



Instructions

Complete this form if you are:

a) A corporation (for profit or not for profit) or a trust 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) A corporation or a trust with an interest in an applicant entity (e.g. through a partnership, joint venture, association)

Do **not** submit an **Enterprise Disclosure Form** for corporations **affiliated** to an applicant through common ownership and/or **subsidiaries** of an applicant corporation unless requested by the Registrar of Alcohol and Gaming (Registrar).

Attachments

Where the space provided is insufficient to complete your response, attach a separate sheet of paper identifying the name of the enterprise providing disclosure herein and label each answer with the appropriate question number and title.

Definitions

- 1. Entity:** Includes any corporation, partnership, sole proprietorship, trust, joint venture or other form of business association.
- 2. Affiliate:** An organization that directly or indirectly, through one or more intermediaries, controls, is controlled by or is under common control with another organization.
- 3. Subsidiary:** A corporation controlled by another corporation.
- 4. Shareholder:** An individual or entity that holds ownership through shares in a corporation.
Note: For the purposes of this application, the Registrar requires disclosure from the holders of 5% or more of any shares of an applicant corporation.

5. Principal Employee:

- An individual who needs ongoing access to sensitive areas* of an Ontario gaming site on behalf of the applicant;
- 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.

* "Sensitive areas" are any area that requires strict access controls to secure the gaming site and/or safeguard gaming integrity or assets. Individuals who work with or service gaming equipment would also be considered to be accessing a "sensitive area".

Warning:

It is the responsibility of the enterprise providing disclosure herein to notify the Registrar of Alcohol and Gaming in writing within 5 days of any material changes to the information supplied on this application or any attachment.

The provision of false, incomplete or misleading information, or the omission of information in this application or in the documents submitted with this application, or the failure to notify the Registrar of Alcohol and Gaming of any material changes to this information which occur following this application being filed, may result in the refusal, suspension or revocation of registration.



You may complete this application online and print the document for submission, or fill it out by hand. Please PRINT clearly in INK. You must answer every question in this application. Incomplete or improperly completed applications may be returned.

For Office Use Only	F# _____	Notes
	R# _____	

1. Application Details

Name of entity applying for registration:

Relationship of the enterprise providing disclosure herein to the above named entity (check the appropriate box):

Enterprise is the applicant/entity named above

Enterprise is a shareholder of the applicant or of an entity which owns shares in the applicant

Enterprise has an interest in the applicant (e.g. through a partnership, joint venture, etc.)

2. Enterprise Details

Legal Name of the Enterprise (please refer to legal incorporation documentation)		<input type="checkbox"/> Privately Held	<input type="checkbox"/> Trust
		<input type="checkbox"/> Publicly Held	<input type="checkbox"/> Not-for-Profit
Date of Incorporation YYYY MM DD	Incorporation Number (if different from above)	Jurisdiction of Incorporation	
Attach to this form a copy of the enterprise's certificate or articles of incorporation, shareholder agreement, trust agreement or any other constituting documentation relevant to the enterprise.			
<input type="checkbox"/> Attached <input type="checkbox"/> Not attached: information has not changed since last filing with AGCO <input type="checkbox"/> Not attached: please explain			
Attach to this form a copy of the enterprise's financial statements and completed tax return and assessment for the last fiscal year in which the enterprise filed.			
<input type="checkbox"/> Attached <input type="checkbox"/> Not attached: please explain			

3. Head Office/Business Address (we do not accept P.O. Boxes for this address)

Street Number	Street Name		Street Type	Direction	Suite/Floor/Apt.
Lot/Concession/Rural Route	City/Town/Municipality		Province/State	Country	Postal Code/Zip Code
Telephone Number () Ext.		Fax Number ()		Email	

4. Mailing Address (if different from Head Office/Business Address above)

Street Number	Street Name		Street Type	Direction	Suite/Floor/Apt.
Lot/Concession/Rural Route	City/Town/Municipality		Province/State	Country	Postal Code/Zip Code

5. Past Conduct Information

a) Has the enterprise ever been charged, convicted or found guilty of any offence in Canada or elsewhere? *This includes all federal and provincial offences, including criminal offences.*

Yes No ► If **YES**, please attach the following details to this application labelled "Past Conduct Information": (1) date of occurrence; (2) description of charge, conviction or finding of guilt; (3) description of sentence/disposition; and, (4) court location.

b) Are there any outstanding charges (including appearance notices and/or summons(es)) against the enterprise in Canada or elsewhere? *This includes all federal and provincial offences, including criminal offences.*

Yes No ► If **YES**, please attach the following details to this application labelled "Past Conduct Information": (1) court appearance date and location; and (2) description of offence(s).

6. Licences/Registrations

a) Does the enterprise currently hold a licence, permit, certificate or registration of any kind that is necessary to carry on specific business activities? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

Yes No ► If **YES**, please list below:

Licence/Permit /Certificate/Registration Number	Type of Licence/Permit/Certificate/Registration	Jurisdiction (Province/State)

If additional space is required, please include remaining licences/registrations on an attached sheet labelled "Licences/Registrations".

b) Has the enterprise ever withdrawn an application for or been refused any type of licence, permit, certificate or registration by any kind of regulatory body or authority? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

Yes No ► If **YES**, please attach the following details to this application labelled "Licences/Registrations": (1) reason for refusal or withdrawal; (2) date of occurrence; (3) type of licence/permit/certificate/registration; and, (4) jurisdiction (province/state).

c) Has the enterprise ever surrendered or had any type of licence, permit, certificate or registration suspended, revoked, or had a fine, monetary penalty or similar disciplinary action imposed against it in Canada or elsewhere? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

Yes No ► If **YES**, please attach the following details to this application labelled "Licences/Registrations": (1) type of licence/permit/certificate/registration; (2) date of occurrence; (3) jurisdiction; (4) reason for surrender, suspension, revocation, imposition of monetary penalty, fine or disciplinary action; (5) length of suspension (if applicable); and, (6) amount of fine or monetary penalty (if applicable).

7. Civil Proceedings

a) Has the enterprise ever had a lawsuit(s) (civil action) brought against it for misrepresentation, fraud, deceit, or breach of trust in which a party (plaintiff) was awarded damages either through a court decision or an out-of-court settlement?

Yes No ► If **YES**, please attach the following details to this application labelled "Civil Proceedings": (1) description of claim; (2) date of proceedings; (3) name(s) of other parties to the proceeding; (4) outcome of proceeding(s); (5) name and address of court; and, (6) court file number (if known).

b) Are there any outstanding claims filed against the enterprise, or in the process of being filed against the enterprise in Canada or elsewhere?

Yes No ► If **YES**, please attach the following details to this application labelled "Civil Proceedings": (1) nature of claim; (2) name and address of court; and, (3) court file number (if known).

Note: If the lawsuit(s) is still outstanding and the enterprise has filed a Statement of Defence, please enclose a copy.

8. Bankruptcy Information

Has the enterprise ever filed for bankruptcy, been petitioned into bankruptcy, sought relief or made a proposal under any bankruptcy or insolvency law in Canada or elsewhere?

- Yes No If **YES**, please attach the following details to this application labelled "Bankruptcy Information": (1) type (filing, petition, relief or proposal); (2) reason; (3) date; (4) name and address of trustee or receiver (if applicable); (5) name and address of court; (6) court file number; and, (7) outcome or current status.

9. Key Individuals

This section applies to key individuals associated with the enterprise. Any person who is one of the following must be listed below. He or she must also submit a **Personal Disclosure Form** with this application. You may photocopy this section of the application or provide an attachment in a similar format to list all relevant individuals with this enterprise:

1. An officer or director of the applicant corporation and/or any parent or holding corporations
2. A shareholder holding 5% or more of any shares of the applicant corporation
3. A trustee and beneficiary of any trusts that hold any shares or interest in the applicant and/or its parent or holding corporations
4. A principal employee, defined as:
 - a. an individual who needs ongoing access to sensitive areas* of an Ontario gaming site on behalf of the applicant;
 - b. an individual who negotiates or sets prices on behalf of the applicant with an operator of an Ontario gaming site;
 - c. an individual who has signing authority related to the applicant's business dealings with an Ontario gaming site; or
 - d. 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.

* "Sensitive areas" are any area that requires strict access controls to secure the gaming site and/or safeguard gaming integrity or assets. Individuals who work with or service gaming equipment would also be considered to be accessing a "sensitive area".

A	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following?					
	<input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

B	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following?					
	<input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

C	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following? <input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

D	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following? <input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

E	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following? <input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

F	Last Name		First Name		Middle Name(s)	
	Job Title / Position					
	Corporation <input type="checkbox"/> _____% shares <input type="checkbox"/> Officer/Director of the corporation <input type="checkbox"/> Executive			<input type="checkbox"/> Department manager <input type="checkbox"/> Department director <input type="checkbox"/> Principal employee		Trust <input type="checkbox"/> Beneficiary <input type="checkbox"/> Trustee
	Does the above individual require access to sensitive areas?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Can the individual legally sign a contract on behalf of the business entity?					<input type="checkbox"/> Yes <input type="checkbox"/> No
	Is the individual above involved with gaming related equipment with respect to any of the following? <input type="checkbox"/> Manufacture/Design <input type="checkbox"/> Repair/Modify Access <input type="checkbox"/> Supervised Access/Handling <input type="checkbox"/> Not Applicable					

10. Shareholders

This section applies to **corporations and trusts**. For each corporation or trust that holds 5% or more of any shares of the enterprise named in Question (2) above, the following information must be provided. You may photocopy this section of the application or provide an attachment in a similar format to include all corporate shareholders and trusts. Note that a separate **Enterprise Disclosure Form** must be submitted by each shareholder listed below or on any attachments.

Do **not** include entities **affiliated** to the enterprise through common ownership and/or **subsidiaries** of the enterprise unless requested by the Registrar.

A	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

B	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

C	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

D	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

E	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

F	Legal Name of the Entity	_____ % shares in enterprise
	Enterprise Disclosure Form attached <input type="checkbox"/> Yes <input type="checkbox"/> No; please explain	

NOTIFICATION UNDER FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT Subsection 39(2):

NOTICE

The information on this form is collected pursuant to the *Gaming Control Act, 1992*. The principal purpose for which this information will be used is to consider my suitability or continued suitability for a gaming registration and/or the suitability or continued suitability for registration of a related entity that has applied for registration.

CONSENT

I consent to the Registrar of Alcohol and Gaming collecting such additional information as may be necessary to verify the information provided on this form and to determine my suitability or continued suitability for a gaming registration and/or the suitability or continued suitability for registration of a related entity that has applied for registration. I understand that it may be necessary for the Registrar to collect and receive additional information from any source, including some or all of the following domestic and foreign sources: financial institutions, credit bureaus and credit reporting agencies, regional and national banking and loan institutions. I further consent to the disclosure to the Registrar of any information sought including my police or criminal record, if any, and I hereby authorize the Chief of Police or other Officer in Charge to forward all relevant information to the Registrar. I hereby authorize the Ontario Provincial Police (OPP) to release records of criminal convictions and findings of guilt for which a pardon has not been granted, records of discharges which have not been removed from the Canadian Police Information Centre (CPIC) system in accordance with the *Criminal Records Act* and records of outstanding criminal charges of which the OPP is aware to the Registrar.

ADDITIONAL INFORMATION

If you have questions about the collection of your personal information on this form, please contact:

Registrar of Alcohol and Gaming

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

Declaration

I solemnly declare that I have read over this form and I make this solemn declaration conscientiously believing its contents to be true and knowing that it is of the same force and effect as if made under oath.

I also understand that this form may not set out all the questions that I may be asked nor constitute all the documentation and/or information that I may be required to supply. I understand that further questions may become necessary and that further documentation and/or information may be required during the application process and that if I do not wish to answer any further questions or supply any further documentation or information that my application will be abandoned.

Name		
Signature	Date YYYY MM DD	

The person named above must have the authority to bind the entity that is named in Question (2) above.