

# Commercial raffle organiser's licence – company, incorporated association or partnership

CCO171224

This form contains the application and information material for a commercial raffle organiser's licence for a company, incorporated association or a partnership.

## How to apply

Send application via email to:

[contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au)

### Privacy Policy

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 Part 1, Division 6 of Chapter 10 of the Act. Go to [vgccc.vic.gov.au](http://vgccc.vic.gov.au) to access this Act.

## Important information

# Commercial raffle organiser's licence – company, incorporated association or partnership

## Directions for completion

### Answer every question and use BLOCK letters.

- If a question does not apply, or if there are no details to disclose in response to a particular question, print N/A (not applicable) in response.
- If the space available is insufficient, please supply the required information on an attachment page(s). If you do so, begin each answer with the title and reference of the question you are responding to.

You must carefully review the application form and lodgement checklist (see page 5) to ensure it is fully completed and that all required attachments are provided. This simple check could save unnecessary delays in registration and processing time of the application.

**The application will not be processed if you do not provide a response to all applicable questions, or if all required attachments are not enclosed. Processing of an application will not commence until all information is provided and the application fee is paid.**

## Nomination of an authorised officer to complete the application form on behalf of the applicant

For the purposes of this application, the '**applicant**' must nominate an '**authorised officer**' responsible for the completion of an application form and for the certification of all information provided. The authorised officer will be an associate of the applicant and should have capacity to influence the business direction of the applicant. This capacity to influence may include but extends beyond the day to day management and control of the commercial raffle organiser. The authorised officer is typically the chairman of the board of directors/committee of management, managing director, chief executive officer, public officer or club/company secretary.

## False or misleading information

It is an offence under the *Gambling Regulation Act 2003* to give information that is false or misleading. If you give false or misleading information, your application may be refused and/or you may be prosecuted and fined. See gambling fees and fines at [vgccc.vic.gov.au](http://vgccc.vic.gov.au).

## Publication of disciplinary action

The holder of a commercial raffle organiser's licence may be subject to disciplinary action being taken by the VGCCC. If the VGCCC does take disciplinary action against a licensed commercial raffle organiser, its decision, including the licensee's full name and licence number, will be published on the VGCCC website and in the VGCCC Annual Report.

## Notification of changes

### While your application is in progress

Between lodging the application and a decision being made about it, the VGCCC must be notified in writing about any changes to the information that has been provided (including any documents lodged with the application). Failure to provide the VGCCC with updated information may result in the application being refused, or any licence granted being subsequently cancelled.

### Following grant of a licence

If a licence is granted, the licensee will also be given a set of Directions which give a licensee an ongoing responsibility to notify the VGCCC of specified changes in its situation. Whenever a specified change takes place, written notice must be given to the VGCCC within 14 days of the change taking place. If the VGCCC is not notified of a specified change, disciplinary action may be taken against the licensee and/or the licensee may be prosecuted and fined.

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## Lodgement checklist

# Commercial raffle organiser's licence – company, incorporated association or partnership

The following documentation, where applicable, **must** be submitted with this application:

If the applicant is a **company** –

- a copy of the Certificate of Incorporation
- a copy of the Constitution/Replaceable Rules
- a corporate family tree detailing the relationship of the company to any subsidiary, parent and related entities must be provided, if such a structure exists

If the applicant is a **incorporated association** –

- a copy of the Certificate of Incorporation
- a copy of Rules/Constitution and Statement of Purpose

If the applicant is a **partnership** –

- of the partnership agreement (if available)

**For all applicants** –

- For each business name listed at Q4, you must provide a copy of the Record of Registration for Business Name
- a copy of the minute or resolution appointing the officer authorised to apply for a Commercial Raffle Organiser's Licence on behalf of the company, incorporated association or partnership and, if applicable, a copy of the minutes of the most recent meeting confirming committee members
- Associated Individual and Entity forms, completed by associates identified must be completed and include all required attachments'
- Original historical organisational extract, (only applicable if the applicant is a company)
- Accountant or Auditor's statement, or summary of financial information
- A financial institution letter
- A list of creditors
- Original** Business Credit File dated within 3 months of lodging your application
- A copy of trust deed, if applicable
- A copy of the public notice, if applicable
- Responsible Gambling Code of Conduct
- A copy of the business plan including the following content - financial predictions for the first 3 years, the number of and names of charitable or community organisations intended to be clients, a governance and compliance framework, experience in managing a business, where and how the business will operate.

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# Commercial raffle organiser's licence – company, incorporated association or partnership

The application relates to either an application for (tick appropriate box and provide details below):

- A **new** commercial raffle organiser's licence
- Renewal** of a commercial raffle organiser's licence

## Applicant details

### IMPORTANT INFORMATION

A **copy** of the Certificate of Registration and constitution (if a company) or a **copy** of the Certificate of Incorporation, rules and the minutes of the most recent meeting confirming the committee members (if an incorporated association) must be attached.

#### 1) Applicant details

Full name of the applicant (applying company, incorporated association or partnership):

If the applicant is a **company**, provide the following details:

Australian Company Number (ACN):

Australian Business Number (ABN):

Date of Incorporation (day/month/year):

If the applicant is a **incorporated association**, provide the following details:

Association Incorporation Number:

Australian Business Number (ABN):

Date of Incorporation (day/month/year):

If the applicant is a **partnership**, provide the **ABN** (if applicable):

#### 2) The applicant's registered office address and contact details:

Contact number:

Email address:

#### 3) Postal address (if same as Q2, write 'as Q2'):

### IMPORTANT INFORMATION

Attach a copy of the Record of Registration for Business Name for each business name listed at Q4.

#### 4) a. Has the applicant operated or does it intend to operate under any other business name/s?

YES  NO

If **NO**, proceed to Q4(b). If **YES**, provide details below.

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b. Has the applicant's name or business/trading name changed in the last 3 years?

YES  NO

If **NO**, proceed to Q5. If **YES**, provide details below. Include what the name was changed from and to, and the date of the change.

(**Note:** A **copy** of the Record of Registration for Business Name for each business name listed at Q4 must be attached (unless submitted previously in connection with an earlier application). The Record of Registration can be requested through ASIC at [asic.gov.au](http://asic.gov.au) or through Business Registration Service at [business.gov.au](http://business.gov.au).)

Is a **copy** of Record of Registration for each business name attached?

YES  NO

Have further details been provided on an attachment page?

YES  NO

5) Details of authorised officer on behalf of the applicant:

First name:

Middle name/s:

Surname:

Position Held:

(e.g. company director/secretary, club president/secretary etc)

Contact number:

Email address:

(**Note:** The authorised officer **must** provide a **copy** of the minute or resolution authorising them to apply for a commercial raffle organiser licence on behalf of the applicant **and** complete an Associated Individual form.)

#### IMPORTANT INFORMATION

Q6 to Q14 does not apply to a partnership application.

#### Legal action

6) Has the applicant ever been the defended/respondent to any legal action in the past 10 years (including in progress)?

YES  NO

If **NO**, proceed to Q7. (**Note:** Failure to disclose relevant legal action will delay determination of any new commercial raffle organiser's licence connected to this application).

If **YES**, provide the following details:

Number of occurrences:

Nature of legal action:

Plaintiff:

Jurisdiction:

Result/Settlement

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

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

Date of delivery of judgement (if known, dd/mm/yyyy):

A **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement **must** be provided, regardless of whether any terms of the agreement are confidential.

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

YES  NO

Have further details been provided on an attachment page?

YES  NO

### Racing and gambling history

7) Has the applicant ever applied for **any** gambling or racing industry licence, approval, authorisation or registration?

YES  NO

If **NO**, proceed to Q8. If **YES**, provide the following details for each application:

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

Type of licence, approval etc:

Licence No. (if known):

Name of Racing/Gaming Regulator (if known):

Name shown on licence, approval etc:

Licence/approval/association dates (dd/mm/yyyy):

 to 

### Other regulatory history

8) Has the applicant ever been the subject of disciplinary action, regulatory breaches, enforcement action or had an application for any licence or permit refused?

(**Note:** Include details of any special conditions or restrictions imposed on a licence, approval etc)

YES  NO

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

Number of occurrences:

Type of licence, approval etc:

Jurisdiction:

Licence No. (if known):

Name of Regulator (if known):

Details of action taken or any special conditions or restrictions imposed on a licence, approval etc. (including warning letters):

Have further details been provided on an attachment page?

YES  NO

b. If the application was refused or withdrawn, provide details below, include licence number if withdrawn:

Type of licence, approval etc sought:

Date of application (mm/yyyy):

Name of Racing/Gambling Regulator (if known):

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

Have further details been provided on an attachment page?

YES  NO

### Charges, Findings of Guilt and Convictions

9) Has the applicant ever been charged with, or found guilty of, a criminal offence, or been investigated by a law enforcement agency for an alleged offence against the applicant?

YES  NO

If **NO**, proceed to Q10. If **YES**, provide the following details:

Number of occurrences:

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Nature of offence:

Date (dd/mm/yyyy):

Jurisdiction:

Court/Tribunal etc:

Result of Hearing or other disposition:

If the ownership/management structure has changed from that at the time of the offence/s, describe how:

Have further details been provided on an attachment page?

YES  NO

**10)** Is there any investigation or charge currently pending against the applicant in respect of any offence?

YES  NO

If **NO**, proceed to Q11. If **YES**, provide the following details:

Nature of investigation or charge:

City or Town:

Jurisdiction\*:

Result of Hearing or other Disposition:

Have further details been provided on an attachment page?

YES  NO

**11)** Has the applicant ever been investigated by a regulatory body or law enforcement agency? (e.g. ASIC, RIA, APRA, ACCC)

YES  NO

If **NO**, proceed to Q12. If **YES**, provide the following details for each case:

Number of occurrences:

Name of regulatory body or law enforcement agency:

Nature of investigation:

Date of Hearing (if known):

Result:

Have further details been provided on an attachment page?

YES  NO

**12)** Has the applicant ever taken part in a diversion program?

YES  NO

If **NO**, proceed to Q13. If **YES**, provide the following details:

Number of occurrences:

Nature of investigation or charge:

City or Town:

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

## Corporate structure and establishment of associates

### IMPORTANT INFORMATION

#### Historical organisational extract from the Australian Securities and Investments Commission (ASIC)

#### Applicants incorporated under Australian Corporations Law

All corporations incorporated under Australian Corporations Law **must** lodge with this application form an historical organisational extract from ASIC (refer to instructions at [vgccc.vic.gov.au](http://vgccc.vic.gov.au)).

#### Applicants incorporated under the Associations Incorporation Reform Act 2012

If the applicant is incorporated under the *Associations Incorporation Reform Act 2012*, an historical organisational extract is **not** required.

13) Is an historical organisational extract from ASIC attached?

YES  NO

### IMPORTANT INFORMATION

Q14 must be completed where the applicant is a **company** (if an **incorporated association** or a **partnership**, proceed to Q15).

14) Does the applicant have an ultimate holding company (as defined below)?

YES  NO

- **'Ultimate holding company'** - is a corporation that is a holding company of the applicant company and is itself a subsidiary of no other corporation

If **NO**, proceed to Q15. If **YES**, provide the ultimate holding company's name:

(**Note:** Any entity named in response to Q14 **must** complete an Associated Entity form and associates of an ultimate holding company named in response to Q14 **must** also complete an Associated Entity or Associated Individual form as appropriate.)

15) List below the names of all current company directors and the company secretary (if a company) or the names of all current committee members and the secretary (if an incorporated association) or the names of all partners (if a partnership).

First name:

Middle name(s):

Surname:

Position Held:

First name:

Middle name(s):

Surname:

Position Held:

First name:

Middle name(s):

Surname:

Position Held:

First name:

Middle name(s):

Surname:

Position Held:

(**Note:** All individuals named in response to Q15 must complete an Associated Individual form, except the proposed nominee, who must complete an application for approval as a nominee form.)

Are appropriate forms attached?

YES  NO

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**IMPORTANT INFORMATION**

Q16 to Q18 are only applicable where the applicant is a **company**. If the applicant is an **incorporated association** or a **partnership**, proceed to Q19.

**16)** Give the total number of ordinary shares (voting and income entitlement shares) and preference shares (income entitlement shares only):

i. ordinary shares (total no.):

ii. preference shares (total no.):

**17)** List below the names of the ten (10) largest shareholders and the number of shares held:

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

Name of shareholder:

Class of share:  No. of shares held

**(Note:** Shareholders with 10% or more of shares in the applicant’s company **must** complete an Associated Entity or Associated Individual form as appropriate. The VGCCC may also require any other shareholder of the applicant to complete an associate form.)

**18)** Do any of the shareholders holding 10% or more of shares hold those shares on behalf of, or in trust for, any individual or entity?

YES  NO

If **NO**, proceed to Q19. If **YES**, provide details below:

Shares held by:

Full name of beneficial owner:  No. of shares held

Shares held by:

Full name of beneficial owner:  No. of shares held

Shares held by:

Full name of beneficial owner:  No. of shares held

Shares held by:

Full name of beneficial owner:  No. of shares held

(Note: Where a beneficial owner of shares is named in response to Q18, and the beneficial owner holds a total of 10% or more of ordinary or preferential shares, the beneficial owner of the shares **must** complete an Associated Entity or Associated Individual form as appropriate.)

- a. Attached a copy of the business plan including the following content:
- financial projections for the first 3 years
  - the number of names and declared charitable organisations intended to be clients
  - governance and compliance framework
  - experience in managing a business
  - how and where the business will operate

## Financial Particulars

### IMPORTANT INFORMATION

#### Accountant or Auditor's statement

The Accountant or Auditor's statement must be completed and provided with this application.

#### Holding Company's Accountant or Auditor's statement (if applicable)

An Accountant or Auditor's statement must be completed and provided with this application in respect of the holding company, if applicable.

#### Summary of financial information

In addition to providing an accountant or auditor's statement, the applicant can provide a summary of financial information for **the three most recent completed financial years**. The applicant is advised to consult with its accountant or auditor to ensure that the true and correct summary of financial information is provided.

The applicant must also ensure the solvency declaration at the end of this section is signed by each Director of the applicant. The solvency declaration requires each Director to declare that they have a reasonable belief that the company will be able to pay its debts as and when they become due and payable.

This solvency declaration will assist the Commission to consider whether the applicant is of sound and stable financial background for the purposes of the *Gambling Regulation Act 2003*.

19) Is an Accountant or Auditor's statement for the Applicant or, where applicable, the holding company attached?

YES  NO

If **YES**, proceed to Q20. If **NO**, provide reasons on an attachment page.

a. If an Accountant or Auditor's statement is **not** attached, is the summary of financial information and Director's solvency declaration attached?

YES  NO

Have further details been provided on an attachment page?

YES  NO

### IMPORTANT INFORMATION

#### Financial institution letter

The financial institution letter (see attachment 3) **must** be forwarded to the applicant's major financial provider for completion and submission as part of this application. Where the applicant has no financial history or has traded for less than 12 months, but a holding company exists, the financial institution letter should be forwarded to the holding company's major financial institution for completion and submission as part of this application.

20) Is a financial institution letter from the applicant's or, if applicable, the holding company's major financial provider attached?

YES  NO

21) Provide details of all financial institutions and other sources with which the applicant has accounts, borrowings or investments of \$50,000 or more:

i. Financial institution/source name:

Branch/source address:

Nature of account:

ii. Financial institution/source name:

Branch/source address:

Nature of account:

Have further details been provided on an attachment page?

YES  NO

**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 authorised officer on behalf of the applicant as to its accuracy. Where an applicant has never traded but a holding company exists, a listing of the holding company's creditors must instead be provided as part of this application.

**22)** Is a listing of the applicant's creditors or, where an applicant has never traded but a holding company exists, a listing of the holding company's creditors attached?

YES  NO

If **YES**, proceed to Q23. If **NO**, provide reasons on an attachment page.

Have further details been provided on an attachment page?

YES  NO

**IMPORTANT INFORMATION**

All applicants (whether a company or an incorporated association) must lodge with this application form a Business Credit File (refer to instructions at [vgccc.vic.gov.au](http://vgccc.vic.gov.au)).

**23)** Is the applicant's business credit file attached?

YES  NO

**24)** Other than what has been disclosed on the Credit File, is the applicant 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  NO

If **NO**, proceed to Q25. If **YES**, complete the following (**Note:** All amounts must be stated in Australian currency):

Number of occurrences:

Financial institution or creditor:

Total amount owing:

Total amount in debt:

Number of days payment is overdue:

Financial institution or creditor:

Total amount owing:

Total amount in debt:

Number of days payment is overdue:

Financial institution or creditor:

Total amount owing:

Total amount in debt:

Number of days payment is overdue:

Have further details been provided on an attachment page?

YES  NO

**25)** Has the applicant ever 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 other similar proceedings?

YES  NO

If **NO**, proceed to Q26. If **YES**, provide the following details below:

Number of occurrences:

Type of proceedings:

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Date action taken (mm/yyyy)

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

Name:

Phone number:

Reason for action taken:

Have further details been provided on an attachment page?

YES  NO

**26)** Other than what has been disclosed on the Credit File, has the applicant ever been subject to bankruptcy or any insolvency arrangements?

YES  NO

Number of occurrences:

If **NO**, proceed to Q27. If **YES**, complete the following and provide details of circumstances leading to bankruptcy/arrangement proceedings on an attachment page.

Date of Bankruptcy/Arrangement (dd/mm/yyyy):

Date of Discharge/Completion (proposed date)(dd/mm/yyyy):

**Note:** If 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 inclosed?

YES  NO

Name of Trustee:

Address:

Telephone number:

**27)** Is the applicant the guarantor for someone else's debt or loan?

YES  NO

If **YES**, provide number of occurrences and details on an attachment page.

Number of occurrences:

If **NO**, proceed to Q28.

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

Have further details been provided on an attachment page?

YES  NO

**28)** Is the applicant a Corporate Trustee?

YES  NO

If **NO**, proceed to Q29. If **YES**, a copy of the Trust Deed **must** be attached and Q28(a)-(d) **must** be completed:

**a.** Name(s) of Trust:

Address:

Type of Trust ( tick one only)

Discretionary Trust  Unit Trust

Is a **copy** of Trust Deed attached?

YES

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

Full name:

Company  Individual (tick appropriate box)

% of ownership:

Voting:  Income:

Full name:

Company  Individual (tick appropriate box)

% of ownership:

Voting:  Income:

Full name:

Company  Individual (tick appropriate box)

% of ownership:

Voting:  Income:

Full name:

Company  Individual (tick appropriate box)

% of ownership:

Voting:  Income:

Full name:

Company  Individual (tick appropriate box)

% of ownership:

Voting:  Income:

**c.** Specify all of the current beneficiaries/unit holders of the Trust who received 10% or more of the Trust's income distribution in any one of the last three (3) years:

Name:

Name:

Name:

**d.** Identify below any trust beneficiaries/unit holders with voting rights that, by virtue of the Trust Deed, enable them individually or as a group to remove/ change the Trustee or to influence the Trustee's decisions:

Name:

Name:

Name:

(**Note:** All persons identified by Q28(d) must complete an Associated Individual form.)

Have further details been provided on an attachment page?

YES  NO

## Advertising Requirements

### IMPORTANT INFORMATION

#### Application being made for a new commercial raffle organiser's licence.

Within **14 days** of applying for a commercial raffle organiser's licence, the applicant must publish in a newspaper circulating in the area and in a newspaper circulating generally in Victoria, a notice containing the prescribed information and a statement that any person may object to the grant of the licence by giving notice in writing to the VGCCC within 28 days of the date of publication, stating the grounds for the objection.

Set out below is the suggested format of the notice:

**(Authorised officer's name)**, as the authorised officer on behalf of **(applicant's name) (applicant's A.C.N. if applicable)** of **(applicant's business address)** has applied to the Victorian Gambling and Casino Control Commission for a Commercial Raffle Organiser's Licence.

In accordance with section 8.5A.5 (3)(b) of the *Gambling Regulation Act 2003*, any person or organisation may object to the grant of this licence by giving notice in writing within 28 days from the date of this newspaper, stating the grounds for objection to:

Victorian Gambling and Casino Control Commission GPO  
Box 1988 MELBOURNE VIC 3001

The permissible grounds for objection are specified in the Act and relate to the suitability of the applicant to be licensed. For further information contact the VGCCC at [contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au) or 1300 599 759.

**29)** Is a copy of the publication of the notice attached?

YES  NO

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

## Responsible Gambling Requirements

### IMPORTANT INFORMATION

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

**30)** 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

### Declaration by authorised officer

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 authorised officer:

Signature of witness\*:

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

Date (dd/mm/yyyy):

# Financial information release form

## Gambling Regulation Act 2003

In the matter of this application for a Commercial Raffle Organiser's licence and for the purposes of ongoing monitoring by:

**Name** (Full name of applicant):

**Address** (Full address of applicant):

('Applicant')

I, the applicant hereby authorises all **persons** who receive a photocopy of 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 and its staff or any other person appointed in writing by the VGCCC, to inspect and obtain a copy of any document, record or correspondence in the possession or under the control of any 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 person who has the management or care of business or financial matters on behalf of the applicant;
- 2) To answer written or verbal queries of and to provide information (by any means) to the VGCCC and its staff or any other person appointed in writing by 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 make an assessment of the applicant's financial stability and that, in conducting on-going monitoring, an Applicant's continuing financial stability. 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).

Authorised officer's signature:

Dated (dd/mm/yyyy):

### 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 a reference to a member of its staff and any other person appointed in writing by the VGCCC.

Commercial raffle organiser – company, incorporated association or partnership

# Consent for release of information by law enforcement agencies

## Gambling Regulation Act 2003

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

Name (Full name of applicant):

 of

Address (Full address of applicant

 ('applicant')

## Consent

The applicant hereby consents to all probity investigations carried out by the Victorian Gambling and Casino Control Commission (VGCCC) and its staff, including but not limited to:

(a) Inspection of criminal, intelligence or other records kept or maintained by:

- the Victoria Police;
  - any crime investigation agency;
  - any gambling regulatory body;
  - any Court;
  - any State, Territory, federal or overseas police force;
  - any corporate regulatory agency;
  - any casino regulatory body;
  - any government agency.
- (collectively referred to as '**law enforcement agencies**')

(b) release of particulars of any convictions, findings of guilt or other information recorded against the applicant 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 venue operator'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 applicant no longer holds a Commercial Raffle Organiser's licence; or
- the expiry of any Commercial Raffle Organiser's (if granted).

A photocopy of this form will be considered as effective and as valid as the original.

## Execution as a Deed

Signature of authorised officer:

Date:

Signature of authorised officer:

Date:

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

T: 1300 599 759 E: [contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au)

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Commercial raffle organiser – company, incorporated association or partnership

# Attachment 1 – Historical organisational extract from the Australian Securities and Investments Commission (ASIC)

## Background

An historical organisational extract identifies the type, status, registered address, roles within the organisation, share structure, members and charges and documents lodged (current and historical) of organisations registered with ASIC.

When making a search application to ASIC, ensure that you specify that you require an historical organisational extract and **not** a current organisational extract. An historical organisational extract identifies both **current and historical** information about the corporation, while the current extract identifies only current information. If this application form is lodged with an extract other than an historical organisational extract it will be considered incomplete.

In addition, the historical organisational extract **must** have been issued within three months of the date of lodgement of this form. If you fail to meet any of these requirements (i.e. you do not provide an historical organisational extract or you enclose either a photocopied extract or an extract issued more than three months prior to the date of lodgement of this form) the application form will be considered incomplete and will be returned to you.

All matters detailed in the corporation's historical organisational extract are taken into consideration by the Victorian Gambling and Casino Control Commission. Should you wish to dispute or amend any of the information disclosed in the corporation's historical organisational extract you should do so with ASIC **prior** to lodging your application.

## Fee for searching ASIC databases

Fees are payable for searching ASIC databases. ASIC fees for on-line/telephone searches through brokers may differ from the fees charged at an ASIC Business Centre. Information brokers, however, may charge a service delivery fee in addition to the ASIC fee. The delivery fee may vary between brokers. ASIC does not regulate the amount of broker delivery fees.

ASIC can advise you of the cost of obtaining an historical organisational extract.

## How to apply for your historical organisational extract

An historical organisational extract can be obtained from ASIC. You may also contact ASIC's Infoline or refer to the ASIC website to obtain details of regional ASIC Business Centres and ASIC Representatives or Information Brokers.

## Contact details

Website: [asic.gov.au](http://asic.gov.au)

Email: [info.enquiries@asic.gov.au](mailto:info.enquiries@asic.gov.au)

ASIC's Infoline: 1300 300 630

**Note:** A partnership applicant is not required to complete this attachment.

T: 1300 599 759 E: [contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au)

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Commercial raffle organiser's licence – company, incorporated association or partnership  
**Attachment 2 – Accountant or Auditor's statement**

**Gambling Regulation Act 2003**

**Background**

In the matter of this application, and for the purposes of ongoing monitoring, Section 8.5A.7(2)(b) of the *Gambling Regulation Act 2003* (the Act) requires the Commission to consider whether an applicant for a commercial raffle organiser's licence or renewal of such licence is of 'sound and stable financial background'.

**Note:** For a partnership application the Accountant or Auditor's statement must be provided separately for each partner.

The following statement is to be completed by a Certified Practising Accountant or Associate Chartered Accountant. This statement is provided for the sole purpose of assisting the Commission to assess an application made under the Act.

Name of applicant:

Name of accountant or auditor:

Accountant or auditor's address:

Qualification:

Certified practicing accountant     Chartered accountant

I have considered all relevant documentation relating to the financial affairs of the above applicant. I am satisfied that at the time of making this statement, the applicant is able to pay its debts when and as they become due and payable.

Please specify below, or attach to this statement, any qualifications or explanations relating to the above statement that you wish to make.

Signature of accountant:

Date:

Printed name of signatory:

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# Commercial raffle organiser's licence – company, incorporated association or partnership

## Attachment 2(a) – Summary of financial information

### Gambling Regulation Act 2003

#### Background

In addition to providing an accountant or auditor's statement, the applicant must complete this section with the required summary of its financial information for the three most recent completed financial years. The applicant is advised to consult with its accountant or auditor to ensure that a true and correct summary of financial information is provided.

The VGCCC may subsequently request audited financial statements be submitted in the event that this summary is found to be incomplete, incorrect or misleading. The applicant must also ensure the solvency declaration at the end of this section is signed by each Director of the applicant. The solvency declaration requires each Director to declare that they have a reasonable belief that the company will be able to pay its debts as and when they become due and payable.

This solvency declaration will assist the Commission to consider whether the applicant is of sound and stable financial background for the purposes of the *Gambling Regulation Act 2003*.

Year ended 

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#### Profit & Loss Statement

Total Sales/Revenue			
Less: Cost of Sales			

Gross Operating Profit			
Other Income (specify)			

<b>Total Income</b>			
Less: Operating Expenditure			

<b>Net Profit/(Loss) before taxation</b>			
Less: Taxation Payable			

<b>Net Profit/(Loss) after taxation</b>			
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<b>Profit &amp; Loss Appropriation</b>			
Net Profit/(Loss) after taxation			
Retained Profits/(Losses) b/fwd			
Distribution to Beneficiaries			
Dividends declared/paid			
Others (specify)			

<b>Retained Profits/(Losses) c/fwd</b>			
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Year ended

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**Current Assets**

Cash & deposits			
Trade debtors			
Other debtors			
Inventories			
Amounts owing by related parties/entities			
Amounts owing by shareholders/unit-holders			
Others (please specify )			

<b>Total current assets</b>	<b>a</b>		
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<b>Non-current assets</b>			
Property, plant & equipment			
Intangible assets			
Amounts owing by related parties/entities			
Amounts owing by shareholders/unit-holders			
Others (please specify)			

<b>Total non-current assets</b>	<b>b</b>		
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<b>Total assets (a+b)</b>	<b>c</b>		
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**Current Assets**

Cash & deposits			
Trade debtors			
Other debtors			
Inventories			
Amounts owing by related parties/entities			
Amounts owing by shareholders/unit-holders			
Others (please specify )			

<b>Total current liabilities</b>	<b>d</b>		
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T: 1300 599 759 E: contact@vgccc.vic.gov.au

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Year ended

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**Non-current liabilities**

Bank overdraft & loans (secured)			
Amounts owing by related parties/entities			
Amounts owing by shareholders/unit-holders			
Provisions			
Others (please specify)			

<b>Total non-current liabilities</b>	<b>e</b>		
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<b>Total liabilities</b>	<b>f</b>		
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<b>Net assets (c-f)</b>	<b>g</b>		
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**Equity**

Issued capital/settlement sum			
Reserves			
Retained profits/(losses)			
Others (please specify)			

<b>Total equity</b>	<b>h</b>		
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Net assets (g) must be equal to total equity (h)

## Authorised officer declaration

I, the authorised officer of the applicant declare and confirm that the attached audited financial statements or the summary of financial information provided are true and correct on the understanding that the applicant and myself are liable to prosecution for providing false and misleading information.

Name of Authorised Officer:

Signature of Authorised Officer:

Date:

## Directors declaration/declaration by all partners (if applicant is a partnership)

The persons listed below declare that we are the Directors/partners of the applicant and that we have enquired into the financial affairs of the applicant. We declare that we are satisfied that at the time of making this application, the applicant is able to pay its debts as and when they become due and payable.

Name of Director or partner of partnership applicant:

Signature of Director:

Date:

Name of Director or partner of partnership applicant:

Signature of Director:

Date:

Name of Director or partner of partnership applicant:

Signature of Director:

Date:

Name of Director or partner of partnership applicant:

Signature of Director:

Date:

Name of Director or partner of partnership applicant:

Signature of Director:

Date:

Commercial raffle organiser's licence – company, incorporated association or partnership  
**Attachment 3 – Financial institution letter**

The Manager,

(Name/Address of Bank)

Dear Sir/Madame

(applicant's name)

has applied to the Victorian Gambling and Casino Control Commission (the VGCCC) for a commercial raffle organiser's licence. As part of the application process, the VGCCC is performing a review of this company/incorporated association/partnership\*. In connection with this review, we request that you provide the following details:

- the amounts outstanding and available under all facilities made available to the company/incorporated association/partnership\*;
- the next review date and expiry date for each existing facility;
- the security held over each facility outlined above;
- whether any of the original facilities are in default of any payments of principal or interest;
- the nature of any current or previous discussions between yourselves and the company/incorporated association/partnership\* which may materially impact upon the continuing availability of credit to the company/incorporated association/partnership\* or have previously resulted in alterations to the original funding facility; and
- confirm that the bank supports the application.

The completion of this review is an integral part of the processing of the application for registration as a commercial raffle organiser, and accordingly, I would appreciate your reply at the earliest convenience.

Please forward your reply on this matter directly to the undersigned at the address listed below.

Yours Sincerely,

Signature:

Date:

Name:

Position:

Address:

\*Delete were inapplicable

