



**WASHINGTON STATE GAMBLING COMMISSION**  
 LOCATION: 4565 7th Avenue SE, Lacey WA 98503  
 MAILING ADDRESS: P.O. Box 42400, Olympia WA 98504-2400  
 TELEPHONE: 360-486-3440 / FAX NUMBER: 360-486-3631  
 TOLL-FREE: 1-800-345-2529 / TDD: 360-486-3637  
 WEB SITE: www.wsgc.wa.gov

**TRANSFER APPLICATION**

**FEE: \$** |\_\_\_\_\_|

See Section 14 of the attached fee schedule (GC5-055K FS)

**In accordance with WAC 230-06-106, special investigative fees may be requested if costs exceed the basic fee provided with this application.**

**\*\*\* GENERAL INSTRUCTIONS \*\*\***

- Please read the enclosed pamphlet entitled *Gambling License Certification Program* and the condensed rules pertaining to each area of the application. **You will find them very helpful and informative.**
- Please **type or print with dark ink**. Answer **ALL** questions. Use **N/A** if not applicable.
- Be sure that you select and check the correct transfer action.
- Make sure that the application is signed and dated by the appropriate individual(s).
- **Avoid processing delays.** Ensure that the application and any attachments are complete.
- **NOTE:** Application documentation may be faxed to expedite the application process.  
 Mail or deliver the completed application and fee to the above address.  
 Attend mandatory training as required by WAC 230-03-070. See attached letter (GC5-158).
- For assistance, call Licensing Services at our toll-free number 1-800-345-2529 or (360) 486-3440.

**1. Type of Transfer Action:** (Mark  one and complete all requirements)

- Change of Business Classification (Complete items #2, #3 and #6). Used when change from:  
Sole proprietorship to corporation, partnership to corporation, partnership to sole proprietorship, LLC to corporation, LLC to sole proprietorship., etc.
- Court Directed Change (Complete items #2, #4, and #6) Used when a court has appointed a guardian, executor, administrator, receiver, etc., for proven incapacity, death, receivership, divorce, bankruptcy, or assignment for benefit of creditors.
- Partnership Change (Complete items #2, #5, and #6) Used **only** when a partnership buys out one or more partners but continues operation as a partnership.

**2. Applicant Information:**

- a. Organization's Name (prior to this transaction): |\_\_\_\_\_|
- b. Mailing Address: |\_\_\_\_\_|  
 |\_\_\_\_\_| City |\_\_\_\_\_| State |\_\_\_\_\_| Zip  
 |\_\_\_\_\_| County UBI #: |\_\_\_\_\_|
- c. If you checked the *Change of Business Classification* in Item #1 above, type or print the name of the corporation, partnership or sole proprietor that will own the business after change here:  
 |\_\_\_\_\_|

**3. Change of Business Classification Information / Requirements:** (WAC 230-06-106(3)(4))

- a. **List all owners prior to this transaction:** Attach additional sheets, if necessary, using this format.
  - Last Name: |\_\_\_\_\_|
  - First Name: |\_\_\_\_\_| MI: |\_\_\_\_\_|
  - Title: |\_\_\_\_\_|
  - Percentage Owned: |\_\_\_\_\_|%

**3. Change of Business Classification Information / Requirements: (Continued)**

a. **List all owners prior to this transaction:** Attach additional sheets, if necessary, using this format. (Continued)

• Last Name: |\_\_\_\_\_|

First Name: |\_\_\_\_\_| MI: |\_\_|

Title: |\_\_\_\_\_|

Percentage Owned: |\_\_\_\_\_|%

• Last Name: |\_\_\_\_\_|

First Name: |\_\_\_\_\_| MI: |\_\_|

Title: |\_\_\_\_\_|

Percentage Owned: |\_\_\_\_\_|%

• Last Name: |\_\_\_\_\_|

First Name: |\_\_\_\_\_| MI: |\_\_|

Title: |\_\_\_\_\_|

Percentage Owned: |\_\_\_\_\_|%

b. **Complete and submit the appropriate form(s):** (All forms listed below are attached)

(1) **From a sole proprietorship / partnership / LLC to a corporation:**

- *Disclosure of Corporate Officers / Stockholders* (GC4-017).
- *Disclosure of LLC Members / Managers* (GC4-017b).
- *Disclosure of Partnership* (GC4-017c).
- A copy of your signed and dated articles of incorporation, showing the filing stamp placed by the Secretary of State's office.
- Minutes of your corporate meeting showing the formation of the corporation, election of officers and issuance of stock.
- Signed and dated copies of all documents setting out the sale and / or transfer of the stock issued.
- All documents covering assignment, sale or lease of business and premises to the corporation. (Please ensure each document has been signed and dated.)
- A copy of the LLC agreement to include names of members & units or shares issued, managing member(s), purpose, duration, cash & non-cash contribution(s), withdrawal procedures, etc.
- A copy of the LLC formation including date stamp verifying it has been recorded with the Secretary of State.

(2) **For a partnership or LLC to a sole proprietorship:**

- Signed and dated copy of partnership dissolution and buyout of partner(s).
- All documents covering sale or assignment of business and premises to the sole proprietor.
- *Financial Statement* (GC4-320).
- *Source of Funds Statement* (GC4-321).

**4. Court Directed Change Information / Requirements: (WAC 230-06-106(5))**

a. Name of deceased or incapacitated owner:

Last Name: |\_\_\_\_\_|

First Name: |\_\_\_\_\_| MI: |\_\_|

b. Name of court appointed guardian, executor, administrator, receiver, etc.: (Please designate.)

Last Name: |\_\_\_\_\_|

First Name: |\_\_\_\_\_| MI: |\_\_|

Designation: |\_\_\_\_\_|

Telephone: |\_\_|\_|\_|-|\_\_|\_|\_|-|\_\_|\_|\_|

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**4. Court Directed Change Information / Requirements:** (Continued)

- c. Reason court action required: \_\_\_\_\_
- \_\_\_\_\_
- d. Please submit the following:
- A copy of the signed and dated court order and any other documents appointing or confirming the above named as guardian, executor or administrator, receiver, trustee, or assignee for the benefit of creditors and, in the case of death, a copy of the certificate of death, will, community property agreement, or such document.
  - If not previously submitted, complete and submit a *Personal / Criminal History Statement* (BLS-700-301) for the individual and spouse listed in 4.b. above, and for those persons listed per attached WAC 230-03-045.

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**5. Dissolution of Partnership(s) Information / Requirements:** (*Only Used* if partnership continues – complete the change of business classification portion if changing your business structure. Review Section 1.)

- a. Submit all signed and dated documentation on the buyout of the other partner(s).
- b. Complete and submit attached:
- *Financial Statement* (GC4-320); and
  - *Source of Funds Statement* (GC4-321).

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**6. \* \* \* IMPORTANT \* \* \***

If you are a new substantial interest holder, as part of this application, you are required to provide positive proof of identity. To accomplish this submit a copy of one of these official documents: a valid driver's license, a military identification card, a valid passport, or an alien registration card (if you are a registered alien). Also include a current, full facial view photograph no smaller than 1" x 1" nor larger than 3" x 5". Write your name and social security number on the back of the photograph. You may also be required to submit fingerprints. If so, fingerprint cards, with instructions, will be sent to you.

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**YOUR APPLICATION AND THE PUBLIC RECORDS ACT**

From the moment we receive your application, it becomes a public document subject to the Public Records Act (RCW 42.56) and other Washington laws. The Commission may disclose to the public or discuss at a public meeting, all information set forth in this application and all supplemental information submitted. The Commission responds to public document requests through a Public Disclosure Request process. In the event that the Commission receives a public disclosure request regarding this application or the license file established, you may request in writing, that the Commission notify you of such request as provided in RCW 42.56.540.

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**Declaration / Signature of Applicant(s):**  
**(Sole proprietor, partner, LLC manager, chief executive officer or court appointed successor to owner.)**  
**OATH OF APPLICATION**

I declare under penalty of perjury, under the laws of the State of Washington, that all information provided in this application is true and complete to the best of my knowledge. I understand that untruthful, misleading, or incomplete answers whether through misrepresentation, concealment, inadvertence, or mistake, are cause for denial of an initial application or revocation of any gambling licenses currently held and will be disclosed to my employer. I agree to notify the Washington State Gambling Commission should any information required on this application and / or on my *Personal / Criminal History Statement* change or become inaccurate in any way. I further understand that should any information provided on the application change or become obsolete and / or if any criminal or civil actions are filed against me, I must inform the commission and my employer. (See WACs 230-03-050, 230-03-055, 230-06-080, 230-06-085, and 230-06-090).

Last Name: | \_\_\_\_\_ |

First Name: | \_\_\_\_\_ | MI: | \_\_\_\_ |

Title: | \_\_\_\_\_ |

Date: | \_\_\_\_ | - | \_\_\_\_ | - | \_\_\_\_ |

Signature: \_\_\_\_\_

## CONDENSED LICENSING RULES

**WAC 230-03-045 Defining substantial interest holder.** (1) "Substantial interest holder" means a person who has actual or potential influence over the management or operation of any organization, association, or other business entity.

(2) Evidence of substantial interest may include, but is not limited to:

(a) Directly or indirectly owning, operating, managing, or controlling an entity or any part of an entity; or

(b) Directly or indirectly profiting from an entity or assuming liability for debts or expenditures of the entity; or

(c) Being an officer or director or managing member of an entity; or

(d) Owning ten percent or more of any class of stock in a privately or closely held corporation; or

(e) Owning five percent or more of any class of stock in a publicly traded corporation; or

(f) Owning ten percent or more of the membership shares/units in a privately or closely held limited liability company; or

(g) Owning five percent or more of the membership shares/units in a publicly traded limited liability company; or

(h) Providing ten percent or more of cash, goods, or services for the start up of operations or the continuing operation of the business during any calendar year or fiscal year. To calculate ten percent of cash, goods, or services, take the operational expenses of the business over the past calendar or fiscal year, less depreciation and amortization expenses, and multiply that number by ten percent; or

(i) Receiving, directly or indirectly, a salary, commission, royalties, or other form of compensation based on the gambling receipts.

**WAC 230-06-106 Limited transfers of ownership allowed.** Gambling licenses must not be transferred to another person or entity until the licensee requesting the transfer has received written approval from us. All requests to transfer a license must be in the format we require. Licensees may request to transfer a gambling license under the following conditions:

### Commercial businesses

(1) A commercial business may request to transfer their license to another business when:

(a) The ownership is exactly the same for both businesses, for example a partnership becomes a limited liability company (LLC); and

(b) The licensed gambling activity will be conducted at the same business premises.

### Charitable or nonprofit organizations

(2) A bona fide charitable or nonprofit organization may request to transfer their gambling license to another bona fide charitable or nonprofit organization after a completed merger or consolidation.

### Partnerships

(3) If one partner in a partnership leaves and is not replaced, the remaining partner(s) must submit a transfer application to document the transfer of ownership to the remaining partner(s).

### Sole proprietorship

(4) A sole proprietor may request to transfer their license to a partnership, corporation or LLC, which is solely owned by the same person.

### Death, bankruptcy and other special circumstances

(5) A licensed operator may transfer their license when proven incapacity, death, receivership, bankruptcy or assignment for benefit of creditors to a court-appointed or court-confirmed guardian, executor or administrator, receiver, trustee, or assignee for the benefit of creditors occurs. The person to whom the license is transferred may continue to operate under the license.

(a) Transfers are allowed when:

(i) A transfer fee is paid; and

(ii) The person to whom the license is transferred is qualified to hold a gambling license; and

(iii) We give prior written approval.

(b) The license is renewable based on the original expiration date of the license; and

(c) Any transferred license will be void when the person to whom the license was transferred no longer holds the court-appointed, or court-confirmed, position.

**WAC 230-06-108 Ownership changes – Prohibited.** All gambling licenses held by a business will become void when the following changes in ownership occur and a new license must be obtained before operating any gambling activities:

(1) A person or business becomes the owner of more than fifty percent of corporate stock or limited liability membership shares/units, when the person or business did not have at least the following substantial interest in the business immediately before the transaction:

(a) Ten or more percent ownership in a privately held corporation or limited liability company (LLC); or

(b) Five or more percent ownership in a publicly traded corporation or LLC; or

(2) The business is sold; or

(3) A sole proprietorship brings in a new person and forms a partnership, corporation or LLC; or

(4) A partnership adds another partner or changes partners; or

(5) A change in a person's ownership, together with ownership of any members of his or her immediate family, who are under the age of eighteen years of age, results in the person having more than fifty percent interest in the business when the person did not have at least the following substantial interest in the business:

(a) Ten or more percent ownership in a privately held corporation or LLC; or

(b) Five or more percent ownership in a publicly traded corporation or LLC.