

Key gaming operative – approval as an associated individual

This package contains the application and information material for approval as an associated individual of a key gaming operative, being the holder of a:

- casino operator's licence
- public lottery licence
- wagering and betting licence
- monitoring licence
- keno licence
- person listed on the roll of manufacturers, suppliers and testers.

Send application to:

Victorian Gambling and Casino Control Commission
GPO Box 1988
Melbourne Vic 3001

or lodge in person at:

Level 4, 12 Shelley Street
Richmond Vic 3121

or via email to:

commercial.licensing@vgccc.vic.gov.au

Need help?

For more information on how to apply for a gambling licence or permit:

- visit the Victorian Gambling and Casino Control Commission (VGCCC) website at vgccc.vic.gov.au
- telephone the VGCCC on 1300 599 759
- email the VGCCC at contact@vgccc.vic.gov.au

Important Information

Key gaming operative – approval as an associated individual

Who should complete this form?

This form is for completion by persons seeking approval as a **new associate** of the holder of a casino operator's licence, a public lottery licence, a person listed on the roll of manufacturers, suppliers and testers, a wagering and betting licence, a monitoring licence or keno licence. Note: Until you receive approval as an associate by the Victorian Gambling and Casino Control Commission (VGCCC) you must not be involved in any decision of the Key Gaming Operative in relation to the management or operation of the gambling business.

Carefully review this form **before** lodgement as the form will be returned if any question is **not** answered or if **all** required attachments are **not** provided. This simple check could save unnecessary delays in registration and processing time of the application. Submission of the information requested in this form is necessary to enable the VGCCC to carry out its investigation of your suitability and further information in addition to that requested in this form may be required.

This request may either relate to a role you hold or will hold directly with a Key Gaming Operative or to a role you hold or will hold with an entity associated with a Key Gaming Operative. As noted in section 1.4 of the *Gambling Regulation Act 2003* (the Act) an “**associate**” of a gambling industry participant is—

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

The Act also provides the following definitions:

*“**relevant financial interest**”, in relation to a business, means –

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

*“**relevant power**” means any power, whether exercisable by voting or otherwise and whether exercisable alone or in association with others –

- (a) to participate in any directorial, managerial, or executive decision; or
- (b) to elect or appoint any person to any relevant position.

Lodgement of Associate Form

The VGCCC is aware of the confidentiality of personal information provided in this form. Accordingly, in situations where the Key Gaming Operative is lodging the form on your behalf, it may be provided in a sealed envelope with instruction that it may only be opened after it has been lodged with the VGCCC. If your application is incomplete or you fail to provide necessary information, it will be returned directly to you or may be returned (in a sealed envelope marked ‘strictly confidential’ and ‘to be opened by addressee only’) to the Key Gaming Operative to arrange completion by the associate and the form's re-lodgement with the VGCCC.

Application Fee

To confirm the current fee, refer to the ‘Gambling fees and fines’ information sheet available at vgccc.vic.gov.au.

Requirement for notification of changes while your application is in progress

Between lodging your application and a decision being made about it, you must notify the VGCCC in writing immediately of any changes to the information you have provided (including any documents lodged with the application).

False or Misleading Information

It is an offence under the Act 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 up to 60 penalty units (go to Gambling Fees and Fines at vgccc.vic.gov.au to confirm the current value of a penalty unit).

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.

Key gaming operative – approval as an associated individual

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. Begin each answer with the title and reference of that question.

This application form will be returned if any Question is not answered or if all required items listed below are not attached or if the correct fee is not paid.

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

A letter from the Key Gaming Operative explaining and providing details of your association with the Key Gaming Operative or advice as to why such a letter is not attached –Refer to Q2

Historical Personal Name Extract–Refer to Attachment 1

Original National Police Certificate and/or an equivalent report from the relevant Police Agency – Refer to Attachment 2 for full details

Original Credit Report and/or an equivalent report from the relevant overseas agency –Refer to Attachment 3

A **copy** of both your tax return and your Notice of Assessment from the Australian Tax Office for the past 3 financial years or equivalent documentation from your jurisdiction

curriculum vitae: provide the Associate's full work history, skills and qualifications

position description: provide a document that fully describes the Associate's current position including job title, roles, responsibilities and key accountabilities; and

activities and background impacting suitability: provide details of any activity or background of an individual or entity with whom the Associate is, or has been, associated that if such activity or background become public knowledge would impact on the Associate's suitability as an Associate of the Applicant.

Schedules A – K must be completed and attached

Strictly Confidential

Key gaming operative – approval as an associated individual

OFFICE USE ONLY

Allocation date: / /

Associated entity No: _____

Assigned to: _____

1. I am seeking approval as a new associate of (tick all appropriate boxes):

The holder of a Casino Operator's Licence;

Licensee name:

The holder of a Public Lottery Licence

Licensee name:

Licensee name:

The holder of a Wagering and Betting Licence;

Licensee name:

The holder of a Monitoring Licence;

Licensee name:

The holder of a Keno Licence;

Licensee name:

A person listed on the Roll of Manufacturers, Suppliers and Testers;

Name:

IMPORTANT INFORMATION

A letter from the Key Gaming Operative **must** be provided with this application which explains and provides details of your association with the Key Gaming Operative, whether the association is direct or via an associated entity (refer to information defining associates provided on page 2). Examples of reasons that may result in you being captured as an associate include where you are or will be a director, secretary, shareholder, executive officer etc of the Key Gaming Operative or an associate of an associated entity of the Key Gaming Operative.

Note: Where the letter is provided by a Key Gaming Operative that is a roll listee and/or holds or ultimately controls multiple licences, details in relation to your association with **each** licensee is required.

2. Is a letter from the Key Gaming Operative explaining and providing details of the association attached?

YES

NO

If **YES**, proceed to Q3.

If **NO**, you must advise why such a letter is not attached on an attachment page.

Have further details been provided on an attachment page?

YES

NO

Personal Particulars

3. (a) Mr/Mrs/Miss/Ms (Circle)

Surname:

First name:

Middle name(s):

Date of Birth (dd/mm/yyyy):

Place of birth:

Country

State or region

Arrival date in Australia (if applicable, dd/mm/yyyy):

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

YES

NO

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

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

(c) Have you had any legal name changes?

YES

NO

If **NO**, proceed to Q4.

If **YES**, provide additional 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

4. Current residential address:

Country:

No. of years resident in this country:

No. of years resident at this address:

If your primary residential address is outside Australia provide:

Country of passport issued Passport Number

Note: If at the above address for less than ten years, provide details, including dates (month/year), at each previous address on an attachment page.

Have further details been provided on an attachment page?

YES NO

5. Postal address (if same as Q4, write 'as above'):

6. Contact details:

Daytime telephone number: Mobile telephone number:

Email address:

Business Interests

IMPORTANT INFORMATION

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

If you have ever been the director or secretary of a company registered with ASIC, this form must be accompanied by your original Historical Personal Name Extract from ASIC. Refer to Attachment 1 for further instructions for obtaining an extract from ASIC.

Note: If you do not reside in Australia and are not now and have never been a director or secretary of a company registered with ASIC you are **not** required to apply to ASIC for an Extract.

7. (a) Is your **original** Historical Personal Name Extract from ASIC enclosed?

YES or

(b) I hereby certify that I am not now and have never been a director or secretary of a company registered with ASIC.

YES

IMPORTANT INFORMATION

Q8 relates to any business interests, directorships or partnerships (either within or outside Australia) **not** already disclosed in any ASIC Extract you may have provided with this form, i.e. details of any other:

- directorships (either within or outside Australia), including positions of director, secretary etc, you hold or have resigned from (whether or not the company is trading) during the last 10 years; and
- business interests or partnerships you have been involved in (either within or outside Australia), including provision of finance of A\$50,000 or more in relation to any business dealing, during the last 10 years.

8. Have further details been provided on an attachment page including an equivalent ASIC Historical Personal Name Extract from the relevant jurisdiction?:

YES NO

9. List details of any disqualification of the Associate from acting as an office holder of a company or any like proceedings pending in any Jurisdiction

Have further details been provided on an attachment page?

YES NO

Legal Action

Note: A business association includes cases where you are or were a director or office holder of a company or partner in a partnership at the time the legal action was taken against the company or partnership.

A business association includes cases where the Associate is or was a director or office holder of a company or partner in a partnership at the time the legal action was taken against the company or partnership.

Associates are not required to provide details of litigation taken or currently in progress that relate to:

- litigation where damages or other remedies are valued at less than \$200,000;
- litigation that relates to commercial disputes that do not also involve claims of bad faith, misleading or deceptive conduct or breaches of corporate or other standards against the Associate;
- litigation that relates to workplace disputes;
- litigation that was dismissed by consent.

Associates should note that the VGCCC reserves the right to request information in relation to these excluded types of litigation when conducting its probity investigations.

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

YES NO

If **NO**, proceed to Q11.

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

The legal action was (*tick appropriate box*):

personal via business association

If via a business association, describe on an attachment page how your responsibilities or actions related to the legal action.

Nature of legal action:

Plaintiff: Jurisdiction*:

Result/Settlement:

Court or tribunal where matter was heard:

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/settlement agreement attached

YES N/A

Have further details been provided on an attachment page?

YES NO

Gaming History

11.(a) Have you ever applied, either personally or via a business association (i.e. as an office holder of a company), for **any** gaming industry licence, concession, approval, authorisation or registration?

YES NO

If **NO**, proceed to Q12.

If **YES**, provide the following details for each application.

(b) If the application was granted/approved or is still pending, provide details below:

Type of licence, approval etc:

Name shown on licence, approval etc:

Licence No. (if known):

Name of Gaming Regulator (if known):

Licence/approval/association dates (if known):

From to (mm/yyyy)

12. Have you personally, or any entity that you 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 Q13.

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

Date (mm/yyyy):

Name of Gaming Regulator (if known):

Reason for probity assessment:

Have further details been provided on an attachment page?

YES NO

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

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

YES NO

If **NO**, proceed to Q14.

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

Type of action taken (tick any box/es that are applicable):

suspension; cancellation; amendment;

revocation; or subject to disciplinary action

Type of licence, approval etc: Jurisdiction*:
“Jurisdiction” means the State or Territory and, if outside Australia, the country and locality

Licence No (if known):

Name of Gaming Regulator (if known):

Provide details of action taken or any special conditions or restrictions imposed on a licence, approval etc 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

14. Have you ever been employed by the Victorian Gambling and Casino Control Commission or its predecessors?

YES NO

If **NO**, proceed to Q15.

If **YES**, provide details below:

Position Held:

Date finished (mm/yyyy):

15. Have you ever been excluded from a casino or racecourse?

YES NO

If **NO**, proceed to Q16.

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

Have further details been provided on an attachment page?

YES NO

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 Q17 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 Q15.

In addition, if you currently live outside Australia or you have lived outside Australia for more than 12 months 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 Q16, an NPC must be provided.

If **NO** to Q16, you are required to provide an NPC if you have lived in Australia at any time in the last 10 years and also provide an equivalent report from the relevant Police Agency which is an original document or a certified copy of the original document. 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 Q17(a) & (b), proceed to Q18.

If **YES** to either Q17(a) or (b), provide details below in relation to each matter:

Nature of Offence/Charge:

Date (dd/mm/yyyy):

Jurisdiction*:

Result:

Result of Hearing or other Disposition (if known)

Have further details been provided on an attachment page?

YES NO

* "A Diversion Program" is a matter which is diverted from the court system and is resolved without a conviction or police record.

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 at Attachment 3.

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

YES NO

If **YES**, proceed to Q19.

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

19.(a) Other than what has been disclosed your Credit Report, have you personally ever been subject to bankruptcy or any insolvency arrangements?

YES NO

If **YES** to Q19(a), 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

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

YES NO

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 no:

Have further details been provided on an attachment page?

YES NO

Have you ever been an officer of an entity where an investigation into the affairs of the company/incorporated association has been authorised by ASIC or its predecessors under the Corporations Act 2001 (Cth), by the Registrar of Incorporated Associations with Consumer Affairs Victoria under the Associations Incorporation Reform Act 2012 (Cth) or any earlier Act, by the Australian Prudential Regulation Authority, by the Australian Competition and Consumer Commission exercising their statutory functions or by any other regulatory body or law enforcement agency.

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

IMPORTANT INFORMATION

You must ensure that a **copy** of both your tax return and your Notice of Assessment from the Australian Tax Office for the past 3 financial years are submitted with your application.

21. Have you attached a **copy** of both your tax return and your Notice of Assessment from the Australian Tax Office for the past 3 financial years?

YES NO

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

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

YES NO

If **NO**, proceed to Q23.

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:

23. Are you the personal guarantor for someone else's debt or loan? (**Note:** Do not include details **unless** a payment is overdue or in arrears)

YES NO

If **NO**, proceed to Declaration.

If **YES**, is any person or corporation, in respect of whom you have given a guarantee for, in default of any agreements with respect to payment of a debt or loan?

YES NO

If **YES**, provide details on an attachment page and complete the following, if **NO** proceed to the Declaration:

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

Declaration

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

Signature of applicant:

Date (dd/mm/yyyy):

[Signature box]

Signature of witness*:

[Signature box]

Print name of witness:

* Any adult can be a witness.

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 institute	Name of person/s appearing on account	Account number	Date opened (dd/mm/yyyy)	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 (dd/mm/yyyy)	Original amount	Unpaid balance	% held	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

SCHEDULE C – 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 the Associate	% of total value received by family members

SCHEDULE D – 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 (dd/mm/yyyy)	Name in which held	Market value

SCHEDULE E – 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 (dd/mm/yyyy)	Name in which held	Persons or entities sharing interest and percentage ownership	Market value (Full 100%)

*Shares include US stocks

SCHEDULE F – 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 (dd/mm/yyyy)	Other owners	Income	Market value

SCHEDULE G – 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 (dd/mm/yyyy)	Market value	Other information

SCHEDULE H – 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 (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation (if associate is partly obligated)	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

Unsecured loans = US notes payable Secured loans = mortgages

SCHEDULE I – 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 (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation if associate is partly obligated	Payment/period	Interest rate	Position of secured loan	Maturity date (dd/mm/yyyy)	Description / Address of realestate

SCHEDULE J – 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 (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Description of liability	Collateral

SCHEDULE K – 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 (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral	Persons liable in addition to you

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Key gaming operative – approval as an associated individual

OFFICE USE ONLY

Allocation date: / /

Associated entity No: _____

Assigned to: _____

Fee Payment

IMPORTANT INFORMATION

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

- direct credit when applying on-line;
- credit card (Visa or MasterCard)

If you wish to make payment by credit card, please lodge your completed application with the VGCCC and we will contact you directly to arrange payment if your application is accepted

Privacy – the VGCCC is committed to responsible and fair handling of personal information consistent with the *Policy and Data Protection Act 2014* and its obligations under the *Gambling Regulation Act 2003*. Credit card details will be destroyed once your payment has been processed.

Strictly Confidential

Consent for divulgence of information by Law Enforcement Agencies and release

("Consent and Release Form")

Name:

(Full name)

Address:

(Full address)

A reference in this Consent and Release Form to the Victorian Gambling and Casino Control Commission (the VGCCC) includes a reference to a member of its staff and any other person appointed in writing by VGCCC.

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 casino regulatory body;
 - 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**')

(b) Divulgence of particulars of any convictions, findings of guilt or other information recorded against me and held by a law enforcement agency 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;
- investigations, legal proceedings or charges still outstanding;
- intelligence held by a law enforcement agency howsoever obtained; and
- any other matters recorded by any law enforcement agency and considered relevant by the VGCCC to its investigation of me as a person associated with a key gaming operative.

RELEASE

In consideration of a law enforcement agency providing particulars of any convictions, intelligence or other information recorded against me, I **hereby release** 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 me.

ACKNOWLEDGMENT

I acknowledge that I have read and understand the terms of this *Consent and Release Form* and I have had the opportunity to obtain independent legal advice before signing this *Consent and Release Form*. I agree that a photocopy of this form will be considered as effective and as valid as the original.

EXECUTION AS A DEED

Signature of person giving consent and release:

Date (dd/mm/yyyy):

Signature of witness*

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

Authorisation to Release Financial Information

Name:

(Full name)

Address:

(Full address)

A reference in this Authorisation to the Victorian Gambling and Casino Control Commission (the VGCCC) includes a reference to a member of its staff and any other person appointed in writing by VGCCC.

Under both the *Casino Control Act 1991 (Vic)* and the *Gambling Regulation Act 2003 (Vic)*, the VGCCC is required to investigate any person, body or association having a business association with a key gaming operative.

As part of the VGCCC's on-going approval of associates of a key gaming operative, the VGCCC must consider whether an associate has any business association with any person, body or association who or which, in the opinion of the VGCCC:

- is not of good repute, having regard to character, honesty and integrity; or
- has undesirable or unsatisfactory financial resources.

To assist the VGCCC in this task,

AUTHORISED ACTIONS

(a) 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 associate 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 insolvency practitioner and related trustee service provider or other fiduciary; and

(b) To answer written or verbal queries of, and to provide information (by any means) to the VGCCC about my financial resources.

EXECUTION AS A DEED

Signature of person giving authorisation:

Date (dd/mm/yyyy):

Signature of witness*

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

NOTES

1. It is intended that this Authorisation will be produced to banks and other financial institutions, solicitors, accountants, financial advisers and any other person or organisation who has lent money to or borrowed from the signatory.
2. A photocopy of this form will be considered as effective and as valid as the original.

Strictly Confidential

Attachment Page

NOTE:

Note: Please copy if additional attachment pages are required.

Have you used an additional attachment page to provide any further information?

YES

NO

Attachment 1 – Historical Personal Name Extract

An Historical Personal Name Extract is a print-out provided by the Australian Securities and Investments Commission (ASIC) which contains the following information:

- person's name and birth details
- companies against which the person's name is recorded, number and current status
- role(s)* held and residential address
- date appointed and date ceased, where applicable.

* The roles identified in a personal name search include:

- | | | |
|---------------------------|--------------------------------|--------------------------|
| • Administrator | • Local Agents | • Receiver |
| • Appointed Auditor | • Member of a Futures Exchange | • Representative |
| • Appointed Liquidator | • Official Manager | • Representative Futures |
| • Deputy Official Manager | • Petitioner Court Action | • Scheme Manager |
| • Director | • Provisional Liquidator | • Secretary |

When making your search application to ASIC, ensure that you specify that you require an Historical Personal Name Extract and **not** a Current Personal Name Extract. An Historical Personal Name Extract identifies **both current and historical** roles held by you in organisations registered with ASIC, while the Current Extract identifies only current roles. If your associate form is lodged with an extract other than an Historical Personal Name Extract it will be considered incomplete and will be returned to you to be re-lodged when you have obtained the correct extract. **Note:** If you are not recorded on ASIC's database you will be provided with a letter to that effect.

If the Historical Personal Name Extract you provide fails to meet any of the following requirements your associate form will be considered incomplete and will be returned to you –

- an Historical Personal Name Extract rather than a Current Personal Name Extract must be lodged; and
- it **must not** be dated more than three (3) months from the date your application is lodged.
- the **original** Historical Personal Name Extract must be lodged (i.e. **not** a photocopied extract).

All matters detailed on your Historical Personal Name Extract may be taken into consideration by the VGCCC. Should you wish to dispute any of the information disclosed in your Historical Personal Name Extract you should do so with ASIC **prior** to lodging your associate form.

Fees

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 the broker delivery fees. ASIC can advise you of the cost of obtaining the Extract.

How to apply for your Historical Personal Name Extract

An Historical Personal Name 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: www.asic.gov.au

Email: info.enquiries@asic.gov.au

ASIC's Infoline: 1300 300 630

Attachment 2 – National Police Certificate

If you live in Australia or have lived in Australia for at least 12 months during the last 10 years, an **original** National Police Certificate (NPC) **must** be provided when you lodge your VGCCC application form. Your NPC is obtained by submitting a 'Consent to Check and Release National Police Record' form (Consent form) to the Victoria Police. You may download the Consent form, which includes instructions for completion, at vgccc.vic.gov.au. If you have any difficulties in accessing the Consent form contact the VGCCC at contact@vgccc.vic.gov.au or on 1300 599 759.

NPC Application Fee

You must choose the "National Name Check" NPC option. You can confirm the fee for this type of NPC at police.vic.gov.au.

NPC Application Process

Should you have any other questions in relation to your police record check you may contact the Public Enquiry Service of Victoria Police on 1300 881 596 between 8am and 5pm. Please inform the customer service officer that you are a VGCCC applicant.

Please note that:

- a 100 point identity check is incorporated into the Consent form; and
- the completed Consent form, together with the certified documents and fee (cheque or money order only, payable to Victoria Police) must then be posted to Public Enquiry Service of Victoria Police for processing.

In addition, when completing the Consent form you must ensure that:

- you cross the box 'Casino or gaming licence' in 'Section E: Purpose of check', Option 1;
- choose the "National Name Check" option in Section A;
- provide your first name, middle name/s, surname [as stated in the Personal Particulars section of your VGCCC application form];
- provide any preferred given name to appear on your licence [as stated in the Personal Particulars section of your VGCCC application form]; and
- provide any alias(es), previous names, maiden name, name changes (legal or otherwise) as well as names you have used or by which you have been known [as stated in the Personal Particulars section of your VGCCC application form].

Note: If any such names are not shown in your NPC, your VGCCC application form will not be accepted and you will need to apply for a new NPC. Also, the NPC **must** be current at the time of lodgement of your VGCCC application form and not exceed three (3) months from the date of issue by the Victoria Police. If you do not provide your NPC, or enclose either a photocopied NPC or an NPC more than 3 months from the date of issue, your VGCCC application form will be considered incomplete and will be returned to you. A minimum of ten working days should be allowed from the date applications are received at the Public Enquiry Service for applications to be processed.

All matters detailed on your NPC are taken into consideration by the VGCCC and are essential to allow assessment of your character, honesty and integrity. Should you wish to dispute any of the information disclosed in your NPC you should do so **prior** to lodging your VGCCC application form, by writing to

The Manager
Public Enquiry Service
Records Services Division, Victoria Police,
PO Box 919, Melbourne Victoria 3001.

Attachment 3 – Credit Report

You **must** obtain a Credit Report if you currently live in Australia, or if you have lived in Australia for at least 12 months during the last 10 years or if you are or have been a director or company secretary of an Australian company during the last 10 years.

(**Note:** If your circumstances do not meet these criteria, a Credit Report is not required).

You may obtain a copy of your Credit Report from either illion or Equifax. These companies offer a number of services to monitor and manage your credit profile and adhere to the Privacy Act, Credit Reporting Code of Conduct and the National Privacy Principles by providing you with the right to obtain a copy of your Credit Report.

HOW TO OBTAIN YOUR CREDIT REPORT

illion

To obtain your Credit Report from illion please visit express.illion.com.au or alternatively, you may contact illion on 13 23 33 to arrange for its provision. Additional information may also be found at illion.com.au.

Equifax

To obtain your Credit Report from Equifax, please visit mycreditfile.com.au or alternatively, you may contact Equifax on 13 83 32 to arrange for its provision. Additional information may also be found at mycreditfile.com.au.

IMPORTANT INFORMATION REGARDING YOUR CREDIT REPORT

When requesting a copy of your Credit Report, you are required to provide the following details:

- Family Name, First Name, Middle Name, Salutation [as stated in the Personal Particulars section of your VGCCC application form];
- any **preferred** given name [as stated in the Personal Particulars section of your VGCCC application form];
- Any other name(s) you have used - List any other name(s) by which you are currently known or were known previously, such as alias(es), anglicised name(s), maiden name, married name(s) and name(s) changed via deed poll [as stated in the Personal Particulars section of your VGCCC application form]; and
- Current and Previous Residential Address Date of Birth and Driver Licence Number (if available).

Your Credit Report and any other letter from the Credit Report provider advising of the result of the search conducted must accompany your VGCCC application form. **If you fail to meet any of the requirements noted below, your VGCCC application form will be considered incomplete and returned to you.** Your Credit Report must:

- be original and not a photocopy;
- be submitted to the VGCCC within three months from its date of issue;
- include your current name and any other name(s) that you are currently or were previously known by, such as any **preferred** given name, alias(es), anglicised name, maiden name, name(s) changed via deed poll;
- correctly disclose your date of birth, address and driver licence number (if available); and
- include **all** pages of the report as provided to you by the Credit Report provider.

If you find any issues with your Credit Report, e.g. it is incomplete or you wish to dispute any of the information disclosed therein, you should contact the Credit Report provider (see contact details above) and resolve the issue/s **prior** to lodging your VGCCC application form.)