

Bookmaker registration – sole trader

This package contains the application and information material for approval as a bookmaker by a sole trader.

How to apply

This is an interactive PDF form which allows you to:

- complete the form using a computer or tablet
- save your progress and continue at a later time
- print the completed form to sign and return.

You are still able to print the form and complete it by hand if you prefer.

This form has been designed to be completed using the free Adobe Acrobat Reader software. To download this free software, [please visit the following link](#) or search for the free “Adobe Acrobat Reader” on your devices app store.

This form may not function as intended if you use any other software.

Send application to:

Victorian Gambling and Casino Control Commission
GPO Box 1988
Melbourne Vic 3001

or lodge in person at:

Level 4, 12 Shelley Street
Richmond Vic 3121

Need help?

For more information on how to apply for a gambling licence or permit:

- visit the Victorian Gambling and Casino Control Commission (VGCCC) website at vgccc.vic.gov.au
- telephone the VGCCC on 1300 599 759
- email the VGCCC at contact@vgccc.vic.gov.au

Important Information

Bookmaker registration – sole trader

Directions for completion

Answer every question and use BLOCK letters-

- If a question does not apply, or if there are no details to disclose in response to a particular question, print N/A (not applicable) in response.
- If the space available is insufficient, please supply the required information on an attachment page(s). If you do so, begin each answer with the title and reference of the question you are responding to.

Prior to lodging this application, please ensure that you have attached all required items.

The application form will be returned to you if you do not provide a response to all applicable questions or if all required attachments are not enclosed

- **Note:** There is currently no fee payable for this application.

Completing the application form

Before starting to complete your application, it is recommended that you telephone the Victorian Gambling and Casino Control Commission (VGCCC) on 1300 599 759 to discuss the application process. Staff are available to provide you with general advice about making an application.

Who can apply for registration as a bookmaker?

Any person (natural or corporate) can apply to the the VGCCC for registration as a bookmaker. Natural persons must be 18 years of age or over to apply for registration. This form is for an individual applying to be registered as a bookmaker. A corporate registration requires completion of a different form. Note: If registration is granted, a bookmaker's full name and registration number will be published on the VGCCC's website as an 'Industry Participant'.

What does being registered as a bookmaker permit me to do?

A person registered with the VGCCC as a bookmaker is able to conduct the business of taking bets or wagers on a racing or sporting event. The registered bookmaker or a key person of a registered bookmaker must be present at an approved racecourse in order to take bets or wagers. In addition to being registered by the VGCCC, bookmakers must also obtain a club bookmaker's licence from the relevant racing industry controlling body (see contact details below). Licences provide bookmakers the authority to field at race meetings of each code of racing and in some cases, to conduct 24 hour trading at racecourses.

Racing Victoria Ltd

RVL Betting Compliance & Regulation Department
Ph 9258 4667 Email – b.admin@racingvictoria.net.au
Racing Victoria Centre
400 Epsom Road, Flemington Vic 3031
racingvictoria.net.au

Harness Racing Victoria

HRV Bookmakers Registrations
Ph 8378 0200 Email – pjankowiak@hrv.org.au
PO Box 184, Moonee Ponds Vic 3039
hrv.org.au

Greyhound Racing Victoria

Dr Brian Williams, GRV Chief Steward
Ph – 8329 1100 Email – bwilliams@grv.org.au
46-50 Chetwynd Street, West Melbourne Vic 3003
grv.org.au

Important Information

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Term of Registration

If approved, registration as a bookmaker is generally granted for a term of 10 years, subject to the conditions specified in the registration, unless cancelled, surrendered or suspended.

Identity card

While working at an approved racecourse, a registered bookmaker must wear an identity card issued by the VGCCC at all times.

Bookmaker's key employee

A person employed by a registered bookmaker to be involved in the operation of the business must be approved and registered as a bookmaker's key employee. Applications are available from the VGCCC website. A bookmaker may apply to the relevant code(s) of racing for the approval of a key employee to act as a substitute when the bookmaker is absent.

Bond

The VGCCC cannot determine this application until satisfied that you have appropriate bond arrangements as required by section 94A of the *Racing Act 1958*. Once this application is correctly completed and accepted by the VGCCC, an officer of the VGCCC will contact you to discuss this requirement.

Requirements for Notification of Change

While your application is in progress

Between lodging the application and a decision being made about it, the VGCCC must be notified in writing about any changes to the information that has been provided (including any documents lodged with the application). Failure to provide the VGCCC with updated information may result in the application being refused, or any registration granted being subsequently cancelled.

Following grant of a registration

If a registration is granted, you will be given a set of Directions which gives you an ongoing responsibility to notify the VGCCC of specified changes in your situation. You must give written notice to the VGCCC within 14 days of a specified change taking place. If you fail to do so, disciplinary action may be taken and/or the bookmaker may be prosecuted and fined up to 60 penalty units.

False or misleading information

It is an offence under the *Gambling Regulation Act 2003* (the Act) to give information that is false or misleading. If you give false or misleading information, your application may be refused and/or you may be prosecuted and fined up to 60 penalty units (go to Gambling Fees and Fines at vgccc.vic.gov.au to confirm the current value of a penalty unit).

Publication of Disciplinary Action

A registered bookmaker may be subject to disciplinary action being taken by the VGCCC. If the VGCCC does take disciplinary action against a registered bookmaker, its decision, including the bookmaker's full name and registration number, will be published on the VGCCC website and in our Annual Report.

Bookmaker registration – sole trader

Who is an Associate?

The questions contained in this form assist in identifying a bookmaker's associates, who must complete an Associated Individual form. For the purposes of the Act an "associate" of a gambling industry participant is—

- (a) a person who holds or will hold any relevant financial interest, or is or will be entitled to exercise any relevant power (whether in right of the person or on behalf of any other person) in the gambling business of the gambling industry participant, and by virtue of that interest or power, is able or will be able to exercise a significant influence over or with respect to the management or operation of that business; or
- (b) a person who is or will be an executive officer, whether in right of the person or on behalf of any other person, of the gambling business of the gambling industry participant; or
- (c) if the gambling industry participant is a natural person—a person who is a relative of the gambling industry participant.

The Act provides the following definitions which assist to identify associates:

"relative", in relation to a person, means—

- (a) the spouse or domestic partner of the person;
- (b) a parent, son, daughter, brother or sister of the person; or
- (c) a parent, son, daughter, brother or sister of the spouse or domestic partner of the person;

"relevant financial interest", in relation to a gambling business, means—

- (a) any share in the capital of the business; or
- (b) any entitlement to receive any income derived from the business; or
- (c) any entitlement to receive any payment as a result of money advanced;

"relevant power" means any power, whether exercisable by voting or otherwise and whether exercisable alone or in association with others—

- (a) to participate in any directorial, managerial, or executive decision; or
- (b) to elect or appoint any person as an executive officer.

Subsequent investigations by the VGCCC may reveal additional associates who will also be required to complete and submit an appropriate associate form.

Lodgement of associate forms

Associate forms must be lodged with this application. The VGCCC is aware of the confidentiality of personal information provided in such forms, so any such forms may be provided in a sealed envelope with instructions that it may only be opened after it has been lodged. If an associate fails to provide necessary information, the form will be returned in a sealed envelope (marked 'strictly confidential' and 'to be opened by addressee only') to the applicant to organise completion and re-lodgement.

Privacy Policy

The Victorian Gambling and Casino Control Commission 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 VGCCC or its staff to someone else, except for the purposes stated in Division 6 of Chapter 10 of the Act (to access these provisions go to vgccc.vic.gov.au).

Bookmaker registration – sole trader

This information will help you complete the process to apply for registration as a bookmaker.

Before you complete the application form:

Step 1: 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 1 – Historical Personal name Extract**' at the back of this application for more information.

Step 2: 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 2 – 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 VGCCC on 1300 599 759 to find out what information you need to provide to satisfy this requirement.

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 VGCCC on 1300 599 759 to find out what information you need to provide to satisfy this requirement.

Step 4: Complete 'Attachment 4 – Statement of Adoption of an Approved Generic Responsible Gambling Code of Conduct' or develop your own Code.

Step 5: 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 6.

Step 6: Complete this application form, ensuring the information you provide is accurate.

Step 7: Lodge your application with the VGCCC by mail or in person.

Your application must include the following:

- Historical Personal Name Extract from ASIC
- National Police Certificate
- Credit report
- Responsible Gambling Code of Conduct or Statement of Adoption
- Passport size photos
- Copy of your tax return and your Notice of Assessment from the ATO for the last three completed financial years
- Schedules A – J of financial information; and
- any other document that forms part of your application.

Please note:

- Address: The VGCCC's postal and physical addresses are located on the cover page of the application form or at vgccc.vic.gov.au.

Strictly Confidential

Bookmaker registration – sole trader

OFFICE USE ONLY

Amount Rec'd: _____ \$Receipt No: _____

Date Rec'd: _____/_____/_____

Assigned to: _____

Application No: _____

Personal Particulars

1. This application is for a **New** Registration as a Bookmaker.

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

Man:

Woman:

Self-described:

Surname:

First name:

Middle name(s):

Date of Birth (dd/mm/yyyy):

Place of birth (Country, State or region):

Arrival date in Australia (if applicable dd/mm/yyyy):

(b) 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 (dd/mm/yyyy):

Name prior to change:

(ii) Date changed to previous name (if applicable, dd/mm/yyyy):

Name prior to change:

Have further details been provided on an attachment page?

YES NO

3. Current residential address:

Country:

No. of years resident in this country:

No. of years resident at this address:

Note: If at the above address for less than ten years, provide details, including dates (month/year), at each previous address on an attachment page.

Have further details been provided on an attachment page?

YES NO

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

5. Contact details:

Daytime telephone number: Mobile telephone number:

Email address:

6. Photographs:

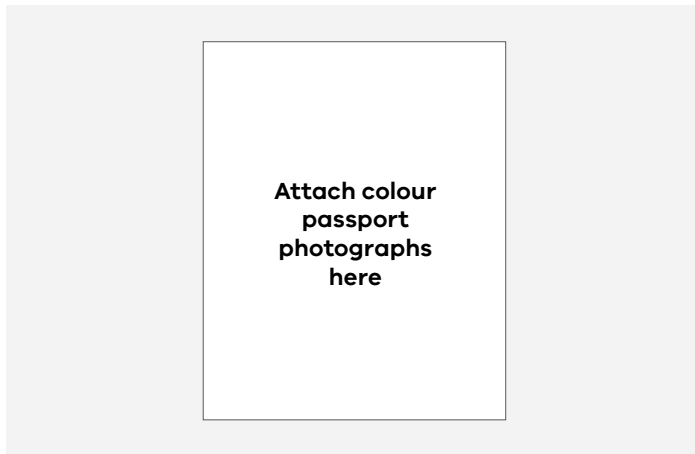
Securely attach 2 colour passport size photographs taken within the last 3 months to this application. Do not cut or separate passport photographs. Ensure your name is clearly printed on the back of each photograph. It is recommended that you provide your photographs in a sealed envelope with your name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

Complete the following:

(a) I have attached 2 passport size photographs:

YES

(b) Date photographs taken (dd/mm/yyyy):



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 registration. However, where investigations by the VGCCC highlight issues of concern, the VGCCC 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.

If any family members are to be involved in your bookmaking business, they may need to complete a Bookmaker Registration – Relative Questionnaire (New) form (refer to Attachment 5.)

7. Marital Status:

Married	Single	De Facto
Separated	Divorced	Widow/Widower

Spouse/De Facto:

Surname:

First name:

Middle name(s):

Date of Birth (dd/mm/yyyy):

Current residential address:

8. Applicant's parents and the parents of the applicant's spouse/domestic partner. Include both natural parents and step-parents.

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

9. Applicant's brothers and sisters and the brothers and sisters of the applicant's spouse/domestic partner.
List all, including half/step brothers and sisters.

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
First name:	(dd/mm/yyyy)
Middle name(s):	
Surname:	
Current residential address:	

10. Applicant's children and the children of the applicant's spouse/domestic partner. List all, including step and adopted children.

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

Relationship to applicant:	Date of Birth:
	(dd/mm/yyyy)
First name:	
Middle name(s):	
Surname:	
Current residential address:	

11(a). Are any family members expected to be involved in the bookmaking business?

YES NO

If **NO**, proceed to Q12.

If **YES**, provide their names and details concerning their intended role in the business below:

11(b). Do **ALL** family members who are expected to be involved in your bookmaking business hold a current bookmaker registration or a current bookmaker key employee registration?

YES NO

If **NO**, please refer to Attachment 5.

Have further details been provided on an attachment page?

YES NO

Business Interests

12. Have you operated or do you intend to operate under any business name(s)?

YES NO

If **NO**, proceed to Q13.

If **YES**, provide details below.

Business name/s:

Australian Business Number (ABN):

Have further details been provided on an attachment page?

YES NO

13. Has the business/trading name you intend to operate under changed in the last 3 years?

YES NO

If **NO**, proceed to Q14.

If **YES**, provide details below.

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Name changed from:

Name changed to:

Date of change (dd/mm/yyyy):

Have further details been provided on an attachment page?

YES NO

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 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 this Historical Personal Name Extract from the regulatory authority in each of those jurisdictions with this form. Refer to Attachment 1 for further instructions for obtaining an extract and for the type of information an equivalent report is expected to reveal.

14.(a) Is your 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 Q15.

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 has not been enclosed on an attachment page. Have further details been provided on an attachment page?

YES NO

15. Provide below details in relation to the following aspects of your scale of operations

(i) Estimated gross turnover for the next financial year:

\$

(ii) Intended race meetings:

(iii) Bet types:

(iv) Telephone usage:

(v) Workload rosters:

Has a business plan been developed? (Note: If **YES**, a copy must be enclosed)

YES NO

Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

Q16 relates to any business interests, business associations (see definition under Legal Action below) directorships or partnerships (either within or outside Australia) not already disclosed in any ASIC Extract you may have provided with this form, ie. details of any other:

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

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.

16. List below any business interests, business associations, directorships or partnerships (either within or outside Australia), apart from those already disclosed in any ASIC Extract you may have provided:

Have further details been provided on an attachment page?

YES NO

Legal Action

Note: Business Association - includes a partnership, joint venture, collaboration or similar relationship, however described. This includes any association you have where you are or were a director or company secretary of a company or an office holder of an incorporated association either in or outside of Australia. A business association may be with a person, body or association.

17. Have you personally, or any entity that you have been an officer of, ever been the defendant/respondent to any legal action in the past 10 years?

YES NO

If **NO**, proceed to Q18.

If **YES**, provide the following details:

The legal action was (tick appropriate box):

personal via business association

If via a business association, describe on an attachment page 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)

(dd/mm/yyyy)

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

18. Is there any legal action currently being pursued against you, whether personally or via a business association?

YES NO

If **NO**, proceed to Q19.

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:

Case no. issued by court/tribunal (if known):

Next scheduled hearing date (if known):

(dd/mm/yyyy)

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

Racing and Gambling History

19. Have you ever applied, either personally or via a business association (ie. as a director or company secretary of a company), for any racing or gambling industry licence, concession, approval, authorisation or registration in any jurisdiction*?

YES NO

If **NO**, proceed to Q20.

If **YES**, provide the following details for each application.

(a) If the application was granted/approved or is still pending, provide details on the following page:

Type of licence, approval etc:

Name shown on licence, approval etc:

Licence No. (if known):

Name of Racing/Gambling Regulator (if known):

Licence/approval/association dates:

to (dd/mm/yyyy)

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

Type of licence, approval etc sought:

Date of application (mm/yyyy):

Name of Racing/Gambling Regulator (if known):

Provide reason for refusal or withdrawal of request on an attachment page.

Have further details been provided on an attachment page?

YES NO

Other Regulatory History

20. Have you personally, or any entity that you have been an officer of, ever been investigated by a regulatory body or law enforcement agency (e.g. ASIC, RIA, APRA, ACCC)

YES NO

If NO, proceed to Q21.

If YES, provide the following details.

Name of regulatory body or law enforcement agency:

Nature of investigation:

Date of Hearing (if known):

Result:

Have further details been provided on an attachment page?

YES NO

21. Have you ever been excluded from a casino or racecourse?

YES NO

If NO, proceed to Q22.

If YES, provide details on an attachment page:

Have further details been provided on an attachment page?

YES NO

22. Have you personally, or any entity that you have been an officer of, ever been the subject of disciplinary action, or had an application for any licence or permit refused? Have you personally ever been disqualified from involvement in the management of an entity?

YES NO

If NO, proceed to Q23.

If YES, 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:

Type of action taken and reason:

Date of disqualification (dd/mm/yyyy):

Jurisdiction*:

Reason for disqualification/proceedings:

Have further details been provided on an attachment page?

YES NO

23. Have you been a member of or been employed by the Victorian Gambling and Casino Control Commission in the last two years?

YES NO

If **NO**, proceed to Q24.

If **YES**, provide details below:

Position Held:

Date finished (mm/yyyy):

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

Charges, Findings of Guilt and Convictions

IMPORTANT INFORMATION

If you currently live in Australia or if you have lived in Australia for at least 12 months during the last 10 years this form **must** be accompanied by your **original** National Police Certificate (NPC) from the Victoria Police (refer to instructions at Attachment 2). 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 Q25 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 Q25. 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.

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

24.(a) Do you currently live in Australia or have you lived in Australia for at least 12 months during the last 10 years?

YES NO

If **YES** to Q24(a), an NPC must be provided.

(b) Do you currently live outside Australia or have you lived outside Australia for more than 12 months during the last 10 years?

YES NO

If **YES** to Q24(b), you are requested to seek an equivalent report from the relevant Police Agency which is an original document or a certified copy of the original document. If an equivalent report is not enclosed, provide an explanation on an attachment page.

Have further details been provided on an attachment page?

YES NO

25.(a) Have you ever been charged with, or found guilty of, a criminal offence, or been investigated by a law enforcement agency for an alleged offence against you, that is not recorded on your attached Police documentation?

YES NO

(b) Have you ever participated in a Diversion Program or any like proceedings?

YES NO

If **NO** to Q25(a) & (b), proceed to Q26.

If **YES** to either Q25(a) or (b), provide details below in relation to each matter:

Nature of Offence/Charge:

Date (dd/mm/yyyy):

Jurisdiction*:

Result (if known):

Have further details been provided on an attachment page?

YES NO

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

Financial Particulars

IMPORTANT INFORMATION

You must obtain a 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.

26.(a) Other than disclosed on your Credit Report, have you personally ever been subject to bankruptcy or any insolvency arrangements?

YES NO

If **YES**, complete the following and provide details of circumstances leading to Bankruptcy/ Arrangement proceedings on an attachment page:

Date of Bankruptcy/Arrangement (dd/mm/yyyy):

Date of Discharge/Completion (proposed date, dd/mm/yyyy):

Name of Trustee:

Address:

Telephone number:

(b) Are bankruptcy or any like proceedings pending, in any jurisdiction*?

YES NO

If **YES**, provide details of circumstances leading to these proceedings on an attachment page.

YES NO

27. Have you ever been an officer of an entity that has been wound up, placed into liquidation, had a receiver, controller, administrator or agent for a mortgage appointed, entered into a scheme of arrangement, or been involved in other similar proceedings?

YES NO

If **NO**, proceed to Q28.

If **YES**, complete the following for each matter and provide details of circumstances leading to proceedings on an attachment page:

Company Name:

Type of proceedings:

Commencement Date (dd/mm/yyyy):

Details of trustee, administrator, liquidator, receiver/ manager, regulatory body or law enforcement agency:

Name:

Phone no:

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

28. Other than disclosed on your Credit Report, are you the personal guarantor for someone else's debt or loan?

YES NO

If **NO**, proceed to Q29.

If **YES**, is any person, including any corporation, in respect of whom you have given a guarantee 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

29. Have you enclosed your Credit Report or an equivalent report from the relevant agency in your jurisdiction*?

YES NO

If **YES**, proceed to Q30.

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

30. Are you in default of any debt repayment or loan (including less than \$5,000)? (Note: Do not include details unless a payment is overdue or in arrears)

YES NO

If **NO**, proceed to Q31.

If **YES**, complete the following:

Financial Institution or creditor:

Total amount owing: Total amount in default:

\$ \$

Number of days payment is overdue:

Financial Institution or creditor:

Total amount owing: Total amount in default:

\$ \$

Number of days payment is overdue:

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).

31. 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

Responsible Gambling

IMPORTANT INFORMATION

Responsible Gambling Code of Conduct (Code)

A person registered with the VGCCC as a bookmaker must have a Code approved as part of the registration application. The VGCCC may not approve a new registration application without an approved Code, and your application will not be finalised until a Code is lodged and approved by the VGCCC. You may adopt the approved Victorian Bookmakers' Association generic Responsible Gambling Code of Conduct, which is available at the VGCCC website under 'Responsible Gambling' as Code No.16 on the list of 'Approved Codes of Conduct'. Alternatively, you may amend this approved generic Code or develop your own Code.

If you wish to amend the approved generic Code or to develop your own Code, you must refer to the Ministerial Directions which set out the matters which must be contained in a Code and the criteria and benchmarks applied by the VGCCC in assessing a Code. The Ministerial Directions and the VGCCC criteria and benchmarks are available at the VGCCC website under 'Responsible Gambling'. The VGCCC will then assess the attached Code for approval.

In regard to the Code, one of the following documents must be attached to this application:

- A **statement** confirming that the approved Code developed by the Victorian Bookmakers' Association ('the VBA') has been adopted by the bookmaker (refer to Attachment 4 below); or
- Where the applicant has amended the approved Code, a **copy** of that amended Code; or
- Where the applicant has developed its own Code, a **copy** of that Code.

32. Is one of the above documents attached?

YES

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 information provided in the Schedules appended.

Signature of applicant : Date:(dd/mm/yyyy)

Signature of witness*:

Print name of witness:

* Any adult can be a witness.

SCHEDULE A – Cash at financial institutions

List below all accounts, foreign and domestic, maintained by you solely or in conjunction with another person(s).

Name and address of financial institute	Name of person/s appearing on account	Account number	Date opened (dd/mm/yyyy)	Interest rate	Types of accounts	Balance at current date

SCHEDULE B – Accounts receivable

List below all accounts receivable held by you solely or in conjunction with another person(s). For those not solely held by you, indicate the percentage (%) you hold.

Name and address of debtor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% held	Payment/ period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

SCHEDULE C – Shares, Fixed Interest Security (bonds)

List below the information requested for all shares and bonds held or controlled by you. Whenever interest exists through a trust/mutual fund or holding company, the shares held by such trust/mutual fund or holding company need not be listed. Indicate publicly traded shares and bonds by an asterisk.*

Issuer	Types	Number of Shares or units	Purchase price	Date of purchase (dd/mm/yyyy)	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, along with the names of all persons or entities that share a direct, vested or contingent interest therein. This should include but not be limited to joint ventures, partnerships, sole proprietorships and corporations. For those not solely held by you, indicate the percentage (%) you hold.

Entity	Type of entity	No. of shares* or units	% held	Purchase price	Date of purchase (dd/mm/yyyy)	Name in which held	Persons or entities sharing interest and percentage ownership	Market value

*Shares include US stocks

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, along with the name of persons or entities who share direct, indirect, vested or contingent interest therein. For those not solely held by you, indicate the percentage (%) you hold.

Address/location	Type	Size	Purchase price/ improvements at cost	% held	Date of purchase (dd/mm/yyyy)	Other owners	Income	Market value

SCHEDULE F – Other assets

List below the information requested for all other assets held by you, (i.e. automobiles, personal property, cash surrender value of life insurance policies, pension plans, etc.).

Type of asset	Purchase price	Date of purchase (dd/mm/yyyy)	Market value	Other information

SCHEDULE G – Unsecured loans

List below the information requested for all unsecured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

SCHEDULE H – Secured loans

List below the information requested for all secured loans payable for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral

Unsecured loans = US notes payable Secured loans = mortgages

SCHEDULE I – Other liabilities

List below the information requested for any other indebtedness for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Description of liability	Collateral

SCHEDULE J – Contingent liabilities

List below the information requested for all contingent liabilities for which you are solely or partly obligated. If partly obligated, list percentage (%) of obligation.

Name and address of creditor	Date incurred (dd/mm/yyyy)	Original amount	Unpaid balance	% of obligation	Payment/period	Interest rate	Maturity date (dd/mm/yyyy)	Purpose	Collateral	Persons liable in addition to you

Consent for Release of Information by Law Enforcement Agencies

Gambling Regulation Act 2003

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

Name: _____ (Full name of applicant)

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

CONSENT

The applicant hereby consents to all probity investigations carried out by the Victorian Gambling and Casino Control Commission (the VGCCC) and its staff, including but not limited to:-

(a) Inspection of criminal, intelligence or other records kept or maintained by:

- the Victoria Police;
- any State, Territory, federal or overseas police force;
- any crime investigation agency;
- any corporate regulatory agency;
- any gambling regulatory body;
- any casino regulatory body;
- any Court;
- 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 by the VGCCC to the investigation or assessment of my application for approval as a registered bookmaker under the *Gambling Regulation Act 2003*.

RELEASE

Upon signing this consent, the applicant hereby releases the VGCCC, each law enforcement agency and their servants, agents or contractors to the full extent of the law and against any claim or demands of any kind and any actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken or made in respect of the use or misuse of the information obtained out of this consent, including particulars of any conviction, findings of guilt or other adverse material purporting to relate to the applicant.

ACKNOWLEDGMENT

I acknowledge having read and understood the terms of the consent and have noted that independent legal advice may be sought before signing this consent. This consent commences on the date below and continues until the later of:-

- the VGCCC considers that I am no longer a registered bookmaker; or
- the expiry of any registration as a bookmaker (if granted).

EXECUTION AS A DEED

Signature of applicant

Date (dd/mm/yyyy)

Signature of witness

Printed name of witness (any adult can be a witness)

Financial Information Release Form

Gambling Regulation Act 2003

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

Name: _____
(Full name of applicant)

Address: _____
(Full address of applicant) **(‘applicant’)**

The applicant hereby authorises all **persons** who receive this **financial information release form** from the Victorian Gambling and Casino Control Commission (the VGCCC) and its staff to undertake the **authorised actions** for the **authorised purposes** as set out below:

AUTHORISED ACTIONS

1. To allow the VGCCC to inspect and obtain a copy of any document, record or correspondence in the possession or under the control of the person, which contains information pertaining to the applicant (or to the applicant and another person and to any subsidiary, related body corporate, trust or partnership to which the applicant was a party), including but not limited to:
 - any loan information;
 - any information relating to an account held with a financial institution (passbook, statement or other), including information relating to withdrawals, deposits, transfers and balances;
 - any information (including trust account information) of any solicitor, accountant, real estate agent or other fiduciary.
2. To answer written or verbal queries of, and to provide information (by any means) to the VGCCC to undertake the authorised actions, about the financial resources of the applicant.

Release

In consideration of a bank, other financial institution, solicitor, accountant, financial adviser or any other person or organisation who has lent money to or borrowed from the applicant providing any of those particulars recorded against the applicant as detailed above under the heading “Authorised actions”, **I hereby release** the VGCCC 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 VGCCC to be satisfied that the applicant and each of its associates 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 VGCCC considers that the applicant is no longer a registered bookmaker; or
- the expiry of any registered bookmakers registration (if granted).

Signature of applicant

Date (dd/mm/yyyy)

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 VGCCC includes a reference to a member of its staff and any other person appointed in writing by the VGCCC.

Attachment Page

NOTE:

Please copy if additional attachment pages are required.

Have you used an additional attachment page to provide any further information?

YES

NO

Attachment 1 – Historical Personal Name Extract

An Historical Personal Name Extract is a print-out provided by the Australian Securities & Investment Commission (ASIC) which contains the following information:

- person's name and birth details
- companies against which the person's name is recorded, number and current status
- role(s)* held and residential address
- date appointed and date ceased, where applicable.

* The roles identified in a personal name search include:

- | | | |
|---------------------------|--------------------------------|--------------------------|
| • Administrator | • Local Agents | • Receiver |
| • Appointed Auditor | • Member of a Futures Exchange | • Representative |
| • Appointed Liquidator | • Official Manager | • Representative Futures |
| • Deputy Official Manager | • Petitioner Court Action | • Scheme Manager |
| • Director | • Provisional Liquidator | • Secretary |

When making your search application to ASIC, ensure that you specify that you require an Historical Personal Name Extract and not a Current Personal Name Extract. An Historical Personal Name Extract identifies **both current and historical** roles held by you in organisations registered with ASIC, while the Current Extract identifies only current roles. If your application 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 application 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; and
- it **must not** be dated more than three (3) months from the date your application is lodged.

All matters detailed on your Historical Personal Name Extract may be taken into consideration by the VGCCC. 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 application 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

Email: info.enquiries@asic.gov.au

ASIC's Infoline: 1300 300 630

Attachment 2 – 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 VGCCC. 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 VGCCC's requirements. Your NPC must show the following information:

1. That 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
5. That it is an original document if issued by Victoria Police, or a certified copy if issued by the Australian Federal Police
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 a NPC. For the current fee that applies to your application, go to police.vic.gov.au and search for 'National Police Certificate'.

Disclosures

All matters detailed in your NPC will be taken into consideration by the VGCCC 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 VGCCC by writing to the:

Manager, Public Enquiry Service
Records Services Division, Victoria Police
GPO Box 919, Melbourne, Victoria 3001.

Attachment 2 (cont'd) – 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 3 – Credit Report

You **must** obtain a 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 illion or Equifax. 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

illion

To obtain your Credit Report from illion please visit express.illion.com.au or alternatively, you may contact illion on 13 23 33 to arrange for its provision. Additional information may also be found at illion.com.au.

Equifax

To obtain your Credit Report from Equifax, please visit mycreditfile.com.au or alternatively, you may contact Equifax on 13 83 32 to arrange for its provision. Additional information may also be found at mycreditfile.com.au.

IMPORTANT INFORMATION REGARDING YOUR CREDIT REPORT

When requesting a copy of your Credit Report, you are required to provide the following details:

- Family Name, First Name, Middle Name, Salutation [as stated in the Personal Particulars section of your VGCCC application form];
- any preferred given name [as stated in the Personal Particulars section of your VGCCC 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 VGCCC 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 VGCCC application form. **If you fail to meet any of the requirements noted below, your VGCCC application form will be considered incomplete and returned to you.** Your Credit Report must:

- be submitted to the VGCCC 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 VGCCC application form.

Attachment 4 – Statement of Adoption of an Approved Generic Responsible Gambling Code of Conduct

Statement for completion by applicant for Bookmaker's Registration

Note: This Statement must be completed only if the applicant has adopted an approved generic Responsible Gambling Code of Conduct (Code) approved by the Victorian Gambling and Casino Control Commission.

Name of approved generic code: **Victorian Bookmakers' Association
Responsible Gambling Code of Conduct**

VGCCC Code Number: **16**

Please complete the following:

Date generic code adopted by applicant (dd/mm/yyyy)

Signature of applicant

Date (dd/mm/yyyy)

Printed name of applicant

Please return this Statement to: Victorian Gambling and Casino Control Commission
GPO Box 1988
MELBOURNE VIC 3001

Attachment 5 – Family Members who are Expected to be Involved in your Bookmaking Business

Your family members who are to be involved in your bookmaking business may need to complete a relative questionnaire form.

Note: Your family member **will not** have to complete a questionnaire if any of the following apply:

- a) The family member will not be involved in your bookmaking business,
- b) The family member is aged under 18, or
- c) The family member holds a current bookmaker registration or bookmaker key employee registration.

If none of the above apply, your family member(s) will need to complete a relative questionnaire form. To access the form, click this link: [bookmaker registration – relative questionnaire \(new\)](#)

Please ensure you attach all relative questionnaires together with your application for registration as a bookmaker.