



Alcohol and Gaming Commission of Ontario

Personal and Entity Disclosure Requirements Guide

Liquor Licences and Authorizations
Gaming Registrations

Cannabis Retail Licences and
Authorizations

JANUARY 2019

2690E (2019/01)



AGCO

Alcohol and Gaming
Commission of Ontario



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Liquor Licences and Authorizations

This section outlines the personal and entity disclosure requirements when applying for the following:

- Beer and Cider Authorization
- Beer and Wine Authorization
- Ferment on Premise Facility Licence
- Licence to Represent a Manufacturer
- Liquor Delivery Service Licence
- Liquor Sales Licence
- Liquor Sales Licence – Manufacturer’s Tied House
- Mini Bar Licence
- Manufacturer’s Licence – Brewery
- Manufacturer’s Licence – Distillery
- Manufacturer’s Licence – Winery

Requirements

When applying for a Licence under the *Liquor Licence Act* (LLA), and/or an Authorization under the *Liquor Control Act* (LCA), you will be required to provide the name of any individual or entity that:

- Has or will have a direct or indirect interest in the entity
- Has or will have a key management or operational role
- Holds 10% or more of any class of shares

Personal Disclosure information must be provided by all of the following persons:

- Sole Proprietor
- All Officers and/or Directors
- All Partners
- Any shareholder holding 10% or more of any class of shares*
- On-site manager, if applicable

**Not required for a Beer and Cider or Beer and Wine Authorization.*

Entity disclosure information must be provided by the applicant corporation and by all corporations directly or indirectly holding 10% or more of any class of shares.

Gaming Registrations

This section outlines the personal and entity disclosure requirements when applying for the following registrations:

- Gaming Assistant
- Operator
- Seller
- Supplier
- Trade Union

Definitions

Affiliate: An organization that directly or indirectly, through one or more intermediaries, controls, is controlled by or is under common control with another organization.

Entity: Includes any corporation, partnership, limited partnership, sole proprietorship, trust, joint venture or other form of business association.

Principal Employee:

- An individual who negotiates or sets prices on behalf of the applicant with an operator of an Ontario gaming site;
- An individual who has signing authority related to the applicant's business dealings with an Ontario gaming site; or,
- An individual who has or will have ultimate decision-making authority over the applicant's day-to-day business dealings with an operator of an Ontario gaming site.

Shareholder: An individual or entity that holds ownership through shares in a corporation.

Subsidiary: A corporation controlled by another corporation.

Personal Disclosure Requirements

Personal Disclosure information must be provided by all of the following persons:

- a) An individual who is applying for registration as a **Gaming Assistant**.
- b) An individual associated with a **Seller** who currently oversees the sale of break open tickets and/or OLG products, including:
 - sole proprietor
 - partners of the partnership
 - general partner(s) of the limited partnership
 - officer(s), director(s) and/or shareholder(s) of the corporation
 - board member(s) of the association
- c) Any of the following individuals associated with a **Supplier** that is applying for registration:
 - A sole proprietor (in the case of an applicant that is a sole proprietor)
 - A partner (in the case of an applicant that is a partnership)
 - An officer or director of an applicant corporation and/or any parent or holding corporations
 - A shareholder holding 5% or more of any shares of an applicant corporation
 - A trustee and beneficiary of any trusts that hold any shares or interest in an applicant and/or its parent or holding corporations
 - A principal employee, as defined in the **Definitions** section above.
- d) An individual who performs any of the following functions as part of a **Trade Union**:
 - Negotiates or administers a collective agreement which governs the wages, hours, working conditions or conditions of employment of any casino or slot machine facility (i.e. racetrack) employee in Ontario;
 - Grievance representation;
 - Solicits, collects or receives any dues, assessments, levies, fines, contributions or other charges within Ontario for or on behalf of the trade union from any Ontario casino or slot machine facility employees;
 - Acts as an officer, member of the governing body, business agent or in any other policy-making or supervisory position in the trade union; or,
 - For compensation, advises, represents or provides other assistance to a trade union concerning any Ontario casino or slot machine facility employees with respect to those activities listed in a), c) and/or d) above.

Entity Disclosure Requirements

Entity Disclosure information must be provided by all of the following:

- a) An entity that is applying for registration as a:
 - Gaming-Related Supplier
 - Non-Gaming-Related Supplier
 - Operator
- b) A corporate shareholder (including a parent or holding corporation) holding 5% or more of any shares of an applicant corporation, or
- c) An entity with an interest in the applicant.

Entity Disclosure is **not** required for corporations **affiliated** to an applicant through common ownership and/or subsidiaries of an applicant corporation unless requested by the Registrar.

Entity/individual disclosure information must be provided by applicant corporations and by all corporations directly or indirectly holding 5% or more of shares.



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Cannabis Retail Licences and Authorizations

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Cannabis Retail Licences and Authorizations

This section outlines the personal and entity disclosure requirements when applying for the following:

- Cannabis Retail Operator Licence
- Cannabis Retail Store Authorization
- Cannabis Retail Manager Licence

Definitions

Affiliate: Has the meaning as set out in **Ontario Regulation 468/18**.

Entity: Includes any corporation, partnership, limited partnership, sole proprietorship, trust or other form of business association.

Shareholder: An individual or entity that holds ownership through shares in a corporation.

Subsidiary: A corporation controlled by another corporation.

Personal Disclosure Requirements

Personal Disclosure information must be provided by all of the following persons:

- a) An individual who is applying for a **Retail Manager Licence**.
- b) Any of the following individuals associated with a **Retail Operator** that is applying for a licence or :
 - A sole proprietor (in the case of an applicant that is a sole proprietor)
 - A partner (in the case of an applicant that is a partnership)
 - An officer or director of an applicant corporation and/or any parent or holding corporations
 - A shareholder holding 10% or more of any shares of an applicant corporation
 - A trustee and beneficiary of any trusts that hold any shares or interest in an applicant and/or its parent or holding corporations

Entity Disclosure Requirements

Entity Disclosure information must be provided by all of the following:

- a) An entity that is applying for a:
 - Cannabis Retail Operator Licence
 - Cannabis Retail Store Authorization
- b) A corporate shareholder (including a parent or holding corporation) holding 10% or more of any shares of an applicant corporation, or
- c) An entity with an interest (as defined in the *Cannabis Licence Act, 2018*) in the applicant.

Entity Disclosure is **not** required for corporations **affiliated** to an applicant unless requested by the Registrar.

Entity/individual disclosure information must be provided by applicant corporations and by all corporations directly or indirectly holding 10% or more of shares.