

Dear Applicant:

Thank you for your interest in becoming a CT Lottery Retailer. The Lottery's growth continues with the successful participation of our retailers. You will be joining a large team of winners.

The Lottery is the fourth-oldest lottery in the United States. We are proud of the contributions we make to the State of Connecticut and of our partnership with our retailer team. In fact, since the Lottery's start in February 1972 the Lottery has generated sales exceeding \$33 billion, has awarded more than \$20 billion in prizes, has paid more than \$1.8 billion in commissions to retailers, and has transferred more than \$10.6 billion to the state's General Fund.

The attached package of information includes the following documents:

- Application
- "Lottery Application Instructions and Procedures"
- Several required forms

Please read and complete all the attachments carefully so that we may consider your request to become a Lottery retailer. Incomplete information may result in delays or may require further documentation.

For more information, or answers to any questions, please contact our Licensing Department at 1-800-842-5688 and press 3.

We are committed to making the experience of our Lottery Retailers as convenient and rewarding as possible, and we look forward to receiving your application.

Sincerely,

Gregory Smith

Gregory Smith President and CEO

Attachments

Rev: Nov. 2021



CONNECTICUT DEPARTMENT OF CONSUMER PROTECTION

BRYAN T. CAFFERELLI | COMMISSIONER

Dear Applicant:

Section 12-568a of the Connecticut General Statutes charges the Department of Consumer Protection (DCP) with the responsibility to assure the integrity of the Connecticut Lottery, which includes the licensing of lottery sales agents (retailers). The enclosed packet contains all necessary forms and instructions on how to become a lottery sales agent. You must complete and submit all forms to the Connecticut Lottery Corporation (CLC). Once the CLC has approved your location, the application shall be forwarded to the Department of Consumer Protection for criminal and financial checks, and license suitability determination.

In addition to the material required in the packet, it is also required that all individuals listed on the application, including the Person in Charge (PIC), must be photographed. *Large corporate chains are exempt from the photo requirement* for corporate officers, but the PIC must submit a photo. Large corporate chains are "Key Accounts"/chains as determined by the CLC.

There are two options available for meeting the photograph requirement.

- 1. (PREFERRED METHOD for Connecticut residents) Each individual required to be photographed may authorize the Department of Consumer Protection to obtain a photograph from the Connecticut Department of Motor Vehicles, if such individual possesses a current valid Connecticut Driver's License or Connecticut ID card. Attached is the necessary authorization form for this option. If you are a Connecticut resident and do not possess a current valid Connecticut Driver's license or Connecticut ID card, you are encouraged to obtain such in order to expedite this lottery photo requirement. Note that new Connecticut residents are required to transfer their out-of-state license to Connecticut within thirty (30) days of establishing residency in Connecticut; or
- 2. Each individual required to be photographed may submit a **COLOR PASSPORT PHOTOGRAPH**. Be sure to indicate the individual's name on the back of the photograph.

A new photograph shall be required every three (3) years. This will be done through the renewal process. Note: All Lottery Sales Agent licenses expire annually on March 31.

Renewal notifications are mailed by January 1 and failure to renew prior to expiration may result in suspension of lottery sales and/or imposition of a fine.

When completing the actual application, please pay particular attention to the identification of the Person in Charge (PIC). If you, as the licensee, will not be directly involved in the sale or exchange of lottery tickets or funds, you must notify the DCP and the CLC of a designated employee who shall be the Person in Charge (PIC) responsible for managing the lottery business. Such Person in Charge (PIC) will be subject to the approval of the DCP. Additionally, once licensed, you are required to make **timely** notification of any change to the Person in Charge (PIC). The time period is fifteen (15) days per the Department of Consumer Protection, Administrative Regulations for the Operation of the State Lottery, Section 12-568a-10(b). Failure to notify the DCP of a change in the PIC may result in an administrative hearing and the imposition of a fine.

Notwithstanding the preceding, Section 12-568a-10(c) of the administrative regulations provides that the licensed agent is responsible **for all actions** of its employees, including the PIC.

The CLC shall be your primary contact regarding the application process and also for any issues once licensed; however, if you have any further questions, please feel free to contact the Department of Consumer Protection's License Services Division at (860) 713-6000.

Sincerely,

Bryan Cafferelli Commissioner



LOTTERY APPLICATION INSTRUCTIONS AND PROCEDURES

The following information is provided to help clarify and expedite the Connecticut Lottery Corporation (CLC) retailer application process, which involves determinations by both the CLC and the Department of Consumer Protection (DCP).

Please see the enclosed Application Checklist. The appropriate person(s) must completely fill out and sign all forms. If required information is missing, your application will be considered incomplete and returned to you. Please allow a minimum of 4 weeks to complete all steps necessary to process your application.

Upon receiving the completed application package, the CLC will perform marketing and credit evaluations. If preliminarily approved, the CLC will forward the application to the DCP for a thorough criminal background and tax check. There is absolutely **no guarantee** that the CLC will forward your application to the DCP or that the DCP will grant you a license to sell lottery tickets. The process involves:

- *Marketing and Sales Survey*: an in-depth analysis of the business location, type and style, as well as an assessment of the public convenience and the best interests of the CLC.
- Criminal Check: background checks of the applicant, owner and/or business principals, etc.
- State/Local Tax Check: an investigation into the status of state and local tax payments.
- Credit Check: the credit worthiness and financial status of the applicant.

Upon DCP approval and as the CLC instructs, you will need to open a **SPECIAL DEDICATED LOTTERY BANK ACCOUNT** for lottery monies. If a lottery terminal is not currently operating at your location, you will be required, at your sole cost and expense, to install a **DEDICATED ELECTRICAL OUTLET**. After you install the dedicated outlet and the CLC receives the required electrical compliance form, the CLC will schedule your **MANDATORY TRAINING**.

<u>Once you are a licensed Lottery retailer</u>, you must abide by the CLC's policies and procedures and by the DCP's regulations. Your responsibilities will include, but not be limited to:

- Selling the entire product line and maintaining minimum sales.
- Redeeming all winning Lottery tickets up to \$599.
- *Meeting your financial obligations timely and fully*. You must place all net proceeds from the sale of lottery tickets into the CLC-approved designated lottery bank account. You must maintain sufficient funds for the weekly sweep. You will be charged a fee for any non-sufficient funds (NSF). If you have subsequent NSF occurrences within a one-year time frame, the CLC will require you to provide performance security for the third NSF, impose a 21-day suspension for the fourth NSF, and cancel your Lottery contract for the fifth NSF.
- **Prohibiting Lottery ticket sales to minors**. Lottery tickets cannot be sold to or purchased by anyone under the age of 18 years. Minors also cannot redeem/cash Lottery tickets.
- Accepting cash (paper currency and coin), certified bank checks, traveler's checks, money orders, prepaid gift cards, prepaid gas cards and debit cards as legal tender for the purchase of lottery tickets. The CLC strictly prohibits retailers from extending credit to their lottery customers for the purchase of lottery tickets.
- **Providing Lottery services during all business hours**. You cannot confine the sale or redemption/cashing of lottery tickets during the day or week. You must sell and redeem/cash lottery tickets during your regular business hours and while the gaming system is operational.
- **Providing space and care for the terminal, its components and the data communication equipment**. This equipment is the exclusive property of the CLC's gaming system vendor. Accordingly, you must not abuse, deface, misuse, move, change, replace or tamper with it. You must exercise due diligence in operating the terminal and must notify the gaming system vendor immediately of any incident involving terminal and/or system failure. You must also keep the equipment plugged in and running 24-hours every day of the year. You alone are responsible for the costs for damages incurred as a result of retailer abuse or misuse. If you wish to change the

location of your terminal within your business, you must first make a request to the CLC's Retailer Services Department (1-800-842-5688, then, press 2).

- Providing a dedicated electrical outlet for the terminal and its components with no other electrical items plugged into the same outlet.
- Providing an operational telephone within easy access to the terminal.
- Promoting the Lottery with point-of-sale and advertising materials.
- *Attending training sessions*. You must ensure that your present <u>and</u> future employees always are properly trained in lottery operations, regardless of whether you have a new or existing business.
- Notifying CLC of any changes in the business operation or ownership. Lottery licenses are not transferable.
- Renewing your Lottery license. You must renew your retailer license each year after the DCP initially grants it to you. If you fail to file your renewal by the March 31st expiration date, your Lottery sales will be suspended.
- Being courteous, cooperative and helpful to all Lottery customers.

Please keep these instructions for your records.

Our address is Connecticut Lottery Corporation, Retailer Services, 777 Brook Street, Rocky Hill, CT 06067. If you have any questions, please contact the licensing department at 800-842-5688, press 3, Monday through Friday, 8:30 a.m. to 4:30 p.m.

Before submitting an application, please make sure each of the following tasks/forms is completed or included:

- □ The business must be registered with the CT Secretary of State if it is an LLC, LLP or corporation.
- □ The 2 page Application for Lottery Sales Agent (Application) must be completed and signed.
- □ The Retailer Contract must be completed.
 - Please check the retailer type of ownership.
 - Verify that the type of ownership is the same as what is listed in response to #1 of the Application.
 - If the type of ownership is other than an individual/sole proprietorship, the name on the contract ("Corporate Name (if applicable)") must match the name provided in response to #3 of the Application.
- □ W-9 with taxpayer ID number.
 - Please use the address where the 1099 will be mailed.
 - Please use the same tax ID as provided in response to #2 on the Application.
 - The name field needs to match the name that is associated with the tax ID.
 - Please be sure to sign the W-9.
- □ Tax Certification Form completed and signed by both the applicant and the Tax Collector.

For <u>each</u> owner or officer listed in #11 on the Application, the following forms are needed (make additional copies if necessary):

- □ Individual Guarantee of Lottery Sales Agent.
- □ Authorization for Release of Personal History.
- □ Authorization to Obtain Consumer Credit Report(s).
- Connecticut Department of Motor Vehicles Photo Release Form (if the individual has a CT license) or 2 passport photos if he/she does not.
- □ Copy of photo ID (acceptable forms of ID are a driver's license, passport or resident card).

If there is a PIC listed in #11a on the Application, the following forms are also needed:

- □ Authorization for Release of Personal History.
- Connecticut Department of Motor Vehicles Photo Release Form (if the individual has a CT license) or 2 Passport Photos if he/she does not.
- \Box Copy of photo ID.

If you have the following documents at time of application submission, please provide a copy as well.

- $\hfill\square$ Letter of closing or bill of sale if the business is being transferred.
- □ Business-lease.
 - If there is a co-signer or guarantor of the business lease, that person must be added to the Application's #11, "Names and address of Owners or Officers," and must provide all the same forms as an owner or officer, or be removed from the lease.

If you would like to grant a third party permission to act on your behalf regarding the application, then please provide the CLC with a letter signed by you stating that the person is authorized to act on your behalf, and include the person's name, contact information, and the retailer location.

State of Connecticut, Department of Consumer Protection



Application for Lottery Sales Agent

INSTRUCTIONS

Important: Please see "Conditions for Licensing" on the reverse side of this page.

General Instructions: In order to insure prompt processing of your application,

- 1. Type or print clearly in ink.
- 2. Complete all information requested.
- 3. Everyone listed on the application, including the Person in Charge (PIC), must complete an Authorization for Release of Personal History.
- 4. In addition, all Owners and Officers must complete an Individual Guarantee Lottery Sales Agent.
- 5. Send the completed application to the **Connecticut Lottery Corporation**, Licensing Department, 777 Brook Street, Rocky Hill, CT 06067.

BUSINESS INFORMATION

- 1. Check the appropriate box to indicate type of ownership.
- 2. If the Type of Ownership is marked as Individual in #1 above and no Federal Employer's Identification Number (FEIN) is available, enter your Social Security Number, otherwise an FEIN is mandatory.
- 3. Name (as shown on your income tax return).
- 4. Business email address.
- 5. Store Name (Location where Lottery Tickets will be sold).
- 6. Provide the complete Store address (no. & street, city or town, state, zip).
- 7. Provide a mailing address, if different from the business address.
- 8. Store Phone Number (including area code).
- 9. Connecticut Tax Registration Number.
- 10. Liquor Permit Number (if applicable).
- 11. Names and addresses of Owners or Officers (Type or Print Clearly). If individual proprietorship or partnership, enter data for Owner(s). If corporation or association, enter data for principal officers. If LLC, enter data for members. If chain, also enter data for Branch Manager.
- 11a. Name of Person in Charge (PIC) **MANDATORY.** In the event of an absentee owner, or a branch location of a chain operation, the Person in Charge (PIC) of the location (i.e., branch or store manager) must be listed in this section.
- 12. Circle the category that best describes the Nature of Business.
- 13. Name of Chain (if applicable).
- 14. Enter the hours the business is open.
- 15. The names supplied as references should be familiar with your business. Preferably, they should be major suppliers and in a position to comment on your credit rating.
- 16. If the answer is YES, a complete explanation, including the date(s), location(s) and circumstances, of the incident(s) must be provided on an attachment.
- 17. If the answer is YES, a complete explanation, including the date(s), location(s) and circumstances, of the incident(s) must be provided on an attachment.
- 18. If the answer is YES, a complete explanation, including the date(s), location(s) and circumstances, of the incident(s) must be provided on an attachment.
- 19. If you are presently or were a licensed Agent (Retailer) at other locations, provide full details. If necessary, attach an additional sheet with all information required per the application section.
- 20. The completed application must be signed by an Owner, Officer or LLC member.

REMINDER: Submit the completed application to the Connecticut Lottery Corporation, Licensing Department, 777 Brook Street, Rocky Hill, CT 06067



State of Connecticut, Department of Consumer Protection

Application for Lottery Sales Agent

READ CAREFULLY

READ CAREFULLY

CONDITIONS FOR LICENSING

- 1. Licenses for Lottery Sales Agents (Retailers) are issued at the discretion of Department of Consumer Protection (DCP). Licenses will be granted on the basis of:
 - a. The financial responsibility of the applicant. In this connection, the DCP and/or the Connecticut Lottery Corporation (CLC) may conduct an investigation into the credit worthiness of the applicant as it relates to the integrity of the applicant utilizing the services of a commercial credit-reporting agency. The CLC may require that the applicant post and maintain a surety bond at applicant's sole expense in an amount determined by the CLC to adequately protect the state against any monetary loss resulting from applicant's prospective activities as a lottery sales agent (retailer) licensee;
 - b. The veracity and completeness of the information submitted with the license application;
 - c. The applicant's reputation for honesty and integrity;
 - d. Insofar as permitted by law, any record of criminal convictions;
 - e. The security of the particular business premises designated in the application as a lottery sales location;
 - f. Certification of municipal tax compliance; and
 - g. Such other information as the DCP and/or CLC may deem pertinent for the processing of a lottery sales agent (retailer) license application.
- 2. If a license is issued, the applicant for a lottery sales agent (retailer) license must abide by and comply with the provisions of the Connecticut General Statutes pertaining to the Lottery and any rules, regulations, and instructions set forth by the DCP and/or CLC.
- 3. The applicant agrees to maintain authorized displays, notices, and other material used in conjunction with ticket sales in accordance with instructions issued by the DCP and/or the CLC.
- 4. The applicant agrees to keep current records in accordance with the Connecticut General Statutes and any rules, regulations, and instructions set forth or issued by the DCP and/or the CLC.
- 5. The applicant agrees that all Lottery operations and Lottery records shall be subject to inspection and audit by representatives of the DCP and/or the CLC upon request.
- 6. The license may be suspended, revoked or its renewal rejected for any one or more of the following reasons:
 - a. If the agent's (retailer's) license application contains false or misleading information;
 - b. If the agent (retailer) fails to meet his/her financial obligations to the CLC;

c. If the agent (retailer) violates or fails to comply with the provisions of the Connecticut General Statutes or the rules, regulations, or instructions of the DCP and/or the CLC; or

- d. If the agent (retailer) commits an act which seriously impairs its reputation for honesty and integrity.
- 7. A Lottery license is non-transferable.
- 8. In the event an agent (retailer) sells or transfers its business, provisions must be made at the closing for the payment of any monies owed to the CLC as a result of the agent's (retailer's) lottery business. NO LICENSE WILL BE ISSUED TO A NEW AGENT (RETAILER) UNLESS MONIES OWED TO THE CLC BY THE PRIOR OR EXISTING AGENT (RETAILER) ARE PAID IN FULL.

RETAIN THIS PAGE FOR YOUR RECORDS



LSA-1 Rev 3/17

DO NOT WR	ITE IN	THIS AI	REA -	FOR (CLC USE ONL	Y			
Application Numb	ber			Transfer of ownership from a presently licensed Lottery Sales Agent (Retailer).					
				Ag	ent License Numł	oer:			
DUCINDCC N	FODA								
BUSINESS IN	IFORM	IATION							
1. Type of Ownership	Indiv	vidual	Partne] rship	Corporation	Associ	ation		Other
	fication I	Number (FE	IN) is av		1 above and no Fe enter your Social		2. Tax	ID (Social Security	Number or FEIN)
3. Name (as show								4. Business Emai	1 Address
5. Store Name (Le	ocation v	where Lotter	y tickets	will be s	old):				
6. No. & Street	6. No. & Street City or Town State Zip								
7. Mailing Address (if different from business address) City or Town State Zip									
8. Store Phone				9. CT 1	Tax Registration N	umber	10.	Liquor Permit Nur	nber (If applicable)
data for Own chain, also ei	er(s). If nter data	corporation for Branch	or assoc Manage	ciation, e r. Persc	enter data for princ	ipal Office will be the	rs. If LLO	proprietorship or pa C, enter data for m al conducting Lotte	embers. If
Title	Sex M/F		Name , Middle,			ne Addres	s	p) Telephone N	o. Percentage O. of Ownership
								C: H:	
								C: H:	
								C:	
								H:	
								C:	
								H:	
11a. Person In Charge (PIC)								C: H:	
Charge (PIC)								I H:	



12. Nature of Business (please circle one)							
Amusement CleanersFood: Deli Food: Donut ShopGrocery: Small, Non-Chain NewsstandRetail: Non-Perishable Retail: GiftConvenience: Chain, Gas Convenience: Chain, No Gas Convenience: Non-Chain, Gas Convenience: Non-Chain, Gas Convenience: Non-Chain, Gas Convenience: Non-Chain, Gas Convenience: Non-Chain, No Gas FraternalFraternal GamingPharmacy: Chain Restaurant: AlcoholRetail: Warehouse Club Service Center Transportation Center13. Name of Chain (if applicable)Food: Donut Shop Food: Donut ShopRestaurant: No AlcoholNon-Chain Restaurant: No Alcohol							
14							
14. Business Hours Monday - From: To: To							
15. Two Business References (Name)		(Address)	· · · · · · · · · · · · · · · · · · ·		(Telephone Number)		
a.							
b.							
 16. Has the Business above been subject disciplinary action, past or pending, violation of any statute, rule, regulat ordinance by any federal, state, or lo governmental body? (If YES, a compexplanation, including the date(s), locatic circumstances, of the incident(s) must be provided on an attachment.) 	for any ion or cal lete on(s) and	declared bankrupt or been in define a bankruptcy proceeding? obl (If YES, a complete explanation, tow including the date(s), location(s) age and circumstances, of the incident(s) expl must be provided on an attachment.) loca			he Business in dispute or ault of any taxes, fees or igations owed to any city, /n, state or governmental ency? (If YES, a complete lanation, including the date(s), ition(s) and circumstances, of the dent(s) must be provided on an chment.)		
 IF YOU ARE CURRENTLY OR HAVE EVER BEEN A LICENSED CT LOTTERY SALES AGENT (RETAILER), LIST BELOW THE NAMES, ADDRESSES AND AGENT (RETAILER) NUMBERS OF YOUR OTHER LOCATIONS (In Connecticut Only). IF NECESSARY, ATTACH ADDITIONAL SHEETS. 							
Business Name	4	Address (No., Street, T	own, State, Zip)		Agent License Number		
I hereby certif	v that t	he above informat	tion is correct	and com	inlete.		

20. I fully understand that if I knowingly make a statement that is untrue and which is intended to mislead the Department of Consumer Protection or any person designated by the Department in the performance of their official function, I will be in violation of Section 53a-157b of the Connecticut General Statutes.

Applicant (Print or Type) Title	
11	

Retailer Contract

THIS RETAILER CONTRACT is between the CONNECTICUT LOTTERY CORPORATION (CLC), a public corporation created pursuant to Public Act 96-212 of the Connecticut General Statutes (Act), and the undersigned Retailer. Subject to Lottery Agent Licensing approval by the Gaming Division, Department of Consumer Protection, (DCP) the Retailer and CLC hereby agree as follows:

1. <u>Retailer Rules</u>. Retailer agrees to comply with and be bound by the Act, the Rules and Instructions of CLC, and all other applicable laws, rules, regulations, and ordinances. Retailer agrees at all times to maintain a combined ten week sales average in excess of \$2,000.00 per week, and to notify CLC of any changes in its business, as specified in the Act and the Rules and Instructions. On or before the commencement of the sale of lottery Tickets by Retailer, CLC will deliver to Retailer a copy of the Lottery's "Rules of Operation"; however, copies of the Act, all Rules and the Regulations for the Operation of the Connecticut State Lottery are always available upon request from CLC.

2. <u>Term and Renewal</u>. Unless earlier terminated, the term of this Retailer Contract shall begin as of the date it is executed by the CLC Chief Executive Officer (CEO) and Retailer as shown below, shall remain in effect for a period of one (1) year, and may be renewable annually at the sole discretion of CLC. In the event that CLC and Retailer have entered into any Retailer Contract(s) dated prior to the date of this Retailer Contract, CLC and Retailer agree that from the beginning of the term hereof, this Retailer Contract shall amend, renew, replace, and restate any prior Retailer Contact in its entirety for each Retailer business location listed herein.

3. <u>Contract Termination</u>. This Retailer Contract may be canceled by Retailer upon twenty (20) calendar days prior written notice to the CLC. If the CEO determines, in her/his sole discretion, that cancellation, denial, revocation, suspension or termination of this Retailer Contract is in the best interest of CLC, the State of Connecticut or the public welfare, the CEO may cancel, deny, revoke, suspend or terminate this Retailer Contract upon written notice to Retailer; provided, however, Retailer shall be entitled an appeal of such cancellation, denial, revocation, suspension, or termination in accordance with the CLC Rules and Instructions; provided, further, that the CEO may temporarily suspend Retailer's rights under this Retailer Contract without prior notice, pending any prosecution, hearing or investigation, in accordance with the Rules and Instructions. In addition to the foregoing, CLC may immediately cancel, deny, revoke, suspend, terminate, or refuse to renew this Retailer Contract for any of the reasons set forth in Exhibit A on the next page hereof.

4. <u>Authorization to Sell Lottery Tickets.</u> Retailer location(s) listed below, for which DCP has issued a Lottery Agent License(s), is authorized to sell all CLC Lottery Tickets, provided they are in good standing under this Retailer Contract. Retailer agrees that it shall sell no other lottery Tickets in the State of Connecticut, except those provided to it for sale by CLC. Retailer agrees that it shall adopt safeguards to assure that it will not sell lottery Tickets or pay prizes to persons under the age of 18 years. Retailer agrees that it shall sell lottery Tickets only at the prices, and only subject to the terms and conditions, fixed by CLC unless prior written authorization is received from the President of the CLC in each instance. The CLC will pay Retailers commissions and other compensations in accordance with the amounts specified in the Act and the Rules and Instructions of the CLC, as full and complete compensation under this Retailer Contract.

5. <u>Electronic Funds Transfer</u>. Retailer shall have a fiduciary duty to preserve and account for all proceeds from the sale of lottery Tickets collected by it and shall be responsible and liable for all such proceeds. All proceeds from the sale of lottery Tickets and all other funds due the CLC shall constitute a trust fund in favor of the CLC until paid to the CLC. Subject to the Act and the CLC Rules and Instructions, Retailer agrees: (i) to maintain for the purpose of this Retailer Contract a separate bank account in the name of the CLC for the credit of the CLC; with a bank acceptable to CLC which is a qualified public depository, and member of an automated clearing house association; (ii) to deposit daily into that bank account all proceeds from the sale of lottery Tickets and other funds due the CLC; (iii) to authorize the CLC to initiate Electronic Funds Transfer (EFT) to and from that account for the net settlement due from the sales of CLC lottery Tickets; and (iv) that sufficient funds shall be available in the designated account on the dates specified by CLC to cover the amounts due CLC, as determined by CLC.

6. <u>Prize Payments.</u> During its normal business hours, Retailer agrees to immediately validate and pay <u>all</u> lottery Tickets winning prizes up to and including \$599 for all lottery games that are authorized by CLC, in accordance with the Act and the CLC Rules and Instructions. Such payment for winning tickets shall not be in amounts greater or less than the amounts authorized by CLC through its on-line gaming system, and shall never be subject to restrictions or conditions other than those imposed by CLC.

7. <u>Promoting Sales.</u> Retailer agrees to prominently display, in locations accessible to the public, point-of-sale advertising and other public information material and supplies provided from time to time by CLC, its Vendors and suppliers. Retailer agrees to attend all training sessions, as requested from time to time by CLC. In order to assist Retailer with sales of lottery Tickets; CLC, its Vendors and suppliers may provide certain equipment (such as Lottery Terminals, ticket dispensers, ticket selling machines, play stations, etc.) to be held in the custody and control of Retailer without any transfer of ownership of such equipment to Retailer. Retailer agrees to return any such equipment and supplies upon request of the CLC and agrees to be financially liable and responsible for the use, preservation and protection of such equipment and supplies, normal wear and tear excepted.

8. <u>Acceptance and Return of Instant Tickets</u>. Subject to the conditions and reporting requirements more fully set forth in the CLC Rules and instructions: (i) Retailer shall be responsible for all Instant Tickets accepted from CLC (or its distributor): (ii) any Instant Tickets not properly accounted for by Retailer shall be deemed to have been purchased by Retailer; (iii) Retailer shall be responsible for the full price of Instant Tickets, less any applicable Commissions, for all Instant Tickets which may be lost, stolen, or damaged after delivery to Retailer; (iv) CLC will accept full and partial ticket Pack returns only with the termination, cancellation, suspension, revocation or non-renewal of this Retailer Contract; and (v) for non-activated Instant Tickets, the CLC may reduce Retailer's cost for lost or stolen non-activated Pack to \$-0- per Pack, provided that Retailer has complied with the reporting requirements and none of the Tickets from the non-activated Pack have been validated: (vi) non-activated full packs can be returned by the retailer at the announced end of game; (vii) partial packs shall not be accepted back by the CLC from active retailers.

9. <u>Contract Changes</u>. This Retailer Contract, including the Act and the CLC Rules and Instructions, is the entire contract between CLC and Retailer. This Retailer contract may not be modified or amended except by a writing signed by both parties hereto or by amendment to the Act or the CLC Rules and Instructions. To the extent of any conflict, the provisions of the Act shall govern the Rules and Instructions, and the Rules and Instructions shall govern the Retailer Contract.

IN WITNESS WHEREOF, CLC and the undersigned Retailer have executed, or caused their duly authorized representatives to execute, this Retailer Contract as of the date noted below.

•

Business Name:		Store No
Business Address:	(CLC Use Only)	
Retailer Type of Ownership (Check One):	ration [] Limited Liability Company	
Corporate Name: (if applicable)		
Date:		
Connecticut Lottery Corporation by:	President & CEO	Date
	EXHIBIT A	
	to Retailer Contract	
Notic	e of Specific Reasons for which a Retailer Con	ntract may be Terminated
 security or integrity of CLC or a lotter c. is or has been, or retains and employe statements, false swearing or perjury more than \$1,000.00 or both unless the completion of the sentence without a statement's fraud, misrepresentation or de provides false or misleading informatif f. acts in a manner prejudicial to the secting. conducts business for the sole purpose h. is delinquent in the payment of any fe i. changes any Retailer Business Location j. fails to accurately or timely account fo k. fails to accurately or timely account fo k. fails to comply with any term of this F m. fails to maintain a minimum level of s n. substantially changes the ownership o o. files for or is placed in bankruptcy, ree p. resides in the same household as any of q. contracts with any other person or entit. r. fails to maintain the designated account EFT transactions to and from such dess by CLC, or u. fails to remain a licensed lottery Agen v. fails to adequately market its lottery pro- 	e involved in the sale of lottery Tickets who is ry in any other jurisdiction; or se involved in the sale of lottery Tickets who is in this or any other jurisdiction of a crime pun- the person's civil rights have been restored ar subsequent conviction of a crime described abo- leceit; or ion to CLC; or urity or integrity, or the public confidence in the e of selling lottery Tickets; or deral, state or local taxes owed by it; or on for which the DCP has issued an Lottery Ag or proceeds or prizes from the sale of lottery Tic- or lottery Tickets received from CLC; or Retailer Contract; or eales, as established by CLC from time to time; f Retailer without prior written notice to, or cor ceivership, insolvency or similar proceedings of director, officer or employee of CLC; or ity for lottery goods or services without the prior ria established by CLC pursuant to the Act; or s determined to be material in the sole discretion nt from which Electronic Funds Transfer (EFT) signated account, or fails to have sufficient fund t in good standing with the DCP, or	ne security or integrity, of CLC; or gent License; or ickets; or s or nsent of, CLC; or; or fails to pay its debts as they become due; or for written approval of CLC; or

Form RC1 5/99; Revised 12/01; Revised 6/02; Revised 3/04; Revised 6/08; Revised 1/11; Revised 7/11; Revised 9/16

Form W-9	
(Rev. October 2018)	
Department of the Treasur Internal Revenue Service	y

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Go to www.irs.gov/FormW9 for instructions and the latest information.

	 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank. Business name/disregarded entity name, if different from above 		
Print or type. Specific Instructions on page 3.	 3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. Individual/sole proprietor or C Corporation S Corporation Partnership Trust/estate single-member LLC Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC this is disregarded from the owner. Other (see instructions) 	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) Exemption from FATCA reporting code (if any) (Applies to accounts maintained outside the U.S.)	
See Sp	5 Address (number, street, and apt. or suite no.) See instructions. Requester's name	and address (optional)	
S	6 City, state, and ZIP code		
	7 List account number(s) here (optional)		
Par			
	your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid social security number (SSN). However, for a	ecurity number	

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

- 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- 3. I am a U.S. citizen or other U.S. person (defined below); and
- 4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ►	
11	•	

General Instructions

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

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to *www.irs.gov/FormW9*.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

• Form 1099-INT (interest earned or paid)

• Form 1099-DIV (dividends, including those from stocks or mutual funds)

Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)

• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)

or

Employer identification number

• Form 1099-S (proceeds from real estate transactions)

Date 🕨

- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- · Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.



State of Connecticut, Department of Consumer Protection

Tax Certification Form

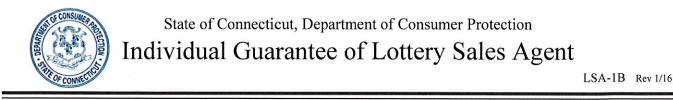
This form must be completed and signed by the Applicant and the Tax Collector.

Section A: To Be	Completed by the A	Applicant		
Name of Applicant				
Name of Existing Busin	ness Owner			
Existing Business Nam	e		*	
Business Address	(No. & Street)	(City or Town)	(State)	(Zip)
Signature of Applicant			Date	

Section B: To Be Completed by the Tax Collector	
As the Tax Collector for the City/Town of	,I
 Certify that the applicant and the business named/located at the of any City/Town, personal property or real estate taxes. Cannot certify. Taxes are owed by: Applicant 	e above address are NOT in default] Business Name
Name of Tax Collector (please type or print clearly)	Title
Signature of Tax Collector	Date

Applications certified as <u>NOT</u> owing any taxes can be submitted for processing.

Completed form can be faxed to 860-713-2895, or it can be emailed to retailerservices@ctlottery.org.



A. Legal Status of Business (check one)	 Corporation Limited Liability Company (LLC/LLP) Other
B. Guarantor Status (check one)	 Corporate Officer LLC/LLP Member Other
limited liability company or limited liability partnership, or natural person connected with the corporate, limited Department of Consumer Protection, assume in writing limited liability partnership applicant prior to the issuar liability company or partnership lottery sales agent licen 568a-13 of the Regulations of Connecticut State Agenci	ticut State Agencies requires that in the event the applicant is a corporation, the Department of Consumer Protection shall require that its principal owner liability company or limited liability partnership applicant acceptable to the , joint and several liability with said corporate, limited liability company or face of said lottery sales agent license. In the event said corporate or limited see shall thereafter be adjudicated a delinquent agent pursuant to Section 12- es, and the CLC Rules of Operation, the Department of Consumer Protection "CLC") may avail itself of any appropriate collection procedures against said nsee or natural person or both.

	WHEREAS, the undersigned	(Print Individual	's full name)	, of the T	own of	(Home Town)	, County
of		_, State of	,	is the		()	
of_			(hereinafter	"Agent"), a le		dent/Vice President/Mem	
	(Applicant for Lottery Sales Age	nt-Corp. LLC/LLP name)	; and,				

(Store Street Address and Town)

WHEREAS, said Agent has applied to be a licensed lottery sales agent; and,

WHEREAS, the undersigned has agreed to assume individual responsibility for the payments due, or to become due and owing the CLC as a result of said Agent's lottery activity, should a license be granted to it.

The undersigned does hereby assume individual responsibility for any and all payments due or to become due the CLC on behalf of the Agent as a result of its licensed lottery sales agent activity. The undersigned further assumes joint and several liability with said Agent for any sums which shall hereafter become due and owing the CLC as a result of said Agent's lottery sales activity. The undersigned hereby further acknowledges that in the event said lottery sales agent licensee shall thereafter be adjudicated a delinquent agent by the Department of Consumer Protection, the Department of Consumer Protection or the CLC may avail itself of any appropriate collection procedures against said licensee, the undersigned, or both, pursuant to the Regulations of Connecticut State Agencies, or as may otherwise be permitted by law or contract.

Date

Printed Name of Individual

Signature of Individual



This form must be completed and signed by each Owner, Officer and the Person in Charge (PIC).

Section A: Personal Information								
1. Name (First, Middle, Last):	2. Email Address:		3. Sex:					
				$\Box M \Box F$				
4. Address: (No. & Street) (Apt. o	or Suite #)	(City or Town)	(State)) (Zip)				
5. Social Security Number:	6. Date of Birth:	7. Daytime Phone Number: Cell:	Home:					

Section B: Criminal Actions

- 8. Have you ever been convicted of a crime, felony, misdemeanor, or other offense, including motor vehicle crimes (other than a traffic violation), in any state or jurisdiction? □ Yes □ No
- 10. Have you, as an individual or through business association, ever been subject to any disciplinary action, past or pending, for any violation of any statute, rule, regulation, or ordinance by any federal, state, or local governmental body, including, but not limited to, Lottery, Liquor and Tobacco violations? □ Yes □ No
- 11. Have you, as an individual or through business association, ever been declared bankrupt or been in a bankruptcy proceeding? \Box Yes \Box No
- 12. Are you, as an individual or through business association, in default of any taxes, fees or other obligations owed to any city, town, state or governmental agency, including, but not limited to, Lottery Funds? \Box Yes \Box No

If the answer to #8, 9, 10 or 11 above is "yes", attach a statement providing an explanation including: the date(s) of conviction(s), name of individual(s) involved, the court(s) where the case(s) were decided, a description of the circumstances relating to each offense or for the pending charges, and the outcome and date of the proceedings. If the answer to #12 is "yes", attach a statement providing an explanation including: the name or business association, and the amount and type of money owed (taxes, fees, etc.).

Section C: Criminal Background and Credit History Check

I understand that the Department of Consumer Protection may review criminal background records and credit history for purposes of evaluating my qualifications and suitability for licensure as a Lottery Sales Agent. I hereby authorize the release of any and all information of a confidential or privileged nature to the Department and its agents. I further authorize the Connecticut Lottery Corporation (CLC) to report to the Department, at any time, any instances of delinquencies or past due amounts owed to the CLC. This authorization shall be valid now and for all future renewals in connection with the Lottery Sales Agent License indicated above. A photocopy of this authorization will be considered as effective and valid as the original.

13. Signature:

I hereby certify that the above information is correct and complete.

I fully understand that if I knowingly make a statement that is untrue and which is intended to mislead the Department of Consumer Protection or any person designated by the Department in the performance of their official function, I will be in violation of Section 53a-157b of the Connecticut General Statutes.

15. Signature:

16. Date Signed:

14. Date Signed:

LSA-1A - Authorization for Release of Personal History - May 2014



AUTHORIZATION TO OBTAIN CONSUMER CREDIT REPORT(S)

This document requests your permission for the Connecticut Lottery Corporation (the "CLC") to obtain a consumer credit report about you.

As part of the CLC's decision whether to enter into a relationship with the person or entity that has applied to sell lottery tickets (the "Relationship"), the CLC will request a consumer credit report, about you personally, from a consumer reporting agency. The CLC may use the report to decide, among other things, whether to require a surety bond, letter of credit, or other form of security (the "Security") in connection with the Retailer Contract, or whether to enter into the Relationship at all.

The CLC may also share the consumer credit report it obtains about you with the Department of Consumer Protection (the "DCP") for use in the DCP's decision whether to grant any lottery sale agent licenses to persons or entities who may be involved in selling lottery tickets under the Relationship. The DCP's decision whether to grant those licenses, however, is separate from the CLC's decision whether and on what terms to enter into a Relationship.

If the CLC enters into a Relationship with the person or entity that has applied to be a seller of lottery tickets, the CLC may from time to time in the future request further consumer credit reports about you as part of reviewing changes or proposed changes to the Relationship. For example, the CLC may request a consumer credit report before deciding whether to lower or lift any Security requirement that is set in connection with the Relationship. As another example, if there is a change in the ownership, officers, or corporate structure of the business selling lottery tickets, the CLC may request a consumer credit report before deciding whether it is willing to continue in the Relationship with that business, or before deciding what Security arrangements the CLC will require in order to continue in the Relationship with that business.

You do not have to sign this authorization form. If you do not do so, however, the CLC will not enter into a Relationship with the entity or individual that has applied to be a seller of lottery tickets and/or will not agree to whatever proposed change or continuation of the Relationship prompted the CLC to seek your permission to obtain the consumer credit report:

By signing below, you authorize the CLC to obtain consumer credit reports about you and authorize any consumer reporting agency to provide such reports, as described above, both now and in the future.

Retailer #	
Signature	Date of Signature
Printed Name	Business Name (d/b/a)
Social Security Number	Home Address (Number & Street)
Date of Birth	City, State, Zip
	Home Phone / Cell

nome Phone / Cen



State of Connecticut, Department of Consumer Protection

Connecticut Department of Motor Vehicles Photo Release Form

LSA-1D Rev 5/14

This form must be completed by the Applicant

Section A: To Be Completed	by the Applicant							
Name (please print or type):								
Connecticut Driver's License Number	or Connecticut ID Nun	iber:						
Date of Birth:	Social Security Number:							
Home Address: (No. & Street)	(City	or Town)	(State)	(Zip)				
Daytime Phone Number:		х.						
Cell:	Home:	/ork:	÷					
List the Retailer name and town for each Lottery license you are associated with. Also list the Agent License Number, if an existing Agent.								
Retailer Name	Retailer	Гоwn	Agent License N	umber (if any)				

Section B: Consent and Signature of Applicant

I hereby authorize the Connecticut Department of Motor Vehicles (DMV) to release my photograph to the State of Connecticut, Department of Consumer Protection.

I give this consent voluntarily and am aware that without this authorization, my photograph on file with the Department of Motor Vehicles (DMV) is confidential and protected under law. Such photograph is to be utilized in conjunction with a license application for a Connecticut Lottery Sales Agent. This authorization shall remain in effect unless and until it is withdrawn by me, in writing.

Signature of Applicant	Date

LSA-1D - Connecticut Department of Motor	Vehicles Photo Release Form - May 2014
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The following documents will need to be filled out and returned to CLC once you receive instructions from CLC.

- □ A bank Letter.
 - The instructions regarding bank accounts explain the letter needed from the bank.
- □ CLC Auto-Pay and Wire Transfer Form.
- □ Letter of closing or bill of sale if the business is being transferred*.
- □ Business-lease*.
 - If there is a co-signer or guarantor of the business lease, that person must be added to the Application's #11, "Names and address of Owners or Officers," and must provide all the same forms as an owner or officer, or be removed from the lease.

*If you have this document at time of application submission, please provide a copy as well.

If you have any questions, please contact the CLC Retailer Services Department at 1-800-842-5688 #3, or email <u>Licensing@ctlottery.org</u>, or fax 860-713-2895.

Please return applications to: Connecticut Lottery Corporation, Retailer Services, 777 Brook Street, Rocky Hill, CT 06067.

INSTRUCTIONS TO ALL LOTTERY AGENTS (RETAILERS) REGARDING BANK ACCOUNTS

The licensing process includes the requirements for each Agent (Retailer) to establish a bank account for Lottery activity only in accordance with \$12-813(b) of the General Statutes and \$12-568a-9(1) of the Administrative Regulations for the Operation of the State Lottery.

Attached please find the Auto-Pay authorization agreement form. Please read the instructions carefully, fill it out completely, and return it with your application.

All Lottery Agents (Retailers) must maintain a **SEPARATE BANK ACCOUNT** for lottery monies earned as a result of lottery ticket sales. **THIS ACCOUNT CANNOT BE A BUSINESS OR A PERSONAL BANK ACCOUNT**, **IT MUST BE DEDICATED FOR LOTTERY-USE ONLY, IN OTHER WORDS, NO OTHER STORE** ACTIVITY MAY BE SUPPORTED BY THIS ACCOUNT.

If you are currently using a lottery account for business purposes, you should remove all business receipts immediately. <u>THE ACCOUNT MAY BE ESTABLISHED WITH A COMMERCIAL OR SAVINGS AND</u> LOAN BANK-AS LONG AS THE BANK HAS ELECTRONIC FUNDS TRANSFER (EFT) CAPABILITIES.

Please have your bank either print your <u>Store Name</u> and <u>Connecticut Lottery Account</u> on two starter checks from your lottery account or send a letter stating that the title of your account is established. It is <u>NOT ACCEPTABLE</u> to have your store name and Connecticut Lottery account <u>HANDWRITTEN</u> on the two VOID checks.

BANK LETTER EXAMPLE

<mark>DATE</mark>

CONNECTICUT LOTTERY CORPORATION RETAILER SERVICES (LICENSING) DEPARTMENT 777 Brook Street ROCKY HILL, CT 06067 FAX #860-713-2895 EMAIL: LICENSING@CTLOTTERY.ORG

THE TITLE OF THIS ACCOUNT READS AS FOLLOWS: CORPORATION NAME (OPTIONAL)

YOUR STORE NAME & ADDRESS (mandatory) CONNECTICUT LOTTERY ACCOUNT (mandatory) ACCOUNT # (mandatory) TRANSIT ROUTING (ABA #) (mandatory) ACCOUNT TYPE - CHECKING or SAVINGS (mandatory)

SIGNATURE OF BANK R	EPRESENTATIVE
<mark>TELEPHONE NUMBER</mark>	

CHECK EXAMPLE	
YOUR STORE NAME CONNECTICUT LOTTERY ACCOUNT ADDRESS OF BUSINESS	
PAY TO THE ORDER	\$
BANK NAME MEMO011900571:1256784001	



AUTO-PAY AND WIRE TRANSFER FORM

777 Brook Street • Rocky Hill, CT 06067-3403 Telephone 1-800-842-5688; Press 3 for Licensing and Press 5 for Accounting Fax (860) 713-2895 for Licensing • Fax (860) 713-2660 for Accounting

AUTHORIZATION AGREEMENT FOR VARIABLE LOTTERY WITHDRAWALS (ACH DEBITS) AND AUTOMATIC DEPOSITS (ACH CREDITS).

The undersigned Licensed Lottery RETAILER hereby authorizes the Connecticut Lottery Corporation to effect withdrawals from or deposits into the account identified below for net weekly proceeds owed by or to the RETAILER from draw and instant game sales and for wire transfers. The RETAILER further authorizes the bank below-indicated to debit or credit those amounts to this particular account. Adjusting entries are also authorized.

THIS ACCOUNT MUST BE SEPARATE AND DEDICATED FOR LOTTERY USE ONLY. THERE MUST BE NO OTHER STORE ACTIVITY INCLUDED IN THIS ACCOUNT. YOUR ACCOUNT MUST CONTAIN YOUR BUSINESS OR STORE NAME AND THE WORDS "CONNECTICUT LOTTERY ACCOUNT" IN ITS TITLE.

The RETAILER also agrees to pay all draw and instant monies due and owing to the Connecticut Lottery Corporation for every settlement period. For Lottery games, the weekly accounting period ends every Saturday at the close of business. Such monies due and owing the Connecticut Lottery Corporation must be deposited in this account by 3:00 P.M. on the following banking day.

Bank Name		Branch													
Address/Town/State/Zip															
Transit Routing Numbers		Account Number Information													
]
Checking Account															
			Sav	ing Acco	unt										
This authority Is to remain in full effect until such time as the RETAILER is terminated by the Connecticut Lottery Corporation, or the RETAILER requests termination for conduct of lottery game sales, or the Connecticut Lottery Corporation no longer employs this arrangement, for whatever reason, for receipt of payments from the RETAILER.									nent,						
Corporation Name(If applicable)		Corporation Mailing Address (If applicable)													
Retailer (DBA) Name		Retailer Address/Town/Zip													
Circuit		-		~											
Signed:Title										[Date:				
Signed:		т	itle:							[Date:				
Change of Ownership?	If yes, former business name.			Change			nt nui	mber	?						
Yes					Ye	-									
					No										
Business Telephone #	Business Fax #			For Lotte	•		nly								
				R	etaile	er#									

Please attach a bank letter confirming your bank account information to this authorization form.