



Personal Disclosure

Gaming Licence/Registration/Approval Application

Alberta Gaming, Liquor and Cannabis (AGLC) may issue a licence or registration after a thorough investigation of the Applicant, including but not limited to the Applicant's background, associates and financial history. Full disclosure is required from the Personal Applicant.

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

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

Digital Signatures - AGLC accepts handwritten signatures and digital signatures using a digital ID. A digital ID proves your identity and contains your name and email address, the name of the organization that issued it, a serial number, and an expiration date.

Submit the completed Due Diligence application form electronically via SecureWeb. Please contact us 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 please contact Due Diligence at duediligence@aglc.ca or the investigators assigned to the investigation.

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor and Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence, registration or approval.
3. **Associated Applicant** – Any corporate entity that is or will be a(n)
 - i. Owner in the **Applicant**,
 - ii. Partner (in a partnership),
 - iii. Parent or holding company,
 - iv. Promoter of the Applicant,
 - v. Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
 - vi. Any person with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Associated Person(s)** –
 - i. Persons associated with each other, namely,
 - a) persons related to each other, or
 - b) persons not related to each other, but not dealing with each other at arm's length.
 - ii. One of the persons controls, directly or indirectly in any manner whatever, the other.
 - iii. Both persons are controlled, directly or indirectly in any manner whatever, by the same person or group of persons.
 - iv. Any person that has a financial interest in the Applicant, the Applicant's business or in the facility or premises to which a facility licence relates.
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**.
 - v. AGLC must be notified of any change in ownership of 10% or more in the Applicant or an Associated Applicant.
6. **Controlling Interest** – The holding by an individual, group or corporate entity of a majority of a business, giving the holder a means of exercising control.
7. **Director** –
- i. Those individual(s) acting collectively to whom the duty of managing the general affairs of the company is delegated by the shareholders. Their duty is to conduct the business of the company for the greatest benefit of the shareholders.
 - ii. Any individual acting in a capacity similar to that of director of a company.
 - iii. A trustee, officer, member of an executive committee and any individual occupying a similar position.
8. **Due Diligence Investigation** –
- i. A background investigation conducted by AGLC to determine the eligibility of an Applicant for licence/registration/approval to hold a licence/registration/approval, or to continue to hold a licence/registration/approval.

- ii. This includes but is not limited to an inquiry or investigation relating to the honesty and integrity, financial history or competence of any of the following
 - a) The Applicant,
 - b) The Associated Applicant,
 - c) The Personal Applicant,
 - d) Any other person with connections to the Applicant, the Associated Applicant and/or the Personal Applicant.

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. Gaming – Includes all types of gaming/gambling including but not limited to bingo, casino, raffle or lottery, gaming terminal/slot machine, junket operation, horse racing, dog racing, pari-mutuel operation, sports betting, internet gaming, and the distribution or manufacture of any type of gaming supply.

11. GSP – Gaming Service Provider.

12. GSP Approval – Authorization issued by AGLC to a person approved to provide gaming services to AGLC Licensees.

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

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

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

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

15. GTPS – Gaming Terminal Parts Supplier.

16. GTPS Approval – Authorization issued by AGLC to a person approved to provide gaming terminal parts to AGLC.

17. Gaming Worker Supplier –

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

18. GEC - Gaming Entertainment Centre - a Class A Minors Prohibited licensed premise with 15 to 49 VLTs installed.

19. 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 officer, or any other individual who performs functions for a company similar to those normally performed by an individual occupying any of these offices.

- iii. For a facility licensee, this includes facility staff that are designated as key employees, and may include but is not limited to
 - a) Head Games Manager,
 - b) Casino Manager,
 - c) Casino Head Slot Manager,
 - d) REC Head Slot Manager,
 - e) Casino Director or Manager of Security,
 - f) REC Director or Manager of Security.
- iv. Any other person holding a position as determined by AGLC.

20. Licence/Registration/Approval – 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/approval under the *Gaming, Liquor and Cannabis Act* (Alberta).

21. Officer –

- i. An individual employed in connection with the administration and management of a department.
- ii. The chairman and vice-chairman of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer, general manager and any other individual designated an officer by by-law or resolution of the directors, and any other individual who performs functions for a company similar to those normally performed by an individual occupying any of those offices.
- iii. The chairman, president, vice-president, secretary, treasurer, comptroller, general counsel, general manager, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

22. Owner – Majority shareholder, controlling shareholder, general partner, senior partner and proprietor.

23. Partner (in a partnership) – A member of a partnership.

24. Partner – A reference to a partner of an individual includes a man or woman who although not legally married to the individual, has lived and cohabited with the individual as their partner. Includes a spouse, common-law spouse or individual connected to the personal Applicant by virtue of an adult interdependent relationship.

NOTE: All Personal Applicants are required to provide disclosure of their partner’s financial and criminal history. Criminal record checks and financial checks will be conducted on all partners.

25. Person(s) – Extends beyond the individual and includes public bodies, corporations, partnerships, business ventures, societies, companies, or any other business entity.

26. Personal Applicant - Individual completing the Personal Applicant Disclosure that has control over, or a financial interest in, the Applicant or an Associated Applicant, including but not limited to any individual that is or will be a(n)

- i. Owner,
- ii. Partner (in a partnership),
- iii. Promoter,
- iv. Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**,
- v. Any individual with a direct or indirect financial interest of 10% or more in the **Applicant**,
- vi. Director,
- vii. Officer,
- viii. Key employee,
- ix. Registered Gaming Worker designated as a key employee.

27. 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.

28. Registered Gaming Worker –

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

B. COMPLETING THE DISCLOSURE APPLICATIONS

1. Individuals are only required to complete **one** disclosure form, even though it may be related to both the Applicant and an Associated Applicant(s).
2. AGLC may request disclosure from other individuals and entities associated to the Applicant.

3. The registration expiry date of registered gaming workers occupying a designated key employee position will coincide with the expiry date of the facility licensee. Registrations are updated yearly, along with the facility licensee’s yearly update.

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

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 legible – type or print clearly. Illegible disclosures will be not be processed.

6. The disclosure may not be modified in any way. Modified disclosures will not be processed.

7. Incomplete disclosures will not be processed.

8. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.

9. 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.

10. All attachments must be an accurate copy of the original.

11. The disclosure must be signed*/initialed as follows

**AGLC accepts handwritten and digital signatures using a digital ID*

- 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 Declaration.
- iv. Sign the Consent to Release Information.

C. DENIAL, CANCELLATION OF A LICENCE OR REGISTRATION

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

Any proposed change must be reported and approved, and a due diligence investigation conducted, by AGLC.

2. AGLC may refuse to issue or may cancel a licence/registration/approval if the Applicant or any associated person (including but not limited to an owner, investor, shareholder, director, officer, key employee, or partner of any individual owner, investor shareholder, director, officer, key employee or other person associated to the Applicant)
 - i. is a person who has not acted or may not act in accordance with the law, with honesty and integrity or in the public interest, having regard to the past conduct of the person;
 - ii. is a person whose character, financial history or competence would be a detriment to the integrity or lawful conduct of gaming activities in Alberta;
 - iii. fails to pass a records check;
 - iv. has, within the five year period prior to the submission of the application, contravened
 - a) the *Gaming, Liquor and Cannabis Act* (Alberta) or Regulation, or
 - b) a condition imposed on a licence or registration issued or made under the *Gaming, Liquor and Cannabis Act* (Alberta).

- v. is a person whose background, reputation and associations may result in adverse publicity for the gaming industry in Alberta;
- vi. fails to meet any deadlines for submission of the deposit, disclosures, information or other documents to AGLC;
- vii. fails to complete all disclosures in full, modifies any question on any disclosure, makes statements that are not accurate or does not disclose all material facts;
- viii. fails to initial each page or sign the disclosures where required;
- ix. fails to disclose all persons associated to the Applicant, or all persons associated to the Applicant that are required or requested to complete a disclosure application but do not do so;
- x. buys, sells, purchases or distributes gaming supplies from a person that is not registered with AGLC; or
- xi. fails to notify AGLC of any change in ownership, financial interest, share structure, or a change to any individual director, officer or key employee in the Applicant or Associated Applicant.

D. IMPORTANT INFORMATION

1. All information and documents provided as part of this application package
 - 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/approval.
 - iv. Will be verified through an investigative process – further information, documents or clarification may be requested.
 - v. May be shared or exchanged with other agencies in order to evaluate the Applicant's eligibility for a licence/registration/approval.

2. The Gaming, Liquor and Cannabis Regulation (Alberta) requires
 - i. All entities licensed/registered with AGLC to be incorporated under the *Business Corporations Act* (Alberta), *Companies Act* (Alberta), *Societies Act* (Alberta), or *Partnership Act* (Alberta), or other similar Act or Legislation.
 - ii. If located outside of Alberta, Applicants must be extra-provincially registered in Alberta. Information can be obtained from
 - a) Any Alberta Registries Office.
 - b) The Internet at www.servicealberta.ca
 - c) An attorney.

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

1. The information collected in this application is used in determining the eligibility of the Applicant for licence/registration/approval.
2. The specific legal 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 Section 33 (a) & (c).
3. All application packages shall be kept confidential and shall only be released in accordance with the
 - i. Consent to Release Information.
 - ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).
4. The FOIP Act defines personal information as “recorded information about an identifiable individual”, such as the individual’s
 - i. Name, address or telephone number.
 - ii. Age, gender, marital or family status.
 - iii. Any identifying number or other symbol.
 - iv. Financial, criminal or employment history.

5. Inquiries regarding the collection of this information should be directed to Due Diligence at duediligence@aglc.ca.
6. Disclosure documents are classified “Protected B” and are handled as such. Details of these processes can be found [here](#).

INDIVIDUAL DOCUMENT CHECKLIST | GAMING PERSONAL APPLICANT - Due Diligence Investigation

This document must be completed and submitted with your application as **the cover page**. Gather your documents in the order of the checklist and check each item.

For important information and details, please refer to the Instructions section of the disclosure form or contact Due Diligence Unit at duediligence@aglc.ca.

If your application package is missing any of the applicable information, signatures or documents listed in this checklist, your application will not be processed.

FORMS LIST: the following forms must be completed, signed and dated:

Personal Disclosure Form (5561) including Personal Declaration and Consent to Release Information

DOCUMENTS LIST: for each key individual included in the application:

Provide an accurate photocopy of the original appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

- Birth Certificate OR **Active** Passport (Copy)
- Criminal record check, if you and/or your partner reside outside of Canada for a period of more than six months at a time
- Credit bureau report, if you and/or your partner reside outside of Canada for a period of more than six months at a time
- Personal income tax returns for you and your partner including all supplementary schedules
- Notices of Assessment/Reassessment from Canada Revenue Agency (or similar tax authority) for you and your partner
- Current account statements for the following net worth statement accounts:
 - GICs, term deposits, mutual funds statements (if applicable)
 - Securities, stocks and other marketable investments (if applicable)
 - Real estate purchase and/or sale documents (if applicable)
 - Pension/retirement funds (if applicable)
 - Vehicle purchase and/or sale documents (if applicable)
 - Mortgage or lease obligation (if applicable)
 - Loans and lines of credit (if applicable)

If any of the above documents are not attached, please provide an explanation:

- Has the Consent to criminal and financial checks been signed by you and your partner? (page 1)
- Have all questions been answered?
- Have all pages been initialed and dated?
- Has the Personal Declaration and Consent to Release Information been signed?
- For Registered Gaming Workers: has the Registration Conditions been signed?
- For Advisors: has the Special Requirements been completed?

TO AVOID DELAYS, the Applicant is encouraged to

- use fillable PDF forms
- submit the complete package electronically by Secure File Transfer Protocol (SFTP)

Please contact the Due Diligence unit at duediligence@aglc.ca for electronic submission or mailing instructions.

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 OR Active Passport		
	<input type="checkbox"/> Previously provided or Attachment: _____		
Maiden Name	List all aliases and name changes, including former married names, nicknames and the date changed		
Citizenship		Social Insurance Number/Social Security Number	
Eye Colour	Hair Colour	Height	Weight

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 given by signing below.

Your Signature

Spouse/Partner's Signature

**AGLC accepts handwritten and digital signatures using a digital ID*

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 AGLC? No Yes

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

7. 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)		

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): _____

**AGLC accepts handwritten and digital signatures using a digital ID*

9. 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

10. Have you or your partner ever made application for or held any professional or occupational licence or designations – e.g. 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

11. Current Employer Information:

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

12. 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

13. 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 (☒) 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	

14. Have you ever served as a member of a law enforcement agency (include municipal, provincial, federal)?
 No Yes, **Check (☒) one**

If yes provide the following information:

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

15. 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 (☒) 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

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

17. If married, common-law or cohabiting, 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/Social Security Number
List all aliases and name changes, legal or otherwise, include former married names, nicknames and maiden name and the date changed			
Date of Marriage/Cohabitation/Common-Law		Place of Marriage	

18. Partner's Address:

Same as me

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

19. 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

20. 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)

21. 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			

22. 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

23. 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

24. 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.

25. 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)				

26. 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)			

27. 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"/> 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 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 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 your local police agency or 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/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.

35. List all instances in the last three 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

36. 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

37. 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

38. List all instances in the last three 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?

39. List all instances in the last three 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

40. List all instances in the last three 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

41. 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
42. Attach all completed **personal** income tax 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 **three** years for each individual.
- Subsequent disclosure: attach the last filed return and any not provided with a previous disclosure. Attachment(s) #: _____
43. 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) #: _____
44. Attach all **corporate** tax returns and Notices of Assessment/Reassessment for all corporations that you, your partner or dependents have a controlling interest in.
- First disclosure: attach corporate returns for the last three years for each individual.
- Subsequent disclosure: attach the last filed returns and any not provided with a previous disclosure. Attachment(s) #: _____
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 three years.
- Subsequent disclosure: attach the last financial statements and any not provided with a previous disclosure. Attachment(s) #: _____

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 three years.

First disclosure: starting with the most **current** year, plus the last three 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
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
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
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
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)					

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	Down Payment	Individuals or Entities Sharing Interest (Include % of Ownership for Each)	Annual Property Tax	Monthly Rental Income	Estimated Market Value of % Owned
Total Current Market Value (Enter Amount on Line 5)										

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
						<p style="text-align: right;">Total Cash Value (Enter Amount on Line 6)</p>

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)					

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 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

Alberta Gaming, Liquor and Cannabis (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. 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 AGLC and is intended to be used for the purpose for which it was collected.

CONSENT TO RELEASE INFORMATION

Your Name: _____

Applicant Name: _____

1. I authorize AGLC to verify all information provided by me in the Personal Applicant Disclosure (the Disclosure) and/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 Gaming, Liquor and Cannabis Regulation (GLCR).
2. I authorize the following entities to release to AGLC any documents, records or correspondence that are necessary to determining whether I may be a detriment to the integrity or lawful conduct of gaming or 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, foreign or domestic;
 - v) Gaming commissions, or other regulatory, licensing or administrative bodies, foreign or domestic; or
 - vi) Federal, provincial, state, or municipal government, foreign or domestic.
3. I authorize AGLC to share as necessary with the entities listed above the information I have provided and/or other information identified during the course of the background investigation.
4. In the event there is a finding of unsuitability with respect to my application, I authorize AGLC to share as necessary, the information I have provided and/or information identified during the course of the background investigation with parties related to this application, including but not limited to the Applicant, as well as any hearing panel of AGLC.
5. I authorize AGLC to conduct ongoing investigations, including but not limited to checks for outstanding criminal charges, criminal records, police intelligence and credit bureau.
6. This authorization shall be in effect for the duration of the registration, licence or approval granted by AGLC.
7. 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.
8. 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.
9. 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 at any time 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 *Income Tax Act* (Canada),
 - e) the *Controlled Drugs and Substances Act* (Canada), or
 - f) 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 *Income Tax Act* (Canada),
 5. the *Controlled Drugs and Substances Act*,
 6. a foreign Act or Regulation that is substantially similar to an offence referred to above,
 7. the *Gaming, Liquor and Cannabis Act* (Alberta), or
 8. the Gaming, Liquor and Cannabis Regulation (Alberta).

- B. If a registered gaming worker is charged or convicted as described above, 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 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. 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 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 AGLC. Cards will not be replaced when renewing a registration.
7. Failure to renew registration with AGLC will automatically void the CasinoTrack registration card.
8. CasinoTrack Cards are the property of 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 Alberta Gaming, Liquor and Cannabis 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