

MISSOURI GAMING COMMISSION
COMMISSION RESOLUTION NO. 22-024
REGARDING WAIVER OF LICENSURE
FOR INSTITUTIONAL INVESTOR

April 27, 2022

WHEREAS, State Street Corporation, has requested a waiver of licensure under 11 CSR 45-4.020 as an institutional investor; and

WHEREAS, State Street Corporation has stated that it may acquire interests in Aristocrat Leisure Limited, a Missouri licensee, of more than ten percent (10%) but not more than twenty percent (20%); and

WHEREAS, State Street Corporation has affirmed that it may acquire these interests for investment purposes only and not for the purposes of causing directly or indirectly changes in the management, policies or operations of said licensee, and that State Street Corporation has no involvement in the business activities of any licensee in which it holds or may acquire interest or any intention of influencing or affecting the affairs of any licensee with the stock that it now owns or may in the future acquire; and

WHEREAS, State Street Corporation has affirmed that in the event State Street Corporation subsequently develops an intention of controlling or participating in the management of any licensee, State Street Corporation will notify the Commission of said changes and refrain from participating in management or exercising such control until approved by the Missouri Gaming Commission; and

WHEREAS, State Street Corporation has complied and affirmed its willingness to conform to all disclosures and notices required by 11 CSR 45-4.

NOW, THEREFORE, BE IT RESOLVED, that the Missouri Gaming Commission grants State Street Corporation's request to waive licensure requirements required under 11 CSR 45-4.020 for up to and including twenty percent (20%) ownership in Aristocrat Leisure Limited.

BE IT FURTHER RESOLVED that the granting of this waiver in no way prevents the Missouri Gaming Commission at some future date, with or without cause, from requiring State Street Corporation to apply for and obtain licensure pursuant to 11 CSR 45-4. In such an event, failure to obtain licensure could result in State Street Corporation being required to divest all or part of their interest in a licensee or the loss of the licensee's ability to do business in Missouri.

BE IT FURTHER RESOLVED that this waiver is for a period of two (2) years from the date of this Resolution, and it will be necessary for State Street Corporation, to reapply for a waiver on or before sixty (60) days prior to the expiration of this waiver.

SO ADOPTED.



Mike Leara
Chairman
Missouri Gaming Commission



31 January 2022

Missouri Gaming Commission
3417 Knipp Drive
Jefferson City
Missouri 65102
Att: LeAnn McCarthy

Sent Via Email leann.mccarthy@mgc.dps.mo.gov

Dear Ms McCarthy,

RE: Substantial Shareholder of ALL Waiver Application

Please find attached the executed Institutional Investor form for State Street Corporation.

Due to the current global pandemic and the social distancing rules in place, all Aristocrat employees are currently working remotely making it difficult to obtain original signatures on licence applications and other corporate records. As a result, we have commenced using DocuSign which you may be aware is an online tool that allows us to send documents to employees for review and then for that employee to affix an e-signature. The DocuSign tool has been widely accepted in many situations including court documents and due to its compliance with various security standards throughout the world, has now been accepted by some gaming regulators in North America and Australia. In these unusual circumstances, Aristocrat respectfully requests that the application be accepted in this format.

If you have any questions, or require additional information/documentation, please do not hesitate contact Laura Goodwin on telephone (+612) 9013 6951 or email licensingteam@aristocrat.com

Yours Sincerely,

A handwritten signature in black ink, appearing to be "L. Goodwin", with a long horizontal line extending to the right.

Laura Goodwin
Licensing Supervisor

Enclosures

Exhibit A.

**MISSOURI GAMING COMMISSION
REQUEST OF WAIVER FOR LICENSURE
OF INSTITUTIONAL INVESTOR
(Pursuant to 11 CSR 45-4.020)**

Name of Individual/Entity Holding Interest **State Street Corporation**

Entity (Licensee or Applicant) in which Interest is Held **Aristocrat Leisure Limited**

Interest Held: **5.01** percent of a publicly traded entity privately held entity (check one).

A holder of a any direct or indirect legal or beneficial publicly traded interest of five percent (5%) or more, or privately held interest of one percent (1%) or more, in a Missouri gaming licensee or applicant, is required to obtain a key person or key person business entity license from the Missouri Gaming Commission.

A holder may, however, be exempted from the licensure requirements if such interest is held for passive investment purposes only. Individuals or entities holding up to ten percent (10%) may be exempted by the Executive Director, while the Commission may waive licensure for up to twenty percent (20%). Exemptions maybe granted: 1 in advance of interest acquisition, 2) for cumulative acquisitions up to twenty percent (20%), and/or 3) for acquisition of interest in multiple licensees or applicants. Exemptions shall be for a period of two (2) years unless renewed.

Waiver applications shall be submitted to the Executive Director with a copy to the Chief Financial Analyst at the Missouri Gaming Commission's Jefferson City office, 3417 Knipp Drive, Jefferson City, Missouri 65109. Requests for waiver must be accompanied by supporting documentation.

WAIVER TYPE: In Advance of Interest Acquisition; Cumulative Acquisitions up to 20%;
 Interest in Multiple Licensees (Check all that apply)

REQUEST OF WAIVER - The individual or entity named above, as holder of such interest hereby applies in writing in advance of acquiring said interest or within ten (10) days thereafter, certifying under oath as follows::

- a) The acquired interest is for passive investment purposes only:
- b) Holder does not and will not have any involvement in the management activities of the entity in which interest is acquired:
- c) Holder has no intention of controlling the entity in which interest is acquired, regardless of additional stock that may be acquired:
- d) The holder will within ten (10) days notify the commission of any purchase of stock in the entity which causes the total holding of the entity's outstanding stock to exceed the threshold for which the waiver is granted.
- e) That in the event an intention of controlling or participating in the management of the entity in which interest is acquired or held subsequently develops, holder shall notify

Exhibit A.

**MISSOURI GAMING COMMISSION
REQUEST OF WAIVER FOR LICENSURE
OF INSTITUTIONAL INVESTOR
(Pursuant to 11 CSR 45-4.020)**

This page is used to include additional information required for section g.

Name and title: _____

Home address:

Business address:

Name and title: _____

Home address:

Business address:

Name and title: _____

Home address:

Business address:

Name and title: _____

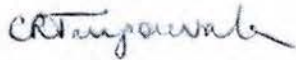
Home address:

Business address:

Exhibit A.

**MISSOURI GAMING COMMISSION
REQUEST OF WAIVER FOR LICENSURE
OF INSTITUTIONAL INVESTOR
(Pursuant to 11 CSR 45-4.020)**

I, the undersigned, in my capacity as **Executive Vice President** with **State Street Corporation** attest that the foregoing information is accurate, and that nothing in the granting of this waiver shall prohibit the commission, at a future date, in its sole discretion, with or without cause, from requiring any owner of any interest in a licensee from becoming licensed by the commission or to divest itself of stock ownership.



01/28/2022

Signed: _____

Date: _____

Notary: _____

Date: _____

Affix seal:

OFFICERS AND BOARD OF DIRECTORS

NAME	DATE OF BIRTH	SSN (IF APPLICABLE)	HOME ADDRESS	POSITON	APPOINTMENT DATE
Ronald P. O'Hanley	Unable to provide	Unable to provide	Unable to provide	Chairman and CEO	January 2019
Amelia C. Fawcett	Unable to provide	Unable to provide	Unable to provide	Lead Director	December 2006
Marie A. Chandoha	Unable to provide	Unable to provide	Unable to provide	Director	September 2019
Patrick de Saint-Aignan	Unable to provide	Unable to provide	Unable to provide	Director	March 2009
William Craig Freda	Unable to provide	Unable to provide	Unable to provide	Director	December 2014
Sara Mathew	Unable to provide	Unable to provide	Unable to provide	Director	March 2018
William L. Meaney	Unable to provide	Unable to provide	Unable to provide	Director	March 2018
Sean O'Sullivan	Unable to provide	Unable to provide	Unable to provide	Director	March 2017
Julio A. Portalatin	Unable to provide	Unable to provide	Unable to provide	Director	March 2021
John B. Rhea	Unable to provide	Unable to provide	Unable to provide	Director	March 2021
Richard P. Sergel	Unable to provide	Unable to provide	Unable to provide	Director	September 1999
Gregory L. Summe	Unable to provide	Unable to provide	Unable to provide	Director	June 2001