

## **Exhibit VIII.A.14.b (Disciplinary Actions Brought):**

*Submit as Exhibit VIII.A.14.b. a description of any disciplinary action brought against an Applicant Party by any gaming licensing authority during the past five (5) years.*

Saratoga Harness Racing, Inc. has had the following disciplinary actions brought against it by a gaming licensing authority during the past five (5) years:

- New York State Gaming Commission Violation Notification 13-003. The Company's Director of VGM Operations was reprimanded for authorizing a move of games without appropriate approval of the Gaming Commission.
- New York State Gaming Commission Violation Notifications 13-009 and 13-024. In both of these instances, minors gained access to the gaming floor, but in neither case did the minor engage in gaming activity. The company was reprimanded for allowing minors to access the gaming floor and undertook remedial actions to prevent a recurrence.

Colorado Division of Gaming Warning Letter Case Report No. 13-000806. The Colorado licensee of Saratoga Harness Racing, Inc., failed timely to report a surveillance camera outage. No further action was taken.

No Applicant Party with respect to Hudson Valley Gaming, LLC (a member of Hudson Valley Casino and Resort, LLC) has had a disciplinary action brought against it by any gaming licensing authority during the past five (5) years.

Individuals that directly or indirectly own more than five (5) percent of the Applicant also have ownership interests in licensed casinos in other jurisdictions which have been subject to incidents that have resulted in fines.

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### Note for NY Commission

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### RIVERS CASINO PITTSBURGH FINES

| Date of Fine | Type of Incident   | Amount of Fine |
|--------------|--|----------------|
| 2.26.14      | Underage incident.   | \$15,000       |
| 05.16.13     | Mishandling of shufflers by dealers  | \$40,000       |
| 05.16.13     | Count room paperwork improperly returned   | \$50,000       |
| 05.16.13     | Direct mail sent to self-excluded patrons by direct mailing service  | \$10,000       |
| 11.20.12     | Players card issued to self-excluded patron  | \$5000         |
| 11.20.12     | Underage incidents   | \$45,000       |
| 9.14.11      | Unauthorized payment to Rush Street Gaming LLC prior to it being approved for licensure. Rush Street Gaming LLC was subsequently licensed.                               | \$40,000       |
| 7.20.11      | Five incidents involving slot technicians (e.g., setting games incorrectly without gaming board approval, bad payout, slots removed without gaming board approval, etc.) | \$70,000       |
| 7.20.11      | Underage incidents   | \$80,000       |
| 2.15.11      | Underage incidents   | \$105,000      |
| 1.28.10      | Underage incidents   | \$16,000       |

### SUGARHOUSE FINES

| Date of Fine | Type of Incident   | Amount of Fine |
|--------------|--|----------------|
| 11.20.13     | Self-exclusion violation   | \$22,500       |
| 7.13.13      | Conducting business with a vendor on Prohibited Gaming Service Provider list   | \$5,000        |
| 12.12.12     | Self-exclusion violations and violation related to an excluded patron  | \$20,000       |
| 5.23.12      | Self-exclusion violations and underage incidents   | \$80,000       |
| 9.14.11      | Unauthorized payment to Rush Street Gaming LLC prior to it being approved for licensure. Rush Street Gaming LLC was subsequently licensed. | \$2000         |

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### RIVERS CASINO DES PLAINES

| Date of Fine | Type of Incident   | Amount of Fine |
|--------------|--|----------------|
| 3.15.12      | Incidents involving self-excluded patrons in the first quarter of operations | \$25,000       |

### RIVERWALK CASINO HOTEL

Individuals who directly or indirectly own more than five (5) percent of the Applicant also had ownership interests in the Riverwalk Casino Hotel until it was sold in October 2012. Although incidents occurred while the aforementioned individuals owned the Riverwalk, no incident resulted in a fine from the gaming regulator.

### FALLSVIEW CASINO

| Date of Fine | Type of Incident   | Amount of Fine |
|--------------|--|----------------|
| 11.19.13     | Incident related to an intoxicated patron                                | \$2000         |
| 12.17.12     | Operate food premise maintained in a manner affecting sanitary condition | \$120          |
| 9.23.11      | Use of food preparation equipment not in good repair                     | \$120          |
| 9.23.11      | Operating food premise maintained in a manner permitting health hazard   | \$460          |