

# Registered bookmaker – approval as a nominee of a corporation

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CD/15/62976

**This package contains the application and information material for approval as a nominee of a bookmaking corporation.**

## 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 for a liquor or gambling licence or permit:

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



# Request for approval as a nominee of a registered bookmaker

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### **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 this Act go to [www.vcglr.vic.gov.au](http://www.vcglr.vic.gov.au)).

# IMPORTANT INFORMATION

## **Directions for Completion**

- Ensure that you type or print in BLOCK LETTERS an answer to every question.
- If a question does not apply to you or if there are no details to disclose in response to a particular question, state N/A in response.
- If there is not enough space on the form for your answer, please supply the required information on an attachment page. Begin each answer with the question number.
- The application form will be returned if you don't provide a response to all applicable questions and ensure all required attachments are enclosed (**Note:** There is currently **no** fee payable for this application)

## **What is a nominee?**

The *Gambling Regulation Act 2003* (the Act) requires that if approval is granted for a corporation to be a registered bookmaker, it must nominate a natural person to be approved by the VCGLR to be responsible as the nominee on its behalf. This provision ensures that one person is accountable for the management and control of the bookmaking business, with the person nominated and approved being liable under the Act as a registered bookmaker. The nominee is responsible for ensuring that the bookmaking business is operated in accordance with legislative and regulatory provisions. The VCGLR must receive notification in writing within 14 days if you resign or cease to be the nominee. The registered bookmaker then has 60 days, or longer period allowed by the VCGLR, to nominate and make an application for another person to be the bookmakers' nominee.

## **What is a Nominee Identification Card?**

You will receive a Nominee Identification Card following approval, which must be worn so that it is visible to other people while working at an approved racecourse and must be surrendered to the VCGLR if you cease to be a nominee.

## **Requirements for Notification of Change**

### ***While your application is in progress***

Between lodging this form and its determination by the VCGLR, you must notify the VCGLR in writing about any changes to the information you have provided (including any documents lodged with the application). Failure to provide the VCGLR with updated information may result in the application being refused, or any registration granted being subsequently cancelled.

### ***Following grant of approval***

If approved, you will be given a set of Directions which gives you an ongoing responsibility to notify the VCGLR within 14 days of specified changes in your situation. If you fail to do so you may be prosecuted and fined up to 60 penalty units.

## **False or Misleading Information**

It is an offence under the Act to give information that is false or misleading. If you give false or misleading information, your application may be refused and/or you may be prosecuted and fined up to 60 penalty units.

## **How long does an approval last?**

An approval continues until either the VCGLR considers that you are no longer a nominee or associate of a registered bookmaker or for the life of the bookmaker's current registration.

## IMPORTANT INFORMATION

This information will help you complete the process to apply for approval as nominee of a registered bookmaker.

### 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 Victoria Police. Read '**Attachment 1** – National Police Certificate' at the back of this application for more information.

**and**

- 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 months old. Read '**Attachment 3** – Credit Report' at the back of this application for more information.

**and**

- 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 two colour passport size photos and print your name on the back of each photo.

**You are now ready to complete your application – proceed to Step 5.**

Step 5: Complete this application form, ensuring the information you provide is accurate.

Step 6: Lodge your application with the VCGLR by mail or in person.

**Your application must include the following:**

- National Police Certificate
- Historical Personal Name Extract from ASIC
- Credit report
- Passport size photos and
- any other document that forms part of your application.

**Please note:**

- Address: The VCGLR's postal and physical addresses are located on the cover page of the application form or at [www.vcglr.vic.gov.au](http://www.vcglr.vic.gov.au).

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<h2 style="margin: 0;">Request for approval as a nominee of a registered bookmaker</h2>	<p style="text-align: right; margin: 0;"><b>Office Use Only</b></p> <p>Registering Officer (Print Name): .....</p> <p>Registering Officer (Signature): .....</p> <p>Date Received: ...../...../.....</p> <p>Nominee No: .....</p> <p>Assigned to (Print name): .....</p>
---	--

**Details of Company**

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

(a)  an application for new registration as a bookmaker;

(b)  an application for renewal as a registered bookmaker; or

(c)  an application as a new nominee of a currently registered bookmaker.

Registered bookmaker's name .....

Bookmaker's registration number (if applicable): ...../.....

**Personal Particulars**

**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.

2. (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) 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**, list other name/s: .....

.....

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

If **NO**, proceed to Q3. If **YES**, provide additional details below:

(i) Date changed to current name: ...../...../.....

(day/month/year)

Name prior to change: .....

(ii) Date changed to previous name (if applicable): ...../...../.....

(day/month/year)

Name prior to change: .....

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

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**3. Current Residential Address:**

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

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

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

**5. Contact Details:**

Phone No. (AH): ..... Phone No. (BH): .....  
 Mobile No: ..... Fax No: .....  
 Email Address: .....

**6. PHOTOGRAPHS:**

Securely attach 2 colour passport size photographs taken within the last 3 months to this application. Do not cut or separate passport photographs. Ensure your name is clearly printed on the back of each photograph. It is recommended that you provide your photographs in a sealed envelope with your name clearly printed on the front of the envelope. Securely attach the envelope to this page.

**Attach colour passport photographs here**

**Complete the following:**

(a) I have attached 2 passport size photographs: YES   
 (b) Date photographs taken: ...../...../.....  
 (day/month/year)

**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 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: .....  
 First Name Middle Name (s) Surname  
 Date of Birth: ...../...../.....  
 (day/month/year)

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

Relationship to Nominee	First Name	Middle Name (s)	Surname	Date of Birth
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....

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

Relationship to Nominee	First Name	Middle Name(s)	Surname	Date of Birth
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....

**10.** Nominee's children: List all, including step and adopted children.

Relationship to Nominee	First Name	Middle Name(s)	Surname	Date of Birth
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....
.....	.....	.....	.....	...../...../.....

**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) and (b) below and proceed to Q12.

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

.....  
Type of licence, approval etc Licence No. (if known)

.....  
Name of Racing/Gambling Regulator (if known) Name shown on licence, approval etc

Licence/Approval Association dates: ..... / ..... to ..... / .....  
(month/year) (month/year)

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

.....  
Type of licence, approval etc sought Licence No. (if known)

.....  
Date of application (month/year) Name of Racing/Gambling Regulator (if known)

Reason for refusal or withdrawal: .....

.....

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

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**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 No. (if known)
..... Name of Racing/Gambling Regulator (if known)	...../ Date action taken (month/year)

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 four years? YES  NO

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

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

**14.** Have you ever been excluded from a racecourse or 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 below.

.....

.....

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

**Other Regulatory History**

**15.** In Victoria or elsewhere, have you ever had any other (non racing or gambling) licence, approval, authorisation or registration suspended, cancelled, amended or revoked, or been the subject of disciplinary action by a regulatory body? (**Note:** Exclude your drivers 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 Q16. If **YES**, provide details below:

..... Type of licence, approval etc	..... Licence No. (if known)
..... Name of Regulator (if known)	...../ Date action taken (month/year)

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

.....

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



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**Legal Action**

**Note:** A business association includes cases where you are or were a:

- director or company secretary of a company;
- partner in a partnership; or
- office holder of an incorporated association

at the time the legal action was taken against the company, partnership or incorporated association.

**16.** During the last 10 years, have you been, either personally or via a business association, a defendant or respondent in any finalised legal action? YES  NO

If **NO**, proceed to Q17. If **YES**, provide the following details:

The legal action was (*tick appropriate box*): personal  via business association

If via a business association, describe below how your responsibilities or actions related to the legal action.

.....  
.....

Nature of legal action: .....

Plaintiff: ..... Jurisdiction\*: .....

Result/Settlement: .....

Court or tribunal where matter was heard: .....

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

A **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement **must** be provided, regardless of whether any terms of the agreement are confidential.

Is a copy of the court outcome/settlement agreement attached? YES  N/A

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

**17.** Is there any legal action currently being pursued against you, whether personally or via a business association? YES  NO

If **NO**, proceed to Q18. If **YES**, provide the following details for each action:

The legal action is (*tick appropriate box*): personal  via business association

If via a business association, describe on an attachment page how your responsibilities or actions relate to the legal action.

Nature of legal action: .....

Plaintiff: ..... Jurisdiction: .....

Court or tribunal where matter is scheduled to be heard (if applicable): .....

...../...../.....  
Case no. issued by court/tribunal (if known) Next scheduled hearing date (if known) (day/month/year)

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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**Charges, Findings of Guilt and Convictions**

**IMPORTANT INFORMATION**

**Persons Living in Australia**

If you currently live in Australia or if you have lived in Australia for at least 12 months during the last 10 years this form **must** be accompanied by your **original** National Police Certificate (NPC) from the Victoria Police (refer to instructions at Attachment 1). The NPC you provide **cannot** be a copy and **must** be obtained not more than 3 months before this form is lodged.

You **must** advise details at Q19 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 Q19.

You **must** ensure that **all** names noted in Q2(a) - (d) are advised to the Victoria Police when applying for your NPC. If all such names are not shown in your NPC, your application will **not** be accepted.

**Persons Living outside Australia**

If you live outside Australia, to assist the VCGLR with its investigations you must seek an equivalent report from your local Police Agency. An equivalent report would be expected to reveal details in relation to any convictions, findings of guilt (either with or without conviction) and any matters still outstanding against you.

**18. (a)** Do you currently live in Australia or have lived in Australia for at least 12 months during the last 10 years? YES  NO

If **YES** to Q18(a), a 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 Q18(b), an equivalent report from the relevant Police Agency must be provided and if an equivalent report is not enclosed, you **must** provide an explanation on an attachment page.

**19.** 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 Q19(a), (b) and (c), proceed to Q21. If **YES** to Q19(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

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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**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 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 2 for further instructions for obtaining an extract from ASIC and for the type of information an equivalent report is expected to reveal.

**20. (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 Q21. 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 below.

.....  
.....

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

**IMPORTANT INFORMATION**

Q21 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 Q21 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.

**21.** 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

**22.** 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 Q23. 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

**Financial Particulars**

**23.** 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 Q24. 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 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 of officeholder of an Australian company.

If your circumstances do not meet the criteria noted above, a Credit Report is **not** required. **Note:** If you live or have lived outside Australia for at least 12 months during the last 10 years you are requested to submit an equivalent report from the relevant agency in that jurisdiction\*.

The Credit Report you obtain cannot be more than 3 months old when you lodge this application and you **must** ensure that **all** names noted in 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.

**24.** Have you enclosed your **original** Credit Report and/or an equivalent report from a relevant overseas jurisdiction\*? YES  NO

If **YES**, proceed to Q25. 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

**25.** 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 Q26. 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

**IMPORTANT INFORMATION**

You must ensure that the following documents are submitted with your application:

- A **copy** of both your tax return and your Notice of Assessment from the Australian Tax Office for the past 3 financial years; and
- Schedules A to J (which are provided as part of this application).

**26.** Have you attached a **copy** of both your tax return and your Notice of Assessment from the Australian Tax Office for the past 3 financial years and Schedules A to J? YES

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

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**27. (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 Q27(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 Q28. If **YES**, provide details of on an attachment page.

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

**28.** 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 Q28(a) and (b), proceed to Declaration. If **YES** to Q28(a) or (b), complete the following for each matter and provide details of circumstances leading to proceedings on an attachment page.

..... Company/Incorporated Association Name      ..... /..... /..... Commencement Date (day/month/year)

Type of proceedings: .....

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

Name: ..... Phone no: (.....).....

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

**Declaration**

I declare that I have read and understood the questions in this application form and the directions for answering them and I have answered the questions truthfully and completely to the best of my knowledge, including the information provided in the Schedules appended.

..... 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

These Schedules are for completion by a **nominee** of a registered bookmaker. If there is insufficient room on any schedule please include additional details in the same format as an attachment.

**SCHEDULE A  
Cash at Financial Institute**

- List below all accounts, foreign and domestic, maintained by you and your spouse/de facto.

Name & Address of Financial Institute	Name of Person/s Appearing on the Account	Account No.	Date Opened	Interest Rate	Types of Accounts	Balance at Current Date

**SCHEDULE B  
Accounts Receivable**

- List below all accounts receivable held by you and your spouse, indicate by means of an asterisk (\*) in the first column the accounts receivable held by your spouse/de facto only.

Name & Address of Debtor	Date Incurred	Original Amount.	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Collateral

**SCHEDULE C**  
**Shares, Fixed Interest Security (Bonds)**

- List below the information requested for all shares and bonds held or controlled by you and/or your spouse. Whenever interest exists through a trust/mutual fund or holding company, the shares held by such a trust/mutual fund or holding company need not be listed. Indicate publicly listed traded shares and bonds by an asterisk (\*).
- Indicate by means of a double asterisk (\*\*) next to the first column all stocks and bonds held by your spouse/de facto only.

Issuer	Types	No. of Shares or Units	Purchase Price	Date of Purchase	Name in Which Held	Market Value

**SCHEDULE D**  
**Business Investment**

- List below the information requested regarding any business investment in which any direct, indirect, vested or contingent interest is held by you and/or your spouse/de facto, along with the names of all individuals or entities who share a direct indirect, vested or contingent interest therein. This should include but not be limited to joint ventures, partnerships, sole proprietorships and corporations.

Entity	Type of Entity	No. of Shares or Units	Percent of Ownership	Purchase Price	Date of Purchase	Name in Which Held	Individuals or Entities Sharing Interest & Percentage Ownership	Market Value

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**SCHEDULE E  
Real Estate**

- List below the information requested regarding any real property in which any direct, vested or contingent interest is held by you and/or your spouse/de facto, along with the names of all individuals or entities who share a direct, indirect, vested or contingent interest therein.

Address/Location	Type	Size	Purchase Price/ Improvements at cost	Date of Purchase	Other Owners	Income	Market Value

**SCHEDULE F  
Other Assets**

- List below the information requested for all other assets held by you and/or your spouse/de facto (i.e. automobiles, personal property, cash surrender value of life insurance policies, pension plans, etc). Indicate by means of an asterisk (\*) in the first column those assets held by your spouse/de facto only

Type of Asset	Purchase Price	Date of Purchase	Market Value	Other Information



**SCHEDULE G  
Unsecured Loans**

- List below the information requested for all unsecured loans payable for which you and/or your spouse/de facto or dependant children are obligated. Indicate by means of an asterisk (\*) in the first column those unsecured loans for which your spouse/de facto or dependant children only are obligated.

Name & Address of Creditor	Date Incurred	Original Amount.	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Collateral

**SCHEDULE H  
Secured Loans**

- List below the information requested for all secured loans payable for which you and/or your spouse/de facto or dependant children are obligated. Indicate by means of an asterisk (\*) in the first column those secured loans for which your spouse/de facto or dependant children only are obligated.

Name & Address of Creditor	Date Incurred	Original Amount.	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Collateral

Unsecured Loans = US notes payable.      Secured Loans = Mortgages

**STRICTLY CONFIDENTIAL**

**SCHEDULE I  
Other Liabilities**

- List below the information requested for any other indebtedness for which you and/or your spouse/de facto or dependant children are obligated. Indicate by means of an asterisk (\*) in the first column any for indebtedness which your spouse/de facto or dependant children only are obligated.

Name & Address of Creditor	Date Incurred	Original Amount.	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Description of Liability	Collateral

**SCHEDULE J  
Contingent Liabilities**

- List below the information requested for all contingent liabilities for which you and/or your spouse/de facto or dependant children are obligated. Indicate by means of an asterisk (\*) in the first column those contingent liabilities for which your spouse/de facto or dependant children only are obligated.

Name & Address of Creditor	Date Incurred	Original Amount.	Unpaid Balance	Payment/Period	Interest Rate	Maturity Date	Purpose	Collateral	Persons Liable Besides You and/or Your Spouse

**STRICTLY CONFIDENTIAL**

**VICTORIA**

**Gambling Regulation Act 2003**

**Consent for Release of Information by Law Enforcement Agencies**

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

**Name:** .....  
(Full name of nominee)

**Address:** ..... ('nominee')  
(Full address of nominee)

**CONSENT**

The nominee 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 nominee of a registered bookmaker under the *Gambling Regulation Act 2003* to the VCGLR.

**RELEASE**

Upon signing this consent, the nominee 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 nominee.

**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 a nominee of a registered bookmaker; or
- \* the expiry of any registration of the bookmaker (if granted).

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

**EXECUTION AS A DEED**

.....  
Signature of nominee

Dated: ...../...../.....  
(day/month/year)

.....  
Signature of Witness

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

STRICTLY CONFIDENTIAL

VICTORIA  
Gambling Regulation Act 2003

Financial Information Release form

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

Name: .....  
(Full name of nominee)

Address: ..... ('nominee')  
(Full address of nominee)

the nominee 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 nominee 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 nominee.

**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 nominee providing any of those particulars recorded against the nominee 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 nominee 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 a nominee or associate of a registered bookmaker; or
- \* the expiry of any registration of the bookmaker (if granted).

Signed: .....  
Nominee'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.

**STRICTLY CONFIDENTIAL**

**VICTORIA**

***Gambling Regulation Act 2003***

**Public Hearings under section 28 of the VCGLR Act**

**Important Information About Public Hearings**

Section 28 of the *Victorian Commission for Gambling and Liquor Regulation 2011 Act* (the VCGLR Act) requires the Victorian Commission for Gambling and Liquor Regulation (the VCGLR) to conduct certain aspects of its business in public. In addition to those matters it must decide in public, the VCGLR has also decided that certain other matters will be decided in public, including the determination of the suitability of an applicant for approval as nominee of a registered bookmaker (except matters needing an inquiry).

This means that any material provided by you in respect of your request for approval as a nominee of a registered bookmaker, both now and in the future, may be publicly disclosed in the course of the decision-making process.

However, under section 28(3) of the VCGLR Act the VCGLR may direct that an inquiry or meeting or part of an inquiry or meeting be held in private if it considers:

- (a) it necessary to do so to prevent the unreasonable divulgence of information relating to the personal affairs of any person including a deceased person; or
- (b) it is otherwise in the interests of justice or the public interest to do so.

All individuals requesting approval as a nominee of a registered bookmaker must complete the following "Acknowledgement in Relation to Public Hearings". The acknowledgement requires you to certify that you have read and understand this important information about public hearings. It also provides you with the opportunity to make submissions to the VCGLR as to why it should decide to consider your request for approval in private.

Please note that any reasons you provide will be considered, but the final decision of whether your request for approval will be decided in private or in public will be made by the VCGLR.

If you have any questions regarding the public hearing process, contact the VCGLR on telephone 1300 182 457 or email your enquiry at [contact@vcglr.vic.gov.au](mailto:contact@vcglr.vic.gov.au).

**ACKNOWLEDGEMENT IN RELATION TO PUBLIC HEARINGS**

***Victorian Commission for Gambling and Liquor Regulation Act 2011 – Section 28***

**Name:** ..... of  
(Full name of nominee)

**Address:** ..... ('nominee')  
(Full address of nominee)

**The nominee hereby states that:**

- (i) I have read the 'Important Information About Public Hearings' detailed above; and
- (ii) I understand that material which is relevant to this request for approval as the nominee of a registered bookmaker, whether provided now or in the future, will be liable to be publicly disclosed in the course of the decision-making process.

Further, I hereby advise the VCGLR that (*tick the appropriate box below*):

- I have no objection to this request for approval being heard in public.
- I object to this request for approval being heard in public and have attached a statement of reasons as to why it should be decided in private.

Nominee's signature: .....

Dated: ...../...../.....  
(day/month/year)

VICTORIA

Gambling Regulation Act 2003

Nomination –Registered Bookmaker

Background

Under section 4.5A.2 of the Gambling Regulation Act 2003 (the Act), if an applicant for registration as a bookmaker is a corporation, the board of directors must nominate, 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 corporation. A person nominated and approved as a nominee is liable under the Act as licensee in respect of the bookmaker.

Please note that the approval of a nominee does not limit the liability of the corporation as a registered bookmaker.

When must a nomination under section 4.5A.2 of the Act be completed?

The following are circumstances requiring the completion of the nomination under section 4.5A.2 of the Act, with respect to a registered bookmaker:

- when an application is made for the registration of a bookmaker which is a corporation; or
• 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 a registered bookmaker).

NOMINATION UNDER SECTION 4.5A.2

Gambling Regulation Act 2003

(Name of registered bookmaker) .....

(Bookmaker’s registration number ) ...../ ..... authorises the nomination of

(Full name of proposed nominee) .....

to be responsible as licensee.

Signature of proposed nominee ..... /...../.....
Date

Print the full name of Authorised Officer on behalf of registered bookmaker
(director/secretary of the registered bookmaker other than the proposed nominee)

Signature of Authorised Officer on behalf of the registered bookmaker ..... /...../.....
Date



# 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:

1. It was issued by Victoria Police or by the Australian Federal Police.
2. Type of check: National name check.
3. Reason for the check: Casino or gaming licence.
4. 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 name<sup>1</sup>.
5. That it is an original document and not a photocopy or certified photocopy.
6. That it is current and no more than three months old when you submit your application.

### Application fees

Victoria Police charges a fee to apply for an NPC. For the current fee that applies to your application, go to [www.police.vic.gov.au](http://www.police.vic.gov.au) 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

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<sup>1</sup> Preferred first name: Your gaming 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.



# ATTACHMENT 1

## Proof of Identity

### Proof of Identity Documentation

When applying for a National Police Certificate, applicants must supply a minimum of two types of identification from the list below with a minimum total of 100 points. Identification must include at least one type of photo ID (Category A) plus identification that contains the applicant's current residential address, signature and date of birth.

#### Category A (at least one Category A document must be provided)

	Points
Current Passport	70
Driver licence/Learner's permit/boat licence	40
Firearms/Private security licence	40
Current tertiary student ID card (with photo)	40
WWC Check card/Keypass/Proof of age card	40
Certified current passport size photo (if the applicant does not possess any other Category A ID)	40

#### Category B

Australian citizenship certificate	70
Birth certificate (not extract)	70
Birth card	70
Australian travel documents or current Australian Visa	70
Department of Veterans Affairs (DVA) card	40
Centrelink card (with reference number)	40
Government employee ID	40

#### Category C

Medicare card	25
Credit card or account card	25
Marriage certificate (registry issue only)	25
Change of name certificate (registry issue only)	25
Bank statement (with residential address)	25
Motor vehicle registration or insurance papers	25
Property rates notice/utilities notice	25
Property lease agreement	25
Home insurance papers	25
Taxation assessment notice	25
Records of primary, secondary or tertiary education	25
Records from a current or previous employer	25
Records of a professional or trade association	25

## ATTACHMENT 2

# HISTORICAL PERSONAL NAME EXTRACT FROM THE AUSTRALIAN SECURITIES & INVESTMENTS COMMISSION (ASIC)

An Historical Personal Name Extract is a print-out 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           | • Local Agents                 | • Receiver                  |
| • Appointed Auditor       | • Member of a Futures Exchange | • Representative            |
| • Appointed Liquidator    | • Official Manager             | • Representative<br>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 nominee 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 nominee 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: [www.asic.gov.au](http://www.asic.gov.au)

Email: [info.enquiries@asic.gov.au](mailto:info.enquiries@asic.gov.au)

ASIC's Infoline: 1300 300 630

## 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 [www.dnbcreditreport.com.au](http://www.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](mailto:clientservices@dnb.com.au) to arrange for provision of your Credit Report. D&B's 'Frequently Asked Questions' may be viewed at [www.dnbcreditreport.com.au/faqs/](http://www.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 [www.mycreditfile.com.au](http://www.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 [www.mycreditfile.com.au](http://www.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.