

# Bookmaker registration – corporation

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

## 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 3, 12 Shelley Street  
Richmond 3121

### or via email to:

[contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au)

## Need help?

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

- visit the Victorian Gambling and Casino Control Commission (VGCCC) website at [vgccc.vic.gov.au](http://vgccc.vic.gov.au)
- telephone the VGCCC on 1300 182 457
- email the VGCCC at [contact@vgccc.vic.gov.au](mailto:contact@vgccc.vic.gov.au)

## Important Information

# Bookmaker registration – corporation

## Completing the application form

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.

You must carefully review the application form and lodgement checklist (see page 5) to ensure it is fully completed and that all required attachments are provided. This simple check could save unnecessary delays in registration and processing time of the application.

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

## Who can apply for registration as a bookmaker?

Any person (natural or corporate) can apply to the Victorian Gambling and Casino Control Commission (the VGCCC) for registration as a bookmaker. This form is for a corporation applying to be registered as a bookmaker.

## What does being registered as a bookmaker permit a corporation to do?

A corporation 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 nominee or a key person of the registered bookmaker must be present at an approved racecourse in order to take bets or wagers.

In addition to being registered by the Victorian Gambling and Casino Control Commission, bookmakers must also obtain a club bookmaker's licence from the relevant racing industry controlling body – Racing Victoria Limited, Harness Racing Victoria and Greyhound Racing Victoria. Licences provide the authority for bookmakers to field at race meetings of each code of racing and in some cases, to conduct 24 hour trading at racecourses. The contact details in relation to club bookmaker's licence applications are as follows

### 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

## Nomination of an authorised officer to complete the application form on behalf of the corporation

For the purposes of this application, the corporation must nominate an '**authorised officer**' responsible for the completion of an application form and for the certification of all information provided. The authorised officer will be an associate of the corporation and should have capacity to influence the business direction of the corporation. This capacity to influence extends beyond the day to day management and control of gambling operations, although it may include this. The authorised officer is typically the chairman of the board of directors, managing director, chief executive officer, or a company secretary.

### 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](http://vgccc.vic.gov.au)).

# Bookmaker registration – Corporation

## Who is an associate?

### Who is an Associate?

The questions contained in this application form assist to identify a corporation's associates, who must complete an Associated Individual or Associated Entity form. This application must be accompanied by completed associate forms for relevant associates identified from the completion of this 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:

**"executive officer"**, in relation to a body (whether incorporated or not), means—

- (a) a director, secretary or member of the committee of management of the body (by whatever name called); or
- (b) any other person who is concerned with, or takes part in, the management of the body, whether or not the person's position is given the name of executive officer;

**"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.

Associates may include directors, shareholders with 10% or more of ordinary shares and/or 10% or more of preference shares, subsidiaries, related entities or the ultimate holding entity of the corporation; and any other individual or entity determined by the VGCCC to be an associate. Subsequent investigations by the VGCCC may reveal additional associates of the corporation. These individuals or entities will also be required to complete and submit an appropriate associate form.

## Lodgement of associate forms

Associated Individual and Associated Entity forms are part of the application for registration as a bookmaker and must be lodged with this application form. The VGCCC is aware of the confidentiality of personal information provided in Associated Individual forms. Accordingly, Associated Individual forms may be provided with an application in a sealed envelope with instructions that it may only be opened after it has been lodged with the VGCCC.

Where an Associated Individual has failed 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 authorised officer to organise completion and re-lodgement to the VGCCC.

# Bookmaker registration – corporation

## Who must nominate a nominee and when must a nominee be proposed?

The *Gambling Regulation Act 2003* (the Act) requires that as part of its application to be registered as a bookmaker, a corporation must nominate a natural person to be approved by the VGCCC to be responsible as the nominee on behalf of the registered bookmaker. This provision ensures that one person is accountable for the management and control of the bookmaking business, with the person nominated and approved being liable under the Act as a registered bookmaker. The nominee is responsible for ensuring that the bookmaking business is operated in accordance with legislative and regulatory provisions. In addition, within 60 days, or the longer period allowed by the VGCCC, after—

- (a) a registered bookmaker is notified by the VGCCC of a refusal to approve a person nominated; or
- (b) a person nominated by the registered bookmaker and approved by the VGCCC resigns, is dismissed or otherwise becomes unable to perform the functions of the nominee of the corporation—

the registered bookmaker must nominate another person aged 18 years or more for approval to be the nominee of the corporation. Note: Approval of a nominee does not limit the liability of the corporation as a registered bookmaker.

## 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 by the VGCCC as a bookmaker's key employee. Applications for registration as a bookmaker's key employee are available from the VGCCC's website at [vgccc.vic.gov.au](http://vgccc.vic.gov.au). 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.

## 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, the bookmaker will also be given a set of Directions which give a bookmaker an ongoing responsibility to notify the VGCCC of specified changes in its situation. Whenever a specified change takes place, written notice must be given to the VGCCC within 14 days of the change taking place. If the VGCCC is not notified of a specified change, disciplinary action may be taken against the bookmaker and/or the bookmaker may be prosecuted and fined up to 60 penalty units.

## Bond

Under section 4.5A.5 of the *Gambling Regulation Act 2003*, the VGCCC cannot determine this application until satisfied that the applicant has 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 make contact with the applicant to discuss the requirements of section 94A of the *Racing Act*.

## 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.

## False or Misleading Information

It is an offence under the Act to give information that is false or misleading. If you give false or misleading information, your application may be refused and/or you may be prosecuted and fined up to 60 penalty units (go to Gambling Fees and Fines at [vgccc.vic.gov.au](http://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, may be published on the VGCCC website and in the VGCCC Annual Report.

# Bookmaker registration – corporation

The following documentation, where applicable, **must** be submitted with this application:

A **copy** of the corporation's Certificate of Incorporation – *refer to Q1*

A **copy** of the Constitution/Replaceable Rules – *refer to Q1*

A **copy** of the minute or resolution appointing the officer authorised to apply for registration as a bookmaker on behalf of the corporation – *refer to Q6*

A **copy** of independent documentation confirming any court outcome or, if settled out of court, a **copy** of any settlement agreement – *refer to 'legal action' section on page 7 for full details*

Historical organisational extract from the Australian Securities and Investments Commission – *refer to Q14 and attachment 1*

Nominee, Associated Individual and/or Associated Entity forms, as identified in Q6, Q7, Q17, Q18, Q20, Q21 and Q29(d)

A corporate family tree, if applicable – *refer to Q17*

An Accountant or Auditors statement – *refer to Q22 and attachment 2*

**OR**

Summary of financial information - *refer to Q22(a) and attachment 2(a)*

A financial institution letter – *refer to Q23 and attachment 3*

A list of creditors – *refer to Q25*

Business credit report – *refer to Q26 and attachment 4*

A **copy** of the Trust Deed – *refer to Q29(a)*

Consent for release of information by Law Enforcement Agencies form – *refer to page 18*

Financial information release form – *refer to page 17*

A document relating to the applicant's Responsible Gambling Code of Conduct – *refer to Q30 and attachment 5*

# Bookmaker registration – corporation

## Corporation Details

1. The corporation is applying for (tick applicable box and provide details below):

☐ **new** registration as a Bookmaker; or

☐ **renewal** of registration as a Bookmaker

Full name of the corporation

Date of incorporation (day/month/year):

Australian Company Number (ACN)

Australian Business Number (ABN)

**Note:** A **copy** of the corporation's Certificate of Incorporation and a **copy** of the Constitution/Replaceable Rules must be attached.

Is a copy of each of these documents attached?

YES

NO

2. Corporation's registered office address and contact details:

Daytime telephone number:      Mobile telephone number:

Email address:

3. Postal address (if same as Q2, write 'as above'):

4(a). Has the corporation operated under any other business name/s?

YES

NO

(b) Does it intend to operate under any other business name/s?

YES

NO

If **NO**, proceed to Q5.

If **YES**, provide details below:

**Note:** A **copy** of the section 23 certificate under the *Business Names Act 1962* for each business name listed at Q4 must be attached.

Is a **copy** of relevant certificate attached?

YES

NO

Have further details been provided on an attachment page?

YES

NO

5. Has the corporation's name or business/trading name changed in the last 3 years?

YES

NO

If **NO**, proceed to Q6.

If **YES**, provide details below.

Name changed from:

Name changed to:

Date of change:

Name changed from:

Name changed to:

Date of change:

Have further details been provided on an attachment page?

YES

NO

**6. Name of corporation's authorised officer:**

First name:

Middle name/s:

Surname:

Position held (e.g. company director/secretary):

Daytime telephone number:      Mobile telephone number:

Email address:

**Note:** The authorised officer **must** provide a **copy** of the minute or resolution authorising them to apply for registration as a bookmaker on behalf of the corporation **and** complete an Associated Individual form.

**7. Name of corporation's nominee:**

First Name:

Middle Name/s:

Surname:

**Note:** The nominee must provide a copy of the minute or resolution authorising them to apply for registration as a bookmaker on behalf of the corporation and complete an approval as a nominee of a corporation form.

### Legal Action

**8. Has the corporation ever been the defendant/respondent to any legal action in the past 10 years (including in progress)?**

YES      NO

If **NO**, proceed to Q9.

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

Nature of legal action:

Plaintiff:

Jurisdiction\*:

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

Result/Settlement:

Court or tribunal where matter was or is being heard (if applicable):

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

Date of delivery of judgement (if known):

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 or settlement agreement attached?

YES      NO

Have further details been provided on an attachment page?

YES      NO

**9. Is there any legal action being currently pursued against the corporation?**

YES      NO

If **NO**, proceed to Q10.

If **YES**, provide the following details for each action:

Nature of legal action:

Plaintiff:

Jurisdiction\*:

Court or tribunal where matter was or is being heard (if known):

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

Next scheduled hearing date:

Have further details been provided on an attachment page?

YES      NO

### Racing and Gambling History

**10. Has the corporation ever applied for any racing or gambling industry licence, approval, permit, authorisation, registration etc in any jurisdiction?**

YES      NO

If **NO**, proceed to Q11.

If **YES**, provide the following details of each application over:

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

Type of licence, approval etc:

Licence No. (if known):

Name of Racing/Gambling Regulator (if known):

Name shown on licence, approval etc

Licence/approval/association dates:

to

Have further details been provided on an attachment page?

YES

NO

**11.** Has the corporation ever been the subject of disciplinary action, or had an application for any licence or permit refused?

YES

NO

If **NO**, proceed to Q12.

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

Type of licence, approval etc: Jurisdiction\*:

**(a)** If the application was refused or withdrawn, provide details below.

Reason for refusal or withdrawal:

Type of licence, approval etc sought:

Date of application (month/year):

Name of Racing/Gambling Regulator (if known):

Details of reason for refusal or withdrawal of request:

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

Licence No (if known):

Name of Racing or Gambling Regulator (if known):

Details of action taken or any special conditions or restrictions imposed on a licence, approval etc:

Have further details been provided on an attachment page?

YES

NO

### Charges, Findings of Guilt and Convictions

**12.** Has the corporation ever been charged with, or found guilty of, a criminal offence, or been investigated by a law enforcement agency for an alleged offence against the corporation?

YES

NO

If **NO**, proceed to Q13.

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

Nature of Offence

City or Town:

Date: (day/month/year)

Court/Tribunal etc:

Jurisdiction\*:

Result of Hearing or other Disposition:

If the ownership/management structure has changed from that at the time of the offence/s, describe how:

Have further details been provided on an attachment page?

YES

NO

**13.** Has the corporation ever been investigated by a regulatory body or law enforcement agency? (e.g. ASIC, RIA, APRA, ACCC)

YES

NO

If **NO**, proceed to Q14.

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

Nature of investigation or charge:

City or Town:

Jurisdiction\*:

Have further details been provided on an attachment page?

YES

NO

**14.** Has the Corporation ever taken part in a diversion program?

YES

NO

If **NO**, proceed to Q15. If **YES**, provide the following details:

Nature of investigation or charge:

City or Town:

Jurisdiction\*:

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.

## Corporate structure and establishment of Associates

### IMPORTANT INFORMATION

#### Historical organisational extract from the Australian Securities and Investments Commission (ASIC)

All corporations incorporated under Australian Corporations Law **must** lodge with this application form an historical organisational extract from ASIC (refer to instructions at attachment 3).

**15.** Is an historical organisational extract from ASIC attached?

YES

NO

**16.** Provide below details of the corporation in relation to the following aspects of its 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:

(vi) 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

**17.** Detail below any individuals or entities entitled to receive from the corporation, directly or indirectly, any compensation (excluding wages and salaries) or benefit based on a percentage or share of the proceeds of gambling:

Name:

Name:

Name:

**Note:** You will be notified should any persons and/or entities named in response to Q17 need to complete an appropriate associate form.

Have further details been provided on an attachment page?

YES

NO

**18.** Does the corporation have an ultimate holding company (as defined below)?

YES

NO

If **NO**, proceed to Q19.

If **YES**, provide the ultimate holding company's name:

**Note:** A corporate family tree detailing the relationship of the corporation to any subsidiary, parent and related entities must be provided, if such a structure exists.

Is a corporate family tree attached?

YES

NO

- **'ultimate holding company'** - is a corporation that is a holding company of the applicant company and is itself a subsidiary of no other corporation

(**Note:** Any entity named in response to Q17 **must** complete an Associated Entity form and associates of an ultimate holding company named in response to Q17 **must** also complete an Associated Entity or Associated Individual form as appropriate).

**19.** List below the names of all current company directors and the company secretary.

First name:

Middle name/s:

Surname:

Position held:

First name:

Middle name/s:

Surname:

Position held:

First name:

Middle name/s:

Surname:

Position held:

First name:

Middle name/s:

Surname:

Position held:

First name:

Middle name/s:

Surname:

Position held:

**Note:** All individuals identified above **must** complete an Associated Individual form, except the proposed nominee, who must complete an application for approval as a nominee form.

**20.** Give the total number of ordinary shares (voting and income entitlement shares) and preference shares (income entitlement shares only):

(i) ordinary shares (voting and income entitlement shares):

Total number:

(ii) preference shares (income entitlement shares only):

Total number:

**21.** List below the names of the ten (10) largest shareholders and the number of shares held:

Name of shareholder:

Class of share:

No of shares held:

Name of shareholder:

Class of share:

No of shares held:

Name of shareholder:

Class of share:

No of shares held:

Name of shareholder:

Class of share:

No of shares held:

Name of shareholder:

Class of share:

No of shares held:

|                      |                    |                                |
|----------------------|--------------------|--------------------------------|
| Name of shareholder: |                    | Shares held by:                |
| Class of share:      | No of shares held: | Full name of beneficial owner: |
| Name of shareholder: |                    | No of shares:                  |
| Class of share:      | No of shares held: | Shares held by:                |
| Name of shareholder: |                    | Full name of beneficial owner: |
| Class of share:      | No of shares held: | No of shares:                  |
| Name of shareholder: |                    | Shares held by:                |
| Class of share:      | No of shares held: | Full name of beneficial owner: |
| Name of shareholder: |                    | No of shares:                  |
| Class of share:      | No of shares held: |                                |

**Note:** Shareholders with 10% or more of shares in the corporation **must** complete an Associated Entity or Associated Individual form as appropriate. The VGCCC may also require any other shareholder of the corporation to complete an associate form.

**22.** Do any of the shareholders holding 10% or more of shares hold those shares on behalf of, or in trust for, any person or entity?

YES                      NO

If **NO**, proceed to Q23.

If **YES**, provide details below:

Shares held by:

Full name of beneficial owner:

No of shares:

Shares held by:

Full name of beneficial owner:

No of shares:

**Note:** Where a beneficial owner of shares is named in response to Q22, and the beneficial owner holds a total of 10% or more of ordinary or preferential shares, the beneficial owner of the shares **must** complete an Associated Entity or Associated Individual form as appropriate.

## Financial Particulars

### IMPORTANT INFORMATION

#### Accountant or Auditor's statement

The Accountant or Auditor's statement must be completed and provided with this application.

#### Holding Company's Accountant or Auditor's statement (if applicable)

An Accountant or Auditor's statement must be completed and provided with this application in respect of the holding company, if applicable.

#### Summary of financial information

In lieu of providing an accountant or auditor's statement, the applicant can provide a summary of financial information for **the three most recent completed financial years**. The applicant is advised to consult with its accountant or auditor to ensure that the true and correct summary of financial information is provided. The VGCCC may subsequently request audited financial statements be submitted in the event that this summary is found to be incomplete, incorrect or misleading.

The applicant must also ensure the solvency declaration at the end of this section is signed by each Director of the applicant. The solvency declaration requires each Director to declare that they have a reasonable belief that the company will be able to pay its debts as and when they become due and payable.

This solvency declaration will assist the Commission to consider whether the applicant is of sound and stable financial background as required in the *Gambling Regulation Act 2003*.

23. Is an Accountant or Auditor's statement for the Applicant or, where applicable, the holding company attached?

YES NO

If **YES**, proceed to Q24.

If **NO**, provide reasons on an attachment page.

(a) If an Accountant or Auditor's statement is not attached, is the summary of financial information and Director's solvency declaration attached?

YES NO

Have further details been provided on an attachment page?

YES NO

### IMPORTANT INFORMATION

#### Financial institution letter

The financial institution letter (see attachment 3) **must** be forwarded to the applicant's major financial provider for completion and submission as part of this application. Where the applicant has no financial history or has traded for less than 12 months, but a holding company exists, the financial institution letter should be forwarded to the holding company's major financial institution for completion and submission as part of this application.

24. Is a financial institution letter from the corporation's or, if applicable, the holding company's major financial provider attached?

YES NO

25. Provide details of all financial institutions and other sources with which the corporation has accounts, borrowings or investments of \$50,000 or more:

(i) Financial Institution/Source name:

Branch/Source address:

Nature of account:

(ii) Financial Institution/Source name:

Branch/Source address:

Nature of account:

Have further details been provided on an attachment page?

YES NO

### IMPORTANT INFORMATION

#### List of Creditors

A listing of the corporation's creditors, stating the name of the creditor, amount owing and number of days debt has been owed, if applicable, must be attached. The list should be completed as at the end of the latest calendar month and be **certified by the authorised officer** on behalf of the corporation as to its accuracy. Where a corporation has never traded but a holding company exists, a listing of the holding company's creditors must instead be provided as part of this application.

26. Is a listing of the corporation's creditors or, if the corporation has never traded but a holding company exists, a listing of the holding company's creditors attached?

YES NO

If **YES**, proceed to Q27.

If **NO**, provide reasons on an attachment page.

Have further details been provided on an attachment page?

YES NO

### IMPORTANT INFORMATION

All applicants (whether a company or an incorporated association) **must** lodge with this application form a business credit file. (refer to instructions at attachment 4).

27. Is the corporation's business credit file attached?

YES NO

28. Other than what has been disclosed on the Credit File, is the corporation 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 Q29.

If **YES**, complete the following (Note: All amounts must be stated in Australian currency):

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

29. Has the corporation ever 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? (**Note:** Include any pending arrangements known to the Corporation)

YES NO

If **NO**, proceed to Q30.

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

Date action taken (month/year):

Type of proceedings:

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

Name:

Phone number:

Reason for action taken:

Have further details been provided on an attachment page?

YES NO

30. Is the corporation a Corporate Trustee?

YES NO

If **NO**, proceed to Q31.

If **YES**, Q30(a) - (d) **must** be completed.

(a) Name(s) of Trust:

Address:

Type of Trust (check one only):

Discretionary Trust Unit Trust

Is a copy of the Trust Deed attached?

YES

(b) List below details of individuals and/or entities that are beneficiaries or unit holders of the Trust:

Full name:

Company Individual (check appropriate box)  
% of ownership: Income:

Full name:

Company Individual (check appropriate box)  
% of ownership: Income:

Full name:

Company Individual (check appropriate box)  
% of ownership: Income:

Full name:

Company      Individual      (check appropriate box)  
% of ownership:      Income:

(c) Specify all of the current beneficiaries/unit holders of the Trust who received 10% or more of the Trust's income distribution in any one of the last three (3) years:

Name:

Name:

Name:

(d) Identify below all trust beneficiaries/unit holders with voting rights that, by virtue of the Trust Deed, enable them individually or as a group to remove/change the Trustee or to influence the Trustee's decisions:

Name:

Name:

Name:

**Note:** All individuals identified at Q30(d) above **must** complete an Associated Individual form or Associated Entity form.

Have further details been provided on an attachment page?

YES      NO

31. Other than what has been disclosed on the Credit File, has the corporation ever been subject to bankruptcy or any insolvency arrangements?

YES      NO

If **NO**, proceed to Q32.

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):

**Note:** If you are a discharged bankrupt, a copy of your Certificate of Discharge From Bankruptcy must accompany this application (Do not send the original certificate).

Is a copy enclosed?

YES      NO

32. Is the corporation the guarantor for someone else's debt or loan?

YES      NO

If **NO**, proceed to Q33.

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

## Responsible Gambling

### IMPORTANT INFORMATION

#### Responsible Gambling Code of Conduct (Code)

A corporation 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 the application will not be finalised until a Code is lodged and approved by the VGCCC. You may adopt the approved 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 5 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.

33. Is one of the above documents attached?

YES      NO

## Declaration by Authorised Officer

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.

Signature of authorised officer:

X  
Signature of authorised officer

Date:

Signature of witness\*:

X  
Signature of witness

Date:

Print name of witness:

\* Any adult can be a witness.

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# 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: \_\_\_\_\_ of  
(Full name of corporation)

Address: \_\_\_\_\_ ('applicant')  
(Full address of corporation)

I, \_\_\_\_\_  
(Full name of Authorised Officer signing the application on behalf of the corporation)

being the duly authorised officer of the corporation hereby authorise all **persons** who receive a photocopy of this **financial information release form** from the Victorian Gambling and Casino Control Commission (VGCCC) 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 corporation is no longer a registered bookmaker; or
- the expiry of any registration as a bookmaker (if granted).

X \_\_\_\_\_  
Signature of authorised officer

Date:

## 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.

# 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: \_\_\_\_\_ of  
(Full name of applicant)

Address: \_\_\_\_\_ ('corporation')  
(Full address of applicant)

## Consent

The applicant hereby consents to all probity investigations carried out by the Victorian Gambling and Casino Control Commission (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 crime investigation agency;
- any gambling regulatory body;
- any Court;
- any State, Territory, federal or overseas police force;
- any corporate regulatory agency;
- any casino regulatory body;
- any government agency.

(collectively referred to as 'law enforcement agencies')

(b) release of particulars of any convictions, findings of guilt or other information recorded against the applicant 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 a bookmaker's registration 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.

## Acknowledgement

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

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

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

### Execution as a Deed

X \_\_\_\_\_  
Signature of authorised officer

Date:

X \_\_\_\_\_  
Signature of witness

Date:

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

## Attachment 1 – Historical organisational extract

### Background

A historical organisational extract identifies the type, status, registered address, roles within the organisation, share structure, members and charges and documents lodged (current and historical) of organisations registered with the Australian Securities and Investments Commission (ASIC).

When making a search application to ASIC, ensure that you specify that you require a historical organisational extract and **not** a current organisational extract. A historical organisational extract identifies both **current and historical** information about the applicant, while the current extract identifies only current information. If this application form is lodged with an extract other than an historical organisational extract it will be considered incomplete.

In addition, the historical organisational extract **must** have been issued within three months of the date of lodgement of this form. If you fail to meet any of these requirements (i.e. you do not provide a historical organisational extract or you enclose either a photocopied extract or an extract issued more than three months prior to the date of lodgement of this form) the application form will be considered incomplete.

All matters detailed in the applicant's historical organisational extract are taken into consideration by the Victorian Gambling and Casino Control Commission. Should you wish to dispute or amend any of the information disclosed in the applicant's historical organisational extract you should do so with ASIC prior to lodging your application.

### Fee for searching ASIC databases

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 broker delivery fees.

ASIC can advise you of the cost of obtaining a historical organisational extract.

### How to apply for your historical organisational extract

A historical organisational 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: [asic.gov.au](http://asic.gov.au)

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

ASIC's Infoline: 1300 300 630

## Attachment 2 – Accountant or Auditor’s statement

*Gambling Regulation Act 2003*

### Background

In the matter of this application, and for the purposes of ongoing monitoring, Section 4.5A.4(2)(c) of the *Gambling Regulation Act 2003* (the Act) requires the Commission to consider whether an applicant for registration as a bookmaker or renewal of such registration is of ‘sound and stable financial background’.

The following statement is to be completed by a Certified Practicing Accountant or Associate Chartered Accountant. This statement is provided for the sole purpose of assisting the Commission to assess an application made under the Act.

Name of applicant:

Name of accountant or auditor:

Accountant or auditor’s address:

Qualification: ☐ Certified Practicing Accountant ☐ Chartered Accountant

I have considered all relevant documentation relating to the financial affairs of the above applicant. I am satisfied that at the time of making this statement, the applicant is able to pay its debts when and as they become due and payable.

Please specify below, or attach to this statement, any qualifications or explanations relating to the above statement that you wish to make.

X  
\_\_\_\_\_  
Signature of accountant

Date:

(Printed name of signatory)

# Attachment 2(a) – Summary of financial information

*Gambling Regulation Act 2003*

## Background

In lieu of providing an accountant or auditor's statement, the applicant can complete this section with the required summary of its financial information for the three most recent completed financial years. The applicant is advised to consult with its accountant or auditor to ensure that a true and correct summary of financial information is provided.

The VGCCC may subsequently request audited financial statements be submitted in the event that this summary is found to be incomplete, incorrect or misleading. The applicant must also ensure the solvency declaration at the end of this section is signed by each Director of the applicant. The solvency declaration requires each Director to declare that they have a reasonable belief that the company will be able to pay its debts as and when they become due and payable.

This solvency declaration will assist the Commission to consider whether the applicant is of sound and stable financial background for the purposes of the *Gambling Regulation Act 2003*.

Year ended

### Profit & Loss Statement

|                     |  |  |  |
|---------------------|--|--|--|
| Total Sales/Revenue |  |  |  |
| Less: Cost of Sales |  |  |  |

|                        |  |  |  |
|------------------------|--|--|--|
| Gross Operating Profit |  |  |  |
| Other Income (specify) |  |  |  |
|                        |  |  |  |
|                        |  |  |  |
|                        |  |  |  |

|                             |  |  |  |
|-----------------------------|--|--|--|
| <b>Total Income</b>         |  |  |  |
| Less: Operating Expenditure |  |  |  |

|  |  |  |  |
|--|--|--|--|
| <b>Net Profit/(Loss) before taxation</b> |  |  |  |
| Less: Taxation Payable                   |  |  |  |

|   |  |  |  |
|---|--|--|--|
| <b>Net Profit/(Loss) after taxation</b> |  |  |  |
|---|--|--|--|

|  |  |  |  |
|--|--|--|--|
| <b>Profit &amp; Loss Appropriation</b> |  |  |  |
| Net Profit/(Loss) after taxation       |  |  |  |
| Retained Profits/(Losses) b/fwd        |  |  |  |
| Distribution to Beneficiaries          |  |  |  |
| Dividends declared/paid                |  |  |  |
| Others (specify)                       |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|  |  |  |  |
|--|--|--|--|
| <b>Retained Profits/(Losses) c/fwd</b> |  |  |  |
|--|--|--|--|

Year ended

### Current Assets

|  |  |  |  |
|--|--|--|--|
| Cash & deposits                            |  |  |  |
| Trade debtors                              |  |  |  |
| Other debtors                              |  |  |  |
| Inventories                                |  |  |  |
| Amounts owing by related parties/entities  |  |  |  |
| Amounts owing by shareholders/unit-holders |  |  |  |
| Others (please specify)                    |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|                             |          |  |  |
|-----------------------------|----------|--|--|
| <b>Total current assets</b> | <b>a</b> |  |  |
|-----------------------------|----------|--|--|

|  |  |  |  |
|--|--|--|--|
| <b>Non-current assets</b>                  |  |  |  |
| Property, plant & equipment                |  |  |  |
| Intangible assets                          |  |  |  |
| Amounts owing by related parties/entities  |  |  |  |
| Amounts owing by shareholders/unit-holders |  |  |  |
| Others (please specify)                    |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|                                 |          |  |  |
|---------------------------------|----------|--|--|
| <b>Total non-current assets</b> | <b>b</b> |  |  |
|---------------------------------|----------|--|--|

|                           |          |  |  |
|---------------------------|----------|--|--|
| <b>Total assets (a+b)</b> | <b>c</b> |  |  |
|---------------------------|----------|--|--|

### Current liabilities

|  |  |  |  |
|--|--|--|--|
| Bank overdraft & loans (secured)           |  |  |  |
| Trade creditors                            |  |  |  |
| Sundry creditors                           |  |  |  |
| Amounts owing by related parties/entities  |  |  |  |
| Amounts owing by shareholders/unit-holders |  |  |  |
| Tax/GST liabilities                        |  |  |  |
| Others (please specify)                    |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|                                  |          |  |  |
|----------------------------------|----------|--|--|
| <b>Total current liabilities</b> | <b>d</b> |  |  |
|----------------------------------|----------|--|--|

Year ended

#### Non-current liabilities

|  |  |  |  |
|--|--|--|--|
| Bank overdraft & loans (secured)           |  |  |  |
| Amounts owing by related parties/entities  |  |  |  |
| Amounts owing by shareholders/unit-holders |  |  |  |
| Provisions                                 |  |  |  |
| Others (please specify)                    |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

|                                       |          |  |  |
|---------------------------------------|----------|--|--|
| <b>Total non- current liabilities</b> | <b>e</b> |  |  |
|---------------------------------------|----------|--|--|

|                          |          |  |  |
|--------------------------|----------|--|--|
| <b>Total liabilities</b> | <b>f</b> |  |  |
|--------------------------|----------|--|--|

|                         |          |  |  |
|-------------------------|----------|--|--|
| <b>Net assets (c-f)</b> | <b>g</b> |  |  |
|-------------------------|----------|--|--|

#### Equity

|                               |  |  |  |
|-------------------------------|--|--|--|
| Issued capital/settlement sum |  |  |  |
| Reserves                      |  |  |  |
| Retained profits/(losses)     |  |  |  |
| Others (please specify)       |  |  |  |
|                               |  |  |  |
|                               |  |  |  |
|                               |  |  |  |

|                     |          |  |  |
|---------------------|----------|--|--|
| <b>Total equity</b> | <b>h</b> |  |  |
|---------------------|----------|--|--|

Net assets **(g)** must be equal to total equity **(h)**

## Authorised officer declaration

I, the authorised officer of the applicant declare and confirm that the attached audited financial statements or the summary of financial information provided are true and correct on the understanding that the applicant and myself are liable to prosecution for providing false and misleading information.

Name of authorised officer

X

Signature of authorised officer

Date:

## Directors declaration

The persons listed below declare that we are the Directors of the applicant and that we have enquired into the financial affairs of the applicant. We declare that we are satisfied that at the time of making this application, the applicant is able to pay its debts as and when they become due and payable.

Name of Director:

X

Signature of Director

Date:

Name of Director:

X

Signature of Director

Date:

Name of Director:

X

Signature of Director

Date:

Name of Director:

X

Signature of Director

Date:

Name of Director:

X

Signature of Director

Date:

## Attachment 3 – Financial institution letter

The Manager,

(Name/Address of Bank)

Dear Sir/Madam

(applicant's name)

has applied to the Victorian Gambling and Casino Control Commission (the VGCCC) for registration as a bookmaker.

As part of the application process, the VGCCC is performing a review of this company. In connection with this review, we request that you provide the following details:

- the amounts outstanding and available under all facilities made available to the company;
- the next review date and expiry date for each existing facility;
- the security held over each facility outlined above;
- whether any of the original facilities are in default of any payments of principal or interest;
- the nature of any current or previous discussions between yourselves and the corporation which may materially impact upon the continuing availability of credit to the corporation or have previously resulted in alterations to the original funding facility; and
- confirm that the bank supports the application.

The completion of this review is an integral part of the processing of the application for registration as a bookmaker and accordingly, I would appreciate your reply at the earliest convenience.

Please forward your reply on this matter directly to the undersigned at the address listed below.

Yours sincerely,

X  
\_\_\_\_\_  
Signature

Date:

Name:

Position:

Address:

## Attachment 4 – Business credit file

### Background

As part of this application form, the applicant must apply for a business credit file (credit file) which will identify any matters entered against the applicant by any financial provider. A business credit file can be obtained from either Equifax or illion.

The credit file must be forwarded to the VGCCC with this application form. The credit file must be no older than three (3) months at lodgement of the application. If the applicant fails to meet any of these requirements or does not attach a credit file, the application form will be considered incomplete.

**All** matters detailed in the credit file are taken into consideration by the VGCCC and are essential to allow an assessment of the applicant's financial resources. If the applicant wishes to dispute any of the information disclosed in the credit file, the provider of the credit file must be contacted prior to the application form being lodged.

### How to apply for a business credit file

#### illion

To obtain your Credit Report from illion please visit [express.illion.com.au](https://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](https://illion.com.au).

illion will advise the cost of obtaining a credit file.

#### Equifax

- To obtain your Credit Report from Equifax, please visit [mycreditfile.com.au](https://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](https://mycreditfile.com.au).

Equifax will advise the cost of obtaining a credit file.

## Attachment 5 – Statement of adoption of an approved generic Responsible Gambling Code of Conduct

### Statement for completion by Authorised Officer

**Note:** This statement must be completed only if the applicant company 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:

VGCCC code number\*:

Date Code adopted by applicant (day/month/year):

**Note:** A copy of the minutes of the board which confirms adoption of an approved generic Code **must** be attached.

Is a copy of the minutes attached?

☒ YES

X  
\_\_\_\_\_  
Signature of authorised officer

Date:

X  
\_\_\_\_\_  
Signature of witness

Date:

Printed name of authorised officer

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

\* The VGCCC code number can be found with the Code on the VGCCC website.

This attachment page is provided for additional information that requires more space than that provided in the original question. Precede your entry with the question number and title to which the additional information relates.

Please copy if additional attachment pages are required.

[illegible]

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

YES

NO

This attachment page is provided for additional information that requires more space than that provided in the original question. Precede your entry with the question number and title to which the additional information relates.

Please copy if additional attachment pages are required.

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

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

YES

NO