

Lottery and Gaming Control Commission

1800 Washington Boulevard, Suite 330, Baltimore, MD 21230

MANUFACTURER APPLICATION FORM #1003

Request for Application of Alternative Licensing Standards

Applicant: _	

ELIGIBILITY

You may complete this form if: (1) you are the authorized representative of an applicant for a manufacturer's license under Maryland's Video Lottery Terminal Program under State Government Article ("SG"), Title 9, Subtitle 1A, of the Annotated Code of Maryland ("the VLT Law"); and (2) the applicant holds a similar, valid, current gaming related manufacturer license in one of the 12 states listed in the next paragraph. "Manufacturer" is defined in SG § 9-1A-01, and includes a person that designs, builds, sells, produces or distributes video lottery terminals ("VLTs"), associated equipment or software, table games or table game equipment. "Table game" and "table game equipment" are defined in Code of Maryland Regulations ("COMAR") 36.01.01.01 and 36.03.01.02 respectively, as proposed by the Commission December 13, 2012; until final promulgation, proposed regulations are available on the Commission's website, www.mdlottery.com.

The VLT Law authorizes the Maryland Lottery and Gaming Control Commission ("the Commission") to establish an abbreviated process for licensing an applicant that holds a valid similar license in another state if the Commission determines that the licensing standards of the other state are comprehensive and thorough, and provide similar adequate safeguards to the standards in the VLT Law. The Commission has determined that valid, current gaming-related licenses in the following states may qualify an applicant in Maryland for a similar license to be subjected to an abbreviated licensing process, rather than a full background investigation: Arkansas, Illinois, Kansas, Louisiana, Mississippi, Missouri, Nevada, New Jersey, New York, Pennsylvania, Rhode Island, and Wisconsin.

The Commission's decision to abbreviate an applicant's licensing process based on licensure in one of the 12 identified states is discretionary. The Commission retains its right to protect the State's public interests, and in doing so may exercise its discretion to: (1) limit or restrict the extent to which another state's license is considered; (2) place conditions on the circumstances under which it will accept another state's license; and (3) at any time before or after completing the alternative licensing process, cease to apply the alternative licensing procedure and instead require the applicant to complete Form #1002 (Manufacturer License Application) and submit to a full background investigation.

The Commission's decision to grant or deny a manufacturer license is required to be the subject of a hearing before the Commission.

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FEES AND COSTS

Application fee: \$10,000.00

License fee:

Central Monitor & Control System: \$25,000.00

Manufacturer of VLT or table game, associated equipment or hardware: \$5,000.00 Distributor or reseller of VLT, table game, central monitor and control system,

associated equipment and software: \$1,000

Background investigation costs: as incurred

Note: License and Application fees are due at the time of application. They are non-refundable. You may wire transfer your payment or send it to the following address:

SEND THE APPLICATION AND PAYMENT TOGETHER

Mail payment to: Maryland Lottery and Gaming Control Agency

Attn: VLT Licensing Division 1800 Washington Blvd, Suite 330 Baltimore, Maryland 21230

Wire Payment to:

- 1. Maryland Lottery and Gaming Control Agency Account Number: 446014266944
- 2. Name of the Account Maryland Lottery VLT Escrow 026009593 Bank of America, New York, NY
- 3. If required, the SWIFT code is BOFAUS3N Ref: Bank of America in the State of Maryland

If not wired, payment must be sent as a certified/bank check or money order.

^{*}Background Investigation Costs: Applicant shall reimburse the Commission for any costs incurred in completing the background investigation.

SECTION A

IMPORTANT NOTICES

- A.1 This form is an official document of the Commission. It may not be altered or changed, except to insert the information that is required. Any alteration or change to this document may cause this application or your license to be delayed or denied.
- **A.2** The Maryland manufacturer license is a privilege. The burden of proving qualifications to receive and hold a license is at all times on the applicant. The applicant accepts any and all risk of adverse public notice, embarrassment, criticism, emotional distress or financial loss that may result from any action with respect to this application. The applicant expressly waives any and all claims for damages as result thereof. Information not called for in this form or in addition to that is provided in response to this form may be requested. The applicant shall provide all information, documents, materials and certifications at the applicant's own expense.
- **A.3** You <u>must</u> make accurate statements and include all material facts. Any misrepresentations, failure to provide any requested information, or failure to meet any other requirement as set out in law or regulation may result in the denial of the application and/or revocation of your license and may subject you to civil and/or criminal penalties.
- **A.4** The applicant is under a continuing duty to immediately disclose any changes in the information provided in the application and request materials submitted to the Commission. The duty to make such additional disclosures shall continue throughout any period of the license that is granted by the commission.
- A.5 All notices regarding your application will be sent to the address you provide on this form. You must immediately notify the Commission if you change your address.
- **A.6** Any applicant who applies for and obtains a license from the Commission may be required to submit to warrantless searches as stated in the law or regulation.
- **A.7** The applicant <u>shall promptly</u> provide written notification to the Commission of any corrections or changes to this application once submitted.
- **A.8** All submissions with and for this application become the property of the Commission and will not be returned.
- **A.9** Once the application has been submitted, the applicant MAY NOT withdraw its application without the written permission of the Commission. This also includes the withdrawal of any Principal/Key employees.
- **A.10** An applicant's ability to obtain or maintain a gaming license in another jurisdiction may be negatively impacted if: (1) the Commission denies the license application; or (2) after the applicant is licensed in Maryland, the Commission takes adverse action against the license.

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SECTION B

INSTRUCTIONS

- **B.1** Read each question carefully. Answer each and every question completely. Do not leave blank spaces. If a question does not apply, write "Does not apply" or "N/A." If the correct answer to a particular question is "None," write "None."
- **B.2** All entries on the form must be typed or in printed block lettering. Unless otherwise stated by the Commission, initials or signatures must be in the handwriting of the person providing the information. If the answers are not legible, the application may not be accepted. Do not misstate or omit any material fact. All information is subject to verification.
- **B.3** The applicant, if an individual, must initial all pages or if not an individual, the person authorized to complete the form on behalf of the applicant must initial each page as provided in lower right-hand corner. The applicant is attesting to the accuracy and completeness of the information contained on that page and/or that the applicant has read the page.
- **B.4** If additional pages are required in order to answer any question, additional pages may be utilized and must be attached to the form. Be sure to indicate the number of the question being answered and initial each additional page. Some schedules may require disclosure of information for more than one individual or entity or type of information. If there are multiple disclosures, make enough additional copies of the blank schedule and complete it for each individual or entity.
- **B.5** An applicant should give specific attention to the clear identification of those portions of its application that it deems to be confidential, proprietary commercial information or trade secrets, and provide justification of why such materials, upon request, should not be disclosed by the State pursuant to the Public Information Act ("PIA"), Title 10, Subtitle 6, State Government Article, Annotated Code of Maryland. Confidential information supplied shall be revealed in the course of the necessary administration of this application. A blanket statement by an applicant that its entire application is confidential, proprietary commercial information or a trade secret is unacceptable. Applications shall be open to public inspection only after award of a license has been made, to the extent permitted by the PIA. Applicant is advised that, upon request for this information from a third party, the Commission will make an independent determination whether the information may be disclosed. An applicant or licensee waives any liability of the State of Maryland, and its employees and agents, the Commission, and the Maryland State Lottery and Gaming Control Agency for any damages resulting from any disclosure or publication in any manner.
- **B.6** The Commission may request additional information as needed.
- **B.7** The license and application fees described in the "Fees" section of this form and authorized by COMAR are non-refundable. Additional costs and expense may be incurred by the Commission in its investigation of the applicant. Background investigation costs will be assessed by the Commission and shall be reimbursed by the Commission. The failure to reimburse the Commission for background investigation costs is a basis for disqualification of the applicant.

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- **B.8** The original paper copy of this application and all related forms shall be submitted. In addition, a copy of the application and all related forms must be sent on a CD in PDF format.
- **B.9** Attach Proof of Registration with the Maryland Secretary of State to do business within the State of Maryland (Certificate of Good Standing). The following link will help you with obtaining the required documentation: https://sdatcert1.resiusa.org/certificate_net/.

SECTION C - DEFINITIONS

- **C.1 Affiliate, affiliate of or person affiliated with** means "affiliate, affiliate of or person affiliated with as a person that directly or indirectly, through one or more intermediaries, controls or is controlled by another or is under common control with another specified person."
- **C.2** Applicant means "a person who applies for any license required under Maryland VLT laws."
- **C.3** Controlling Interest means "a publicly traded domestic or foreign corporation, a controlling interest is an interest in a legal entity, applicant or licensee if a person's sole voting right under Federal or State law or corporate article of incorporation or bylaws entitles the person to elect or appoint one or more of the members of the Board of Directors or other governing board or the ownership or beneficial holding of 5% or more of the securities of a publicly traded corporation, a partnership, a limited liability company or any other form of publicly traded legal entity, unless the presumption of control or ability to elect is rebutted to the satisfaction of the Commission by clear and convincing evidence. For a privately held domestic or foreign corporation, partnership, limited liability company or any other form of privately held entity, a controlling interest is the holding of any security in the legal entity, unless this presumption of control is rebutted to the satisfaction of the Commission by clear and convincing evidence."
- **C.4 Director** means "a director as a director of a corporation, member of an audit committee or any person performing similar functions with respect to an entity, whether incorporated or unincorporated."
- **C.5** Entity means "a person, other than an individual."
- **C.6** Financial backer means "an investor, mortgagee, bondholder, note holder or other source of equity or capital provided to an applicant or licensed entity."
- **C.7 Holding company** means "a person, other than an individual, who, directly or indirectly, owns, has the power or right to control or to vote 5% or more of the outstanding voting securities of a corporation or other form of business organization. A holding company indirectly has holds or owns any such power, right or security if it does so through an interest in a subsidiary or successive subsidiaries".
- **C.8** Indirect ownership interest means "an ownership interest in an entity that has a direct ownership interest in an applicant or licensee, or a direct ownership interest in an entity that has an ownership interest in an applicant or licensee through one or more intervening entities."
- **C.9** Individual means "a natural person."

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- **C.10 Intermediary** means "a person, other than an individual, that:
 - (a) is a holding company with respect to a corporation or other form of business organization, which holds or applies for a license under this part; and
 - (b) is a subsidiary with respect to any holding company.
- C.11 Institutional investor means "a retirement fund administered by a public agency for the exclusive benefit of federal, state or local public employees; investment company registered under the Investment Company Act of 1940 (15 U.S.C.A. §§ 80a-1 80a-64); collective investment trust organized by banks under part nine of the rules of the comptroller of the currency; closed end investment trust; chartered or licensed life insurance company or property and casualty insurance company; banking and other chartered or licensed lending institution, investment advisor registered under the Investment Advisors Act of 1940 (15 U.S.C.A. §§ 80b-1 80b-210; and other persons registered in any foreign jurisdiction and regulated pursuant to a statute of any foreign jurisdiction that the Commission determines to be substantially similar to either or both of the aforementioned statutes."
- C.12 Key employee means "an individual who is: (i) employed in a director or department head capacity and who is empowered to make discretionary decisions that regulate video lottery operations including the general manager and assistant manager of the licensed facility, director of video lottery operations, director of cage operations, director of surveillance, director of marketing, director of management information systems, director of security, director of human resources, comptroller and any employee who supervises the operations of these departments or to whom these department directors or department heads report; (ii) employed by a video lottery machine licensee, manufacturer licensee or supplier licensee whose duties affect or require contact with video lottery machines, video lottery monitoring systems, casino management systems, player tracking systems and wide-area progressive systems for use or play in this state, whether or not the individual is assigned to gaming operations in this state; (iii) a sales representative seeking to sell video lottery machines and associated equipment for use in this state on behalf of a licensed manufacturer, manufacturer designee or supplier and (iv) employed in other positions which the Commission will determine based on detailed analyses of the employee's duties or the job descriptions."
- **C.13 Lending institution** means "a person who has been issued a license to lend money by a state or federal agency or a person who satisfies the definition of 'qualified institutional buyer' pursuant to 17 C.F.R. § 230.144a (relating to private resale's of securities to institutions)."
- **C.14 Manufacturer** has the meaning set forth in SG § 9-1A-01(r).
- C.15 Officer means "a president, chief executive officer, chief operating officer, secretary, treasurer, principal legal officer, principal compliance officer, principal financial officer, comptroller, principal accounting officer, chief engineer or technical officer of a manufacturer, or principal video lottery operations officer of a video lottery machine licensee and any person routinely performing corresponding functions with respect to an entity whether incorporated or unincorporated."
- **C.16 Person** means "any individual, association, corporation, club, trust, estate, society, company,

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joint stock company, receiver, trustee, assignee, referee, or any other person acting in a fiduciary or representative capacity, whether appointed by a court or otherwise, and any combination of individuals. And includes all departments, commissions, agencies, and instrumentalities of the State, including counties and municipalities and agencies and instrumentalities of them.

- **C.17 Principal** means "an officer; director; person who directly holds a beneficial interest in or ownership of the securities of an applicant or licensee; person who has a controlling interest in an applicant or licensee, or has the ability to elect a majority of the board of directors of a licensee or to otherwise control a licensee; lender or other licensed financial institution of an applicant or licensee, other than a bank or lending institution which makes a loan or holds a mortgage or other lien acquired in the ordinary course of business; underwriter of an applicant or licensee; or other person or employee of an applicant, video lottery machine licensee, manufacturer licensee or supplier licensee deemed to be a principal by the Commission."
- **C.18 Principal affiliate** means "an intermediary or holding company of an applicant or licensee."
- **C.19 Principal entity** means "an entity that meets the definition of principal or is otherwise required to be licensed as a principal and is not an intermediary or holding company of an applicant or licensee."
- **C.20 Private investment fund** means "an entity that meets the definition of "investment company" under section 3(a)(1) of the Investment Company Act of 1940 (15 U.S.C. § 80a-3(a)(1)), but is otherwise exempt from the definition of "investment company" under section 3(c)(7) of the Investment Company Act of 1940 (15 U.S.C. § 80a-3 (c)(7)).
- **C.21 Publicly traded corporation** means "a person, other than an individual, that:
 - (a) has a class or series of securities registered under the Securities Exchange Act of 1934 (48 stat. 881, 15 U.S.C. § 78a et seq.);
 - (b) is a registered management company under the Investment Company Act of 1940 (54 stat. 789, 15 U.S.C. § 80a-1 et seq.);
 - (c) is subject to the reporting obligations imposed by section 15(d) of the securities exchange act of 1934 by reason of having filed a registration statement which has become effective under the Securities Act of 1933 (48 stat. 74, 15 U.S.C. § 77a et seq.); or
 - (d) files a registration statement with the Securities and Exchange Commission
- **C.22 Registered Investment Advisor** means "an investment adviser that has registered with the SEC under the Investment Advisers Act of 1940."
- **C.23 Registered Investment Company** means "an investment company that has registered with the SEC under the Investment Company Act of 1940."
- **C.24 Subsidiary** means "a person other than an individual and includes:
 - (a) a corporation, any significant part of whose outstanding equity securities are owned, subject to a power or right of control, or held with power to vote, by a holding company or an intermediary company;
 - (b) a significant interest in a person, other than an individual, which is owned, subject to a power or right of control, or held with power to vote, by a holding company or an

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Maryland Lottery and Gaming Control Commission Manufacturer Application Form # 1003 - Request for Application of Alternative Licensing Standards (c) intermediary company; or (d) a person deemed to be a subsidiary by the Commission." **C.25 Voting security** – means "a security or other interest which entitles the owner to vote for the election of: (a) a director of a corporation, or (b) a person performing functions similar to a director with respect to an organization, whether incorporated or unincorporated." SECTION D The submission of this Form temporarily suspends the requirement that applicants for a manufacturer's license complete and submit an application for a Manufacturer's License (Form #1002). If the Commission denies the Request for Application of Alternative Licensing Standards, the applicant may only be licensed after it submits, and the Commission approves, an application for a Manufacturer's License (Form #1002). Certification 1. The applicant has made full application for, and obtained, a manufacturer's gaming license in at least one of the 12 states listed in the "Eligibility" section on page 2 of this Form within the past 5 years as listed on **Attachment 1.** Yes No Note: A complete and unaltered copy of the jurisdictions application must be attached to this Alternative Licensing Standard request. Please only attach copies of a jurisdiction who you believe most closely resembles Maryland's comprehensive licensing standards. 2. The applicant certifies that between the time each license was granted and the application to the Commission, the applicant has continued to operate with integrity, stability, corporate and financial responsibility and nothing has occurred that would affect applicant's eligibility for that State's license or for licensing in Maryland. Yes No 3. The applicant certifies that the board of directors, key employees and other "qualifiers," who were part of the other jurisdiction's application, continue to exhibit good character, honesty and integrity. Yes No The applicant further certifies that its financial condition has at least remained the same during that period of time. \square Yes \square No The applicant acknowledges that the following members of the board, directors, key employees or other "qualifiers" have changed since the other jurisdiction issued the license:

NAME*	TITLE	DATE OF CHANGE
1002 (D. 1 11/4/12)	D 0 . 0.17	T .*4*.1

Manuf	Manufacturer Application Form # 1003 – Request for Application of Alternative Licensing Standards		
	*NOTE: These individuals <u>must</u> submit to a full background investigation.		
4.	Does the applicant have any pending or concluded administrative or enforcement actions in the other jurisdiction(s)? \square Yes \square No If yes, please complete <u>Attachment 2,</u> listing all actions.		
5.	Have any event or action occurred during the time applicant was granted the most recent license and the Maryland application date that materially affected applicant's operations or its ability to continue as a going concern? Yes No If yes, please complete Attachment 3.		
6.	Applicant acknowledges that the Commission will use the information provided in this Form in determining whether to apply an alternative licensing process based on its licensure in another state. Yes No		
7.	Applicant understands that should this request be granted, it shall not be construed as a waiver of any fees associated with obtaining a Maryland's VLT license. Yes No		
8.	Applicant understands that the Commission reserves the right to investigate all relevant information and facts to its satisfaction. Yes No		
9.	All submissions with and for this application become the property of the Commission and will not be returned.		
	CEC/DION E		
	SECTION E		
	MANUFACTURER APPLICATION (Form #1003) PACKAGE FORMS		
The fo	orms that are applicable for a manufacturer license (Form #1003) are as follows:		
E.1	Request for Application of Alternative Licensing Standards (VLT – 1003)— Instead of submitting Form 1002, a manufacturer that holds a current, valid gaming license issued by one or more of the 12 specified jurisdictions may request that the Commission apply alternative licensing standards based on another state's license by submitting Form 1003.		
E.2	Principal Employee Application Form (VLT-1004) – An individual who is a principal employee must submit Form 1004, unless the individual believes he or she is eligible for a waiver of a licensing requirement. An individual who submits the Principal Employee Waiver Form (VLT-1007) does not need to complete Form 1004 unless directed to do so by the Commission.		
E.3	☐ Principal Entity Disclosure Form (VLT-1006) – Controlling shareholders, interest of current and former partners (if partnership, LLP, limited partnership).		
E.4	Principal Employee Waiver Form (VLT-1007) – For an individual who is a principal or key employee requesting a waiver of a licensing requirement.		
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Maryland Lottery and Gaming Control Commission

AFFIDAVIT OF REPRESENTATIVE OF APPLICANT

· ·	rinted name), am authorized to complete and execute
this Manufacturer Request for Application of Alter	native Licensing Standards on behalf of
	of Manufacturer). I am also authorized to provide all
	aryland Lottery and Gaming Control Commission, its
	omission"), and to make the representations set forth
	omission), and to make the representations set forth
in this Affidavit.	
I have read, and understand every page of this Form	n and have acknowledged so by initialing each page.
To the best of my knowledge, information, and bel	
·	-
attached to, this Form is accurate, complete, and no	•
misrepresentation or omission may lead to the dela	· · · · · · · · · · · · · · · · · · ·
terminal ("VLT") manufacturer license, and may s	ubject me to civil or criminal liability.
Lhave attached to the Request for Waiver Attachm	ent 1 and a true and complete copy of the application
<u>-</u>	
of(printed name	of manufacturer) for a gaming ficense in
(name of jurisdiction).	
	gns, I expressly waive, release, discharge, and forever
hold harmless and agree to indemnify, the Comm	nission, the State of Maryland, and their employees,
	and all claims or legal action arising from any actions
• • • • • • • • • • • • • • • • • • • •	take related to the collection of information from the
	n connection with investigating the Manufacturer's
application for a VLT manufacturer license and thi	s Application for Alternative Licensing Standards.
Signature of Applicant (Representative)	Date
Print Name of Applicant (Representative)	Title
	_
Name of Manufacturer Applicant	
NOTARY	
Subscribed and sworn to before me	
thisday of, 20,	
· · · · · · · · · · · · · · · · · · ·	(SEAL)
at, City State	(BL/IL)
City	
Notary Public (Signature)	
Print Name	
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Mac Canada in Table	
My Commission Expires:	
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AUTHORIZATION FOR RELEASE OF INFORMATION

10:		
FROM:		
	(Applicant's Prin	ted Name)
I am an applicant for a video lottery terminal li	cense in the State of	Maryland.
video lottery terminal license. That investigate irrevocably give consent to the Maryland Loc Commission, the Maryland State Police, and print the license application documents; (2) conformation that I have provided to any other consensus.	tion requires the Co ottery and Gaming persons authorized be induct a background are jurisdiction seek	ed by law to conduct an investigation of an applicant for a mmission to collect and evaluate information about me. Control Commission, the Video Lottery Facility Location by the Commission, to: (1) verify all information provided investigation of me; and to have access to any and all ring a similar license in that jurisdiction, as well as the fany investigation that it may have conducted about me.
information about me that the Commission	requests: local, St	wing entities to release to the Commission any and all rate or federal government unit; commercial or business vate entity. The requested information may be released in
	armless and agree	the requested information to the Commission, I expressly to indemnify, the unit, entity, or individual that releases zation.
A photo, facsimile, or electronic copy of this si	igned and dated Aut	horization shall be equally effective as an original.
Signature of Applicant		Date
Printed Name		Title
	NOTA	RY
	above named indiv	inty of, in the State of iduals appeared in person, and before me, either known to ne subscribed to the within instrument and signed the
This day of	, 20,	and to which witness my hand and seal.
		Notary Public
Stamp or Seal		
My commission expires,	20	Printed Name
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GAMING LICENSES AND PERMITS

APPLICANT LICENSING (GOVERNMENT ISSUED -GAMING) Provide the following information for the Last Ten (10) Year Period If granted, provide the License/Permit TYPE OF LICENSE NAME AND LOCATION OF APPLICATION number and expiration date. If DENIED, DISPOSITION **Date of Disposition OR PERMIT GOVERNMENT AGENCY NUMBER** PENDING, EXPIRED, SUSPENDED, CONDISTIONED, WITHDRAWN, or REVOKED, provide detailed information. Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked

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Maryland Lottery and Gaming Control Commission

Manufacturer Application Form # 1003 – Request for Application of Alternative Licensing Standards

ATTACHMENT 1 (Continued)

GAMING LICENSES AND PERMITS

APPLICANT LICENSING (GOVERNMENT ISSUED -GAMING) Provide the following information for the Last Ten (10) Year Period If granted, provide the License/Permit TYPE OF LICENSE NAME AND LOCATION OF APPLICATION number and expiration date. If DENIED, DISPOSITION **Date of Disposition OR PERMIT GOVERNMENT AGENCY NUMBER** PENDING, EXPIRED, SUSPENDED, CONDISTIONED, WITHDRAWN, or REVOKED, provide detailed information. Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked Granted Denied Pending Expired Suspended Conditioned Withdrawn Revoked

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Administrative or Enforcement actions

JURISDICTION	DATE	ADMISTRATIVE OR ENFORCEMENT ACTION

 $\label{lem:maryland_control} \begin{tabular}{ll} Manufacturer Application Form \# 1003-Request for Application of Alternative Licensing Standards \\ ATTACHMENT 3 \end{tabular}$

Events Occurred That Materially Affected Operations

EVENT	DATE	ACTION TAKEN TO MITIGATE EVENT
	+	