

# CDI VENDOR DUE DILIGENCE QUESTIONNAIRE

Please print or type your responses and return to Churchill Downs Incorporated.

## 1. VENDOR INFORMATION (REQUIRED)

a) Registered vendor name: \_\_\_\_\_

b) Other names vendor uses to conduct business:  
\_\_\_\_\_

c) Vendor's websites: \_\_\_\_\_

d) Are you a publically traded company?  Yes  No

e) Are you a diversified vendor (owned by a woman, minority, veteran, state, etc.)? If yes, please explain.  
 Yes  No

\_\_\_\_\_

f) Vendor's physical address (not a P.O. Box):

Street Address City State Zip

Telephone number Fax number Email

g) Contact Person:

Name Title

Telephone number Fax number Email

h) Should we choose to enter into a business relationship with you, how would you like to be paid?  
   ACH  Check

**Public companies and companies with a valid gaming license as a manufacturer or distributor from a US commercial gaming jurisdiction STOP HERE AND SKIP TO SECTIONS 7 & 8.**

## 2. VENDOR BACKGROUND INFORMATION

a) Brief description of vendor's goods or services:  
\_\_\_\_\_  
\_\_\_\_\_

b) How many years has vendor been in business? \_\_\_\_\_

c) List all states/countries in which vendor is organized or registered to do business.

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### 3. ULTIMATE BENEFICIAL OWNERS

An **ULTIMATE BENEFICIAL OWNER** refers to the natural person(s) who ultimately own or control a vendor. It also includes those persons who exercise ultimate effective control over a person or entity such as a trust that is an ultimate beneficial owner. Only ultimate beneficial owners with over 10% ownership interest in the vendor need to be listed. Attach additional sheets as needed.

a) Name: \_\_\_\_\_

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

b) Name: \_\_\_\_\_

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

### 4. RELATIONSHIPS

Answer the following on behalf of the Vendor and all Ultimate Beneficial Owners:

Describe each employment and/or other business relationships with CDI (including affiliates and subsidiaries) and each family member's employment or other business relationships with CDI. Family member means husband or wife; natural or adoptive parent, child or sibling; stepparent, stepchild, stepbrother, or stepsister; father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law or sister-in-law; grandparent or grandchild; and any other person if that person resides in the same household as the Ultimate Beneficial Owner. (*Attach additional sheets as needed.*)

If none, indicate "No relationships to report."

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### 5. BANKRUPTCY

a) Has vendor, any of its owners, officers, or directors ever filed for bankruptcy?

Yes     No (*If yes, please explain.*)

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**6. LICENSES AND PERMITS**

a) Does vendor have the necessary licenses and permits to sell goods or to provide services under the arrangement?  Yes  No

b) Has vendor, any of its owners, officers, or directors ever held a financial interest in a gambling venture?  Yes  No

If yes, explain: \_\_\_\_\_

c) Has vendor, any of its owners, officers, or directors ever been refused a gaming, racing, or liquor license?  Yes  No

If yes, explain: \_\_\_\_\_

**7. CUSTOMER REFERENCES (REQUIRED)**

Please list three customers who currently do business with you, including a contact person and his or her title, phone, and email address.

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

**8. CERTIFICATION (REQUIRED)**

*By signing below, I certify that I have performed inquiries reasonably necessary to ensure that the answers provided in this document are accurate and complete. Our organization is aware of and agrees to abide by the provisions of applicable laws, including but not limited to the Foreign Corrupt Practices Act and the UK Bribery Act. **CDI is hereby authorized to utilize this information to conduct credit and criminal background checks on vendor, its owners, its officers, and/or its directors in furtherance of CDI's Due Diligence process.***

By: \_\_\_\_\_ Title \_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature Date

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**FOR CDI USE ONLY**

Vendor relationship: Approved  Denied

Approved by: \_\_\_\_\_ Corporate Purchasing Date: \_\_\_\_\_  
\_\_\_\_\_ Legal Department (required if participating in diligence review) Date: \_\_\_\_\_

**Note:** Even if the vendor is approved, the business relationship must be documented under the Company's [Contract Approval Policy](#).