



## Gaming Policy and Enforcement Branch

### INFORMATION AND INSTRUCTIONS FOR APPLICANTS COMPLETING THE PERSONAL DISCLOSURE FORM (STANDARD)

#### WHO MUST COMPLETE THIS FORM?

This Personal Disclosure Form must be completed by:

1	Senior Officials of gaming services provider companies <sup>(1)</sup>	3	Shareholders or investors with an investment of 5% or greater in gaming services provider companies
2	Senior Employees of gaming services provider as deemed by GPEB	4	Partners or associates of a gaming services provider

(1) Senior officials are comprised of each of the 5 highest paid officers and each individual who, whether or not among the 5 highest paid officers is the chair or vice chair of the board of directors, president, vice president, secretary, treasurer or general manager; or any individual who performs similar functions.

NOTE: The Gaming Policy and Enforcement Branch (GPEB) reserves the right to require any additional disclosure from an applicant or the associate of an applicant that it considers necessary to conduct a thorough background investigation in keeping with GPEB's mandate to ensure the integrity of gaming and horse racing.

#### WHAT ARE THE COSTS?

REGISTRATION CLASS	APPLICATION FEE * and ANNUAL REGISTRATION FEE**
Senior Official or Senior Employee	\$ 250.00

\*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 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** are required to cover the costs of any background investigation, including but 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. Any other costs incurred in connection with the disclosure shall be the applicant's responsibility.

**Payment methods:** Wire transfers, money orders or company cheques are accepted.

- 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 [GPEB Website](#).

#### WHAT IF I HAVE FURTHER QUESTIONS?

If you have additional questions about the disclosure documents or the registration process, contact the Licensing, Certification and Registration Division 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, if you leave out any important information or if your answers are not correct, 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 if you fail to notify GPEB of any material change to this information which occurs after the application has been filed, your registration may be cancelled by GPEB. If necessary, an applicant will be required to provide fingerprints to verify whether or not they have a criminal record.

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

## IDENTIFICATION REQUIREMENT

You must submit with your application a scanned colour copy of a **valid** government-issued ID that includes your full legal name, date of birth, signature, and photograph, such as a driver's licence or passport.

## 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 the 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 from the Director of Corporate Registration. Unsuccessful applicants will receive the reason(s) for the denial in writing from the Director of Corporate Registration.

## CHANGE OF INFORMATION

If any of the information supplied changes after you have submitted 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 Personal 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

### GPEB USE ONLY

Date Received:

CREG File:

GBC ID:

Application #:

## PERSONAL DISCLOSURE FORM (STANDARD)



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

Employer or Company Representing Gaming Site:	
Name of Applicant:	
Company Position:	
Current Registration Expiry Date: (dd-mmm-yyyy) (if applicable, otherwise n/a)	N/A
Date Application Completed: (dd-mmm-yyyy)	
Application for: (check ALL boxes that apply)	<p>Senior Official of applicant company</p> <p>Senior Employee of applicant company</p> <p>Shareholder or investor with an investment of 5% or greater in applicant company</p> <p>Other, as deemed by GPEB. Specify:</p>

## 1. PERSONAL INFORMATION

Last Name		First Name		Middle Name(s)	
Alias, Nicknames, Maiden Name, Other Name Changes (Legal or Otherwise)			Date of Birth	Gender:	
			(dd-mmm-yyyy)		
Place of Birth					
City		Province/State		Country	Citizenship
Do you hold dual citizenship?					
<input type="checkbox"/> No <input type="checkbox"/> Yes, in the following country/countries:					
Contact Details					
Home Telephone #		Personal Cell #		Work Telephone #	Work Cell #
Personal Email			Work Email:		
Identification					
SIN/SSN or National ID # (Optional)		Driver's Licence # (Province/State)		Passport Number(s) (Country)	
Marital Status					
<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Common Law <input type="checkbox"/> Co-habiting <input type="checkbox"/> Separated <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed					
If you are currently married, common law or co-habiting, provide full name of spouse/partner				Date of marriage/common law/co-habiting	
				(dd-mmm-yyyy)	
If you are currently or previously separated, divorced or widowed, provide full name(s) of former spouse				Date of marriage/divorce/separation/death	
				(dd-mmm-yyyy)	

### Identification Requirements: (include as **Attachment 1**)

You must submit a scanned colour copy of a valid government-issued ID that includes your full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

## 2. RESPONSIBILITIES

Describe your involvement in the applicant company and your current responsibilities. If additional space is required, include as **Attachment 2**.

3. RESIDENCE INFORMATION

Provide the following information for each address where you resided for the past ten (10) years including your current address. If additional space is required, include as **Attachment 3**.

Apt/Suite, Street Number, Street Name, City, Province/State, Postal/Zip Code	Own/Rent	Dates	
		From (dd-mmm-yyyy)	To (dd-mmm-yyyy)

4. FINANCIAL DEPENDANTS

Provide the following information for all financial dependants. If additional space is required, include as **Attachment 4**.

Full Name	Birth Date (dd-mmm-yyyy)	Relationship (ie.child, sibling)	Address

## 5. EMPLOYMENT INFORMATION

Provide all employment information for the past five (5) years, regardless of industry, starting with your current employer. In addition, list any employment in the gaming industry since the age of 18. If additional space is required, include as **Attachment 5**.

<b>1.</b>	From (dd-mmm-yyyy)	Current Employer	Business Phone	
				Is the company involved in the Gaming Industry?
	To (dd-mmm-yyyy)	Mailing Address		<input type="checkbox"/> Yes
				<input type="checkbox"/> No
	Position Held	Description of Duties	Supervisor Name/Contact Information	Reason for Leaving
<b>2.</b>	From (dd-mmm-yyyy)	Employer	Business Phone	
				Is the company involved in the Gaming Industry?
	To (dd-mmm-yyyy)	Mailing Address		<input type="checkbox"/> Yes
				<input type="checkbox"/> No
	Position Held	Description of Duties	Supervisor Name/Contact Information	Reason for Leaving
<b>3.</b>	From (dd-mmm-yyyy)	Employer	Business Phone	
				Is the company involved in the Gaming Industry?
	To (dd-mmm-yyyy)	Mailing Address		<input type="checkbox"/> Yes
				<input type="checkbox"/> No
	Position Held	Description of Duties	Supervisor Name/Contact Information	Reason for Leaving
<b>4.</b>	From (dd-mmm-yyyy)	Employer	Business Phone	
				Is the company involved in the Gaming Industry?
	To (dd-mmm-yyyy)	Mailing Address		<input type="checkbox"/> Yes
				<input type="checkbox"/> No
	Position Held	Description of Duties	Supervisor Name/Contact Information	Reason for Leaving
<b>5.</b>	From (dd-mmm-yyyy)	Employer	Business Phone	
				Is the company involved in the Gaming Industry?
	To (dd-mmm-yyyy)	Mailing Address		<input type="checkbox"/> Yes
				<input type="checkbox"/> No
	Position Held	Description of Duties	Supervisor Name/Contact Information	Reason for Leaving

## 6. EMPLOYMENT DISCHARGE / SUSPENSION / RESIGNATION / DISCIPLINARY ACTION

Have you ever been discharged, suspended, asked to resign from employment or disciplined in any manner?

- ☐ No
- ☐ Yes → If YES, you MUST include the following information for EACH occasion on which you were discharged, suspended, asked to resign, or disciplined as **Attachment 6**.
- Employer's name and address
  - Name of supervisor/person who initiated the action
  - Date of discharge, resignation, suspension or disciplinary action
  - Circumstances for discharge, resignation, suspension or disciplinary action

## 7. CORPORATE ASSOCIATIONS

Provide the following information for all business entities (such as corporations, partnerships, sole proprietorships, or limited liability companies) that you have been involved within the past 10 years, in any of the following roles: officer, director, shareholder, trustee, beneficiary, or any similar position. Do not include any publicly traded corporations in which you own less than 5% of the issued and outstanding shares. Indicate if the entity was involved with licensed gambling during your term of association or involvement. If additional space is required include as **Attachment 7**.

Name and Address of Entity (Street, City, Province/State, Postal/Zip Code, Telephone Number)	Company Description	Position Held	Dates (dd-mmm-yyyy)		Reference Person	Gaming? Yes or No
			From	To		
1.						
2.						
3.						

## 8. POSITIONS OF TRUST

Have you ever resigned, been removed or discharged from a position of trust - such as a trustee, board member, officer, director or equivalent?

- ☐ No
- ☐ Yes → If YES, you MUST include the following information as **Attachment 8**.
- Name and address of entity
  - Position held
  - Date of resignation, removal, or discharge
  - Reason(s)

## 9. POST SECONDARY EDUCATION AND PROFESSIONAL DESIGNATION(S)

If additional space is required, include as **Attachment 9**. Proof of education may be required.

	Name of Institution	Location	Dates Attended (mm-yyyy to mm-yyyy)	Degree or professional designation Attained
College or University	1.			
	2.			
Other	1.			
	2.			
Professional Designation(s)	1.			
	2.			
	3.			

## 10. CRIMINAL, STATUTORY AND REGULATORY MATTERS

Have you ever been, or has any business entity, within the past ten (10) years, in which you own(ed) 10% or more, or in which you currently serve or have served as an officer or director been:

A. subject to any criminal investigation in any jurisdiction?

No

Yes → If YES, you MUST include the following information for EACH investigation as **Attachment 10A**:

- Name and address of entity (if applicable)
- Reason for investigation
- Name and address of organization conducting investigation

B. charged with an offence in any jurisdiction? Includes outstanding charges, absolute discharges and stays of proceeding in any jurisdiction.

No

Yes → If YES, you MUST include the following information for EACH charge as **Attachment 10B** :

- Name and address of entity (if applicable)
- Description of charge
- )
- N #
- C

C. found guilty or convicted of an offence in any jurisdiction? (This includes convictions / charges where an absolute or conditional discharge or a pardon was granted.)

No

Yes → If YES, you MUST include the following information for EACH charge as **Attachment 10C**:

- Name and address of entity (if applicable)
- Description of conviction or finding of guilt
- Date of conviction or finding of guilt
- Description of sentence
- Name and address of Court
- Court file number



## 11. LAWSUITS, CLAIMS AND HEARINGS

- A. In the last ten (10) years, have you, or any business entity in which you own(ed) 10% or more, or currently serve or have served as an officer or director, **been subject to a lawsuit** or a claim, disciplinary hearings, or similar proceeding in any jurisdiction? Include orders, judgments, fines, pending dispositions, and penalties imposed.

No

Yes → If YES, you MUST include the following information for EACH proceeding as **Attachment 11A**:

- i. Description of lawsuit or claim
- ii. Name of all other parties to the lawsuit or claim
- iii. Outcome
- iv. Initial date of proceeding
- v. Name and address of Court
- vi. Court file number

- B. In the last ten (10) years, have you, or any business entity in which you own(ed) 10% or more, or currently serve or have served as an officer or director, **ever commenced a claim or lawsuit** in any jurisdiction?

No

Yes → If YES, you MUST include the following information for EACH proceeding as **Attachment 11B**:

- i. Description of claim
- ii. Name of all other parties to the proceeding
- iii. Outcome of proceeding
- iv. Initial date of proceeding

## 12. CONSUMER PROPOSALS, BANKRUPTCY AND CREDITOR PROTECTION

In the last ten (10) years have you, or any business entity in which you own(ed) 10% or more, or in which you currently serve or have served as an officer or director, in any jurisdiction:

- participated in credit counselling or debt management / debt restructuring;
- received any loan or debt forgiveness;
- filed for bankruptcy protection or receivership;
- been petitioned into bankruptcy or receivership;
- made a proposal under any bankruptcy insolvency or similar law or had any similar action taken against you been denied or refused bankruptcy protection or reorganization under any bankruptcy or insolvency law?

No

Yes → If YES, you MUST include the following information for EACH proceeding as **Attachment 12**:

- i. Name and address of entity (if applicable)
- ii. Name and address of filing party
- iii. Date petition filed
- iv. Name and address of Court
- v. Name and address of trustee
- vi. Disposition or outcome

### 13. GAMING APPLICATIONS, LICENSURE AND REGISTRATION

In the last ten (10) years have you, or any business entity in which you own(ed) 10% or more, or in which you currently serve or have served as an officer or director:

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

No

Yes → If YES, you MUST include the following information as **Attachment 13A**:

- i. Name and address of business entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Date of application
- v. Disposition of application (e.g. approved, abandoned or withdrawn)
- vi. Name and contact information of regulatory personnel assigned to your file

B. had a permit, licence, certificate or registration **in connection with gaming** denied, suspended or cancelled in any jurisdiction?

No

Yes → If YES, you MUST include the following information as **Attachment 13B**:

- i. Name and address of business entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g. refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

C. had any administrative sanctions taken, disciplinary hearings, fines and penalties **imposed by a gaming regulator**?

No

Yes → If YES, you MUST include the following information as **Attachment 13C**:

- i. Name and address of business entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g. refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

D. had a permit, licence, certificate or registration denied, suspended or cancelled by a regulatory body or authority exercising jurisdiction over specific business activities or professions? **Note:** This includes any act under Federal, Provincial and State jurisdictions (e.g. driver's licence, professional membership/certification).

No

Yes → If YES, you MUST include the following information as **Attachment 13D**:

- i. Name and address of entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g. refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

E. had any administrative sanctions, fines and/or penalties imposed? **Note:** This includes any act under Federal, Provincial and State jurisdictions (e.g. driver's licence, professional membership/certification).

No

Yes → If YES, you MUST include the following information as **Attachment 13E**:

- i. Name and address of entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g., administrative sanctions, fines, penalties, or disciplinary hearings)
- v. Date action taken
- vi. Reason(s)

F. been connected to or engaged in any way with illegal or unlicensed gambling or gaming enterprise?

No

Yes → If YES, you MUST include the following information as **Attachment 13F**:

- i. Name and address of employer or associate
- ii. Date of association
- iii. Type of gaming activity
- iv. Date and location of gaming
- v. Explain the circumstances

G. had any relatives associated with or employed in the gambling or gaming industry?

No

Yes → If YES, you MUST include the following information as **Attachment 13G**:

- i. Name of relative
- ii. Relationship to relative

#### 14. GAMING INVESTMENTS

A. Have you, or will you (or a company you own or control) provide funds, assign assets or make an investment in the applicant company? If additional space is required, include as **Attachment 14A**.

No

Yes → If YES, state the amount and type of investment and complete 14B.

☐ Total Amount: \$ \_\_\_\_\_

**Type of Investment:**

☐ Shareholder Loan \$ \_\_\_\_\_

☐ Purchase of Shares \$ \_\_\_\_\_

☐ Asset Transfer \$ \_\_\_\_\_

☐ Other (Specify) \$ \_\_\_\_\_ Specification: \_\_\_\_\_

B. Investment in the applicant company has or will be derived from the following sources (if additional space is required, include as *Attachment 14B*):

Source: \_\_\_\_\_ Amount: \$ \_\_\_\_\_

Source: \_\_\_\_\_ Amount: \$ \_\_\_\_\_

Source: \_\_\_\_\_ Amount: \$ \_\_\_\_\_

**(NOTE: Evidence of the source of funds must be readily available upon request.)**

C. In the last ten (10) years, have you or any family member received a loan of any kind from the applicant company?

No

Yes → If YES, provide (below) the amount, reason for the loan, and whether or not it has been repaid or as **Attachment 14C**.

Amount of Loan: \_\_\_\_\_ Loan Repaid ? Yes No

Reason for Loan: \_\_\_\_\_

D. State the number (and percentage), class, and voting participation rights of all shares (or share equivalent) held by you (or your holding company) in the applicant company (if additional space is required, include as *Attachment 14D*):

☐ Not Applicable

Number of Shares Held	Share Class (i.e. A, B, C)	Share Type: (ie. Common (CS) / Preferred (PS))	Voting (V) / Non-Voting (NV)	Par Value	% Ownership in Applicant Company

E. Have you assigned, pledged, or sold an interest in the applicant company OR entered into an agreement whereby an interest will be assigned, pledged, or sold, either in whole or in part?

No

Yes → If YES, provide the details as **Attachment 14E**.

F. Are your shares in the applicant company subject to restrictions under any agreement?

No

Yes → If YES, provide a copy of the agreement as **Attachment 14F**.

G. Do you hold any other gaming investments?

No

Yes → If YES, provide a copy of the agreement or provide key details if an agreement does not exist as **Attachment 14G**.

## 15. REPORTING OF INCOME AND TAX FILINGS / RETURNS

- A. State the year and location for which you last filed an income tax return. (**NOTE:** If you filed in multiple jurisdictions, indicate the year and location for each jurisdiction you filed):

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

- B. Who prepares your tax submission and how are they filed? (**NOTE:** If you filed in multiple jurisdictions, indicate who prepared your tax submission and filing method for each jurisdiction.) Include this information as **Attachment 15B**.

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

Method of Filing: \_\_\_\_\_

- C. Attach copies of your completed income tax returns for the last three (3) years for any jurisdiction where you have filed and include as **Attachment 15C** (submissions must include complete forms and schedules and must be in English). (**NOTE:** If applicable, tax returns for your holding company must be available upon request.)
- D. Attach copies of your Notice of Assessment, Statement of Account, or equivalent, from the Income Tax Authority for the last three (3) years and include as **Attachment 15D** (submissions must be in English).
- E. In the last ten (10) years have you, or any business entity in which you own(ed) 10% or more or in which you currently serve or have served as an officer or director:
- i. failed to disclose or report income?  
No  
Yes → If YES, provide the circumstances regarding the nature of the income and the amount as **Attachment 15E.i**.
  - ii. made false claims or tax submissions?  
No  
Yes → If YES, provide the circumstances regarding the nature of the false claim and the amount as **Attachment 15E.ii**.
  - iii. been audited or investigated by a tax authority?  
No  
Yes → If YES, provide the circumstances regarding the audit or investigation including date, outcome and the amount as **Attachment 15E.iii**.
  - iv. been subject to any tax fines or penalties?  
No  
Yes → If YES, provide the circumstances regarding the fine or penalties and if the debt has been paid as **Attachment 15E.iv**.
  - v. been denied an extension for filing a tax submission?  
No  
Yes → If YES, provide the circumstances regarding the denial as **Attachment 15E.v**.
  - vi. been in a VDP ("Voluntary Disclosure Program") or equivalent with the Canadian Revenue Agency or another tax authority?  
No  
Yes → If YES, provide the circumstances regarding the program including the date of completion and outcome as **Attachment 15E.vi**.

## 16. COURT ORDERS AND GARNISHMENTS

In the last ten (10) years have you, or any business entity in which you own(ed) 10% or more or in which you currently serve or have served as an officer or director:

A. ever had a credit card revoked?

- i. No
- ii. Yes → If YES, you MUST include the following for EACH proceeding as **Attachment 16A**.
  - i. Name of credit card company
  - ii. Date credit card revoked
  - iii. Reason why it was revoked
  - iv. Outstanding balance and current status

" been subject to garnishment, assignment, or other similar orders in any jurisdiction?

No

Yes → If YES, you MUST include the following for EACH proceeding as " .

- ..... "Nature and amount of obligation
- ..... "Name and address of the holder of obligation
- ..... "Name and address of Court
- ..... "Court file number
- ..... "Current status

C. at any time disobeyed any Court Order requiring you to do, or abstain from doing, any act?

No

Yes → If YES, you MUST include the following for EACH proceeding as **Attachment 16C**.

- i. Date and nature of the Court Order
- ii. Name and address of Court
- iii. Reason for not obeying order
- iv. Court file number
- v. Current status

D. been subject to any court ordered child support or spousal support agreement that is still in effect?

No

Yes → If YES, are you currently up-to-date on support owed?

No

Yes → If YES, you MUST provide evidence that you are up-to-date as **Attachment 16D**.

DI. had any assets seized for non-payment, default, or any other action taken to collect an account that was owed?

No

Yes → If YES, you MUST include the following for EACH proceeding as **Attachment 16E**.

- i. Name and address of entity who initiated action
- ii. Date of action
- iii. Description of asset seized
- iv. Current status of action

17. ASSETS / LIABILITIES

- A. In the last ten (10) years have you, or any business entity in which you own(ed) 10% or more or in which you currently serve or have served as an officer or director (other than the applicant company):
- i. held assets or liabilities outside of your country of permanent residence?  
No  
Yes → If YES, identify the assets and/or liabilities and their value as **Attachment 17A.i.**
  - ii. been the signatory (as trustee, beneficiary or settlor) on any trust or other estate planning instrument?  
No  
Yes → If YES, describe your role and the nature of the instrument as **Attachment 17A.ii.**
- B. List below all instances in the last five (5) years where you have given a guarantee, co-signed or otherwise insured payment of a loan, debt or other financial obligation.

Name & Address of Creditor	Date Incurred (mm/yyyy)	Amount	Unpaid Balance	Maturity Date (mm/yyyy)	Amortization Period (mm/yyyy – mm/yyyy)	Person Liable and Relationship
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			

**18. INCOME**

- A. List all sources of **household income** and their amounts **received directly from the applicant company** (Include all employment remuneration, bonuses, management and consultant fees, royalties, stock options, dividends, company vehicles, etc.). If additional space is required, include as *Attachment 18A*.

Source of Income	Estimate Amount for Current Calendar Year	Estimate Amount for Previous Calendar Year
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total estimated annual gross income</b>	<b>\$</b>	<b>\$</b>

- B. List all sources of **household income** and their amounts **from sources other than the applicant company**. Include all businesses, rental property, management and consultant fees, royalties, interest income, dividends, etc.) If additional space is required, include as *Attachment 18B*.

Source of Income	Estimate Amount for Current Calendar Year	Estimate Amount for Previous Calendar Year
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total estimated annual gross income</b>	<b>\$</b>	<b>\$</b>



## 19. STATEMENT OF ASSETS AND LIABILITIES

All information provided in this section is as of (dd-mmm-yyyy): \_\_\_\_\_.

A. Complete the following **Statements**. Each entry must be described fully on the appropriate Schedule found on the following pages and the total amount on each schedule must be entered below.

Statement of Assets	Schedule	% of ownership	Amount Canadian Dollars	Foreign Currency	
				Foreign Currency Value	Exchange Rate
Cash on hand (if in excess of \$10,000 CDN)			\$	\$	
Deposits at Financial Institutions			\$	\$	
Accounts and Notes Receivable	A		\$	\$	
Brokerage and Investment Accounts	B		\$	\$	
Business Investments	C		\$	\$	
Real Estate	D		\$	\$	
Personal Vehicles	E		\$	\$	
Other Assets	F		\$	\$	
<b>TOTAL ASSETS</b>			\$	\$	
Statement of Liabilities	Schedule	% of ownership	Amount (Canadian Dollars)	Currency	
				Converted From	Exchange Rate
Current, Long Term and Other Liabilities (debts due and payable)	G		\$	\$	
Mortgages Payable	H		\$	\$	
Accounts Payable (credit cards, line of credit, etc.)	I		\$	\$	
<b>TOTAL LIABILITIES</b>			\$	\$	
Statement of Net Worth			Amount (Canadian Dollars)		
Total Assets (from Statement of Assets above)			\$		
Less: Total Liabilities (from Statement of Liabilities above)			\$		
<b>NET WORTH</b>			\$		

SCHEDULE A – ACCOUNTS AND NOTES RECEIVABLE

List all loans and notes receivable held by you. If additional space is required or this information exists in another format, attach it as *Schedule A*.

☐ Not Applicable

Name and Address of Debtor	Date Incurred (dd-mmm-yyyy)	Original Amount	Unpaid Balance	Interest Rate	Maturity Date (dd-mmm-yyyy)	Collateral
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			
		\$	\$			

SCHEDULE B – BROKERAGE AND INVESTMENT ACCOUNTS

List the requested information for all stocks, bonds, and convertible securities held or controlled by you. You are not required to identify stocks held through mutual funds, holding companies, or institutional investors. Whenever such interest exists through a beneficial interest in a trust, the stocks and bonds held in such trust shall be listed if you have knowledge of what stocks and bonds are so held. Indicate publicly traded stocks and bonds with an asterisk (\*) and attach the investment/brokerage statement of account. If additional space is required or this information exists in another format, attach it as *Schedule B*.

☐ Not Applicable

Name and Address of Issuer	Type	Number of Shares or Units	Purchase Price	Name in Which Held	Current Market Value
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$
			\$		\$

### SCHEDULE C – BUSINESS INVESTMENTS

List all investments where an interest (direct, indirect, vested, or contingent) is held by you, along with the names of all individuals or entities who share an interest therein. This includes but not be limited to joint ventures, partnerships, sole proprietorships, and corporations. If additional space is required or this information exists in another format, attach it as **Schedule C**.

☐ Not Applicable

Entity Name	Number of Shares or Units	% of Ownership	Purchase Price	Purchase Date (dd-mmm-yyyy)	Individuals or Entities Sharing an Interest or Ownership %	Current Market Value
			\$			\$
			\$			\$
			\$			\$
			\$			\$
			\$			\$

### SCHEDULE D – REAL ESTATE

List details of any real estate (property) where you have any kind of ownership or interest, including both legal and beneficial ownership. Include the names of any other people or companies that also share ownership or interest. Mark any property that earns income with an asterisk (\*). If additional space is required or this information exists in another format, attach it as **Schedule D**.

☐ Not Applicable

Description, Address and Purpose of Property	Purchase Price/ Improvements at Cost	Purchase Date (dd-mmm-yyyy)	Ownership %	Name of Owner(s)	Mortgage Balance	Current Market Value
	\$				\$	\$
	\$				\$	\$
	\$				\$	\$
	\$				\$	\$
	\$				\$	\$

**SCHEDULE E – PERSONAL VEHICLES**

List all motor vehicles, boats, and planes owned (or leased) by you. If additional space is required or this information exists in another format, attach it as *Schedule E*.

☐ Not Applicable

Type of Asset	Year and Make	Jurisdiction of Registration	Registered Owner or Leasing Company	Current Market Value
				\$
				\$
				\$
				\$
				\$

**SCHEDULE F – OTHER ASSETS**

List all other assets, including but not limited to personal property, cash surrender value of insurance policies, pension plans, etc. held by you. If additional space is required or this information exists in another format, attach it as *Schedule F*.

☐ Not Applicable

Type of Asset	Owned by	Purchase Price	Purchase Date (dd-mmm-yyyy)	Current Market Value
		\$		\$
		\$		\$
		\$		\$
		\$		\$
		\$		\$

**SCHEDULE G – CURRENT, LONG TERM AND OTHER LIABILITIES**

List all current and long term liabilities held by you. If additional space is required or this information exists in another format, attach it as ***Schedule G***.

☐ Not Applicable

Name and Address of Creditor	Debtor	Date Incurred (dd-mmm-yyyy)	Original Amount	Payment Period	Unpaid Balance	Maturity Date (dd-mmm-yyyy)	Purpose and Collateral
			\$		\$		
			\$		\$		
			\$		\$		
			\$		\$		
			\$		\$		
			\$		\$		

**SCHEDULE H – MORTGAGES PAYABLE**

List all mortgages or liens payable on real estate held by you. If additional space is required or this information exists in another format, attach it as ***Schedule H***

☐ Not Applicable

Name and Address of Mortgage Lender	Borrower(s)	Date Incurred (dd-mmm-yyyy)	Original Amount	Amortization Period	Amount Outstanding	Description and Address of Real Estate
			\$		\$	
			\$		\$	
			\$		\$	
			\$		\$	
			\$		\$	

**SCHEDULE I – ACCOUNTS PAYABLE**

List accounts payable (credit card, line of credit, etc.) held by you. If additional space is required or this information exists in another format, attach it as *Schedule I*.

☐ Not Applicable

Name and Address of Creditor	Borrower(s)	Date Incurred (dd-mmm-yyyy)	Original Amount	Amortization/ Revolving Period	Amount Outstanding	Description of Debt
			\$		\$	
			\$		\$	
			\$		\$	
			\$		\$	
			\$		\$	

## CONSENT RESPECTING PERSONAL INFORMATION

I, \_\_\_\_\_, consent to the Gaming Policy and Enforcement Branch pursuant to Part 7 and 8 of the *Gaming Control Act* to:

- 1) Disclose my personal information to the organizations including but not limited to those listed below for the purpose of verifying identity prior to additional collection of personal information.
- 2) Collect additional information pertaining to my application for registration for the purpose of verification of the information provided on this form and to determine suitability for gaming registration and the suitability for corporate registration of the entity with which I am employed, involved, or affiliated.
- 3) Collect additional information from any financial organization, including but not limited to the following domestic and foreign sources: financial institutions, credit bureaus and credit reporting agencies, regional and national banking and loan institutions, accounting firms and law firms where any privilege is waived for investigative purposes.
- 4) Collect additional information from any regulatory or enforcement agency, including but not limited to: tax authority or regulator, securities regulators, or any regulatory or enforcement body executing legislation. GPEB reserves the right to disseminate any information provided through the application process and during the registration period with any regulatory or enforcement agency presenting a valid consent to release information signed by the applicant or registrant for the purpose of assisting any regulatory or enforcement agency.
- 5) Collect additional information from any academic institution, association governing professions or designations, organisation governing certification, or previous, current or prospective employer (gaming services provider).
- 6) Collect additional information from any City, Municipal, or Provincial Police department, domestic and foreign law enforcement agency or public body, and the Royal Canadian Mounted Police pursuant to Section 8 (1) of the *Privacy Act of Canada*, including any and all personal information and records, (including convictions, non-convictions and charges regardless of disposition) retained by them in their files or electronic databases accessed through the Public Safety Portal (PSP) query as well as PIRS and CPIC or any other Police or Court Information indices and databases, including any open source material deemed necessary for GPEB to perform registration and enforcement responsibilities under the *Gaming Control Act*.
- 7) Personal information collected during the GPEB application process may be disclosed to third parties requesting the information with a valid consent from the applicant.

**Disclaimer:** This information is collected for the purposes of determining eligibility to operate or be employed by a business within the gambling industry in the jurisdiction of British Columbia. The personal information provided within this form is collected under the Freedom of Information and Protection of Privacy Act and the Gaming Control Act of British Columbia, Canada. Upon collection of information under the aforementioned provisions, a determination of eligibility will be made by GPEB as provided under Section 65(1) and Section 71 of the Gaming Control Act of British Columbia, Canada. This consent takes effect upon submission. GPEB holds no responsibility for any loss of employment or any negative consequences resulting from this application process. Any inquiries may be made to the Director, Corporate Registration.

Signature of Applicant: \_\_\_\_\_

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



**CRIMINAL RECORD CONSENT FORM**

(Send the completed form directly to this office for processing)

**FULL NAME OF APPLICANT****Surname****All Given Names****Maiden Name****Date of Birth**

(dd-mmm-yyyy)

Alias, Nicknames, Middle Names, Other Name Changes (Legal or Otherwise)

**Gender:****Place of Birth****City****Province/State****Country****Height****Weight****Hair Colour****Eye Colour****Home Address**

Apt/Suite/Unit Number/Street or RR# and Lot, Concession, Township

**Home Telephone #****Cell Telephone #****City****Province/State****Postal/Zip Code & Country****Work Phone #****Identification**SIN/SSN or National ID #  
(Optional)**Driver's Licence# (Prov/State)**

NOTE: Applicants that reside outside of Canada must provide proof of verification, regardless of the outcome of a criminal based investigation, that they have not been convicted of any criminal offenses.

**United States (US) Residents**

United States applicants must provide:

- an authenticated local police check document (Police Certificate) which includes a local state criminal record search for the area they resided in covering those years of residence.
- an authenticated FBI identification records check (Identity History Summary). Applicants should refer to the Federal Bureau of Investigation's ("FBI") website for instructions on how to submit the request.

**Note:** United States applicants should contact their local State Identification Bureau (or State Police), who may be able to coordinate all of the required criminal record searches.

**Foreign Residents (other than US or Canada)**

Applicants that reside in a country other than Canada or the United States must provide a national police certificate from the country(s) they have resided in covering those years of residence.

**Note:** Obtaining a police certificate varies from country to country. Go to <https://www.canada.ca/en/immigration-refugees-citizenship/services/application/medical-police/police-certificates/how.html> and select the country(s) you resided in to determine how to obtain a police certificate.

**Translation Required:** If a police certificate is in a language other than English, the applicant must provide GPEB with a copy of the original document as well as an English version translated by a certified translator and an affidavit from the person who completed the translation.

**FOR GPEB USE ONLY:**☐ CPIC☐ CNI☐ INTERPOL☐ PIRS☐ ED1☐ OTHER FED☐ OTHER DIVISIONS☐ EQUIFAX☐ OTHER DATABASES

Signature

GBC ID #

Date (dd-mmm-yyyy)

## DECLARATION

I, \_\_\_\_\_, (applicant name) duly swear or affirm, that I have read the above application and attached statements, documents, information, and that they are true and correct to the best of my knowledge and belief. I understand that if necessary, I will be required to provide fingerprints to verify whether or not I have a criminal record. 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 and information 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 disclosure with full knowledge.

Signature of Applicant: \_\_\_\_\_

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

## PERSONAL DISCLOSURE FORM (STANDARD) 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 2.:** An outline of your involvement in the applicant company and your current responsibilities.
- ☐ **Attachment 3:** Residence information for the past 10 years.
- ☐ **Attachment 4:** Financial Dependents
- ☐ **Attachment 5:** Employment information for the past 5 years.
- ☐ **Attachment 6:** Employment discharge, suspension, resignation or disciplinary action.
- ☐ **Attachment 7:** Corporate associations you were in the past or are now associated with as an officer, director, shareholder, trustee, beneficiary or related capacity.
- ☐ **Attachment 8:** Positions of trust.
- ☐ **Attachment 9:** Proof of post secondary education and professional designation(s).
- ☐ **Attachments 10. A., B., C.:** Criminal, statutory and regulatory matters.
- ☐ **Attachments 11. A. and B.:** Lawsuits, claims and hearings.
- ☐ **Attachment 12:** Consumer Proposals, bankruptcy and creditor protection.
- ☐ **Attachments 13. A. to G.:** Gaming applications, licensure and registration.
- ☐ **Attachments 14. A. to G.:** Gaming investments.
- ☐ **Attachments 15. A. to E.:** Income Tax Submissions and Notices of Assessments for three (3) years.
- ☐ **Attachments 16. A. to E.:** Court Orders and garnishments.
- ☐ **Attachments 17. A. to B.:** Assets and liabilities.
- ☐ **Attachments 18. A. to B.:** Income.
- ☐ **Attachments 19. Schedules A to I** Statement of Assets and Liabilities.
- ☐ **Criminal Record Consent Form:** If applicable, Police Certificate(s), FBI Identification Records Check(s).
- ☐ **Identification:** A scanned colour copy of a **valid** government-issued ID that includes your full legal name, date of birth, signature and photograph, such as a driver's licence or passport.
- ☐ **\$250.00 application fee** (wire transfer, money order, or company cheque) Do **NOT** submit cash.