

Application for Due Diligence Investigation

Alberta Gaming, Liquor and Cannabis (AGLC) may issue a licence, registration, or approval after a thorough background check has been successfully completed on an Applicant, any associated persons and key employees. This includes but is not limited to an investigation relating to the honesty and integrity, financial history and competence of the Applicant. **Read the Instructions carefully.**

INSTRUCTIONS

1. An answer must be provided for every question. Incomplete Disclosures will not be processed.
2. All Disclosures must be typed or printed clearly. Illegible Disclosures will not be processed.
3. The Disclosure form may not be modified in any way. Modified Disclosure forms will not be processed.
4. If additional space is required, use additional paper and attach it to the Disclosure form.
5. 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.
6. The Applicant Owner, Partner, Director, Officer or Authorized Representative must complete and sign* the Declaration and Undertaking, and Consent to Release Information.
****AGLC only accepts handwritten signatures, and digital signatures using a digital ID. A digital ID proves your identity and contains your name and email address, the name of the organization that issued it, a serial number, and an expiration date.***
7. Keep a copy of this Disclosure for your records. You may be contacted for further information, documents or clarification.
8. All information and documents provided as part of this Disclosure:
 - i. become the property of AGLC and will not be returned; and
 - ii. are confidential and will be treated as such (see *Protection of Information on page 2*).
9. For all terms, conditions and interpretations associated with the licence, registration or approval, please visit www.aglc.ca and select the appropriate gaming, liquor or cannabis section.
10. For inquiries regarding the collection of this information, instructions on submitting the completed form electronically via SecureWeb, and/or for the deposit requested (see *Deposit on page 2*, if applicable), **please contact Due Diligence at duediligence@aglc.ca.**

Application for Due Diligence Investigation**PROTECTION OF INFORMATION**

1. The information collected in this Disclosure is only used in determining the eligibility of the Applicant for a licence, registration or approval and will not be shared with other AGLC units without your prior consent.
2. The specific legal authority for the collection of this information is the *Gaming, Liquor and Cannabis Act*; the Gaming, Liquor and Cannabis Regulation; and *Freedom of Information and Protection of Privacy Act* (FOIP Act), Sections 33(a) and (c).
3. All Disclosure information shall be kept confidential and shall only be released in accordance with the Consent to Release Information, and FOIP Act.
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; and
 - iv) financial, criminal or employment history.
5. Disclosure documents are classified Protected B and are handled as such. Details of these processes can be found on the AGLC website [here](#).

DEPOSIT (IF APPLICABLE)

1. An Applicant for a licence or registration must pay a fee (deposit) for background checks conducted by AGLC in respect of the Applicant, associated persons and key employees. The investigation will not commence until the deposit is received [pursuant to section 13.2 of the Gaming, Liquor and Cannabis Regulation (GLCR)].
2. An initial deposit will be requested with a complete Disclosure package. Additional funds may be requested during the investigation; any excess funds will be refunded.
3. An accounting of costs will be provided to the Applicant at the conclusion of the investigation.
4. Costs may include, but are not limited to:
 - i) cost of checks conducted, and reports and documents obtained;
 - ii) hourly charge for AGLC staff assigned to the due diligence investigation;
 - iii) costs associated with any person contracted by AGLC to perform specific requirements of the due diligence investigation; and/or
 - iv) travel costs, including transportation, food and lodging.

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APPLICATION TYPE

<input type="checkbox"/> Cannabis Representative Registration	<input type="checkbox"/> Gaming Supplier Registration
<input type="checkbox"/> Cannabis Retail Licence	<input type="checkbox"/> Gaming Terminal Dealer Registration
<input type="checkbox"/> Casino Facility Licence	<input type="checkbox"/> Gaming Terminal Parts Supplier Approval
<input type="checkbox"/> Gaming Entertainment Centre Approval	<input type="checkbox"/> Gaming Worker Supplier Registration
<input type="checkbox"/> Gaming Service Provider Approval	<input type="checkbox"/> Racing Entertainment Centre Facility Licence

APPLICANT IDENTITY

1. Applicant is (check one):

 Corporation Partnership Individual

2. Legal and operating names associated with the Applicant:

Legal Name
Trade Name / Operating Name / Aliases

3. Addresses associated with the Applicant:

Business Address			
City	Province/State	Postal/Zip Code	Country
Phone Number		Website	
Mailing Address <input type="checkbox"/> Same as business address			
City	Province/State	Postal/Zip Code	Country

 4. **Individual to contact** regarding this Disclosure:

Name	Position
Phone Number	Email Address

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REQUIRED DOCUMENTS

Instructions: Attach a copy of the current original documents listed below. If the original documents require translation into English, provide a copy of the original and the translated document in English. **Additional information or documents may be requested following a review of the attachments.**

5. Select and complete the table below that corresponds with the Applicant:

Corporation – Private [Includes USA-based Limited Liability Corporation (LLC)]	
	Attachment #
Corporate Certificate and Articles of Incorporation (including Amendments)	
Certificate of Extra-Provincial Registration under the <i>Business Corporations Act</i>	
Securities Register (include all classes of shares)	
Unanimous Shareholders Agreement (or equivalent)	
Organizational reporting chart showing directors, officers and key employees including reporting lines and the total number of employees	
Ownership chart including overall ownership structure	

Corporation - Public	
	Attachment #
Exchange and Trading Symbol	
Certificate of Extra-Provincial Registration under the <i>Business Corporations Act</i>	
NOBO List (or equivalent)	
Organizational reporting chart showing directors, officers and key employees including reporting lines and the total number of employees	

Partnership - Limited	
	Attachment #
Partnership Certificate (including Amendments)	
Limited Partnership Agreement	
If General Partner is a corporation:	
Organizational reporting chart showing directors, officers and key employees including reporting lines and the total number of employees	
Ownership chart of the General Partner	
Securities Register of the General Partner	

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REQUIRED DOCUMENTS (CONTINUED)

Partnership - Ordinary	
	Attachment #
Declaration per the <i>Partnership Act</i>	
Securities Register of any corporate partner (if applicable)	
Securities Register of any shareholder of the corporate partner (if applicable)	

Individual	
	Attachment #
Registered Trade Name / Declaration filed under the <i>Partnership Act</i>	

6. Current gaming, liquor or cannabis licence(s), registration(s), or approval(s) in Alberta or any other jurisdiction: None

Applicant or Approved Person's Name	Agency Name	Contact Name and Phone Number	Application or Approval Date	Status

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CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

7. Investigations, charges or convictions of a criminal offence, or any other violations of any statutes, regulations or codes: None

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

8. Licences, registrations or approvals denied, suspended, revoked, withdrawn or made subject to any sanctions or fines: None

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

9. Lawsuits involving the Applicant as either the defendant or plaintiff in the last five years (include all collection matters, debt matters, bankruptcy, insolvency or liquidation): None

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

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FINANCIAL INFORMATION

10. Attach the following financial information:

Document	Attachment #
Financial statements for the last three fiscal years (Casino Facility Licence and Racing Entertainment Centre Facility Licence Applicants must provide audited financial statements)	
Income tax returns for each jurisdiction in which the Applicant is required to file for the last three years (include all schedules, information slips and <u>Notices of Assessment/Re-assessment</u>)	

11. Source of funds used to meet financial obligations (i.e., bank accounts, loans, shareholder loans, promissory notes, and any other source of funds):

Date	Source of Funds (Name)	Type of Loan	Amount Borrowed	Amount Outstanding	Terms

12. Contracts or agreements directly associated with the Applicant’s licence, registration, or approval (i.e., franchise, management, distribution, licensing, service and/or lease agreements):

Name	Relationship	Contract	Amount Paid	Purpose	Terms

Application for Due Diligence Investigation**DECLARATION AND UNDERTAKING**

I, _____
(Print name of the Applicant Owner, Partner, Director, Officer or Authorized Representative)

do solemnly declare that:

1. I have prepared and verified all information contained in the Due Diligence Disclosure (Disclosure).
2. I understand and read the English language, or I have had an interpreter read, explain and record the answer to every question on this Disclosure.
3. I have provided an answer to or reviewed every question in this Disclosure, declaring that the information provided is true, accurate and complete to the best of my knowledge.
4. I have reviewed the documents being provided and confirm they are true copies of the original documents, and are current and complete to the best of my knowledge.
5. I have completed the 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 the Disclosure may affect the eligibility of the Applicant for a licence, registration or approval.
6. I undertake to immediately inform AGLC of any changes to information or documents being provided, and acknowledge that failure to inform AGLC of any change may affect the eligibility of the Applicant for a licence, registration or approval.
7. I acknowledge that all documents and information requested will be verified through an investigative process and further documents, information or clarification may be requested.

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.

DATED at the city of _____ in the province/state of _____

this _____ day of _____, 20_____.

Signature

Application for Due Diligence Investigation**CONSENT TO RELEASE INFORMATION****Applicant Name** _____

Alberta Gaming, Liquor and Cannabis (AGLC) is required to conduct background checks and collect information to determine the eligibility of entities, or key employees, seeking a licence, registration or approval pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. This Consent to Release Information form (Consent) will allow AGLC to verify and investigate the information provided in this Disclosure. AGLC has the authority to collect personal information from third party sources per sections 34(1)(a)(i) and (ii) of the *Freedom of Information and Protection of Privacy Act*, R.S.A. 2000, c.F-25 (FOIP Act) pursuant to sections 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation. AGLC is required under the FOIP Act to protect the confidentiality of information, and to use and disclose the information only for the purpose for which it was collected.

1. I authorize AGLC to verify all information provided in the Disclosure to which this Consent is attached.
2. I authorize AGLC to share or exchange the information I have provided only with those persons listed in the clauses below, and only for the purposes of verifying or confirming the accuracy of the information.
3. I authorize and request the following entities to whom this Consent is presented:
 - i) Canada Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign taxing authority; or
 - ii) 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 AGLC and permit AGLC to review and obtain copies of 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 necessary to verify total income, sources of income, assets and liabilities.

4. I authorize and request the following persons to whom this Consent is presented:
 - i) law enforcement agencies, police services or sheriff's office, foreign or domestic; or
 - ii) other regulatory, licensing or administrative bodies, foreign or domestic; or
 - iii) federal, provincial, state or municipal government, foreign or domestic

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to release information to AGLC and permit AGLC to review and obtain copies of documents, records or correspondence that are necessary in determining the Applicant's eligibility for a licence, registration or approval, or whether the Applicant may be a detriment to the integrity or lawful conduct of gaming, liquor and cannabis activities in Alberta, by verifying whether:

- 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; or
 - v) any kind of licence, registration or approval in which the Applicant held an interest in was refused, cancelled or suspended in any other jurisdiction; or
 - vi) the Applicant, or any licensee, registrant or approval of which the Applicant held an interest in, received any fines or other sanctions in another jurisdiction pursuant to any 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 that is not in accordance with federal, provincial, state or municipal law, or who have been subject to any investigations referred to in vi) above.
5. I authorize and request all law enforcement agencies, foreign or domestic, to whom this Consent is presented, that have documents related to or concerning the Applicant, to provide those documents to AGLC that are necessary for conducting a criminal records check.
6. I acknowledge that the Applicant shall not be entitled to make any claim against a party to whom this Consent is presented in respect of the release of information or documents in good faith to AGLC.

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

**Print name of the Applicant Owner, Partner,
Director, Officer or Authorized Representative**

Signature