



## Gaming Policy and Enforcement Branch

### INFORMATION AND INSTRUCTIONS FOR APPLICANTS COMPLETING THE CORPORATE DISCLOSURE FORM

#### WHO MUST COMPLETE THIS FORM?

This Corporate Disclosure Form must be completed by applicants in the following gaming categories:

- Casino, Bingo and Community Gaming Centre Services Providers
- Horse Racing Operators and Horse Racing Teletheatre Operators
- Gaming Suppliers, Manufacturers or Distributors
- Other gaming related suppliers or services, including gaming management services, concessionaires games operators, security, surveillance, ticket rafflers and call centres, social occasion casino operators, game test labs, providers of training or gaming workers and automated banking services providers.
- Companies that are Associates of a Gaming Services Provider (parent, shareholder, investor, lender, subsidiary, etc.)

#### WHAT ARE THE COSTS?

REGISTRATION CLASSES	APPLICATION FEE * and ANNUAL REGISTRATION FEE **
<b>Casino Operators</b> <ul style="list-style-type: none"> <li>• Class A Casino (800 or more slots)</li> <li>• Class B Casino (between 500 and 799 slots)</li> <li>• Class C Casino (less than 500 slots)</li> </ul>	\$100,000 per site \$ 50,000 per site \$ 25,000 per site
<b>Bingo</b> <ul style="list-style-type: none"> <li>• Class A Bingo (BCLC paid remuneration that exceeded \$1 million in the most recently completed financial year of the service provider)</li> <li>• Class B Bingo (BCLC paid remuneration that did not exceed \$1 million in the most recently completed financial year of the service provider)</li> </ul>	\$ 2,000 per site \$ 1,000 per site
<b>Community Gaming Centre Operators</b> <ul style="list-style-type: none"> <li>• Community Gaming Centre</li> </ul>	\$ 10,000 per site
<b>Horse Racing Operators</b> <ul style="list-style-type: none"> <li>• Horse Racing Operators of racetracks (with more than 50 race days per year)</li> <li>• Seasonal Horse Racing Operator of racetracks (with less than 50 race days per year)</li> </ul>	\$ 5,000 per site \$ 100 per site
<b>Horse Racing Teletheatre Operators</b> <ul style="list-style-type: none"> <li>• Licensed Teletheatre Operators</li> <li>• Contracted Teletheatre Operators</li> </ul>	\$ 1,000 \$ 250
<b>Gaming Suppliers, Manufacturers or Distributors</b> <ul style="list-style-type: none"> <li>• Class A Suppliers (manufacturer or manufacturer and distributor of slot machines)</li> <li>• Class B Suppliers (annual sales of more than \$25,000)</li> </ul>	\$20,000 \$ 5,000
<b>Other</b> <ul style="list-style-type: none"> <li>• Includes Security and Surveillance Service Providers, Concessionaire Games Operators, Ticket Rafflers, Social Occasion Casino Operators, Testing Laboratories, Gaming Management Services and Other Gaming Services</li> <li>• Automated Banking Services Providers</li> </ul>	\$ 1,000 \$ 250
<b>Associated Companies</b> <ul style="list-style-type: none"> <li>• Companies that are Associates of a Gaming Services Provider</li> </ul>	\$ 250

\* The **Application Fee** is required to initiate a new or renewal application.

\*\* The **Annual Registration Fee** is a yearly fee equal to the application fee paid by the applicant and is required to maintain registration. It must be submitted to the Gaming Policy and Enforcement Branch (GPEB) each year on or before the registration anniversary date (usually the date registration was approved by GPEB) for the term of registration.

#### **Costs of Background Investigations**, Section 62 and 63 Gaming Control Act.

Prior to the commencement of a background investigation, applicants for registration will be required to submit a deposit equal to GPEB's written estimate of costs of the background investigation. The costs of a background investigation include but are not limited to the cost of GPEB staff time @ \$150 per hour (per person), out-of-province travel costs, and where it is deemed necessary, the engagement of specialized financial, management, or investigation advisory services. (Contracted Teletheatre and Seasonal Horse Racing Operators are exempt from background investigation costs.)

**Payment methods:** Wire transfer, money order or company cheque

Wire transfers- please contact [gaming.registration@gov.bc.ca](mailto:gaming.registration@gov.bc.ca) for instructions and banking details.

Alternate Payment Methods: If paying by money order or cheque, please make it payable to the "**Minister of Finance**" in **Canadian funds**. Do **NOT** submit cash.

Additional funds may be required to cover any special investigation, auditing or administrative costs considered necessary by GPEB to ensure a thorough and complete background investigation of the applicant or registrant.

## WHERE CAN I GET MORE INFORMATION?

Additional registration information is available on the [GPEB Website](#).

## WHAT IF I HAVE FURTHER QUESTIONS?

If you have questions about the disclosure documents or the registration process, contact the Licensing, Registration and Certification Division – Corporate Registration Unit at (250) 356-0663 or by email at [gaming.registration@gov.bc.ca](mailto:gaming.registration@gov.bc.ca).

## RESPONSES

**Print or type your responses.** Answer all questions fully and truthfully. If a question does not apply to you, state Not Applicable or N/A. If more space is required or if the requested information exists in another format, cross reference the attachment to the relevant question.

**Read each question carefully.** Submitting the application gives GPEB authority to investigate your answers. If you do not fully disclose, leave out important information or answer incorrectly, your application may be denied.

If it is determined after you have been registered that your answers on this application were false, incomplete or misleading, or you failed to notify GPEB of any material change to this information which occurs after the application has been filed, your registration may be cancelled.

You are seeking the granting of a privilege and the burden of proving suitability for a favourable determination is at all times on you. You must accept any risk of adverse publicity, embarrassment, criticism or other action, or financial loss, which may result from action with respect to an application, and expressly waive any claim for damages as a result thereof.

**After completing the forms**, ensure you have signed all required forms and have included the application fee. (**NOTE:** The signee on this document must submit with the application a scanned colour copy of a **valid** government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.)

**Retain a copy of your application and all submitted documents for your records.** Be prepared to bring your copy to any personal interviews that are conducted.

## WHERE DO I SEND THE COMPLETED FORMS AND FEES?

The Disclosure Form and supporting documents are to be submitted electronically, on a flash drive or via a file-sharing service. To submit the disclosure form(s) and supporting documents using GPEB's FTPS site, contact the Corporate Registration Unit at [gaming.registration@gov.bc.ca](mailto:gaming.registration@gov.bc.ca) and request a temporary FTPS account.

Should the disclosure forms and supporting documents be submitted as physical copies, applicants/registrants will be charged \$150/hour for the time GPEB staff spend on scanning the documentation.

Documents should be in English. If any document is in a language other than English, the applicant should provide GPEB with a copy of the original document as well as an English version translated by a certified translator.

Attachments should be properly named and provided as separate files per the Attachment Checklist included in the disclosure. Not respecting the naming convention and/or submitting the documentation as a single file will create additional delays and costs in processing the application.

The disclosure submission, flash drive (if applicable) and/or registration fee payment are to be sent to:

### MAIL/COURIER:

Gaming Policy and Enforcement Branch  
Corporate Registration Unit  
220 - 4370 Dominion Street Burnaby BC V5G 4L7

## **WHAT HAPPENS ONCE I SUBMIT MY APPLICATION?**

All information and documents provided as part of this disclosure become the property of GPEB and will not be returned. An application may not be withdrawn without the written permission of GPEB. Application fees are not refundable.

Expect a GPEB investigator to contact you. You may be required to provide other information in addition to what is requested in this application package.

Successful applicants will receive a letter of registration and a copy of the Conditions of Registration from the Director of Corporate Registration.

## **CHANGE OF INFORMATION**

If any of the information changes subsequent to the submission of this disclosure form, you must immediately submit the changes in writing to [gaming.registration@gov.bc.ca](mailto:gaming.registration@gov.bc.ca).

## **HOW WILL THE INFORMATION IN THE APPLICATION BE USED?**

Except as provided in the *Consent to Release of Corporate Information* form, all information provided in this application, including attachments and supporting documents, shall be kept confidential in accordance with the *Freedom of Information and Protection of Privacy Act (BC)*.

You may direct questions about the collection and use of this information by email ([gaming.registration@gov.bc.ca](mailto:gaming.registration@gov.bc.ca)) to the Director of Corporate Registration, GPEB

**CONFIDENTIAL**

<b>GPEB USE ONLY</b>	<input type="radio"/> NEW <input type="radio"/> RENEWAL
Amount Received: \$ _____ (CAD)	CREG File # _____
Payment: <input type="radio"/> cheque <input type="radio"/> money order	GBC ID # _____
<input type="radio"/> wire transfer	Application # _____
Date (dd-mmm-yyyy): _____	Registration Class _____
Receipt # _____	

**CORPORATE DISCLOSURE FORM**



**GAMING POLICY AND ENFORCEMENT BRANCH  
LICENSING, REGISTRATION AND  
CERTIFICATION DIVISION**

Date Application Completed: _____ (dd-mmm-yyyy)	Has this entity previously been registered to participate in the gaming or horse racing sectors in British Columbia? <input type="radio"/> No <input type="radio"/> Yes. Registration Expiry Date: _____ (dd-mmm-yyyy)	
<b>NAME OF THE PERSON TO BE CONTACTED IN REFERENCE TO THIS CORPORATE DISCLOSURE</b>		
Surname	First Name	Business Telephone
_____	_____	_____
Title/Position		Business Facsimile
_____		_____
Corporate Name		Email Address
_____		_____

<b>1</b>	<b>CORPORATE INFORMATION</b>			
<b>NAME AND ADDRESS OF APPLICANT COMPANY</b>				
<b>Legal Name</b>		<b>Date Established / Incorporated (dd-mmm-yyyy)</b>		<b>Corporation/Tax/Society Number</b>
<b>Tradestyle/Business Name/Operating as</b>		<b>Fiscal Year End (dd-mmm)</b>		
<b>Corporate Address</b>				
<b>Suite/Unit/Floor</b>		<b>Street Name</b>		<b>Telephone Number</b>
				<b>Facsimile Number</b>
<b>City</b>		<b>Province/State</b>	<b>Country</b>	<b>Postal/Zip Code</b>
<b>Email Address/Web Site</b>				
<b>Registered Office Address (address to which legal notice can be served) if different from above address</b>				
<b>Suite/Unit/Floor</b>		<b>Street Name</b>		<b>Telephone Number</b>
				<b>Facsimile Number</b>
<b>City</b>		<b>Province/State</b>	<b>Country</b>	<b>Postal/Zip Code</b>
<b>2 CLASSES OF REGISTRATION</b>				
The company is applying for registration as a:				
<b>Casino</b>				
<input type="radio"/> Class A Casino with 800 or more slots. Specify location(s): _____				
<input type="radio"/> Class B Casino with between 500 and 799 slots. Specify location(s): _____				
<input type="radio"/> Class C Casino with less than 500 slots. Specify location(s): _____				
<b>Bingo</b>				
<input type="radio"/> Class A Bingo, to which BCLC has paid remuneration that exceeded \$1 million in the most recently completed financial year of the services provider under a BOSA. Specify location(s): _____				
<input type="radio"/> Class B Bingo, to which BCLC has paid remuneration that did not exceed \$1 million in the most recently completed financial year of the services provider under a BOSA. Specify location(s): _____				
<b>Community Gaming Centre</b>				
Specify location(s): _____				
<b>Horse Racing</b>				
<input type="radio"/> Horse Racing Operators with 50 or more racing days per year				
<input type="radio"/> Seasonal Horse Racing Operators with fewer than 50 racing days per year Specify location(s): _____				
<b>Horse Racing Teletheatre</b>				
<input type="radio"/> Licensed Teletheatre Operators				
<input type="radio"/> Contracted Teletheatre Operators Specify location(s): _____				

**Gaming Suppliers, Manufacturers or Distributors**

- Class A Suppliers that manufacture slot machines or that manufacture and distribute slot machines
- Class B Supplier providing more than \$25,000 or more worth of goods or services annually

**Other**

- Security or Surveillance Services Provider at a gaming facility
- Concessionaire Games Operator (Fair, Exhibition or Community Carnival)
- Ticket Raffle and/or Call Centre
- Social Occasion Casino Operator
- Testing Laboratory
- Gaming Management Services
- Automated Banking Services Provider
- Other Gaming Services, Specify: \_\_\_\_\_

**Associate**

- Voting Shareholder, Investor or Associate in a Gaming Equipment Supplier, Manufacturer, and/or Service Provider where the shares or investment is 5% or more and where the Shareholder, Investor or Associate is a company. If yes, explain relationship: \_\_\_\_\_
- Non-Voting Shareholder, Investor or Associate in a Gaming Equipment Supplier, Manufacturer, and/or Service Provider where the shares or investment is 5% or more and where the shareholder, investor or associate is a company. If yes, explain relationship: \_\_\_\_\_

**3 CORPORATE STRUCTURE**

**CORPORATE NAMES**

- a. Has the applicant company conducted business under a different name in the last ten (10) years?
- No.
  - Yes. If yes, provide a list of all other names and addresses under which the applicant company has conducted business for the last ten (10) years. (If additional space is required, please attach and mark as Attachment 3 a.)  
\_\_\_\_\_

**BUSINESS STRUCTURE**

- b. Check the appropriate box that best describes the applicant company's business structure.
- |   |                                       |  |
|---|---------------------------------------|--|
| <input type="radio"/> Corporation         | <input type="radio"/> Sole Proprietor | <input type="radio"/> Partnership            |
| <input type="radio"/> Limited Partnership | <input type="radio"/> Joint Venture   | <input type="radio"/> Other (specify): _____ |

**NOTE:** Applicant corporations incorporated in another jurisdiction are required to obtain and maintain registration in British Columbia as an extra-provincial company within the meaning of the British Columbia Business Corporations Act in order to be eligible for registration as a gaming services provider. (s.59 GCA) Requirement not applicable to Associate Companies.

**BUSINESS STRUCTURE ATTACHMENTS**

- c. Provide the Certificate and Articles of Incorporation, Charter, By-laws and resolutions; partnership, shareholders and trust agreements; and any other basic documentation, including any periodic updates or amending agreements. List all jurisdictions in which the applicant company is incorporated.
- Attach and mark as Attachment 3c.
  - Information has not changed since last filing with GPEB (filing not required).

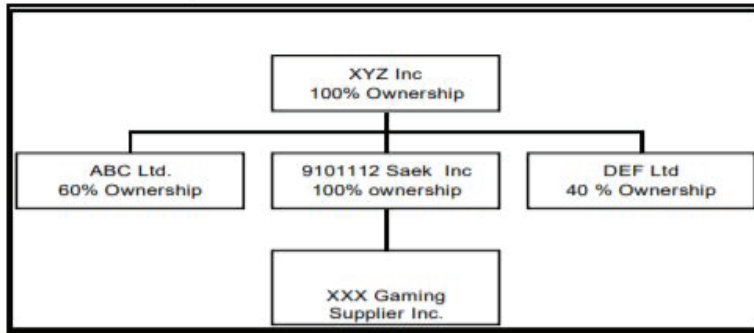
**GOODS AND SERVICES**

d. (i) Provide a brief history of the company, general outline of the gaming goods or services offered and the experience and capacity of the company to provide such goods or services. If additional space is required, please attach and mark as Attachment 3 d.(i).

(ii) Describe the goods and services that you are, or will be, providing in British Columbia. If additional space is required, please attach and mark as Attachment 3 d. (ii).

**BUSINESS RELATIONSHIP CHART**

e. Provide a business relationship diagram (per example below) depicting the direct and indirect business relationships between the applicant, its parent, subsidiaries, associate and holding companies, any interest holder of 5% or more and related corporations or business entities.



Attach and mark as Attachment 3 e.

**PERSONNEL ORGANIZATION CHARTS**

f. Provide Senior Executive/Management organization chart(s) and/or Senior Personnel organization chart(s) indicating the hierarchical structure (Chair, Officers, Directors and Senior Employees) of the applicant company and each of its subsidiaries.

Attach and mark as Attachment 3 f.

## 4 CORPORATE INTEREST HOLDERS

a. Are there other companies, business organizations, entities or individuals holding any financial or legal interest in the applicant company, its parent, subsidiaries and affiliates?

No.

Yes. ▶ Provide the following details and mark as indicated below:

- i. A list of other companies, business organizations, and other entities or individuals which hold any financial or legal interest in the applicant company, its parent, subsidiaries and affiliates. Mark as Attachment 4 a.i.
- ii. A list of companies that hold any liens or other interests caused by the applicant company's debt and any agreements relating to these interests. Mark as Attachment 4 a.ii.
- iii. A description of share structure including the number of shares authorized and issued, the rights and privileges attached to different classes of shares, shareholders and share percentages of any shareholders holding 5% or more of shares. Mark as Attachment 4 a.iii.
- iv. Current share register(s) for the applicant company, its parent, including any holding companies of the applicant company, its parent or subsidiaries. Mark as Attachment 4 a.iv.

b. Are there any persons or businesses that have been loaned monies, equipment or assets by the applicant company?

No.

Yes. ▶ Provide the following details and mark as Attachment 4 b.i.

- i. A list of the names of the persons and/or businesses, their addresses, date(s) of loan, amount or asset loaned, reason for such loan(s) and the loan status.

## 5 CHARGES/CONVICTIONS/FINDINGS OF GUILT

a. Has the applicant company, its parent, a subsidiary, associate or holding company, ever been investigated, charged or convicted of an offence in any jurisdiction?

**Note:** Include charges where an absolute or conditional discharge or a pardon has been granted; and offences under any level of government which could include administrative offenses at the provincial, state or federal level, as well as criminal offences and sanctions.

No.

Yes. ▶ Provide the following details for each conviction or finding of guilt as Attachment 5 a.

- i. Description of conviction or finding of guilt
- ii. Date of conviction or finding of guilt
- iii. Description of sentence
- iv. Name and address of court
- v. Court file number (if known).

b. Does the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity have any charges of any kind outstanding in any jurisdiction?

**Note:** This includes any charges under any legislation, including criminal offences and other provincial, state and federal offences.

No.

Yes. ▶ Provide the following details for each charge as Attachment 5 b.

- i. Description of charge
- ii. Date of charge
- iii. Name and address of court
- iv. Court file number (if known)
- v. Next court date.



c. Has the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity in the past ten (10) years been the subject of any regulatory or criminal investigation in any jurisdiction?

No.

Yes. ▶ Provide the following details for each investigation as Attachment 5 c.

- i. Subject of investigation
- ii. Name and address of organization conducting the investigation.

## 6 CIVIL PROCEEDINGS AND REGULATORY PENALTIES

a. Has the applicant company, its parent, a subsidiary, associate or holding company, or related corporation or business entity had a claim made against it in the last ten (10) years in any jurisdiction?

**Note:** This includes orders, judgments, administrative sanctions taken, disciplinary hearings, fines and penalties imposed.

No.

Yes. ▶ Provide the following details for each proceeding as Attachment 6 a.

- i. Description of claim
- ii. Name of other parties to the proceeding
- iii. Outcome of the proceeding
- iv. Date of proceeding
- v. Name and address of court
- vi. Court file number (if known)
- vii. A copy of the judgment order

b. Has the applicant company, its parent, a subsidiary, associate or holding company, or related corporation or business entity made a claim against another company in the last ten (10) years in any jurisdiction?

**Note:** This includes orders, judgments, administrative sanctions taken, disciplinary hearings, fines and penalties imposed.

No.

Yes. ▶ Provide the following details for each proceeding as Attachment 6 b.

- i. Description of claim
- ii. Name of other parties to the proceeding
- iii. Outcome of the proceeding
- iv. Date of proceeding
- v. Name and address of court
- vi. Court file number (if known)
- vii. A copy of the judgment order

c. Does the applicant company, its parent, subsidiary, associate or holding company, related corporation or business entity have any outstanding claims filed against it and pending dispositions or in the process of being filed in any jurisdiction?

No.

Yes. ▶ Provide the following details for each proceeding as Attachment 6 c.

- i. Description of claim
- ii. Name of other parties to the proceeding
- iii. Date of proceeding
- iv. Name and address of court
- v. Court file number (if known)

**Note:** You **MUST** enclose a copy of any **Statement of Defense** that has been filed.

d. Does the applicant company, its parent, subsidiary, associate or holding company, related corporation or business entity have any outstanding claims filed against another company and pending dispositions or in the process of being filed in any jurisdiction?

- No.
- Yes. ▶ Provide the following details for each proceeding as Attachment 6 d.
- i. Description of claim
  - ii. Name of other parties to the proceeding
  - iii. Date of proceeding
  - iv. Name and address of court
  - v. Court file number (if known)

**Note: You MUST enclose a copy of any Statement of Defense that has been filed.**

## 7 BANKRUPTCY AND INSOLVENCY PROCEEDINGS

a. Has the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity ever filed for bankruptcy or receivership or made a proposal under any bankruptcy, insolvency or similar law in any jurisdiction?

- No.
- Yes. ▶ Provide the following details for each proceeding as Attachment 7 a.
- i. Type of proceeding
  - ii. Date of filing
  - iii. Name and address of Trustee
  - iv. Name and address of court
  - v. Court file number, if known
  - vi. Disposition or outcome.

**Note: You MUST enclose a copy of any discharge.**

b. Has the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity ever been petitioned into bankruptcy or receivership or had a proposal under any bankruptcy, insolvency or similar law, or had any similar action taken against it, in any jurisdiction?

- No.
- Yes. ▶ Provide the following details for each proceeding as Attachment 7 b.
- i. Type of proceeding
  - ii. Date of filing
  - iii. Name and address of Trustee
  - iv. Name and address of court
  - v. Court file number, if known
  - vi. Disposition or outcome.

**Note: You MUST enclose a copy of any discharge.**

c. Has the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity ever sought relief under any bankruptcy, insolvency or similar law in any jurisdiction?

- No.
- Yes. ▶ Provide the following details for each proceeding as Attachment 7 c.
- i. Type of relief sought
  - ii. Reason for relief sought
  - iii. Date relief sought
  - iv. Name and address of court
  - v. Court file number, if known
  - vi. Disposition or outcome.

d. Has a receiver, monitor, trustee, re-organization trustee or similar officer ever been appointed by a court in any jurisdiction for the business or property of the applicant company, its parent, a subsidiary, associate or holding company, related corporation or business entity?

No.

Yes. ▶ Provide the following details for each proceeding as Attachment 7 d.

- i. Name of person appointed
- ii. Reason for appointment
- iii. Date of appointment
- iv. Name and address of court
- v. Court file number, if known
- vi. Disposition or outcome.

## 8 GAMING PERMITS, LICENCES, CERTIFICATES, CONTRACTS AND REGISTRATIONS

Has the applicant, its parent, a subsidiary, associate or holding company, or a related corporation or business entity:

a. applied for any permit, license, certificate or registration in connection with **gaming** in any jurisdiction?

**Note:** This includes municipal, provincial/state and federal.

No.

Yes. ▶ Provide the following details as Attachment 8 a.

- i. Name and address of licensing or regulatory body
- ii. Type of permit, license, certificate or registration
- iii. Date of application
- iv. Date of expiry
- v. Disposition of application (i.e.: approved, denied, abandoned or withdrawn).

b. ever had a permit, license, certificate or registration in connection with gaming refused, denied, suspended or cancelled in any jurisdiction?

**Note:** This includes any administrative sanctions taken, disciplinary hearings, fines and penalties imposed.

No.

Yes. ▶ Provide the following details as Attachment 8 b.

- i. Name and address of licensing or regulatory body
- ii. Type of permit, license, certificate or registration
- iii. Action taken (e.g. refused, denied, suspended, revoked or disciplinary action taken)
- iv. Date action taken
- v. Reasons.

c. ever had a permit, license, certificate or registration refused, denied, suspended or cancelled by a regulatory body or authority exercising jurisdiction over specific business or activities?

**Note:** This includes any administrative sanctions, disciplinary hearings, fines and penalties imposed.

No.

Yes. ▶ Provide the following details as Attachment 8 c.

- i. Name and address of association, profession or other body of authority
- ii. Type of permit, license, certificate or registration
- iii. Action taken (e.g. refused, denied, suspended, cancelled or disciplinary action)
- iv. Date action taken
- v. Reasons.

d. ever had a permit, license, certificate or registration (other than those listed in the above questions) refused, denied, suspended, cancelled, abandoned or withdrawn in any jurisdiction?

**Note:** This includes municipal, provincial/state, and federal business licenses.

No.

Yes. ▶ Provide the following details as Attachment 8 d.

- i. Name and address of licensing or other body
- ii. Type of permit, license, certificate, registration
- iii. Action taken (e.g. refused, denied, suspended, revoked or disciplinary action)
- iv. Date action taken
- v. Reasons

e. ever engaged in any type of unlawful gambling or gaming enterprise?

- No.
- Yes. ▶ Provide the following details as Attachment 8 e.
  - i. What type of unlawful gaming
  - ii. Date and location of unlawful gaming
  - iii. Explain the circumstances and the current status.

f. ever been associated with any business or person connected **in any way** with an illegal gambling or gaming enterprise?

- No.
- Yes. ▶ Provide the following details as Attachment 8 f.
  - i. Name and address of business(es) or person(s)
  - ii. Date of association
  - iii. Explain the circumstances and the current status.

g. ever dismissed or asked for the resignation of an officer, director or senior employee due to criminal activity, association with organized crime or irregular or deceitful activity including but not limited to relating to contracts or customers?

- No.
- Yes. ▶ Provide the following details as Attachment 8 g.
  - i. Name and position of the employee
  - ii. Date of dismissal or resignation
  - iii. Explain the circumstances and the current status

## 9 CORPORATE FINANCIAL INFORMATION

### A. FINANCIAL STATEMENTS

If a new applicant, attach copies of annual financial statements for the past five (5) years. Once registered, Section 77(1) of the *Gaming Control Act* and the Conditions of Registration require the submission of financial statements within 6 months of fiscal year end and in the form and content required by GPEB.

**Note:** If this application is a renewal and during the last registration period GPEB received updated documents, there is no need to resubmit.

Financials attached?

- No. Explain: \_\_\_\_\_
- Yes. Mark as Attachment 9 a.

### B. FINANCIAL INSTITUTIONS

List all financial institutions in which the applicant company has had corporate accounts in the past five (5) years. If more space is required or if this information exists in another format, include it as Attachment 9 b.

Name of Institution	Address	Type of Account	Account Number

### C. ANNUAL REPORTS

Attach copies of all annual reports submitted to shareholders, and all annual filings with stock exchanges and securities commissions for the last five (5) years.

**Note:** If this application is a renewal and during the last registration period GPEB received updated documents, there is no need to resubmit.

Annual Reports attached?

- No. Explain: \_\_\_\_\_
- Yes. Mark as Attachment 9 c.

### D. TAX RETURNS

- i. State the year and location for which the applicant last filed an Income Tax submission. (NOTE: If the applicant filed in multiple jurisdictions, indicate the year and location for each jurisdiction filed). If additional space is required, please attach and mark as Attachment 9 d (i) and 9 d (ii):

For the year \_\_\_\_\_, filed in \_\_\_\_\_, \_\_\_\_\_  
City, Province or State Country

- ii. Tax submissions are prepared by:

Firm: \_\_\_\_\_ Address: \_\_\_\_\_

- iii. Provide copies of the applicant's income tax submissions for the last three (3) years for **each jurisdiction** in which the applicant files. (NOTE: If applicable, tax returns for holding companies must be available upon request.) Mark as Attachment 9 d (iii).
- iv. Provide copies of the applicant's Notice of Assessment (receipt), Statement of Account, or equivalent, from its income tax authority for the last three (3) years, or the equivalent document from the relevant jurisdiction. Mark as Attachment 9 d (iv).
- v. Has the applicant company, its parent, a subsidiary, associate or holding company, or related corporation or business entity:
1. ever failed to disclose or report income?  
 No.  
 Yes. ▶ Explain the circumstances regarding the nature of the income and the amount and include as Attachment 9 v.1.
  2. ever made false claims or tax submissions?  
 No.  
 Yes. ▶ Explain the circumstances regarding the nature of the false claim and the amount and include as Attachment 9 v.2.
  3. ever been audited or investigated by a tax authority?  
 No.  
 Yes. ▶ Explain the circumstances regarding the audit or investigation including the date, outcome and the amount. Mark as Attachment 9 v.3.
  4. ever been subject to any tax fines or penalties?  
 No.  
 Yes. ▶ Provide circumstances regarding the fine or penalties and if the debt has been paid and include as Attachment 9 v.4.
  5. ever been denied an extension for filing a tax submission?  
 No.  
 Yes. ▶ Provide circumstances regarding the denial and include as Attachment 9 v.5.
  6. ever owed any past due taxes, fees or obligations to local, provincial, state or federal governments?  
 No.  
 Yes. ▶ Provide an explanation of the circumstances as Attachment 9 v.6.

## CONSENT TO RELEASE OF CORPORATE INFORMATION

This Consent Granted By: \_\_\_\_\_  
[Applicant Company's Name]

### WHEREAS:

I, THE UNDERSIGNED am a duly authorized officer of the Corporation named above which has made application to the **GAMING POLICY AND ENFORCEMENT BRANCH** to participate in regulated gaming activities conducted in the Province of British Columbia, Canada, pursuant to registrations issued by the GAMING POLICY AND ENFORCEMENT BRANCH.

The GAMING POLICY AND ENFORCEMENT BRANCH, as a requirement of the Corporation's application, has requested and the Corporation has agreed to execute this consent to Release of Corporate Information for the following purposes:

- A. To evaluate the financial, business regulatory and criminal history of the Corporation for suitability to participate in the gaming industry.
- B. To share information gathered with other gaming regulatory authorities in jurisdictions having agreements to share such information with the GAMING POLICY AND ENFORCEMENT BRANCH or the Province of British Columbia; and
- C. To share information gathered with other law enforcement agencies for gaming related investigations or clearances.

The Corporation agrees that the GAMING POLICY AND ENFORCEMENT BRANCH and its authorized agents may collect and receive information relating to or concerning the Corporation from any or all of the following sources worldwide: international, national, provincial, state, county or municipal law enforcement or security agencies, police services, licensing bodies, sheriff's offices, all government ministries or regulatory agencies, banks, trust companies, brokerage houses, credit bureaus, professional or industry associations or regulators, and former or current customers of clients, and/or any other bodies or entities that may hold information relevant to the background investigation.

The Corporation has been informed that the GAMING POLICY AND ENFORCEMENT BRANCH is required to protect the confidentiality and privacy of information in its possession in accordance with the terms of the Freedom of Information and Protection of Privacy Act, (British Columbia) and to use information only for the purposes for which it was collected or for consistent purposes, and except as otherwise consented to herein the Corporation requests that the information collected relating to or concerning the Corporation be protected by the GAMING POLICY AND ENFORCEMENT BRANCH and kept confidential and private.

### I, THE UNDERSIGNED:

1. Declare that I am a duly authorized officer of the Corporation with authority to execute and deliver this Consent for and on behalf of the Corporation.
2. On behalf of the Corporation, authorize and direct all persons or parties to whom this consent is presented and that have in their possession or control information or documents relating to or concerning the Corporation or its affairs to provide such information to the GAMING POLICY AND ENFORCEMENT BRANCH and to permit the inspection, copying and removal of copies of such documents by the GAMING POLICY AND ENFORCEMENT BRANCH or its authorized agents, whether or not such information or documents are confidential or might otherwise be protected from disclosure.
3. Without limiting the generality of the authority granted herein, on the behalf of the Corporation, confirm that this authority and direction extends to and includes any and all documents, correspondence and records, including those of any financial institution, including past loan information, notes signed or co-signed by the Corporation, account records of any type, passbooks, safe deposit records, and general ledger folios or entries.
4. Affirm that the GAMING POLICY AND ENFORCEMENT BRANCH may insert on this document the name of any person or entity to whom this consent is presented, together with the name of any person they authorize to deliver this consent.
5. Grant the GAMING POLICY AND ENFORCEMENT BRANCH and its authorized agents full power and authority to exercise any and all powers, and to do all such acts and things as may be required on the Corporation's behalf or in the Corporation's name to cause delivery to them of the information or documents provided to be disclosed to them by this consent, and the Corporation releases and agrees to hold harmless any person or entity complying with this authority and direction from any liability to me whatsoever in connection with such disclosure.

On behalf of the Corporation, consent to the release of any information or copies of any documents provided in accordance with this consent to any other law enforcement agency, or to any other gaming regulatory agency that have agreements to share information with the GAMING POLICY AND ENFORCEMENT BRANCH or the Province of British Columbia.

I \_\_\_\_\_ DULY SWEAR OR AFFIRM AND DECLARE that I am voluntarily executing this form of consent and understand the nature and purpose of this document.

SIGNED at \_\_\_\_\_

on this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

\_\_\_\_\_  
Signature of Company President / Owner / Designate

**NOTE:** The signee on this document must submit a scanned colour copy of a **valid** government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

### FOR GPEB USE ONLY

THIS REQUEST IS PRESENTED TO: \_\_\_\_\_  
(Regulatory Agency or Law Enforcement Agency)

BY: \_\_\_\_\_ ON: \_\_\_\_\_  
Authorized Agent of the GAMING POLICY AND ENFORCEMENT BRANCH (date)

## DECLARATION

I, \_\_\_\_\_, (company president / owner / designate) duly swear or affirm that I am authorized to complete this application, that I have reviewed the application, read the attachments of this application and that they are true and correct to the best of my knowledge and belief. Further, this statement is executed with the knowledge that misrepresentation or failure to disclose any information required by this application is sufficient cause for the rejection by the Gaming Policy and Enforcement Branch of any application. Further, I am aware that later discovery of an omission or misrepresentation made in the above application, attached statements, documents, information and diagrams may be grounds for a determination of ineligibility or cancellation of any existing or future registration that may be granted. Further, that I am voluntarily submitting this declaration with full knowledge.

\_\_\_\_\_  
Company President / Owner / Designate Signature

\_\_\_\_\_  
Effective (dd-mmm-yyyy)

**NOTE:** The signee on this document must submit a scanned colour copy of a **valid** government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

## CORPORATE DISCLOSURE FORM ATTACHMENTS - CHECKLIST

As a general guideline, attaching the following documents (if applicable) will assist in the completion of the registration process. Each document will be identified with an Attachment Number and cross referenced to the appropriate question.

- Attachment 3 a.:** Corporate names along with addresses under which the applicant company has conducted business for the last ten (10) years.
- Attachments 3 b. and c.:** Certificate of Incorporation, Articles of Incorporation, Partnership, Shareholders and/or Trust Agreements, Constitution or Charter, By-laws and Resolutions and a list of all jurisdictions in which the applicant company is incorporated.  
**NOTE:** Applicant corporations incorporated in another jurisdiction are required to obtain and maintain registration in British Columbia as an extra provincial company within the meaning of the *British Columbia Business Corporations Act* in order to be eligible for registration as a gaming services provider. (s.59 GCA)
- Attachment 3 d.(i) and (ii):** Outline of goods and services offered and specifically what is, or will be, provided in British Columbia.
- Attachment 3 e.:** A business relationship diagram depicting the direct and indirect business relationships between the applicant, its parent, subsidiaries, associate and holding companies, any interest holder of 5% or more and related corporations or business entities.
- Attachment 3 f.:** Personnel organization chart(s) indicating the hierarchical structure of the applicant company and its subsidiaries.
- Attachments 4 a.i. to b.i.:** Details on corporate interest holders where other companies, business organizations, entities or individuals hold any financial or legal interest in the applicant company, its parent, subsidiaries and affiliates; or, persons or businesses have been loaned monies, equipment or assets by the applicant company.
- Attachments 5 a. to c.:** Details on charges, convictions and findings of guilt.
- Attachments 6 a. to d.:** Details on civil proceedings and regulatory penalties.
- Attachments 7 a. to d.:** Details on bankruptcy and insolvency proceedings.
- Attachments 8 a. to g.:** Details on gaming permits, licences, certificates, contracts and registrations.
- Attachments 9 A. to D.v.6.:** Corporate financial information, including annual financial statements and annual reports for the past five (5) years of the applicant company; corporate account(s) details; income tax returns and notices of assessments for the past three (3) years of the applicant company; and other tax related information.
- Pages 11 and 12:** The signee on this document must submit a scanned colour copy of a **valid** government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.
- Application fee** (wire transfer, money order or company cheque). Do **NOT** submit cash.