

Commercial Raffle Organiser's licence – approval as a nominee

This package contains the application and information material for approval as a nominee of a Commercial Raffle Organiser.

How to apply

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 liquor or 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

Commercial Raffle Organiser's licence – approval as a nominee

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

False or misleading information

It is an offence under the *Gambling Regulation Act 2003* (referred to in this form as 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 [refer to the Victorian Gambling and Casino Control Commission (VGCCC) website for the current value of a penalty unit].

Are you required to notify changes while your application is in progress?

Between lodging this form and its determination by the VGCCC, you must notify the VGCCC in writing about any changes to the information you have provided (including any documents lodged with the application). Failure to do so may result in you being prosecuted and fined up to 60 penalty units.

What is a Nominee and what are a Nominee's responsibilities?

The Act requires that if a Commercial Raffle Organiser's Licence is granted to a body corporate, it must nominate a natural person to be approved by the VGCCC to be responsible as the licensee on behalf of the commercial raffle organiser. This provision ensures that one person is accountable for the management and control of the business of the commercial raffle organiser, with the person nominated and approved being liable under the Act as licensee.

When must a Nominee be proposed?

A natural person must be nominated as nominee within 60 days, or any longer period allowed by the VGCCC, after a licensee is notified that it has been granted a licence.

How can the application form be lodged?

Your completed application form (including all attachments) can be submitted by post or lodged in person at the VGCCC's office.

Are you required to notify changes following determination of your application?

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

How long does the consideration process take for nominee approval?

Investigation and approval of a proposed nominee takes approximately the same time as it does to approve a Commercial Raffle Organiser's Licence.

What if a commercial raffle organiser doesn't nominate a nominee or the nominee resigns?

If a commercial raffle organiser fails to nominate an individual as nominee (or if the nominee has resigned, been dismissed) the directors or committee members of the body corporate/managing committee of the club are each individually responsible and liable under the Act as licensee until such a time as an individual is nominated and approved by the VGCCC.

How long does an approval last?

The approval of a nominee lasts for the life of the current Commercial Raffle Organiser's Licence (approval may be affected if disciplinary action is required).

Privacy Policy Statement – The VGCCC 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 *Gambling Regulation Act 2003*. Go to vgccc.vic.gov.au to access this Act.

Commercial Raffle Organiser's licence – approval as a nominee

This information will help you complete the process to apply for approval as nominee of a commercial raffle organiser.

Before you complete the application form:

Step 1:

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 1 – 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 2:

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 2 – Historical Personal name Extract' at the back of this application for more information.

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:

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 5.

Step 5:

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

Step 6:

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

Your application must include the following:

- National Police Certificate
- Historical Personal Name Extract from ASIC
- Credit report
- Passport size photos and
- any other document that forms part of your application.

Please note:

- 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

Commercial Raffle Organiser's licence – approval as a nominee

OFFICE USE ONLY

Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

Details of Company or Incorporated Association

1. This request for approval as a nominee relates to (select applicable box and provide details below):

an application for a new Commercial Raffle Organiser's Licence

an application for renewal of a Commercial Raffle Organiser's Licence

an application as a new nominee of the holder of a current Commercial Raffle Organiser's Licence

Commercial Raffle Organiser's name:

Commercial Raffle Organiser's Licence number (if applicable):

Personal Particulars

IMPORTANT INFORMATION

You **must** ensure that **all** names noted in Q2(a) - (c) are advised to the providers of your National Police Certificate and Credit Report.

2. (a) Mr/Mrs/Miss/Ms (Circle) Male Female

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) 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**, provide additional 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):

(c) Have you had any legal name changes?

YES

NO

If **NO**, proceed to Q3. If **YES**, provide additional 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

Commercial Raffle Organiser's licence – approval as a nominee

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

3. Current Residential Address:

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 two (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 two passport size photographs:

YES

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

Attach colour
passport
photographs
here

Racing and Gambling History

7. Other than in Victoria, have you ever applied for any racing or gambling industry licence, approval, authorisation or registration?

YES NO

If **NO**, proceed to Q19. If **YES**, in respect of each application complete (a) and (b) below and proceed to Q8.

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

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 (mm/yyyy)

(b) If the application was refused or withdrawn, provide details below and reason for refusal or withdrawal on an attachment page.:

Type of licence, approval etc sought:

Date of application:

(mm/yyyy)

Licence No. (if known):

Name of Racing/Gambling Regulator (if known):

Have further details been provided on an attachment page?

YES NO

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

8. With respect to Q7(a), other than in Victoria have you ever had a licence, approval, authorisation or registration suspended, cancelled, amended or revoked, or been the subject of disciplinary action by a racing or gambling regulatory body? (Note: Include details of any special conditions or restrictions imposed on a licence, approval authorisation or registration)

YES NO

If **NO**, proceed to Q9. If **YES**, provide the following details:

Type of licence, approval etc:

Licence No. (if known)

Name of Gaming Regulator (if known)

Date action taken (mm/yyyy)

Type of action taken and reason:

Have further details been provided on an attachment page?

YES NO

9. Have you been a member of or been employed by the Victorian Gambling and Casino Control Commission or its predecessors within the last four years?

YES NO

If **NO**, proceed to Q10. If **YES**, provide details below:

Position Held:

Date finished (mm/yyyy):

10. Have you ever been excluded from a casino either in Australia or overseas (list of excluded persons, book of cheats, Black Book – USA etc)?

YES NO

If **NO**, proceed to Q11. If **YES**, provide details on an attachment page

Have further details been provided on an attachment page?

YES NO

Other Regulatory History

11. In Victoria or elsewhere, have you ever had any other (non gaming) licence, approval, authorisation or registration, suspended, cancelled, amended or revoked, or been the subject of disciplinary action by a regulatory body? (Note: Exclude your drivers licence and motor vehicle registration and include details of any special conditions or restrictions imposed on a licence, approval etc)

YES NO

If **NO**, proceed to Q12. If **YES**, provide details below:

Type of licence, approval etc:

Licence No. (if known)

Name of Regulator (if known)

Date action taken (mm/yyyy)

Type of action taken and reason:

Have further details been provided on an attachment page?

YES NO

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

Legal Action

12. During the last 10 years, have you been personally named as either a defendant or a respondent in any legal action? (Note: Include any legal action of a private nature as well as any instances where you have been personally named as either a defendant or a respondent in your capacity as a director, secretary or committee member of a company or an incorporated association, as a partner in a partnership or as a sole trader)

YES NO

If **NO**, proceed to Q13. If **YES**, provide the following details for each action:

Nature of legal action:

Plaintiff:

Jurisdiction*:

Result/Settlement (indicate here if not finalised):

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):

(dd/mm/yyyy)

If a matter has been finalised you **must** provide a **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement, regardless of whether any terms of the agreement are confidential. Copy of the court outcome or settlement agreement attached?

YES

Have further details been provided on an attachment page?

YES NO

13. During the last 10 years, has any legal action been taken against a company, incorporated association or partnership of which you were at the time a director, secretary or committee member or partner?

YES NO

If **NO**, proceed to Q14. If **YES**, provide the following details for each action:

Nature of legal action:

Briefly describe how your responsibilities or actions related to this matter:

Plaintiff:

Jurisdiction*:

Result/Settlement (indicate here if not finalised):

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):

(dd/mm/yyyy)

If a matter has been finalised you **must** provide a **copy** of independent documentation confirming the court outcome or, if settled out of court, a **copy** of the settlement agreement, regardless of whether any terms of the agreement are confidential. Copy of the court outcome or settlement agreement attached?

YES

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

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

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 1). 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 Q15 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 Q15. You **must** ensure that **all** names noted in Q2(a) - (c) 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.

14. (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 Q14(a), a NPC must be provided.

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

If **YES** to Q14(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

15. Other than already disclosed in your NPC or any equivalent report from your local police agency:

(a) Have you ever been found guilty of any offence?

YES NO

(b) Is there any investigation or charge currently pending against you in respect of any offence?

YES NO

(c) Have you ever participated in a Diversion Program?

YES NO

If **NO** to Q15(a), (b) & (c), proceed to Q16. If **YES** to Q15(a), (b) or (c), provide details below in relation to each matter.

Nature of Offence/Charge:

Date:

(dd/mm/yyyy)

Jurisdiction*:

Result:

Result of Hearing or other Disposition (if known)

Have further details been provided on an attachment page?

YES NO

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Assigned to (Print Name): _____

Business Interests

IMPORTANT INFORMATION

Historical Personal Name Extract from the Australian Securities and Investments Commission (ASIC) and/or Equivalent Report from Other Jurisdictions

Regardless of your place of residence, you are required to provide an **original** 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 the ASIC Historical Personal Name Extract from the regulatory authority in each of those jurisdictions with this form. Refer to Attachment 2 for further instructions for obtaining an extract from ASIC and for the type of information an equivalent report is expected to reveal.

16. (a) Is your ORIGINAL 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 Q17. 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 from the regulatory authority in any of those jurisdictions has not been enclosed on an attachment page.

Have further details been provided on an attachment page?

YES NO

IMPORTANT INFORMATION

Q17 relates to any business interests, directorships or partnerships (either within or outside Australia), **not** disclosed in your ASIC Extract or any equivalent report. When completing Q17 you must disclose details of:

- **All** 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
- **All** 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.

17. List below any business interests, directorships or partnerships (either within or outside Australia), NOT disclosed in your Extract from ASIC or any equivalent report:

Have further details been provided on an attachment page?

YES NO

18. Have you ever been disqualified from acting as a director or company secretary of a company or are any like proceedings pending?

YES NO

If **NO**, proceed to Q19. If **YES**, complete the following:

Date of disqualification:

(dd/mm/yyyy)

Jurisdiction*:

Reason for disqualification/proceedings:

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

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Assigned to (Print Name): _____

Financial Particulars

IMPORTANT INFORMATION

When completing the statement of liabilities, you are required to provide details of **all** financial institutions/sources with which you have borrowings/liabilities of \$50,000 or more. As example, **all** loans, debt or credit facilities \$50,000 or greater.

19. Statement Of Liabilities

(a) Property (including: residential home, holiday home, apartment, business premises, commercial property, investment property etc.) where the mortgage is \$50,000 or greater.

(i) Property address:

Name of mortgagee:

Address of mortgagee:

Current market value (\$): Amount owing (\$): Share of ownership (%):

(ii) Property address:

Name of mortgagee:

Address of mortgagee:

Current market value (\$): Amount owing (\$): Share of ownership (%):

(b) Motor Vehicles, Boats, Caravans, Equipment and Machinery (loans/credit \$50,000 or more).

(i) Description:

Name of credit provider:

Address of credit provider:

Current market value (\$): Amount owing (\$): Share of ownership (%):

(ii) Description:

Name of credit provider:

Address of credit provider:

Current market value (\$): Amount owing (\$): Share of ownership (%):

(c) Credit card/s you hold (e.g. Bankcard, MasterCard, Visa, Store Cards etc.) owing \$50,000 or more.

(i) Name of credit provider:

Type of card:

Account number:

Total amount owing (\$): Share of responsibility (%):

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

(ii) Name of credit provider:

Type of card:

Account number:

Total amount owing (\$): Share of responsibility (%):

Have further details been provided on an attachment page?

YES NO

(d) Financial institutions/sources, other than those already detailed at Q24(a), (b) and (c), with which you have borrowings (including all personal or business loans, debentures, overdraft facilities etc.) of \$50,000 or greater.

(i) Name of institution/source:

Total amount (\$): Share of responsibility (%):

Institution/source address:

Type of Loan:

Account Number:

(ii) Name of institution/source:

Total amount (\$): Share of responsibility (%):

Institution/source address:

Type of Loan:

Account Number:

(e) Persons (including relatives and friends), companies or other organisations to whom you owe \$50,000 or more. Include the reason you owe money and the total amount owed.

(i) Name of person or organisation to whom you owe money:

Reason for loan

Amount owing (\$): Share of responsibility (%):

(ii) Name of person or organisation to whom you owe money:

Reason for loan

Amount owing (\$): Share of responsibility (%):

Have further details been provided on an attachment page?

YES NO

20. Have you provided a personal guarantee which is still current to any person or corporation for any debt or loan facilities for \$50,000 or more?

YES NO

If **NO**, proceed to Q21. If **YES**, is any person, including any corporation, in respect of whom you have given a guarantee for \$50,000 or more, 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

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Date Received: / / Nominee No: _____

Assigned to (Print Name): _____

IMPORTANT INFORMATION

You must obtain an original Credit Report if:

- you currently live in Australia; or
- you do not currently live in Australia but have lived in Australia at any time in the last 10 years; or
- you are or have been during the last ten years a director or 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 three (3) months old when you lodge this application and you **must** ensure that **all** names noted in Q2(a) - (c) 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.

21. Have you enclosed your ORIGINAL Credit Report and/or an equivalent report from a relevant overseas jurisdiction*?

YES NO

If **YES**, proceed to Q22. 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

22. Apart from matters recorded in your Credit Report or any equivalent report from a relevant overseas jurisdiction, are you currently in default of any debt incurred solely or jointly in your name? (Note: Do not include details unless a payment is overdue or in arrears)

If **NO**, proceed to Q23. 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

23. (a) Have you ever been declared bankrupt or been the subject of any insolvency arrangements, proceedings or related orders, in any jurisdiction*?

YES NO

If **NO**, proceed to Q23(b). If **YES**, complete the following and provide details of circumstances leading to bankruptcy/arrangement proceedings on an attachment page:

Date of Bankruptcy/Arrangement:

Date of Discharge/Completion (proposed date):

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

Name of Trustee:

Address:

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Assigned to (Print Name): _____

(b) Are bankruptcy or any like proceedings pending?

YES NO

If **NO**, proceed to Q24. If **YES**, provide details of circumstances leading to these proceedings below:

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

24. Are you currently or have you been a director or officer of a company or incorporated association:

(a) which has been wound up, placed into liquidation (except members' voluntary liquidation), had a receiver, controller, administrator or agent for the mortgagee appointed, entered into a formal or informal scheme of arrangement (however it is described) or has been subject to any like proceedings?

YES NO

(b) where an investigation into the affairs of the company/ incorporated association has been authorised by the Australian Securities and Investments Commission or its predecessors under Corporations Law, by the Registrar of Incorporated Associations under the *Associations Incorporation Reform Act 2012*, by the Australian Prudential Regulation Authority, by the Australian Competition & Consumer Commission exercising their statutory functions or by any other regulatory body or law enforcement agency?

YES NO

If **NO** to Q24(a) and (b), proceed to Declaration. If **YES** to Q24(a) or (b), complete the following for each matter.

Company/Incorporated Association name:

Commencement date (dd/mm/yyyy):

Type of proceedings:

Circumstances leading to proceedings:

Company name:

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

Name:

Telephone number:

Have further details been provided on an attachment page?

YES NO

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.

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

Signature of witness:

Print name of witness:

* Any adult can be a witness.

Strictly Confidential

Financial Information Release form

VICTORIA *Gambling Regulation Act 2003*

In the matter of this application for approval as the nominee of a Commercial Raffle Organiser and for the purposes of ongoing monitoring by:

Name: _____ of _____
(Full name of nominee)

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

I: _____
(Full name of Authorised Officer signing the form on behalf of the applicant)

The nominee hereby authorises all **persons** who receive a photocopy of this **financial information release form** from the Victorian Gambling and Casino Control Commission (the 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 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 I am no longer the nominee of a Commercial Raffle Organiser; or
- the expiry of any Commercial Raffle Organiser's licence (if granted).

Signature of nominee:

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.

Strictly Confidential

Consent for Release of Information by Law Enforcement Agencies

VICTORIA *Gambling Regulation Act 2003*

In the matter of this application for approval as the nominee of a Commercial Raffle Organiser and for the purposes of ongoing monitoring by:

Name: _____
(Full name of nominee)

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

CONSENT

The nominee 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 to the investigation or assessment of my application for approval as the nominee of a commercial raffle organiser under the *Gambling Regulation Act 2003* to the VGCCC.

RELEASE

Upon signing this consent, the nominee 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 nominee.

ACKNOWLEDGMENT

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 I am no longer the nominee of a Commercial Raffle Organiser; or
- the expiry of any Commercial Raffle Organiser’s licence (if granted).

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

EXECUTION AS A DEED

Signature of nominee

Date (dd/mm/yyyy):

Signature of witness

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

Nomination – Commercial Raffle Organiser's licence

Gambling Regulation Act 2003

BACKGROUND

Under section 8.5A.10 of the *Gambling Regulation Act 2003* (the Act), if a Commercial Raffle Organiser's licence is granted to a body corporate or the managing committee of a club, the body corporate/managing committee must nominate a natural person to be approved by the Victorian Gambling and Casino Control Commission to be responsible as licensee on behalf of the body corporate/managing committee. A person nominated and approved as a nominee is liable under the Act as licensee.

Please note that, where a body corporate or the managing committee of a club fails to nominate a natural person to be the nominee, the directors of the body corporate/members of the managing committee are severally liable under the Act as licensee until such time as a natural person is nominated and approved by the VGCCC.

Similarly, where the nominee has ceased to be responsible as licensee, the body corporate/managing committee of a club must nominate a new nominee for approval by the VGCCC. If a nominee is dismissed or resigns **before** VGCCC approval is obtained for a new nominee, the directors of the body corporate/members of the managing committee are severally liable under the Act as licensee until such time as a new nominee is approved by the VGCCC.

When must a nomination under section 8.5A.10 of the Act be completed?

The following are circumstances requiring the completion of the nomination under section 8.5A.10 of the Act:

- when an application is made for a Commercial Raffle Organiser's licence; or
- when a new nominee is required to replace a former nominee (e.g. as a result of the resignation or dismissal of a nominee).

NOMINATION UNDER SECTION 8.5A.10

Gambling Regulation Act 2003

(Name of Commercial Raffle Organiser)

(Commercial Raffle Organiser's licence number)

authorises the nomination of

(Full Name of proposed nominee).

Signature of proposed nominee

Date (dd/mm/yyyy):

Print the full name of the Authorised Officer on behalf of Commercial Raffle Organiser
(director/committee member/secretary of the Commercial Raffle Organiser other than the proposed nominee)

Signature of Authorised Officer on behalf of the Commercial Raffle Organiser

Date (dd/mm/yyyy):

Attachment Page

NOTE:

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.

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

YES

NO

Attachment 1 – 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. 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, as well as a preferred first name¹.
5. That it is an original document and not a photocopy or certified photocopy.
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 www.police.vic.gov.au and search for 'National Police Certificate'.

Disclosures

All matters detailed on 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

¹ Preferred first name: Your identity card will, by default, have your first name at the front of the card. However, you may opt to use your anglicised name or your commonly known name at the front. If your preferred name is not exactly the same as your first name your NPC must include that name. For example if your first name is Joseph and your preferred name is Joe, you must state both names on your NPC application and have both names shown on your NPC.

Attachment 1 – 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 2 – Historical Personal Name Extract from The Australian Securities & Investments Commission (ASIC)

A Historical Personal Name Extract is a print-out provided by the 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 associate 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 associate 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.
- the **original** Historical Personal Name Extract must be lodged (i.e. **not** a photocopied extract).

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 associate 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 3 – Credit Report

As part of this application form, the applicant must apply to either illion or Equifax for a Business Credit File (Credit File) which will identify any matters entered against the applicant by any financial provider.

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 and will be returned.

All matters detailed in the Credit File are taken into consideration by the VGCCC and are essential to allow an assessment of the applicants financial resources. If the applicant wishes to dispute any of the information disclosed in 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 file 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 file 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.