



Nevada Gaming Control Board  
Investigations Division  
Attention: Applicant Services  
PO Box 8003  
Carson City, NV 89702  
[\(775\) 684-7840](tel:7756847840)

## INSTRUCTIONS TO APPLICANTS FOR LICENSURE AS A SERVICE PROVIDER CLASS 1 and CLASS 2

### INSTRUCTIONS

Business Name: \_\_\_\_\_

Individual Name: \_\_\_\_\_

Complete and return this checklist with your application. All applications must be arranged in the order listed below. A complete application will consist of the applicable documents/items listed below and any additional documents/items as may be necessary and/or required by NGC Regulations. All forms can be found on our website at [gaming.nv.gov](http://gaming.nv.gov):

#### **CLASS 1**

- This completed and signed checklist.
- [Form 1](#) is to be submitted by individual applicants.
- [Form 2](#) is to be submitted by corporations, partnerships, and limited liability companies.
- [Form 3](#) is to be submitted by holding/intermediary companies and trusts.
- [Form 7](#), Multi Jurisdictional Personal History Disclosure Form: To be filed by each corporate officer, director, member, or equity holder. The applicant agrees to provide any additional information the Board may require, e.g., birth certificate, military discharge papers, passports, litigation in which the applicant has been named as a plaintiff or defendant, income tax returns.
- [Form 7A](#), Nevada Supplemental Personal History Disclosure Form.
- [Form 10](#), Affidavit of Full Disclosure.
- [Form 17](#), Release and Indemnity of All Claims.
- [Form 18](#), Request to Release Information.
- [Form 28](#), Fingerprint Receipt: Complete Form 28 (for fingerprints taken in Nevada) and take it to any certified fingerprinting facility in Nevada. Fingerprints will be taken electronically. Ensure the printing facility signs and dates the form. Applicants must submit a completed Form 28 with their application package. In the event electronic fingerprinting is not available or if taken outside of Nevada three completed fingerprint cards for each individual applicant must be submitted. Due to the FBI's chain of custody requirements, the completed fingerprint cards must be mailed by the certified printing facility directly to the Nevada Gaming Control Board, Attn: Applicant Services, 1919 College Parkway, Carson City, NV 89702.
- [Form 28A](#), Fingerprint Civil Applicant Waiver. Applicants must submit a completed Form 28A with their application package.

- One copy of each of the following (as applicable) and a complete list of all stockholders, members, and/or partners showing the number of shares and/or interest of record held by each:
  - Partnership Agreement (Gaming language required for limited partnerships);
  - Trust Agreement (Gaming language required);
  - Joint Venture Agreement;
  - Articles of Incorporation (Gaming language required);
  - Articles of Organization (Gaming language required);
- Business Plan
- A general description of the nature of the business of the applicant.
- If the applicant has been in business for three or more fiscal years, balance sheets and profit and loss statements for the past three fiscal years, certified by independent public accounts certified or registered in the state of Nevada, must be submitted to the Board. If the entity has not been in existence for the past three fiscal years, such statements covering the period from the creation of the business to the present must be submitted.
- If the business entity is seeking initial licensing, a Statement of Pre-Opening Cash and First Year Cash Flow Projection ([Form 6](#)) must be submitted.
- A check or money order in the amount of \$500 per applicant or entity, to cover the application fee. Checks are to be made payable to the Nevada Gaming Control Board. Costs of investigation will be charged as provided by statute and regulation. The total cost of the investigation is to be borne by the applicant. This cost includes all transportation, food and lodging; plus an hourly charge for the time expended by the agent or agents assigned to the application. Before the investigation can begin the applicant must provide a deposit in an amount equal to the total estimated expenses, including the hourly charges. Hourly expenses will be charged for travel time and for the time expended while agents are engaged in the investigation process. Cash is not accepted.
- A check or money order made payable to the Nevada Gaming Control Board. Cash is not accepted. Costs of investigation based on the following fee structures:
  - Entity and one individual - \$3,000 (\$500 Application Fee/\$2,500 Investigative Fee)
  - Entity and up to three individuals - \$5,500 (\$500 Application Fee/\$5,000 Investigative Fee)
  - Entity and up to six individuals - \$8,000 (\$500 Application Fee/\$7,500 Investigative Fee)
  - Entity and more than six individuals \$10,500 (\$500 Application Fee/\$10,000 Investigative Fee requested by Investigations Division **after** application is filed. See below)

**In accordance with NRS 353.1467, all payments of money owed to a state agency for taxes, interest, penalties or any other obligations that, in the aggregate, amount to \$10,000 or more, must be made by electronic transfer in a method allowed by the state agency.**

## CLASS 2

- This completed and signed checklist.
- [Form 1](#) is to be submitted by individual applicants.
- [Form 2](#) is to be submitted by corporations, partnerships, and limited liability companies.
- [Form 4R](#) Personal History Record: To be filed by each Corporate Officer (CEO, COO, CFO, & CTO), Member, or Equity Holder of 10% or more.
- [Form 5R](#) Personal Financial Questionnaire: To be filed by each Corporate Officer (CEO, COO, CFO, & CTO), Member, or Equity Holder of 10% or more.
- [Form 10](#), Affidavit of Full Disclosure.
- [Form 17](#), Release and Indemnity of All Claims.
- [Form 18](#), Request to Release Information.
- [Form 28](#), Fingerprint Receipt: Complete Form 28 (for fingerprints taken in Nevada) and take it to any certified fingerprinting facility in Nevada. Fingerprints will be taken electronically. Ensure the printing facility signs and dates the form. Applicants must submit a completed Form 28 with their application package. In the event electronic fingerprinting is not available or if taken outside of Nevada three completed fingerprint cards for each individual applicant must be submitted. Due to the FBI's chain of custody requirements, the completed fingerprint cards must be mailed by the certified printing facility directly to the Nevada Gaming Control Board, Attn: Applicant Services, 1919 College Parkway, Carson City, NV 89702.
- [Form 28A](#), Fingerprint Civil Applicant Waiver. Applicants must submit a completed Form 28A with their application package.
- One copy of each of the following (as applicable) and a complete list of all stockholders, members, and/or partners showing the number of shares and/or interest of record held by each:
  - Partnership Agreement;
  - Trust Agreement;
  - Joint Venture Agreement;
  - Articles of Incorporation;
  - Articles of Organization;
  - Business Plan
- General description of the nature of the business of the applicant.
- Copies of service provider agreements with Nevada Gaming Licensees.
- A check or money order made payable to the Nevada Gaming Control Board. Cash is not accepted. Costs of investigation based on the following fee structures:
  - Entity and one individual - \$3,000 (\$500 Application Fee/\$2,500 Investigative Fee)
  - Entity and up to three individuals - \$5,500 (\$500 Application Fee/\$5,000 Investigative Fee)
  - Entity and up to six individuals - \$8,000 (\$500 Application Fee/\$7,500 Investigative Fee)
  - Entity and more than six individuals \$10,500 (\$500 Application Fee/\$10,000 Investigative Fee requested by Investigations Division **after** application is filed. See below)

**In accordance with NRS 353.1467, all payments of money owed to a state agency for taxes, interest, penalties or any other obligations that, in the aggregate, amount to \$10,000 or more, must be made by electronic transfer in a method allowed by the state agency.**

*Each applicant needs to complete and sign a checklist attesting the information being provided to the board is accurate and complete, agrees to cooperate with all requests, inquiries, or investigations of the board and commission. An applicant for a state gaming license is seeking the granting of a privilege, and the burden of proving his/her qualifications to receive such a license is at all times on the applicant. An applicant must accept any risk of adverse public notice, embarrassment, criticism, or other action, or financial loss which may result from action with respect to an application, and expressly waives any claim for damages as a result thereof.*

Name

Date

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## Nevada Gaming Control Board

### Service Provider Licensure Guidelines

	Service	Depth of Licensure	Comments
<b>Interactive Gaming</b>	Advertising	licensure not required	
	Application Interface Development	Class 1	The development of interface to the core interactive system or its component subsystems when performed by other than the core system vendor.
	Acquiring Bank	licensure not required	When compliant with federal banking regulations.
	Bonusing and/or Progressive Systems	Class 1	
	Business Intelligence	licensure not required	Data warehouse (non-transactional database)
	Fraud Detection	licensure not required	Behavior based anomaly detection, Velocity Checks, Out of band transaction verification services, etc. Licensing requirements assessed on the Class on integration and if used to satisfy a Nevada regulatory requirement.
	Gaming graphics design	licensure not required	Licensure may be required based on the Class of integration of the graphics into the core interactive gaming system. Gaming graphics include but is not limited to information necessary to convey information related to the game in play, game rules, interactive gaming system terms and conditions, any information required by NGC regulations 5a or 14, or any other critical display information.
	Interactive System Core	Class 1	The portion of the IGS responsible for, but not limited to, managing and implementing any game or tournament, determining the outcome, and settling all wagers.
	IT Service Provider	Class 2	Provider of IT services to an interactive gaming system or its component subsystems.
	Location Determination	Class 2	Physical location of authorized player during a player session.
	Marketing affiliate	Class 3	
	Merchant Account Management	Class 1	Includes the methods used to facilitate transactions between a wagering account and a payment processor or financial institution.
	Non-gaming graphics design	licensure not required	
	Patron Authentication	Class 2	Mechanism used to securely identify the authorized player prior to initiation and during a player session; and on demand.
	Patron Identification	Class 2	Validation of patron registration information
	Patron Interaction/Chat Interface	licensure not required	
	Patron Management	Class 1 or 2	(Casino Management Systems) Licensure requirements dependent on the functionalities implemented and Class of integration into core system
Payment Processor	Class 1 or 2	Includes payment processors that facilitate transactions between a merchant account associated with wagering and a financial institution. Those persons whose service is limited to authorization and settlement services, do not accept settlements, and do not participate in the movement of monies between the issuing and merchant banks will be required to undergo a Class 2 investigation. Those persons whose services do not meet these criteria will be evaluated on a case-by-case basis and may be required to undergo a Class 1 investigation.	
Risk Assessment	licensure not required	Includes intrusion analysis, detection, and prevention	
Wagering Account Management	Class 1		
<b>Information Technology</b>	Providing services that include, but not limited to, administration, hardware support, software support, or security for Board regulated hardware and software.	Class 2	Examples include, but are not limited to, system gaming and gaming associated equipment such as online slot metering, cashless wagering, live entertainment tax, patron management and system based or supported gaming devices.
	Providing services that include, but not limited to, administration, hardware support, software support, or security for non-Board regulated hardware and software.	licensure not required	Examples include, but are not limited to, systems that support human resources, reservations, general business systems, corporate IT infrastructure and logging management systems.
<b>Cash Access and Wagering Instrument Service Provider</b>	Cash access services provided to an interactive gaming system	Class 1 or 2	See interactive gaming service provider
	Cash access via credit or debit card to cash or credit not directly related to gaming. (for cash transactions)	licensure not required	Examples include ATM to cash and Check cashing services
	Cash access via credit or debit to wagering instrument	Class 2	
	Cash access via credit or debit card directly to an account whose primary purpose is to facilitate wagering	Class 1	
	Acquiring Bank	licensure not required	When compliant with federal banking regulations.
	Payment Processor	Class 1 or 2	Includes payment processors that facilitate transactions directly between a merchant account associated with wagering and a financial institution. Those persons whose service is limited to authorization and settlement services, do not accept settlements, and do not participate in the movement of monies between the issuing and merchant banks will be required to undergo a Class 2 investigation. Those persons whose services do not meet these criteria will be evaluated on a case-by-case basis and may be required to undergo a Class 1 investigation..
	Merchant Account Management	Class 1	Includes the methods used to facilitate transactions between a wagering account and a payment processor or financial institution.
Wagering Account Management	Class 1		