

TASMANIAN GAMING LICENCE RENEWAL 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 renewal application.

LIQUOR AND GAMING CONTACT DETAILS

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SECTION A – CHECKLIST

BACKGROUND

A company applying for the renewal of a Tasmanian Gaming Licence, under Part 4A of the *Gaming Control Act 1993*, must complete and submit this Application Form. In addition, any individual associates and/or associated companies not approved under the current licence must complete and submit an Associate Application Form and / or Associate Company Form. 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 offers a comprehensive definition of the term 'associate'.

A company applying for the renewal of a Tasmanian Gaming Licence must submit:

- this completed renewal Application Form;
- a completed Associate Application Form for each individual associate of the applicant not currently approved as an associate;
- a completed Associate Company Form for each company associated with the applicant not currently approved as an associate;
- forward the renewal 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 remain involved in the conduct of a gaming business under a Tasmanian Gaming Licence, the applicant must demonstrate that it continues to have 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 current gambling activities provided and its audience and detail any future gambling activities and the proposed audience;
2. Provide financial projections for the gambling business to be conducted under the Tasmanian Gaming Licence, i.e. capital, revenue, expenses etc.
3. Provide a high level overview of the current gaming system, including network diagrams, network topology and architecture and provide details of any proposed changes;
4. 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*;
5. Describe the financial, human, IT and other resources employed in the gambling business;
6. Describe future marketing strategies; and
7. Provide updated details of the premises from which gambling activities are 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 renewed Tasmanian Gaming Licence.

SECTION C – APPLICANT DETAIL

1. This application is for the renewal of the current Tasmanian Gaming Licence endorsed for:

Select

- | | |
|---------------------------------|--------------------------|
| 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):

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5. Registered Office of Company:

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6. Postal Address of Company:

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7. Address of Business Premises:

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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 the application any of the following documents which differ from those provided with the original application or those currently held by the Commission:

- 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 over the last five years.

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 that has not previously been approved by the Commission must complete an ‘Associate Application and / or Associate 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

- If you answer YES to any of these questions, please provide details on an attachment page.* **YES** **NO**
- A)** Has there been any substantial change to the financial situation of the company since the last financial accounts?
 - B)** Has the company ever been subject to an adverse credit rating?
 - C)** Has the company acted as guarantor for any person or entity which is currently in default of that financial agreement?
 - D)** Has the company ever been placed in external administration (that is liquidation, receivership, administration or scheme of arrangement)?
 - E)** 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?
 - F)** Has the company ever been insolvent?
 - G)** Does the company have any current loans or has it obtained funds from any persons, companies or institutions? Please provide full details.

SECTION E – GAMING

- If you answer YES to any of these questions, please provide details on an attachment page.* **YES** **NO**
- A)** 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.)
 - 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.)
 - C)** 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.)
 - D)** Has the company ever been refused a licence to conduct bookmaking activities or had any such licence revoked?
 - E)** Has the company ever been refused a licence to conduct casino/gaming activities or had any such licence revoked?

SECTION F – BUSINESS AFFILIATIONS

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

	YES	NO
A) Does the company have any other company, or person, acting on its behalf in Australia or overseas?	<input type="checkbox"/>	<input type="checkbox"/>
B) Does the company have any other agency or branch in Australia or overseas?	<input type="checkbox"/>	<input type="checkbox"/>
C) Has the company ever changed its name?	<input type="checkbox"/>	<input type="checkbox"/>
D) Does the company have, or does it use, or has it previously used, any other business name?	<input type="checkbox"/>	<input type="checkbox"/>
E) 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"> • a casino; • keno or lottery operations; • interactive gaming; • race wagering or sports betting operations; • a club, hotel or tavern; • any other gaming or wagering activity (please specify); or • a manufacturer or supplier of gaming equipment? 	<input type="checkbox"/>	<input type="checkbox"/>
<i>If YES, please provide details on an attachment page.</i>		
F) 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"> • a casino; • keno or lottery operations; • interactive gaming; • race wagering or sports betting operations; • a club, hotel or tavern; • any other gaming or wagering activity (please specify); or • a manufacturer or supplier of gaming equipment? 	<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.

Yes **No**

- | | | | |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| A) | Has the company ever been convicted of an offence? | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | | |
| C) | 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"/> |
| D) | 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"/> |
| E) | 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"/> |
| F) | Is the company the subject of any civil litigation? | <input type="checkbox"/> | <input type="checkbox"/> |

STATUTORY DECLARATION

I (1)

of, (2)

DO SOLEMNLY AND SINCERELY DECLARE:

- (a) That I have personal knowledge of the history, financial and business affairs of the Applicant;
- (b) I have personally completed all the information required in this Form; and
- (c) I certify that the particulars contained in the completed Form are true and correct in every detail and fully disclose the information required to complete pursuant to the Form.

AND I MAKE THIS SOLEMN declaration by virtue of the *Oaths Act 2001*.

.....

(Signature of Applicant)

DECLARED at (3)

in the State of (4)

this day of 20

before me

.....

.....

(Name and Occupation of Witness)

(Signature of witness)

NOTES

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

CATEGORIES OF ACCEPTABLE WITNESSES

- 1 A Commissioner for Declarations
- 2 A Justice of the peace or bail justice
- 3 A notary public
- 4 A barrister and solicitor of the Supreme Court
- 5 A clerk to a barrister and solicitor of the Supreme Court
- 6 A member of the police force
- 7 A councillor of a municipality
- 8 A town clerk or municipal manager
- 9 A legally qualified medical practitioner
- 10 A dentist

- 11 A veterinary surgeon
- 12 A pharmacist
- 13 A principal in the teaching service
- 14 The manager of a bank
- 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
- 16 A minister of religion authorised to celebrate marriages
- 17 A person who holds a prescribed office in the public service.

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:

Applicant Signature: Date:

In the presence of:
(Signature of Witness)

Name of Witness:

Address of Witness

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