



Seneca Gaming Authority

345 Third Street Niagara Falls, NY 14303
Telephone: 716-244-5330 Fax: 716-244-5407

SENECA NATION LICENSE APPLICATION INSTRUCTIONS
Seneca Gaming Corporation Board of Directors --- Primary Management Official License

Attached are instructions as to how to fill out your Seneca Nation License application, given in a page-by-page format. Please refer to these instructions for any questions you may have. **These instructions will tell you exactly how to fill out the application.**

When you have completed your application, please call the SGA office to set up an appointment to have it reviewed at 716.244.5330. The review process and fingerprinting can take up to one hour. The Licensing and Background Department is available at either of the following locations:

Niagara Falls - SGA office is in the Seneca Office Building, 4th Floor.

Allegany - SGA office is located by the Bus Drop Off Entrance: Behind Bear Claw across from public side of HR entrance door.

Irving - SGA office (trailer) is located by the Seneca Gaming & Entertainment Bingo Hall.

Once the application has been accepted, you will proceed to the background investigation portion of your review. A SGA Investigator will interview you regarding your application contents, and you will be fingerprinted. Please be aware that *all of SGA's files are highly confidential and accessible only by SGA staff.* **We strongly suggest that you make your own copy of the completed application for your records. Once we accept the application, we cannot release a copy to you.**

In the event that this instruction packet does not answer your questions, please contact a SGA Licensing at 716.244-5330.

GENERAL INSTRUCTIONS:

- Read all Application Instructions thoroughly. These instructions will tell you exactly how to complete the application. If your application is not completed per these instructions, your application will not be accepted.
- Use only black or blue ink. **No red pen and no pencil.**
- Print as clearly as possible.
- Every space must be filled in completely.
- **Initial any and all corrections you make throughout the entire application.**
- Throughout this application, any time you need to provide a phone number, you must also include the area code. And any time you need to provide an address, you must also include the zip code.
- If you answer “No” to any question on the application and you do not need to furnish any additional information for a question, write “N/A” in that box.
- One “N/A” per set of boxes is sufficient. It is not necessary to write “N/A” in every box in a set of boxes.
- Initial every page in the bottom right-hand corner in the space provided.
- If you have been instructed or approved to mail your application back to SGA for review, please make a copy to retain in the event that the original gets lost in the mail. **DO NOT** mail in your application without prior approval.
- **Incomplete applications will NOT be accepted. If you do not have all of the required documentation and/or ORIGINAL picture to be submitted with your application, your application will not be accepted.**

You will also need to provide the following information as part of your application:

- Copies of all arrest dispositions, which can be obtained from the court, in which your case was before.
- High school and/or college diploma(s)
- If you have filed for any kind of bankruptcy, personal or business-related, at any time in your life, you are required to submit as part of your application, a copy of your bankruptcy discharge.
- A photo of yourself that has been taken within the past year. Please be aware that it is your responsibility to provide this picture for your application, as we do not have the capability to provide one for you.

COVER PAGE

- **1st box:** write your full legal name.
- **2nd box:** write the correct name of the position for which you are applying. If you are not sure of the correct position, refer to the Conditional Offer of Employment letter sent to you by Human Resources.
- **DO NOT** write in the bottom box on the page. This space is reserved for SGA personnel only.

NEXT PAGE

- The first item on the Checklist of Required Documentation is Identification Materials. This needs to be any government-issued photo ID such as a driver’s license, passport or tribal ID card.
- You must also provide copies of all of the documents on that list as they pertain to you.
- Check the “Attached” box if you have attached the required documentation.
- Check the “Does Not Apply” box if the requested information does not pertain to you.
- **Location of Employment:** check the worksite where you have been hired.
- **Photograph:** should be similar to a passport photo with head and shoulders only. It should also be a color photo that has been taken within the last year. The photo should be small enough to fit in the square provided. It must be an **original** photograph.
- Be aware that it is your responsibility to provide the photograph.
- After you have *taped* the photograph in the space, print your name beneath the photo.

PAGE ONE

- Please remember that throughout the application, you should PRINT all information.
- **List your last name, first name and middle initial.**

- **If you have been known by any other name, answer the question “Yes”.** In the set of boxes below the question, list any other names that you have been known by. This would mostly pertain to you if you have been married, divorced, remarried, etc., but it would also pertain to you if you’ve been adopted. If you have been adopted and you know your birth name, please list that as well.
- If you have not ever been known by any other name, answer the question “No” and write “N/A” in the uppermost left hand box. One “N/A” is sufficient. There is no need to write “N/A” in every box in that set of boxes.
- **List your current home address.** If you do not have an apartment number, write “N/A” in the space provided.
- **List your current mailing address only if different from your current home address.** If your home address and your mailing address are the same, you can write “N/A” in the box.
- **List your current telephone numbers.**
- **List your telephone number at your current place of employment.** If you are currently unemployed, write “N/A” in the box.
- **List your social security number.**
- Initial in the space in the bottom right-hand corner of the page.

PAGE TWO

- List all languages, other than English, in which you are able to speak and/or write.
- **List your identifying characteristics** – height and weight, date of birth, hair and eye color, gender and race (optional).
- **Are you an enrolled member of the Seneca Nation of Indians or any other tribe?** If yes, we will require documentation proving your enrollment.
- **Are you an enrolled member of any other tribe?** If yes, we will require documentation providing your enrollment.
- **Are you a US citizen or a naturalized citizen?** If you answer, “Yes” to the first question, please write “N/A” in the boxes that follow questions. If you answer “No” or if you are a naturalized citizen, we will require that information to be written in the appropriate boxes.
- Initial in the space in the bottom right-hand corner of the page.

PAGE THREE

- **Residence Data.** Beginning with where you live today and going backwards TEN YEARS, we need to know every residence you have maintained for the last TEN YEARS. Every month of every year for the last TEN YEARS must be included. Do not leave any gaps.
- List these dates only by month and year, do not list exact dates (example: do not list January 5, 2004. List only January 2004.)
- Provide a full address: street number, street name, city, state and zip code. Also list your telephone while you resided at that address, including area code.
- During this ten-year period, if you were a college student and lived away from your permanent residence you must also list the addresses you may have had during that time. However, in parentheses, list that these addresses were temporary college addresses.
- For your current address, list “Present” in the “To” box.
- **Check your current marital status.** If you are divorced, please check “Divorced” do not check “Single.”
- **List the name of your present spouse or adult currently living with you.**
- **List all former spouses, including dates of marriage and divorce.** Please also list any ex-spouses to include their maiden names and dates of marriage and divorce. Any dates of marriage and divorce should include month and year.
- In the event that you are currently separated (but there is no legal separation) from your spouse, you should check the “Married” box and turn to page ten to make the statement that you are still married but currently separated. You should also list that spouse’s name and when you were married.

- **List all immediate family members.** This would include parents, children and siblings, living and deceased. These people do not necessarily have to live with you. We also suggest listing any stepparents, stepchildren or stepsiblings you may have.
- Provide all of this information fully and completely, including full address, date of birth and phone number for each person. A full address should include street number, street name, city, state, and zip code. A phone number should include the area code as well.
- If you have lost contact with a family member, you still need to list that person and their relationship to you (parents, children and siblings only). As far as an address or phone number, you can write "Unknown."
- Initial in the space in the bottom right-hand corner of the page.

PAGE FOUR

- **Educational Data.** Beginning with every high school that you attended until you graduated, list every high school, trade school, vocational school, junior college, college and university that you have attended, no matter for what length of time.
- Do not list exact dates, list all dates only by month and year.
- Provide the full name of every educational institution, a full address: street number, street name, city, state and zip code. Provide a full telephone number for each educational institution, including area code.
- Provide a description of the education program (example: high school, college, GED class, etc).
- If you earned a diploma or degree, please list what was earned. If you did not, please list "None."
- **Licensing Data.** You would answer "Yes" to the first question if for instance you have worked at Seneca Bingo, Turning Stone Casino or New York State Lottery. You would also answer, "Yes" if you have been previously employed by a Gaming facility. However, if you worked at a convenience store that sold lottery tickets, you would answer "No" to this question because that gaming did not directly involve you.
- You would answer "Yes" to the second question if for instance you have been a doctor, lawyer, beautician, notary public, school bus driver, if you have been in the military or worked in any school in any capacity, if you have had a liquor license issued in your name, if you have been a CNA, CPA, police officer, etc., or if you have been issued a pistol permit. You would also answer "Yes" to this question if you have ever had any kind of background check or fingerprinting done in order to take a job. Basically, you would answer "Yes" to this question if you have had to apply to any local, state or federal government agency in order to provide any job, duty or service.
- The third question is pretty self-explanatory and if it applies to you, you would know that and answer "Yes". If it does not pertain to you, answer "No."
- **Any "Yes" answer to these three questions will require you to fill out at least one set of boxes below the questions.** However, perhaps in the case where you are or have been a bus driver who was also a notary public, you would fill out two sets of boxes below.
 - **Name and Address of the Licensing Agency** or companies that you had to have a background check for. Provide a full address.
 - **List the Type of License or Permit** – If you were previously employed in the Gaming industry, list the type of license you were required to possess. If you have any kind of permit (pistol, beautician's, etc), except a driver's permit, list the type of permit you had applied for. If you were only fingerprinted in order to take a job, you can write "For employment purposes only." Do not include hunting or fishing license.
 - **List the Date of Application** – when did you file the application with the Licensing Agency?
 - **List the Disposition** – if you were allowed to accept the job, list "Granted."
 - **List the Reason for Denial, Suspension or Revocation** – if any license, except a driver's license, was ever denied suspended or revoked, list that reason here.
- If you answer "No" to all three questions, you can write "N/A" in the top left hand box in that set of boxes.
- Initial in the space in the bottom right-hand corner of the page.

PAGE FIVE

- **Employment Data.** Beginning with today and going backwards, we need to know every job and/or gap in employment that you have had in the last TEN YEARS. Every month of every year for the last TEN YEARS must be covered, do not leave any gaps.
- This must be a chronological listing. It may be beneficial to write this information on a separate piece of paper, ensuring accuracy, and then transfer it to the application page.
- To cover your present situation (employed or unemployed) write "Present" in the "To" box in the top entry.
- Do not list exact dates, list all dates only by month and year.
- List any periods of unemployment also by month and year. We do not need to know that you collected unemployment or workmen's comp or if you were a student. All we need to know is that you were unemployed for that specific period of time.
- Provide a full name and address of the employer, along with a telephone number including area code; position held while you worked there and reason for leaving. Of course if you are still at that job, you should write "N/A" in this space.
- If you worked somewhere that no longer exists for some reason, list that business and address, as it was when you worked there. In the telephone number area is where you can write why the business no longer exists – business sold, business moved, business closed, etc.
- **Financial Data.** These four questions refer to any business ownership you may have been involved in.
- If you answer "Yes" to any of these questions, provide the pertinent information in the boxes provided beneath the question.
 - **List the to and from Dates** that you owned the business. If you currently own the business, list "Present" in to the "To" box.
 - **Name and Address of Business** – list the name and exact address where the business was/is located.
 - **Percentage Interest Held By you** – how much of the business do you own? If you are the sole owner, list 100%. If you have a partner or several partners, list your ownership percentage.
 - **Name(s) of Other Owner(s)** – list the names of those who share ownership in the business.
- If you answer "No" to all of these questions, write "N/A" in the top left-hand box in the set of boxes provided beneath the question.
- Initial in the space in the bottom right-hand corner of the page.

PAGE SIX

- Have you ever personally filed for bankruptcy? If you answer, "Yes" to this question, provide the pertinent information in the boxes provided beneath the question.
- The second question pertains to business ownership and whether or not that business filed for bankruptcy. If you answer, "Yes" to this question, provide the pertinent information in the boxes provided beneath the question.
- Provide a full name and address of the court, date the petition was filed and name and address of the trustee. We will also require any bankruptcy discharge you may have been issued related to a business bankruptcy.
- If you answer "No", write "N/A" in the top left-hand box in the set of boxes provided beneath the question.
- The next question would pertain to you if you've ever had any state or federal tax liens or defaulted student loans or defaulted on a rental agreement or been a party to any other lien or judgment.
- If you answer, "Yes" to this question, provide the pertinent information in the boxes provided beneath the question.
 - **Date Filed** - when was the lawsuit filed?
 - **Jurisdiction** – the court in which the lawsuit was filed. Example: Cattaraugus County, New York, Supreme Court, State of Pennsylvania, etc.
 - **Nature of Suit** – divorce, child support, auto insurance, eviction, etc.

- **Disposition** – what happened as a result of the lawsuit? Example: I was awarded \$5,000 in personal damages, divorce granted, etc.
- **Date of Disposition** – when the case was settled and you no longer had to go to court.
- If you answer “No” to this question, write “N/A” in the top left-hand box in the set of boxes provided beneath the question.
- **Miscellaneous Data.** Please be aware that the first question pertains to your Driver’s, Notary, Cosmetology License, etc. that you may hold.
- The second and third question only pertains to your Gambling or Gaming license.
- If you answer, “No”, write “N/A” in the top left-hand box in the set of boxes provided beneath the question.
- If you answer, “Yes” to this question, provide the pertinent information in the boxes provided beneath the question.
- Provide a full name and address of the governmental agency, date of the denial, suspension, and revocation or bar, and the reason for denial, suspension or revocation.
- Initial in the space in the bottom right-hand corner of the page.

PAGE SEVEN

- This section pertains to your criminal history. The first part is definitions you should be aware of in answering the question. The second part is instructions to answering the question.
- **Have you ever been arrested or charged with any crime or offense in New York State or any other jurisdiction, not including traffic infractions? Please do include DWI, DWAI or DUI in New York State, any other state or any other country.**
- **This question pertains to YOUR ENTIRE LIFETIME, not only for the last ten years.**
- Answer this question truthfully and honestly to the best of your ability. It is of the utmost importance that you are completely truthful especially in this section.
- Any and all arrests must be listed, even if they occurred within the same incident.
- Provide all of this information fully and completely:
 - **Nature of Charge or Arrest:** list the crime that you were originally charged with, not what you may have pled down to.
 - **Date of Charge or Arrest:** list the date of the arrest. Include at least a month and year. List the exact date if you know it.
 - **Name and Address of Law Enforcement Agency or Court Involved:** list the full name and address of the arresting police agency or court in which the case was adjudicated.
 - **Disposition:** list the result of the court action, for example – pled guilty to a lesser charge, case dismissed, charges dropped, etc. If you pled down to a lesser charge, list the charge that you were convicted of. **Please be aware** that you are required to gather these dispositions from the courts to be submitted with your completed application.
 - **Sentence imposed:** list the sentence handed down by the court, for example – time served, paid fine, two years probation, ACD, etc. If the case was dismissed or the charges were dropped, you can list “None” in this space.
- Include any and all arrests in your entire lifetime, even if it happened 50 years ago or if the charges were dropped or if the case was dismissed.
- Please be aware that an arrest includes cases where you were only issued an appearance ticket to go to court, even if you were not handcuffed and taken to the police station.
- Also include any juvenile arrests. Juvenile arrests are supposed to be sealed but sometimes they are not due to some fluke in the court or maybe your lawyer didn’t follow through. In that event, anyone conducting a background investigation on you, such as in this case, would come up with this information.
- If you have any questions as to what the exact charge was or when it happened, we suggest that you contact the arresting police agency to get a copy of the court disposition. Or, you can contact the county sheriff. However, you should be aware that all townships in the county do not report arrests to the county sheriff’s department.

- If you have had no arrests in your entire lifetime, you should answer “No” to this question and write “N/A” in the top left-hand box below the question.
- **YOUR FAILURE TO DISCLOSE ANY AND ALL ARRESTS IN YOUR ENTIRE LIFETIME WILL LEAD YOU TO BE DENIED THIS LICENSE AND YOU MAY NOT BE PERMITTED TO WORK FOR ANY SENECA-OWNED GAMING FACILITY.**
- Initial in the space in the bottom right-hand corner of the page.

PAGE EIGHT

- **Vehicle Operator Data.** List all motor vehicle licenses issued to you in the past ten years by New York State or any other authority.
 - **Type of License** is the Class you are permitted to drive under.
 - **Jurisdiction of the License** is the issuing authority such as New York State, Pennsylvania, etc.
 - **List the License Number, Date Last Issued, Expiration Date of the License**
- All of this information can be found on the front of your driver’s license.
- If you have no driver’s license, write “N/A” in the top left-hand box.
- Within the last ten years, if you have moved from one state to another and have changed your driver’s license to the new state, we understand that you probably would not have access to the License Number, Date Last Issued or Expiration Date of the License from the previous state and you can write “Unknown” in those spaces. All we need to know is that you were issued a driver’s license in the previous state.
- You are required to furnish FIVE REFERENCES on pages eight and nine.
- These references cannot be related to you in any way, they must be at least 18 years of age and you should have known them for at least one year.
- Provide all of this information fully and completely:
 - **Full name**
 - **Full home address**, including street number, street name, city, state and zip code
 - **Home phone number**, including area code
 - **Full business or work address**, including street number, street name, city, state and zip code
 - **Full business or work phone number**, including area code
 - **Occupation** – if you list someone who does not work, in the spaces that require the business or work address and phone, you can write “N/A”. In the Occupation space is where you should write why this person doesn’t work – currently unemployed, student, homemaker, disabled, retired, etc.
 - **Year’s known** – remember that this time period should be at least one year.
 - **If this section is not fully complete, your application will not be accepted.**
 - We strongly advise you to inform these people that you are listing them as references on this application. At some point during your background investigation, an SGA Investigator will be contacting these people. They deserve to know why. You should also contact them to ensure accuracy in filling out their contact information.
- Initial in the space in the bottom right-hand corner of the pages.

PAGE TEN

- This is your additional page. Please use for information that may need more explanation or that did not previously fit in the respective section. You may also use this page to provide any additional information you feel necessary.
- DO NOT write outside of the provided space or boxes. Turn to page TEN, identify the question by number and continue answering it as you had on that previous page.
- If you know that you will need more than the space provided on this one additional page, make copies of this blank page before you write on it. We can include as many additional pages as we need.
- When you come in for your review, we may see something that needs to be further clarified and we would ask you to turn to this additional page and make that statement.
- Initial in the space in the bottom right-hand corner of the page.

PAGES ELEVEN, TWELVE AND THE LAST PAGE

- These are Notary Public pages.
- **DO NOT write on these pages at all** until instructed by the Notary Public.
- In order to speed your review process, you can have this notarization done before you come in for your review. However, we can also take care of this when you get here.

THROUGHOUT THE ENTIRE APPLICATION

- Initial any and all corrections, mistakes, strikeouts or whiteouts that you may have had on the entire application.
- Make sure all pages requiring your initials have been initialed in the bottom right-hand corner of the pages.
- When you have completed the application, go back through and review it for accuracy, changing anything that you feel needs to be changed.
- Make sure all information is fully completed. In the event that there is some information missing from your application, there is a chance that we will not accept it and you will have to come back for a second review once you have retrieved the necessary information.
- **AGAIN - Incomplete applications will NOT be accepted. If you do not have all of the required documentation and/or ORIGINAL picture to be submitted with your application, your application will not be accepted.**