

Commercial raffle organiser licence — sole trader application

CCO161224

This form contains the application and information material for a commercial raffle organiser - sole trader

How to apply

Send application via email to:

contact@vgccc.vic.gov.au

Privacy Policy Statement

The VGCCC is committed to responsible and fair handling of personal information consistent with the *Privacy and Data Protection Act 2014* and its obligations under the *Gambling Regulation Act 2003*.

Confidentiality Provisions

Information provided in your application must not be disclosed by the VGCCC or its staff to someone else, except for the purposes stated in Division 6 of Chapter 10 of the *Gambling Regulation Act 2003*. To access these provisions go to vgccc.vic.gov.au.

This information will help you complete the process to apply for a commercial raffle organiser's licence as a sole trader.

Your application must include the following:

- Complete application form - Every question on the application form has been answered.
- Historical Personal Name Extract from ASIC
- National Police Certificate
- Credit Report
- Required details regarding the Responsible Gambling Code of Conduct
- Photo of yourself to be included on your identification
- Tax returns and Notice of Assessment from the Australian Tax Office of the past 3 financial years
- A copy of documentation confirming any court outcomes or settlement agreements
- A copy of the business plan including the following content – financial projections for the first 3 years, the number of and names of declared charitable or community organisations intended to be clients, a governance and compliance framework, experience in managing a business, where and how the business is to operate.

Strictly Confidential

Commercial raffle organiser's licence application for a sole trader

Applicant Details

This application relates to either an application for (tick applicable box and provide details below):

- a **new** commercial raffle organiser's licence
 renewal of a commercial raffle organiser's licence

IMPORTANT INFORMATION

You **must** ensure that **all** names noted in Q1(a) - (c) are advised to the providers of your National Police Certificate and Credit Report.

1) a. Surname: First Name:
Middle Name(s): Date of Birth (day/month/year):
Place of birth (country and state or region): Arrival date in Australia (if applicable):

- b. Are you currently or have you previously been known by another name(s), including any alias(es), maiden name, married name(s) and name(s) changed via deed poll?

YES NO

If **YES**, provide additional details below:

Name Changed From:	Name Changed To:	Date of change (day/month/year):
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

- c. Have you had any legal name changes?

YES NO

If **NO**, proceed to Q2. If **YES**, provide additional details below:

Name Changed From:	Name Changed To:	Date of change (day/month/year):
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Have further details been provided on an attachment page?

YES NO

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2) Residential Address:

No.:

Street:

City/Town:

State:

Postcode:

3) Business Address:

No.:

Street:

City/Town:

State:

Postcode:

4) Contact Details:

Email Address:

Contact Number

Mobile No:

5) Photographs:

Provide a colour passport size photograph taken within the last 3 months to this application.

Complete the following:

a. I have provided a passport size photograph.

 YES

b. Date photograph taken (day/month/year):

6) Do you have any business or personal relationships with known criminals?

 YES NO

If **YES**, provide details below.

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7) Has your employment been terminated for misconduct in the last 10 years?

YES NO

If **YES**, provide details below.

Legal Action

8) Have you personally, or any entity that you have been an officer of, ever been the defendant/respondent to any legal action in the past 10 years (including in progress)?

YES Number of occurrences:

NO

If **NO**, proceed to Q9. If **YES**, provide the following details for each action:

Nature of legal action:

Briefly describe how your responsibilities or actions related to this matter:

Plaintiff:

Jurisdiction*:

Result/Settlement (indicate here if not finalised):

Court or tribunal where matter was heard (if applicable):

Case no. issued by court/tribunal (if known):

Date of delivery of judgement (if known) (day/month/year):

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

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If a matter has been finalised you **must** provide a **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement, regardless of whether any terms of the agreement are confidential.

Is a copy of the court outcome or settlement agreement attached?

YES

Have further details been provided on an attachment page?

YES NO

Other Regulatory History

9) Other than in Victoria, have you ever applied for any racing or gambling industry licence, approval, authorisation or registration?

YES NO

If **NO**, proceed to Q10. If **YES**, provide the following details for each application and then proceed to Q11.

a. If the application was granted/approved or is still pending, provide details below:

Type of licence, approval etc.

Name shown on licence, approval etc:

Licence No. (if known):

Jurisdiction*:

Name of Gaming Regulator (if known):

Licence, approval etc dates (if known) (month/year):

 To

10) Have you ever been excluded from a casino, racecourse, gaming venue or online wagering provider?

YES Number of occurrences:

NO

If **YES**, provide details on an attachment page.

Do you have any other associations within the gambling industry?

YES NO

If **YES**, please provide:

Type of association:

Entity associated with:

State or country of operations:

Have further details been provided on an attachment page?

YES NO

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

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Please list your breach and enforcement history with gambling regulators other than the VGCCC over the last five years.

Has the applicant, or any entity that they have been an officer of, ever been investigated by a regulatory body or law enforcement agency? (EG: ASIC, APRA, ACCC)

Racing and Gambling History

11) a. Have you personally, or any entity that you have been an officer of, ever been the subject of disciplinary action, or had an application for any licence or permit refused? Have you personally ever been disqualified from involvement in management of an entity?

YES Number of occurrences:

NO

If **YES**, provide details below:

Type of licence, approval etc.:	Licence No. (if known):
<input type="text"/>	<input type="text"/>
Name of Regulator (if known):	Date action taken (month/year):
<input type="text"/>	<input type="text"/>

Provide details of type of action taken and reason on an attachment page.

Have further details been provided on an attachment page?

YES NO

b. If the application was refused or withdrawn, provide details below:

Type of licence, approval etc sought:	Licence No (if known):
<input type="text"/>	<input type="text"/>
Jurisdiction*:	Name of Gaming Regulator (if known):
<input type="text"/>	<input type="text"/>

Provide reason for refusal or withdrawal of request on an attachment page.

Have further details been provided on an attachment page?

YES NO

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

Charges, Findings of Guilt and Convictions

IMPORTANT INFORMATION

If you currently live in Australia or if you have lived in Australia during the last 10 years this form **must** be accompanied by your original National Police Certificate (NPC). The NPC **must** be obtained not more than 3 months before this form is lodged.

You **must** advise details at Q13 of any offence **not** included in your NPC, including participation in a Diversion Program, spent convictions, findings of guilt, suspended sentences, matters where a good behaviour bond is given and/or matters where no conviction is recorded, other court orders and provide details of all outstanding charges. Failure to disclose such matters may affect your application. However, Children's Court matters more than 10 years old and non-custodial traffic matters, which are those for which a penalty other than a jail sentence or community based order was given, are **not** matters which you are required to disclose at Q13.

You **must** ensure that **all** names noted in Q1(a) - (c) are advised to when applying for your NPC. If all such names are not shown in your NPC, your application will not be accepted.

In addition, if you currently live outside Australia or you have lived outside Australia during the last 10 years you are requested to seek an equivalent report from the relevant Police Agency in that jurisdiction*. An equivalent report, which must be an original document or a certified copy of the original document, would be expected to reveal details in relation to any convictions, findings of guilt (either with or without conviction) and any matters still outstanding against you.

12) Have you only lived in Australia during the last 10 years?

YES NO

If **YES**, an NPC must be provided.

If **NO**, you are required to provide an NPC if you have lived in Australia at any time in the last 10 years and also provide an equivalent report from the relevant Police Agency which is an original document or a certified copy of the original document.

Have further details been provided on an attachment page? YES NO

13) a. Have you ever been charged with, or found guilty of, a criminal offence, or been investigated by a law enforcement agency for an alleged offence against you, that is not recorded on your attached Police documentation?

YES Number of occurrences:

NO

b. Have you ever participated in a Diversion Program?

YES Number of occurrences:

NO

If **NO** to Q13(a) and (b), proceed to Q14. If **YES** to Q13(a) or (b), provide details below in relation to each matter:

Nature of Offence/Charge:

Date (day/month/year):

Jurisdiction*:

Result of Hearing or Other Disposition:

Have further details been provided on an attachment page? YES NO

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

Establishment of Associates

IMPORTANT INFORMATION

Family members named in response to Q14 to Q17 are **not** required to complete an associate form as part of your request for approval. However, where investigations by the VGCCC highlight issues of concern, the VGCCC may determine that a completed associate form is required from one or more nominated family members. In this circumstance, you will be notified of the requirement for the provision of completed associate form/s and advised regarding the completion and lodgement of the required form/s.

14) Applicant's partner details:

First Name:	<input type="text"/>	Middle Name(s)	<input type="text"/>
Surname:	<input type="text"/>	Date of Birth (day/month/year):	<input type="text"/>

15) Applicant's parents, including both natural parents and step-parents

Relationship to Applicant:	First Name:	Middle Name(s):	Date of Birth (day/month/year)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

16) Applicant's brothers and sisters: List all, including half/step brothers and sisters

Relationship to Applicant:	First Name:	Middle Name(s):	Date of Birth (day/month/year)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

17) Applicant's children: List all, including step and adopted children

Relationship to Applicant:	First Name:	Middle Name(s):	Date of Birth (day/month/year)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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18) How will the profits of the applicant be distributed?

Have further details been provided on an attachment page?

YES NO

19) Provide details of the proposed management structure of the operations of the Commercial Raffle Organiser. Include details of any existing or proposed management contract arrangements and the names and positions of personnel proposed to manage its operations.

Have further details been provided on an attachment page?

YES NO

Business Interests

IMPORTANT INFORMATION

Historical Personal Name Extract from the Australian Securities and Investments Commission (ASIC) and/or Equivalent Report from Other Jurisdictions

Regardless of your place of residence, you are required to provide an original Historical Personal Name Extract from ASIC. If you are not recorded on ASIC's database you will be provided with a letter to that effect. In addition, if you have ever been a director or company secretary of a company registered in a jurisdiction outside Australia, you are requested to submit an equivalent report to the ASIC Historical Personal Name Extract from the regulatory authority in each of those jurisdictions with this form.

20) a. Is your original Historical Personal Name Extract from ASIC enclosed?

YES

b. Have you ever been a director or company secretary of a company registered in a jurisdiction outside Australia?

YES NO

If **NO**, proceed to Q21. If **YES**, is an equivalent report from the regulatory authority in each of those jurisdictions attached?

YES NO

If **NO**, provide reasons why an equivalent report from the regulatory authority in any of those jurisdictions has not been enclosed on an attachment page.

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Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

Q21 relates to any business interests, directorships or partnerships (either within or outside Australia), **not** disclosed in your ASIC Extract or any equivalent report. When completing Q21 you must disclose details of:

- **All** directorships (either within or outside Australia), including positions of director, secretary etc, you hold or have resigned from (whether or not the company is trading) during the last 3 years; and
- **All** business interests or partnerships you have been involved in (either within or outside Australia), including provision of finance of A\$50,000 or more in relation to any business dealing during the last 3 years.

21) List below any business interests, directorships or partnerships (either within or outside Australia not disclosed in your Extract from ASIC or any equivalent report:

Have further details been provided on an attachment page?

YES NO

22) Have you operated or do you intend to operate under any business name/s?

YES NO

If **NO**, proceed to Q23. If **YES**, provide details below.

Have further details been provided on an attachment page?

YES NO

23) Has your business/trading name changed in the last 3 years?

If **NO**, proceed to Q24. If **YES**, provide details below.

Name Changed From:

Name Changed To:

Date of change (day/month/year):

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Have further details been provided on an attachment page?

YES NO

24) Are you making this application in your capacity as trustee for any trust?

If **NO**, proceed to Q25. If **YES**, provide the following details:

a. Name(s) of Trust:

Address:

Type of Trust (tick one only): Discretionary Trust Unit Trust

A **copy** of the Trust Deed **must** be provided. Is a copy of Trust Deed attached?

YES

b. List below details of the persons and/or entities that are beneficiaries or unit holders of the Trust:

Full Name:	Company — Person (tick appropriate box)		% of Ownership	
			Voting:	Income:
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>

c. Specify which of the beneficiaries/unit holders of the Trust received 10% or more of the Trust's income distribution in any one of the last 3 years:

d. Of the Trust beneficiaries/unit holders, identify those who, by virtue of the Trust Deed have voting rights enabling them individually or as a group to remove/change the Trustee or to influence the Trustee's decisions.

Have further details been provided on an attachment page?

YES NO

Note: All beneficiaries or unit holders identified at Q23(d) **must** complete an Associated Entity or Associated Individual form as appropriate.

Financial Particulars

25) Are you the personal guarantor for someone else's debt or loan?

YES Number of occurrences:

NO

If **NO**, proceed to Q26. If **YES**, is any person, including any corporation, in respect of whom you have given a guarantee in default of any agreements with respect to payment of a debt or loan?

YES NO

If **NO**, proceed to Q26. If **YES**, provide details on an attachment page.

Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

You **must** obtain an **original** Credit Report if:

- you currently live in Australia; or
- you do not currently live in Australia but have lived in Australia at any time during the last 10 years; or
- you are or have been during the last ten years a director of officeholder of an Australian company.

If your circumstances do not meet the criteria noted above, a Credit Report is not required. Note: If you live or have lived outside Australia during the last 10 years you are requested to submit an equivalent report from the relevant agency in that jurisdiction*.

The Credit Report you obtain cannot be more than 3 months old when you lodge this application and you **must** ensure that **all** names noted in Q1(a) - (c) are advised when applying for your Credit Report. If any such names are not shown in your Credit Report, your application will not be accepted.

26) Have you enclosed your original Credit Report and/or an equivalent report from a relevant overseas jurisdiction*?

YES NO

If **YES**, proceed to Q27. If **NO**, provide reasons why a Credit Report and/or an equivalent report from a relevant overseas jurisdiction has not been enclosed on an attachment page.

Have further details been provided on an attachment page?

YES NO

27) Other than disclosed on your Credit Report, are you in default of any debt repayment or loan (including less than \$5,000)?

(Note: Do not include details **unless** a payment is overdue or in arrears)

YES Number of occurrences:

NO

If **NO**, proceed to Q28. If **YES**, complete the following:

Financial Institution or creditor:	Total amount owing:	Total amount in default:	Date of Birth (day/month/year)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

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Have further details been provided on an attachment page?

YES NO

28) a. Other than disclosed on your Credit Report, have you ever been subject to bankruptcy or an insolvency arrangements?

YES Number of occurrences:
 NO

If **NO**, proceed to Q28(b). If **YES**, complete the following and provide details of circumstances leading to bankruptcy/arrangement proceedings on an attachment page.

YES NO

Date of Bankruptcy/Arrangement (date/month/year): Date of Discharge/Completion (date/month/year):

Note: you are a discharged bankrupt, a copy of your Certificate of Discharge From Bankruptcy must accompany this application (Do not send the original certificate). Is a copy enclosed?

YES

Name of Trustee:

Address:
No.: Street: City/Town:
State: Postcode: Telephone Number:

b. Are bankruptcy or any like proceedings pending?

YES NO

If **NO**, proceed to Q29. If **YES**, provide details of circumstances leading to proceedings on an attachment page.

Have further details been provided on an attachment page?

YES NO

29) a. Have you ever been an officer of an entity that has been wound up, placed into liquidation, had a receiver, controller, administrator or agent for a mortgage appointed, entered into a scheme of arrangement or been involved in similar proceedings?

YES Number of occurrences:
 NO

b. Has the applicant ever been investigated by a regulatory body? (e.g. ASIC, RIA, APRA, ACCC)

YES Number of occurrences:
 NO

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If **NO** to Q29(a) and (b), proceed to Q30. If **YES** to Q29(a) or (b), in relation to each matter complete the following and provide details of circumstances leading to proceedings on an attachment page.

Company/Incorporated Association Name:

Commencement Date (month/year):

Types of proceedings:

Details of administrator, liquidator, receiver, controller, regulatory body or law enforcement agency:

Name:

Phone Number:

Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

A **copy** of your taxation return for the **three most recent completed financial years** must be provided, which should include the balance sheet and profit and loss (trading) statement of your business (if any). If the date of application is more than six months from the end of the most recent completed financial year, you must also provide a balance sheet and profit and loss statement covering the period from the most recent completed financial year to the date of application.

30) A copy of my taxation return for the three most recent completed financial years is enclosed.

YES

31) Have you ever been disqualified from acting as an office holder of a company or are any like proceedings pending?

YES NO

If **NO**, proceed to Q32. If **YES**, provide details below and reason for disqualification/proceedings on an attachment page:

Date of disqualification (date/month/year): Jurisdiction*:

Have further details been provided on an attachment page?

YES NO

* "Jurisdiction" means the State or Territory and, if outside Australia, the country and locality

32) Statement of assets as at: (dd/mm/yyyy)

List all assets (A\$) at the appropriate line below. Enter the amount as of the date of this statement, which should be a date as recent as possible and within the past 12 months. Joint assets must be distributed between the applicant and the spouse/de facto according to beneficial ownership.

ASSETS:	Applicant	Spouse/de facto
Cash on hand		
Cash at financial institutions (see Schedule A)		
Accounts receivable (See Schedule B)		
Shares and fixed interest securities (See Schedule C)		
Business investments (See Schedule D)		
Real estate (See Schedule E)		
Other assets (See Schedule F)		
TOTAL ASSETS		

33) Statement of all liabilities as at: (dd/mm/yyyy)

List all liabilities (A\$) at the appropriate line below. Enter the amount as of the date of this statement, which should be a date as recent as possible and within the past 12 months. Joint liabilities must be distributed between the applicant and the spouse/de facto according to personal share of liability.

LIABILITIES:	Applicant	Spouse/de facto
Accounts payable		
Taxes payable		
Unsecured loans (see Schedule G)		
Secured loans (mortgages) (see Schedule H)		
Business investments (See Schedule D)		
Other liabilities (see Schedule I)		
Other assets (See Schedule F)		
TOTAL LIABILITIES		
NET WORTH (total assets less total liabilities)		
Contingent liabilities* (See schedule J)		

* Contingent liabilities are potential debts that could be incurred, e.g. on default of a person for whom you have acted as loan guarantor

34) Source of funds for past five (5) years

a. Australian tax year ended 30 June (insert applicable year)

Gross Salary		
Interest		
Dividends		
Trust/partnership distributions		
Other income		
TOTAL GROSS INCOME		
LESS DEDUCTIONS		
TAXABLE INCOME		

b. Australian tax year ended 30 June (insert applicable year)

Gross Salary		
Interest		
Dividends		
Trust/partnership distributions		
Other income		
TOTAL GROSS INCOME		
LESS DEDUCTIONS		
TAXABLE INCOME		

c. Australian tax year ended 30 June (insert applicable year)

Gross Salary		
Interest		
Dividends		
Trust/partnership distributions		
Other income		
TOTAL GROSS INCOME		
LESS DEDUCTIONS		
TAXABLE INCOME		

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d. Australian tax year ended 30 June (insert applicable year)

Gross Salary		
Interest		
Dividends		
Trust/partnership distributions		
Other income		
TOTAL GROSS INCOME		
LESS DEDUCTIONS		
TAXABLE INCOME		

e. Australian tax year ended 30 June (insert applicable year)

Gross Salary		
Interest		
Dividends		
Trust/partnership distributions		
Other income		
TOTAL GROSS INCOME		
LESS DEDUCTIONS		
TAXABLE INCOME		

Advertising Requirements

35) You are required to publish a copy of your application to run a raffle within 14 days of submitting your application

- I have attached a copy
- I will forward a copy

Responsible Gambling Requirements

IMPORTANT INFORMATION

An entity registered with the VGCCC as a commercial raffle organiser must have a Responsible Gambling Code of Conduct (Code) as part of the application. The VGCCC may not approve a registration without a compliant code and your application will not be finalised until a code is lodged. A registered commercial raffle organiser code must refer to the Ministerial Direction which set out the matters which must be contained in a Code. The Ministerial Direction is available on the VGCCC website.

36) Is a **copy** of the applicant's Code attached?

YES

Date Code adopted by applicant (dd/mm/yyyy):

(Note: A copy of the minutes of the board/committee meeting which confirms adoption of the Code **must** be attached.)

Is a copy of the minutes attached?

YES

Schedules (A - L)

SCHEDULE A - Cash at financial institutions

List below all accounts, foreign and domestic, maintained by you solely or in conjunction with another person(s).

Name and address of financial institution	Name of person/s appearing on account	Account number	Date opened	Interest rate	Types of accounts	Balance at current date

SCHEDULE B - Accounts receivable

List below all accounts receivable held by you solely or in conjunction with another person(s). For those not solely held by you, indicate the percentage (%) you hold.

Name and address of debtor	Date incurred	Original amount	Unpaid balance	% held	Payment/ period	Interest rate	Maturity date	Purpose	Collateral

SCHEDULE C - Shares, Fixed Interest Security (bonds)

List below the information requested for all shares and bonds held or controlled by you. Whenever interest exists through a trust/mutual fund or holding company, the shares held by such trust/mutual fund or holding company need not be listed. Indicate publicly traded shares and bonds by an asterisk.*

Issuer	Types	Number of shares or units	Purchase price	Date of purchase	Name in which held	Market value

SCHEDULE D - Business investment

List below the information requested regarding any business investment in which any direct, indirect, vested, or contingent interest is held by you, along with the names of all persons or entities that share a direct, vested or contingent interest therein. This should include but not be limited to joint ventures, partnerships, sole proprietorships and corporations. For those not solely held by you, indicate the percentage (%) you hold. *Shares include US stocks

Entity	Type of entity	No. of shares* or units	% held	Purchase price	Date of purchase	Name in which held	Maturity date	Purpose	Collateral

SCHEDULE E - Real Estate

List below the information requested regarding any real property in which any direct, vested, or contingent interest is held by you, along with the name of persons or entities who share direct, indirect, vested or contingent interest therein. For those not solely held by you, indicate the percentage (%) you hold.

Address/location	Type	Size	Purchase price/ improvements at cost	% held	Date of purchase	Other owners	Income	Market value

SCHEDULE F - Other assets

List below the information requested for all other assets held by you, (i.e. automobiles, personal property, cash surrender value of life insurance policies, pension plans, etc.).

Type of asset	Purchase price	Date of purchase	Market value	Other information

SCHEDULE G - Unsecured loans

List below the information requested for all unsecured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date	Purpose	Collateral

SCHEDULE H - Secured loans

List below the information requested for all secured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date	Purpose	Collateral

Unsecured loans = US notes payable Secured loans = mortgages

SCHEDULE I - Other liabilities

List below the information requested for any other indebtedness for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date	Purpose	Collateral

SCHEDULE J - Contingent liabilities

List below the information requested for all contingent liabilities for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date	Purpose	Collateral	Person liable in addition to you

Unsecured loans = US notes payable Secured loans = mortgages

Schedule K – Directorships/Secretary roles

Entity Name	Role	Business Description

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IMPORTANT INFORMATION

List of Creditors

A listing of the applicant's creditors, stating the name of the creditor, amount owing and number of days debt has been owed, if applicable, must be attached. The list should be completed as at the end of the latest calendar month and be **certified** by the applicant as to its accuracy.

35) Is a listing of the applicant's creditors attached?

YES NO

If **YES**, proceed to Q36. If **NO**, provide reasons on an attachment page.

Have further details been provided on an attachment page?

YES NO

36) Is a **copy** of the applicant's Code attached?

YES

Date Code adopted by applicant (date/month/year):

37) If applying for a new commercial raffle organiser's licence, has the notice been published?

YES NO

If **YES**, is a copy of the publication of the notice attached?

YES NO

If **NO**, the applicant, **must** forward to the VGCCC a copy of the advertisement immediately following its publication.

38) Does the applicant have any business or personal relationships with known criminals?

YES NO

If **YES**, please provide details:

39) I have not had my employment terminated for misconduct in the last 10 years.

YES NO

Declaration

I declare that I have read and understood the questions in this application form and the directions for answering them and I have answered the questions truthfully and completely to the best of my knowledge.

Signature of applicant:

Date (day/month/year):

Signature of witness (Any adult can be a witness):

Print name of witness:

Relationship to witness making declaration:

Fee Payment

IMPORTANT INFORMATION

Applications must be accompanied by the relevant fee. Please note that once an application has been registered, the application fee is non-refundable. To confirm the current fee, refer to the 'Gambling fees' fact sheet on our website. The application fee can be paid by credit card (Visa or MasterCard).

Please lodge your completed application with the VGCCC and we will contact you directly to arrange payment if your application is accepted.

Privacy – the VGCCC is committed to responsible and fair handling of personal information consistent with the Information Privacy Act 2000 and its obligations under the Gambling Regulation Act 2003. Credit card details will be destroyed once your payment has been processed.

Strictly Confidential

Financial information release form

Gambling Regulation Act 2003

In the matter of this application for a commercial raffle organiser's licence by:

Name (Full name of applicant - print name):

Address (Full address of applicant):

(‘Applicant’)

The Applicant hereby authorises all **persons** who receive this **financial information release form** from the Victorian Gambling and Casino Control Commission (the VGCCC) and its staff to undertake the **authorised actions** for the **authorised purposes** as set out below:

Authorised actions

- 1) To allow the VGCCC to inspect and obtain a copy of any document, record or correspondence in the possession or under the control of the person, which contains information pertaining to the Applicant (or to the Applicant and another person and to any subsidiary, related body corporate, trust or partnership to which the Applicant was a party), including but not limited to -
 - any loan information;
 - any information relating to an account held with a financial institution (passbook, statement or other), including information relating to withdrawals, deposits, transfers and balances;
 - any information (including trust account information) of any solicitor, accountant, real estate agent or other fiduciary.
- 2) To answer written or verbal queries of, and to provide information (by any means) to the VGCCC to undertake the authorised actions, about the financial resources of the Applicant.

RELEASE

In consideration of a bank, other financial institution, solicitor, accountant, financial adviser or any other person or organisation who has lent money to or borrowed from the applicant providing any of those particulars recorded against the applicant as detailed above under the heading “Authorised actions”, **I hereby release** the VGCCC to the full extent of the law and against any claim or demands of any kind and any actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken or made in respect of the use or misuse of the information obtained out of this authorisation.

AUTHORISED PURPOSES

To enable the VGCCC to be satisfied, in considering the application for a commercial raffle organiser's licence, that the Applicant and his or her associates have desirable and satisfactory financial resources and, in conducting on-going monitoring, that those financial resources continue to be desirable and satisfactory. This consent commences on the date below and continues until the later of:-

- the VGCCC considers that I am no longer the holder of a commercial raffle organiser's licence; or
- the expiry of any commercial raffle organiser's licence (if granted).

Signature of person giving authorisation:

Date (day/month/year):

Signature of witness*:

Print name of witness (*any adult can be a witness):

NOTES

- 1) A photocopy of this form will be considered as effective and as valid as the original.
- 2) A reference in this **financial information release form** to the VGCCC includes is a reference to a member of its staff and any other person appointed in writing by the VGCCC.

Strictly Confidential

Consent to access records of law enforcement agencies

In the matter of this application for a commercial raffle organiser's licence and for the purposes of ongoing monitoring by:

Name (Full name):

Address (Full address):

CONSENT

I **consent** to the VGCCC carrying out all probity investigations in relation to me and my business including, but limited to:-

- Australian Federal Police;
 - any crime investigation body in any jurisdiction; and
 - any casino regulatory body in any jurisdiction;
 - any police force of any jurisdiction in any state, country;
 - any corporate regulatory agency in any jurisdiction;
 - any court or administrative region.
 - any government agency;
 - any gaming regulatory body in any jurisdiction;
- (collectively referred to as '**law enforcement agencies**')

b. Release of particulars of any convictions, findings of guilt or other information recorded against me by the law enforcement agencies including, without limitation:-

- details of all prosecutions, including acquittals and matters withdrawn or dismissed and all findings of guilt, whether or not a conviction was recorded;
- matters or charges still outstanding;
- law enforcement agencies intelligence howsoever obtained;
- any other matters recorded as arising either in Victoria or elsewhere by any law enforcement agency and considered relevant by the VGCCC to the investigation or assessment of my application for a commercial raffle organiser's licence under the *Gambling Regulation Act 2003*.

RELEASE

Upon signing this consent, the applicant hereby releases the VGCCC, each law enforcement agency and their servants, agents or contractors to the full extent of the law and against any claim or demands of any kind and any actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken or made in respect of the use or misuse of the information obtained out of this consent, including particulars of any conviction, findings of guilt or other adverse material purporting to relate to the applicant.

ACKNOWLEDGMENT

I acknowledge having read and understood the terms of the consent and have noted that independent legal advice may be sought before signing this consent. This consent commences on the date below and continues until the later of:-

- the VGCCC considers that I am no longer the holder of a commercial raffle organiser's licence; or
- the expiry of any commercial raffle organiser's licence (if granted).

EXECUTION AS A DEED

Signature of person giving consent and release:

Date (day/month/year):

Signature of witness*:

Print name of witness (*any adult can be a witness):

The following attachment page is provided for additional information that requires more space than that provided in the original question. Precede your entry with the Question number and Title to which the additional information relates.

Please copy if additional pages are required and number each page.

Have you used an additional attachment page to provide any further information? YES NO

General Information

Who can apply for a Commercial Raffle Organiser's Licence?

Any person (natural or corporate) can apply to the Victorian Gambling and Casino Control Commission (the VGCCC) for a Commercial Raffle Organiser's Licence.

What does a Commercial Raffle Organiser's Licence permit me to do?

A Commercial Raffle Organiser's Licence authorises the licence holder to conduct a raffle, in whole or in part, on behalf of a community or charitable organisation which has entered into an agreement to do so. The agreement must provide for—

- a. compliance by the licensee with all relevant provisions of the *Gambling Regulation Act 2003* (referred to as the Act in this form); and
- b. the submission to the VGCCC of periodic audited statements as required by or under the Act; and
- c. the retention of records as required by the Act; and
- d. the provision to the community or charitable organisation of a copy of all documents submitted on its behalf to the VGCCC by the licensee; and
- e. the maximum fee, determined in accordance with the regulations, to be paid to the licensee for the raffle.

The agreement may contain any other provisions that are not inconsistent with the Act. Please note that it is the community or charitable organisation's responsibility to—

- a. give the VGCCC a copy of an agreement entered into under this section; and
- b. notify the VGCCC of the termination of the agreement.

If an agreement is entered into under this section, the Commercial Raffle Organiser is solely liable under the Act in respect of the functions performed by the licensee as if it were the community or charitable organisation.

Who is an associate?

The questions contained in the Commercial Raffle Organiser's Licence application form assist to identify an applicant's associates. Each associate must complete an Associated Individual or Associated Entity form, as appropriate.

For the purposes of the Act an "associate" of a gambling industry participant is—

- a. a person who holds or will hold any relevant financial interest, or is or will be entitled to exercise any relevant power (whether in right of the person or on behalf of any other person) in the gambling business of the gambling industry participant, and by virtue of that interest or power, is able or will be able to exercise a significant influence over or with respect to the management or operation of that business; or
- b. a person who is or will be an executive officer, whether in right of the person or on behalf of any other person, of the gambling business of the gambling industry participant; or
- c. if the gambling industry participant is a

natural person—a person who is a relative of the gambling industry participant.

The Act also provides the following definitions: "**executive officer**", in relation to a body (whether incorporated or not), means—

- a. a director, secretary or member of the committee of management of the body (by whatever name called); or
- b. any other person who is concerned with, or takes part in, the management of the body, whether or not the person's position is given the name of executive officer;

"**relative**", in relation to a person, means—

- a. the spouse or domestic partner of the person;
- b. (b) a parent, son, daughter, brother or sister of the person; or
- c. (c) a parent, son, daughter, brother or sister of the spouse or domestic partner of the person;

"**relevant financial interest**", in relation to a gambling business, means—

- a. (a) any share in the capital of the business; or
- b. (b) any entitlement to receive any income derived from the business; or
- c. (c) any entitlement to receive any payment as a result of money advanced;

"**relevant power**" means any power, whether exercisable by voting or otherwise and whether exercisable alone or in association with others—

- a. to participate in any directorial, managerial, or executive decision; or
- b. to elect or appoint any person as an executive officer.