

Casino, Liquor and Gaming Control Authority

APPLICATION BY A CORPORATE GAMING-RELATED LICENSEE FOR APPROVAL TO CHANGE DIRECTORS OR SHAREHOLDERS PURSUANT TO LICENCE CONDITIONS (APPLICATION CODE A)

This application is to be completed by a corporation holding a gaming machine dealer, seller or testing facility licence where:

1. a change of directors of the corporation holding the gaming-related licence is proposed, or
2. a change of 5% or more in the shareholding of the licensee held by a natural person or another corporation is proposed, or
3. a change in the directors or shareholders of any holding company of the licensee is proposed.

PENALTIES APPLY FOR FALSE OR MISLEADING INFORMATION AND NON DISCLOSURE

The information you provide in this application will be checked by various agencies. Making a false or misleading statement or omission of any material matter is an offence pursuant to section 206A of the Gaming Machines Act 2001, which may lead to prosecution action with a penalty of up to \$11,000 and/or refusal of the application.

1. APPLICANT

I, (full name).....Male/Female.....
(M or F)

of (address).....

Tel No..... Fax No..... Email.....

Say on oath/affirm that I am a.....
(director, CEO, person authorised to make this application)

of the corporation known as.....that holds

.....licence number.....
(licence type)

**EFFECTIVE DATE
OF CHANGE**

2. DETAILS OF CHANGES

I also say that one or more of the following changes is proposed (please tick relevant boxes):-

- A change in directors of the licensed corporation (complete 3 and/or 4 and 10).
- A change in shareholders of the licensed corporation (complete 5-8 as required & 10).
- A holding company is to be created or a change in the directors or shareholders of the holding company is proposed (complete 9 and 10).

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JUSTICE OF THE PEACE/SOLICITOR

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APPLICANT

3. RETIRING DIRECTORS OF LICENSEE

Details of all retiring directors of the corporation holding the gaming-related licence.

FULL NAME OF DIRECTOR	HOME ADDRESS	DATE OF BIRTH	DATE RETIRED

4. NEW DIRECTORS OF LICENSEE

Full details of all new directors of the corporation holding the gaming-related licence. Include a separate annexure if there is insufficient room in this table. **NOTE:** Each new director must complete a **Personal Probity Form (Part C)** and attach it to this application.

FULL NAME OF DIRECTOR	HOME ADDRESS	DATE OF BIRTH	DATE APPOINTED

NOTE: If any of the named persons have resided overseas for more than one year in the last five years, or were born overseas and have not resided in Australia continuously, they may need to lodge a certificate of clearance. For further details phone 02 9995 0887.

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5. RETIRING SHAREHOLDERS OF LICENSEE – NATURAL PERSONS

Details of all natural persons who are retiring shareholders of the licensee. Include a separate annexure if there is insufficient room in this table.

FULL NAME OF PERSON	HOME ADDRESS	DATE OF BIRTH	PERCENTAGE RETAINED	DATE DISPENSED

6. RETIRING SHAREHOLDERS OF LICENSEE – CORPORATIONS

Details of all retiring corporate shareholders. Include a separate annexure if there is insufficient room in this table.

NAME OF CORPORATION	ADDRESS OF CORPORATION	REGISTRATION NUMBER ACN	PERCENTAGE RETAINED	DATE DISPENSED

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7. NEW SHAREHOLDERS OF LICENSEE – NATURAL PERSONS

Names of natural persons purchasing or accumulating 5% or more of the issued capital of the corporation holding the gaming-related licence. Include a separate annexure if there is insufficient room in this table.

NOTE: Each new shareholder must a **Personal Probity Form (Part C)** and attach it to this application.

FULL NAME OF PERSON	HOME ADDRESS	DATE OF BIRTH	DATE SHARES ACQUIRED	% SHARES HELD

NOTE: If any of the named persons have resided overseas for more than one year in the last five years, or were born overseas and have not resided in Australia continuously, they may need to lodge a certificate of clearance. For further details phone 02 9995 0887.

8. NEW SHAREHOLDERS OF LICENSEE – CORPORATIONS

Names of other corporations purchasing or accumulating 5% or more of the issued capital of the corporation holding the gaming-related licence. If 100% of the shares are being purchased by a single company, provide full details of the holding company, and any other holding companies if they exist. Include a separate annexure if there is insufficient room in this table.

NAME OF CORPORATION	ADDRESS OF CORPORATION	REGISTRATION NUMBER ACN etc	COUNTRY OF REGISTRATION	IS THIS A PUBLIC COMPANY	DATE SHARES ACQUIRED	% SHARES HELD

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9. DIRECTORS OF ANY HOLDING COMPANIES, ULTIMATE HOLDING COMPANY OR CORPORATIONS THAT HOLD SHARES IN THE LICENSEE

Details of all directors of any holding company, ultimate holding company or corporation that purchases or accumulates 5% or more of the issued capital of the corporation that holds the gaming-related licence. Include a separate annexure here is insufficient room in this table. **NOTE:** Each director named in this table must complete a **Personal Probity Form (Part C)**.

NAME OF COMPANY & FULL NAME OF DIRECTOR	HOME ADDRESS OF DIRECTOR	DATE OF BIRTH	DATE APPOINTED

10. ATTACH SUPPORTING DOCUMENTATION

Please ensure you have attached a **Personal Probity Form (Part C)** for every incoming director or shareholder mentioned in this application. **NOTE:** *Missing details will delay the application.*

SWORN/AFFIRMED AT.....

ON THIS..... **DAY OF**..... **20**.....

BEFORE ME

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JUSTICE OF THE PEACE/SOLICITOR

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APPLICANT

Authority for Release

TO: All Courts, probation departments, employers, education institutions, banks, financial and other institutions, all agencies – Federal, State and Local, without exception both foreign and domestic and to whomever else to which this authorisation may be duly presented.

FROM: _____ (Name of company representative)

Date of Birth: ____ / ____ / ____ **Telephone Number** _____
 Day Month Year

TITLE: _____ is authorised to act on behalf of the corporation known as

COMPANY NAME: _____ **ACN:** _____

REGISTERED ADDRESS: _____

I/the company understand that the NSW Office of Liquor Gaming and Racing, the New South Wales Police Force and any properly delegated agency may conduct an investigation into my background in relation to my application to be associated, as a director or shareholder, with the corporation (nominated in this application) that holds a gaming-related licence pursuant to the Gaming Machines Act 2001.

I HEREBY AUTHORISE the NSW Office of Liquor Gaming and Racing, the NSW Police Force and any other properly delegated agency to have access to, inspect, and obtain copies of:

- a) any credit report, other report, legal or personal information derived from those reports that has any bearing on my/its credit worthiness, credit history, credit standing or credit capacity;
- b) any loan information, cheque account records, savings deposit records, safe deposit records, passbook records, and bank statements pertaining to me/or the company;
- c) any records relating to investigations of my/its activities conducted by any State, Territory, Federal or overseas police forces, crime investigation agencies, corporate regulatory agencies or any gaming or casino regulatory bodies;
- d) any court records relating to any present or past civil or criminal court proceedings to which I/the company am a party; and
- e) any other document, record or correspondence pertaining to me/the company.

You are HEREBY AUTHORISED to release to the NSW Office of Liquor Gaming and Racing, the NSW Police Force and any other properly delegated agency all such documents, reports, records and information requested by any of them.

This authorisation shall supersede and countermand any prior request or authorisation to the contrary. A photocopy of this authorisation will be considered effective and as valid as the original.

One of the purposes for which the authorisation has been given is to satisfy Section 18N9(1)(ga) of the Privacy Act 1988, which provides that personal information in possession of a credit provider can only be disclosed to another person where there is written authorisation by the applicant.

(Signature of Company Representative)

(Signature of Witness)

(Date)

(Name of Witness)

NB: The witness must be either a Justice of the Peace or a Legal Practitioner. The title should be indicated when witnessing the document.

(Address of Witness)