

Alberta Gaming, Liquor and Cannabis Commission (AGLC) will issue a licence or registration after a thorough investigation. Full disclosure is required.

The granting of a licence, registration or a finding of suitability is a privilege not a right. The burden of proving eligibility is at all times your responsibility.

The applicant for a licence or registration is responsible to pay all costs associated with the due diligence investigation pursuant to Section 28 of the Gaming, Liquor and Cannabis Regulation (GLCR).

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

To maintain confidentiality, submit all disclosures in a sealed envelope marked and addressed as follows:

- In hard copy marked “**Personal & Confidential – To Be Opened by Addressee Only**” to

AGLC
Due Diligence Unit, Audit Services Branch
50 Corriveau Avenue
St. Albert, AB, Canada T8N 3T5
Attention: Senior Manager, Due Diligence

Ensure that the courier package is prepaid and clearly labelled.

- Electronically via a Secure File Transfer Protocol (SFTP). Please contact Due Diligence for electronic submission instructions at duediligence@aglc.ca.

All information and documents provided as part of this application package become the property of AGLC and will not be returned. Keep a copy of all disclosures for your records. You may be contacted for further information, documents or clarification.

For further information contact the Due Diligence Unit at DueDiligence@aglc.ca.

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor and Cannabis Commission.
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. **Casino Facility Licence** – A licence issued by the AGLC that authorizes the operation of a casino facility.
5. **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**.
6. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
7. **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.
8. **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**.
9. **Gaming** – Includes all types of gaming/gambling e.g., bingo, casino, raffle or lottery, video lottery terminal, slot machine, junket operation, horse racing, dog racing, pari-mutuel operation, sports betting, internet gaming, and the distribution or manufacture of any type of gaming supply.
10. **Gaming Entertainment Centre (GEC)** – is a gaming facility with between 15 and 30 VLTs.
11. **Gaming Supplier** – Any individual, corporation or other entity that makes, sells, advertises or distributes gaming supplies either directly or indirectly to any licensed gaming facility and/or charity in Alberta.
12. **Gaming Supplies** – Supplies, equipment and devices designed to be used in a gaming activity, does not include normal office supplies.
13. **Gaming Worker** –
 - i. Means an individual who is paid to assist a gaming licensee in the conduct or management of a gaming activity, or an individual who is paid to

assist a facility licensee in the operation of a licensed facility.

- ii. A gaming worker may be required to be registered with the AGLC.
- iii. If the gaming worker is paid for their services through a corporate entity, this entity must be registered as a gaming worker supplier.

14. Gaming Worker Supplier –

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

15. 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 the AGLC.

16. 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 the AGLC’s opinion, is similar to a licence/ registration issued under the *Gaming, Liquor and Cannabis Act (Alberta)*.

17. 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.

18. 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.

19. 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.

20. Racing Entertainment Centre (REC) –

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

21. Registered Gaming Worker –

- i. Means an individual registered with the AGLC and who assists a facility licensee in the operation of a licensed facility.
- ii. No individual may act as a gaming worker unless registered by the AGLC.
- iii. If the registered gaming worker is paid for their services through a corporate entity, this entity must be registered as a gaming worker supplier.

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. The AGLC may request disclosure from other individuals and entities associated with the applicant.

3. Each individual must complete forms Personal Disclosure-5561PI and Personal Disclosure-5561CW. In addition to these forms the following positions must also complete additional forms:
 - i. Cashier's Cage Advisors / Count Room Advisors / Dual Advisors – form Special Requirements-5561A
4. 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.
5. All disclosures must be typed or printed clearly. Illegible disclosures will be returned.
6. The disclosure may not be modified in any way. Modified disclosures will be returned.
7. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.
8. 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.
9. All attachments must be an accurate copy of the original.
10. 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 Personal Declaration.
 - iv. Sign the Consent Waiver.
11. Incomplete disclosures will be returned to the appropriate individual for completion.
 - ii. Are confidential and will be treated as such.
 - iii. Are for the AGLC's use to determine the applicant's eligibility for a licence, registration 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 Special Requirements Pages for Registered Gaming Workers will be forwarded to AGLC Licensing Registrations for processing.
3. The authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the *Gaming, Liquor and Cannabis Regulation* (Alberta) and FOIP Sections 33(a) & (c).
4. 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).
5. Disclosure documents are classified “PROTECTED B” and are handled as such.

C. IMPORTANT INFORMATION

1. All information and documents provided as part of this disclosure
 - i. Become the property of the AGLC and will not be returned.

PERSONAL INFORMATION

1. Personal Information:

Last	First	Middle
Date of Birth (YYYY/MM/DD)		Place of Birth
Gender	Attach a Copy of your Birth Certificate	
	<input type="checkbox"/> Previously provided or Attachment: _____	
Maiden Name	List all aliases and name changes including nicknames and the date changed	
Citizenship		Social Insurance Number

2. Addresses:

Home Address			
			<input type="checkbox"/> Rent <input type="checkbox"/> Own
City	Province/State	Postal/Zip Code	Country
Home Telephone Number	Work Telephone Number	Cell Phone Number	
E-mail Addresses (Work and Personal)			
Mailing Address – if different from above			<input type="checkbox"/> Same as home address
City	Province/State	Postal/Zip Code	Country

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

6. AGLC Registered Gaming Worker Number (if applicable): _____

7. Attach a passport photograph:

i. You must sign the back.

ii. Date that the photo was taken.

(must be within the last three months): _____

**ATTACH PHOTO HERE
MUST BE ATTACHED FOR
EASY REMOVAL**

8. List all residences for the past ten years.

Date		Primary Residence (Yes/No)	Location of Property (Street, City, Province/State, Country, Postal Code/Zip Code)
From (MO/YR)	To (MO/YR)		

9. Sign below to authorize the 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 THE AGLC to contact and discuss any aspects of this disclosure with the individual named above.

SIGNED BY (YOU): _____

10. Beginning with high school, provide the information listed below with respect to each school, college, university, trade school, graduate or post graduate school you have attended.

From (MO/YR)	To (MO/YR)	Name And Address Of School, Training Program, Etc.	Description of Education Program	List Any Degree Or Certification Attained and Year	Graduated Yes or No

11. Have you or your partner ever made application for or held any professional or occupational licence or designations - i.e. doctor, nurse, lawyer, designated accountant, etc.?

From (MO/YR)	To (MO/YR)	Name on Licence	Type of Licence	Name and Address of Licensing Agency/Organization	Disposition of Application

EMPLOYMENT / WORK HISTORY

12. Current Employer Information:

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

13. List your employment history for the past ten years, including all periods of unemployment.

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

14. Have you ever served in a military organization of any country or have you been an active or inactive member of a reserve force of any country?

No Yes, **Check (X) one**

If yes provide the following information:

Country of Service	Branch of Service	Highest Rank Held	Service Number
Periods of Active Service		Type of Release/Discharge	

15. Have you ever served as a member of a law enforcement agency (include municipal, provincial, federal)?

No Yes, **Check (X) one**

If yes provide the following information:

Agency Name	Highest Rank Held	Regimental/Badge Number
Periods of Service		Type of Release/Discharge

16. In regard to the above military and/or police service, have you ever had charges filed against you, been tried by military court martial or been subject to an internal investigation?

No Yes, **Check (X) one**

If yes provide the following information:

Nature of Charge or Arrest	Date and Location of Charge or Arrest	Name of Organization Filing Charges	Disposition (convicted, acquitted, dismissed, etc.)	Sentence

FAMILY INFORMATION

17. I am currently: Married Engaged Divorced Separated Widowed Single Common Law Cohabiting

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

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

19. Partner's Address:

Same as me

Home Address			Home Telephone Number
City	Province/State	Postal/Zip Code	Country

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

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

21. 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	Dependent (Y/N)

22. List the name, city of residence and most recent occupations of your parents and parents-in-law.

	Name	City	Occupation
Father			
Mother			
Father in Law			
Mother in Law			

23. List all relatives currently engaged in or employed by the gaming industry. Include children and your partner.

Name of Relative	Relationship	Position in Gaming Industry	Name of Employer

24. List all your previous marriages/relationships. Do not include current partner.

Name of Former Partner(s) (include maiden name if applicable)	Birth Date	Date and Place of Marriage	If Annulled, Separated or Divorced, Provide Date and Jurisdiction

25. 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.

26. List all corporations/entities that you or your partner have 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)				

27. 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)			

28. 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
<input type="checkbox"/> Owner/Investor		
<input type="checkbox"/> Director/Officer		
<input type="checkbox"/> 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 gaming.
- B. Enquiries will be made to determine if you or your partner have 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 30 and/or 31 if you were charged under the provisions of the *Youth Criminal Justice Act (Canada)* or other similar legislation.

29. 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

30. 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) #: _____

31. 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

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

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

33. 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 Judgment	Court Type and Location

34. If you answer yes to any of the following, include a narrative explaining your answer (include as an attachment):

- i. Have you or your partner ever been barred or otherwise excluded for any reason from any form or type of gaming facility?
 No Yes
- ii. Have you or your partner ever been employed by or associated with an individual, entity or corporation connected in any way with an illegal gaming enterprise or activity?
 No Yes
- iii. Have you or your partner ever been denied, suspended or removed from a position of trust for breach of trust or inappropriate actions?
 No Yes
- iv. Have you or your partner ever been discharged, suspended or asked to resign from employment or from a professional organization?
 No Yes

FINANCIAL

INSTRUCTIONS

- 1.** Financial information must be provided for you, your partner and dependents.
- 2.** When answering financial questions, indicate with an asterisk (*) before each item/line answers that pertain to a partner or dependent.
- 3.** If not using Canadian funds, identify currency used. _____

35. If you and/or your partner reside outside of Canada for a period of more than six months at a time, attach a credit bureau report that is current within the last 3 months, for both you and your partner from each jurisdiction where you reside. Attachment(s) #: _____

36. List all instances in the last five years where you, your partner or dependent(s) have given a guarantee, co-signed or otherwise insured payment of a loan, debt or other financial obligation.

(*)	Nature of Obligation (Personal Guarantee, Etc.)	Primary Debtor	Date Obligation Made	Original Balance	Current Balance	Status of Debt

37. List all assets or liabilities currently held in trust by you, your partner or dependent(s).

(*)	Description of Trust	Location of Trust	Names of Other(s) With Interest in Trust

38. List all individuals or entities that currently hold, manage or control in trust, any assets or liabilities on behalf of you, your partner or dependents.

(*)	Name of Person	Location of Trust	Names of Other(s) With Interest in Trust

39. List all instances in the last five years where you, your partner or dependents exchanged currency of \$10,000 CAD or more in any calendar year.

(*)	Date	Amount of Exchange	Location Where Exchange Made	Reason for Exchange	Did you fill out or file any Governmental Reporting Document?

40. List all instances in the last five years where you, your partner or dependents have filed any insurance, civil, or other similar claims exceeding \$10,000 CAD.

(*)	Date of Claim	Nature of Claim	Name and Address of Insurance Carrier or Equivalent	Disposition

41. List all instances in the last five years where you, your partner or dependents have given or received any gift exceeding \$10,000 CAD, monetary or otherwise.

(*)	Date	Given or Received	Name of Donor/Donee	Description of Gift	Approximate Value

42. If you answer yes to any of the following, include a narrative explaining your answer (include 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
 - vi. Have any corporations in which you, your partner or dependents held a 10% or greater ownership interest, or served as an officer or director ever declared bankruptcy or insolvency or been placed in receivership?
 No Yes
43. Attach all completed **personal** income tax and GST returns for you and your partner. Also include returns for those dependents whose income exceeds \$10,000 CAD. Include all T slips, supplementary schedules, Notices of Assessment/Reassessment.
- First disclosure: attach returns for the last five years for each individual.
- Subsequent disclosure: attach the last filed return and any not provided with a previous disclosure. Attachment # _____
44. Attach all **corporate** tax returns, Notices of Assessment/Reassessment and GST returns, for all corporations that you, your partner or dependents have a controlling interest in.
- First disclosure: attach corporate returns for the last five years for each individual.
- Subsequent disclosure: attach the last filed returns and any not provided with a previous disclosure. Attachment # _____
45. Attach all corporate financial statements including all notes to financial statements for all corporations that you, your partner or dependents have a controlling interest in.
- First disclosure: attach financial statements for the last five years.
- Subsequent disclosure: attach the last financial statements and any not provided with a previous disclosure. Attachment # _____

46. STATEMENT OF ANNUAL INCOME

List all sources of annual income including non-taxable sources (gifts, etc.) for you, your partner and dependents for the last five years.

First disclosure: starting with the most **current** year, plus the last five years.

Subsequent disclosure: provide the most **current** year to date annual income and income for years not provided on a previous disclosure.

i. You:

Source of Income		Current Year to Date (Estimate)	Year #1 20	Year #2 20	Year #3 20	Year #4 20	Year #5 20
Employment Income	\$						
Pension & Annuities	\$						
Dividends	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
TOTAL INCOME	\$						

ii. Your Partner:

Source of Income		Current Year to Date (Estimate)	Year #1 20	Year #2 20	Year #3 20	Year #4 20	Year #5 20
Employment Income	\$						
Pension & Annuities	\$						
Dividends	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
TOTAL INCOME	\$						

iii. Dependent #1 – Name: _____

Source of Income		Current Year to Date (Estimate)	Year #1 20	Year #2 20	Year #3 20	Year #4 20	Year #5 20
Employment Income	\$						
Pension & Annuities	\$						
Dividends	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
TOTAL INCOME	\$						

iv. Dependent #2 – Name: _____

Source of Income		Current Year to Date (Estimate)	Year #1 20	Year #2 20	Year #3 20	Year #4 20	Year #5 20
Employment Income	\$						
Pension & Annuities	\$						
Dividends	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
Other (specify) _____	\$						
TOTAL INCOME	\$						

47. STATEMENT OF ASSETS AND LIABILITIES

Prior to completing this Statement of Assets and Liabilities:

- i. Complete Schedules “A” to “M” (found in the following pages).
- ii. Ensure totals from the Schedules are then entered onto the appropriate line below.
- iii. Identify information provided for partner and dependent(s) with an asterisk (*) on the appropriate line.
- iv. Ensure all supporting documents are attached.

ASSETS			
	Asset	Sch. #	(A) Current Value
1	Cash On Hand		
1a	Cash In Financial Institutions	A	
2	Loans, Notes and Other Receivables	B	
3	GICs, Term Deposits and Mutual Funds	C	
4	Stocks and Other Marketable Investments	D	
5	Real Estate Interests	E	
6	Cash Value Pension/Retirement Funds	F	
7	Vehicles	G	
8	Other Assets	H	
9	Furniture/Clothing (Reasonable Estimate)		
TOTAL ASSETS			

LIABILITIES			
	Liability	Sch. #	(B) Amount Outstanding
10	Mortgages and Rent	I	
11	Loans and Lines of Credit	J	
12	Credit Cards	K	
13	Taxes Payable	L	
14	Other Liabilities	M	
TOTAL LIABILITIES			
Total Assets (Column A) Less Total Liabilities (Column B)			
Contingent Liabilities (if applicable)			

48. SCHEDULE A: CASH IN FINANCIAL INSTITUTIONS

List all bank accounts (foreign and domestic) currently held by you, your partner and dependents.

(*)	Name of Financial Institution	Name Appearing on Account	Transit Number and Account Number	Type of Account	Balance
Total Current Balance (Enter Amount on Line 1A)					

50. SCHEDULE C: GICs, TERM DEPOSITS AND MUTUAL FUNDS

List all GICs, Term Deposits and Mutual Funds currently held by you, your partner and dependents. Attach current account statement(s).

(*)	Date Acquired	Name of Fund	Name of Institution	Cost at Acquisition	Current Market Value
					<p>Total Current Market Value (Enter Amount on Line 3)</p>

51. SCHEDULE D: STOCKS AND OTHER MARKETABLE INVESTMENTS

List all stocks and other marketable investments (i.e. securities, shares, ETFs, bonds, commodity accounts, stock options, etc.), **currently** held by you, your partner and dependents. Attach current account statement(s).

(*)	Publicly Traded (Y/N)	Number of Securities/ Contracts Held	Date Acquired	Type of Investment	Name of Institution	Cost at Time of Acquisition		Estimated Market Value of % Owned	
						Actual Cost	Market Value (if not the same as cost)		
								Total Current Market Value (Enter Amount on Line 4)	

52. SCHEDULE E: REAL ESTATE INTERESTS

List all real estate you, your partner or dependents own or have owned in the past 5 years.

Provide copies of all purchase and sales documents (unless previously provided).

(*)	Legal Land Description	Civic Address	Type of Property (Commercial/ Residential)	Date Acquired	Purchase Price of % Owned	Down Payment	Individuals or Entities Sharing Interest (Include % of Ownership for Each)	Annual Property Tax	Monthly Rental Income	Estimated Market Value of % Owned
										<p align="right">Total Current Market Value (Enter Amount on Line 5)</p>

53. SCHEDULE F: CASH VALUE – PENSION/RETIREMENT FUNDS

List the **current** cash value of all retirement and pension funds held by you, your partner and dependents. Attach current account statement(s).

(*)	Type of pension or retirement fund and Account Number (if any)	Employer/Institution	Cumulative Employee Contribution	Cumulative Employer Contribution	Date of cash Value	Current Cash Value
Total Cash Value (Enter Amount on Line 6)						

55. SCHEDULE H: OTHER ASSETS

List all other assets **currently** held by you, your partner and your dependents.

- Business interests such as joint ventures, partnerships, sole proprietorships, corporations and LLCs.
- Cash surrender value of whole life insurance.
- Other assets (i.e. art/coin/stamp collections, tools, jewellery, antiques, etc.).

(*)	Nature of Asset	Percentage of Ownership	Date of Acquisition	Cost at Acquisition	Current Market Value
Total Current Market Value (Enter Amount on Line 8)					

56. SCHEDULE I: MORTGAGES AND RENT

List all mortgages and rental payments for which you, your partner and dependents are obligated. Attach current mortgage statement(s).

(*)	Name of Lender, Landlord	Date Incurred	Original Amount of Liability	Description/Address of Real Estate	Term of Mortgage	Interest Rate (%)	Monthly Payment	Current Mortgage Balance
Total Current Balance (Enter Amount on Line 10)								

56. SCHEDULE J: LOANS, LIENS AND LINES OF CREDIT

List all loans, liens and lines of credit for which you, your partner and dependents are obligated. Attach current account statement(s).

(*)	Name of Creditor	Account Number	Date Opened/ Incurred	Term	Interest Rate (%)	Nature of Account	Original Amount of Liability	Security Pledged	Monthly Payment	Current Balance
Total Current Balance (Enter Amount on Line 11)										

57. SCHEDULE K: CREDIT CARDS

List all credit cards for which you, your partner and dependents are obligated.

(*)	Name of Creditor	Interest Rate (%)	Paid in Full Monthly (Y/N)	Monthly Payment	Current Balance
Total Current Balance (Enter Amount on Line 12)					

59. **SCHEDULE M: OTHER LIABILITIES**

List all other liabilities for which you, your partner or your dependents are obligated (include liabilities to family members, friends, etc.).

(*)	Name of Creditor	Interest Rate (%)	Description of Liability, Type of Obligation and Nature of Security	Due Date	Payment	Original Amount	Current Balance
Total Current Balance (Enter Amount on Line 14)							



PERSONAL 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 Disclosure (“Disclosure”), and I have personally initialed 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 the 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.

DATED at the City of _____ in the province/state of _____,
this _____ day of _____, 20 _____.

Your Signature

The Alberta Gaming, Liquor and Cannabis Commission (the "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 the 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 the 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 the 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 gaming 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) Gaming commissions, or other regulatory, licensing or administrative bodies; or
 - vi) Federal, provincial, state, or municipal government.
3. I authorize the 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 the 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 the 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 the AGLC.
8. I authorize a reproduction of this request to be treated as the original.

Dated this _____ day of _____, 20_____

Your Signature

REGISTRATION CONDITIONS

The Gaming, Liquor and Cannabis Regulation states in part

- A. “Background check” means an inquiry or investigation conducted by the Commission to enable the Commission to determine the eligibility of an applicant to be registered or to continue to be registered, and includes but is not limited to an inquiry or investigation relating to the honesty and integrity, financial history and competence of the applicant or the registrant, or any person with connections to the applicant or registrant.
- B. The Commission may conduct any background check that it considers necessary or appropriate.
- C. **The board may refuse to register an applicant**
1. If the applicant or any of the applicant’s associates fails to pass a criminal record check. A person does not pass a record check if the person
 - i. Has within the five (5) years prior to the submission of an application, been charged with or convicted of an offence under
 - a) the *Criminal Code* (Canada),
 - b) the *Excise Act* (Canada),
 - c) the *Food and Drugs Act* (Canada),
 - d) the *Controlled Drugs and Substances Act* (Canada), or
 - e) a similar offence under a foreign Act or Regulation.
 - ii. Has at **any time** been charged with or convicted of an offence as described above if in the board’s opinion the offence is sufficiently serious that it may detract from the integrity with which gaming activities or provincial lotteries are to be conducted in Alberta or may be detrimental to the orderly or lawful conduct of activities authorized by a liquor licence or a registration relating to liquor.
 - iii. Has within the five (5) years prior to the submission of the application been serving a term of imprisonment of three (3) years or more.
 2. If the board is satisfied that the applicant or any of the applicant’s associates has within the five (5) years prior to the submission of the application contravened
 - i. The *Gaming, Liquor and Cannabis Act* (Alberta) (the “Act”) or Regulations under the Act,
 - ii. A predecessor of the Act or Regulations, or
 - iii. A condition imposed on a licence or registration issued or made under the Act or a predecessor of the Act.
 3. If the board is satisfied that the applicant or any of the applicant’s associates
 - i. Is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person,
 - ii. Would be a detriment to the integrity or lawful conduct of gaming activities or provincial lotteries,
 - iii. Is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta.
- D. 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. 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 registration.
- E. Failure to disclose any such involvement will be taken into account when assessing the applicant’s eligibility for registration.
- F. Applicants are not required to disclose any investigation, charge or offence if a pardon under the provisions of the *Criminal Records Act* (Canada) or similar legislation is received, or if any records relating to a charge or conviction have been expunged or otherwise officially sealed by a court or government agency.

Terms & Conditions and Operating Guidelines

- A. A registered gaming worker must notify the Commission immediately when charged with or convicted of an offence under
1. the *Criminal Code* (Canada),
 2. the *Excise Act* (Canada),
 3. the *Foods and Drugs Act* (Canada),
 4. the *Controlled Drugs and Substances Act*,
 5. a foreign Act or Regulation that is substantially similar to an offence referred to above,
 6. the *Gaming, Liquor and Cannabis Act* (Alberta), or
 7. the Gaming, Liquor and Cannabis Regulation (Alberta).

- B. If a registered gaming worker is charged or convicted as described above, the AGLC will review the registration. The review could lead to the board taking disciplinary action including but not limited to suspension or cancellation of the registration.
- C. If a registered worker has misled the board, failed to provide information or provided inaccurate information, the board may take disciplinary action including but not limited to suspension or cancellation of the registration.
- D. Any changes in address or surname must be reported immediately to the AGLC either by fax to 780-447-8912, by email to gaming.registrations@aglc.ca, or by telephoning Licensing Registrations at 780-447-8600 or toll-free at 1-800-272-8876.

Notice to Applicants

- A. Registration is subject to all information provided on this application being truthful and complete.
- B. The AGLC will review the registration if an individual fails to comply with these Registration Conditions; or is charged with, or convicted of, a criminal offence. This review could lead to the registration being suspended or cancelled.

Re-Applying

Registration can only be renewed by re-applying.

CasinoTrack Registration Cards

Registered gaming workers working at a casino facility on-line with CasinoTrack must have a valid CasinoTrack registration card. The card allows you to enter information in the CasinoTrack system. The following conditions apply

1. CasinoTrack cards are **not** transferable and one card must be on your person at all times when you are working at any licensed casino facility in Alberta. If you do not have a CasinoTrack registration card or fail to renew your gaming worker registration you will not be authorized to enter the CasinoTrack system and will not be allowed to work.
2. Cards may be used at all licensed casino facilities.
3. Any lost or stolen card must be reported immediately to the AGLC at 1-800-272-8876 or Fax 780-447-8912. When calling, refer to your reference number and your registration number located on the card still in your possession.
4. Cards will be replaced at a cost of \$25 in the event of damage or loss.
5. Cards may be hole-punched in order to attach to your current name tag. When punching the cards, the bar code area must not be damaged.
6. These cards coincide with registration expiry dates, and will be updated upon receiving registration information required by the AGLC. Cards will not be replaced when renewing a registration.
7. Failure to renew registration with the AGLC will automatically void the CasinoTrack registration card.
8. CasinoTrack Cards are the property of the AGLC, and are to be retained by the registrant and not by the Casino Facility.

I certify that I have read and understand the conditions of registration as outlined above.

Further, I understand that any false statement or incomplete information provided may result in my registration being refused.

Dated this _____ day of _____, 20_____

Your signature

SPECIAL REQUIREMENTS – ADVISOR

1. Personal Information:

Last	First	Middle	Registration Number

2. Attach a copy of your Birth Certificate, Canadian Passport, Indian Status Card, Canadian Citizenship or Immigration Documents.

Attachment #: _____

3. I hereby authorize the Alberta Gaming, Liquor and Cannabis Commission to release the following contact information (Check all that apply)

- Name
 Email
 Home Phone
 Business Phone

4. Please provide the following contact information to ensure Advisor Listing is up to date:

Home Telephone Number	Business Telephone Number	E-mail Addresses