

Who Must Complete This Application?

A gaming regulator is defined in *The Gaming Regulations, 2007* as a person employed in a designated position at the Saskatchewan Liquor and Gaming Authority (SLGA) or a First Nation Gaming Licensing Authority. A description of the designated positions can be found in *Regulations*.

If you have been offered employment in a designated position, you must complete this form and apply for registration as a gaming regulator.

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. The photo should be head and shoulders only.
3. If SLGA identifies areas of concern in the review of your application, it will initiate an interview or investigation to establish your suitability to be registered as a gaming regulator. Through the interview or investigation process, SLGA will gather any information it considers necessary and may request additional information from you, including character references, employment history, etc. By signing the attached consent, you are agreeing that SLGA may collect and use this information.
4. 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.
5. 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.
6. If your application is approved, SLGA will mail you your registration tag containing your photo, name, title and registration number. The tag will be valid for three years, unless an earlier date is indicated.
7. If you have any questions regarding the registration process or any of the information found in this form, please contact the Director, Gaming Integrity & Licensing Branch - Saskatchewan Liquor and Gaming Authority at phone: (306) 787-4709, fax: (306) 798-0052 or by email at: registration@slga.com.
8. Send your completed form and passport-type photo; marked **Confidential** 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.

Qualifying For Registration

To qualify for registration as a gaming regulator, an applicant must be of good character and have suitable training and experience. SLGA determines if an applicant is of good character by reviewing aspects of his/her personal, financial and criminal history. To determine if an applicant has suitable training and experience, SLGA relies on the assessment made by the employer's Human Resources Department as part of the recruitment process for the position.

Suitability Factors

SLGA considers a number of factors in order to determine an applicant's suitability to be a gaming regulator. The main factors that SLGA considers are the existence of a criminal history, disclosed relevant information, failure to disclose relevant information, outstanding charges or warrants, and civil and bankruptcy claims.

Criminal History

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, arrests as well as charges that may or may not have resulted in a conviction. Even if a person was found not guilty or if charges were dismissed or stayed, the charges still form part of an individual's criminal history. A criminal history also includes 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 someone from being registered. If an applicant has a criminal history, SLGA will consider the nature of the charge(s) or conviction(s), the 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 the 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.

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 regulators as required. The review may include a new criminal record check. Therefore, it is important for gaming regulators 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 regulator's suitability, failure to disclose the information would be considered a breach of the terms and conditions and the gaming regulator could be subject to disciplinary action including, but not limited to, suspension or cancellation of the registration.

Civil and Bankruptcy Claims

SLGA must determine if the reason for the civil claim or bankruptcy may put the employer's assets and the integrity of gaming at risk.

Other Considerations

SLGA will also consider if an applicant or regulator has displayed conduct that suggests a lack of good character; has provided false or misleading information; has a history of problem gambling, alcohol or drug abuse; has recently been denied a similar license in another jurisdiction; or has been found to be under the influence of alcohol or an illicit drug while working.

Part 1 – Personal Information

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

Part 2 – Regulatory Body

<input type="checkbox"/> SLGA <input type="checkbox"/> Other: _____		Job Title/Branch:	
Corporate mailing address:			
City:	Province:	Country:	Postal code:

Part 3 – Disciplinary Action

<p>Have you ever had disciplinary action taken against you as a member of an audit or regulatory society or group?</p> <p><input type="checkbox"/> Yes – provide the details below <input type="checkbox"/> No – proceed to next question</p> <p>If 'yes', provide the date of discipline, name of regulatory body and description of disciplinary action. Attach an appendix if necessary.</p> <p>_____</p> <p>_____</p>

Part 4 – 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 next question

☐ Yes – provide the information requested below (attach an appendix if necessary)

Type of licence	Name and address of jurisdiction	Date	Reason

Part 5 – Conflict of Interest

1. 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 or ownership interest

2. Do any of your relatives currently work in the location for which you have applied for employment or at a gaming location for which you will perform regulatory or audit functions? (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

3. Do you or any of your relatives have a financial or ownership interest in any liquor establishment 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 or ownership interest

Part 6 – Criminal History

The following questions relate to the existence of a criminal history. A criminal history may include criminal investigations, 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 question if you have been:

- i) charged and convicted of a criminal offence, including drinking and driving offences;
- ii) charged under *The Young Criminal Justice Act* *;
- iii) charged but not convicted;
- iv) the charges were stayed, dismissed or withdrawn;
- v) received a conditional discharge;
- vi) completed an alternative measures or other similar program;
- vii) investigated or charged in another jurisdiction/province/country;
- viii) questioned by the police in relation to your personal involvement in criminal activity.

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

Answer 'no' to the question 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.

To your knowledge, do you 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.

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.

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

Part 9 – 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 10

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.

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 gaming regulators. 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 the 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 regulator 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; 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)

Signature (digital signatures not accepted)

Date

Gaming Regulator 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, for the purpose of these terms and conditions, a person who has applied for a certificate of registration as a gaming regulator or a renewal of a certificate of registration as a gaming regulator.
- (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 a gaming regulator 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 regulator.
- (e) “**Regulations**” means *The Gaming Regulations, 2007*.
- (f) “**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 regulator supports.
- (g) “**SLGA**” means the Saskatchewan Liquor and Gaming Authority.

2. NOTICE

- (a) An applicant or gaming regulator 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 regulator’s personal, business, financial information, criminal record information and character references.
- (b) An applicant or gaming regulator 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 regulator 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 regulator who operates in breach of any term or condition herein may be subject to a 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 regulator must complete any forms SLGA considers necessary.
- (b) The information provided to SLGA must be accurate and complete.
- (c) An applicant or gaming regulator 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) A gaming regulator must provide SLGA with verification of their criminal history within 7 days of a request.
- (e) A certificate of registration is valid:
 - i) for three years unless an earlier date is indicated; and
 - ii) for as long as the gaming regulator remains employed or holds the position for which they are registered. If the regulator's employment or employment term ends prior to the expiry of their registration, their registration immediately becomes null and void.
- (f) A gaming regulator may only possess one certificate of registration at a time.
- (g) A gaming regulator must obtain prior approval from SLGA before transferring to a different category or position that also requires registration.
- (h) A gaming regulator must continue to be of good character during their period of registration.
- (i) A gaming regulator must wear his or her certificate of registration and ensure the certificate can be viewed by the public when performing regulatory or audit functions at any Saskatchewan gaming locations.
- (j) An applicant or gaming regulator must disclose to SLGA (and their employer, if employed by a First Nation Gaming Licensing Authority) the names of all relatives who work at a gaming location in Saskatchewan. This includes relationships entered into during a period of registration.
- (k) A gaming regulator 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 regulator.
- (l) SLGA may conduct any background check or investigation at any time that it considers necessary or appropriate.
- (m) If an applicant or gaming regulator 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 regulator, 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 regulator must, at all times, seek to eliminate actual or perceived conflicts of interest while working with relatives at the same location.
- (c) A gaming regulator with a regulatory or audit function must remove them self from any actual or perceived conflict of interest with respect to a relative working at a gaming location in Saskatchewan.

5. NOTIFICATION OF CHANGES

- (a) A gaming regulator must notify the Director, Gaming Integrity & Licensing Branch 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 gaming regulator's honesty and integrity,
 - ii. disciplinary action by the employer which relates to the gaming regulator's honesty and integrity,
 - iii. instances of non-compliance with the employer's policies which call into question the gaming regulator's honesty and integrity,
 - iv. 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;
 - v. being sued in a civil proceeding;
 - vi. being the subject of a bankruptcy proceeding;
 - vii. being the subject of a gaming investigation by a regulatory agency, other than as an applicant;
 - viii. a change of address; or
 - ix. a change of name.