

Exhibit VIII.A.9 (SEC Filings; Notices and Reports to Financing Sources and Equity Holders):

Submit as Exhibit VIII.A.9. copies of all U.S. Securities and Exchange Commission (“SEC”) filings, if any, for the Financing Sources, for the three (3) fiscal years ended before the date.

Applications are due and any interim period between the end of the most recent fiscal year and the date Applications are due, including any SEC filings made by the Financing Sources on a voluntary basis. To the extent not duplicative of the preceding sentence, provide copies of all notices and reports delivered by the Financing Sources to financing sources and agents, equity holders or others for the three (3) fiscal years ended before the date Applications are due and for any interim period between the end of the most recent fiscal year and the date Applications are due that describe the Financing Sources’ general business, business risks, results of operation and financial condition, material agreements, employment arrangements and other similar matters that are required to be included in annual, quarterly and periodic reports filed with the SEC by public companies. Omit from such SEC filings and notices and reports delivered to financing sources and agents, equity holders and others the financial statements for any period covered by the financial statements provided pursuant to Item VIII.A.7. of this RFA, but indicate such omission by inserting a page in such SEC filings where the omission occurs that briefly describes the financial statements so omitted. In lieu of physical submissions, an Applicant may provide links to all responsive materials.

Except for potential institutional lenders, none of the Financing Sources have made any filings with the Securities and Exchange Commission (“SEC”). Gaming Facilities owned by affiliates of Hudson Valley Gaming, LLC, a member of Hudson Valley Casino and Resort, LLC, have had 144A bonds outstanding in the last three (3) years, and therefore, did not submit any filings to the SEC but did submit filings to bondholders that were similar to an SEC filing.

Please see below for links to SEC filings of potential institutional lenders.

- Bank of America
 - <http://investor.bankofamerica.com/phoenix.zhtml?c=71595&p=irol-sec#fbid=MX1lj-KvFse>
- Credit Suisse
 - https://www.credit-suisse.com/investors/en/information/financial_reports.jsp
- Goldman Sachs
 - <http://www.goldmansachs.com/investor-relations/financials/index.html>
- Macquarie
 - <http://investor.key.com/docs.aspx?iid=100334>
- UBS
 - http://www.ubs.com/global/en/about_ubs/investor_relations/other_filings/sec.html
- Wells Fargo
 - https://www.wellsfargo.com/invest_relations/filings