

Bookmaker registration – corporation

WAB031224

This package contains the application and information material for a corporate bookmaker.

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.

Bookmaker registration – corporation

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

- A **copy** of the corporation's Certificate of Incorporation
- A **copy** of the Constitution/Replaceable Rules
- A **copy** of the minute or resolution appointing the officer authorised to apply for registration as a bookmaker on behalf of the corporation
- A **copy** of independent documentation concerning any court outcome or, if settled out of court, a copy of any settlement agreement
- Historical organisational extract from the Australian Securities and Investments Commission – refer to website
- Associated Individual and/or Associated Entity forms, as identified
- A corporate family tree/structure, if applicable
- An Accountant or Auditors statement
- Summary of Financial information
- A Financial Institution letter
- A list of creditors
- Business credit report
- A **copy** of the Trust Deed
- Consent for release of information by Law Enforcement Agencies form
- Financial information release form
- A document relating to the applicant's Responsible Gambling Code of Conduct
- 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.

Bookmaker registration – corporation

Corporation Details

1) This application is a:

- New** registration pack
 Renewal registration pack

- a. Apply online
 On course
 Both

b. Will you be using a bookmaker key employee?

- YES NO

Name/s

Full name of the corporation:

Date of incorporation (day/month/year):

Australian Company Number (ACN):

Australian Business Number (ABN):

Note: A **copy** of the corporation's Certificate of Incorporation and a **copy** of the Constitution/Replaceable Rules must be attached.

Is a copy of each of these documents attached?

- YES NO

2) Is the corporation linked to any other gambling licence/ registration?

- YES NO

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

Type of association:

Entity associated with:

State or country of operations:

Have further details been provided on an attachment page?

- YES NO

3) Corporation's registered office address and contact details:

Contact number:

Email address:

4) Postal address (if same as Q3, write 'as above'):

5) a. Has the corporation operated under any other business name/s?

- YES NO

b. Does it intend to operate under any other business name/s?

- YES NO

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

Note: A **copy** of the section 23 certificate under the *Business Names Act 1962* for each business name listed at Q5 must be attached.

Is a **copy** of relevant certificate attached?

- YES NO

Have further details been provided on an attachment page?

- YES NO

6) Has the corporation's name or business/trading name changed in the last 3 years?

YES NO

If **NO**, proceed to Q7. If **YES**, provide details below:

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Have further details been provided on an attachment page?

YES NO

7) Name of corporation's authorised officer:

First name:

Middle name/s:

Surname:

Position held (e.g. company director/secretary):

Contact number:

Email address:

Note: The authorised officer **must** provide a **copy** of the minute or resolution authorising them to apply for registration as a bookmaker on behalf of the corporation and complete an Associated Individual form.

8) Name of corporation's nominee:

First name:

Middle name/s:

Surname:

Note: The nominee **must** provide a **copy** of the minute or resolution authorising them to apply for registration as a bookmaker on behalf of the corporation and complete an approval as a nominee of a corporation form.

Legal Action

9) Has the corporation ever been the defendant/respondent to any legal action in the past 10 year (including in progress)?

YES NO

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

Number of occurrences:

Nature of legal action:

Plaintiff:

Jurisdiction*:

Result/Settlement:

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

Case number issued by court/tribunal (if known):

Date of delivery of judgement (if known):

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

A copy of independent documentation concerning 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

10) Is there any legal action being currently pursued against the corporation?

YES NO

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

Nature of legal action:

Plaintiff:

Jurisdiction*:

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

Case number issued by court/tribunal (if known):

Next scheduled hearing date:

Have further details been provided on an attachment page?

YES NO

Racing and Gambling History

11) Has the corporation ever applied for any racing or gambling industry licence, approval, permit, authorisation, registration etc in any jurisdiction?

YES NO

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

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

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 date (mm/yyyy):

to

Have further details been provided on an attachment page?

YES NO

12) a. Has the corporation ever been the subject of disciplinary action, regulatory breaches, enforcement action or had an application for any licence or permit refused?

YES NO

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

Number of occurrences:

Type of licence, approval etc:

Jurisdiction*:

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

Reason for refusal or withdrawal:

Type of licence approval etc. sought.

Date of application (mm/yyyy):

Name of Racing/Gaming Regulator (if known):

Details of reason for refusal or withdrawal of request:

Have further details been provided on an attachment page?

 YES NO

Licence No (if known):

Name of Racing/Gaming Regulator (if known):

Details of action taken or any special conditions or restrictions imposed on a licence, approval etc:

Have further details been provided on an attachment page?

 YES NO

c. List all regulatory history (if applicable).

Charges, Findings of Guilt and Convictions

13) Has the corporation 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 corporation?

 YES NO

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

Number of occurrences:

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

Victorian Gambling and Casino Control Commission

T: 1300 599 759 E: contact@vgccc.vic.gov.au

VGCCC.VIC.GOV.AU

Nature of offence:

City or Town:

Date (dd/mm/yyyy):

Court/Tribunal etc:

Jurisdiction*:

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

14) Has the corporation ever been investigated by a regulatory body or law enforcement agency? (e.g. ASIC, APRA, ACCC)

 YES NO

If **NO**, proceed to Q15. 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

15) Has the Corporation ever taken part in a diversion program?

YES NO

If **NO**, proceed to Q16. 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

Corporate structure and establishment of associates

IMPORTANT INFORMATION

Historical Organisational Extract from the Australian Securities and Investments Commission (ASIC)

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

16) Is the Historical Organisational Extract or an overseas equivalent report attached?

YES NO

17) Provide below details of the corporation in relation to the following aspects of its scale of operations:

i. Estimated gross turnover for the next financial year (\$):

ii. Intended race meetings:

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

ii. Intended race meetings:

iii. Bet types:

iv. Telephone usage:

v. Workload rosters:

vi. 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.

18) Detail below any individuals or entities entitled to receive from the corporation, directly or indirectly, any compensation (excluding wages and salaries) or benefit based on a percentage or share of the proceeds of gambling:

Name:

Name:

Name:

Note: You will be notified should any persons and/or entities named in response to Q18 need to complete an appropriate associate form.

Have further details been provided on an attachment page?

YES NO

19) Does the corporation have an ultimate holding company (as defined below)?

YES NO

If **NO**, proceed to Q20. If **YES**, provide the holding company's name:

Note: A corporate family tree detailing the relationship of the corporation to any subsidiary, parent and related entities **must** be provided, if such a structure exists.

Is a corporate family tree attached?

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"

Note: "Any entity named in response to Q18 **must** complete an Associated Entity form and associates of an ultimate holding company named in response to Q18 **must** also complete an Associated Entity or Associated Individual form as appropriate.

20) List below the names of all current company directors and the company secretary:

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:

First name:

Middle name(s):

Surname:

Position Held:

Note: All individuals identified above must complete an Associated Individual form, except the proposed nominee, who must complete an application for approval as a nominee form.

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

i. ordinary shares (voting and income entitlement shares):

Total number:

ii. preference shares (income entitlement shares only):

Total number:

22) 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 income entitlement and/or voting right shares **must** complete an Associated Entity or Associated Individual form as appropriate. The VGCCC may at its discretion require any other shareholder in the associated entity to complete an Associate form.

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

YES NO

If **NO**, proceed to Q24. 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

Shares held by:

Full name of beneficial owner:

No. of shares held

Note: Where a beneficial owner of shares is named in response to Q23, 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.

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.

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 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 as required in the *Gambling Regulation Act 2003*.

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

YES

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.

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

YES NO

26) Provide details of all financial institutions and other sources with which the corporation 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 corporation’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 corporation as to its accuracy. Where a corporation 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.

27) Is a listing of the corporation’s creditors or, if the corporation has never traded but a holding company exists, a listing of the holding company’s creditors attached?

YES NO

If **YES**, proceed to Q28. 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 website).

28) Is the corporation’s business credit file attached?

YES NO

29) Other than what has been disclosed on the Credit File, is the corporation 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 Q30. 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 default:

Number of days payment is overdue:

Financial institution or creditor:

Total amount owing:

Number of days payment is overdue:

Have further details been provided on an attachment page?

YES NO

30) Has the corporation 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? (**Note:** Include any pending arrangements known to the Corporation)

YES NO

If **NO**, proceed to Q31. If **YES**, provide the following details below:

Number of occurrences:

Date action taken (mm/yyyy)

Type of proceedings:

Details of administrator, liquidator, 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

31) Is the corporation a Corporate Trustee?

YES NO

If **NO**, proceed to Q32. If **YES**, Q31(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:

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 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 individuals identified at Q31(d) above must complete an Associated Individual form or Associated Entity form.

Have further details been provided on an attachment page?

YES NO

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

YES NO

If **NO**, proceed to Q33. If **YES**, complete the following and provide details of circumstances leading to bankruptcy/ arrangement proceedings on an attachment page.

Number of occurrences:

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

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

33) Is the corporation the guarantor for someone else's debt or loan?

YES NO

Number of occurrences:

If **NO**, proceed to Q34.

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

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 may 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 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.

In regard to the Code, one of the following documents must be attached to this application:

- A **statement** confirming that the existing Code developed by the Victorian Bookmakers' Association ('the VBA') has been adopted by the bookmaker or
- Where the applicant has amended an existing Code, a **copy** of that amended Code; or
- Where the applicant has developed its own Code, a copy of that Code.

34) Is one of the above documents attached?

YES NO

Associations

35) Do you have any other associations within the gambling industry? If **YES**, please provide:

Type of association:

Entity associated with:

State or country of operations:

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):

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 corporation):

 of

Address (Full address of corporation):

 ('applicant')

I,

(Full name of Authorised Officer signing the application on behalf of the corporation)

being the duly authorised officer of the corporation hereby authorise all **persons** who receive a photocopy of this **financial information release form** from the Victorian Gambling and Casino Control Commission (VGCCC) 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 corporation is no longer a registered bookmaker; or
- the expiry of any registration as a bookmaker (if granted).

Signature of authorised officer:

Date (day/month/year):

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.

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):

 of

Address (Full address of applicant)

 ('corporation')

Consent

I consent to the VGCCC carrying out all probity investigations in relation to me and my businesses including, but not limited to:

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

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

I consent to the VGCCC carrying out all probity investigations in relation to me and my businesses including, but not limited to:

(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 bookmaker's registration 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).

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):

Attachment 1 – Accountant or Auditor’s statement

Gambling Regulation Act 2003

Background

In the matter of this application, and for the purposes of ongoing monitoring, Section 4.5A.4(2)(c) of the *Gambling Regulation Act 2003* (the Act) requires the Commission to consider whether an applicant for registration as a bookmaker or renewal of such registration is of ‘sound and stable financial background’.

The following statement is to be completed by a Certified Practicing 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:

Attachment 1(a) – Summary of financial information

Gambling Regulation Act 2003

Background

In addition to providing an accountant or auditor's statement, the applicant can 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)			

Total Income			
Less: Operating Expenditure			

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

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

Retained Profits/(Losses) c/fwd			
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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)			

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

Total non-current assets	b		
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Total assets (a+b)	c		
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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)			

Total current liabilities	d		
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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)			

Total non-current liabilities	e		
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Total liabilities	f		
--------------------------	----------	--	--

Net assets (c-f)	g		
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Equity

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

Total equity	h		
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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

The persons listed below declare that we are the Directors 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:

Signature of Director:

Date:

Name of Director:

Signature of Director:

Date:

Name of Director:

Signature of Director:

Date:

Name of Director:

Signature of Director:

Date:

Name of Director:

Signature of Director:

Date:

Attachment 2 – 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 registration as a bookmaker.

As part of the application process, the VGCCC is performing a review of this company. 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;
- 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 corporation which may materially impact upon the continuing availability of credit to the corporation 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 bookmaker 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:

Attachment 3 – Statement of adoption of a Responsible Gambling Code of Conduct

Statement for completion by Authorised Officer

Note: This statement must be completed only if the applicant company has adopted a Responsible Gambling Code of Conduct (Code).

Name of Code:

VGCCC code number*:

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

Note: A copy of the minutes of the board which confirms adoption of a Code must be attached.

Is a copy of the minutes attached?

 YES

Signature of authorised officer:

Date:

Signature of authorised officer:

Date:

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

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

* The VGCCC code number can be found with the Code on the VGCCC website.

