

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

INSTRUCTIONS

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

PROTECTION OF INFORMATION

1. The information collected in this Disclosure is only used in determining the eligibility of the Applicant for a licence, registration or approval and will not be shared with other AGLC units without your prior consent.
2. The specific legal authority for the collection of this information is the *Gaming, Liquor and Cannabis Act*; the Gaming, Liquor and Cannabis Regulation; and *Freedom of Information and Protection of Privacy Act* (FOIP Act), Sections 33(a) and (c).
3. All Disclosure information shall be kept confidential and shall only be released in accordance with the Consent to Release Information, and FOIP Act.
4. The FOIP Act defines personal information as “recorded information about an identifiable individual,” such as the individual’s:
 - i. name, address or telephone number;
 - ii. age, gender, marital or family status;
 - iii. any identifying number or other symbol; and
 - iv. financial, criminal or employment history.
5. Disclosure documents are classified Protected B and are handled as such. Details of these processes can be found on the AGLC website [here](#).

PERSONAL INFORMATION

Applicant Name (The Applicant that you are associated with that is applying for a licence, registration or approval.)

1. Personal Information:

Last Name	First Name	Middle Name
Date of Birth (YYYY/MM/DD)		Place of Birth
Gender	Citizenship	Social Insurance Number / Social Security Number
List all aliases and name changes, legal or otherwise, including maiden name, former married names, nicknames and note the date changed.		

2. Current addresses:

Home Address			
			<input type="checkbox"/> Rent <input type="checkbox"/> Own
City	Province/State	Postal/Zip Code	Country
Home Phone Number		Cell Phone Number	
E-mail Addresses (Work and Personal)			

3. Residences for the past three years:

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

FAMILY INFORMATION

4. I am **currently**:

Married Engaged Divorced Separated Widowed Single Common-Law Cohabiting

5. If married, engaged, common-law or cohabitating, the following section must be completed regarding your partner:

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

Note: A background check will be conducted on all partners.

AUTHORIZED CONTACT

6. By signing the Declaration and Undertaking in this Disclosure, I/we authorize AGLC to contact and discuss any aspect of this Disclosure with the following individual: None

Individual's Name		
Home Phone Number	Cell Phone Number	E-mail Address(es)

EMPLOYMENT / EDUCATION INFORMATION

7. Current Employer:

Current Employer	Occupation/Title	Since Date (MO/YR)	Salary
Address	City / Province or State	Postal/Zip Code	Country

8. Employment history for the past ten years, including all periods of unemployment, starting with the most recent period:

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

9. Beginning with post-secondary education, provide the college, university, trade school, graduate or postgraduate school you have attended: None

From (MO/YR)	To (MO/YR)	Name of School	Description of Program	List Any Degree or Certification and Year Obtained

BUSINESS INTERESTS

10. Corporations/entities that you currently have a financial, ownership, organizational or shareholder interest in. Do not include publicly traded corporations in which you own less than 20% of stock:

None

From (MO/YR)	Name and Location of Corporation/Entity	% Interest Held	Current Status of Business	Name Other Owners (other than a publicly traded company)

11. Corporations/entities that you are currently associated with as an officer, director, or other similar capacity. Include non-profit societies, charitable entities, and family trusts: None

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

12. Have you ever been a Director, Shareholder or Key Employee of an entity that has held, or been investigated for a gaming, liquor or cannabis licence; registration or approval in Alberta, or in any other jurisdiction? No Yes

CRIMINAL / CIVIL LITIGATION / DISCIPLINARY INFORMATION

Note: Failure to provide or fully disclose all requested information will be considered when assessing your character, honesty and integrity, and may result in a finding of unsuitability.

- A. You may be found unsuitable if your character, financial history or competence poses a threat to the integrity of the gaming, liquor or cannabis industry.
- B. Enquiries will be made to determine if you or your partner have ever been charged with or convicted of, or are subject to pending charges for a criminal, regulatory, civil or other statutory offence.
- C. You must fully disclose all criminal and civil proceedings as requested in this Disclosure. Failure to disclose any such involvement will be considered when assessing the Applicant's eligibility for a licence, registration or approval.
- D. The particulars of any offence or claim, and the sentence or penalty imposed, will be reviewed to determine whether a conviction or charge affects the Applicant's eligibility for licence, registration or approval.
- E. Provide all required information **even if:**
 - i. the charges were dismissed or subsequently downgraded to a lesser charge;
 - ii. you completed alternative measures or other similar programs;
 - iii. you were not convicted;
 - iv. you did not serve any time in prison; and/or
 - v. the investigation, charges or offences happened in another jurisdiction.
- F. Do not provide information if you were charged under the provisions of the *Youth Criminal Justice Act* or other similar legislation.

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 probation violations or any other court order.

CRIMINAL / CIVIL LITIGATION / DISCIPLINARY INFORMATION (CONT.)

13. If you and/or your partner reside outside of Canada, attach a current criminal record check (within the last 3 months) from your local police agency or a third-party vendor* for both you and your partner. Does Not Apply

Attachment # _____

***NOTE:** A criminal record check from a third-party vendor should:

- a. be conducted by a provider that is nationally accredited by a professional association [i.e., Professional Background Screening Association (PBSA)];
- b. use Social Security Number (or similar identifier) and date of birth as unique identifiers;
- c. include multiple jurisdictions such as municipal, county, state and/or federal criminal record checks; and
- d. include date of order and issuance.

14. Instances where you have **ever** been investigated, charged, arrested or convicted of any offence, regulation or code (except minor traffic violations): None

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

15. Instances where you have been a defendant or plaintiff in any civil action or lawsuit in the last ten years: None

Date (MO/YR)	Reason for Action or Lawsuit	Disposition and/or Judgment	Court Type and Location

FINANCIAL INFORMATION

16. If you and/or your partner reside outside of Canada, attach a current credit check (within the last 3 months) for both you and your partner. Does Not Apply

Attachment # _____

17. Attach the last three (3) years of personal income tax Notices of Assessment/Re-assessment from Canada Revenue Agency, or similar documentation from your local tax authority, for both you and your partner.

Attachment # _____

18. Complete the following net worth statement for you and your partner:

Assets	Current Value	Liabilities	Amount Outstanding
Cash		Mortgages and/or Lease Obligations	
Stocks and Other Marketable Investments		Loans and Lines of Credit	
Vehicles		Credit Cards	
Real Estate Interests		Taxes Payable	
Cash Value Pension/Retirement Funds		Other Liabilities	
Other Assets		Total Liabilities (B)	
Total Assets (A)		Total Assets (A) less Total Liabilities (B)	

19. In the last ten years, has any level of government filed a lien against or seized any of your assets?

No Yes

20. In the last ten years, have you been a defendant in any collection or debt matters?

No Yes

21. In the last ten years, have you had your wages or assets garnisheed?

No Yes

22. In the last ten years, have you applied for any financial monitoring or consumer proposal?

No Yes

23. Have you ever declared bankruptcy?

No Yes

DECLARATION AND UNDERTAKING

I, _____
(Print name)

do solemnly declare that:

1. I have prepared and verified all information contained in this Due Diligence Disclosure - Personal (Disclosure).
2. I understand and read the English language, or I have had an interpreter read, explain and record the answer to every question on this Disclosure.
3. The information provided in 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 have completed the Disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of the Disclosure may affect the eligibility of the Applicant for a licence, registration or approval.
6. I undertake to immediately inform AGLC of any changes to the information or documents being provided, and acknowledge that failure to inform AGLC of any change may affect the eligibility of the Applicant for a licence, registration or approval.
7. I acknowledge that all documents and information requested will be verified through an investigative process and further documents, information or clarification may be requested.

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

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

this _____ day of _____, 20_____.

Signature

CONSENT TO RELEASE INFORMATION**Your Name** _____**Your Partner's Name (If Applicable)** _____

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

1. I/we authorize AGLC to verify all information provided in the Disclosure and/or other information identified during 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 sections 9 and 9.1 of the *Gaming, Liquor and Cannabis Regulation* (GLCR).
2. I/we authorize the following entities to release to AGLC any documents, records or correspondence that are necessary in determining whether I may be a detriment to the integrity or lawful conduct of gaming, liquor or cannabis activities:
 - i. Canada Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign tax authorities; or
 - ii. financial institutions, foreign or domestic, including banks, credit unions, trust companies, investment dealers or brokerage houses; or
 - iii. credit reporting agencies, foreign or domestic; or
 - iv. law enforcement agencies, police services or sheriff's office, foreign or domestic; or
 - v. other regulatory, licensing, or administrative bodies, foreign or domestic; or
 - vi. federal, provincial, state, or municipal government, foreign or domestic.
3. I/we authorize AGLC to share as necessary with the entities listed above, the information I/we have provided and/or other information identified during the background investigation.
4. In the event there is a finding of unsuitability with respect to the background investigation, I/we authorize AGLC to share as necessary, the information provided and/or information identified during the background investigation with parties related to this disclosure including, but not limited to, the Applicant seeking a licence, registration or approval, as well as any hearing panel of AGLC.
5. I/we authorize AGLC to conduct ongoing investigations including, but not limited to, checks for outstanding criminal charges, criminal records, police intelligence and credit checks.

6. This authorization shall be in effect for the duration of the licence, registration or approval granted by AGLC.
7. I/we 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 background investigation.
8. I/we acknowledge that I/we shall not be entitled to make any claim against a party to whom this Consent is presented in respect of the release of information or documents in good faith to AGLC.
9. I/we authorize a reproduction of this request to be treated as the original.

Your Signature: _____

Date: _____

**Your Partner's
Signature (if
applicable):** _____

Date: _____