

Venue operator's licence – approval as a nominee

This package contains the application and information material for approval as a nominee of a venue operator.

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

Venue operator's licence – approval as a nominee

General Information

This section contains general information about the role of a nominee of a venue operator and the application process.

What is a nominee?

The Gambling Regulation Act 2003 (referred to in this form as the Act) requires that if a venue operator's licence is granted, the licensee must nominate, in respect of each approved venue, a natural person to be approved by the VCGLR to be responsible as the licensee on behalf of the venue operator. This provision ensures that one person is accountable for the management and control of each gaming venue, with the person nominated and approved being liable under the Act as licensee.

When must a nominee be proposed?

A natural person must be nominated as nominee within 60 days, or any longer period allowed by the VCGLR, after a licensee is notified that it has been granted a licence which includes approved gaming premises, or when a licence is amended to include approved gaming premises, or when the existing nominee resigns or is dismissed. It is not necessary to nominate a natural person where an application for a venue operator's licence does not include approved gaming premises.

What are the responsibilities of a nominee?

Nominees of a licensed gaming venue play an important role in the regulation of Victoria's gaming industry. Details of the nominee's role and responsibilities are outlined in the booklet "Being the Nominee of a Venue Operator: What you need to know". This booklet may be downloaded at vcglr.vic.gov.au.

What if a venue operator does not nominate a nominee or the nominee resigns?

If a venue operator fails to nominate an individual as nominee (or if the nominee has resigned, been dismissed) the directors or committee members of the body corporate/managing committee of the club are each individually responsible and liable under the Act as licensee until such a time as an individual is nominated and approved by the VCGLR.

How long does an approval last?

The approval of a nominee lasts for the life of the current venue operator's licence (approval may be affected if disciplinary action is required). An approved nominee may, within the life of the current venue operator's licence, be nominated with respect to more than one approved venue. In this circumstance each nomination requires a section 3.4.14 nomination form to identify the approved nominee for each approved venue.

Are you required to notify changes 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.

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).

What is a Nominee Identification Card?

Following approval as a nominee, you will receive a Nominee Identification Card. While wearing this card so that it is visible to other people, you are allowed to perform any duties of a gaming industry employee in relation to the venue of which you are nominee. You must surrender this card to the VCGLR if you cease to be a nominee.

Venue operator's licence – approval as a nominee

Before you complete the application form

Step 1: Obtain a police clearance:

- If you live in Australia or have lived in Australia for at least 12 months during the last 10 years, you are required to obtain a National Police Certificate (NPC) from either Victoria Police or the Australian Federal Police. Read 'Attachment 1 – National police certificate' at the back of this application for more information.
- If you have lived outside Australia for 12 months or more in the last 10 years, you may be required to obtain a police clearance from the country you lived in. Contact the VCGLR on 1300 182 457 to find out what information you need to provide to satisfy this requirement.

Step 2: Obtain your historical personal name extract from the Australian Securities and Investments Commission (ASIC) and/or an equivalent report from other jurisdiction/s. Read 'Attachment 2 – Historical personal name extract' at the back of this application for more information.

Step 3: Obtain a credit report:

- If you live in Australia or have lived in Australia for at least 12 months during the last 10 years, you are required to provide an Australian individual credit report that is no more than three (3) months old. Read 'Attachment 3 – Credit report' at the back of this application for more information.
- If you have lived outside Australia for 12 months or more in the last 10 years, you may be required to obtain a credit report from the country you lived in. Contact the VCGLR on 1300 182 457 to find out what information you need to provide to satisfy this requirement.

Step 4: Obtain one colour passport size photo and print your name on the back of the photo.

You are now ready to complete your application.

Directions for completing the application

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.

Your application must include the following:

- national police certificate
- historical personal name extract from ASIC
- credit report
- a passport size photo
- correct application fee
- any other document that forms part of your application.

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

Lodge your application with the VCGLR by mail, email or in person.

Application Fee

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

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).

Venue operator's licence – approval as a nominee

Details of company or incorporated association

1. This request for approval as a nominee relates to (mark applicable box and provide details below):

- an application for a new club venue operator's licence
- an application for a new hotel venue operator's licence
- an application for renewal of a club venue operator's licence
- an application for renewal of a hotel venue operator's licence
- an application as a new nominee of the holder of a current club venue operator's licence
- an application as a new nominee of the holder of a current hotel venue operator's licence

Venue operator's name:

Venue operator's licence number (if applicable):

Personal particulars

2. (a) Mr/Mrs/Miss/Ms (circle) Male Female

IMPORTANT INFORMATION

You **must** ensure that **all** names noted in Q2(a) - (d) are advised to the providers of your National Police Certificate and Credit Report.

First name:

Middle name(s):

Surname:

Date of birth (dd/mm/yyyy):

Place of birth (country/state or region):

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

(b) Preferred given name to appear on identity card:

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

YES NO

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

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

(d) Have you had any legal name changes?

YES NO

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

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Have further details been provided on an attachment page?

YES NO

3. Current residential address:

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

5. Contact details:

Telephone number (BH): Telephone Number (AH):

Mobile Number:

Email address:

6. Photographs:

Securely attach one (1) colour passport size photograph taken within the last three (3) months of this application. Ensure your name is clearly printed on the back of each photograph. It is recommended that you provide your photograph in a sealed envelope with your name clearly printed on the front of the envelope.

Securely attach the envelope to this page.

Complete the following:

(a) I have attached one (1) passport size photograph:

YES NO

Date photograph taken (dd/mm/yyyy):

IMPORTANT INFORMATION

Family members named in response to Q7 to Q10 are **not** required to complete an associate form as part of your request for approval. However, where investigations by the VCGLR highlight issues of concern, the VCGLR may determine that a completed associate form is required from one or more nominated family members. In this circumstance, you will be notified of the requirement for the provision of completed associate form/s and advised regarding the completion and lodgement of the required form/s.

7. Marital status:

Married Single De facto
Separated Divorced Widowed

Spouse/de facto:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

8. Nominee's parents, including both natural parents and step-parents.

Relationship to nominee:

Given names:

Surname:

Date of birth:

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):



Relationship to nominee:

Surname:

Given names:

Date of birth (dd/mm/yyyy):

Surname:

Relationship to nominee:

Date of birth (dd/mm/yyyy):

Given names:

Relationship to nominee:

Surname:

Given names:

Date of birth (dd/mm/yyyy):

Surname:

Relationship to nominee:

Date of birth:

Given names:

9. Nominee's brothers and sisters: List all, including half/step brothers and sisters.

Surname:

Relationship to nominee:

Date of birth (dd/mm/yyyy):

Given names:

Relationship to nominee:

Surname:

Given names:

Date of birth (dd/mm/yyyy):

Surname:

Relationship to nominee:

Date of birth (dd/mm/yyyy):

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Relationship to nominee:

Given names:



10. Nominees children: List all, including step and adopted children

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Relationship to nominee:

Given names:

Surname:

Date of birth (dd/mm/yyyy):

Racing and gambling history

11. Other than in Victoria, have you ever applied for any racing or gambling industry licence, approval, authorisation or registration?

YES NO

If **NO**, proceed to Q13.

If **YES**, in respect of each application complete (a) below & (b) over and proceed to Q12.

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

Type of licence, approval, etc:

Licence number (if known):

Name of racing/gambling regulator (if known):

Name shown on licence, approval, etc:

Licence/approval association dates (mm/dd to mm/dd):

to

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

Type of licence, approval, etc sought:

Licence number (if known):

Date of application (mm/yyyy):

Name of racing/gambling regulator (if known):



Reason for refusal or withdrawal:

Have further details been provided on an attachment page?

YES NO

12. With respect to Q11(a), other than in Victoria have you ever had a licence, approval, authorisation or registration suspended, cancelled, amended or revoked, or been the subject of disciplinary action by a racing or gambling regulatory body? (Note: Include details of any special conditions or restrictions imposed on a licence, approval, authorisation or registration)

YES NO

If **NO**, proceed to Q13.

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

Type of licence, approval etc:

Licence number (if known):

Name of gaming regulator (if known):

Date action taken (mm/yyyy):

Type of action taken, and reason:

Have further details been provided on an attachment page?

YES NO

13. Have you been a member of or been employed by the Victorian Commission for Gambling and Liquor Regulation within the last two years?

YES NO

Position held:

Date finished (mm/yyyy):

14. Have you ever been excluded from a casino either in Australia or overseas (list of excluded persons, book of cheats, Black Book – USA, etc)?

YES NO

If **NO**, proceed to Q15.

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

Have further details been provided on an attachment page?

YES NO

Other regulatory history

15. In Victoria or elsewhere, have you had any application for a liquor licence refused or has a liquor licence ever been suspended, revoked or been subject to any disciplinary action?

YES NO

If **NO**, proceed to Q16.

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

Licence number (if known):

Date action taken (mm/yyyy):

Name of regulator (if known):

Type of action taken, and reason:

Have further details been provided on an attachment page?

YES NO

16. In Victoria or elsewhere, have you ever had any other (non-gaming) licence, approval, authorisation or registration, suspended, cancelled, amended or revoked, or been the subject of disciplinary action by a regulatory body?

YES NO

(Note: Exclude your drivers licence and motor vehicle registration and include details of any special conditions or restrictions imposed on a licence, approval etc)

Type of licence, approval etc:

Licence number (if known):

Name of regulator (if known):

Date action taken (mm/yyyy):

Type of action taken, and reason:

Have further details been provided on an attachment page?

YES NO

Legal action

17. During the last 10 years, have you been personally named as either a defendant or a respondent in any legal action? (**Note:** Include any legal action of a private nature as well as any instances where you have been personally named as either a defendant or a respondent in your capacity as a director, secretary or committee member of a company or an incorporated association, as a partner in a partnership, or as a sole trader)

YES NO

If **NO**, proceed to Q18 (**Note:** Failure to disclose relevant legal action will delay determination of any new venue operator's licence connected to this application).

If **YES**, provide the following details for each action:

Name of legal action:

Plaintiff:

Jurisdiction*:

Result/settlement (indicate here if not finalised):

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

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

Date of delivery of judgement (if known, dd/mm/yyyy):

If a matter has been finalised you **must** provide a **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement, regardless of whether any terms of the agreement are confidential.

Copy of the court outcome or settlement agreement attached?

YES NO

Have further details been provided on an attachment page?

YES NO

18. During the last 10 years, has any legal action been taken against a company, incorporated association or partnership of which you were at the time a director, secretary or committee member or partner?

YES NO

If **NO**, proceed to Q19 (**Note:** Failure to disclose relevant legal action will delay determination of any new venue operator's licence connected to this application).

If **YES**, provide the following details for each action:

Nature of legal action:

Briefly describe how your responsibilities or actions related to this matter:

Plaintiff:

Jurisdiction*:

Result/Settlement (indicate here if not finalised):

Court or tribunal where matter was or will be heard (if applicable):

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

Date of delivery of judgement (if known, dd/mm/yyyy):

If a matter has been finalised you must provide a copy of independent documentation confirming the court outcome or, if settled out of court, a copy of the settlement agreement, regardless of whether any terms of the agreement are confidential.

Copy of the court outcome or settlement agreement attached?

YES NO

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.

Charges, findings of guilt and convictions

IMPORTANT INFORMATION

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) obtained by you from Victoria Police, or a **certified copy** of NPC obtained by you from the Australian Federal Police (refer to instructions at Attachment 1). Your NPC **must** be obtained not more than three (3) months before this form is lodged and you **must** ensure that **all** names noted in Q2(a)-(d) are shown.

If all such names are not shown in your NPC, your application will **not** be accepted.

You **must** advise details at Q20 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 Q20.

If you currently live outside Australia, or you have lived outside Australia for more than 12 months during the last 10 years, you are requested to seek an equivalent report from the relevant police agency in that jurisdiction*. An equivalent report, which must be an original document or a certified copy of the original document, would be expected to reveal details in relation to any convictions, findings of guilt (either with or without conviction) and any matters still outstanding against you.

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

YES NO

If **YES** to Q19(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 Q19(b), you are requested to seek an equivalent report from the relevant police agency which is an original document or a certified copy of the original document. If an equivalent report is not enclosed, provide an explanation on an attachment page.

Have further details been provided on an attachment page?

YES NO

20. Other than already disclosed in your NPC or any equivalent report from your local police agency:

(a) Have you ever been found guilty of any offence?

YES NO

(b) Is there any investigation or charge currently pending against you in respect of any offence?

YES NO.

(c) Have you ever participated in a Diversion Program?

YES NO

If **NO** to Q20(a), (b) & (c), proceed to Q21.

If **YES** to Q20(a), (b) or (c), provide details below in relation to each matter.

Nature of offence/charge:

Date (dd/mm/yyyy):

Jurisdiction*:

Result of Hearing or other disposition:

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

Business interests

IMPORTANT INFORMATION

Historical Personal Name Extract from the Australian Securities and Investments Commission (ASIC) and/or an equivalent report from other jurisdiction/s

Regardless of your place of residence, you are required to provide istorical Personal Name Extract from ASIC. 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 2 for further instructions for obtaining an extract from ASIC and for the type of information an equivalent report is expected to reveal.

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

YES NO

(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 Q22.

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 from the regulatory authority in any of those jurisdictions has not been enclosed on an attachment page.

Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

Q22 relates to any business interests, directorships or partnerships (either within or outside Australia), **not** disclosed in your ASIC Extract or any equivalent report. When completing Q22 you must disclose details of:

- **all** 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 three (3) years
- **all** 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 three (3) years.

22. List below any business interests, directorships or partnerships (either within or outside Australia), not disclosed in your Extract from ASIC or any equivalent report:

Have further details been provided on an attachment page?

YES NO

23. Have you ever been disqualified from acting as a director or company secretary of a company or are any like proceedings pending?

YES NO

If **NO**, proceed to Q24.

If **YES**, complete the following:

Date of disqualification (dd/mm/yyyy):

Jurisdiction*:

Reason for disqualification/proceedings:

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.

Financial particulars

IMPORTANT INFORMATION

When completing the statement of liabilities, you are required to provide details of all financial institutions/sources with which you have borrowings/liabilities of \$50,000 or more. As an example, all loans, debt or credit facilities \$50,000 or greater.

24. Statement of liabilities

(a) Property (including: residential home, holiday home, apartment, business premises, commercial property, investment property, etc.) where the mortgage is \$50,000 or greater.

(i) Property address:

Name of mortgagee:

Address of mortgagee:

Current market value:

Amount owing:

% share of ownership:

(ii) Property address:

Name of mortgagee:

Address of mortgagee:

Current market value:

Amount owing:

% share of ownership:



(b) Motor vehicles, boats, caravans, equipment and machinery (loans/credit \$50,000 or more).

(i) Description:

Name of credit provider:

Address of credit provider:

Current market value:

Amount owing:

% share of ownership:

(ii) Description:

Name of credit provider:

Address of credit provider:

Current market value:

Amount owing:

% share of ownership:

(c) Credit card/s you hold (e.g. Bankcard, MasterCard, Visa, store cards, etc.) owing \$50,000 or more.

(i) Name of credit provider:

Type of card:

Account number:

Total amount owing:

% share of responsibility:

(ii) Name of credit provider:

Type of card:

Account number:

Total amount owing:

% share of responsibility:

Have further details been provided on an attachment page?

YES

NO

(d) Financial institutions/sources, other than those already detailed at 24(a)-(c), with which you have borrowings (including all personal/business loans, debentures, overdraft facilities, etc) of \$50,000 or greater.

(i) Name of institution/source:

Address of institution/source:

Type of loan:

Account number:

Total amount:

% share of responsibility:

(ii) Name of institution/source:

Address of institution/source:

Type of loan:

Account number:

Total amount:

% share of responsibility:

(e) Individuals (including relatives and friends), companies or other organisations to whom you owe \$50,000 or more. Include the reason you owe money and the total amount owed.

(i) Name of person or organisation to whom you owe money:

Reason for loan:

Total amount:

% share of responsibility:

(ii) Name of person or organisation to whom you owe money:

Reason for loan:

Total amount: % share of responsibility:

YES NO
If **NO**, proceed to Q28.

Have further details been provided on an attachment page?

YES NO

25. Have you provided a personal guarantee which is still current to any person or corporation for any debt or loan facilities for \$50,000 or more?

YES NO

If **NO**, proceed to Q26.

If **YES**, is any person, including any corporation, in respect of whom you have given a guarantee for \$50,000 or more, 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 obtain a Credit Report if:

- you currently live in Australia
- you do not currently live in Australia but have lived in Australia at any time during the last 10 years
- you are or have been during the last 10 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*. You must ensure that all names noted in Q2(a)-(d) 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.

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

YES NO

If **YES**, proceed to Q27. 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

27. Apart from matters recorded in your Credit Report or any equivalent report from a relevant overseas jurisdiction, are you currently in default of any debt incurred solely or jointly in your name?

(Note: Do not include details unless a payment is overdue or in arrears)

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:

Have further details been provided on an attachment page?

YES NO

28. (a) Have you ever been declared bankrupt or been the subject of any insolvency arrangements, proceedings or related orders, in any jurisdiction*?

YES NO

If **NO**, proceed to Q28(b). 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):

Note: If you are a discharged bankrupt, a copy of your Certificate of Discharge From Bankruptcy must accompany this application (do not send the original certificate). Is a copy enclosed?

YES N/A

Name of Trustee:

Address:

Phone number:

(b) Are bankruptcy or any like proceedings pending?

YES NO

If **NO**, proceed to Q29.

If **YES**, provide details of circumstances leading to these proceedings below:

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.

29. Are you currently or have you been a director or officer of a company or incorporated association:

(a) which has been wound up, placed into liquidation (except members' voluntary liquidation), had a receiver, controller, administrator or agent for the mortgagee appointed, entered into a formal or informal scheme of arrangement (however it is described) or has been subject to any like proceedings?

YES NO

(b) where an investigation into the affairs of the company/ incorporated association has been authorised by the Australian Securities and Investments Commission or its predecessors under Australian Corporations Law, by the Registrar of Incorporated Associations under the Associations Incorporation Reform Act 2012, by the Australian Prudential Regulation Authority, by the Australian Competition & Consumer Commission exercising their statutory functions or by any other regulatory body or law enforcement agency?

YES NO

If **NO** to Q29(a) and (b), proceed to Declaration.

If **YES** to Q29(a) or (b), complete the following for each matter.

Company/incorporated association name:

Commencement date (dd/mm/yyyy):

Type of proceedings:

Circumstances leading to proceedings:

Details of administrator, liquidator, receiver, controller, regulatory body or law enforcement agency:

Name:

Phone number:

Have further details been provided on an attachment page?

YES NO

Declaration

I hereby:

- acknowledge that I have read and understood the questions in this application form and the directions for answering them
- confirm that I have answered the questions truthfully and completely to the best of my knowledge
- consent to all information relating to me, in or pursuant to this application form, whether provided verbally or in writing, being made available to the applicant for a venue operator's licence in the event that the information and material provided by me may raise matters which the VCGLR considers should be provided or discussed with the applicant.

Signature of applicant:

Date (dd/mm/yyyy):

Signature of witness (any adult can be a witness):

Print name of witness:

Payment details

IMPORTANT INFORMATION

The prescribed fee must accompany this application. Please note that once an application has been registered, the application fee is non-refundable.

Note: Go to www.vcglr.vic.gov.au/Fees-Fines to confirm the current fee.

The application fee can be paid by:

- cheque or money order, made payable to the Victorian Commission for Gambling and Liquor Regulation; or
- credit card by completing the appropriate details below.

Payment by credit card

Visa Mastercard

Amount:

Card number:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name of cardholder:

Card expiry date:

--	--	--	--	--	--	--	--

Signature

Date (dd/mm/yyyy):

--

Daytime telephone contact number of card holder:

Privacy – the VCGLR is committed to responsible and fair handling of personal information consistent with the Policy and Data Protection Act 2014 and its obligations under the Liquor Control Reform Act 1998. This page will be destroyed once your payment has been processed.



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Consent for release of information by Law Enforcement Agencies

Gambling Regulation Act 2003

In the matter of this application for approval as a nominee of a venue operator and for the purposes of ongoing monitoring by:

Name: _____ (Full name of applicant)

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

Consent

The applicant 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 a nominee of a venue operator under the *Gambling Regulation Act 2003*.

Release

Upon signing this consent, the corporation 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 corporation.

Acknowledgement

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 associated with the holder of a venue operator's licence; or
- the expiry of of any venue operator's licence (if granted).

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

Execution as a Deed

Signature of applicant

Date (dd/mm/yyyy):



Financial information release form

Gambling Regulation Act 2003

In the matter of this application for approval as the nominee of a venue operator and for the purposes of ongoing monitoring by:

Name: _____ of _____
(Full name of applicant)

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

I, the applicant, hereby authorise all **persons** who receive a photocopy of this **financial information release form** from the Victorian Commission for Gambling and Liquor Regulation (the VCGLR) to undertake the **authorised actions** for the **authorised purposes** as set out below:

Authorised actions

1. To allow the VCGLR and its staff or any other person appointed in writing by the VCGLR, to inspect and obtain a copy of any document, record or correspondence in the possession or under the control of any person, which contains information pertaining to the applicant (or to the applicant and another person and to any subsidiary, related body corporate, trust or partnership to which the applicant was a party), including but not limited to:
 - any loan information;
 - any information relating to an account held with a financial institution (passbook, statement or other), including information relating to withdrawals, deposits, transfers and balances;
 - any information (including trust account information) of any solicitor, accountant, real estate agent or other person who has the management or care of business or financial matters on behalf of the applicant;
2. To answer written or verbal queries of and to provide information (by any means) to the VCGLR and its staff or any other person appointed in writing by 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 make an assessment of the applicant's financial stability and that, in conducting on-going monitoring, an Applicant's continuing financial stability. This consent commences on the date below and continues until the later of:-

- the VCGLR considers that I am no longer associated with the holder of a venue operator's licence; or
- the expiry of any venue operator's licence (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 is a reference to a member of its staff and any other person appointed in writing by the VCGLR.



Nomination - venue operator's licence

Gambling Regulation Act 2003

Background

Under section 3.4.14 of the Gambling Regulation Act 2003 (the Act), if a venue operator's licence is granted to a body corporate or the managing committee of a club, the body corporate/managing committee must nominate, in respect of **each approved venue**, a natural person to be approved by the Victorian Commission for Gambling and Liquor Regulation (the VCGLR) to be responsible as licensee on behalf of the body corporate/managing committee. A person nominated and approved as a nominee is liable under the Act as licensee in respect of that approved venue.

Please note that, where a body corporate or the managing committee of a club fails to nominate a natural person to be the nominee of an approved venue, the directors of the body corporate/members of the managing committee are severally liable under the Act as licensee until such time as a natural person is nominated and approved by the VCGLR.

Similarly, where the nominee has ceased to be responsible as licensee in respect of an approved venue, the body corporate/managing committee of a club must nominate a new nominee for approval by the VCGLR. If a nominee is dismissed or resigns **before** VCGLR approval is obtained for a new nominee, the directors of the body corporate/members of the managing committee are severally liable under the Act as licensee until such time as a new nominee is approved by the VCGLR.

When must a nomination under section 3.4.14 of the Act be completed?

The following are circumstances requiring the completion of the nomination under section 3.4.14 of the Act, with respect to each approved venue:

- when an application is made for a venue operator's licence, the grant of which is proposed to include an approved venue (i.e. simultaneous application for a venue operator's licence and application to include approved premises)
- when an application is made to amend a venue operator's licence to include approved premises
- when a new nominee is required to replace a former nominee (e.g. as a result of the resignation or dismissal of a nominee or if the previous nominee has ceased to be responsible as licensee in respect of an approved venue).

Nomination under section 3.4.14

Gambling Regulation Act 2003

(Name of venue operator)

authorises the nomination of

(Venue operator's licence number)

(Full name of proposed nominee)

to be responsible as licensee for

(Approved premises name)

Premises approval number. (if known)

Signature of authorised officer:

Date (dd/mm/yyyy):

Signature of proposed nominee

Date (dd/mm/yyyy)

Print the full name of authorised officer on behalf of venue operator:

Note: In circumstances where there are no approved premises to be included on a venue operator's licence as yet, state N/A (not applicable) in response to 'Approved premises name' and 'Premises approval number'. A full summary of circumstances requiring the completion of a nomination under section 3.4.14 of the Act is contained in the accompanying information pages.



Attachment 1 - National police certificate

Requirement to obtain a National police certificate

If you live in Australia or have lived in Australia for at least 12 months during the last 10 years, you are required to obtain a National police certificate (NPC) from Victoria Police or the Australian Federal Police as part of your application to the VCGLR. Please note that Victoria Police requires approximately 20 working days to issue a NPC.

Important information

It is important that you follow the instructions on how to apply for a NPC so that it meets the VCGLR's requirements.

Your NPC must show the following information:

- That it was issued by Victoria Police or by the Australian Federal Police
- Type of check: National name check
- Reason for the check: Casino or gaming licence
- Personal details: Your correct date of birth, current name and previous names in full (first name, all middle names and surname). You should also include an alias that you may have or have previously had, as well as a preferred first name¹.
- That it is an original document if issued by Victoria Police or a certified copy if issued by the Australian Federal Police.
- That it is current and no more than three (3) months old when you submit your application.

¹ Preferred first name: Your identity card will, by default, have your first name at the front of the card. However, you may opt to use your Anglicised name or your commonly known name at the front. If your preferred name is not exactly the same as your first name your NPC must include that name. For example if your first name is Joseph and your preferred name is Joe, you must state both names on your NPC application and have both names shown on your NPC.

Application fees

Fees are charged for an NPC. For the current fee go to the Victoria Police or the Australian Federal Police website and search for 'National Police Certificate'.

Disclosures

All matters detailed on your NPC will be taken into consideration by the VCGLR when making an 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 submitting your application to the VCGLR by writing to the:

Manager, Public Enquiry Service

Records Services Division, Victoria Police

GPO Box 919, Melbourne, Victoria 3001.

Attachment 2 - Historical personal name extract from the Australian Securities & Investments Commission (ASIC)

Background

The Historical Personal Name Extract is a printout provided by 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
- Receiver
- Member of a Futures Exchange
- Appointed Liquidator
- Representative Futures
- Petitioner Court Action
- Director
- Secretary
- Local Agent
- Appointed Auditor
- Representative
- Official Manager
- Deputy Official Manager
- Scheme Manager
- Provisional Liquidator

When making your search application to ASIC, ensure that you specify that you require Historical Personal Name Extract and not a Current Personal Name Extract. The 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 the 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:

- Current Personal Name Extract rather than a Historical Personal Name Extract
- dated more than three (3) months from the date your application is lodged.

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

The 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.

Website: asic.gov.au

Email: info.enquiries@asic.gov.au

ASIC's Infoline: 1300 300 630

Attachment 3 - Credit report

You must obtain a Credit Report if you currently reside 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 Dun & Bradstreet Australia (D&B) or My Credit File (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.

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)
- 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.

Your Credit Report must:

- 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)
- 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 below) and resolve the issue/s prior to lodging your VCGLR application form.

How to obtain your credit report

Dun & Bradstreet Australia

D&B offers two timescales for delivery. The 'standard service' allows for your Credit Report to be supplied to you free of charge in 10 business days. This report may be received via mail, or via an online account created specifically for you. The 'instant access' service allows you to view your report within 24 hours online or have it delivered by express post (refer to D&B website for the current fee).

The D&B 'My Credit Report' form can be completed online at dnb.com.au (secure site) or alternatively, you may contact D&B on 13 23 33 (+61 3 9828 3333 for international callers) or at clientservices@dnb.com.au to arrange for provision of your Credit Report. D&B's 'Frequently Asked Questions' may be viewed at www.checkyourcredit.com.au/FAQs.

My Credit File

A credit report may be obtained from My Credit File by either:

- applying online, by going to www.mycreditfile.com.au; or
- phoning My Credit File on 13 83 32 to request that a form be mailed to the applicant and submitting the form to My Credit File, by post, fax or email, as addressed on the form.

My Credit File will advise the cost of obtaining a credit file

Attachment page

NOTE:

This attachment page is provided for additional information that requires more space than that provided in the original question. Precede your entry with the question number and title to which the additional information relates.

Please copy if additional attachment pages are required.

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

YES

NO

