

Commercial raffle organiser's licence – approval as an associated individual

MARCH 2016
CD/15/229152

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

How to apply

Send application to:

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

or lodge in person at:

49 Elizabeth Street
Richmond

Need help?

For more information on how to apply:

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



Request for approval as an associate of a commercial raffle organiser

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IMPORTANT INFORMATION

This application is an important part of the approval process for a new Commercial Raffle Organiser's Licence, which cannot be granted by the Victorian Commission for Gambling and Liquor Regulation (VCGLR) until all associates of the applicant have been identified and approved. Current licensees must ensure that this form is submitted for approval of all new associates.

A new Commercial Raffle Organiser's Licence application will not be accepted by the VCGLR if an incomplete associate form is submitted. In such circumstances, the full application will be returned to the applicant with instructions that the relevant associate form is incomplete and must be completed before the application will be accepted. Accordingly, it is crucial that you review this associate form and Lodgement Guide (see page 3) to ensure it is fully completed and that **all** required attachments are provided. This simple check could save unnecessary delays in registration and processing time of any new Commercial Raffle Organiser's Licence application connected to this application. **Note:** The application form will be returned if a response to every applicable question is not provided or if all required attachments are not enclosed or if the correct application fee is not paid.

Application fee

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

False or Misleading Information

It is an offence under the *Gambling Regulation Act 2003* (referred to in this form as 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 www.vcglr.vic.gov.au to confirm the current value of a penalty unit).

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.

Are you required to notify changes following determination of your application?

If approval is granted, you will also be given a set of Directions which give 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, disciplinary action may be taken against you and/or you may be prosecuted and fined up to 60 penalty units.

Privacy Policy Statement

The VCGLR 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 *Gambling Regulation Act 2003*. Go to vcglr.vic.gov.au to access this Act.

Lodgement of Associate Forms

Associate documentation forms part of an application for a new Commercial Raffle Organiser's Licence or an application to renew a Commercial Raffle Organiser's Licence under section 8.5A.12 of the *Gambling Regulation Act 2003* (referred to in this form as the Act) and must be forwarded to the VCGLR as part of that licensing application.

The VCGLR is aware of the confidentiality of personal information provided in associate forms. Accordingly, associate forms may be lodged with an application for a Commercial Raffle Organiser's Licence in a sealed envelope with instruction that it may only be opened after it has been lodged with the VCGLR.

Where an associate has failed to provide necessary information, the associate form will be returned in a sealed envelope (marked 'strictly confidential' and 'to be opened by addressee only') to the applicant for a Commercial Raffle Organiser's Licence (or the authorised officer on behalf of the applicant to arrange completion by the associate and re-lodgement of the form with the VCGLR).

LODGEMENT GUIDE

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, state N/A (not applicable) in response.
- ANY QUESTION NOT ANSWERED OR LEFT BLANK WILL RESULT IN THE APPLICATION FORM BEING RETURNED.
- If the space available is insufficient, please supply the required information on an attachment page. Begin each answer with the title and reference of that question.
- Prior to lodging this application please ensure that you have attached all required items listed below.

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 10 for full details*
 - Apply for your Credit Report and/or an equivalent report from the relevant overseas agency – *Refer to Attachment 3 and Page 11 for full details*
 - Apply for your Historical Personal Name Extract and/or an equivalent report from an overseas agency – *Refer to Attachment 1 and page 6 for full details*
-

STEP 2:

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 any other required documents
-

STEP 3:

- Attach application fee or if paying by credit card provide details on the payment details page.
 - Lodge form with VCGLR
-

Request for approval as an associated individual of a commercial raffle organiser

Office Use Only

Allocation Date: / /

Associated Individual No:

Assigned to (Print name):

Details of Applicant or Licensee

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

- (a) an application for a new Commercial Raffle Organiser's Licence
- (b) an application for Renewal of a Commercial Raffle Organiser's Licence
- (c) an application as a new associate of the holder of a current Commercial Raffle Organiser's Licence

Commercial Raffle Organisers name:

Commercial Raffle Organiser's Licence number (if applicable): /

2. Reason for classification as an associate (tick appropriate box/es):

- (a) Company director/secretary of the applicant or licence holder
- (b) Committee member of the applicant or licence holder
- (c) Company director/secretary of an associated entity of the applicant or licence holder:

Associated Entity's Name:

(If you are a company director/secretary of **more than one** associated entity, provide the name of **each** entity on an attachment page)

- (d) Committee member of an associated entity of the applicant or licence holder:

Associated Entity's Name:

(If you are a committee member of **more than one** associated entity, provide the name of **each** entity on an attachment page)

- (e) Shareholder of the applicant or licence holder
- (f) Shareholder of an associated entity of the applicant or licence holder:

Associated Entity's Name:

(If you are a shareholder of **more than one** associated entity, provide the name of **each** entity on an attachment page)

- (g) Authorised officer for the applicant or licence holder
- (h) Appointor or unit holder of a trust linked to the applicant/licensee/ associated entity who, by virtue of the Trust Deed, is empowered individually or as a group to remove/change the Trustee or to influence the Trustee's decisions.

- (i) **Other** - Explain reason for classification as an associate:

.....

3. Have you ticked either Q2 (b) or (d)? YES NO

If **NO**, proceed to Q4. If **YES**, you **must** provide a copy of the minute or resolution showing both your appointment to the committee of management and **all** current committee members of the applicant, licence holder or associated entity (whichever are applicable).

Have you attached a copy of the minute or resolution? YES

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Personal Particulars

IMPORTANT INFORMATION

You **must** ensure that **all** names noted in Q4(a), (b) & (c) are advised to the providers of your National Police Certificate and Credit Report.

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

.....
Surname First Name Middle Name(s)

Date of Birth:/...../..... Place of birth:/.....
(day/month/year) Country State or region

Arrival date in Australia (if applicable):/...../.....
(day/month/year)

(b) Are you currently known or have you previously been known by another name(s), including any alias(es), Anglicised name(s), maiden name, married name(s) and name(s) changed via deed poll? YES NO

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

Name Changed From	Name Changed To	Date of change
...../...../.....
...../...../.....

(c) Have you had any legal name changes? YES NO

If **NO**, proceed to Q2. If **YES**, provide additional details below:

Name Changed From	Name Changed To	Date of change
...../...../.....
...../...../.....

Have further details been provided on an attachment page? YES NO

5. Current residential address:

.....
No. Street
.....
City/Town/Suburb State Postcode

6. Postal address (if same as Q5, write 'as above'):

.....
No/PO Box Street
.....
City/Town/Suburb State Postcode

7. Contact Details:

Phone No. (AH): Phone No. (BH):

Mobile No: Fax No:

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 **original** 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.

- 8.(a) Is your **original** 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 Q9. 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

Q9 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 Q12 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 3 years; and
- **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 3 years.

9. 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

10. 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 Q11. If **YES**, complete the following:

Date of disqualification:/...../..... Jurisdiction*:
(day/month/year)

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

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13. Have you been a member of or been employed by the Victorian Commission for Gambling and Liquor Regulation or its predecessors within the last four years? YES NO

If **NO**, proceed to Q14. If **YES**, provide details below:

Position Held: Date finished:/.....
(month/year)

Other Regulatory History

14. 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? (**Note:** Exclude your driver licence and motor vehicle registration and include details of any special conditions or restrictions imposed on a licence, approval etc) YES NO

If **NO**, proceed to Q15. If **YES**, provide details below:

.....
Type of licence, approval etc

.....
Licence No. (if known)

.....
Name of Regulator (if known)

...../.....
Date action taken (mth/yr)

Type of action taken and reason:
.....
.....
.....

Have further details been provided on an attachment page? YES NO

Legal Action

15. 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 Q16. If **YES**, provide the following details for each action:

Nature 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 no. issued by court/tribunal: Date of delivery of judgement:/...../.....
(if known) (if known) (day/month/year)

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

Have further details been provided on an attachment page? YES NO

16. 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 Q17. 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 no. issued by court/tribunal: Date of delivery of judgement: .../...../.....
(if known) (if known) (day/month/year)

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

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 (refer to instructions at Attachment 2). Your NPC **must** be obtained not more than 3 months before this form is lodged and you **must** ensure that **all** names noted in Q4(a), (b) & (c) are advised to Victoria Police when applying for your NPC. If all such names are not shown in your NPC, your application will **not** be accepted. To confirm the fee for your NPC, go to www.vcglr.vic.gov.au/Fee-Name-Check.

You **must** disclose details at Q18 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 Q18.

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

17.(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 Q17(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 Q17(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

18. 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 Q18(a), (b) and (c), proceed to Q19. If **YES** to Q18(a), (b) or (c), provide details below in relation to each matter.

Nature of Offence/Charge

Date:/...../..... Jurisdiction*:
(day/month/year)

Result:
Result of Hearing or other Disposition (if known)

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

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Financial Particulars

19. 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 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 Q19(a) and (b), proceed to Q20. If YES to Q19(a) or (b), complete the following for each matter.

..... / /
Company/Incorporated Association Name Commencement Date (Day/Month/Year)

Type of proceedings:

Circumstances leading to proceedings:

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

Name: Ph No: (.....)

Have further details been provided on an attachment page? YES [] NO []

IMPORTANT INFORMATION

You must obtain an original 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 or 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 Q4(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.

20. Have you enclosed your original Credit Report or an equivalent report from the relevant agency in your jurisdiction? YES [] NO []

If YES, proceed to Q21. 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 []

21. 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 Q22. 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 []

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22. 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)

YES NO

If **NO**, proceed to Q23. If **YES**, complete the following:

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

23. (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 Q23(b). If **YES**, complete the following and provide details of circumstances leading to bankruptcy/arrangement proceedings on an attachment page.

Date of Bankruptcy/Arrangement: / /
(day/month/year)

Date of Discharge/Completion (proposed date): / /
(day/month/year)

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

Name of Trustee:

Address:
No. Street City/Town/Suburb

.....
State Postcode (.....) Telephone Number

(b) Are bankruptcy or any like proceedings pending? YES NO

If **NO**, proceed to Declaration. 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

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.

..... Date: / /
Signature of applicant (Day/Month/Year)

.....
Signature of witness (Any adult can be a witness) Print name of witness

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

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

Card type MasterCard Visa **Amount \$**

(tick appropriate box)

Card Number **Expiry Date**

Name Shown on Card

Cardholder's Signature

Daytime telephone contact number of cardholder

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Gambling Regulation Act 2003

AUTHORISATION BY APPLICANT UNDER SECTION 10.1.32(1)(a)

Who must complete this form?

This form must be completed for **all** persons requesting approval as an associate of an applicant for a new Commercial Raffle Organiser's Licence or an applicant renewing a Commercial Raffle Organiser's Licence. 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 the holder of a current Commercial Raffle Organiser's Licence, 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 a Commercial Raffle Organiser's Licence (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 Commercial Raffle Organiser's Licence application 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 a Commercial Raffle Organiser's Licence will be the fact that the application for such a licence 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:
(Print 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 a Commercial Raffle Organiser's Licence to which this associate form relates that determination of the Commercial Raffle Organiser's Licence application may be delayed due to assessment of my associate form requiring further or additional investigation.

Signature of associate:..... Date:/...../.....
(Day/Month/Year)

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Gambling Regulation Act 2003

Financial Information Release Form

In the matter of this application for approval as an associate of a commercial raffle organiser and for the purposes of ongoing monitoring by:

Name:
(Print Applicant's Name)

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

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 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 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 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 applicant 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 commercial raffle organiser; or
- * the expiry of any commercial raffle organiser's licence (if granted).

Signed:
Applicant's signature

Dated: / /
(Day/Month/Year)

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.

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Gambling Regulation Act 2003

Consent for Release of Information by Law Enforcement Agencies

In the matter of this application for approval as an associate of a commercial raffle organiser 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 crime investigation agency;
 - * any gambling regulatory body;
 - * any Court;
 - * any State, Territory, federal or overseas police force;
 - * any corporate regulatory agency;
 - * any casino regulatory body.
 - * 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 to the investigation or assessment of my application for approval as an associate of a commercial raffle organiser under the *Gambling Regulation Act 2003* to the VCGLR.

RELEASE

Upon signing this consent, the Applicant 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 Applicant.

ACKNOWLEDGEMENT

I acknowledge having read and understood the terms of the consent and the release and have noted that independent legal advice may be sought before signing this consent. 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 commercial raffle organiser; or
- * the expiry of any commercial raffle organiser'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

Dated: / /
(Day/Month/Year)

.....
Signature of Witness

.....
Printed Name of Witness (any adult can be a witness)

General Information

How long does an approval last?

The approval of an associate lasts for the life of the current Commercial Raffle Organiser's Licence (approval may be affected if disciplinary action is required). An approved associate may, within the life of the current Commercial Raffle Organiser's Licence, be associated with respect to more than one approved venue.

What is an Associate?

For the purposes of 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.

Section 1.4 (3) of the Act provides the following definitions:

- * **"relative"** means spouse (including de facto spouse), parent, child or sibling (whether of the full or half blood);
- * **"relevant financial interest"**, in relation to a business, means –
 - (a) any share in the capital of the business; or
 - (b) any entitlement to receive any income derived from the business; or
 - (c) any entitlement to receive any payment as a result of money advanced.
- * **"relevant position"**, in relation to a business, means the position of director, manager, or other executive position or secretary, however that position is designated;
- * **"relevant power"** means any power, whether exercisable by voting or otherwise and whether exercisable alone or in association with others –
 - (a) to participate in any directorial, managerial, or executive decision; or
 - (b) to elect or appoint any person to any relevant position.

This form must be completed by all persons who qualify as an 'associate' in accordance with the above definition. Examples of persons captured as associates include, but are not limited to, the following:

- each director, public officer, chief executive, chief financial officer, committee member or board member of the applicant/licensee or associated entity(ies);
- shareholders who own 10% or more of shares of the applicant/licensee or associated entity(ies) with either voting rights and/or income entitlements;
- all committee members (or members of the board of management of the club);
- partners with a partnership interest of 10% or greater in income or for voting entitlements of the applicant/ licensee or associated entity(ies);
- where the applicant/licensee or associated entity(ies) is a trust, the trustee of the trust. In the case of a corporate trustee, all directors of that trustee company;
- trust unit holders or beneficiaries who, by virtue of the Trust Deed, have voting rights enabling them to remove or change the trustee, or to influence the decisions of the trustee; and
- any associate who could exercise a significant influence over or with respect to the management or operation of the gaming machine business.

Subsequent investigations may reveal additional associates of an applicant/licensee. These persons (or entities) will be required to complete and lodge an appropriate associate form.

Additional Information and Finger and Palm Printing

To allow it to consider your suitability, the VCGLR may determine that information additional to that requested in this form is required. It may also be necessary for you to consent to have your photograph and finger and palm prints taken. In these circumstances, you will be contacted directly to make the necessary arrangements or to provide additional information. If the VCGLR determines that you are unsuitable to act as an associate, your finger and palm prints will be destroyed. If approved as suitable by the VCGLR, your finger and palm prints will be destroyed when your association with the gambling industry ceases. This will be confirmed in writing by the VCGLR.

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:
- it **must not** be dated more than three (3) months from the date your application is lodged; and
- the **original** Historical Personal Name Extract must be lodged (ie. **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: 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, vcglr.vic.gov.au/Police-Consent-Form. 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 "*Nsational Name Check*" NPC option. You can confirm the fee for this type of NPC at vcglr.vic.gov.au/Fee-Name-Check.

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 an **original** 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 Dun & Bradstreet Australia (D&B) or Veda Advantage (Veda). 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

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 current fee).

The D&B 'My Credit Report' form can be completed online at dnbcreditreport.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 dnbcreditreport.com.au/faqs/

VEDA ADVANTAGE

To obtain your Credit Report from Veda, you must submit the 'My Credit File – Request by Gaming or Racing Applicant' form by post, fax or email, as addressed on the form (refer to the form for current fee). The Credit Report will be forwarded within one business day. This form may be downloaded at mycreditfile.com.au or alternatively, you may contact Veda on 1300 921 621 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.