



STATE OF INDIANA  
ALCOHOL AND TOBACCO COMMISSION

302 West Washington Street  
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Indianapolis, IN 46204  
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Fax (317) 233-6114  
www.IN.gov/atc

PERMIT NUMBER

**PRIVATE EQUITY FUND AFFIDAVIT**

I, \_\_\_\_\_, on behalf of the below-named private equity fund, attest that I am authorized to execute this affidavit and hereby declare as follows:

1. The below-named private equity fund is an investment company that makes investments in equity or debt securities of another company that does not provide investors with redemption rights in the ordinary course. This entity is not a hedge fund, real estate fund, securitized asset fund, or venture capital fund.
2. The private equity fund's interest in the above permit is limited to a passive investment, such that neither the private equity fund nor any manager, employee, or agent of the private equity fund has any involvement in, or control over, the management or operations of the licensed premises or the permit holder.
3. The private equity fund's advisers are registered under the federal Investment Advisers Act of 1940, and the private equity fund advisers are subject to and must comply with Section 275.204(b)-1 of Title 17 of the Code of Federal Regulations.
4. Unless otherwise disclosed, no person (i.e., individual or entity) holds, directly or indirectly, more than five percent (5%) interest in the permit and the business conducted (or to be conducted) under it.
5. No investor or limited partner in the private equity fund has any control, directly or indirectly, over the investment decisions of the private equity fund, and no manager or general partner of the private equity fund has any control, directly or indirectly, over the management or operations of the permit holder or licensed premises.
6. No person (i.e., individual or entity), because of his or her investment in a private equity fund, holds an interest in a permit issued by the Commission that is not otherwise permitted by law.

By signing below, I hereby certify that I have personal knowledge of and/or I have made a diligent inquiry into the facts necessary to execute this affidavit. I further certify that I (or any subsequent authorized agent or representative of the private equity fund) shall promptly notify the Commission in writing if any of the above facts should change. **I UNDERSTAND THAT IT IS A FELONY UNDER INDIANA LAW TO MISREPRESENT OR FALSIFY ANY PORTION OF THIS DOCUMENT OR ITS ATTACHMENTS.**

NAME OF PRIVATE EQUITY FUND	DATE SIGNED
SIGNATURE	TITLE