



Alcohol and Gaming Commission of Ontario  
90 SHEPPARD AVE E  
SUITE 200  
TORONTO ON M2N 0A4  
Fax: 416 326-8711  
Tel: 416 326-8700 or 1 800 522-2876 toll free in Ontario

# Application for Licence to Operate a Racetrack

For the Year \_\_\_\_\_

Racetrack	
Name:	Phone:
Street Address:	Fax Number:
Mailing Address:	Web Site Address:
Courier Address:	E-mail Address:

Applicant	
Operating Company (the "Applicant"):	Phone:
Mailing Address:	Fax Number:
Courier Address:	
Contact person:	Phone Number:

Business Structure	
<b>Section 1 Details Of Business Structure</b>	
<input type="checkbox"/> <b>Agricultural Society</b> <input type="checkbox"/> <b>Public Company</b> <input type="checkbox"/> <b>Private Company</b> <input type="checkbox"/> <b>Non-profit</b>	
Date of incorporation or charter:	Federal YYYY MM DD                 Provincial YYYY MM DD 
<b>Is the land on which the racetrack is situated owned or leased?</b>	<input type="checkbox"/> owned <input type="checkbox"/> leased
If leased, attach a copy of the lease covering the specified racing season specified racing season already on file	<input type="checkbox"/> Attached <input type="checkbox"/> Lease covering



### Corporation Schematic

Provide an organizational chart or schematic, detailing the relationship of the applicant to all parent, controlling, subsidiary and affiliated companies showing percentages.

**Attach as Schedule A.**

### Officers, Directors and Shareholders

Provide a list of all officers, directors and shareholder, organized by corporation or association entity, stating their capacity and position, noting any changes from the previous year's filing. Where applicable, provide percentage of ownership. Personal History Reports for any individual who is an officer, director or shareholder holding 5% or more ownership interest, must be on file with the Alcohol and Gaming Commission of Ontario. **Attach for any new individuals as Schedule B.**

Note: any new filing must be accompanied by a Personal History Report in the case of individuals, and Corporate Disclosure Form in the case of corporation.

### Key Employees

List all key employees in areas of responsibility affecting the operation of the racetrack. Highlight any changes from previous filings and provide evidence that all individuals currently hold a licence as Association Official. **Attach as Schedule C.**

**Attach to this form a copy of the certificate of incorporation, charter, by-laws, partnership agreement, shareholder's agreement, trust agreement or other basic documentation of the applicant, including any periodic updates or amending agreements, if not already on file.**

Long Term Capitalization: State particulars of any bonds, mortgages or debentures, or any other assignments by way of floating charge or fixed charge of any assets or shares of the corporation. Particulars to include the names, addresses and shareholdings (if corporate) of any mortgagees or secured creditors.

Amount of Indebtedness: \_\_\_\_\_ Rate of Interest: \_\_\_\_\_ Type of Security: \_\_\_\_\_

Mortgagee or Creditor: \_\_\_\_\_

**Section 2 Details Of Shares** (to be completed if applicant is an incorporated company issuing shares) Please submit as Schedule if necessary

Common shares	Number Authorized:	Number issued:	Value:
Preference shares	Number Authorized:	Number issued:	Value:

### Names and distributions of shares

Name	Business Number	No. of Common Shares	No. of Preference Shares	Personal History Report attached
				<input type="checkbox"/> yes <input type="checkbox"/> no
				<input type="checkbox"/> yes <input type="checkbox"/> no
				<input type="checkbox"/> yes <input type="checkbox"/> no



## Declarations

Has the applicant ever been found guilty or convicted of an offence in any jurisdiction?  yes  no

If yes, provide the following information for each conviction or finding of guilt on an attached sheet:

- |                                            |                                   |
|--------------------------------------------|-----------------------------------|
| a) Description of offence;                 | d) Name and address of court; and |
| b) Description of sentence;                | e) Court file number.             |
| c) Date of conviction or finding of guilt; |                                   |

Does the applicant have any charges pending in any jurisdiction?  yes  no

If yes, provide the following information for each charge on an attached sheet:

- |                           |                                   |
|---------------------------|-----------------------------------|
| a) Description of charge; | c) Name and address of court; and |
| b) Date charge laid;      | d) Court file number.             |

To the best of your knowledge, are investigations being conducted on the applicant in any jurisdiction?  yes  no

If yes, provide the following information for each investigation on an attached sheet:

- |                                                   |                                                |
|---------------------------------------------------|------------------------------------------------|
| a) Subject of investigation; and<br>investigation | b) Name and address of organization conducting |
|---------------------------------------------------|------------------------------------------------|

## Civil Proceedings

Has any claim been successfully brought against the applicant, including any claim based in whole or in part on fraud, deceit, misrepresentation, breach of trust or similar conduct in the last five years in any jurisdiction?  yes  no

If yes, provide the following information for each proceeding on an attached sheet:

- |                                              |                                   |
|----------------------------------------------|-----------------------------------|
| a) Description of claim;                     | d) Name and address of court; and |
| b) Disposition of proceeding;                | e) Court file number.             |
| c) Names of other parties to the proceeding; |                                   |

## Bankruptcy and Insolvency Proceedings

Has the applicant ever been declared bankrupt or had a petition filed against it under any bankruptcy or insolvency legislation in any jurisdiction in the last ten years?  yes  no

If yes, provide the following information on an attached sheet:

- |                            |                                   |
|----------------------------|-----------------------------------|
| a) Type of petition filed; | c) Name and address of court; and |
| b) Date of filing;         | d) Court file number.             |

Has the applicant ever sought relief under any bankruptcy or insolvency legislation in any jurisdiction in the last ten years?  yes  no

If yes, provide the following information on an attached sheet:

- |                           |                                   |
|---------------------------|-----------------------------------|
| a) Type of relief sought; | d) Name and address of court; and |
| b) Reasons for relief;    | e) Court file number.             |
| c) Date relief sought;    |                                   |

Has a receiver, trustee, reorganization trustee or similar officer ever been put in control of the business or property of the enterprise in the last ten years in any jurisdiction?  yes  no

If yes, provide the following information on an attached sheet:

- |                              |                                   |
|------------------------------|-----------------------------------|
| a) Name of person appointed; | d) Name and address of court; and |
| b) Reasons for appointment;  | e) Court file number.             |
| c) Date of appointment;      |                                   |



## Declarations

### Licences/Registration Certificates

Has the applicant ever been refused or denied any type of registration or licence, or had a registration certificate or licence suspended or revoked in any jurisdiction?  yes  no

If yes, provide the following information on an attached sheet:

- a) Type of registration certificate(s)/licence(s);
- b) Action taken (e.g. refused, denied, suspended or revoked);
- c) Reasons;
- d) Date action taken; and
- e) Name and address of government agency.

**Number of additional pages appended** \_\_\_\_\_

## Notice

### As required by the *Freedom of Information and Protection of Privacy Act*:

In conformity with the *Horse Racing Licence Act, 2015*, in order to complete or verify the information provided on this form and to determine eligibility for licensing, it may be necessary for the Alcohol and Gaming Commission of Ontario (the "Commission") to collect, disclose and receive additional information from some or all of the following domestic and foreign sources: Standardbred Canada, federal, provincial, state or municipal licensing bodies and police services, other law enforcement agencies, sheriff's offices, the Registrar of Bankruptcy, credit bureaus, trust companies, banks, professional and industry associations, former and current employers, and any government Ministry or Agency. The Commission is required under the *Freedom of Information and Protection of Privacy Act* to protect the confidentiality of such information in its possession and control and to use the information only for purposes for which it is collected or for consistent purposes.

A public official who can answer questions about the collection and disclosure of information is the Manager of Racing at the Alcohol and Gaming Commission of Ontario, at the address above.

In the matter of the *Horse Racing Licence Act, 2015*; and in the matter of an application for the grant of a licence thereunder for the Association known as

\_\_\_\_\_  
Name of applicant

I, \_\_\_\_\_ of the City of \_\_\_\_\_ in the Province of \_\_\_\_\_

I certify that:

1. I have knowledge of the matters set out herein.
2. I have read over the application and all attachments.
3. All facts stated and information furnished therein are true and correct to the best of my knowledge and belief.
4. I am the \_\_\_\_\_ with the applicant.
5. All schedules attached hereto being the personal history reports have been properly executed, and to the best of my knowledge and belief, are true and correct.
6. I have read and understand the above Notice and consent on behalf of the applicant to the direct and indirect collection of information and consent to the use and disclosure of this information as described in the above notice.

Signature

Date

YYYY MM DD

| | | | | | |