

Bookmaker registration - partnership

WAB011224

How to apply

Submit 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 provided for under Division 6 of Part 10 of the Act. You may access these provisions at vgccc.vic.gov.au

The following documentation, must be submitted with this application:

- A completed application form
- An executed Deed of Partnership
- National Police Certificate for each partner
- Credit Report for each partner
- Historical Personal Name extract from ASIC for each partner
- Record of Registration for Business Name (if applicable)
- Schedules A to L for each partner
- Obtain and attach the Victorian Bookmakers Association Bond guarantee
- A copy of the business plan including financial projections for the first 3 years and governance and compliance framework, experience in managing a business, accepted methods of accepting gambling payments and proportions (cash etc), where and how the business is to operate.
- Consent for release of information by Law Enforcement Agencies form for each partner
- Financial Information Release form for each partner

Partnership Details

1) Bookmaking partnership trading name:

Online business name:

2) a. Will your operations be:

On course Online Both

b. If any partner holds a BKE, please list partner name and BKE licence number.

3) Details of authorised officer on behalf of the partnership:

First Name:

Middle Name(s):

Surname:

Position held (eg partner/company director etc):

Contact number:

Email address:

4) List below details of the natural persons or corporations that constitute the partnership:

Full name:

Company Individual (tick appropriate box)

Existing registration number:

% of Ownership- Voting: Income:

Full name:

Company Individual (tick appropriate box)

% of Ownership- Voting:

Income:

Full name:

Company Individual (tick appropriate box)

Existing registration number:

% of Ownership- Voting:

Income:

Full name:

Company Individual (tick appropriate box)

Existing registration number:

% of Ownership- Voting:

Income:

Have further details been provided on an attachment page?

YES NO

5) Does the partnership intend to operate under any business/trading name/s?

YES NO

If **NO**, proceed to Q6. If **YES**, provide details below:

Business Name/s:

Partnership's Australian Business Number (ABN):

Note: A copy of the Record of Registration for Business Name for each business name listed at Q5 must be attached. (The Record of Registration can be requested through ASIC at asic.gov.au or through Business Registration Service at business.gov.au)

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

YES NO

Have further details been provided on an attachment page?

YES NO

6) Provide the following details concerning the proposed partnership's scale of operations:

i. Estimated gross turnover for the next financial year:

\$

ii. Intended race meetings:

iii. Bet types:

Will you be using any other Bookmaker Key Employees?

YES NO

If **YES**, please provide details of full name and licence number.

iv. Telephone usage:

v. Workload rosters:

vi. Attached is a copy of the business plan including the following content – financial projections for the first 3 years, a governance and compliance framework, experience in managing a business, accepted methods of accepting gambling payments and proportions (cash etc), where and how the business is to operate.

YES

7) The application must be accompanied by a copy of a current signed and executed deed of partnership. Is a copy of a current signed and executed deed of partnership enclosed?

YES

8) The application must be accompanied by written confirmation from the Victorian Bookmakers' Association Ltd of the default guarantee status of the proposed members of the partnership or of other suitable alternative arrangements.

Is written confirmation from the Victorian Bookmakers' Association Ltd of the default guarantee status of the proposed members of the partnership or of other suitable alternative arrangements attached?

YES

9) Does any partner have any other associations within the gambling industry? In any jurisdiction and in any capacity.

YES NO

If **YES**, please provide:

Type of association:

Entity associated with:

State or country of operations:

10) Does any partner have any business or personal relationships with known criminals?

YES NO

If **YES**, please provide details of full name and licence number.

11) Please provide full regulatory, breach and compliance history with national or international gambling regulators other than the VGCCC over the last five years.

12) Has an application on behalf of the partnership been lodged for any racing or gambling industry licence, concession, approval, authorisation or registration in any jurisdiction?

YES NO

If **YES**, please provide details including outcome:

Other Regulatory History

13) Has any partner, personally, or any entity that they have been an officer of, ever been investigated by a regulatory body or law enforcement agency (e.g. ASIC, RIA, APRA, ACCC)?

YES NO

If **NO**, proceed to Q14. If **YES**, provide the following details:

Partner name:

Name of regulatory body or law enforcement agency:

Nature of investigation:

Name shown on licence, approval etc:

Result:

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

14) Has any partner, personally, or any entity that they have been an officer of, ever been the subject of disciplinary action, enforcement action or had an application for any licence or permit refused? Have they personally ever been disqualified from involvement in the management of an entity?

YES Number of occurrences:

NO

If **NO**, proceed to Q15. If **YES**, provide details below:

Partner name:

Type of licence, approval etc:

Licence No. (if known):

Name of Racing/Gambling Regulator (if known):

Name shown on licence, approval etc:

Type of action taken and reason:

Date of disqualification (dd/mm/yyyy):

Jurisdiction*:

Reason for disqualification/proceedings:

Have further details been provided on an attachment page?

YES NO

15) Is there any regulatory investigation underway against an entity a partner is associated with?

YES NO

If **YES**, please provide details:

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) from the Victoria Police (refer to instructions at Attachment 2). The NPC you provide **cannot** be a copy and must be obtained not more than 3 months before this form is lodged.

You **must** advise details at Q28 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 Q28. You **must** ensure that all names noted in Q3(a)-(c) are advised to the Victoria Police 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.

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

YES NO

If **YES** to Q27, an NPC **must** be provided.

If **NO** to Q27, you are requested to seek an equivalent report from the relevant Police Agency which is an original document or a certified copy of the original document. If an equivalent report is not enclosed, provide an explanation on an attachment page.

Have further details been provided on an attachment page?

YES NO

17) 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 NO

b. Have you ever participated in a Diversion Program or any like proceedings?

YES NO

If **NO** to Q28(a) & (b), proceed to Q29. If **YES** to either Q28(a) or (b), provide details below in relation to each matter:

Nature of Offence/Charge:

Date (dd/mm/yyyy):

Jurisdiction*:

Result (if known):

Have further details been provided on an attachment page?

YES NO

18) Please provide full regulatory, breach and compliance history with the gambling regulators other than the VGCC over the last five years:

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

Financial Particulars

IMPORTANT INFORMATION

You must obtain a 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 Q3(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. Instructions on obtaining your Credit Report are provided on the website.

20) a. Other than disclosed on your Credit Report, has any partner, personally ever been subject to bankruptcy or any insolvency arrangements?

YES Number of occurrences:

NO

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):

Name of Trustee:

Address:

Telephone number:

b. Are bankruptcy or any like proceedings pending, in any jurisdiction*?

YES NO

If **YES**, provide details of circumstances leading to these proceedings on an attachment page.

Have further details been provided on an attachment page?

YES NO

21) Has any partner 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 other similar proceedings?

YES Number of occurrences:

NO

If **NO**, proceed to Q22. If **YES**, complete the following for each matter and provide details of circumstances leading to proceedings on an attachment page:

Company Name:

Type of proceedings:

Commencement Date (dd/mm/yyyy):

Details of trustee, administrator, liquidator, receiver/ manager, regulatory body or law enforcement agency:

Name:

Phone number:

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

22) Other than disclosed on your Credit Report, is any partner the personal guarantor for someone else's debt or loan?

YES NO

If **NO**, proceed to Q23. If **YES**, is any person, including any corporation, in respect of whom any partner have given a guarantee in default of any agreements with respect to payment of a debt or loan?

YES Number of occurrences:

NO

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

Have further details been provided on an attachment page?

YES NO

23) Has each partner enclosed your Credit Report or an equivalent report from the relevant agency in your jurisdiction*?

YES NO

If **YES**, proceed to Q24. 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

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

24) Is any partner 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 **YES**, complete the following: Financial Institution or creditor:

Total amount owing: Total amount in default:
\$ \$

Number of days payment is overdue:

Financial Institution or creditor:

Total amount owing: Total amount in default:
\$ \$

Number of days payment is overdue:

Financial Institution or creditor:

Total amount owing: Total amount in default:
\$ \$

Number of days payment is overdue:

Have further details been provided on an attachment page?

YES NO

Responsible Gambling

IMPORTANT INFORMATION

Responsible Gambling Code of Conduct (Code)

A person registered with the VGCCC as a bookmaker 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 finalised until a code is lodged.

A registered bookmaker code must comply with Ministerial Direction which sets out the matters which must be contained in a Code. The Ministerial Direction is available on the VGCCC website.

26) Is one of the above documents 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:

Date (day/month/year):

Signature of witness*:

Date (day/month/year):

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

Relationship to person making declaration:

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.

Entity	Type of entity	No. of shares* or units	% held	Purchase price	Date of purchase	Name in which held	Persons or entities sharing interest and percentage ownership	Market Value

* Shares include US stocks

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	Description of liability	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 - Sources of income and other benefits

List below all sources of funds/financial benefits from any source (in excess of \$30,000 in any one year) for the past (3) financial years.

Description of funds/financial benefits	Year(s) received	Details of source/Providers	Reason for provision/ purpose	Total value AUD\$	% of total value received by	% of total value received by family members

Schedule L – Directorships/Secretary roles

Entity Name	Role	Business Description

Consent for release of information by law enforcement agencies

Gambling Regulation Act 2003

In the matter of this application for registration as a bookmaker and for the purposes of ongoing monitoring by:

Name (Full name of applicant):

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 (the VGCCC) and its staff, including but not limited to:-

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

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

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 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 the release and have noted that independent legal advice may be sought before signing this consent. This authorisation commences on the date below and continues until the later of:-

- the VGCCC considers that I am no longer a registered bookmaker; or
- the expiry of any registration as a bookmaker (if granted).

Execution as a deed

Signed:

Signature of authorised officer

Date:

(Day/Month/Year)

Witness:

Signature of witness

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

Financial information release form

Gambling Regulation Act 2003

In the matter of this application for registration as a bookmaker and for the purposes of ongoing monitoring by:

Name (Full name of applicant):

Address (Full address of applicant):

(‘Applicant’)

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 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 that the applicant and each of its associates is of sound and stable financial background and that, in conducting on-going monitoring, those financial resources continue to be desirable and satisfactory. This authorisation commences on the date below and continues until the later of:

- the VGCCC considers that the applicant is no longer a registered bookmaker; or
- the expiry of any registered bookmakers registration (if granted).

Signature of applicant:

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.

Statement of Adoption of a Responsible Gambling Code of Conduct

Name of code:

Please complete the following:

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

Signature of applicant:

Date (dd/mm/yyyy):

Printed name of applicant: