

Who Must Complete This Application?

Individuals identified by SLGA as key people must complete a renewal of key person personal disclosure form as part of the supplier's application to renew their registration as a supplier of gaming and/or non-gaming supplies and services.

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 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 consent portion of this form, you are agreeing that SLGA may collect 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. 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.
6. If you are not able to obtain a criminal record check from your local police agency, attach an appendix explaining why.
7. If you have any questions regarding the form, please contact:

Manager, Gaming Registrations, Gaming Integrity & Licensing Branch
Saskatchewan Liquor and Gaming Authority
Phone: (306) 787-1771
Fax: (306) 798-0052
Email: registration@slga.com
8. 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:

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

Completed forms can be emailed to registration@slga.com

Part 1 – Personal Information

Legal first, middle and surname:		
Telephone: (home)	(work/business):	(cell):
Email address:		

Part 2 – Residential Information

Have you changed residences in the last 3 years?

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

Mailing address:			
Home street address (if different from mailing address):			
City:	Province:	Country:	Postal/zip code:

Part 3 – Supplier Information

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

Part 4 – Employment History

Has there been any change to your employment history in the past three years?

☐ Yes – indicate the changes below ☐ No – proceed to the next question

Beginning with your current employment, list your work history, all businesses that you have been involved with and all periods of employment and unemployment for the past three years. Also, include all corporations, partnerships and any other business ventures you have been associated with as an officer, director or shareholder during the past three years. Attach an appendix if necessary.

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

During the past three years, have you had disciplinary action taken against you as a member of a regulatory society or group?

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

Attach an appendix if necessary.

Part 5 – Gaming History

Gaming refers to activities involving lotteries, casinos, bingos, pull-tab tickets, break-open tickets, raffles and horse racing.

During the past three years, have you applied to a gaming agency in Saskatchewan or any other province, state or country for a gaming permit, license, certificate, registration or other similar qualification? Attach an appendix if necessary.

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

List the gaming agencies, authorities or licensing bodies. Include the name and address of the jurisdiction, type of qualification, date of approval and any attached conditions or stipulations. Attach an appendix if necessary.

During the past three years, have you had a gaming permit, licence, or similar registration refused, suspended, revoked or withdrawn?

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

Name the type of licence or registration. Be sure to include the name and address of the jurisdiction and the date of the suspension or refusal. Attach an appendix if necessary.

During the past three years, have any of your family members (like parents, spouse/partner, children, brothers, and sisters) had a financial or ownership interest in any gaming activity or enterprise?

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

Provide their name, relationship to you and the type of financial or ownership interest. Attach an appendix if necessary.

Part 6 – Criminal History

You must disclose all criminal investigations, arrests, charges and convictions regardless of the outcome. Even if you were found not guilty or if charges were dropped you must still report all troubles you've had with the law.

During the past three years, have you 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? Attach an appendix if necessary.

☐ 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.

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.

During the past three years, has a business or corporation in which you had an interest or served as an officer or director 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 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.

Part 7 – Civil Proceedings

During the past three years, have you 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.

Part 8 – Bankruptcy

During the past three years, have you 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 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

Part 9 – Financial Information

SLGA may, at any time, request copies of your personal income tax returns for the past three years, including any notices of assessment.

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 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 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 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 an appendix if necessary.

This question applies to Canadian residents only

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

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

Attach an appendix if necessary.

Have there been any changes to the *financial statement* you submitted?

☐ Yes – note the changes on the *financial statement* on the following page ☐ No – proceed to Part 10

Do not complete the *financial statement* on the following page if there have been no changes.

FINANCIAL STATEMENT

ASSETS (At lower of cost or market value)		LIABILITIES (amounts over \$5,000)	
LIST BANKS AND ACCOUNT NUMBERS	AMOUNT	PAYABLES	AMOUNT
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		TOTAL CURRENT LIABILITIES	\$
Mortgages and contracts owned			
Automobiles		Mortgages and liens on real estate	
Personal property		Court ordered payments	
TOTAL ASSETS	\$	TOTAL LIABILITIES	\$
		NET WORTH = Total Assets Minus Total Liabilities	
INCOME	AMOUNT	CONTINGENT LIABILITIES	AMOUNT
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			
TOTAL INCOME	\$		
PERSONAL INFORMATION		GENERAL INFORMATION	
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) 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) 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
- (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)

Consent to a Criminal Record Check

The bottom portion of this form must be completed by a law enforcement agency

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 Mounted 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