

TASMANIAN GAMING COMMISSION GAMING CONTROL ACT 1993



PERSONAL HISTORY AND SUITABILITY OF PERSON PROFORMA

The “Personal History and Suitability of Person” Proforma is to be completed to enable suitability checks of an:

1. Applicant for Special Employee’s Licence;
2. Applicant for Technician Licence;
3. Associate of an application for Licensed Premises Gaming (LPG) Licence;
4. Associate of an application for listing on the Roll of Recognised Manufacturers and Suppliers of Gaming Equipment;
5. Natural Person who is applying for a Licensed Premises Gaming (LPG) Licence; or
6. Natural Person who is applying to be listed on the Roll of Recognised Manufacturers and Suppliers of Gaming Equipment.

**This document and its contents will remain strictly confidential
to the Tasmanian Gaming Commission.**

Tasmanian Gaming Commission
GPO Box 1374
Hobart Tas Australia 7001

Telephone: (03) 6233 2482

Fax: (03) 6234 1728 or 6234 3357

INFORMATION ABOUT THIS PROFORMA

IMPORTANT information for special employee licence applicants

You **MUST NOT** operate gaming equipment without a licence to do so.

Section 50 (1) of the *Gaming Control Act 1993* states that “a person must not exercise the functions of a special employee except in accordance with the authority conferred on the person by a licence”.

Failure to comply with this section may result in a fine of up to \$5 000 or a term of imprisonment not exceeding three months or both.

Customer Service Charter

It is the Commission’s aim to process a **COMPLETE** Personal History and Suitability of Person Proforma within ten (10) working days from the receipt of the form. Before commencing this proforma, please read the following information carefully. **IF YOU REQUIRE ASSISTANCE**, you may contact the Tasmanian Gaming Commission on (03) 6233 2482 or (03) 6233 2475.

Failure to disclose all relevant information known to the applicant, or to provide complete records as required may in itself constitute an offence or bring into question the suitability of the applicant and be sufficient reason to refuse the application.

Eligibility

An applicant may be rejected if the applicant has been convicted of an offence which involves dishonesty or any offence punishable by imprisonment of three or more months. An applicant must generally be considered by the Commission to be sufficiently honest and trustworthy to hold a licence. In assessing your suitability the Commission may contact various organisations including the following:

Police	Australian Securities and Investments Commission
Registrar of Births, Deaths and Marriages	Gaming Regulatory Authorities
Credit Agencies	Financial Institutions

Probity

All applicants (including Associates), with the **EXCEPTION** of those applicants **previously** fingerprinted for the purposes of obtaining a Tasmanian Gaming Commission Licence, are required to be fingerprinted and palm printed unless the Commission requests otherwise.

When completing the information relating to offences, you may be entitled to refuse to disclose a Federal or interstate conviction. **This does not apply to convictions obtained in Tasmania.**

Usually, this right arises after a specific period of time (for example, 10 years for adult offences against the Commonwealth) and applies to specific offences under Federal law, where the sentence imposed by the court was non-custodial or was for imprisonment for 2.5 years or less. A right of non-disclosure will normally lapse if you have been convicted again.

If you think you may be entitled to claim a right of non-disclosure in relation to offences, you should check with the Privacy Commissioner on the Privacy hotline: 1300 363 992 (toll free).

You are required to give authority and consent to the Commission to obtain information (including financial and other confidential information) relevant to your application.

Destruction of Finger and Palm Prints

Pursuant to Section 162 of the *Gaming Control Act 1993*, all fingerprints and palm prints obtained by the Commission under this Act and any copies of them may be destroyed by the Commission as soon as the Commission has no further use for them. The Commission will destroy fingerprints where an application for a licence is refused.

DIRECTIONS FOR COMPLETION OF THE INDIVIDUAL PROFORMA

Before commencing this form please read the following instructions carefully.

1. If a question does not apply to you state "N/A" in response to that question.
2. If there is nothing to disclose in reply to a particular question state "NIL" in response to that question.
3. If the space available is insufficient please supply the required information on attachment page.
4. When requested to use the attachment page, precede each answer with the number applicable to that question.
5. All dates should be completed in the form: Day/Month/Year.
6. Each page of this form and each attached page should be signed by the applicant in the space provided at the bottom of each page.
7. **All** applicants must provide witnessed copies of required identification documents as per instructions detailed on page 6 of this proforma.
8. **Special Employee** and **Technician** applicants must provide four recent passport size photographs as per the instructions detailed on page 6 of this proforma.

As each applicant is required to complete varying sections of this proforma document, the following list identifies questions and pages that **must** be completed by each applicant.

Special Employee Applicants

Questions 1 to 23

Financial Statements & Schedules (*Casino Management, Casino Security, Statewide Gaming Management and Tasmanian Gaming Licence Management applicants only*)

Statutory Declaration

Authority & Consent

Checklist

Technician Applicants

Questions 1 to 24

Financial Statements & Schedules (*Technician A applicants only*)

Statutory Declaration

Authority & Consent

Checklist

Associate Applicants

Questions 1 to 23

Statutory Declaration

Authority & Consent

Checklist

Individuals applying for a Licensed Premises Gaming (LPG) Licence

Questions 1 to 23

Financial Statements & Schedules

Statutory Declaration

Authority & Consent

Checklist

Individuals applying to be listed on the Roll of Manufacturers & Suppliers

Questions 1 to 23

Financial Statements & Schedules

Statutory Declaration

Authority & Consent

Checklist

DOCUMENTS WHICH MUST ACCOMPANY THIS PROFORMA

1 Sufficient identification to establish your identity. (100 Point Check)

Select sufficient identification from the list below to score 100 points. The copies need to be endorsed with the words **“Original Sighted” signed (witness name)**. Refer to the category of acceptable witnesses below. You must use at least one (1) document from column A.

Column A		Column B	
Current Passport*	70	Credit Card, ATM card, Bank passbook	25
Citizenship Certificate*	70	Tertiary Education Certificate	25
Full Birth Certificate* or Certified Extract of Birth*	70	Public Utility Account (eg Hydro, Telstra, Council Rates)	25
Health Care Card	40	Medicare Card	25
Student Photo ID Card	40		
Current Drivers Licence	40		
Current Gun Licence	40		

*You may only use one of these documents.

NOTE: CATEGORY OF ACCEPTABLE WITNESSES

(a family member is NOT an acceptable witness)

1	A Commissioner for Declarations	10	An Authorised Person of the Tasmanian Gaming Commission
2	A Justice of the peace or bail justice	11	A dentist
3	A notary public	12	A veterinary surgeon
4	A councillor of a municipality	13	A pharmacist
5	A clerk to a barrister and solicitor of the Supreme Court	14	A principal in the teaching service
6	A member of the police force	15	The manager of a bank
7	A barrister and solicitor of the Supreme Court	16	A member of the Institute of Chartered Accountants in Australia or the Australian Society of Certified Practising Accountants or the National Institute of Accountants
8	A town clerk or municipal manager	17	A minister of religion authorised to celebrate marriages
9	A legally qualified medical practitioner	18	A person who holds a prescribed office in the public service

Show here the details of the witness to your identification	
Name	
Address	
Occupation	
Telephone No.	
Category of witness	

2 Four (4) recent passport size photographs

NOTE: *SPECIAL EMPLOYEE AND TECHNICIAN APPLICANTS ONLY. ASSOCIATES, LPG OR ROLL APPLICANTS ARE NOT REQUIRED TO SUBMIT PHOTOGRAPHS.*

The photographs must be witnessed on the back. The witness must state:

“This is a true photograph of (applicant’s name) signed (witness name).”

Show here the details of the witness to your photographs	
Name	
Address	
Occupation	
Telephone No.	
Category of witness	

NOTE: CATEGORY OF ACCEPTABLE WITNESSES

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9	A legally qualified medical practitioner	18	A person who holds a prescribed office in the public service

3 You may be requested to provide additional information as part of the assessment of your Individual Proforma.

Submission of your Personal History and Suitability of Person Proforma

Personal History and Suitability of Person Proformas should be forwarded to the Tasmanian Gaming Commission marked:

PERSONAL AND CONFIDENTIAL

The Chairman
Tasmanian Gaming Commission
Gaming Operations Branch
GPO Box 1374
HOBART 7001

OR

The Chairman
Tasmanian Gaming Commission
Gaming Operations Branch
Level 2 - 80 Elizabeth Street
HOBART 7000

1	Surname					
2	Title Please tick	Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Dr <input type="checkbox"/>
3	Given Name					
4	Middle Name/s					
5	Other Names (maiden, nicknames, aliases etc)					
6	Date of Birth					
7	Place of Birth (Town and State)					
8	Present Residential Address					
	Month & Year	From		To		
	List all addresses where you have permanently resided over the last five(5) years.					
A	Address					
	Month & Year	From		To		
B	Address					
	Month & Year	From		To		
C	Address					
	Month & Year	From		To		
9	Telephone No.	home	()	work	()	

.....
Signature of applicant

10	Have you lived outside of Tasmania in the past ten (10) years? If YES complete below:				Yes <input type="checkbox"/>		No <input type="checkbox"/>	
					Year		Year	
					From	To	From	To
	New South Wales						Northern Territory	
	Victoria						South Australia	
	Queensland						Western Australia	
	ACT						Overseas	
	Give details of any overseas residency. (include which years)							

11	Are you married or do you have a de facto relationship? If YES provide details of your spouse or de facto:				Yes <input type="checkbox"/>		No <input type="checkbox"/>	
	Please tick				Married <input type="checkbox"/>		De facto <input type="checkbox"/>	
	Full name							
	Other names (eg. Maiden)							
	Date of birth							
	Place of birth (Town and State)							
	Home Address							
	Employer							
	Occupation							

12	Have you been employed in the gaming industry? (ie casino, keno / gaming machine venue or gaming regulatory authority) If YES complete below:				Yes <input type="checkbox"/>		No <input type="checkbox"/>	
	Licence Type and Number							
	Place of Issue							
	Name of Control Authority							

.....
Signature of applicant

13	Are you currently employed?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
	Your current occupation?			
	Present Employer			
	Address			
	Month & Year from			

14	Please outline your employment history (if applicable) for last five (5) yrs.				
	A	Employer			
		Address			
		Month & Year	From		To
		Reason for Leaving			
	B	Employer			
		Address			
		Month & Year	From		To
		Reason for Leaving			
	C	Employer			
		Address			
		Month & Year	From		To
		Reason for Leaving			
	D	Employer			
		Address			
		Month & Year	From		To
Reason for Leaving					

15	Do you hold a current driver's licence?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
	If YES complete below:			
	Licence No			
	Expiry date			
	Place of Issue			

16	Do you hold a current Passport?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
	If YES complete below:			
	Passport Number			
	Country			
	Place of Issue			
	Date of Issue			
	Date of Expiration			

.....
Signature of applicant

17	Have you ever been convicted of an offence in Tasmania or elsewhere (whether as a juvenile or an adult)? If YES complete below:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
A	Nature and date of offence		
B	Nature and date of offence		
C	Nature and date of offence		
D	Nature and date of offence		
E	Nature and date of offence		

18	Are you aware of any charges or summons against you, which are before a court for any offence or violation? If YES complete below:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
A	Nature and date of offence		
B	Nature and date of offence		

19	Have you had any charge (excluding minor traffic offences) proven against you without a conviction being recorded? If YES complete below:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
A	Nature and date of offence		
B	Nature and date of offence		

20 If you answer YES to any of the questions in section 20, please provide details on the attachment page.

A	Have you ever been refused a licence for employment in the casino/gaming industry, or been disciplined by a casino/gaming regulatory body?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B	Have you ever been excluded from a casino or gaming machine venue either in Australia or overseas?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C	Have you previously applied for employment with a Casino/Gaming Regulatory Authority, either in Australia or overseas?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D	Have you at any time been engaged in bookmaking operations in any capacity or otherwise involved in the racing industry?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E	Have you ever been granted a licence by the Government to supply liquor, operate a hotel, operate as a real estate agent, private enquiry agent or security officer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F.	Have you ever been refused a licence by the Government to supply liquor, operate a hotel or had any such licence revoked?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

.....
Signature of applicant

G.	Have you ever been denied a firearm licence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H.	Have you travelled out of Australia during the past three (3) years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I.	Have you actively participated in the management of a corporation, partnership, joint venture or any business as a director, partner or other capacity during the past (10) years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
J.	Do you have any financial interest, whether directly or indirectly, with any individual or in any business, whether registered or not, in Australia or elsewhere?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
K.	Have you ever been investigated or disciplined by a professional body for ethical misconduct or any other breach of regulation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
L.	Have you ever been directly involved in the management of any company that has been placed in liquidation, receivership, a scheme of arrangement or formal administration (eg. agent for mortgagee appointed)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
M.	To your knowledge have any of your business associates ever been convicted of a criminal offence, declared bankrupt or ever been the subject of an Australian Securities and Investments Commission or other Government regulatory inquiry?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
N.	Have you ever been dismissed, discharged or asked to resign from any employment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
O.	Have you ever been disqualified from acting as a director of a company under the provisions of the Corporation Law?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
P.	Has your salary, wages, earnings or other income been subject to garnishee order, attachment or the like?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Q.	Have you ever had any article repossessed by a finance provider?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
R.	Are you currently in default in payment of any debt incurred solely or jointly in your name?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
S.	Is any person in respect of whom you have given a guarantee, in default of any such agreement (ie debt, loan facilities) or in circumstances where any such guarantee might be called upon?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
T.	To your knowledge have you ever been refused credit or been the subject of an adverse credit rating report?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
U.	Have you ever been a bankrupt or are you currently an undischarged bankrupt?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
V.	Have you ever been dismissed from any armed services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

PLEASE ENSURE THAT YOU HAVE PROVIDED DETAILS TO ALL "YES" ANSWERS ON THE ATTACHMENT PAGE.

.....
Signature of applicant

21	CONSENT TO FINGERPRINT		
A	Have you previously been fingerprinted by or on behalf of the Tasmanian Gaming Commission?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If you ticked "No" to 22A, please complete 22B			
B	I consent to being fingerprinted and palm printed for the Tasmanian Gaming Commission.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

22	Nominate two persons, not related to you, who will supply character references for you. One referee is to be a previous employer, unless you have never worked before.		
	Name		
	Address		
	Occupation		
	Relationship with the referee (eg. Former employer etc.)		
	Telephone ()	Years known	
	Name		
	Address		
	Occupation		
	Relationship with the referee (eg. Former employer etc.)		
	Telephone ()	Years known	

23	ASSOCIATES	
<p>In making its decision, the Commission must also consider the suitability of associates of the applicant. An associate is any person (including, but not limited to, a spouse, other family member or friend) who has a financial interest in the affairs of the applicant, either by:</p> <ul style="list-style-type: none"> • a financial interest in the assets and liabilities of the applicant; or • virtue of a shared bank or financial institution account with the applicant; or • both 		
Is there any person, not already identified in this application, who may be classified as an "associate"? If yes, provide details on the attachment page.		Yes <input type="checkbox"/> No <input type="checkbox"/>

.....
Signature of applicant

STATUTORY DECLARATION

Verifying an individual proforma used in conjunction with an application for the following:

- Special Employee Licence;
- Technician Licence;
- Licensed Premises Gaming Licence; or
- Listing on the Roll of Recognised Manufacturers and Suppliers of Gaming Equipment.

I,1

of,2

DO SOLEMNLY AND SINCERELY DECLARE:

- (a) I have personally completed all the information required in this proforma; and
- (b) I certify that the particulars contained in the completed proforma and accompanying application are true and correct in every detail and fully disclose the information required to complete this proforma and application.

AND I MAKE THIS SOLEMN declaration by virtue of Section 132 of the Evidence Act 1910.

.....

(Signature of Applicant)

DECLARED at 3)

in the State of)

this day of 19 .

on

before me

.....

(Name and Occupation of Witness)

NOTES

- 1 Full name of applicant
- 2 Address of Applicant
- 3 Place of declaration, e.g. Hobart
- 4 State of declaration, e.g. Tasmania

CATEGORY OF ACCEPTABLE WITNESSES

- | | | | |
|----|---|----|--|
| 1 | A Commissioner for Declarations | 11 | A veterinary surgeon |
| 2 | A Justice of the peace or bail justice | 12 | A pharmacist |
| 3 | A notary public | 13 | A principal in the teaching service |
| 4 | A barrister and solicitor of the Supreme Court | 14 | The manager of a bank |
| 5 | A clerk to a barrister and solicitor of the Supreme Court | 15 | A member of the Institute of Chartered Accountants in Australia or the Australian Society of Certified Practising Accountants or the National Institute of Accountants |
| 6 | A member of the police force | 16 | A minister of religion authorised to celebrate marriages |
| 7 | A councillor of a municipality | 17 | A person who holds a prescribed office in the public service. |
| 8 | A town clerk or municipal manager | | |
| 9 | A legally qualified medical practitioner | | |
| 10 | A dentist | | |

CREDIT CARD AUTHORITY

This authority must only be completed where you wish to pay your application fee with a credit card.

Name of applicant:
Venue/premises:

Gaming Licence Categories	Application Fee	Renewal Fee
Licensed Premises Gaming Operative	\$133.20	\$99.90
Casino Operative	\$133.20	\$99.90
Statewide Gaming Operative (Network Gaming Staff Only)	\$133.20	\$99.90
Upgrade to another Licence when previously fingerprinted	\$66.60	N/A
Upgrade to another Licence when not previously fingerprinted	\$99.90	N/A
Casino Management	\$277.50	\$122.10
Casino Security	\$277.50	\$122.10
Statewide Gaming Management (Network Gaming Staff Only)	\$277.50	\$122.10
Tasmanian Gaming Licence Operative	\$133.20	\$99.90
Tasmanian Gaming Licence Management	\$277.50	\$122.10
Technician (Category A)	\$277.50	\$122.10
Technician (Category B)	\$133.20	\$99.90
Associate Fee	\$55.50	\$88.80

<p>Name on credit card:</p> <p>.....</p> <p>Bankcard <input type="checkbox"/> MasterCard <input type="checkbox"/> Visa <input type="checkbox"/></p> <p>Credit Card No _____/_____/_____/_____ Expiry Date ____/____</p> <p>Signature of credit card holder.....</p>
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Total amount to be debited	\$
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(office use only)

Fee \$	
Account Number	
Code	