

# TASMANIAN GAMING LICENCE APPLICATION FORM

This document and its contents are confidential to the  
Tasmanian Liquor and Gaming Commission and Liquor and Gaming Branch.

Please note that failure to disclose all relevant information, or to provide complete records, may be sufficient reason for the Commission to reject this licence application.

## LIQUOR AND GAMING CONTACT DETAILS

Salamanca Building Parliament Square  
4 Salamanca Place HOBART TAS 7000  
Telephone: (03) 6166 4040 Facsimile: (03) 6173 0218

Level 3 Henty House I Civic Square LAUNCESTON TAS 7250  
Telephone: (03) 6777 2777 Facsimile: (03) 6173 0218

GPO Box 1374 HOBART TAS 7001 Australia  
Email: [gaming@treasury.tas.gov.au](mailto:gaming@treasury.tas.gov.au) Web: [www.gaming.tas.gov.au](http://www.gaming.tas.gov.au)

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## SECTION A – CHECKLIST

### BACKGROUND

A company applying for a Tasmanian Gaming Licence, under Part 4A of the *Gaming Control Act 1993*, must complete and submit this Application Form. In addition, an Associate Application Form and / or Associate Company Form must be completed by each person and / or company who is an associate of the applicant company. These Forms make up part of the Application.

An associate is a person who holds a relevant position in the company, such as director, secretary or manager. This applies to the applicant company, the parent company and any associated companies. An associate is also one who holds a share of 5 per cent or more in the capital of the applicant company; or is entitled to receive any income derived from the business of the applicant company. The *Gaming Control Act 1993* offers a comprehensive definition of the term 'associate'.

Before completing the Application Form, please read the document *Tasmanian Gaming Licence - Guide to Applicants*.

A company applying for a Tasmanian Gaming Licence must submit:

- this completed Application Form;
- a completed Associate Application Form for each individual associate of the applicant;
- a completed Associated Company Form for each company associated with the applicant;
- an application fee of 30 000 fee units;

On completion, forward the Application form, with the accompanying forms and other documents, in an envelope marked **ATTENTION: - Strictly Confidential, Tasmanian Liquor and Gaming Commission**.

## **SECTION B – GAMING BUSINESS SUBMISSION REQUIREMENTS**

In order to be considered to be a suitable person to be involved in the conduct of a gaming business under a Tasmanian Gaming Licence, the applicant must demonstrate that it has the financial resources and possesses, or has access to, the technical resources and ability to conduct gaming activities of a kind sought through an endorsement on the Licence. Consequently the applicant is required to:

1. Describe the gaming activities to be provided and its potential audience;
2. Describe any previous business experience of the applicant in relation to the gaming business to be conducted under the Tasmanian Gaming Licence;
3. Provide financial projections for the gaming business to be conducted under the Tasmanian Gaming Licence, i.e. capital, revenue, expenses etc.
4. Provide a high level overview of the proposed gaming system, including network diagrams, network topology and architecture;
5. Make a written response to the compliance of the gaming equipment (software and hardware), to be used in the operation, with the requirements of the *Internet Gaming Technical Requirements Version 3.0*;
6. Provide details of the experience and knowledge of those personnel who have responded to the above in relation to technical matters;
7. Demonstrate the operation of the gaming system;
8. Describe the financial, human, IT and other resources to be employed in the gaming business;
9. Demonstrate the applicant's ability to obtain the services of people with the appropriate knowledge and experience to ensure the proper conduct of gaming activities conducted under a Tasmanian Gaming Licence;
10. Demonstrate the applicant's ability to train personnel in the operation of the gaming business conducted under the Tasmanian Gaming Licence;
11. Describe marketing strategies; and
12. Provide details of the premises from which gaming activities will be conducted, including access and security arrangements.

**Note that any information supplied above, and forming part of the application, is not to be taken as being approved by the Tasmanian Liquor and Gaming Commission on the granting of a Tasmanian Gaming Licence.**

**SECTION C – APPLICANT DETAIL**

**1. This application is for a Tasmanian Gaming Licence endorsed for:**

- |                                 |   |
|---------------------------------|---|
|                                 | <b>Select</b> <input checked="" type="checkbox"/> |
| a) Sports Betting Endorsement   | <input type="checkbox"/>                          |
| b) Major Lottery Endorsement    | <input type="checkbox"/>                          |
| c) Race Wagering Endorsement    | <input type="checkbox"/>                          |
| d) Simulated Gaming Endorsement | <input type="checkbox"/>                          |
| e) Betting Exchange Endorsement | <input type="checkbox"/>                          |
| f) Totalization Endorsement     | <input type="checkbox"/>                          |
| g) Agent Endorsement            | <input type="checkbox"/>                          |

**2. Name of company:** .....

**3. Date of incorporation:** ..... **Place of incorporation:** .....

**4. Registered Number of applicant - ACN/ABN (please specify):**  
.....

**5. Registered Office of Company:** .....

**6. Postal Address of Company:** .....

**7. Address of Business Premises:** .....

Working backwards from the current address, list all addresses at which the company has been registered or has conducted business over the last five years. Please use an attachment.

**8. Business Phone:** ..... **Mobile:** .....

**Fax:** ..... **email:** .....

**9. Contact Person** (This is the person who is to receive any correspondence):

**Name (Mr / Mrs / Miss / Ms / Dr):** .....

**Business Phone:** ..... **Mobile:** .....

**Fax:** ..... **email:** .....

**10. Requested documents, please submit with application:**

- Copies of the memorandum and articles of association, constitution or other incorporating documents in force at this time. If the Company has adopted the replaceable rules under the Corporations Law, a statement to this effect will suffice.
- A copy of the Certificate of Registration from the Australian Securities and Investments Commission.
- A copy of the Certificate of Registration for the business name under which the company conducts its operations.
- A corporate family tree showing how the company relates to Subsidiary, Holding and related entities.
- Provide details of all Holding, Subsidiary and related Companies as defined pursuant to the Corporation Law including details as to the nature of the business conducted by such companies. On an attachment page, identify the companies listed that own or control in excess of 5 per cent of issued shares or voting rights.
- If the company has appointed an auditor, a copy of the most recent auditor’s report on the financial affairs of the company.
- Financial statements of the company, consisting of a balance sheet, profit and loss statement and explanatory notes for the past three financial years.
- A copy of the annual Company return to the Australian Securities and Investments Commission, or equivalent overseas government body, for the past five years.
- A copy of the audited and/or published financial statements of any holding company for the past five years.
- A list of the details of all bank accounts (name, branch and account number) operated by the Company.
- A list of the investments of the Company which includes all relevant details.
- History of the Company – Please outline a brief history of the company, including details of its activities.

**11. The Company Auditors – provide a list of the names and address of the company auditors for the past five years.**

**12. Legal Advisors and consultants – provide a list of the names and address of any legal advisors, solicitors, and/or consultants engaged over the past five years.**

**13. Associates – provide a list of names and address of any Associates.**

An associate is a person who holds one or more of the positions of director, secretary, manager or other executive position in the applicant company, the parent company or the holding company; or holds a share of 5 per cent or more in the capital of the applicant company; or is entitled to receive any income derived from the business of the applicant company.

**NOTE: Each person and / or company named here must complete an ‘Associate Application and / or Associated Company Form’.**

**14. Shareholdings:**

**Show here the total number of shares issued to all shareholders. List the names of the 10 major shareholders and specify the number of shares held by each:**

Shareholder	No. of shares held

**15. Directors who have ceased to hold office during the past five years – provide a list of the names and addresses for all Directors who have ceased to hold office during the past five years.**

## SECTION D – FINANCIAL HISTORY

<i>If you answer YES to any of these questions, please provide details on an attachment page.</i>	<b>YES</b>	<b>NO</b>
<b>A)</b> Has there been any substantial change to the financial situation of the company since the last financial accounts?	<input type="checkbox"/>	<input type="checkbox"/>
<b>B)</b> Has the company ever been subject to an adverse credit rating?	<input type="checkbox"/>	<input type="checkbox"/>
<b>C)</b> Has the company acted as guarantor for any person or entity which is currently in default of that financial agreement?	<input type="checkbox"/>	<input type="checkbox"/>
<b>D)</b> Has the company ever been placed in external administration (that is liquidation, receivership, administration or scheme of arrangement)?	<input type="checkbox"/>	<input type="checkbox"/>
<b>E)</b> Does the company have any financial interest, whether directly or indirectly, with an individual or in any business, whether registered or not, in Australia or elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
<b>F)</b> Has the company ever been insolvent?	<input type="checkbox"/>	<input type="checkbox"/>
<b>G)</b> Does the company have any current loans or has it obtained funds from any persons, companies or institutions? Please provide full details.	<input type="checkbox"/>	<input type="checkbox"/>

## SECTION E – GAMING

<i>If you answer YES to any of these questions, please provide details on an attachment page.</i>	<b>YES</b>	<b>NO</b>
<b>A)</b> Does the company hold a licence in the casino/gaming industry, either in Australia or overseas?  (If YES, please include Licence Type and Number, Jurisdiction and name of the Control Authority on an attachment page.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>B)</b> Has the company applied for a licence in the casino/gaming industry either in another Australian State or overseas?  (If YES, please include Licence Type and Number, Jurisdiction and name of the Control Authority on an attachment page.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>C)</b> Has the company ever been granted a licence to conduct bookmaking activities?  (If YES, please include Licence Type and Number, Jurisdiction and name of the Control Authority on an attachment page.)	<input type="checkbox"/>	<input type="checkbox"/>
<b>D)</b> Has the company ever been refused a licence to conduct bookmaking activities or had any such licence revoked?	<input type="checkbox"/>	<input type="checkbox"/>
<b>E)</b> Has the company ever been refused a licence to conduct casino/gaming activities or had any such licence revoked?	<input type="checkbox"/>	<input type="checkbox"/>

## SECTION F – BUSINESS AFFILIATIONS

*If you answer YES to any of these questions, please provide details on an attachment page.*

- |  | <b>YES</b>               | <b>NO</b>                |
|--|--------------------------|--------------------------|
| <b>A)</b> Does the company have any other company, or person, acting on its behalf in Australia or overseas?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>B)</b> Does the company have any other agency or branch in Australia or overseas?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>C)</b> Has the company ever changed its name?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>D)</b> Does the company have, or does it use, or has it previously used, any other business name?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>E)</b> Has the company or any director or office bearer of the company been associated with the ownership, administration or management of: <ul style="list-style-type: none"><li>• a casino;</li><li>• keno or lottery operations;</li><li>• interactive gaming;</li><li>• race wagering or sports betting operations;</li><li>• a club, hotel or tavern;</li><li>• any other gaming or wagering activity (please specify); or</li><li>• a manufacturer or supplier of gaming equipment?</li></ul> | <input type="checkbox"/> | <input type="checkbox"/> |

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

- |   |                          |                          |
|---|--------------------------|--------------------------|
| <b>F)</b> Does the company have any interest, financial or otherwise, in any other company or with any person or business, or has the company ever provided financial assistance or other support to any other company, person, business, association or other body involved with the ownership, administration or management of: <ul style="list-style-type: none"><li>• a casino;</li><li>• keno or lottery operations;</li><li>• interactive gaming;</li><li>• race wagering or sports betting operations;</li><li>• a club, hotel or tavern;</li><li>• any other gaming or wagering activity (please specify); or</li><li>• a manufacturer or supplier of gaming equipment?</li></ul> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

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



## SECTION G – LITIGATION

*If you answer YES to any of these questions, please provide details on an attachment page.*

- |  | <b>Yes</b>               | <b>No</b>                |
|--|--------------------------|--------------------------|
| <b>A)</b> Has the company ever been convicted of an offence?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>B)</b> Are you aware of any current charges or summons against the company, which are before a Court for any offence or violation?  | <input type="checkbox"/> | <input type="checkbox"/> |
| If YES give details of nature of offence, court date of appearance.  |                          |                          |
| <b>C)</b> Has a director ever been disqualified from acting as such under any provision of current or previous Australian Corporations and Securities Legislation (or overseas equivalent)?                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>D)</b> Has the company ever been under investigation by the Australian Securities and Investments Commission or any other Government authority to your knowledge?   | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>E)</b> Has the company ever been associated with a company that is currently, or has been, under investigation by the Australian Securities and Investments Commission or any other Government authority to your knowledge? | <input type="checkbox"/> | <input type="checkbox"/> |
| <b>F)</b> Is the company the subject of any civil litigation?  | <input type="checkbox"/> | <input type="checkbox"/> |





## Declaration

I/we am/are duly authorised to make an application on behalf of the Company.

Executed under the common seal of .....  
(name of Company)

Signature: .....

Name: .....

This application is to be accompanied by:

- a) a completed "Associate Application Form" in respect of each individual associate of the applicant;
- b) a completed "Associate Company Application Form" for each company associated with the applicant; and
- c) the prescribed fee

which form part of the application.

Applicant Signature: ..... Date: .....

In the presence of: .....  
(Signature of Witness)

Name of Witness: .....

Address of Witness .....  
.....  
.....

