

Registered bookmaker – approval as an associated individual

This package contains the application and information material for approval as an associated individual of a bookmaker.

How to apply

This is an interactive PDF form which allows you to:

- complete the form using a computer or tablet
- save your progress and continue at a later time
- print the completed form to sign and return.

You are still able to print the form and complete it by hand if you prefer.

This form has been designed to be completed using the free Adobe Acrobat Reader software. To download this free software, [please visit the following link](#) or search for the free “Adobe Acrobat Reader” on your devices app store.

This form may not function as intended if you use any other software.

Send application to:

Victorian Commission for Gambling and Liquor Regulation
GPO Box 1988
Melbourne Vic 3001

or lodge in person at:

Level 3, 12 Shelley Street
Richmond Vic 3121

or via email to:

contact@vcglr.vic.gov.au

Need help?

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

- visit the Victorian Commission for Gambling and Liquor Regulation (VCGLR) website at vcglr.vic.gov.au
- telephone the VCGLR on 1300 182 457
- email the VCGLR at contact@vcglr.vic.gov.au



Important Information

Registered bookmaker – approval as an associated individual

Who should complete this form?

This form is for completion by persons seeking approval as:

- an associate of a corporation applying for a new registration as a bookmaker;
- an associate of a corporation applying to renew its registration as a bookmaker; or
- a new associate of a currently registered bookmaker.

Until you receive approval as an associate by the Victorian Commission for Gambling and Liquor Regulation (VCGLR) you must not be involved in any decision of the registered bookmaker in relation to the management or operation of the bookmaking business.

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(s). If you do so, begin each answer with the title and reference of the question you are responding to.

Prior to lodging this application ,please ensure that you have attached all required items.

The application form will be returned to you if you do not provide a response to all applicable questions or if all required attachments are not enclosed

- **Note:** There is currently no fee payable for this application.

Lodgement of Associate Forms

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 processing time of the application. The information requested in this form is necessary to enable the VCGLR to carry out its investigation of your suitability and further information in addition to that requested in this form may be required. Information requested may relate to a role you hold or will hold directly with a registered bookmaker or to a role you hold or will hold with an entity associated with a registered bookmaker.

Delivery to the VCGLR's office:

Victorian Commission for Gambling and Liquor Regulation
Level 3, 12 Shelley Street, Richmond

Mail to:

Victorian Commission for Gambling and Liquor Regulation
GPO Box 1988
MELBOURNE VIC 3001

Important Information

Registered bookmaker – approval as an associated individual

Who is an associate?

For the purposes 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 provides the following definitions which assist to identify associates:

“**executive officer**”, in relation to a body (whether incorporated or not), means—

- (a) a director, secretary or member of the committee of management of the body (by whatever name called); or
- (b) any other person who is concerned with, or takes part in, the management of the body, whether or not the person’s position is given the name of executive officer;

“**relative**”, in relation to a person, means—

- (a) the spouse or domestic partner of the person;
- (b) a parent, son, daughter, brother or sister of the person; or
- (c) a parent, son, daughter, brother or sister of the spouse or domestic partner of the person;

“**relevant financial interest**”, in relation to a gambling 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 as an executive officer.

Requirements for Notification of Change

While your application is in progress

Between lodging this form and its determination by the VCGLR, you must notify the VCGLR in writing about any changes to the information you have provided (including any documents lodged with the application). Failure to do so may result in you being prosecuted and fined up to 60 penalty units.

Following approval as an associate

If approval is granted, you will be given a set of Directions which gives you an ongoing responsibility to notify the VCGLR of specified changes in your situation. Whenever a specified change takes place, you must give written notice to the VCGLR within 14 days of the change taking place. If you do not notify the VCGLR of a specified change you may be prosecuted and fined up to 60 penalty units.

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 vcglr.vic.gov.au to confirm the current value of a penalty unit).

Privacy Policy

The Victorian Commission for Gambling and Liquor Regulation 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 VCGLR or its staff to someone else, except for the purposes stated in Division 6 of Chapter 10 of the Act (to access these provisions go to vcglr.vic.gov.au).



Victorian Commission for
Gambling and Liquor Regulation

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Registered bookmaker – approval as an associated individual

Step 1:

Apply for the appropriate National Police Certificate and/or an equivalent report from the relevant Police Agency – Refer to Attachment 2 and page 9 for full details

Step 2:

Apply for your Credit Report and/or an equivalent report from the relevant overseas agency –Refer to Attachment 3 and Page 10 for full details

Apply for your Historical Personal Name Extract and/or an equivalent report from an overseas agency –Refer to Attachment 2 and page 7 for full details

Step 3:

When you have received your NPC, Historical Personal Name Extract and Credit Report you may:

Complete the application form and sign the form where required (Note: Answer all questions and ensure that all names included in the application form match those in your NPC and Credit Report)

Attach your National Police Certificate, Historical Personal Name Extract, Credit Report (Note: Ensure that all pages of your Credit Report are submitted) and photos

Note: The following documentation, where applicable, must also be attached to your application form:

If this application relates to a new associate of a currently registered bookmaker a letter must be enclosed from the bookmaker explaining and providing details of your association with them.

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

Step 4:

Lodge form with VCGLR



Strictly Confidential

Registered bookmaker – approval as an associated individual

OFFICE USE ONLY

Allocation date: / /

Associated entity No: _____

Assigned to: _____

1. This request for approval as an associate relates to (tick applicable box and provide details below):

- (a) an application for new registration as a bookmaker;
- (b) an application for renewal as a registered bookmaker; or
- (c) an application as a new associate of a currently registered bookmaker.

Registered bookmaker's name:

Bookmaker's registration number (if applicable):

IMPORTANT INFORMATION

If this application relates to a new associate of a currently registered bookmaker a letter from the bookmaker **must** be provided with this application which explains and provides details of your association with them, 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 registered bookmaker or an associate of an associated entity of the registered bookmaker.

2. If this application applies to a new associate of a registered bookmaker, is a letter from the registered bookmaker 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

IMPORTANT INFORMATION

You **must** ensure that **all** names noted in Q3(a), (b) & (c) are advised to the providers of your National Police Certificate and Credit Report.

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

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**, list other name/s:

(c) Have you had any legal name changes?

YES NO

If **NO**, proceed to Q4.

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

(i) Date changed to current name (dd/mm/yyyy):

Name prior to change:

(ii) Date changed to previous name (if applicable, dd/mm/yyyy):

Name prior to change:

Have further details been provided on an attachment page?

YES NO

4. Current residential address:

Country:



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No. of years resident in this country:

No. of years resident at this address:

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 Q4'):

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) and/or Equivalent Report from Other Jurisdictions

Regardless of your place of residence, you are required to provide an Historical Personal Name Extract from ASIC (a copy will not be accepted). If you are not recorded on ASIC's database you will be provided with a letter to that effect. In addition, if you have ever been a director or company secretary of a company registered in a jurisdiction outside Australia, you are requested to submit an equivalent report to the ASIC Historical Personal Name Extract from the regulatory authority in each of those jurisdictions with this form. Refer to Attachment 1 for further instructions for obtaining an extract from ASIC and for the type of information an equivalent report is expected to reveal.

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

(b) Have you ever been a director or company secretary of a company registered in a jurisdiction* outside Australia?
YES NO

If **NO**, proceed to Q8.

If **YES**, is an equivalent report from the regulatory authority in each of those jurisdictions attached?

YES NO

If **NO**, provide reasons why an equivalent report has not been enclosed on an attachment page. Have further details been provided on an attachment page?

YES NO

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 3 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 3 years.

8. List below any business interests, directorships or partnerships (either within or outside Australia), apart from those already disclosed in any ASIC Extract you may have provided:

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 company secretary of a company;
 - partner in a partnership; or
 - office holder of an incorporated association
- at the time the legal action was taken against the company, partnership or incorporated association.

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

YES NO

If **NO**, proceed to Q10.

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 NO

Have further details been provided on an attachment page?

YES NO

Racing and Gambling History

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

YES NO

If **NO**, proceed to Q11.

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

Have further details been provided on an attachment page?

YES NO

11. Have you ever applied, either personally or via a business association (ie. as a director or company secretary of a company), for **any racing or gambling industry licence, concession, approval, authorisation or registration in any jurisdiction*?**

YES NO

If **NO**, proceed to Q12.

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

(a) 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 Racing/Gambling Regulator (if known):

Licence/approval/association dates:

to

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

Type of licence, approval etc sought:

Date of application (mm/yyyy):

Name of Racing/Gambling Regulator (if known):

Provide reason for refusal or withdrawal of request on an attachment page.

Have further details been provided on an attachment page?

YES NO

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 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 ever been disqualified from 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*:

Licence No (if known):

Name of 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 been a member of or been employed by the Victorian Commission for Gambling and Liquor Regulation in the last two years?

YES NO

If **NO**, proceed to Q15.

If **YES**, provide details below:

Position Held:

Date finished (mm/yyyy):

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

Charges, Findings of Guilt and Convictions

IMPORTANT INFORMATION

Persons Living in Australia

If you currently live in Australia or if you have lived in Australia for at least 12 months 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 Q17.

You **must** ensure that **all** names noted in Q3(a), (b) & (c) are advised to the Victoria Police when applying for your NPC. If all such names are not shown in your NPC, your application will **not** be accepted.

Persons Living outside Australia

If you live outside Australia, to assist the VCGLR with its investigations you must seek an equivalent report from your local Police Agency. An equivalent report 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.

15. (a) Do you currently live in Australia or have you lived in Australia for at least 12 months during the last 10 years?

YES NO

If **YES** to Q15(a), an NPC must be provided.

(b) Do you currently live outside Australia or have you lived outside Australia for more than 12 months during the last 10 years?

YES NO

If **YES** to Q15(b), you are requested to seek an equivalent report from the relevant Police Agency and if an equivalent report is not enclosed, provide an explanation on an attachment page.

16.(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 Q16(a) and (b), proceed to Q17.

If **YES** to either Q16(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

Financial Particulars

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

YES NO

If **YES**, complete the following and provide details of circumstances leading to Bankruptcy/ Arrangement proceedings on an attachment page:

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

Date of Discharge/Completion (proposed date, dd/mm/yyyy):

Name of Trustee:

Address:

Telephone number:

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

YES NO

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



Have further details been provided on an attachment page?

YES NO

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

18. 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 **NO** to Q18, proceed to Q19.

If **YES** to Q18, 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

19. Are you the personal guarantor for someone else's debt or loan?

YES NO

If **NO**, proceed to Q20.

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.

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:

20. 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

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 for at least 12 months 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.

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

YES NO

If **YES**, proceed to Q22.

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

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 Declaration.

If **YES**, complete the following:

Financial Institution or creditor:

Total amount owing (\$):

Total amount in default (\$):

Number of days payment is overdue:

Financial Institution or creditor:

Total amount owing (\$):

Total amount in default (\$):

Number of days payment is overdue:

Financial Institution or creditor:

Total amount owing (\$):

Total amount in default (\$):

Number of days payment is overdue:

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, including the information provided in the Schedules appended.

Signature of applicant:

Date (dd/mm/yyyy):

Signature of witness:

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



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SCHEDULE C – Shares, Fixed Interest Security (bonds)

List below the information requested for all shares and bonds held or controlled by you. Whenever interest exists through a trust/mutual fund or holding company, the shares held by such trust/mutual fund or holding company need not be listed. Indicate publicly traded shares and bonds by an asterisk.*

Issuer	Types	Number of Shares or units	Purchase price	Date of purchase (dd/mm/yyyy)	Name in which held	Market value

SCHEDULE D – Business investment

List below the information requested regarding any business investment in which any direct, indirect, vested, or contingent interest is held by you, along with the names of all persons or entities that share a direct, vested or contingent interest therein. This should include but not be limited to joint ventures, partnerships, sole proprietorships and corporations. For those not solely held by you, indicate the percentage (%) you hold.

Entity	Type of entity	No. of shares* or units	% held	Purchase price	Date of purchase (dd/mm/yyyy)	Name in which held	Persons or entities sharing interest and percentage ownership	Market value

*Shares include US stocks



SCHEDULE E – Real Estate

List below the information requested regarding any real property in which any direct, vested, or contingent interest is held by you, along with the name of persons or entities who share direct, indirect, vested or contingent interest therein. For those not solely held by you, indicate the percentage (%) you hold.

Address/location	Type	Size	Purchase price/ improvements at cost	% held	Date of purchase (dd/mm/yyyy)	Other owners	Income	Market value

SCHEDULE F – Other assets

List below the information requested for all other assets held by you, (i.e. automobiles, personal property, cash surrender value of life insurance policies, pension plans, etc.).

Type of asset	Purchase price	Date of purchase (dd/mm/yyyy)	Market value	Other information



SCHEDULE G – Unsecured loans

List below the information requested for all unsecured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

SCHEDULE H – Secured loans

List below the information requested for all secured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

Unsecured loans = US notes payable

Secured loans = mortgages



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SCHEDULE I – Other liabilities

List below the information requested for any other indebtedness for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Description of liability	Collateral

SCHEDULE J – Contingent liabilities

List below the information requested for all contingent liabilities for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (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



Consent for Release of Information by Law Enforcement Agencies

Gambling Regulation Act 2003

In the matter of this application for approval as an associate of a registered bookmaker and for the purposes of ongoing monitoring by:

Name: _____
(Full name of associate)

Address: _____ ('associate')
(Full address of associate)

CONSENT

The associate hereby consents to all probity investigations carried out by the Victorian Commission for Gambling and Liquor Regulation (the VCGLR) and its staff, including but not limited to:-

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

- the Victoria Police;
- any State, Territory, federal or overseas police force;
- any crime investigation agency;
- any corporate regulatory agency;
- any gaming regulatory body;
- any casino regulatory body;
- any Court;
- any government agency.

(collectively referred to as 'law enforcement agencies')

(b) Release of particulars of any convictions, findings of guilt or other information recorded against me by the law enforcement agencies including, without limitation:-

- details of all prosecutions, including acquittals and matters withdrawn or dismissed and all findings of guilt, whether or not a conviction was recorded;
- matters or charges still outstanding;
- law enforcement agencies intelligence howsoever obtained;
- any other matters recorded as arising either in Victoria or elsewhere by any law enforcement agency and considered relevant by the VCGLR to the investigation or assessment of my application for approval as an associate of a registered bookmaker under the *Gambling Regulation Act 2003*.

RELEASE

Upon signing this consent, the associate hereby releases the VCGLR, each law enforcement agency and their servants, agents or contractors to the full extent of the law and against any claim or demands of any kind and any actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken or made in respect of the use or misuse of the information obtained out of this consent, including particulars of any conviction, findings of guilt or other adverse material purporting to relate to the associate.

ACKNOWLEDGMENT

I acknowledge having read and understood the terms of the consent and have noted that independent legal advice may be sought before signing this consent. This consent commences on the date below and continues until the later of:-

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

A photocopy of this form will be considered as effective and as valid as the original

EXECUTION AS A DEED

Signature of associate

Date (dd/mm/yyyy):

Signature of witness*

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

Registered bookmaker – approval as an associated individual
Financial Information Release Form

Gambling Regulation Act 2003

In the matter of this application for approval as an associate of a registered bookmaker and for the purposes of ongoing monitoring by:

Name: _____ of _____
(Full name of associate)

Address: _____ ('associate')
(Full address of associate)

The associate hereby authorises all **persons** who receive this **financial information release form** from the Victorian Commission for Gambling and Liquor Regulation (the VCGLR) and its staff to undertake the **authorised actions** for the **authorised purposes** as set out below:

AUTHORISED ACTIONS

1. To allow the VCGLR 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 or other fiduciary.
2. To answer written or verbal queries of, and to provide information (by any means) to the VCGLR to undertake the authorised actions, about the financial resources of the applicant.

RELEASE

In consideration of a bank, other financial institution, solicitor, accountant, financial adviser or any other person or organisation who has lent money to or borrowed from the applicant providing any of those particulars recorded against the applicant as detailed above under the heading "Authorised actions", **I hereby release** the VCGLR to the full extent of the law and against any claim or demands of any kind and any actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken or made in respect of the use or misuse of the information obtained out of this authorisation.

AUTHORISED PURPOSES

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

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

Signature of applicant: _____

Date (dd/mm/yyyy): _____

NOTES

1. A photocopy of this form will be considered as effective and as valid as the original.
2. A reference in this **financial information release form** to the VCGLR includes a reference to a member of its staff and any other person appointed in writing by the VCGLR.

Authorisation By Applicant Under Section 10.1.32(1)(A)

Gambling Regulation Act 2003

Who must complete this form?

This form must be completed for all persons requesting approval as an associate of an applicant for registration as a bookmaker or an applicant renewing a bookmaker's registration. Accordingly, if you ticked (a) or (b) in response to Q1, you **must** read the following important information and complete the form below. If you ticked (c) in response to Q1, indicating that you are seeking approval as a new associate of a currently registered bookmaker, you are **not** required to complete this form.

Important Information

This form will indicate your decision to authorise or not authorise the Victorian Commission for Gambling and Liquor Regulation (the VCGLR), and its staff to disclose the information outlined below. The VCGLR and its staff are bound by Division 6 of Part 1 of Chapter 10 of the Act, which contains strict confidentiality provisions. Any protected information that is recorded in this document is subject to Division 6 of Part 1 of Chapter 10 of the Act and cannot be disseminated except in accordance with those provisions.

If you circle 'AUTHORISES' below, you are authorising VCGLR staff, under section 10.1.32(1)(a) of the Act, to advise the applicant for registration as a bookmaker (to which this request for approval relates) that information obtained by the VCGLR in relation to your associate form requires further assessment or investigation. The final determination of the bookmaker's registration may be delayed pending outcome of the assessment/investigation of your associate form.

Your endorsement of the following form **does not mean** you allow the release of any information or details contained in your form, or the release of any information obtained by the VCGLR in the course of its investigations. The **only** information provided to the applicant for registration as a bookmaker will be the fact that the application will be delayed pending the outcome of the assessment/investigation of your associate form.

You do not have to authorise the VCGLR to release this information. However, if you do not it may significantly delay any application this associate form relates to.

Indicate your decision to authorise or not to authorise the release of this information by circling the appropriate choice in the below form. If you have any questions regarding this matter contact the VCGLR on telephone 1300 182 457 or email your enquiry at contact@vcglr.vic.gov.au.

AUTHORISATION BY ASSOCIATE

In accordance with section 10.1.32(1)(a) of the *Gambling Regulation Act 2003*,

Associate's details:

Name: _____
(Full name of associate)

Address: _____ ('associate')
(Full address of associate)

AUTHORISATION

The associate hereby **AUTHORISES / DOES NOT AUTHORISE (circle the appropriate statement)** the VCGLR and its staff to inform the applicant for registration as a bookmaker to which this associate form relates that determination of the application may be delayed due to assessment of my associate form requiring further or additional investigation.

Signature of associate:

Date (dd/mm/yyyy):

Attachment Page

NOTE:

Please copy if additional attachment pages are required.

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

YES

NO



Victorian Commission for
Gambling and Liquor Regulation

Victorian Commission for Gambling and Liquor Regulation
Level 3, 12 Shelley Street, Richmond VIC 3121
GPO Box 1988, Melbourne VIC 3001

Email contact@vcglr.vic.gov.au
Telephone 1300 182 457
vcglr.vic.gov.au
ABN 56 832 742 797



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 VCGLR. 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 VCGLR 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 vcglr.vic.gov.au. If you have any difficulties in accessing the Consent form contact the VCGLR at contact@vcglr.vic.gov.au or on 1300 182 457.

NPC Application Fee

You must choose the "National Name Check" NPC option. You can confirm the fee for this type of NPC at www.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 VCGLR 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 VCGLR application form];
- provide any preferred given name to appear on your licence [as stated in the Personal Particulars section of your VCGLR 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 VCGLR application form].

Note: If any such names are not shown in your NPC, your VCGLR 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 VCGLR 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 VCGLR 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 VCGLR 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 VCGLR application form, by writing to The Manager, Public Enquiry Service, Records Services Division, Victoria Police, PO Box 418, Melbourne Victoria 8005.



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 83 32 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 VCGLR application form];
- any **preferred** given name [as stated in the Personal Particulars section of your VCGLR 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 VCGLR 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 VCGLR application form. **If you fail to meet any of the requirements noted below, your VCGLR application form will be considered incomplete and returned to you.** Your Credit Report must:

- be original and not a photocopy;
- be submitted to the VCGLR 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 VCGLR application form.

