Retail Cannabis Store Licence

Retail cannabis store licences are for the sale of AGLC registered cannabis products for off-premises use.

Applications will be reviewed for accuracy and completeness. All aspects of applications are subject to ongoing reviews by AGLC.

STEPS

There are six steps involved in the licensing process for a Retail Cannabis Store Licence. The time required to process an application varies among applications; however, applicants should expect an approximate processing time of two to four months. AGLC may request additional information at any time from the applicant as required.

1) Municipal Assessment

Municipalities may have bylaws or zoning restrictions relating to retail cannabis stores that impact your eligibility for a licence. It is recommended that you contact your municipal government to determine local requirements prior to the submission of your application to AGLC.

2) Preliminary Assessment

Applicants are required to submit a variety of documents for review. Documents include (but are not limited to):

- Floor Plan
- Application Forms
- Licence Fees
- Personal and Financial Documents

All applications are posted on the AGLC website at aglc.ca for 7 calendar days. If an objection is received for the application, the applicant will be notified by AGLC's Inspections department.

3) Personal and Financial Due Diligence Assessment

Applications are reviewed to ensure that the applicant meets the approval of AGLC and will comply with all applicable federal, provincial and municipal legislation. This will include a due diligence background investigation, including interviews of key persons.

4) Premises Assessment

A site visit will be scheduled with an AGLC Inspector to ensure the location and physical premises meets all AGLC requirements. The Inspector will also review the required operating procedures with management.

5) Issuance of Licence

Approved applications will be issued a Cannabis Retail Store licence. Licences are not transferable and void if the premises is sold, leased, assigned or otherwise transferred to another individual or party.

6) After the Issuance of a Licence

Cannabis licensees will be contacted by an Account Management Coordinator to begin the set-up process for ordering and reporting purposes. This process takes approximately 3 weeks to complete. Documents include (but are not limited to):

- 360 degree photos of the premise shipping and receiving area
- Licensee banking information

OPERATING OVERVIEW

Premise Location (Buffer Zones)
Retail cannabis store locations may not be approved if the location is within 100 metres of:

- a provincial health care facility
- a school
- a parcel of land designated as school reserve

The local municipality may impose bylaws varying the buffer zones for retail cannabis stores. Contact the applicable municipal office for municipal bylaw information related to cannabis retail store business licences, zoning and/or land use restrictions.

Product Supply
The AGLC is the sole wholesaler of cannabis products for retail sale in the province of Alberta.

Premise Security
Retail cannabis stores are required to have alarms, a secure storage room and security cameras as defined in AGLC policy.

Hours
Retail Cannabis store maximum hours: 10:00 a.m. to 2:00 a.m. daily

Minors
Minors are prohibited from entering a retail cannabis store. Acceptable identification must be presented by anyone who appears to be under 25 years of age.

Intoxication
Retailers are prohibited from selling cannabis to intoxicated persons.

Non Cannabis Items
Only approved items are permitted for sale in a retail cannabis store.

Securing of Cannabis
All cannabis and cannabis accessories must be secured within the premises as per AGLC physical security and inventory control requirements. During off hours all cannabis must be secured in an approved secured storage room.

SellSafe Cannabis Staff Training
All staff at a licensed premises must complete AGLC online SellSafe training prior to the start of their employment. Training is valid for five years.

Qualified Cannabis Workers
All Retail Cannabis Store employees must be AGLC Qualified Cannabis Workers.

Sales Reports
Cannabis licensees will be required to provide reports to AGLC on cannabis sales, returns, destruction, loss and recalls.

MORE INFORMATION

- Information on the legalization and regulation of cannabis in Alberta: alberta.ca/cannabis
- Information on the legalization and regulations of cannabis in Canada: canada.ca/cannabis
- View the *Gaming, Liquor and Cannabis Act*
- View the Gaming, Liquor and Cannabis Regulation
- View the Retail Cannabis Store Handbook or contact the nearest Regulatory Services Division office.

Head Office	**Calgary Office**	**Red Deer Office**	**Lethbridge Office**	**Grande Prairie Office**
50 Corriveau Avenue	310, 6715 - 8 Street NE	3-7965 - 49 Avenue	655 Wt Hill Blvd South	100-11039 78 Avenue
St. Albert, Alberta	Calgary, Alberta	Red Deer, Alberta	Lethbridge, Alberta	Grande Prairie, Alberta
T8N 3T5	T2E 7H7	T4P 2V5	T1J 1Y6	T8W 2J7
liquorapplications@aglc.ca	liquorapplications.calgary@aglc.ca	liquorapplications.rd@aglc.ca	liquorapplications.leth@aglc.ca	liquorapplications.gp@aglc.ca
1-855-506-1066 ext. 2 (toll-free)	Ph: 403-292-7300	Ph: 403-314-2656	Ph: 403-331-6500	Ph: 780-832-3000

APPLICANT REQUIREMENTS
CANNABIS RETAIL STORE LICENCE

To be considered for a cannabis licence, the applicant **must** provide all requirements before the application can proceed.

- ☐ Non-refundable application fee of **$400** and licence fee of **$700.**
- ☐ Application for Cannabis Licence (Form 8000)
- ☐ Particulars of Individual (Form 8005) completed by all directors, shareholders, officers and the proposed manager.
- ☐ Floor plan of the premises. Details about acceptable floor plans are provided below.
- ☐ Particulars of Incorporation of Company (Form 8004).
- ☐ Particulars of Shareholding Company (Form 8004) if applicable.
- ☐ Certificate of Incorporation.
- ☐ Cannabis Licensee Acknowledgment and Undertaking (Form 8012)

Provide to Licensing in a sealed envelope addressed to Due Diligence, the below items:

- ☐ Deposit of **$3,000**
- ☐ Applicant Disclosure (Form 8015)
- ☐ Associated Applicant Disclosure (Form 8016) to be completed by corporate entities only
- ☐ Personal Disclosure (Form 8017)

Only applicants that have submitted all the required items listed above will be reviewed for eligibility. If the application is deemed eligible, the remaining items must be submitted prior to a licence being issued.

- ☐ E-Commerce and Web Access Request (Form 8021)
- ☐ Executed copy of the lease agreement or certificate of title, in the name of the applicant.
- ☐ Approved Development Permit
- ☐ City business licence or written approval of the municipality.

The applicant may mail or deliver the completed package to the nearest AGLC office. Please allow approximately three months for processing the application.

A CANNABIS LICENCE WILL NOT BE ISSUED UNTIL ALL OF THE ABOVE STEPS HAVE BEEN COMPLETED

Head Office	Calgary Office	Red Deer Office	Lethbridge Office	Grande Prairie Office
50 Corriveau Avenue	310, 6715 - 8 Street NE	3-7965 - 49 Avenue	655 Wt Hill Blvd South	100-11039 78 Avenue
St. Albert, Alberta	Calgary, Alberta	Red Deer, Alberta	Lethbridge, Alberta	Grande Prairie, Alberta
T8N 3T5	T2E 7H7	T4P 2V5	T1J 1Y6	T8W 2J7
cannabis.licensing@aglc.ca	cannabislicensing.calgary@aglc.ca	Ph: 403-314-2656	Ph: 403-331-6500	Ph: 780-832-3000
1-855-506-1066 ext. 1 (toll-free)	Ph: 403-292-7300			

Floor Plans

Floor plans may be blueprints, architectural drawings, or a line drawing by hand.

If the applicant is providing a line drawing, the floor plan must be of high quality and clearly legible. The drawing must include measurements.

- ☐ Entrances and Exits
- ☐ Walls
- ☐ Dimensions/Square Footage
- ☐ Location of Shelving
- ☐ Point of Sale Area
- ☐ Office Area
- ☐ Delivery Area
- ☐ Shipping/Receiving Area
- ☐ Proposed Camera Placement and area of coverage

APPLICATION FOR RETAIL CANNABIS STORE LICENCE

Note: Municipalities may have bylaws or zoning restrictions relating to retail cannabis stores that impact your eligibility for a licence. It is recommended that you contact your municipal government to determine local requirements prior to the submission of your application to AGLC.

NAME OF APPLICANT:
(Company, Partnership or Individual) _____

NAME OF PREMISES:
(Operating/Trade Name) _____

STREET ADDRESS: _____

CITY/TOWN: _____ POSTAL CODE: _____

MAILING ADDRESS: _____

CITY/TOWN: _____ POSTAL CODE: _____

AGLC requires a Communications Contact email address for the purpose of sharing and collecting important information related to cannabis licensing, policies and processes. Please ensure this email is updated regularly. If no email is provided, the corporation mailing address will be used.

COMMUNICATION CONTACT EMAIL: _____

APPLICATION CONTACT NAME: _____

CONTACT PHONE: _____

PREMISE MANAGER NAME: _____

BY SIGNATURE I CERTIFY THE ABOVE INFORMATION IS CORRECT, AND THE APPLICANT IS THE OWNER OR LESSEE OF THE PREMISES COVERED BY THIS APPLICATION, AND IS IN ACTUAL POSSESSION AND CONTROL OF THOSE PREMISES.

DATE: _____ × _____

Signature of Applicant (Individual) or Applicant's Representative
(Corporation/Partnership)

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

AGLC
Choices Albertans can trust.

PARTICULARS OF INDIVIDUAL

NAME _____ (Surname) _____ (First Name) _____ (Middle Name(s) (in full))

MAIDEN NAME _____ OTHER NAMES _____

DATE OF BIRTH _____ (Year) _____ (Month) _____ (Day)

☐ CANADIAN CITIZEN
☐ LANDED IMMIGRANT

PLACE OF BIRTH _____ TELEPHONE Res _____

EMAIL ADDRESS _____

Please check (✓)

☐ Licensee/Registrant ☐ Director/Officer ☐ Shareholder ☐ General Manager ☐ Manager

NAME OF APPLICANT:
(Company, Partnership) _____

NAME OF PREMISES:
(Operating/Trade Name) _____

STREET ADDRESS _____

_____
City

I hereby authorize Alberta Gaming, Liquor & Cannabis to undertake a criminal record check, with any police agency, to determine my eligibility to be involved in a retail cannabis store or to become a Registered Cannabis Representative.

_____ (Signature) _____ (Date)

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

PARTICULARS OF INCORPORATION OF COMPANY

Name of Premises
(Operating/Trade Name): _____

Street Address: _____

City/Town: _____ _____
Postal Code

_____
Telephone

Name of Corporation: _____

_____ _____
Date of Incorporation Date of Registration in Alberta (if applicable)

DIRECTORS/OFFICERS:

Name	Address	Phone Number	Position Held

SHAREHOLDERS: (both voting and non-voting, and the number and class of shares that each holds)

as of the _____ day of _____, 20 _____

Name	Address	Percentage & No. of Shares Held

CERTIFIED CORRECT by an authorized director or officer of the Corporation, and by a Lawyer or CPA, as of the

_____ day of _____, 20 _____

_____ _____
(Signature) (Signature of Director or Officer)
BARRISTER or CPA

_____ _____
(Firm) (please print name)

ANY CHANGE IN DIRECTORS, OFFICERS OR SHAREHOLDERS MUST BE IMMEDIATELY REPORTED TO AGLC.

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

AGLC
Choices Albertans can trust.

PARTICULARS OF PARTNERSHIP

Name of Premises (Operating/Trade Name): _____

Street Address: _____

City/Town: _____ _____
Postal Code

_____
Telephone

Name of Registered Partnership: _____

_____ _____
Date of Registration | Date of Registration in Alberta (if applicable)

DIRECTORS:

Name	Address	Phone Number	Position Held

PARTNERS: (both general and registered)

as of the _____ day of _____, 20 _____

Name	Address	Type of Partner

CERTIFIED CORRECT by an authorized director of the Corporation, and by a Lawyer, or CPA, as of the

_____ day of _____, 20 _____

_____ _____
(Signature) BARRISTER, CPA | (Signature of Director)

_____ _____
(Firm) | (please print name)

ANY CHANGE IN DIRECTORS OR SHAREHOLDERS MUST BE IMMEDIATELY REPORTED TO AGLC.

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

ACKNOWLEDGEMENT AND UNDERTAKING

TO: ALBERTA GAMING, LIQUOR & CANNABIS (AGLC)

1. The cannabis licensee named below understands his or her legal obligations under:

   a) the *Gaming, Liquor and Cannabis Act*,
   b) the Gaming, Liquor and Cannabis Regulation, and
   c) AGLC policies and guidelines

2. The cannabis licensee acknowledges his/her responsibility to ensure all staff becomes aware of the requirements contained in this Acknowledgement and Undertaking.

3. Only cannabis authorized by AGLC may be present in a licensed premises. A licensee who sells or possesses in his licensed premises cannabis NOT authorized by AGLC will face disciplinary action and may also face prosecution.

4. The cannabis licensee confirms that he/she has not entered into any verbal or written, express or implied agreement with a cannabis supplier, an employee of a cannabis supplier, a cannabis supplier representative or an employee of a cannabis supplier representative employee (hereafter referred to as "cannabis representative") to buy any particular brand, class, kind or type of cannabis or cannabis accessory, except as authorized by the *Gaming, Liquor and Cannabis Act,* Gaming, Liquor and Cannabis Regulation or AGLC policies and/or agreements which have been approved by the Board of AGLC.

5. The licensee acknowledges that all business conducted under a Retail Cannabis Store licence will be operated separately from any commonly owned or affiliated businesses as outlined in Section 3.1.1 of the Retail Cannabis Store Handbook.

6. The cannabis licensee confirms that he/she has not directly or indirectly received or accepted a loan or advance, money, a rebate, a concession or anything of value from a cannabis representative.

7. The cannabis licensee confirms that he/she has not purchased, received, rented or borrowed any furniture, furnishings, equipment, fixtures, decorations, signs, or supplies from a cannabis representative.

8. The cannabis licensee understands that failure to follow the requirements of the *Cannabis Act*, Cannabis Regulation, *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation, or AGLC policy (includes handbooks) may result in prosecution and/or appearance before the Board of AGLC.

9. The cannabis licensee agrees to advise AGLC each time the cannabis licensee or employee of the cannabis licensee is offered a benefit or inducement from a cannabis representative.

Witness Signature	Cannabis Licensee Signature
(Please Print Name)	(Please Print Name)
Date (Month, Day, Year)	Name of Cannabis Licensee

Requesting, accepting or receiving inducements from a cannabis representative is prohibited under the *Cannabis Act*, Cannabis Regulation, *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation and AGLC policy.

APPENDIX A
LIST OF PROHIBITED INDUCEMENTS

The following describes monetary (or monetary value) inducements which a cannabis licensee or employee of a cannabis licensee, are prohibited from requesting, accepting or receiving from a cannabis representative.

1. Payments, rebates or credits of any monetary value.

2. Monetary deposits into licensee accounts in any direct or indirect manner.

3. All cannabis products (including samples) are not permitted under policy guidelines, "Product Promotions".

4. Interior decorating (e.g. painting, window dressing, and flooring) and renovations or maintenance to the licensed premises or other property owned, rented, or leased by a licensee or anyone directly or indirectly in a business relationship with the licensee.

5. Locked display cabinets, alarm system, video security surveillance system, furniture, office equipment, signs, required in the operation of a licensed premises.

6. Underwriting licensees' expenses, either directly or indirectly, for any travel, whether or not it is for business purposes, a vacation, or a combination of both.

7. Seasons tickets to sporting or other events.

This is a summary only. The relationship between a cannabis licensee and a cannabis representative, or any product promotion, must comply with the *Cannabis Act*, Cannabis Regulation, *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation, and AGLC policy.

The following cannabis information is provided so that applicants and/or licensees are clearly aware of what is considered unauthorized or illegal cannabis products.

- Homegrown cannabis. Homegrown products cannot be brought into a licensed premises.
- Any cannabis product purchased from other provinces in Canada, the USA, or any foreign country.
- Any cannabis product that is not registered/sold by AGLC.
- Any legal cannabis product that has been adulterated, changed or altered in any manner.

It is important to understand that unauthorized or illegal cannabis products found on licensed premises are subject to immediate seizure. AGLC has a policy of **"ZERO TOLERANCE"** with respect to unauthorized or illegal cannabis products. A licensee may face criminal charges, provincial prosecution and/or a Board Hearing with a penalty which could include suspension or cancellation of the retail cannabis store licence.

For further information, contact the Regulatory Services Division:

St. Albert Office	Calgary Office
780-447-8600	403-292-7300

References: *Gaming, Liquor and Cannabis Act*
Gaming, Liquor and Cannabis Regulation

Please retain Appendix A for your records.

MUNICIPAL INFORMATION - RETAIL CANNABIS STORE

NAME OF APPLICANT:
(Company, Partnership or Individual) _____

NAME OF PREMISES:
(Operating/Trade Name) _____

STREET ADDRESS: _____

CITY/TOWN: _____ POSTAL CODE: _____

By the issuance of a development permit, or in accordance with band council bylaw/approval or settlement council bylaw/approval, the municipality confirms that the premises meets the buffer zone requirements contained in section 105(3) of the Gaming, Liquor and Cannabis Regulation (GLCR) *or* that the premises meets the varied requirements set by the municipalities land use bylaw per section 105(5) of the GLCR.

If the premises meets the above requirements but a development permit, band council approval or settlement council approval is not issued by the municipality, the municipality may apply to the AGLC for an exception to this requirement, per 105(4) GLCR. As an example, this exception is intended in cases where an existing premises converts its operations from a previous business to a retail cannabis store and a development permit is not issued.

If the premises does not meet the buffer zone requirements and a bylaw is not in place for a variance, the municipality may apply to the AGLC for an exception regarding these requirements per section 105(6) GLCR. This exception is intended in cases where a municipality may not have the capacity to create a land use bylaw for the purposes of a cannabis retailer and would otherwise grant approval.
Upon approval from the AGLC the municipality would proceed with issuing development approval, band council approval or settlement council approval.

Note: In addition to the above, municipal approval is required for the above noted premises by way of a business licence or notification of municipal approval. This form may be used as notification of municipal approval when signed by the municipality.

_____ _____
Municipality Date

_____ ✕ _____
Name of Municipal Representative (Print) Signature of Municipal Representative

Excerpt of section 105 of the Gaming, Liquor and Cannabis Regulation:

Restrictions on location of licensed premises

105 (1) In this section,

(a) "band council" means the council of the band as defined in the *Indian Act* (Canada);

(b) "Indian reserve" means a reserve as defined in the *Indian Act* (Canada);

(c) "land use bylaw" has the meaning given to it in Part 17 of the *Municipal Government Act*;

(d) "Metis settlement" and "settlement council" have the meanings given to them in the *Metis Settlements Act*;

(e) "provincial health care facility" means an approved hospital as defined in the *Hospitals Act*;

(f) "school" means a school as defined in the *School Act.*

(2) The board may not issue a cannabis store licence in respect of any premises located

(a) in a municipality, unless a development permit has been issued under the *Municipal Government Act* for the proposed use of the premises as described in the application for the cannabis licence,

(b) on an Indian reserve, except in accordance with an applicable band council bylaw or the band council's approval, or

(c) on land within a Metis settlement area, except in accordance with an applicable settlement council bylaw or the settlement council's approval.

(3) For the purposes of sections 640(7), 642(5) and 687(3) of the *Municipal Government Act*, a premises described in a cannabis licence may not have any part of an exterior wall that is located within 100 metres of

(a) a provincial health care facility or a boundary of the parcel of land on which the facility is located,

(b) a building containing a school or a boundary of a parcel of land on which the building is located, or

(c) a boundary of a parcel of land that is designated as school reserve or municipal and school reserve under the *Municipal Government Act*.

(4) Despite subsection (2)(a), on application by a municipality the board may, if the board considers it appropriate to do so, issue a cannabis store licence in respect of a premises that meets the requirements of subsection (3) but for which a new municipal development permit is not required under the *Municipal Government Act*.

(5) A municipality may, in a land use bylaw, expressly vary the distance set by subsection (3) and set a different distance that is applicable to one or more of the types of properties referred to in subsection (3)(a) to (c), and where a municipality has done so, subsection (3) does not apply to a premises to the extent the variation in the land use bylaw is applicable to it.

(6) On application by a municipality that has not by bylaw varied a distance set by subsection (3), the board may, in writing, if the board considers it appropriate to do so, vary the distance set by that subsection and set a different distance that is applicable to one or more of the types of properties referred to in subsection (3)(a) to (c) in relation to a specified premises that is the subject of a cannabis licence application.

(7) Where the board has issued a variance under subsection (6), subsection (3)

(a) does not apply to the specified premises to the extent the variance is applicable to it, and

(b) for greater certainty, does not operate to bar the issuance of a development permit under the *Municipal Government Act* in respect of the premises.

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

E-COMMERCE AND WEB ACCESS REQUEST

NAME OF APPLICANT:
(Company, Partnership or Individual) _____

NAME OF PREMISES:
(Operating/Trade Name) _____

STREET ADDRESS: _____

CITY/TOWN: _____ POSTAL CODE: _____

PREMISES PHONE: _____

AGLC requires an additional telephone number for the purposes of ensuring cannabis product can be received during delivery. This number will be called if contact cannot be made using the premises phone.

ALTERNATE PHONE: _____

AGLC requires an E-commerce contact email address for the purpose of ordering cannabis products, distributing and collecting important information related to cannabis business operations, policies and processes. This email address must adhere to the following requirements:

- Email address has to be unique for each store location
- This will also be used for e-commerce user name
- Email address may not change or be edited and is attached to the licence number
- Cannot be a personal email address

E-COMMERCE CONTACT EMAIL: _____

The E-Commerce email will also be used for the initial set-up of the Cannabis Portal. After the initial set-up, the contact email for the Cannabis Portal may be changed online. The Cannabis Portal provides access to:

- Cannabis Worker Qualification Check
- Monthly Product Activity Report Submission

BY SIGNATURE I CERTIFY THE ABOVE INFORMATION IS CORRECT, AND THE APPLICANT IS THE OWNER OR LESSEE OF THE PREMISES COVERED BY THIS APPLICATION, AND IS IN ACTUAL POSSESSION AND CONTROL OF THOSE PREMISES.

DATE: _____ × _____

Signature of Applicant (Individual) or Applicant's Representative
(Corporation/Partnership)

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(a) and 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all AGLC policies and processes relating to cannabis licensing and sales. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

Applicant Disclosure
Cannabis Retailer

Alberta Gaming, Liquor & Cannabis (AGLC) will only approve a Cannabis Retailer after a thorough investigation. Full disclosure is required.

The approval for a Cannabis Retailer is a privilege not a right. The burden of proving eligibility is at all times on the applicant.

An approval 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 10% or more must be approved by**, and a due diligence investigation conducted by, AGLC prior to any sale, assignment or transfer taking place.

Read the Instructions carefully – it contains important information required for the completion of the disclosure package.

Submit the completed Due Diligence application forms (Applicant Disclosure, Associated Applicant Disclosure, Personal Disclosure) in a **sealed** envelope marked **"Personal & Confidential – To Be Opened By Addressee Only"** and addressed to:

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

Ensure that the courier package is prepaid and clearly labelled.

For further information please contact Due Diligence at:

Telephone: 780-732-6300
Fax: 780-447-8692
E-Mail duediligence@aglc.ca

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor & Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence, registration or approval.
3. **Associated Applicant** – Individual, corporation or other entity that is or will be a(n)
   - **i.** Owner,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any individual or entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a licence under the *Gaming, Liquor and Cannabis Act (Alberta)* that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
6. **Control** –
   - **i.** Power to direct.
   - **ii.** 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 corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an associated applicant that has direct or indirect control of 10% or more of the **applicant**.
7. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
8. **Director** –
   - **i.** Those individuals 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.
9. **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 anything of value, with or without security, or
   - **iv.** Any individual or corporate entity related to an applicant or associated applicant that holds a direct or indirect financial interest of 10% or more in the **applicant**.
10. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.
    - **ii.** Individuals employed in senior management positions such as CEO, CFO, controller, 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.** Any other individual holding a key position as determined by AGLC.
11. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act*

(Alberta) and, includes an agreement, permit, certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act (Alberta).*

12. **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, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

13. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the applicant by virtue of an adult interdependent relationship.

14. **Promoter** – Any individual, corporation or other entity who

    i. Acting alone or in concert with one or more other individuals or corporate entities, 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, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

15. **Qualified Cannabis Worker** –

    i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

    ii. No individual may act as a worker unless qualified by AGLC.

16. **Cannabis Representative** –

    i. No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.

    ii. No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is qualified with AGLC for that purpose.

B. DEPOSIT

1. **Unless otherwise advised,** the applicant must pay the costs of the due diligence investigation conducted by 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 $3,000 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 AGLC to perform specific portions of the due diligence investigation.

C. Completing the Disclosure

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the applicant and an associated applicant(s).
2. AGLC may request disclosure from other individuals and entities associated with the applicant.
3. 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.** Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.
4. All disclosures must be typed or printed clearly. Illegible disclosures will be returned.
5. The disclosure may not be modified in any way. Modified disclosures will be returned.
6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.
7. 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.
8. All attachments must be an accurate copy of the original, and be signed by you.
9. The disclosure must be signed/initialed as follows
   - **i.** Initial and date each page to verify all statements made are accurate, all material facts are included, and all requested information and documents are provided.
   - **ii.** Sign the consent to criminal and financial checks – your partner must also sign.
   - **iii.** Sign the Statutory Declaration. The Declaration must be witnessed by an individual authorized to take declarations.
   - **iv.** Sign the Consent Waiver.
10. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.
11. Incomplete disclosures will be returned to the appropriate individual for completion.

D. Important Information

1. All information and documents provided as part of this disclosure
   - **i.** Become the property of AGLC and will not be returned.
   - **ii.** Are confidential and will be treated as such.
   - **iii.** Are for AGLC's use to determine the applicant's eligibility for a licence, registration or approval.
   - **iv.** Will be verified through an investigative process – further information, documents or clarification may be requested.

E. 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 consent.
2. The authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the *Gaming and Liquor Regulation (*Alberta) and FOIP Sections 33(a) & (c).
3. All application packages shall be kept confidential and shall only be released in accordance with the
   - **i.** Consent Waiver.
   - **ii.** *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).
4. Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

APPLICANT IDENTITY

1. Applicant's Legal Name: _____

2. Retailer Name: _____

3. 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 $3,000 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 is attached as attachment #_____

4. Business Address ..... Street _____

   City _____ Province _____

   Country _____ Postal Code _____

   Telephone _____ E-Mail _____

   Website _____

5. Mailing Address .....Street/Box _____

   City _____ Province _____

   Country _____ Postal Code _____

6. Company Representative to contact regarding **all matters:**

   Name _____

   Position _____ Birth Date _____

   Mailing Address _____

   City _____ Province _____

   Country _____ Postal Code _____

   Telephone _____ E-Mail _____

7. Is the applicant known by any other name?

   ☐ No ☐ Yes, list all names _____

8. Provide the following document(s):

		Document Attached?		Attachment #	N/A
i.	Change to Certificate and Articles of Incorporation	☐ No	☐ Yes	_____	☐
ii.	Share register(s) or Share Certificate(s)	☐ No	☐ Yes	_____	☐
iii.	Unanimous Shareholders Agreement	☐ No	☐ Yes	_____	☐
iv.	Partnership Agreement	☐ No	☐ Yes	_____	☐
v.	Other – specify _____	☐ No	☐ Yes	_____	☐

CORPORATE STRUCTURE

9. Has the applicant **ever** made application for or held any cannabis retail licences/approvals in any **other** jurisdiction?

☐ No ☐ Yes – **Check (☑) one**

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

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

i. Personal and Associated Applicant Disclosures must be provided.

ii. Disclosures are not required for shareholders/partners of less than 10%; **however, these must be listed** and disclosures may be required at a later date.

Individual/Person Name	Position or Relationship	% of Ownership

11. List all other corporate entities **currently** associated to the applicant include all subsidiary companies and those the applicant has a financial, organizational or managerial interest in. Disclosures may be requested. Provide details as to the nature and extent of any financial, organizational or managerial interest.

Name	Relationship	Contact Name & Telephone Number

12. List all **current** directors and officers. Personal Disclosures **must be provided** for all individuals listed.

Name	Position

13. Total current number of employees – **applicant:** _____

14. Attach **current** organizational charts showing the ownership and reporting structure including all key employees.

15. Has the Applicant ever been licenced/registered with AGLC? ☐ No ☐ Yes – **Check (☑) one**

Licence/Registration Type	Date Licenced/Registered & Status	Details

16. Has the Applicant ever been involved in any capacity in the production, distribution or selling of Cannabis? ☐ No ☐ Yes – **Check (☑) one**

Name & Address of Regulatory Agency	Date	Contact Name & Telephone Number	Details

16. List all **current** key employees. Personal Disclosures **must be provided** for all individuals listed.

Name	Position	Individual & Position Reporting To

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 the retail of cannabis.

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.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

Criminal / Litigation / Disciplinary Information - Continued

17. 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**

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

18. Has the applicant ever had any cannabis retailer licence/approval denied, suspended, revoked or made subject to any sanctions or fines?

☐ No ☐ Yes – **Check (☑) one**

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

19. Has the applicant ever been the defendant or plaintiff in a lawsuit in the last five years? (include all collection matters, debt matters, bankruptcy, insolvency or liquidation)

☐ No ☐ Yes – **Check (☑) one**

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

FINANCIAL INFORMATION

INSTRUCTIONS Ensure all questions are answered and all documents are provided.

20. Attach financial statements for the last three years .....Attachment(s) # _____

21. Attach copies of completed income tax returns and GST Returns for each jurisdiction in which the applicant is required to file for the last three years. Include all schedules, information slips and notices of assessment/reassessment. .....Attachment(s) # _____

22. The following documents must be provided:

    i. Retail store budget (including start-up costs, if applicable). .....Attachment(s) # _____

    ii. Business plan.....Attachment(s) # _____

    iii. Source of funds (i.e. bank statement, loan agreement, shareholder loan account etc.). .....Attachment(s) # _____

23. Is the applicant a publicly-traded company?

    ☐ No ☐ Yes

    i. Stock Symbol..... _____

    ii. Traded on ..... _____

24. List all current financial obligations of the Applicant Entity.

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.

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 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, My Appointment Expires
Commissioner for Oaths,
Or Other Individual Authorized to take Declarations

CONSENT TO RELEASE INFORMATION

Applicant's Name _____

Alberta Gaming, Liquor and Cannabis ("AGLC") is required to conduct background checks and collect information to determine the eligibility of Applicants for licences and registrations pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. This consent form will allow AGLC to verify and investigate the information provided by the Applicant in the applicant disclosure application form. AGLC authority to collect personal information from third party sources is section 34(1)(a)(i) and(ii) of the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c.F-25 (FOIP) pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation. AGLC is required under the *FOIP Act* 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 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 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 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 AGLC and permit 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.

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 regulatory, licensing or administrative body foreign or domestic; or

   iii) any federal, provincial, state, or municipal government, foreign or domestic,

   to release information to AGLC and permit 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 cannabis retail 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 cannabis retailer 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 cannabis retailer, 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 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 AGLC.

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

_____ _____

Company Owner or President Signature PRINTED Title

Associated Applicant Disclosure

Cannabis Retailer

Alberta Gaming, Liquor & Cannabis (AGLC) will only approve a Cannabis Retailer after a thorough investigation. Full disclosure is required.

The approval for a Cannabis Retailer is a privilege not a right. The burden of proving eligibility is at all times on the applicant.

An approval 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 10% or more must be approved by**, and a due diligence investigation conducted by, AGLC prior to any sale, assignment or transfer taking place.

Read the Instructions carefully – it contains important information required for the completion of the disclosure package.

Submit the completed Due Diligence application forms (Applicant Disclosure, Associated Applicant Disclosure, Personal Disclosure) in a **sealed** envelope marked **"Personal & Confidential – To Be Opened By Addressee Only" and addressed** to:

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

Ensure that the courier package is prepaid and clearly labelled.

For further information please contact Due Diligence at:

Telephone: 780-732-6300
Fax: 780-447-8692
E-Mail duediligence@aglc.ca

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor & Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence, registration or approval.
3. **Associated Applicant** – Individual, corporation or other entity that is or will be a(n)
   - **i.** Owner,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any individual or entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a licence under the *Gaming, Liquor and Cannabis Act (Alberta)* that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
6. **Control** –
   - **i.** Power to direct.
   - **ii.** 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 corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an associated applicant that has direct or indirect control of 10% or more of the **applicant**.
7. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
8. **Director** –
   - **i.** Those individuals 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.
9. **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 anything of value, with or without security, or
   - **iv.** Any individual or corporate entity related to an applicant or associated applicant that holds a direct or indirect financial interest of 10% or more in the **applicant**.
10. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.
    - **ii.** Individuals employed in senior management positions such as CEO, CFO, controller, 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.** Any other individual holding a key position as determined by AGLC.
11. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act (Alberta)* and, includes an agreement, permit,

certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act (Alberta).*

12. **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, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

13. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the applicant by virtue of an adult interdependent relationship.

14. **Promoter** – Any individual, corporation or other entity who

    i. Acting alone or in concert with one or more other individuals or corporate entities, 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, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

15. **Qualified Cannabis Worker** –

    i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

    ii. No individual may act as a worker unless qualified by AGLC.

16. **Cannabis Representative** –

    i. No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.

    ii. No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.

B. COMPLETING THE DISCLOSURE

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the applicant and an associated applicant(s).
2. AGLC may request disclosure from other individuals and entities associated with the applicant.
3. 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. Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.

4. All disclosures must be typed or printed clearly. Illegible disclosures will be returned.
5. The disclosure may not be modified in any way. Modified disclosures will be returned.
6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.
7. 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.
8. All attachments must be an accurate copy of the original, and be signed by you.
9. The disclosure must be signed/initialed as follows

    i. Initial and date each page to verify all statements made are accurate, all material facts are included, and all requested information and documents are provided.

    ii. Sign the consent to criminal and financial checks – your partner must also sign.

iii. Sign the Statutory Declaration. The Declaration must be witnessed by an individual authorized to take declarations.

iv. Sign the Consent Waiver.

10. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.

11. Incomplete disclosures will be returned to the appropriate individual for completion.

IMPORTANT INFORMATION

12. All information and documents provided as part of this disclosure

    i. Become the property of AGLC and will not be returned.

    ii. Are confidential and will be treated as such.

    iii. Are for AGLC's use to determine the applicant's eligibility for a licence, registration or approval.

    iv. Will be verified through an investigative process – further information, documents or clarification may be requested.

C. 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 consent.

2. The authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the *Gaming and Liquor Regulation (*Alberta) and FOIP Sections 33(a) & (c).

3. All application packages shall be kept confidential and shall only be released in accordance with the

    i. Consent Waiver.

    ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

4. Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

ASSOCIATED APPLICANT IDENTITY

1. **Associated Applicant's** full legal name: _____

2. This Associated Applicant Disclosure is being completed on behalf of the following Retailer**:**

   _____

3. Business Address .....Street _____

   City _____ Province _____

   Country _____ Postal Code _____

   Telephone _____ E-Mail _____

   Website _____

4. Mailing Address .....Street/Box # _____

   City _____ Province _____

   Country _____ Postal Code _____

5. Company Representative to contact regarding this disclosure:

   Name _____

   Position _____ Birth Date _____

   Mailing Address _____

   City _____ Province _____

   Country _____ Postal Code _____

   Telephone _____ E-Mail _____

6. Is the Associated Applicant known by any other name?

   ☐ No ☐ Yes, list all names _____

7. Provide any updated document(s) since previous disclosure.

		Document Attached?		Attachment #	N/A
i.	Change to Certificate and Articles of Incorporation	☐ No	☐ Yes	_____	☐
ii.	Memorandum of Association	☐ No	☐ Yes	_____	☐
iii.	Unanimous Shareholders Agreement	☐ No	☐ Yes	_____	☐
iv.	Partnership Agreement	☐ No	☐ Yes	_____	☐
v.	Other – specify _____	☐ No	☐ Yes	_____	☐

CORPORATE STRUCTURE

8. List all the Associated Applicant's **current** owners, investors, promoters, parent or holding companies, shareholders and partners (in a partnership).

   i. Personal and Associated Applicant Disclosures must be provided.

   ii. Disclosures are not required for shareholders/partners of less than 10% **of the Applicant**; **however, these must be listed** and disclosures may be required at a later date.

Individual/Person Name	Position or Relationship	% of Ownership

9. List all **current** directors and officers in the Associated Applicant. Personal Disclosures **must be provided** for all individuals listed.

Name	Position

10. Total current number of employees – **Associated Applicant:** _____

11. Attach **current** organizational charts showing the ownership and reporting structure including all key employees.

12. List all **current** key employees. Personal Disclosures **must be provided** for all individuals listed.

Name	Position	Individual and Position Reporting To

13. List all other corporate entities **currently** associated to the Associated Applicant. Include all subsidiary companies and those the Associated Applicant has a financial, organizational or managerial interest in.

Name	Relationship	Contact Name & Telephone Number

ASSOCIATED APPLICANT'S ASSOCIATION WITH APPLICANT AND/OR OTHER ASSOCIATED PERSON(S)

14. Is/will the Associated Applicant be an owner, investor, partner (in a partnership), promoter or shareholder in the Applicant and/or other Associated Applicant(s)?

☐ No ☐ Yes, state the following. Indicate ownership/investment for any other Associated Applicant with an asterisk (*).

(*)	Amount invested / to be invested	# and % of shares/units held / to be held	Class (voting, non-voting, preferred)	How was/will the investment be made (shareholder loan, purchase of shares/units)	Source of investment (personal savings, loan or investment) and repayment plan. Attach a copy of all agreements, documents and financial records for each transaction.

15. Will the Associated Applicant's interest in either the applicant or a second Associated Applicant be assigned, pledged or sold either in whole or in part?

☐ No ☐ Yes, provide the following. Indicate with an asterisk (*) if for a second Associated Applicant.

(*)	Person(s) Name	Contact Name (if applicable) and Mailing Address	Telephone #	Agreements, documents, financial records Attachment #

16. Has the Associated Applicant ever been licenced/registered with AGLC? ☐ No ☐ Yes – **Check (☑) one**

Licence/Registration Type	Date Licenced/Registered & Status	Details

17. Has the Associated Applicant ever been involved in any capacity in the production, distribution or selling of Cannabis? ☐ No ☐ Yes – **Check (☑) one**

Name & Address of Regulatory Agency	Date	Contact Name & Telephone Number	Details

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing the **Associated 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 the retail of cannabis.

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 Associated 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.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

18. Has the Associated 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**

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

19. Has the Associated Applicant ever had any cannabis retailer licence/approval denied, suspended, revoked or made subject to any sanctions?

☐ No ☐ Yes – **Check (☑) one**

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

20. Has the Associate Applicant ever been the defendant or plaintiff in a lawsuit in the last five years? (include all collection matters, debt matters, bankruptcy, insolvency or liquidation)

☐ No ☐ Yes – **Check (☑) one**

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

FINANCIAL INFORMATION

INSTRUCTIONS Ensure all questions are answered and all documents are provided.

21. Attach financial statements for the last three years .....Attachment(s) # _____

22. Attach copies of completed 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 assessment/reassessment notices .....Attachment(s) # _____

23. Is the Associated Applicant a publicly-traded company?

☐ No ☐ Yes, provide

i. Stock Symbol ..... _____

ii. Traded on ..... _____

24. Has the Associated Applicant or any person(s) associated to the Associated Applicant entered into any type of management, franchise, service contract or agreement with respect to any cannabis retailer activity?

☐ No ☐ Yes – **Check (☑) one**

Name	Relationship, if any, to Associated Applicant	Contract	Amount Paid	Purpose	Terms	Attachment #

COMPANY REPRESENTATIVE STATUTORY DECLARATION

COMPANY REPRESENTATIVE COMPLETING ASSOCIATED APPLICANT DISCLOSURE

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 Associated 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

ASSOCIATED APPLICANT OWNER OR PRESIDENT
STATUTORY DECLARATION

Associated Applicant Full Legal Name _____

I, _____ *(Associated Applicant Owner or President)*

of the city of _____ in the province of _____

DO SOLEMNLY DECLARE THAT

1. I have read this Associated 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 Associated 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 _____

_____
Associated Applicant Owner or President's Signature

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

CONSENT TO RELEASE INFORMATION

Associated Applicant's Name _____

Alberta Gaming, Liquor and Cannabis ("AGLC") is required to conduct background checks and collect information to determine the eligibility of Applicants for licences and registrations pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. This consent form will allow AGLC to verify and investigate the information provided by the Applicant in the applicant disclosure application form. AGLC authority to collect personal information from third party sources is section 34(1)(a)(i) and(ii) of the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c.F-25 (FOIP) pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation. AGLC is required under the *FOIP Act* 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 AGLC to verify all information provided in the Associated Applicant disclosure form to which this consent form is attached (the "Associated Applicant Disclosure").

2. I executed the Associated 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 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 Associated 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 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 AGLC and permit 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.

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 regulatory, licensing or administrative body foreign or domestic; or

   iii) any federal, provincial, state, or municipal government, foreign or domestic,

   to release information to AGLC and permit 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 Associated Applicant may be a detriment to the integrity or lawful conduct of cannabis retail activities, by verifying whether or not

   iv) The Associated Applicant has acted, or is alleged to have acted, or any company in which the Associated 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 cannabis retailer licence of which the Associated Applicant held an interest in was refused, cancelled or suspended in any other jurisdiction;

   vi) The Associated Applicant, or any licensee of which the Associated Applicant held an interest in, received any fines or other sanctions in another jurisdiction pursuant to any cannabis retailer, securities, financial or criminal legislation or policy; or

   vii) The Associated 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 Associated Applicant to permit AGLC to conduct a criminal records check, and obtain, review and copy any such documents.

8. I acknowledge that the Associated 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 AGLC.

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

_____ _____

Company Owner or President Signature PRINTED Title

Personal Disclosure

Cannabis Retailer

Alberta Gaming, Liquor & Cannabis (AGLC) will only make a finding of suitability after a thorough investigation. Full disclosure is required.

The finding of suitability is a privilege not a right. The burden of proving eligibility is at all times on the applicant.

Read the Instructions carefully – it contains important information that is required for the completion of the disclosure package.

Submit the completed Due Diligence application forms (Applicant Disclosure, Associated Applicant Disclosure, Personal Disclosure) in a **sealed** envelope marked **"Personal & Confidential – To Be Opened By Addressee Only"** and addressed to:

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

For further information please contact Due Diligence at:

Telephone: 780-732-6300
Fax: 780-447-8692
E-Mail: duediligence@aglc.ca

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor & Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence, registration or approval.
3. **Associated Applicant** – Corporation or other entity that is or will be a(n)
   - **i.** Owner,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any individual or entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a licence under the *Gaming, Liquor and Cannabis Act (Alberta)* that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
6. **Control** –
   - **i.** Power to direct.
   - **ii.** 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 corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an associated applicant that has direct or indirect control of 10% or more of the **applicant**.
7. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
8. **Director** –
   - **i.** Those individuals 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.
9. **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 anything of value, with or without security, or
   - **iv.** Any individual or corporate entity related to an applicant or associated applicant that holds a direct or indirect financial interest of 10% or more in the **applicant**.
10. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.
    - **ii.** Individuals employed in senior management positions such as CEO, CFO, controller, 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.** Any other individual holding a key position as determined by AGLC.
11. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta) and, includes an agreement, permit,

certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta).

12. **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, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

13. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the applicant by virtue of an adult interdependent relationship.

14. **Promoter** – Any individual, corporation or other entity who

    i. Acting alone or in concert with one or more other individuals or corporate entities, 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, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

15. **Qualified Cannabis Worker** –

    i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

    ii. No individual may act as a worker unless qualified by AGLC.

16. **Cannabis Representatives** –

    i. No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.

    ii. No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.

B. Completing the Disclosure

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the applicant and an associated applicant(s).
2. AGLC may request disclosure from other individuals and entities associated with the applicant.
3. 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. Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.
4. All disclosures must be typed or printed clearly. Illegible disclosures will be returned.
5. The disclosure may not be modified in any way. Modified disclosures will be returned.
6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.
7. 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.
8. All attachments must be an accurate copy of the original, and be signed by you.
9. The disclosure must be signed/initialed as follows
    i. Initial and date each page to verify all statements made are accurate, all material facts are included, and all requested information and documents are provided.
    ii. Sign the consent to criminal and financial checks – your partner must also sign.

iii. Sign the Statutory Declaration. The Declaration must be witnessed by an individual authorized to take declarations.

iv. Sign the Consent Waiver.

10. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.

11. Incomplete disclosures will be returned to the appropriate individual for completion.

C. IMPORTANT INFORMATION

1. All information and documents provided as part of this disclosure

i. Become the property of AGLC and will not be returned.

ii. Are confidential and will be treated as such.

iii. Are for AGLC's use to determine the applicant's eligibility for a licence, registration or approval.

iv. Will be verified through an investigative process – further information, documents or clarification may be requested.

D. 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 consent.

2. The authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the *Gaming and Liquor Regulation* (Alberta) and FOIP Sections 33(a) & (c).

3. All application packages shall be kept confidential and shall only be released in accordance with the

i. Consent Waiver.

ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

PERSONAL INFORMATION

1. Personal Information:

Last	First	Middle

Date of Birth (YYYY/MM/DD)	Place of Birth

Gender	Citizenship	Social Insurance Number (SIN)

Maiden name	List all aliases and name changes including nicknames and the date changed

2. Addresses:

Home Address			
City	Province/State	Postal/Zip Code	Country

Home Telephone Number	Work Telephone Number	Cell Phone Number

E-mail Addresses (Work and Personal)

3. **Whereas you** will be involved in a sensitive position of trust, criminal and financial checks will be conducted on you and your partner.

   Consent to criminal and financial checks by signing below.

Your Signature

Spouse/Partner's Signature

4. This disclosure is being completed on behalf of the **following Applicant(s) and/or Associate Applicant(s) (entity/corporation):**

5. Have you or your partner ever been a Director, Shareholder or Key Employee of an AGLC Registrant or Licensee? ☐ No ☐ Yes

6. Is this the first time you have completed a disclosure for AGLC? ☐ No ☐ Yes

7. List all residences for the past three years, beginning with current residence. **Attach copy of most recent property tax assessment for all currently owned property.**

Date		Owned or Rented	Monthly mortgage or rent payment	Property Details: Legal Land Description and Address (Street, City, Province/State, Country, Postal Code/Zip Code)
From (MO/YR)	To (MO/YR)			

8. Sign below to authorize AGLC to discuss this disclosure with an individual other than yourself:

☐ You **ONLY**, OR

Individual's Name			
Mailing Address	City	Province/State	Postal/Zip Code
Home Telephone Number	Work Telephone Number	E-mail Addresses (Work and Personal)	

I AUTHORIZE AGLC to contact and discuss any aspects of this disclosure with the individual named above:

SIGNED BY (YOU): _____

9. Have you or your partner ever been involved in any capacity in the production, distribution or selling of Cannabis? ☐ No ☐ Yes

EMPLOYMENT / WORK HISTORY

10. Current Employer Information:

Current Employer		Occupation/Title		Since Date	Salary
Address	**City**	**Province/State**	**Postal/Zip Code**	**Country**	

11. List your employment history for the past ten years, including all periods of unemployment, starting with the most recent.

From (MO/YR)	To (MO/YR)	Position	Name of Employer	Reason for Leaving

FAMILY INFORMATION

12. I am **currently** ☐ Married ☐ Engaged ☐ Divorced ☐ Separated ☐ Widowed ☐ Single ☐ Common Law ☐ Cohabitating

13. If married, common-law or cohabitating, the following questions must be completed regarding your partner.

Note: A criminal records and financial check will be conducted on all spouses, who must sign the consent to a criminal records check and consent to financial check.

Last Name	First	Middle
Date of Birth (YYYY/MM/DD)	Gender	Social Insurance Number (SIN)
List all aliases and name changes, legal or otherwise, include nicknames and maiden name and the date changed		

14. List all compensated employment, held by your partner during the last three year period, beginning with their current employer.

From: (MO/YR)	To (MO/YR)	Name, Address and Telephone Number of Employer	Title/Position Held

i. Does your partner have any involvement with the cannabis industry?

☐ No ☐ Yes, provide details _____

15. List **all** your children, step-children and adopted children (dependent or not), and any other dependent individual(s).

Name	Birth Date	Relationship	Amount of Support Received	Dependant (Y/N)

16. Your current dependent/(ex-)partner support obligations

☐ I am not subject to a court order or other agreement for the support of a child/dependent or (ex-) partner.

☐ I am subject to a court order or other agreement for the support of a child/dependent or (ex-) partner, and am in compliance with the order/agreement.

☐ I am subject to a court order or other agreement for the support of a child/dependent or (ex-) partner, and am NOT in compliance with the order.

Public agency/court responsible for enforcing support order/agreement

Agency Name & Contact Person	Telephone Number	File Number

BUSINESS INTERESTS

When answering the following questions, indicate with an asterisk (*) before each item/line, answers that pertain to your partner or dependent.

17. List all corporations/entities that you or your partner have or have had a financial, ownership, organizational or shareholder interest in - do not include publicly traded corporations in which you own less than 10% of stock. List all corporations owned during the past ten years.

(*)	Dates		Name and Location of Corporation/Entity	% interest held	Current Status of Business	Name & Address of Other Owners (Other than a publicly traded company)
	From (MO/YR)	To (MO/YR)				

18. List all corporations/entities that you or your partner are/were associated with as an officer, director or other similar capacity. Include non-profit societies, charitable entities and family trusts. List all associations for the past ten years.

(*)	Dates		Position Held and/or Nature of Interest	Compensation Received	Name and Address of Corporation/Entity
	From (MO/YR)	To (MO/YR)			

19. I am/will be associated with the corporate applicant and/or corporate associated applicants as one of the following – include all positions currently held or proposed:

Position	For Corporate Applicant Position Held and Since Date	For Corporate Associated Applicant Position Held and Since Date
☐ Owner/Investor		
☐ Director/Officer		
☐ Key Employee		

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing **your** character, honesty and integrity and may result in **you** being found unsuitable.

A. You may be found unsuitable if your character, financial history or competence poses a threat to the integrity of the retail of cannabis.

B. Enquiries will be made to determine if you, or your partner has ever been charged with or convicted of, or is subject to pending charges for a criminal, regulatory, civil or other statutory offence.

C. You, the applicant and all associated applicants 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 a licence or 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 or registration.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

INSTRUCTIONS

1. Provide all required information **even if**
   - **i.** The charges were dismissed or subsequently downgraded to a lesser charge.
   - **ii.** You completed an alternative measures or other similar program.
   - **iii.** You were not convicted.
   - **iv.** You did not serve any time in prison or gaol.
   - **iv.** The investigation, charges or offences happened in another jurisdiction.
2. Do not provide information in questions 20 and/or 21 if you were charged under the provisions of the *Youth Criminal Justice Act (Canada)* or other similar legislation.

20. If you and/or your partner reside **in the United States** for a period of more than six months at a time, attach a criminal record check from a third party vendor, for both you and your partner, **that includes but is not limited to the following**:
    - Nationally accredited by a professional association i.e. PBSA (Professional Background Screening Association)
    - Use of an SSN (Social Security Number) and DOB (Date of Birth) as identifiers
    - Multiple jurisdictions such as municipal, county and/or federal criminal records checks
    - Date of order and issuance

21. If you and/or your partner reside **in any other country,** outside of Canada and the United States, for a period of more than six months at a time, attach a criminal record check from the local police agency for both you and your partner.

    Attachment(s) #: _____

22. List all instances where you or your partner have **ever** been: investigated, charged, arrested, or convicted of any offence (except minor traffic violations), regulation or code?

(*)	Date	Reason for Investigation, Arrest, Charge and/or Conviction	Disposition and Sentence	Enforcement Agency Name and Location

23. List all instances where you or your partner have ever been investigated, disciplined, fined or sanctioned by any regulatory body (i.e. cannabis, liquor, securities, professional, etc.).

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

24. List all instances where you or your partner have been a defendant or plaintiff in any civil action or lawsuit in the last ten years?

(*)	Date	Reason for Action or Lawsuit	Disposition and/or Judgement	Court Type and Location

FINANCIAL

INSTRUCTIONS

1. Financial information must be provided for **you, your partner/spouse and adult dependents**. Indicate with an asterisk (*) before each item/line answers that pertain to your partner/spouse or dependent.
2. If not using Canadian funds, identify currency used.

25. If you and/or your partner reside outside of Canada or the United States for a period of more than six months at a time, attach a current credit bureau check for both you and your partner from each jurisdiction where you reside. Attachment(s) #: _____

26. Personal income tax Notices of Assessment/Reassessment from Canada Revenue Agency, from the appropriate jurisdiction(s) for the last three (3) years **must be attached**. Attachment(s) #: _____

27. Complete the following net worth statement:

Assets		Liabilities	
Asset	Current Value (A)	Liability	Amount Outstanding (B)
Cash (On Hand & In Financial Institutions)		Mortgages and/or Lease Obligation	
Stocks and Other Marketable Investments		Loans and Lines of Credit	
Vehicles		Credit Cards	
Real Estate Interests		Taxes Payable	
Cash Value Pension/Retirement Funds		Other Liabilities	
Other Assets		**Total Liabilities**	
Total Assets		Total Assets (A) **Less** Total Liabilities (B)	

28. If you answer yes to the following, include a narrative explaining your answer (as an attachment):
   - **i.** In the last ten years has any level of government filed a lien against or seized any of your or your partner's assets? ☐ No ☐ Yes
   - **ii.** In the last ten years have you or your partner been a defendant in any collection or debt matters? ☐ No ☐ Yes
   - **iii.** In the last ten years have you or your partner had your wages or assets garnisheed? ☐ No ☐ Yes
   - **iv.** In the last ten years have you or your partner applied for any financial monitoring or consumer proposal? ☐ No ☐ Yes
   - **v.** Have you or your partner ever declared bankruptcy? ☐ No ☐ Yes

STATUTORY DECLARATION

I, _____,
(PRINT full LEGAL name)

of the city of _____ *in the province/state of* _____,

DO SOLEMNLY DECLARE THAT

1. I personally supplied and/or verified all information contained in this personal applicant disclosure ("Disclosure"), and I have personally initialled and dated each page of this Disclosure.

2. I understand and read the English language or I have had an interpreter read, explain and record the answer to each and every question on this Disclosure.

3. The information provided on this Disclosure is true, accurate and complete to the best of my knowledge, and all requested documentation has been provided.

4. Any document accompanying this Disclosure that is not an original document is an accurate copy of the original document.

5. I executed 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 it may result in the applicant being rejected for licence or registration by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any finding of suitability to be suspended or revoked.

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

in the city of _____, in the province/state of _____

this _____ day of _____, 20_____.

_____
Your Signature

_____
Notary Public, Justice of the Peace, Commissioner for Oaths, or
Other Person Authorized to Take Declarations

My appointment expires: _____

Alberta Gaming, Liquor & Cannabis ("AGLC") is required to conduct background checks and collect information to determine the eligibility of applicants pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. The AGLC is required under the *Freedom of Information and Protection of Privacy Act* to protect the confidentiality of personal and corporate information. The information is strictly for the use of the AGLC and is intended to be used for the purpose for which it was collected.

CONSENT WAIVER

Your Name: _____

1. I authorize AGLC to verify all information provided by me in the Personal Applicant Disclosure (the Disclosure) or other information identified during the course of the background investigation. The information is strictly for the use of AGLC and is intended to be used for the purpose of a background investigation pursuant to Section 9 and 9.1 of the GLCR.

2. I authorize the following entities to release to AGLC any documents, records or correspondence that are, or may be, relevant to determining whether I may be a detriment to the integrity or lawful conduct of cannabis activities:

i) Canada Revenue Agency or the United States Internal Revenue Service, or other equivalent foreign taxing authority;

ii) Financial institutions including banks, credit unions, trust companies, investment dealers or brokerage houses;

iii) Credit reporting agencies;

iv) Law enforcement agencies, police services or sheriff's office (release of criminal record);

v) Other regulatory, licensing or administrative bodies; or

vi) Federal, provincial, state, or municipal government.

3. I authorize AGLC to share with the entities listed above the information I have provided or other information identified during the course of the background investigation.

4. I authorize AGLC to conduct ongoing investigations, including but not limited to checks for outstanding criminal charges, criminal records, police intelligence and credit bureau.

5. This authorization shall be in effect for the duration of the registration, licence or approval granted by AGLC.

6. I acknowledge that additional consent may be required for the collection of information from the entities listed above and agree to cooperate and provide any further consent as may be required throughout the course of the background investigation.

7. I acknowledge that I 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 AGLC.

8. I authorize a reproduction of this request to be treated as the original.

Dated this _____ day of _____, 20_____

_____

Your Signature