

## Who Must Complete This Application?

In order to do business within the gaming industry in Saskatchewan, a business must apply to the Saskatchewan Liquor and Gaming Authority (SLGA) for a supplier gaming and non-gaming goods and services certificate of registration. When determining whether a business is qualified to be registered, SLGA considers the business itself, its key people, and any other businesses and individuals that have direct contact with the business applying for registration. The individuals identified by SLGA as key people must complete a personal disclosure form.

## General Information

1. Provide an answer to every question. If there is not enough room to provide a complete answer, use a separate sheet of paper and reference the applicable section.
2. All personal information you provide to SLGA is confidential. SLGA is required under *The Freedom of Information and Protection of Privacy Act* to protect the confidentiality of personal information in its possession and control, and to use the information only for the purpose for which it is collected.
3. SLGA will conduct a due diligence interview or investigation in order to establish your suitability to be a key person. Through the interview or investigation process, SLGA will gather any information it considers necessary and may request additional information from you, including character references. By signing the attached consent, you are agreeing that SLGA may collect and use this information.
4. You are required to inform SLGA within 7 days of any changes to the information you supplied that might affect your suitability. Changes that you must report include, but are not limited to, change of address, new charges, convictions, findings of guilt, civil or bankruptcy proceedings and/or if you are the subject of a gaming investigation by a regulatory agency, other than as an applicant for registration/licensing purposes.
5. If you have any questions regarding the form, please contact:  
  
Registration Supervisor, Gaming Integrity Branch  
Saskatchewan Liquor and Gaming Authority  
Phone: (306) 787-1771  
Fax: (306) 798-0052  
Email: [registration@slga.gov.sk.ca](mailto:registration@slga.gov.sk.ca)
6. Give this completed form to the person responsible for submitting the supplier application and/or personal disclosure forms to SLGA. If you would like to send this form directly to SLGA, please use the following address:

Gaming Integrity Branch - Registration  
Saskatchewan Liquor and Gaming Authority  
P.O. Box 5054, S4P 3M3 (mailing address)  
2500 Victoria Ave, S4P 3X2 (courier address)  
Regina, Saskatchewan CANADA

## Definition of a Key Person

SLGA defines key people as:

- suppliers of gaming and non-gaming goods and services who are individuals or partners,
- a person who owns 5% or more of a supplier's business,
- a person who, in the opinion of SLGA, has control over, has provided direct or indirect financing to, or has a beneficial interest in the supplier, the supplier's business, or an affiliated corporation of the supplier, and
- members of the board of directors, key stakeholders, officers and senior executive like the CFO, CEO, Executive Directors and Vice Presidents.

In addition to the above, SLGA may request a personal disclosure form from any individual associated with the supplier that SLGA considers necessary. Individuals identified by SLGA as key people must complete a personal disclosure form.

## Eligibility and Suitability

To qualify for registration as a gaming or non-gaming supplier, a business and its key people must:

- be of good character,
- be financial stable with a history of financial solvency,
- be capable of providing supplies and services and demonstrate a level of skill, experience, knowledge, and ability necessary to supply the supplies and services for which the applicant is requesting certification,
- be in compliance with Canadian provincial and federal tax laws, and
- be of legal age to transact business in the gaming industry.

A business is not eligible for registration if the business or any of its key people:

- has been convicted of a criminal offense involving, but not limited to, theft, deceit, public morals, gaming, customs, income tax, firearms or drugs. (Note that a criminal conviction in and of itself, does not represent risk to the integrity of the gaming industry. A conviction in the context of good character is weighed against the circumstances, the nature and the length of time since the offense, and evidence of rehabilitation.)
- has been found to be liable in a civil court involving fraud, deceit, misrepresentation or breach of trust.
- has displayed conduct exemplifying a lack of good character.
- has provided false or misleading information.
- has a history of problem gambling, alcohol or drug abuse.
- has been denied a gaming registration or similar license in some other municipality, province, state or county.
- is insolvent.
- fails to provide documents required by Section 147 of *The Alcohol and Gaming Regulation Act, 1997*.

## Due Diligence Review

SLGA may make inquiries and/or conduct a due diligence review with respect to your character, financial responsibility and capability of your business. SLGA will determine whether or not they will investigate you based on your position within the company combined with your responsibilities and decision making capabilities. If SLGA does conduct a due diligence review into your suitability, you are required to provide any information and/or access to any records that SLGA considers necessary. These records include, but are not limited to, your personal, business, financial and income tax records and your criminal record.

In most cases, your review will be done in conjunction with the investigation of the supplier application.

## Good Character Requirements

SLGA determines if a business and its key people are of good character by reviewing all aspects of their personal, financial, business and criminal history.

## **Criminal Record Checks**

When you sign the consent, you are giving SLGA permission to obtain and release information, including a criminal record check.

All key people who are not citizens or naturalized citizens of Canada and who reside outside of Canada must provide a *Criminal Record Check* from their local police agency. SLGA will accept any form prescribed and completed by the police agency or they can use the SLGA form titled Consent to a Criminal Record Check and submit that form to the police agency for completion. A copy of the SLGA form is attached to the back of this form. Fingerprint submissions are not required.

If you are not able to obtain a criminal record check from your local police agency, attach an appendix explaining why.

## **Renewal of Suitability**

You or your business will be notified when it is time for you to submit a personal disclosure renewal form. In most cases, this is done when the business is required to renew their supplier registration.

**Part 1 – Personal Information**

Legal first, middle and surname:									
List any other names you have used (maiden name, birth name, etc.):									
Mailing address:									
Home street address (if different from mailing address):									
City:	Province/state:	Country:	Postal/zip code:						
Home phone:		Work/business phone:	Cell phone:						
Email address:									
Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male	Date of birth: YY MM DD <table border="1" data-bbox="397 982 698 1039"> <tr> <td> </td> <td> </td> <td> </td> </tr> </table>					Height:	Weight:	Eye colour:	Hair colour:
Place of birth (City, Province/State, Country) & Citizenship:									

**Part 2 – Supplier Information**

Legal name:			
Head office/business address:			
City:	Province/state:	Country:	Postal/zip code:
Your relationship to the supplier (occupation, position):			

**Part 3 – Employment History**

List your work history, all businesses that you have been involved with and all periods of employment and unemployment for the last 10 years, starting with your current employer. Include all corporations, partnerships and any other business ventures you have been associated with as an officer, director or shareholder. Attach as an appendix if necessary.

Position	Name and address of employer	From (year)	To (year)	Reason for leaving

#### Part 4 – Gaming History

List all other gaming agencies, authorities or licensing bodies with which you have applied for a gaming permit, license, certificate, registration or other similar qualification. Include the name and address of the jurisdiction, type of qualification, date of approval and any attached conditions or stipulations. Attach as an appendix if necessary.

If you have ever had a gaming permit, licence, certificate or registration refused, suspended, revoked, withdrawn or been found unsuitable in any gaming jurisdiction, provide the reason. Attach as an appendix if necessary.

If any of your family members (eg. parents, spouse/partner, children, brothers, sisters) have a financial or ownership interest in any gaming activity or enterprise, provide their name, relationship to you and the type of financial or ownership interest. Attach as an appendix if necessary.

#### Part 5 - Criminal History

The following questions relate the existence of a criminal history. A criminal history may include criminal investigations, interviews, detentions, arrests and charges that may or may not have resulted in a conviction. Any statements regarding a criminal history will be verified through a criminal record check by SLGA.

Answer 'yes' to the questions if:

- i) you or were charged and convicted of a criminal offence;
- ii) the charges were dismissed or subsequently downgraded to a lesser charge;
- iii) the charges were stayed;
- iv) you received a conditional discharge;
- v) you completed an alternative measures or other similar program;
- vi) you were charged but not convicted; or
- vii) the investigation, charges or offence happened in another jurisdiction/province/country.

Answer 'no' to the questions if:

- i) you received a pardon under *The Criminal Records Act* (Canada) or similar legislation, or if any records relating to a charge or conviction have been expunged or otherwise officially sealed by a court or government agency or
- ii) you have never been investigated, arrested, detained, interviewed, charged or convicted of an offence.

Have you ever been investigated, arrested, detained, interviewed, charged or convicted of an offence (such as criminal, drug, gaming, customs, income tax or any offence related to any government assistance program) in any jurisdiction?

- Yes – provide the information requested below     No – proceed to the next question

If 'yes', provide the details (eg. date and place of investigation, detention, arrest, charge or conviction, the description/ circumstances of the offence(s), the disposition of sentence and the name of investigating police agency or enforcement body). Attach as an appendix if necessary.

To your knowledge, do you have any charges or warrants outstanding or pending in any jurisdiction?

- Yes – provide the information requested below     No – proceed to the next question

If 'yes', provide the details (eg. date of charge/offence(s), description/circumstances of the offence(s), and the name of investigating police agency or enforcement body). Attach as an appendix if necessary.

To your knowledge, has a business or corporation in which you had an interest or served as an officer or director ever been the subject of an investigation, charged or convicted of any criminal or income tax offence in any jurisdiction?

- Yes – provide the information requested below     No – proceed to Part 6

If 'yes', provide the details (eg. date and place of investigation, detention, arrest, charge or conviction, the description/ circumstances of the offence(s), the disposition of sentence and the name of investigating police agency or enforcement body). Attach as an appendix if necessary.

## Part 6 - Civil Proceedings

Have you ever been a defendant in a civil suit based in whole or in part on fraud, deceit, misrepresentation, breach or trust or similar conduct?

Yes – provide the information requested below    No – proceed to Part 7

If 'yes', provide the details (eg. date of lawsuit; a description of the lawsuit, including court file number and the names of other parties named in the lawsuit; the outcome of lawsuit, and the name and address of court). Attach as an appendix if necessary.

## Part 7 – Bankruptcy

Have you ever made an assignment into bankruptcy, been petitioned into bankruptcy or filed a proposal under an Act or legislation for Bankruptcy and Insolvency?

Yes – provide the information requested below    No – proceed to Part 8

If 'yes', provide the details (eg. the date file, reason for bankruptcy, details of bankruptcy, the date of discharge and the name of the trustee). Attach as an appendix if necessary.

## Part 8 – Financial Information

Do you control, manage or hold in trust any assets or liabilities for another person or entity?

Yes – provide the details below    No – proceed to the next question

Attach as an appendix if necessary.

Are any of your assets or liabilities controlled, managed or held in trust by someone else?

- Yes – provide the details below     No – proceed to the next question

Attach as an appendix if necessary.

Have you ever had assets seized for non-payment or has other action been taken to collect an account or debt that you owed?

- Yes – provide the details below     No – proceed to the next question

Attach as an appendix if necessary.

Have you ever had a garnishee order executed against your salary or bank account?

- Yes – provide the details below     No – proceed to the next question

Attach as an appendix if necessary.

**For Canadian Residents Only:**

Do you own or control any assets or have liabilities outside of Canada?

- Yes – provide the details below     No – proceed to Part 9

Attach as an appendix if necessary.



**Part 9 – Financial Statement**

<b>ASSETS (At lower of cost or market value)</b>		<b>LIABILITIES (amounts over \$5,000)</b>	
<b>LIST BANKS AND ACCOUNT NUMBERS</b>	<b>AMOUNT</b>	<b>PAYABLES</b>	<b>AMOUNT</b>
Chequing	\$	Notes payable to relatives and friends	
		Notes payable to others	
Savings		Income tax payable	
Escrow		Accounts and bills payable	
Cash on hand		Debts secured by personal property	
Stocks and bonds		Credit cards payable	
Notes receivable		Accruals, including real estate taxes, etc.	
Accounts receivable			
Real estate owned		<b>TOTAL CURRENT LIABILITIES</b>	<b>\$</b>
Mortgages and contracts owned			
Automobiles		Mortgages and liens on real estate	
Personal property		Court ordered payments	
<b>TOTAL ASSETS</b>	<b>\$</b>	<b>TOTAL LIABILITIES</b>	<b>\$</b>
		<b>NET WORTH = Total Assets Minus Total Liabilities</b>	
<b>INCOME</b>	<b>AMOUNT</b>	<b>CONTINGENT LIABILITIES</b>	<b>AMOUNT</b>
Salary	\$	As guarantor, endorser, and co-signer	
Source of salary		On discounted paper, leases, and contracts	
Bonus and commissions		On surety bonds	
Dividends		Lawsuits or other liabilities (specify)	
Real estate income			
Other income			
<b>TOTAL INCOME</b>	<b>\$</b>		
<b>PERSONAL INFORMATION</b>		<b>GENERAL INFORMATION</b>	
Other business interests		Are any assets pledged or mortgaged other than as shown above? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		If yes, give name, where, what and when. Attach copies of documents and court papers.	

## Part 10 – Consent to Obtain and Release Information and Declaration of Honesty

The Saskatchewan Liquor and Gaming Authority (SLGA) is required to collect personal information for the purpose of registering prospective and current suppliers of gaming and non-gaming goods and services. This information is collected under *The Alcohol and Gaming Regulation Act, 1997*. In order to comply with requirements set forth in *The Alcohol and Gaming Regulation Act, 1997* the following consent form allows SLGA representatives to verify or investigate the information provided in this Personal Disclosure Form. SLGA 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 the purpose for which it is collected. SLGA will retain the personal information on this form only as long as it is necessary to fulfill the purposes for which it was collected and in accordance with approved mandatory retention policies and schedules established with cooperation of the Saskatchewan Archives Board under *The Saskatchewan Archives Act*.

### THE APPLICANT OR REGISTRANT HEREBY:

- (a) consents to the direct and indirect collection from any source and to the use by Saskatchewan Liquor and Gaming Authority (SLGA) of all personal, financial, business, general, or criminal information or documents that SLGA may reasonably require to determine the prerequisites under *The Alcohol and Gaming Regulation Act, 1997* to grant a supplier of gaming and non-gaming goods and services certificate of registration to the applicant, namely whether the applicant (including individuals such as shareholders, officers, directors and affiliated companies, identified in connection with the applicant):
  - (i) is of good character; and
  - (ii) is capable of supplying gaming services;
- (b) consents to the release by SLGA of any information authorized to be collected pursuant to clause (a), to any law enforcement agency, other gaming jurisdiction or agency with which SLGA has a formal arrangement or agreement;
- (c) consents to the release to SLGA by all persons, including but not limited to all federal, provincial, or municipal licensing bodies and departments, police services, law enforcement agencies, the registrar in bankruptcy, Canada Customs and Revenue Agency, credit bureaus, financial institutions, professional and industry associations, former and current employers, of all personal, financial, business, general or criminal information or documents that SLGA reasonably determines it requires respecting this application;
- (d) releases all persons referred to in paragraph (c) including their officers, agents and employees, from all liability respecting the release of information to SLGA pursuant to paragraph (c); and
- (e) acknowledge and understand that a photocopy of this document will have the same force and effect as the original;
- (f) understand that the consent is in effect for as long as I maintain my suitability as a key person with SLGA; and
- (f) certify that the information provided in this application is accurate, correct and true. I understand that if any of the information provided in this application is not accurate, correct and true, SLGA may deny my application or may subsequently revoke my gaming registration. I further understand that if any of the information provided in this application is fraudulent, I may be subject to prosecution under the *Criminal Code of Canada*.

I have read and understand the above statement.

\_\_\_\_\_  
First and last name (please print)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

Legal First, Middle and Surname:			
Other names you have used (eg. Maiden name):			
Home address:			
City:	Province/State:	Country:	Zip/Postal Code:
Sex: <input type="checkbox"/> Female <input type="checkbox"/> Male	Date of Birth: YY    MM    DD	Place of Birth (City, Province, State, Country):	Driver's License No:

1. Have you ever been investigated, arrested, detained, interviewed, charged or convicted of an offence (such as criminal, drug, gaming, customs, income tax or any offence related to any government assistance program) in any jurisdiction?

Yes     No

2. To your knowledge, do you have any charges pending in any jurisdiction?     Yes     No

If you answered "yes" to either of the above questions, please provide the details below (*criminal record statements will be verified*):

Date (mm/yy)	Offence/incident	Disposition/sentence	Investigating police dept.

**DECLARATION** – All of the information provided on this form is true and complete to the best of my knowledge. I understand that the Saskatchewan Liquor and Gaming Authority (SLGA) collects the information for the purpose of determining my suitability as a key person. I CONSENT to the release to SLGA of any information as may be necessary to verify the information contained on this form. My signature authorizes the Royal Canadian Mountain Police (RCMP), through the CPIC system; or other law enforcement agencies, to release records of criminal charges or convictions for which a pardon has not been granted, records of discharges which have not been removed from the CPIC system in accordance with *The Criminal Records Act*, and records of outstanding criminal charges to SLGA. I release all persons referred to in this paragraph including their officers, agents and employees, from all liability respecting the release of information to SLGA. I further authorize SLGA to obtain a criminal record check during the time of application, the period of the registration granted pursuant to this application and any renewals.

Signature of applicant:	Date:
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**RESULTS OF CRIMINAL RECORD CHECK BY LAW ENFORCEMENT AGENCY**

- No criminal record or outstanding charges.
- A possible criminal record not disclosed by the applicant.
- A criminal record consistent with what was disclosed by the applicant.
- Outstanding charge(s) and/or warrant(s) consistent with what was disclosed by the applicant.

\_\_\_\_\_  
Signature/Rank of Officer

\_\_\_\_\_  
Law Enforcement Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Copy of Department / Official Stamp