

## Who Must Complete This Application?

A gaming director is a person appointed to the Board of Directors of the Saskatchewan Gaming Corporation (SGC) or the Saskatchewan Indian Gaming Authority (SIGA). A gaming director provides leadership and direction in areas such as strategic and business planning, risk management and performance evaluation. If you have been nominated to the SGC or SIGA Board of Directors, you must complete this form to apply for a gaming director certificate.

All nominees must apply to and be registered by the Saskatchewan Liquor and Gaming Authority (SLGA) prior to being appointed or acting as a Board member.

## General Information

1. Print or type your responses. You must answer every question in this application. Incomplete applications will be returned.
2. A passport-type photo is to be attached to this application. You can also email a photo of yourself (jpg format only) to [registration@slga.com](mailto:registration@slga.com). The photo should be head and shoulders only.
3. Nominees to the SIGA Board of Directors must attach a copy of their Board nomination to this application.
4. Every gaming director nominee will be subject to a mandatory interview by a representative of SLGA. The purpose of the interview is to review your qualifications and gather any information SLGA considers necessary to determine your suitability for registration as a gaming director.
5. 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.
6. You are required to inform SLGA within 7 days of any changes to the information you supplied that might affect your registration. 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.
7. If your application is approved, SLGA will mail you your registration tag containing your photo, name and registration number. The tag will be valid for three years, unless an earlier date is indicated. If you lose your tag, you will be charged \$10.50 for a replacement.
8. The fee to register is \$52.50 annually. Your governance body will be billed for future annual fee payments.
9. If you have any questions regarding the registration process or any of the information found in this form, please contact the Manager, Gaming Registrations, Gaming Integrity & Licensing Branch - Saskatchewan Liquor and Gaming Authority at phone: (306) 787-1771, fax: (306) 798-0052 or by email at: [registration@slga.com](mailto:registration@slga.com).
10. Send your completed form and passport-type photo to:

Manager, Gaming Registrations, Gaming Integrity & Licensing Branch  
Saskatchewan Liquor and Gaming Authority  
P.O. Box 5054, S4P 3M3 (mailing address)  
2500 Victoria Ave, S4P 3X2 (courier address)  
Regina, Saskatchewan

Completed forms can be emailed to [registration@slga.com](mailto:registration@slga.com)

## **Qualifying For Registration**

To qualify for registration as a gaming director, an applicant must be of good character and have suitable training and experience. The criteria of good character and training or experience are applied to the principal responsibilities and the impact on the integrity of gaming. SLGA will consider a number of factors in order to determine an applicant's suitability to be a gaming director, such as the existence of a criminal history, disclosure of information, and relevant training, education and/or experience.

The criteria are applied more rigorously to gaming director's as they directly impact the integrity of gaming and set the standard for behaviour and management practices.

## **Suitability Factors**

### **Criminal History**

In order to prove good character, an applicant must have demonstrated orderly and lawful conduct. Such conduct should not include convictions of a serious criminal offence; substantial misrepresentation of material fact related to bribery, fraud, theft, filing of false claims (including the application for registration); financial instability; or past or present behaviour which gives cause to negatively impact an assessment of an applicant's integrity and good character.

The assessment of an applicant's criminal history is one of a number of critical factors in determining suitability. A criminal history is not the same as a criminal record. A criminal history includes criminal investigations, interviews, detentions and arrests that may or may not have resulted in a conviction. Even if a person was found not guilty or if their charges were dismissed or stayed, the charges still form part of an individual's criminal history. A criminal history also includes any charges that were dealt with through an Alternative Measures Program or resulted in a suspended sentence, conditional or absolute discharge. A criminal history by itself does not disqualify an applicant from being registered. If an applicant has a criminal history, SLGA will consider the nature of the charge(s) or conviction(s), circumstances of the offences, sentences imposed by the court, length of time since the last offence and evidence of rehabilitation or treatment.

SLGA may not process an application if an applicant has an outstanding warrant or charge that could potentially result in a denial of a registration. Warrants or charges may need to be cleared (fully resolved through the courts) before SLGA will make a determination of suitability. SLGA may also initiate an investigation or personal interview to determine suitability following the resolution in court.

### **Suitable Training or Experience**

A gaming director has responsibility for the stewardship of public money, decision-making and integrity in an industry that is high risk. Applicants for a gaming director registration must demonstrate through training, education and/or experience that they have the capacity to provide leadership, to contribute to sound decision-making at the highest level and to contribute effectively in the public interest.

### **Failure to Disclose**

Failing to disclose reflects negatively on a person's character, as it brings into question his/her honesty. SLGA may deny or cancel a registration if a person fails to disclose information relevant to the application or registration.

SLGA will conduct reviews of all registered gaming directors as required. The review may include a new criminal record check. Therefore, it is important for gaming directors to disclose any changes to their initial application that may impact their registration as soon as the changes occur. Although the circumstances of a new charge may not affect a gaming director's suitability, failure to disclose the information would be considered a breach of the terms and conditions and the gaming director could be subject to disciplinary action including, but not limited to, suspension or cancellation of the registration.

### **Other Considerations**

SLGA will also consider if an applicant or gaming director has displayed conduct that suggests a lack of good character such as providing false or misleading information or has a history of problem gambling, alcohol or drug abuse.

**Part 1 – Personal Information**

Legal first, middle and surname:			Name to appear on your tag:			
List any other names you have used (maiden name, birth name, etc.):						
Mailing address:						
Home street address (if different from mailing address):						
City:		Province:		Country:		
				Postal code:		
Home phone:		Work/business phone:		Cell phone:		
Email address:			Place of birth (City, Province/State, Country) & Citizenship:			
Gender: <input type="checkbox"/> Female <input type="checkbox"/> Male	Date of birth: YY MM DD		Height:	Weight:	Eye colour:	Hair colour:

**Part 2 – Governance Body and Appointment**

Governance body: <input type="checkbox"/> SGC Board of Directors <input type="checkbox"/> SIGA Board of Directors		Title: <input type="checkbox"/> Board Member <input type="checkbox"/> Chair <input type="checkbox"/> Vice Chair <input type="checkbox"/> Other _____ Appointed by: _____	
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**Part 3 – Education and Experience (you may attach a current resume rather than completing this section)**

1. Did you obtain post-secondary education?

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Name of institution	Name of courses completed or Degree, Diploma, or Certificate obtained	From (Year)	From (To)

2. Do you have any courses, training or experiences which you feel are relevant to a gaming director position? Include experiences such as volunteer and community involvement.

- No – proceed to the next question
- Yes – provide a description below (attach an appendix if necessary)


**Part 4 – Employment/Business Interests** (you may attach a current resume rather than completing this section)

1. Beginning with your current employment, list your employment history for the last 5 years. Include all corporations, partnerships and any other business ventures you have been associated with as an officer, director or shareholder. Attach an appendix if necessary.

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

2. Do you currently sit as a member of a Board of Directors for any corporation, business venture, charitable organization, etc.?

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Name of Business or Organization	Date and/or Term of Appointment

**Part 5 – Gaming History**

1. Have you ever applied to a gaming agency in Saskatchewan or any other province, state or country for a gaming permit, licence, certificate or other similar qualification?

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Type of licence	Name and address of jurisdiction	Date of approval	Conditions/stipulations

2. Have you ever had a gaming permit, licence, certificate or similar qualification refused, suspended, revoked or withdrawn in any jurisdiction?

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Type of licence	Name and address of jurisdiction	Date	Reason

3. Do you or any of your relatives have a financial or ownership interest in any gaming activity or enterprise (Refer to 1(f) of the attached terms and conditions for the definition of *Relatives*)?

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Name	Relationship to you	Type of financial ownership or interest

4. Do you or any of your relatives currently conduct business or have financial dealings with any of the gaming locations managed by the governance body to which this application relates? (Refer to 1(f) of the attached terms and conditions for the definition of *Relatives*)

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Name	Relationship to you	Type of business or financial dealings

5. Are any of your relatives currently employed at any gaming locations managed by the governance body to which this application relates? (Refer to 1(f) of the attached terms and conditions for the definition of *Relatives*)

- No – proceed to the next question
- Yes – provide the information requested below (attach an appendix if necessary)

Name	Relationship to you	Location	Position(s) they hold

## Part 6 – 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 were charged and convicted of a criminal offence;
- ii) you were charged under *The Young Criminal Justice Act* \*;
- iii) the charges were dismissed or subsequently downgraded to a lesser charge;
- iv) the charges were stayed;
- v) you received a conditional discharge;
- vi) you completed an alternative measures or other similar program;
- vii) you were charged but not convicted; or
- viii) the investigation, charges or offence happened in another jurisdiction/province/country.

\* Disclosure of **Young Offender** information is required pursuant to clause 119(1)(o) of *The Youth Criminal Justice Act*.

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, 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 an appendix if necessary.

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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 an appendix if necessary.

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## Part 7 – 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 the next question

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 an appendix if necessary.

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## Part 8 – Bankruptcy

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

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

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 an appendix if necessary.

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## Part 9 – Disciplinary Action

Have you ever had disciplinary action taken against you as a member of a regulatory body, society or group?

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

If 'yes' provide the details including the name of the regulatory body, society or group. Attach an appendix if necessary.

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## Part 10 – Counselling or Treatment

Have you taken some type of counselling or treatment recently that might reflect favourably on your application for a certificate of registration, such as drug or alcohol treatment, anger management, marriage or family and/or financial counseling?

Yes – provide the information requested below       Do not wish to disclose       No – proceed to Part 11

If ‘yes’, provide the type of counselling or treatment and the name and address of the agency the counselor is employed by. Attach an appendix if necessary.

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## Part 11 – Character References

List 3 character references who have known you for three years or more. Do not include relatives, your present employer or your employees.

Name of reference	Home address	Home phone and/or cell number
Years this person has known you	Name of employer (include address)	Work phone

Name of reference	Home address	Home phone and/or cell number
Years this person has known you	Name of employer (include address)	Work phone

Name of reference	Home address	Home phone and/or cell number
Years this person has known you	Name of employer (include address)	Work phone



## Part 12 – 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 gaming directors. 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* and *The Gaming Regulations, 2007*, the following consent form allows SLGA representatives to verify or investigate the information provided in this registration application. 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*.

### I THE APPLICANT OR REGISTRANT HEREBY:

- (a) consent 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* and *The Gaming Regulations, 2007* to grant and maintain a gaming director certificate of registration to the applicant, namely whether the applicant:
  - (i) is of good character; and
  - (ii) has suitable training or experience;
- (b) consent to the release by SLGA of any information authorized to be collected pursuant to clause (a), to any law enforcement agency, other gaming regulatory agency with respect to the conduct of investigations pursuant to the Acts and Regulations the gaming regulatory agency administers and any laws of Canada that are enforced by its officers or employees;
- (c) consent 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 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) release 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);
- (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 hold a certificate of registration and for any registration renewals;
- (g) 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 (Digital signature not accepted)

## Terms and Conditions

The terms and conditions herein are established by the Saskatchewan Liquor and Gaming Authority (SLGA) pursuant to *The Alcohol and Gaming Regulation Act, 1997* and *The Gaming Regulations, 2007*.

### 1. DEFINITIONS

- (a) “**Act**” means *The Alcohol and Gaming Regulation Act, 1997*.
- (b) “**Applicant**” means a person who has applied for a certificate of registration as a gaming director or a renewal of a certificate of registration as a gaming director.
- (c) “**Certificate of Registration**” means a certificate of registration granted pursuant to section 146 of *The Alcohol and Gaming Regulation Act, 1997*.
- (d) “**Investigation**” means an inquiry or review conducted by SLGA to determine the eligibility of an applicant to be registered or of a registrant to continue to be registered, and includes but is not limited to, an inquiry or review relating to the honesty and integrity and financial history of the applicant or gaming director.
- (e) “**Registrant**” means a gaming director to whom a certificate of registration has been issued.
- (f) “**Regulations**” means *The Gaming Regulations, 2007*.
- (g) “**Relatives**” include both immediate and extended family such as spouse (including common law), brother, sister, parent, child, grandparent, grandchild, great grandparents, son-in-law, daughter-in-law, mother-in-law, father-in-law, aunt, uncle, niece, nephew, first cousin, brother-in-law, sister-in-law, spouse’s grandparents, family relationships resulting from First Nations’ customary adoptions, and persons in the household for long periods of time and who the gaming director supports.
- (h) “**SLGA**” means the Saskatchewan Liquor and Gaming Authority.

### 2. NOTICE

- (a) An applicant or gaming director must provide SLGA with any information it considers necessary to determine whether a certificate of registration should be granted or denied. This includes giving SLGA access to any records it considers necessary, such as the applicant or gaming director’s personal, business, financial information, criminal record information and character references.
- (b) An applicant or gaming director is responsible for complying with and understanding the provisions of *The Alcohol and Gaming Regulation Act, 1997*, *The Gaming Regulations, 2007* and the terms and conditions.
- (c) An applicant or gaming director must comply with applicable legislation, lawful policies, orders and directions of the province and its agents and conditions set out in policy established by SLGA.
- (d) An applicant or gaming director who operates in breach of any term or condition herein may be subject to an immediate suspension or cancellation of the certificate of registration to which the breach relates.
- (e) Subsection 146(8) of *The Alcohol and Gaming Regulation Act, 1997* authorizes SLGA to amend, vary, repeal, substitute or add any terms and conditions when a certificate of registration is issued, renewed or at any time during the period of registration.

### 3. GENERAL CONDITIONS

- (a) An applicant or gaming director must complete any forms SLGA considers necessary.
- (b) The information provided to SLGA must be accurate and complete.

- (c) An applicant or gaming director must provide SLGA with permission to obtain any information from any person or any source it considers necessary to determine whether they are of good character. SLGA may request this information at any time during a period of registration.
- (d) An applicant or gaming director must provide SLGA with any information it considers necessary to determine whether they are suitably trained or qualified for their position. SLGA may request this information at any time during a period of registration.
- (e) A gaming director must provide SLGA with verification of their criminal history within 7 days of a request.
- (f) A certificate of registration is valid:
  - i) for three years unless an earlier date is indicated;
  - ii) if the registration fee is paid on annual basis no later than the deadline provided by SLGA; and
  - iii) as long as the gaming director holds a position on the SIGA or SGC Board of Directors. If a gaming director's appointment ends prior to the expiry of their registration, their registration immediately becomes null and void.
- (g) A gaming director may only possess one certificate of registration at a time.
- (h) A gaming director must continue to be of good character during their period of registration.
- (i) A gaming director must comply with applicable legislation, lawful policies, orders and directions of the province and its agents and conditions set out in policy established by SLGA for the gaming director.
- (j) SLGA may conduct any background check, interview or investigation that it considers necessary or appropriate.
- (k) If an applicant or gaming director has misled SLGA, failed to provide information or provided inaccurate information, SLGA may take disciplinary action or impose sanctions including, but not limited to, the denial, suspension or cancellation of a registration.

#### **4. CONFLICT OF INTEREST**

- (a) A conflict of interest is any situation in which a gaming director, either for himself or herself or another person(s), promotes or attempts to promote a private or personal interest which results or appears to result in the following:
  - (i) a conflict or interference with the exercise of his/her duties; or
  - (ii) a gain or advantage by his/her position.
- (b) A gaming director must, at all times, seek to eliminate actual or perceived conflicts of interest while working with relatives at the corporation or any of the gaming sites they manage.

#### **5. NOTIFICATION OF CHANGES**

- (a) A gaming director must notify SLGA within 7 days of any matter, action or conduct that may be of importance to SLGA, including but not limited to:
  - i) behaviour which relates to the director's honesty and integrity,
  - ii) instances of non-compliance with the corporation's policies and operations which call into question the director's honesty and integrity,
  - iii) being investigated in connection with, or detained, arrested, charged or convicted of any criminal, drug, gaming, customs, income tax offence, or any offence related to a government financial assistance program;

- iv) being sued in a civil proceeding;
- v) being the subject of a bankruptcy proceeding;
- vi) being the subject of a gaming investigation by a regulatory agency, other than as an applicant;
- vii) a change of address; or
- viii) a change of name.