## Appendix B
## Producer Backer Information Form

This form must be completed by each person or entity identified as a producer backer in Appendix A, section J.

### Section A: Backer Information

1. Backer business type:

| ☑ Sole Proprietorship | ☐ Corporation | ☐ Limited Liability Co. | ☐ Partnership | ☐ Limited Liability Partnership | ☐ Unincorporated Association | ☐ Other: _____ |
|---|---|---|---|---|---|---|

2. Legal Name of Backer:
James V. Le Rose

3. Trade Name of Backer (if applicable):

4. Street Address (including Apartment or Suite #):
1 Hillcrest Park Road

| 5. City: | 6. State: | 7. Zip Code: |
|---|---|---|
| Old Greenwich | CT | 06870 |

| 8. Daytime Telephone Number: | 9. Fax Number: | 10. E-mail Address: |
|---|---|---|
| (212) 632-3399 | | jvlerose@gmail.com |

### Section B: Backer Members

If you selected anything other than "Sole Proprietorship" in response to Section A, identify the members of your organization. A member is any person with a direct or indirect ownership interest greater than 5%. Attach additional pages if necessary.

Each member of a backer identified in response to this section must complete either:

- Appendix C if they are also a director, owner, officer or other high-level employee of the producer; or
- Appendix D in all other instances.

| 11. Name (First, Middle, Last): | 12. Percentage of ownership |
|---|---|
| | |
| | |
| | |
| | |

## Section C: Licenses, Permits and Registrations

Provide information regarding all state licenses, permits or registrations ever held, current or expired, by you. Attach additional pages if necessary.

| 13. State | 14. Issue Date (month/year): | 15. Type: | 16. Number: |
|---|---|---|---|
| CT | [redacted] | | |
| 17. State | 18. Issue Date (month/year):<br>Expiration Date (month/year): | 19. Type: | 20. Number: |

## Section D: Legal Proceedings

21. Have you, or has any entity over which you exercised management or control, had any petition filed by or against you, or otherwise sought relief under, any provision of the Federal Bankruptcy Act or under any State insolvency law in the last ten year period?

☐ Yes ☑ No

**If the answer above is "yes", attach a statement providing the details of such proceeding or petition.**

22. Have you, or has any entity over which you exercised management or control, ever had a professional license, permit or registration in Connecticut, or any other State, suspended, revoked or otherwise subjected to disciplinary action?

☐ Yes ☑ No

**If the answer above is "yes", attach a statement providing the date(s), the type of license, permit or registration at issue, and a description of the circumstances relating to each suspension, revocation or other disciplinary action.**

23. Are you a party to any legal proceedings where damages, fines or civil penalties may reasonably be expected to exceed $500,000 above any insurance coverage available to cover the claim?

☐ Yes ☑ No

**If the answer above is "yes", attach a statement describing the litigation, including the title and docket number of the litigation, the name and location of the court before which it is pending, the identify of all parties to the litigation, the general nature of the claims being made and the impact an unfavorable opinion may have on your ability to serve as a backer for the applicant.**

24. Have you, or has any entity over which you exercised management or control, ever had any fines or other penalties over $10,000 assessed by any regulatory agency?

☐ Yes ☑ No

**If the answer above is "yes", attach a statement providing the details of such fines or penalties.**

## Section E: Criminal Actions

25. Have you ever been convicted of a crime or received a suspended sentence, deferred sentence, or forfeited bail for any offense in criminal or military court or do you have any charges pending? ☐ Yes ☑ No

**If the answer above is "yes", attach a statement providing the date(s) of conviction(s), name of individual(s) involved, the court(s) where the case(s) were decided, a description of the circumstances relating to each offense or for the pending charges and the outcome of the proceedings.**

## Section F: Criminal Background Check

I understand that the department may review criminal background records for purposes of evaluating my suitability to participate in the medical marijuana program. As the backer, or duly authorized representative of the backer, I hereby authorize the release of any and all information of a confidential or privileged nature to the department and its agents.

| 26. Signature: | 27. Date Signed: |
|---|---|
| ▶ | 11/14/13 |

## I hereby certify that the above information is correct and complete.

I fully understand that if I knowingly make a statement that is untrue and which is intended to mislead the Department of Consumer Protection or any person designated by the Department in the performance of their official function, I will be in violation of Section 53a-157b of the Connecticut General Statutes.

| 28. Signature: | 29. Date Signed: |
|---|---|
| ▶ | 11/14/13 |