



Ohio Administrative Code Rule 3772-3-03 Duty to update information.

Effective: January 3, 2022

An institutional investor must notify the commission within ten calendar days of any of the following changes or occurrences:

- (A) Any increase in its percentage ownership of the securities of or any intent to exercise influence over the affairs of a casino operator, management company, holding company, or gaming-related vendor that would affect the entity's presumption of suitability or qualification as an institutional investor;
 - (B) Any changes to its name or to its state of incorporation or principal place of business;
 - (C) Any inquiry into, investigation of, or action filed against the entity by any gaming regulatory agency or authority or other governmental agency or authority, except for routine renewal reviews;
 - (D) Any rejection, suspension, revocation, or denial of any institutional investor process by any gaming regulatory agency or authority, and any fine, penalty, or settled amount relating to any institutional process or gaming-related license imposed upon or agreed to by the entity in any jurisdiction; or
 - (E) Any other information that would affect the entity's suitability or qualifications as an institutional investor under Chapter 3772. of the Revised Code and the rules adopted thereunder.
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