



Alcohol and Gaming Commission of Ontario
 90 SHEPPARD AVE E
 SUITE 200
 TORONTO ON M2N 0A4
 Tel: 416 326-8700 or 1 800 522-2876 toll free in Ontario
 Fax: 416 326-8054

Corporate Shareholder Disclosure Form

To be completed by any corporate entity(ies) identified as a shareholder of the Applicant in the Application for a Licence to Operate a Racetrack.

A complete application includes

- this form
- Personal History Reports (for all directors, officers and shareholders of the corporation)
- incorporation details
- schematic diagram of corporation relationships, including listing officers, directors, and shareholders (including % ownership)

Date: (mm/dd/yyyy)	Associated Racetrack:
Incorporated Name:	
Known As:	Phone:
Street Address:	Fax Number:

Business Structure		
<input type="checkbox"/> Private Company	<input type="checkbox"/> Public company	<input type="checkbox"/> Other (specify)
Date of Incorporation:	(mm/dd/yyyy)	Fed. or Prov.
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 corporation, including any periodic updates or amending agreements, if applicable material is not on file with the AGCO.		
Attach to this form a schematic diagram depicting the relationship between all parent, controlling, subsidiary and affiliated companies, if applicable.		
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:		

Details Of Shares (if applicable)				
Common shares	Number Authorized:	Number issued:	Value:	
Preference shares	Number Authorized:	Number issued:	Value:	
Names and distributions of shares				
Name	Phone Number	No. of Common Shares	No. of Preference Shares	Personal History Report attached

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

Does the corporation 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;
- b) Date charge laid;
- c) Name and address of court; and
- d) Court file number.

To the best of your knowledge, are investigations being conducted on the corporation in any jurisdiction?

yes no

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

- a) Subject of investigation; and
- b) Name and address of organization conducting investigation

Civil Proceedings

Has the corporation had a significant claim successfully made against it, 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;
- b) Disposition of proceeding;
- c) Names of other parties to the proceeding;
- d) Name and address of court; and
- e) Court file number.

Bankruptcy and Insolvency Proceedings

Has the corporation 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;
- b) Date of filing;
- c) Name and address of court; and
- d) Court file number.

Has the corporation 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;
- b) Reasons for relief;
- c) Date relief sought;
- d) Name and address of court; and
- e) Court file number.

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

Licences/Registration Certificates

Has the corporation 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.

Notice and Consent (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 licencing, 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 bureau, 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 Director of the Commission, 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.

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 (mm/dd/yyyy)