

Applicant Disclosure

Licence/Registration Application

The Alberta Gaming and Liquor Commission (AGLC) will not approve a licence/registration except after a deliberate, intensive and thorough investigation of the applicant, including but not limited to the applicant's background, associates and finances. Full disclosure is required from the applicant and all associated persons.

The granting of a licence/registration is a privilege not a right. The burden of proving eligibility is at all times on the applicant for licence/registration.

A licence/registration is automatically cancelled on a sale, assignment or transfer that results in a change of control in the ownership structure (owner, financial interest, share structure) of the applicant or associated applicant **Any proposed change of 5% or more must be approved by**, and a due diligence investigation conducted by, the AGLC prior to any sale, assignment or transfer taking place.

Read the Instructions carefully – it contains important information that is required for the applicant and any associated persons to complete their portion of the application package.

Return the completed licence/registration application package marked “**Personal & Confidential – To Be Opened By Addressee Only**” to

Alberta Gaming and Liquor Commission
Audit Services Branch
50 Corriveau Avenue
St. Albert, Alberta, Canada T8N 3T5
Attention: Manager, Due Diligence

Ensure that the courier package is prepaid and clearly labelled.

Completed Personal Applicant and Associated Applicant Disclosures may be returned to the individual designated to complete the licence/registration application on the applicant's behalf; or may be returned directly to the Alberta Gaming and Liquor Commission, Audit Services Branch.

To maintain confidentiality, return all disclosures in a sealed envelope marked “**Personal & Confidential – For AGLC use ONLY**”.

For further information contact Audit Services Branch at

Telephone: (780) 447-8819
Fax: (780) 447-8692
E-Mail duediligence@aglc.ca

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INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming and Liquor Commission.
2. **Applicant** –
 - i. Person applying for a licence/registration.
 - ii. A reference to an applicant for a licence/registration, a licensee or a registrant
 - a) that is a partnership includes each partner, or
 - b) that is a corporation includes the officers and directors of the corporation.
3. **Applicant Disclosure** – To be completed by the applicant for a licence/registration.
4. **Application Package (Application)** – consists of a(n)
 - i. Applicant Disclosure,
 - ii. Associated Applicant Disclosure(s), and
 - iii. Personal Applicant Disclosure(s), or Personal Applicant Disclosure and Registration Application for Gaming Worker – Casino and Racing Entertainment Centre Disclosure.
5. **Arrest** – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.
6. **Associated Applicant** – Any corporate entity that has control over the applicant, and includes but is not limited to a corporate entity that is or will be a(n)
 - i. Owner,
 - ii. Partner (in a partnership),
 - iii. Parent or holding company,
 - iv. Promoter,
 - v. Shareholder directly or indirectly controlling 5% or more of the shares in the **Applicant**, or
 - vi. Any person with a direct or indirect financial interest of 5% or more in the **Applicant**.
7. **Associated Applicant Disclosure** – To be completed by an associated applicant.
8. **Associated Person(s)** –
 - i. Persons associated with each other, namely,
 - a) persons related to each other, or
 - b) persons not related to each other, but not dealing with each other at arm's length.
 - ii. One of the persons controls, directly or indirectly in any manner whatever, the other.
 - iii. Both persons are controlled, directly or indirectly in any manner whatever, by the same person or group of persons.
 - iv. Any person that has a financial interest in the applicant, the applicant's business or in the facility or premises to which a facility licence relates.
9. **Background Check** – See Due Diligence.
10. **Bingo Facility Licence** – A class B bingo facility licence is issued by the AGLC and authorizes a person to operate a class B bingo facility where authorized gaming activities may be conducted.
11. **Canadian Funds** – All funds stated in questions are in Canadian funds. All non-Canadian funds should be identified as to what currency they are.
12. **Casino-Director or Manager of Security** – Registered gaming worker; designated as a key employee position.
13. **Casino Facility Licence** – A licence issued by the AGLC that authorizes a person to operate a casino facility where authorized gaming activities may be conducted.
14. **Casino Manager** (or equivalent) –
 - i. Registered gaming worker; designated as a key employee position.
 - ii. Only one person employed by the casino facility licensee may hold this position. Duties are set out in Casino Terms & Conditions and Operating Guidelines
15. **Charge** – Includes any indictment, complaint, information, summons or other notice of the alleged commission of any offence.

- 16. City** – Includes but is not limited to a hamlet, village or town.
- 17. Contingent Liabilities** – Liabilities that may, under certain conditions, become obligations of the person, but are not direct or assumed obligations on the date of the balance sheet.
- 18. Control** –
- i.** Power to direct.
 - ii.** A person has in relation to a corporation any direct or indirect influence which, if exercised, would result in control in fact of the corporation whether directly through the ownership structure, or indirectly through a trust, a contract, ownership of shares, stocks, equities or securities of another body corporate or otherwise.
 - iii.** The ability to appoint, elect or cause the appointment or election of a majority of the directors of the body corporate, whether or not that ability is exercised.
 - iv.** Any owner, shareholder or other person related to an associated applicant that has direct or indirect control of 5% or more of the **applicant**.
 - v.** The AGLC must be notified of any change in control of 5% or more in the applicant or an associated applicant.
- 19. Controlling Interest** – The interest that a person has in any business entity when that person beneficially owns, directly or indirectly, or exercises control or direction over the entity.
- 20. Dependent(s)** –
- i.** A person who depends upon the personal applicant for maintenance.
 - ii.** A person to whom the personal applicant has an obligation to provide support.
 - iii.** Includes both adults and minors and any children, step-children and adopted children, or a person who resides with that child.
- NOTE:** Personal Applicants must provide financial disclosure for all dependents.

- 21. Director** –
- i.** Those individual(s) acting collectively to whom the duty of managing the general affairs of the company is delegated by the shareholders. Their duty is to conduct the business of the company for the greatest benefit of the shareholders.
 - ii.** Any individual acting in a capacity similar to that of director of a company.
 - iii.** A trustee, officer, member of an executive committee and any individual occupying a similar position.
- 22. Due Diligence Investigation** –
- i.** A background investigation conducted by the AGLC to determine the eligibility of an applicant for licence/registration to hold a licence/ registration, or to continue to hold a licence/ registration.
 - ii.** This includes but is not limited to an inquiry or investigation relating to the honesty and integrity, financial history or competence of any of the following
 - a) The applicant,
 - b) The associated applicant,
 - c) The personal applicant,
 - d) Any other person with connections to the applicant, the associated applicant and/or the personal applicant.
- 23. Facility Licence/Licensee** – The bingo, casino or REC facility licence or licensee.
- 24. Financial Interest** – Includes any direct, indirect or contingent interest
- i.** Whether as owner, partial or otherwise, of an interest, beneficial owner, owner of shares or owner through trusteeship, investment or otherwise, or
 - ii.** In management, whether by management agreement, partnership agreement or other agreement, or
 - iii.** Because of having loaned or advanced or caused to be loaned or advanced money or any thing of value, with or without security, or

- iv. Any person related to an applicant or associated applicant that holds a direct or indirect financial interest of 5% or more in the **applicant**.

25. Games Manager Major / Games Manager Minor (Head) –

- i. Manager of the games area in the casino. Duties are set out in Terms & Conditions and Operating Guidelines.
- ii. Registered gaming worker; designated as a key employee position when responsible for all games managers employed by the licensed facility.

26. Gaming – Includes all types of gaming/gambling e.g., bingo, casino, raffle or lottery, gaming terminal/slot machine, junket operation, horse racing, dog racing, pari-mutuel operation, sports betting, internet gaming, and the distribution or manufacture of any type of gaming supply.

27. Gaming Supplier – Any entity that makes, sells, advertises or distributes gaming supplies either directly or indirectly to any licensed gaming facility and/or charity in Alberta.

NOTE: It is a contravention of the *Gaming and Liquor Act* (Alberta) to **make, sell, advertise or distribute** gaming supplies directly or indirectly in Alberta unless registered as a gaming supplier in Alberta.

28. Gaming Supplies – Supplies, equipment and devices designed to be used in a gaming activity, does not include normal office supplies.

NOTE: It is a contravention of the *Gaming and Liquor Act* (Alberta) to **purchase** gaming supplies for use in Alberta from a company that is not registered to deal in gaming supplies in Alberta.

29. Gaming Worker –

- i. Means a person who is paid to assist a gaming licensee in the conduct or management of a gaming activity, or a person who is paid to assist a facility licensee in the operation of a licensed facility.
- ii. A gaming worker may be required to be registered with the AGLC.
- iii. If the gaming worker is paid for their services through a corporate entity, this entity must be registered as a gaming worker supplier.

30. Gaming Worker Supplier –

- i. Any person that is paid directly or indirectly to provide gaming workers to assist a gaming licensee in the conduct or management of a gaming activity or in the operation of a gaming facility.
- ii. If a gaming worker is paid for their services through a separate corporate entity, this entity must be registered as a gaming worker supplier. Contact the AGLC for application forms.

31. Holding Company – A company the primary purpose of which is to own shares of one or more other companies.

32. Indian Band – means a band as defined in the *Indian Act* (Canada).

33. Indian Reserve – means a reserve as defined in the *Indian Act* (Canada).

34. Investor – A person that has a total equity percentage that is greater than zero.

35. Key Employee –

- i. Individual(s) that exercise influence or control over day to day operations or decision-making.
- ii. Individuals employed in senior management positions such as CEO, CFO, controller, internal general counsel, senior compliance officers, or any other individual who performs functions for a company similar to those normally performed by an individual occupying any of these offices.
- iii. For a facility licensee, this includes facility staff that are designated as key employees, and may include but is not limited to
 - a) Head Games Manager,
 - b) Casino Manager,
 - c) Casino Slot Manager,
 - d) REC Slot Manager,
 - e) Casino-Director or Manager of Security,
 - f) REC-Director or Manager of Security.
- iv. Any other person holding a position as determined by the AGLC.

- 36. Licence/Registration** – Includes an agreement, permit, certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in the AGLC’s opinion, is similar to a licence/registration under the *Gaming and Liquor Act (Alberta)*
- 37. Married** –
- i. Includes common-law or other similar relationships.
 - ii. An individual connected to a personal applicant by virtue of a relationship of interdependence as defined in the *Adult Interdependent Relationships Act (Alberta)*.
- 38. Offence** – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.
- 39. Officer** –
- i. An individual employed in connection with the administration and management of a department.
 - ii. The chairman and vice-chairman of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer, general manager and any other individual designated an officer by by-law or resolution of the directors, and any other individual who performs functions for a company similar to those normally performed by an individual occupying any of those offices.
 - iii. The chairman, president, vice-president, secretary, treasurer, comptroller, general counsel, general manager, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.
- 40. Owner** – Majority shareholder, controlling shareholder, general partner, senior partner and proprietor.
- 41. Parent Company** – A company that controls another company.
- 42. Partner** (in a partnership) – A member of a partnership.
- 43. Partner** – A reference to a partner of an individual includes a man or woman who although not legally married to the individual, has lived and cohabited with the individual as their partner. Includes a spouse, common-law spouse or individual connected to the personal applicant by virtue of an adult interdependent relationship.
- NOTE:** All personal applicants are required to provide disclosure of their partner’s financial and criminal history. Criminal record checks and financial checks will be conducted on all partners.
- 44. Person(s)** – Extends beyond the individual and includes public bodies, corporations, partnerships, business ventures, societies, companies, or any other business entity.
- 45. Personal Applicant** - Individual completing the Personal Applicant Disclosure or Personal Applicant Disclosure and Registration Application for Gaming Worker – Casino and Racing Entertainment Centre Disclosure, that has control over, or a financial interest in, the applicant or an associated applicant, including but not limited to any individual that is or will be a(n)
- i. Owner,
 - ii. Partner (in a partnership),
 - iii. Promoter,
 - iv. Shareholder directly or indirectly controlling 5% or more of the shares in the **applicant**,
 - v. Any individual with a direct or indirect financial interest of 5% or more in the **applicant**,
 - vi. Director,
 - vii. Officer,
 - viii. Key employee,
 - ix. Registered Gaming Worker designated as a key employee.
- 46. Personal Applicant Disclosure or Personal Applicant Disclosure and Registration Application for Gaming Worker – Casino and Racing Entertainment Centre Disclosure** (Personal Applicant Disclosure) – to be completed by the personal applicant.
- 47. Postal Code** – Includes but is not limited to Zip Code (United States) or equivalent.

48. Pro Forma – In order to observe proper form.

49. Promoter – Any person who

- i. Acting alone or in concert with one or more other persons, directly or indirectly takes the initiative in founding, organizing or substantially reorganizing a business; or
- ii. In connection with the founding, organization or substantial reorganization of the business, directly or indirectly receives, in consideration of services or property or both, 5% or more of a class of shares or 5% or more of the proceeds from the sale of a class of shares.

50. Province – Includes but is not limited to a state, county or equivalent.

51. Race Track – means a facility used primarily for horse racing regulated under the *Horse Racing Alberta Act*.

52. REC – Racing entertainment centre associated to a racetrack facility licensed by the Alberta Racing Corporation and authorizes the operation of a facility

- i. That is located in a grandstand adjoining a race track, and
- ii. In which a provincial lottery may be conducted.

53. REC-Director or Manager of Security – Registered gaming worker; designated as a key employee position.

54. Registered Gaming Worker –

- i. Means a person registered with the AGLC and who assists a facility licensee in the operation of a licensed facility.
- ii. A facility owner, shareholder, investor, etc. may be registered as a gaming worker.
- iii. No person may act as a gaming worker unless registered by the AGLC.
- iv. A registered gaming worker must be
 - a) At least 18 years of age.
 - b) A Canadian citizen or landed immigrant, or a citizen of a foreign country who has received a work visa from federal authorities to work as a gaming worker.

- c) If the registered gaming worker is paid for their services through a corporate entity, this entity must be registered as a gaming worker supplier.

55. Relative – In respect of one individual, means any other individual who is connected to that individual

- i. by blood relationship,
- ii. by marriage,
- iii. by virtue of an adult interdependent relationship, or
- iv. by adoption.

56. Shareholder –

- i. Someone who holds shares in a company.
- ii. A subscriber to or holder of stock in a company.
- iii. A shareholder of a corporation and includes a member of a corporation or other person entitled to receive payment of a dividend or to a share in a distribution on the winding-up of the corporation.
- iv. One who has a proportionate interest in its [a corporation's] assets and is entitled to take part in its control and receive its dividends.
- v. A shareholder in an associated applicant that directly or indirectly controls 5% or more of the shares in the **applicant**.

57. Slot Manager –

- i. Responsible for the supervision of the slot operation. Duties are set out in Terms and Conditions.
- ii. Registered gaming worker; may be designated as a key employee position.

58. Social Insurance Number – Includes but is not limited to a social security number or other similar unique identifying number.

59. Subsidiary Company – A company which is controlled by another (parent) company, either directly or indirectly.

- 60. True Copy** – A photocopy of the original signed by the following to certify that it is a true copy of the original
- i. Applicant Disclosure** – the president/owner that is signing the disclosure.
 - ii. Associated Applicant Disclosure** – the president/owner that is signing the disclosure.
 - iii. Personal Applicant Disclosure or Personal Applicant Disclosure and Registration Application for Gaming Worker – Casino and Racing Entertainment Centre Disclosure** – the personal applicant.
- 61. Trust** – A trust arises whenever a person controls property for the benefit of others (beneficiaries) in such a way that the benefit of the property accrues not to the trustee, but to the beneficiaries.
- 62. Unanimous Shareholder Agreement** – A written agreement to which all the shareholders of a corporation are or are deemed to be parties, whether or not any other person is also a party, or a written declaration by a person who is the beneficial owner of all the issued shares of a corporation.
- 63. VGER** – VLT gaming entertainment room.

B. DEPOSIT

- 1. Unless otherwise advised**, the applicant must pay the costs of the due diligence investigation conducted by the AGLC on the applicant, the applicant’s employees and associates, and persons with connections to the applicant.
- 2.** Applicants may submit an initial deposit of \$10,000 CAD (or an amount as otherwise directed), with the completed application package.
 - i.** If further funds are requested, the investigation will not continue once the initial deposit is depleted.
 - ii.** Additional funds may be requested at any time during the course of the investigation.
- 3.** An accounting of costs will be provided to the applicant at the conclusion of the investigation. Further funds may be required; any excess funds will be refunded.
- 4.** Costs may include, but are not limited to

- i.** Cost of checks conducted and reports and documents obtained.
- ii.** Travel costs, including transportation, food and lodging.
- iii.** An hourly charge for AGLC staff assigned to the due diligence investigation.
- iv.** Costs associated with any person contracted by the AGLC to perform specific portions of the due diligence investigation.

C. DISTRIBUTING THE APPLICATION PACKAGE

- 1.** The Licence/Registration Application package, including individual disclosure forms, is available in a “Microsoft Word” or “Adobe Acrobat” format. Contact Investigations by telephone or e-mail to request a copy. Please stipulate which format is being requested.
- 2.** It is the Applicant’s responsibility to ensure that
 - i.** All associated applicants and personal applicants are provided sufficient copies of the appropriate disclosure forms, and
 - ii.** All disclosure forms are completed in full and submitted to the AGLC **prior to the date requested**.

D. COMPLETING THE DISCLOSURE APPLICATIONS

- 1.** Personal applicants and associated applicants are only required to complete **one** disclosure form, even though it may be related to both the applicant and an associated applicant(s) – for example, if the person is a shareholder in both the applicant and the associated applicant
 - i.** Identify on page 1 “Personal Information” or “Associated Applicant Identity” the applicant and all associated applicants involved.
 - ii.** If a question is applicable to the applicant and one or more associated applicants, answers and information must be provided for all associated persons. Additional space may be required.
- 2.** For a facility licence if a management company is retained, this company must become registered to provide gaming workers. Costs associated with registering this person are the responsibility of the licensee.

3. The AGLC may request disclosure from other persons associated to the applicant.
4. Registered gaming workers occupying a designated key employee position must ensure the “Special Requirements” are completed and signed.

NOTE: The registration expiry date will coincide with the expiry date of the facility licensee. Registrations are updated yearly, along with the facility licensee’s yearly update.

Should the registered gaming worker leave the employ of the facility licensee, the AGLC must be notified immediately.

5. An answer must be provided for every question – do not leave blank spaces.
 - i. If a question does not apply, write “Does not Apply” or “N/A”.
 - ii. If there is nothing to disclose, write “None”.
 - iii. Ensure the appropriate box is checked (☑)
 - a) First disclosure: provide all **current** and **historical** information and documents requested.
 - b) Subsequent disclosures: provide all **current** information and documents requested; and information and documents that were changed or amended since the last disclosure. Documents provided as part of a previous disclosure are not required.
6. All disclosures must be legible – type or print clearly. Illegible disclosures will be returned.
7. The disclosure may not be modified in any way. Modified disclosures will be returned.
8. Incomplete disclosures will be returned to the appropriate individual for completion.
9. If insufficient space is provided either make additional copies of the page, or use additional paper and attach it to the appropriate page.
10. All attachments must be clearly labelled as “Attachment 1, Attachment 2, Attachment 3,” etc. The attachment number must then be noted **in the space provided beside** the applicable question.
11. All attachments that are not originals must be a true copy of the original, and be signed by the appropriate individual.

12. The individual designated by the applicant to complete the Applicant Disclosure or the Associated Applicant Disclosure must complete the “Company Representative Statutory Declaration” declaring that the information provided is true, accurate and complete, and that all requested documentation is provided.
13. The applicant/associated applicant’s president or owner must sign/initial the appropriate disclosure as follows
 - i. Initial and date each page using blue ink (to differentiate between a copy and the original) to verify all statements made are accurate, all material facts are included, and all requested information and documentation are provided.
 - ii. Sign the “Applicant (Associated Applicant) Owner or President Statutory Declaration”. The Declaration must be witnessed by an individual authorized to take declarations.
 - iii. Sign the “Consent to Release Information”.
14. Keep a copy of all disclosures for your records. You may be contacted for further information, documents or clarification.
15. Return the completed application package in its entirety (all pages with the exception of these instructions pages) marked **“Personal & Confidential – For AGLC Use ONLY”**.

E. DENIAL, CANCELLATION OF A LICENCE OR REGISTRATION

1. **A licence/registration is automatically cancelled** on a sale, assignment or transfer that results in a change of control in the ownership structure (owner, financial interest, share structure) of the applicant or associated applicant.

Any proposed change of 5% or more must be approved by, and a due diligence investigation conducted by, the AGLC prior to any sale, assignment or transfer taking place.
2. The AGLC may refuse to issue or may cancel a licence/registration if the applicant or any associated person (including but not limited to an owner, investor, shareholder, director, officer, key employee, or partner of any individual owner, investor shareholder, director, officer, key employee or other person associated to the applicant)

- i. Is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person.
- ii. Is a person whose character, financial history or competence would be a detriment to the integrity or lawful conduct of gaming activities in Alberta.
- iii. Fails to pass a records check.
- iv. Has within the five years prior to the submission of the application contravened
 - a) the *Gaming and Liquor Act* (Alberta) or *Regulation*, or
 - b) a condition imposed on a licence or registration issued or made under the *Gaming and Liquor Act* (Alberta).
- v. Is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta.
- vi. Fails to meet any deadlines for submission of the deposit, disclosures, information or other documents to the AGLC.
- vii. Fails to complete all disclosures in full, modifies any question on any disclosure, makes statements that are not accurate or does not disclose all material facts.
- viii. Fails to initial each page or sign the disclosures where required.
- ix. Fails to disclose all persons associated to the applicant, or all persons associated to the applicant that are required or requested to complete a disclosure application do not do so.
- x. Buys, sells, purchases or distributes gaming supplies from a person that is not registered with the AGLC.
- xi. Fails to notify the AGLC of any change in ownership, financial interest, share structure, or a change to any individual director, officer or key employee in the applicant or associated applicant.

- i. Become the property of the AGLC and will not be returned.
 - ii. Are confidential and will be treated as such.
 - iii. Are for the AGLC's use to determine the applicant's eligibility for a licence/registration.
 - iv. Will be verified through an investigative process – further information, documents or clarification may be requested.
 - v. May be shared or exchanged with other agencies in order to evaluate the applicant's eligibility for a licence/registration.
2. The *Gaming and Liquor Regulation* (Alberta) requires
- i. All entities licensed/registered with the AGLC to be incorporated under the *Business Corporations Act* (Alberta), *Companies Act* (Alberta), *Societies Act* (Alberta), or *Partnership Act* (Alberta), or other similar Act or Legislation.
 - ii. If located outside of Alberta, applicants must be extra-provincially registered in Alberta. Information can be obtained from
 - a) Any Alberta Registries Office.
 - b) The Internet at www.servicealberta.ca
 - c) An attorney.

F. IMPORTANT INFORMATION

- 1. All information and documents provided as part of this application package

G. FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT (ALBERTA) (FOIP)

1. The information collected in this application is used in determining the eligibility of the applicant for licence/registration.
2. The specific legal authority for the collection of this information is the *Gaming and Liquor Act* (Alberta) and the *Gaming and Liquor Regulation* (Alberta) and FOIP Section 33 (c).
3. All application packages shall be kept confidential and shall only be released in accordance with the
 - i. Consent to Release Information.
 - ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

4. The FOIP Act defines personal information as “recorded information about an identifiable individual”, such as the individual’s
 - i. Name, address or telephone number.
 - ii. Age, gender, marital or family status.
 - iii. Any identifying number or other symbol.
 - iv. Financial, criminal or employment history.
5. Inquiries regarding the collection of this information should be directed to

Manager of Due Diligence
Alberta Gaming and Liquor Commission
50 Corriveau Avenue
St. Albert, Alberta, Canada T8N 3T5
Telephone: (780) 447-8819
Fax: (780) 447-8914

APPLICANT IDENTITY

1. Applicant's Legal Name _____
Include operating as/doing business as name to appear on AGLC licence/registration
2. First time applicant Yes No, provide AGLC Licence/Registration Number _____
3. Applying for Bingo Facility Licence Registration to Deal in Gaming Terminals
 Casino Facility Licence Registration to Deal in Gaming Supplies
 Racing Entertainment Centre Registration to Provide Gaming Workers
 VLT Gaming Entertainment Room
4. It is the applicant's responsibility to pay the costs of the due diligence investigation. **Unless otherwise directed**, a deposit is required. Further funds may be requested; any surplus will be refunded. ***See "Instructions" for further information.***
- i. An initial deposit of \$10,000 CAD (or an amount as otherwise directed) must be provided with the completed application package. The investigation will not commence until the full amount of the requested deposit is received.
- ii. Cheque for the initial deposit – Check () one
 Is not attached Is attached as attachment #..... _____
5. Business AddressStreet _____
 City _____ Province _____
 Country _____ Postal Code _____
 Telephone () _____ E-Mail _____
 Fax () _____ Website _____
6. Mailing AddressStreet/Box _____
 City _____ Province _____
 Country _____ Postal Code _____
7. Company Representative to contact regarding **all matters**
 Name _____
 Position _____ Birth Date _____
 Mailing Address _____
 City _____ Province _____
 Country _____ Postal Code _____
 Telephone () _____ E-Mail _____
 Fax () _____

Applicant Identity - Continued

8. Legal Address Street/Box # _____
City _____ Province _____
Country _____ Postal Code _____

9. Corporate Head Office Street _____
City _____ Province _____
Country _____ Postal Code _____

10. Company Attorney – Internal
Attorney Name _____
Mailing Address _____
City _____ Province _____
Country _____ Postal Code _____
Telephone () _____ Fax () _____

11. Company Attorney – External
Attorney Name _____
Firm Name _____
Mailing Address _____
City _____ Province _____
Country _____ Postal Code _____
Telephone () _____ Fax () _____

12. Company Accountant – Internal
Accountant Name _____
Mailing Address _____
City _____ Province _____
Country _____ Postal Code _____
Telephone () _____ Fax () _____

13. Company Accountant – External
Accountant Name _____
Firm Name _____
Mailing Address _____
City _____ Province _____
Country _____ Postal Code _____
Telephone () _____ Fax () _____

Applicant Identity - Continued

14. Is the applicant known by any other name?

No Yes, list all names _____

15. Provide a general description of the nature of the applicant's business.

16. Applicant is a Corporation
 Partnership
 Limited Liability Company
 Other – specify _____

17. Provide a certified true copy of the appropriate document(s) below. If a document does not exist, check (☑) "Does not Exist". **Check (☑) one:**

- First disclosure: provide all **current** documents.
 Subsequent disclosure: provide documents that have changed or were amended, or were not provided with a previous disclosure. Note any changes since last disclosure.

	Document Attached?	Attachment #	Does Not Exist
i. Certificate and Articles of Incorporation	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>
ii. Memorandum of Association	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>
iii. Unanimous Shareholders Agreement	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>
iv. Partnership Agreement	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>
v. Registration under Canada Corporations Act	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>
vi. Other – specify _____	<input type="checkbox"/> No <input type="checkbox"/> Yes	_____	<input type="checkbox"/>

18. Provide Alberta Corporate Registry Registration/Extra-Provincial Registration Number _____

19. List all provinces where **currently** required to file with Corporate Registry or equivalent

Province	I.D. Number	Province	I.D. Number

SPECIAL REQUIREMENTS — CLASS B BINGO FACILITY LICENCE

20. If applying for a Class B Bingo Facility Licence provide the following

- i. **For a first time applicant only** – prior to completing this application contact Manager, Bingo Programs at (780) 447-8600 for information on the application process for new licensed bingo facilities. _____
- ii. Attach a **current** business plan which includes an operating and cash flow budget and pro forma financial statement. Attachment(s) # _____
- iii. Insurance policies directly related to the operation of the bingo – Coverage related to AGLC equipment must meet AGLC requirements.
 - First disclosure: Attach all current policies.
 - Subsequent disclosure: Attach policies that have changed or were amended since last disclosure; or were not provided with last disclosure. Note any changes since last disclosure. Attachment(s) # _____
- iv. Shareholders’ minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____
- v. Board of Directors/Executive Meeting minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____
- vi. Provide the name of any management company (if applicable). Company must be registered as a gaming worker supplier with the AGLC.

vii. List all persons gaming supplies were purchased from in the past year.

Gaming Supplier Name & Address	Contact Name & Telephone Number	Product Purchased

SPECIAL REQUIREMENTS — CASINO FACILITY LICENCE

21. If applying for a Casino Facility Licence provide the following

- i. **For a first time applicant only** – prior to completing this application contact Manager, Casino Programs at (780) 447-8600 for information on the application process for new licensed casino facilities. _____
- ii. Attach a **current** business plan which includes an operating and cash flow budget and pro forma financial statement. Attachment(s) # _____
- iii. Revised _____
- iv. Shareholders’ minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____
- v. Board of Directors/Executive Meeting minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____
- vi. Provide the name of any management company (if applicable). Company must be registered as a gaming worker supplier with the AGLC.

vii. List all persons gaming supplies were purchased from in the past year.

Gaming Supplier Name & Address	Contact Name & Telephone Number	Product Purchased

SPECIAL REQUIREMENTS — RACING ENTERTAINMENT CENTRE

22. If applying for a Racing Entertainment Centre provide the following

- i. **For a first time applicant only** – prior to completing this application contact Manager, Casino Programs at (780) 447-8600 for information on the application process for new licensed REC facilities.
 - ii. Attach a **current** business plan which includes an operating and cash flow budget and pro forma financial statement.Attachment(s) # _____
 - iii. Revised
 - iv. Shareholders' minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure.Attachment(s) # _____
 - v. Board of Directors/Executive Meeting minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure.Attachment(s) # _____
 - vi. Provide the name of any management company (if applicable). Company must be registered as a gaming worker supplier with the AGLC.
-

SPECIAL REQUIREMENTS — REGISTRATION TO DEAL IN GAMING TERMINALS

23. If applying for a Registration to Deal in Gaming Terminals, provide the following

i. Distributors of your product in Alberta.

Distributor Name and Address	Contact Name & Telephone Number

ii. Manufacturers of your product and/or components for your product.

Manufacturer Name and Address	Contact Name & Telephone Number	Describe product or component provided.

SPECIAL REQUIREMENTS — REGISTRATION TO DEAL IN GAMING SUPPLIES

24. If applying for a Registration to Deal in Gaming Supplies, provide

- i. A **current** list of all products distributed or sold in Alberta, or manufactured for sale in Alberta.

- ii. First disclosure: Attach catalogues, brochures or other pertinent information for all items listed.
 Subsequent disclosure: Attach catalogues, brochures or other pertinent information that has changed; or was not provided with a previous disclosure. Attachment # _____

iii. List all Alberta clients gaming supplies or services are **currently** provided to

Client Name and Address	Contact Name & Telephone #	Client Name and Address	Contact Name & Telephone #

Special Requirements — Registration to Deal in Gaming Supplies – Continued

iv. List all companies that distribute your gaming product to Alberta clients

Distributor Name and Address	Contact Name & Telephone #	Distributor Name and Address	Contact Name & Telephone #

v. List all manufacturers of your gaming products distributed to Alberta clients

Manufacturer Name and Address	Contact Name & Telephone #	Manufacturer Name and Address	Contact Name & Telephone #

SPECIAL REQUIREMENTS — REGISTRATION TO PROVIDE GAMING WORKERS

25. If applying for a Registration to Provide Gaming Workers, list all gaming workers (both registered and not registered with the AGLC) provided and the clients they are provided to. Include a copy of all agreements not provided with a previous disclosure. Note any changes from previous disclosure.

Gaming Workers Name and Registration Number (if applicable)	Client Name and Contact Name & Telephone Number	Agreement Attached as Attachment #

SPECIAL REQUIREMENTS — VLT GAMING ENTERTAINMENT ROOM

26. If applying for a VLT Gaming Entertainment Room provide the following

- i. Attach a business plan which includes an operating and cash flow budget and pro forma financial statement. Attachment(s) # _____
- ii. Attach a **current** business plan which includes an operating and cash flow budget and pro forma financial statement. Attachment(s) # _____
- iii. Insurance policies directly related to the operation of the VGER – Coverage related to AGLC equipment must meet AGLC requirements.
 - First disclosure: Attach all current policies.
 - Subsequent disclosure: Attach policies that have changed or were amended since last disclosure; or were not provided with last disclosure. Note any changes since last disclosure. Attachment(s) # _____
- iv. Shareholders' minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____
- v. Board of Directors/Executive Meeting minute book
 - First disclosure: Attach minute book covering the last two (2) years.
 - Subsequent disclosure: Attach minute book covering the period since the last disclosure; or were not provided with last disclosure. Attachment(s) # _____

CORPORATE STRUCTURE

27. Has the ownership structure changed?

- First disclosure: Within the last five (5) calendar years? Attach a copy of the share register, partnership unit register or joint venture agreement.
- Subsequent disclosure: Since your last disclosure? Attach a copy of the share register, partnership unit register or joint venture agreement that has been changed or amended, or not provided with your last disclosure. Attachment(s) # _____

No Yes, provide details

28. Provide a description of the share/unit structure, including the rights and privileges for each different class of share/unit. Indicate if the shares/units are subject to any restrictions under any agreement either jointly or severally.

- First disclosure: Provide a **current** description. Attach a copy of all agreements.
- Subsequent disclosure: Note any changes since last disclosure. Attach a copy of all agreements that have been changed or amended since last disclosure; or were not provided with your last disclosure.

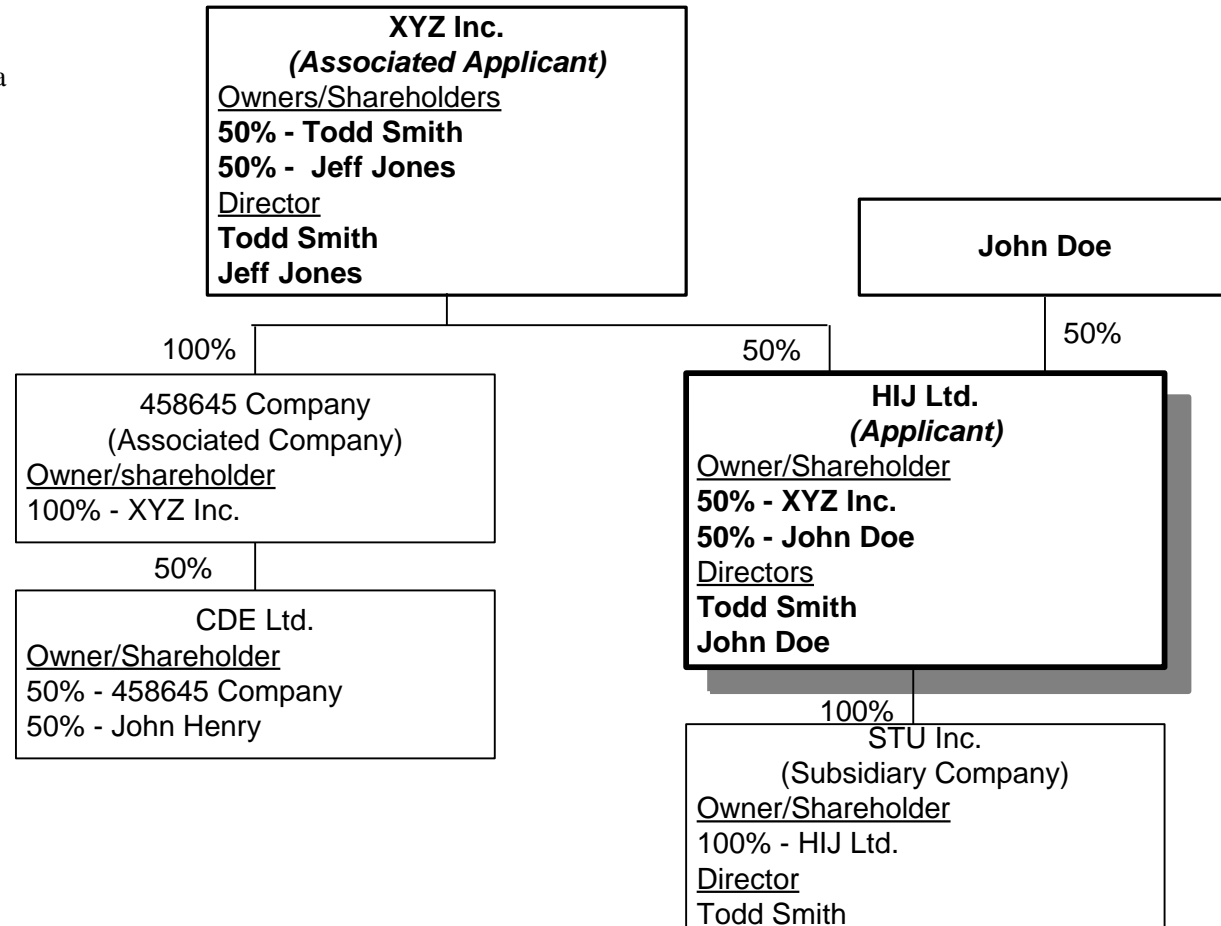
Share/Unit Type	Terms	Rights & Privileges/Restrictions	Agreement Attachment #

Corporate Structure - Continued

29. Attach a **current** ownership chart showing all direct/indirect ownership relationships (see example below). Indicate percentage of ownership for each person and include

- i.** The applicant,
- ii.** All owners, investors, promoters, parent or holding companies and shareholders – for publicly traded companies only, identify shareholders where requested on following pages,
- iii.** Subsidiary companies,
- iv.** Other associated persons. Attachment(s) # _____

NOTE: All highlighted persons must complete a Disclosure.
Further Disclosures may be required.



Corporate Structure - Continued

30. List all **current** owners, investors, promoters, parent or holding companies, shareholders and partners (in a partnership)

- i.** For each individual provide full name, position (association); for all other persons provide full company name and relationship.
- ii.** Personal and Associated Applicant Disclosures must be provided.
- iii.** Indicate investment for each person. Full details of investment and gaming involvement to be provided on disclosures.
- iv.** For shareholders/partners, indicate number and percentage of share holdings/units held by each. For publicly traded companies only, disclosures are not required for shareholders/partners of 5% or less; **however, these must be listed** and disclosures may be required at a later date.
- v.** Note any changes from a previous disclosure.

Individual/Person Name	Position or Relationship	Actual Cost of Acquisition	Actual Value of Acquisition	% of Ownership	Number of Shares/Units Held and %	Gaming Involvement (Yes/No)

Corporate Structure - Continued

31. List all **current directors and officers**

- i.** Provide full name, position or relationship, and the individual and position each director or officer reports to.
- ii.** Personal Applicant Disclosures must be provided.
- iii.** Note any changes from previous disclosure.

Name	Position or Relationship	Individual & Position Reporting to	Gaming Involvement (Yes/No)

Corporate Structure - Continued

32. Total current number of employees – **applicant** _____

33. Attach a **current** organizational chart showing the reporting structure and all key employees.

34. List all **current** key employees, provide

- i. Full name and position for each. Facility licensees to provide registration numbers for all registered gaming workers.
- ii. Individual and their position that each key employee reports to.
- iii. Disclosures must be provided for all individuals listed.
- iv. Note changes from previous disclosures.

Name	Position or Relationship	Individual & Position Reporting to	Gaming Involvement (Yes/No)

Corporate Structure - Continued

35. List all other persons **currently** associated to the applicant include all subsidiary companies and those the applicant has a financial, organizational or managerial interest in.

- i.** Provide full name, contact name and telephone number, and indicate if any has ever been involved in any gaming related activities. Disclosures may be requested.
- ii.** Provide details as to the relationship and the nature and extent of any financial, organizational or managerial interest.
- iii.** Note any changes from previous disclosures.

Name	Relationship	Contact Name & Telephone Number	Gaming Involvement (Yes/No)

BUSINESS LOCATION

36. Attach a **current** Capital Asset Schedule (depreciation schedule) from both the general ledger and the accountant's working papers. Attachment(s) # _____

37. List all properties the applicant **currently** owns, rents or leases

- First disclosure:
 - i.** If mortgaged, provide details of the terms of the mortgage and attach a copy of all agreements/contracts.
 - ii.** If owned attach a copy of the Certificate of Title.
 - iii.** If rented or leased, provide a copy of the rental/lease agreement.
 - iv.** If on an Indian Reserve, describe fully the business arrangement for the property.
- Subsequent disclosure: Attach a copy of any documents that have changed or were amended, or were not provided with a previous disclosure. Note any changes from a previous disclosure.

Property Location (address & legal description)	Property Type (head office, warehouse, distribution facility, etc.)	Owned or Leased	Name, Contact Name & Telephone Number of Mortgage Holder/Property Owner. Provide details of mortgage, lease, etc.	Agreement, Contract, Title Attachment(s) #

GAMING LICENCES

38. Has the applicant **ever** made application for or held any gaming licence/registration to participate in any form or type of gaming related operation in any **other** jurisdiction? Do not include publicly-traded corporations in which less than 5% of stock is held.

No Yes – **Check (☑) one**

First disclosure: list all applications ever made or held.

Subsequent disclosure: list all **current** applications made or held, list any made or held since last disclosure; or not reported on previous disclosures. Note any changes from previous disclosure.

Name & Address of Regulatory Agency	Contact Name & Telephone Number	Licence / Registration Type	Date Licensed & Status	Details

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing the **applicant's** character, honesty and integrity and may result in the applicant being denied a licence/registration.

- A.** An applicant may not be eligible for licence/registration if the character, financial history or competence of the applicant or any associated person (including but not limited to an owner, shareholder, director, officer, key employee, or partner of any individual shareholder, director, officer or key employee) poses a threat to the integrity of gaming.
- B.** Enquiries will be made to determine if the applicant or any associated person has ever been charged with or convicted of, or is subject to pending charges for a criminal, regulatory, civil or other statutory offence.
- C.** The applicant and all associated persons must provide full disclosure of all criminal and civil proceedings on the appropriate disclosures.
- D.** Failure to disclose any such involvement will be taken into account when assessing the applicant's eligibility for licence/registration.
- E.** The particulars of any offence or claim and the sentence or penalty imposed will be reviewed to determine whether a conviction or charge affects the applicant's eligibility for licence/registration.
- F. INSTRUCTIONS**
- 1.** Answer **"Yes"** and provide all information **even if**
 - i.** The charges were dismissed or subsequently downgraded to a lesser charge.
 - ii.** The applicant was not convicted.If answering **yes** ensure you check () the appropriate box and list all incidents as requested.
 - 2.** Answer **"No"** if any records relating to a charge or conviction have been expunged or otherwise officially sealed by a court or government agency.

Criminal / Litigation / Disciplinary Information

39. Has the **applicant** ever been investigated for, charged with or convicted of a criminal offence or other violation of any statute, regulation or code?

- No Yes – **Check (☑) one**
 - First disclosure: list all investigations, charges and convictions.
 - Subsequent disclosure: list all investigations, charges and convictions since last disclosure; and those not reported on last disclosure. Note any changes from previous disclosure.

Date	Reason for Investigation, Charge or Conviction	Disposition and Sentence	Enforcement Agency Name and Location

40. Has the applicant ever had any gaming licence/registration denied, suspended, revoked or made subject to any sanctions?

- No Yes – **Check (☑) one**
 - First disclosure: list all denials, suspensions, revocations and sanctions.
 - Subsequent disclosure: list all denials, suspensions, revocations and sanctions since last disclosure, and those not reported on last disclosure. Note any changes from previous disclosure.

Type of Licence/Registration	Name of Licensing Agency and Contact Name and Telephone Number	Date of and Reason(s) for Denial, Suspension, Revocation or Condition

Criminal / Litigation / Disciplinary Information

41. Has the applicant ever been the subject (as a defendant or plaintiff) of any order, judgement or decree of any court of competent jurisdiction or any order of an administrative agency, board or body, permanently or temporarily enjoining or prohibiting it from or other wise limiting its participation in any type of business, practice or authority?

- No Yes – **Check (☑) one**
- First disclosure: list all orders, judgements, decrees or civil litigation.
 - Subsequent disclosure: list all orders, judgements, decrees or civil litigation since last disclosure, and those not reported on last disclosure. Note any changes from previous disclosure.

Date of Order, Judgement or Decree	Docket/File Number	Details	Issuing Court and Location

FINANCIAL INFORMATION

- INSTRUCTIONS**
1. **Where requested**, check (☑) either first disclosure, or subsequent disclosure and provide the information and documents as requested.
 2. Ensure all questions are answered, and all documents are provided.
-

42. Financial statements

- First disclosure: attach financial statements for the last five (5) years.
- Subsequent disclosure: attach the latest financial statement, and those not provided with a previous disclosure.

NOTE: For facility licensees the facility must be separated from all other financial information.

Facility licensees must provide audited financial statements. Attachment(s) # _____

- 43. Attach the most recent year to date in-house financial statements. Include aged accounts receivable and accounts payable listings, detailed transactions between inter-company accounts for all companies, and detailed expense schedules including management fees and executive remuneration. Provide pro-forma financial statements for the current fiscal year. Attachment(s) # _____**

- 44. Facility licensees, attach **current** annual operating, cash and capital expenditure budgets. NOTE: A minimum continuing net working capital position as set out by the AGLC and a debt to equity ratio of no greater than 2.5 must be maintained. Attachment(s) # _____**

- 45. Attach copies of completed income tax returns for each jurisdiction in which the applicant is required to file. Include all schedules, information slips and assessment/reassessment notices.**
- First disclosure: attach returns filed for the last three (3) years.
 - Subsequent disclosure: attach the last return filed, and those not provided with a previous disclosure. Attachment(s) # _____

46. Corporate Tax Account Number (BNS) _____

- 47. If the applicant is operating in jurisdictions outside of Canada or the United States, provide a credit bureau report completed within the last month for each jurisdiction. Attachment # _____**

Financial Information - Continued

48. Is the applicant a publicly-traded company?

No Yes, provide

i. A copy of the latest stock report. Attachment # _____

ii. Attach a **current** copy of filings with Corporate Security (if applicable). Attachment # _____

iii. Current value of stock..... _____ as of (date) _____

iv. Stock Symbol..... _____

v. Traded on _____

vi. Are stocks traded over the counter? No Yes

49. Stock offerings offered to the public or otherwise.

First disclosure: list all current stock offerings and those made in the last five years. Attach most recent copy of record of outstanding stock certificates.

Subsequent disclosure: list all current stock offerings; and those not reported on a previous disclosure. Attach most recent copy of record of outstanding stock certificates.

Stock	Terms	Date	Attachment #

Financial Information - Continued

50. Has the applicant ever been a defendant in any civil action or lawsuit involving collection matters, debt matters, bankruptcy, insolvency or liquidation under any bankruptcy, insolvency or similar law?

- No Yes – **Check (☑) one**
- First disclosure: list all civil actions or lawsuits.
 - Subsequent disclosure: list all **current** civil actions or lawsuits, and those not reported on a previous disclosure. Note any changes from previous disclosure.

Date Filed	Docket/Case Number	Name and Location of Court	Amount Involved	Name and Address of Trustee

51. Has any subsidiary in which the applicant held a 5% or greater ownership interest ever been adjudicated bankrupt, or filed a petition for any type of bankruptcy or insolvency under any bankruptcy, insolvency or similar law?

- No Yes – **Check (☑) one**
- First disclosure: list all adjudications or filings.
 - Subsequent disclosure: list all **current** adjudications or filings, and those not reported on a previous disclosure. Note any changes from previous disclosure.

Date Filed	Docket/Case Number	Name and Location of Court	Name & Address of Filing Party	Name and Address of Trustee Contact Name and Telephone Number

Financial Information - Continued

52. Has the applicant changed financial institution(s)

- No Yes – **Check (☑) one**
 - First disclosure: list previous financial institution if changed in the last five (5) years. Provide name and address.
 - Subsequent disclosure: list all changes since last disclosure, and those not reported on a previous disclosure.

53. List all financial institutions in which the applicant **currently** has business accounts.

Name of Financial Institution	Contact Name and Telephone Number	Account Type	Account Number

Financial Information - Continued

54. List all source of funds (including loans) used to meet all financial obligations, or used for facility expansion

Check (☑) one

- First disclosure: list all sources for the past five (5) years. Provide copies of all contracts/agreements. Include security schedules, cash flow and debt service plan and lenders’ commitment letters for all credit facilities.
- Subsequent disclosure: list all **current** sources, and those not reported on a previous disclosure. Note any changes from previous disclosure. Include security schedules, cash flow and debt service plans and lenders’ commitment letters for all credit facilities that have changed or were amended or were not provided with a previous disclosure.

Date of Loan	Source of Funds Lender Name, Contact Name and Telephone Number	Collateral Pledged	Guarantor(s) Name (if applicable)	Reason for Loan and Type of Loan	Amount Borrowed	Amount Outstanding	Interest Rate & Term	Attachment #

The applicant MUST notify AGLC immediately of any changes to the above list after it has been submitted.

Financial Information - Continued

55. Has the applicant had any other indebtedness, including but not limited to loans, mortgages, trust deeds, pledges or security devices and funds owed to any level of government for past due taxes, fees, or other obligations. Include fines, penalties, fees and investigative costs owed to other jurisdictions?

- No Yes – **Check (☑) one**
 - First disclosure: list all other indebtedness for the last five (5) years.
 - Subsequent disclosure: list all **current** indebtedness, and indebtedness not reported on a previous disclosure. Note any changes from previous disclosure.

Lender Name & Address	Security Pledged/Collateral	Amount Borrowed	Amount Outstanding	Interest Rate	Term	Reason

Financial Information - Continued

56. Has the applicant loaned money, equipment or assets to any other person(s)?

- No Yes – **Check (☑) one**
 - First disclosure: list all **current** loans. Attach copies of all agreements.
 - Subsequent disclosure: list all **current** loans. Note any changes from previous disclosure. Attach copies of all agreements that were changed or amended or not provided with a previous disclosure.

Person's name, Contact Name and Telephone Number	Date Loaned	Amount or Asset Loaned	Status	Reason	Agreement Attachment #

COMPANY REPRESENTATIVE STATUTORY DECLARATION

COMPANY REPRESENTATIVE COMPLETING APPLICATION

Name _____ Position _____
Address _____ Telephone () _____
City _____ Province _____ Fax () _____
Country _____ Postal Code _____ E-Mail _____

I, _____
(*PRINT Company Representative Name*)

DO SOLEMNLY DECLARE THAT

1. I have prepared this disclosure on behalf of _____
the applicant.
2. I have provided an answer to every question on this disclosure.
3. The information provided is true, accurate and complete to the best of my knowledge, and all
required disclosures and other documentation have been provided.
4. Any document accompanying this disclosure that is not an original document is a true copy of
the original document.

I MAKE this solemn declaration conscientiously believing it to be true and knowing that it is of the same
force and effect as if made under oath.

Declared before me at _____ in the province of _____
this _____ day of _____, A.D., 20 _____

Company Representative Signature

Notary Public, Justice of the Peace,
Commissioner for Oaths,
Or Other Individual Authorized to take Declarations

My Appointment Expires

Applicant Disclosure – Page 30 Applicant President/Owner Initial: _____ Date: _____

RESTRICTED WHEN COMPLETED

REG/GAM 5553 (2009 Sept)

**APPLICANT OWNER/PRESIDENT
STATUTORY DECLARATION**

Applicant Full Legal Name _____

I, _____ *(Applicant Owner or President)*
of the city of _____ in the province of _____

do solemnly declare that

1. I have read this Applicant Disclosure for Licence/Registration Application and have verified all information contained in it.
2. I have personally initialled and dated each page of this Applicant Disclosure declaring that the information provided is true, accurate and complete to the best of my knowledge.

I make this solemn declaration conscientiously believing it to be true and knowing that it is of the same force and effect as if made under oath.

Declared before me at _____ in the province of _____
this _____ day of _____, A.D., 20 _____

Applicant Owner or President's Signature

Notary Public, Justice of the Peace,
Commissioner for Oaths,
Or Other Individual Authorized to take Declarations

My Appointment Expires

CONSENT TO RELEASE INFORMATION

Applicant's Name _____

The Alberta Gaming and Liquor Commission (the "AGLC") is required to conduct background checks and collect information to determine the eligibility of Applicants for licences and registrations pursuant to the *Gaming and Liquor Act*, R.S.A. 2000, c.G-1. This consent form will allow the AGLC to verify and investigate the information provided by the Applicant in the applicant disclosure application form. The AGLC is required under the *Freedom of Information and Protection of Privacy Act*, R.S.A. 2000, c.F-25 to protect the confidentiality of personal information and to use and disclose the information only for the purpose for which it was collected.

1. I hereby authorize the AGLC to verify all information provided in the applicant disclosure form to which this consent form is attached (the "Applicant Disclosure").
2. I executed the Applicant Disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence/registration by the AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any licence/registration to be suspended or revoked.
3. For the purposes of this Consent to Release Information, I acknowledge that the Applicant has, or has had, an interest in any company or person if it currently has or has previously had any interest by way of ownership, financial or management.
4. I authorize the AGLC to share or exchange the information I have provided only with those persons listed in clause 5, 6 or 7 below and only for the purposes of verifying or confirming the accuracy of the information.
5. I hereby authorize and request the following persons to whom this consent form is presented,
 - i) Canadian Customs and Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign taxing authority;
 - ii) any financial institutions, foreign or domestic, including banks, credit unions, trust companies, investment dealers or brokerage houses; or
 - iii) credit reporting agencies, foreign or domestic,

to release information to the AGLC and permit the AGLC to review and obtain copies of any and all documents, records or correspondence, including but not limited to, past loan information, notes signed or co-signed by me, account records of any type, passbooks, safety deposit records, and general ledger folios or entries, that are, or may be relevant to verifying my total income, sources of income, assets and liabilities.

Applicant Disclosure – Page 32 Applicant President/Owner Initial: _____ Date: _____

RESTRICTED WHEN COMPLETED

REG/GAM 5553 (2009 Sept)

Consent to Release Information - Continued

6. I hereby authorize and request the following persons to whom this consent form is presented,

- i) any law enforcement agency, police service or sheriff's office, foreign or domestic;
- ii) any gaming commission, or other regulatory, licensing or administrative body foreign or domestic; or
- iii) any federal, provincial, state, or municipal government, foreign or domestic,

to release information to the AGLC and permit the AGLC to review and obtain copies of any and all documents, records or correspondence, that are, or may be relevant to determining the Applicant's eligibility for a licence/registration, or whether or not the Applicant may be a detriment to the integrity or lawful conduct of gaming activities, by verifying whether or not

- iv) The Applicant has acted, or is alleged to have acted, or any company in which the Applicant has an interest in has acted, or is alleged to have acted in any manner not in accordance with federal, provincial, state, or municipal law;
- v) Any kind of gaming or facility licence of which the Applicant held an interest in was refused, cancelled or suspended in any other jurisdiction;
- vi) The Applicant, or any licensee of which the Applicant held an interest in, received any fines or other sanctions in another jurisdiction pursuant to any gaming, securities, financial or criminal legislation or policy; or
- vii) The Applicant has connections, business or personal, with other individuals or corporations who may have acted, or who are alleged to have acted in any manner not in accordance with federal, provincial, state or municipal law or who have been subject to any investigations referred to in vi) above.

7. I hereby authorize and request all law enforcement agencies, foreign or domestic, to whom this consent form is presented having documents relating to or concerning the Applicant to permit the AGLC to conduct a criminal records check, and obtain, review and copy any such documents.

8. I acknowledge that the Applicant shall not be entitled to make any claim against a party to whom this consent form is presented in respect of the release of information or documents in good faith to the AGLC.

Dated this _____ day of _____, A.D., 20 _____

Company Owner or President Signature

PRINTED Title

Applicant Disclosure – Page 33 Applicant President/Owner Initial: _____ Date: _____

RESTRICTED WHEN COMPLETED

Consent to Release Information - Continued