terminate this license at any time if the minimum sales standard for lottery draw games is not met by the applicant or for low sales based on an acceptable standard in the applicant's geographical location;
- I.** The applicant agrees to have installed and use the following point of sale equipment issued to the applicant including the terminal, printer, flat panel advertising monitor, wireless ticket checker and wireless jackpot sign;
- J.** The applicant agrees to maintain and post authorized displays; notices; drop boxes; and other materials used in conjunction with lottery ticket sales in accordance with the instruction of the Maine State Lottery;

- K.** The applicant agrees to have sufficient funds available to instantly pay (either by cash or check) all valid claims up to and including \$599.00 and to provide lottery claim forms to the claimants for all valid claims \$600.00 and over;
- L.** The applicant must continuously carry significant insurance coverage for theft or other types of loss for all lottery tickets;
 - 1.** The applicant must report any theft or loss of lottery tickets or equipment to the Maine State Lottery; and
 - 2.** The applicant must apply to the applicant's insurance company for reimbursement of the value of any tickets stolen or lost;
- M.** The applicant agrees to maintain accurate records of all operations in conjunction with lottery ticket sales as required by the rules and instructions promulgated or issued by the Maine State Lottery;
- N.** The applicant agrees to make available to the Maine State Lottery for inspection and audit those records the applicant is required to maintain;
- O.** The applicant agrees that the license issued as a result of this application may be revoked or suspended for any or all of the following reasons; but not limited to:
 - 1.** Whenever the applicant knowingly uses false or misleading information to obtain a license;
 - 2.** Whenever the applicant violates any of the provisions of Maine law relative to the Maine State Lottery or any rules or policies promulgated or issued by the Maine State Lottery; and
 - 3.** Whenever it is determined by the Director of the Maine State Lottery or the director's designee that the applicant fails to meet minimum sales standards outlined in paragraphs G and H of this Section.
- P.** The applicant agrees that the Maine State Lottery will be held harmless from any liability in conjunction with operating and conducting lottery ticket sales if a license is issued.

Section 13: Acknowledgment and Signatures.

I certify under penalty of perjury that I have completed this application to the best of my ability and knowledge and that there are no misrepresentations or false information stated in this application. Additionally, I am aware that false or misleading information or statements are reasons for rejection of this application and the revocation or suspension of my license to sell lottery tickets. I agree to be governed by all laws and rules relating to the Maine State Lottery as well as the terms and conditions listed in this application. I further agree to consent to a criminal and financial background check as a condition of licensure.

For an entity: (complete if Section 2.D, E, F or G was selected)

Name and capacity of authorized person: _____

Signature of authorized person: _____

Date: _____

For an individual, sole proprietor or partnership: (complete if Section 2.A, B or C was selected)

Name and Capacity: _____

Signature: _____

Date: _____

For an application to be considered for review, the following **MUST** be included. An incomplete or illegible application will be returned without being reviewed.

- Signed Application
- \$50.00 Application Fee
- Credit Release
- Criminal Background Release
- W-9
- ACH Agreement
- Voided Check or Deposit Slip
- Certificate of Insurance

Return the following to: Bureau of Alcoholic Beverages & Lottery Operations
Attn: Licensing
8 State House Station
Augusta, Maine 04333-0008

For Office Use Only
This application for a license is:
<input type="checkbox"/> Approved <input type="checkbox"/> Denied

Official with the Maine State Lottery

Date