

## **New Gaming and Non-Gaming Supplies and Services Application for Certificate of Registration**

### **Who Must Complete This Application?**

In order to conduct business in Saskatchewan's gaming industry, suppliers of gaming and non-gaming supplies and services must be registered with the Saskatchewan Liquor and Gaming Authority (SLGA). The requirement to register is outlined in *The Alcohol and Gaming Regulation Act, 1997* (Act) and *The Gaming Regulations, 2007* (Regulations). Use this form to apply for registration as a gaming and non-gaming certificate of registration.

### **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. SLGA will retain the 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*. SLGA is required under *The Freedom of Information and Protection of Privacy Act* to protect the confidentiality of the information you provide and to use it only for the purposes for which it was collected. To access *The Freedom of Information and Protection of Privacy Act*, go to:  
<http://www.publications.gov.sk.ca/details.cfm?p=527>
3. You may withdraw your application if your plans change or if you do not wish to provide information about your business. To withdraw your application, submit a written request to SLGA at the address listed on this application form. However, once an application form and all related documents are received by SLGA, they become the property of SLGA and will not be returned. Any fees you have paid will be non-refundable.
4. If you have any questions regarding the application process or any of the registration requirements, 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](mailto:registration@slga.com).
5. Submit your completed application package to the following address. Electronic information such as financial statements, annual reports, etc. can also be submitted via email to [registration@slga.com](mailto:registration@slga.com). Be sure to reference which materials will be submitted electronically or are available through your website in the applicable section of the application form.

Gaming Integrity & Licensing 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

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

## **Suppliers that Require Registration**

### **1. Gaming Suppliers That Are Required To Register**

With the exception of those outlined in (3), all suppliers of gaming supplies or services must register. The Act defines gaming supplies and services to be:

- the provision of any supplies or services that, in SLGA's opinion:
  - (1) could influence the outcome of a lottery scheme; or
  - (2) are integral to the operation or conduct and management of a lottery scheme
- the use or possession of a gaming establishment if the owner of the gaming establishment has an interest in the operation or conduct and management of a lottery scheme carried on in the gaming establishment;
- the sale, rental, lease, gift, exchange, loan, printing, publication, distribution or manufacturing of any gaming supplies, including any lot, card, ticket, paper, slip, symbol, token, coin, machine, device, equipment or game;
- the provision of management or consulting services with respect to the operation or conduct and management of a lottery scheme;
- the provision, distribution, installation, maintenance, repair of a surveillance or security system for any premises kept for the operation or conduct and management of a lottery scheme;
- the manufacture, provision, distribution, installation, maintenance or repair of gaming equipment;
- the provision of gaming employees; or
- the provision of training to persons in the installation or maintenance of gaming equipment, in the operation or playing of a lottery scheme or in any other gaming-related aspect of the operation or conduct and management of a lottery scheme.

### **2. Non-Gaming Suppliers That Are Required To Register**

The Act defines non-gaming supplies and services as any supplies or services other than gaming supplies or services. Some suppliers of non-gaming supplies or services must register with SLGA.

Notwithstanding (3), all suppliers of non-gaming supplies or services are exempt from registration **EXCEPT** those companies that provide the following:

- employees who work in the gaming area of a casino on an ongoing basis without escort by a gaming employee;
- financial services; or
- services that have an influence on the layout and design of a casino.

### **3. Suppliers Who Are Exempt from Registration**

A supplier of both gaming and non-gaming supplies and services is exempt from registration where:

- the supplier's business is regulated by the Government of Saskatchewan or Canada, or an agency of them, and the regulatory body carries out due diligence investigations that are satisfactory to SLGA;
- the supplier is a member of a professional organization established by statute to regulate the members of the professional organization (this type of supplier includes banks, insurance companies, chartered accountants and/or chartered accountant companies, lawyers, investment consultants, engineers and architects); or
- the supplier is a site contractor for video lottery terminals.

### **5. Exempted Suppliers that May Require Registration**

Where, in SLGA's opinion, it is in the best interest of the public to register a supplier that is exempt from registration pursuant to the Regulations, the supplier shall make an application for registration in accordance with the provisions of the Act.

## Completion of Additional Forms

### 1. Personal Disclosure Forms

Any person who is defined as a key person must complete a *Personal Disclosure* form. Key people include:

- suppliers of gaming and non-gaming supplies and services who are individuals or partners,
- a person who owns 20% 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,
- a person who is a member of the executive and participates in management or corporate decisions, and
- members of the board of directors, key stakeholders, officers and senior executive like the CEO, CFO, Executive Directors and Vice Presidents.

Please contact our office and request a copy of the SLGA Personal Disclosure Form.

### 2. Gaming Employee Registration Applications

For the purpose of this application, a gaming employee is defined as people:

- employed by a supplier who have access to the gaming floor, technical services area or other secure area of a casino to which the general public does not have access. An example of a gaming employee includes, but is not limited to, those providing technical services, and
- employed by a supplier who have access to sensitive or confidential patron and/or gaming-related information.

If any of your technical staff or individuals you have contracted to provides services on your behalf needs to attend any of Saskatchewan's gaming locations, they must register as gaming employees with SLGA.

Please contact our office if you require a copy of the SLGA Gaming Employee Application for Certificate of Registration – Supplier Employees.

### 3. Criminal Record Checks

All key people and gaming employees 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 the key people and gaming employees can use the SLGA form titled Certification of Criminal History and Related Information and submit that form to the police agency for completion. A copy of the SLGA form is attached to each *Personal Disclosure Form*. Fingerprint submissions are not required.

## Eligibility

### 1. Eligibility Criteria

To be eligible for registration, a supplier and its key people must:

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

When determining whether a supplier is qualified, SLGA considers the business itself, its key people, and other businesses and individuals that have direct contact with the supplier applying for registration

## 2. Ineligibility Criteria

A supplier is not eligible for registration if their 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 length of time since the offence, 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 or non-gaming registration or similar license in another jurisdiction,
- are insolvent, or
- fails to provide documents required by Section 147 of *The Alcohol and Gaming Regulation Act, 1997*.

## 3. Good Character Criteria

SLGA determines if a supplier and its key people are of good character by reviewing all aspects of their personal, financial business and criminal history. The assessment of an applicant's criminal history is one of a number of critical factors in determining suitability. This review may include (but is not limited to):

- the circumstances of any criminal investigation relating to a business or its principals and key persons,
- the nature and disposition of any criminal charges which a business or its key people received,
- the amount of time since the last offence, and
- any efforts the individuals may have made towards rehabilitation and any treatment individuals may have received.

## Fees

### 1. Annual Fees

The annual registration fee per year is \$1,050.00 Canadian dollars. **Please pay in Canadian Funds.** You can submit \$1,050 for the first year with your application or \$5,250.00 for all five years. The first year's fee is non-refundable.

The Regulations provide that a supplier who would normally be charged a \$1,050 annual fee, and who conducts less than \$20,000 Canadian dollars' worth of gaming business in a 12 month period, may be exempt from paying the annual fee. If your company anticipates supplying less than \$20,000 (Canadian) worth of gaming business in Saskatchewan on an annual basis, SLGA may waive the first year's annual fee. The requirement to pay the subsequent annual fees is assessed on an annual basis and is dependent on the amount of business conducted by your company in the previous 12 months of registration.

Make cheques or money orders payable to the Saskatchewan Liquor and Gaming Authority.

Companies outside of Canada can make electronic deposits to:

Saskatchewan Liquor and Gaming Authority  
Consolidated Gaming Account  
Swift Code: ROYCCAT2  
Bank ID: 00003  
Branch: 00008  
Account: 1003813  
Royal Bank of Canada – Business Bank  
8<sup>th</sup> Floor, 2010 – 11<sup>th</sup> Avenue  
Regina, SK S4P 3W7

## **2. Due Diligence Review & Investigation Costs**

SLGA will make inquiries and conduct an investigation with respect to the character, financial responsibility and capability of your business and its key people. The length of time needed to investigate will depend on the size of your business, the location of your offices, and the products and/or services you offer. SLGA will seek reimbursement of all reasonable costs it incurred in the due diligence review of your company and any of its key people.

## **Intergovernmental Registration**

Your business may need to register with the Information Services Corporation of Saskatchewan (ISC), and that process is separate from the SLGA registration. Please contact ISC at:

Phone: (306) 787-2962  
Fax: (306) 787-8999  
Email: [corporateregistry@isc.ca](mailto:corporateregistry@isc.ca)

## **General Information**

### **1. Confidentiality of Information and Material**

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*. SLGA is required under *The Freedom of Information and Protection of Privacy Act* to protect the confidentiality of the information you provide and to use it only for the purposes for which it was collected.

### **2. Duration of Registration**

If approved, your certificate of registration will be valid for five years, unless an earlier date is stated on the certificate.

### **3. Provincial Tax**

You must collect and submit provincial sales tax (PST) to the Government of Saskatchewan on taxable goods and services. For more information contact the Saskatchewan Ministry of Finance at (306) 787-6645 or at <http://www.finance.gov.sk.ca/taxes/businesses>.

### **4. Penalties**

If you violate any of the terms and conditions of registration, SLGA may suspend or cancel your registration and/or fine you between \$100 and \$20,000. If your registration is cancelled, SLGA cannot issue you another registration for one year.

### **5. Terms and Conditions**

You are required to observe certain terms and conditions during the term of your registration. A copy of these terms and conditions is attached to this application. SLGA may attach additional terms and conditions to your registration in some circumstances.

### **6. Renewal of Registration**

When it is time to renew your registration, SLGA will send you a notice outlining the renewal process.

## Attachments

The following information and/or documents must accompany your application:

1. A complete and current list of all directors of the business including their names, addresses and occupations.
2. A complete and current list of officers of the business including their names and titles.
3. Personal Disclosure forms and passport-style photos from all key people of the business. Photos can be emailed to [registration@slga.com](mailto:registration@slga.com) (.jpeg format only).
4. A description of the organizational structure of your business including:
  - a chart showing the relationships between your business and any affiliated businesses,
  - a list of the officers/directors of your business and any affiliated businesses,
  - the percentage of ownerships held by shareholders having more than a 20% interest in your business and any affiliated businesses, and
  - a list of the key people in your business.
5. Financial statements for the past three years (electronic copies are acceptable). They must be prepared by an accountant holding a professional designation and certified correct and in accordance with generally accepted accounting principles. The statements must reflect the business operation for which the application is being submitted and must include a balance sheet and income statement. Where applicable, consolidated financial statements must be submitted.
6. A criminal records check (for all non-Canadian residents) for each person completing the Personal Disclosure Application. Key Persons who are not citizens or naturalized citizens of Canada and who reside outside of Canada must provide a *Criminal Records 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 to complete. A copy of this form is attached to the *Personal Disclosure Form*. Fingerprint submissions are not required.
7. The annual fee (unless exempt).
8. SLGA may, at its discretion, request additional information, including the following:
  - certification of product integrity,
  - a statement disclosing the source of initial financing,
  - a code of conduct,
  - a business or compliance plan, and/or
  - income tax returns for the last three years.

## Notification of Changes

1. Once registered, you are required to inform SLGA immediately of any changes that might affect your business's good character and its ability to provide suitable gaming and non-gaming supplies and services. Changes that you must report include (but are not limited to) situations in which your business or any of its key people are:
  - 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,
  - being sued in a civil proceeding, based in whole or in part on fraud, deceit, misrepresentation, breach of trust or similar conduct,
  - the subject of a bankruptcy proceeding, or
  - the subject of a gaming investigation by a regulatory agency, other than as an applicant.
2. You must also notify SLGA immediately of:

- changes in ownership, officers, directors or shareholders (having more than a 20% interest in your business).
- changes to your business location(s) or a change in contact person.
- changes to the nature of the supplies and services to be provided before making them available to any Saskatchewan gaming



## New Supplier of Gaming and Non-Gaming Supplies and Services Application for Certificate of Registration

### Part 1 – Business Name

Legal name:
Trade name (if applicable):
Other names you have operated under (if applicable):

### Part 2 – Business Address

Head Office/Business address:			
City:	Province/State:	Country:	Zip/Postal Code:
Primary business phone:	Fax:	Customer inquiry phone:	
Email address:		Web address:	
Mailing address for the purpose of this application (if different from the Head Office/Business address):			
City:	Province/State:	Country:	Zip/Postal Code:
Phone:	Fax:	Customer inquiry phone:	

### Part 3 – Contact Information (for the purpose of this application)

Name:			
Position:			
City:	Province/State:	Country:	Zip/Postal Code:

Direct business phone:	Fax:	Email:
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#### Part 4 – Business Structure

Check the appropriate box as it applies to your business:

- ☐ Corporation
- ☐ Partnership
- ☐ Sole proprietorship
- ☐ Other: \_\_\_\_\_

#### Part 5 – Product and/or Service Information

Describe the nature of your business (manufacturer, distributor, bingo or lottery management, testing facility, etc.) and the specific type of product and/or services you wish to supply in Saskatchewan.

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Provide the anticipated annual value of gaming business in Canadian dollars. If you anticipate sales exceeding \$20,000 in the next 12 months, please remit your \$1,050 application fee with this form.

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If you are a **manufacturer** and will be using a distributor to market and supply to Saskatchewan, provide the name, contact information and phone number of the distributor(s).

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If you are a **distributor**, provide the name, product description, contact information and phone number of the company(s) for whom you act as a distributor. Attach an appendix if necessary.

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If applicable, provide the name of the gaming location(s) that you will be providing supplies or services to. If your application is a result of bidding on a tender from a gaming establishment, provide the tender number.

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## Part 6 – Gaming History

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

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 an appendix if necessary.

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If your business has ever had a gaming permit, license, certificate, registration or other similar qualification refused, suspended, revoked or withdrawn, provide the name and address of the jurisdiction, the type of qualification, reason and date of action. Attach an appendix if necessary.

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If any of your key persons or officers has been found unsuitable in any gaming jurisdiction, provide the name of the person and the reason they were found unsuitable. Attach an appendix if necessary.

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## Part 7 – Criminal History

Has your business ever been investigated, charged or convicted of an offence (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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## Part 8 – Civil Proceedings

Has your business had any claims made against it based in whole or in part on fraud, deceit, misrepresentation, breach of trust or similar conduct in any jurisdiction?

☐ 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 9 – Bankruptcy

Has your business ever made an assignment into bankruptcy, been petitioned into bankruptcy or filed a bankruptcy proposal?

☐ 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 10 – Financial and Business Agreements

Does your business have outstanding loans or financial obligations (from financial institutions, individuals or other sources) obtained for use in operating this business?

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

If 'yes', provide the details (eg. name and address of creditors, the loan number, initial loan amount and present balance, date loan was taken out, and the date loan is due. Be sure to attach copies of any loan agreements you have outstanding.) Attach an appendix if necessary.

Has your company entered into verbal or written agreements or contracts with any casinos or other gaming associations in Saskatchewan?

☐ Yes – provide the details in the area below   ☐ No – proceed to Part 11

SLGA may, at any time during the review of your application or during your period of registration, request copies of agreements or contracts entered into with any manufacturers, distributors, casinos, or other gaming associations located outside of Saskatchewan.

## Part 11 – 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 suppliers of gaming and non-gaming supplies 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* 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 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;
  - (ii) has demonstrated financial responsibility; and
  - (iii) is capable of supplying gaming or non-gaming supplies and services that are suitable;
- (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 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); 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 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.

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First and last name (please print)

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Signature (digital Signatures not accepted)

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Date

## Gaming Supplier 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) “**Certificate of Registration**” means a certificate of registration granted pursuant to section 146 of *The Alcohol and Gaming Regulation Act, 1997*.
- (c) “**Gaming Employee**” means, for the purpose of these terms and conditions:
  - i) persons employed by a supplier or registered supplier who have access to the gaming floor, technical services area or other secure area of a casino to which the general public does not have access or
  - ii) persons employed by a supplier or registered supplier who have access to sensitive or confidential patron and/or gaming-related information.
- (d) “**Investigation**” means an inquiry or review conducted by SLGA to determine the eligibility of a supplier to be registered or of a registered supplier 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 a supplier or registered supplier.
- (e) “**Key Person**” means suppliers who are individuals or partners, a person who owns 20% or more of a supplier’s business, a person who, in the opinion of SLGA, has provided direct or indirect financial to, or has a beneficial interest in the supplier, the supplier’s business or an affiliated corporation of the supplier, a person who is a member of the executive and participates in management or corporate decisions and members of a board of directors, key stakeholders, officers and senior executive (such as CEO, CFO, Executive Directors and Vice Presidents).
- (f) “**Registered Supplier**” means a person or business to whom a certificate of registration has been granted for the purpose of acting as a gaming or non-gaming supplier.
- (g) “**Regulations**” means *The Gaming Regulations, 2007*.
- (h) “**SLGA**” means the Saskatchewan Liquor and Gaming Authority.
- (i) “**Supplier**” means, for the purpose of these terms and conditions, a person or business who has applied for a certificate of registration as a gaming or non-gaming supplier.

### 2. NOTICE

- (a) A supplier or registered supplier must provide SLGA with written permission for SLGA to obtain any information from any person or any source it considers necessary. (Completion of Part 11 of the application form provides this permission).
- (b) A supplier or registered supplier is responsible for complying with and understanding the provisions of *The Alcohol and Gaming Regulation Act, 2007*, *The Gaming Regulations, 2007* and the terms and conditions.
- (c) A supplier or registered supplier 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) A supplier or registered supplier 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) A supplier or registered supplier must complete any forms SLGA considers necessary.
- (b) The information provided to SLGA must be accurate and complete.
- (c) Information requested by SLGA must be submitted within 14 days of receiving the request.
- (d) A supplier or registered must provide SLGA with access to copies of 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 personal, business, financial and tax information of the supplier or any of its key persons.
- (e) A supplier or registered supplier must give SLGA access, during normal business hours, to any premises, facilities and equipment used by their business to supply their supplies or services.
- (f) A supplier or registered supplier must provide SLGA with copies of the criminal record of their business and its key people.
- (g) A supplier or registered supplier must provide SLGA with any information from any person or any source it considers necessary to determine whether the supplier, its business or any of its key people are of good character, are financially stable with a history of financial responsibility and are capable of providing supplies or services and demonstrate a level of skill, experience, knowledge, and ability necessary to supply the supplies or services for which the supplier or registered supplier is applying for or renewing their registration. SLGA may request this information at any time during a period of registration.
- (h) A supplier must register their business with the Information Services Corporation of Saskatchewan prior to conducting business in Saskatchewan.
- (i) Any person designated by SLGA to be a key person must complete a *Personal Disclosure Form*.
- (j) Any person designated by SLGA to be a gaming employee must complete a *Gaming Employee Application (Supplier Employees)*.
- (k) A supplier or registered supplier is required to reimburse SLGA all reasonable costs incurred in the due diligence review of the supplier or registered supplier and/or any of their key people.
- (l) A registered supplier may only possess one certificate of registration at a time.
- (m) A certificate of registration is valid:
  - i) for five years, unless an earlier date is indicated, and
  - ii) as long as the fees (unless waived by SLGA) are paid on annual basis no later than the deadline provided by SLGA.
- (n) A registered supplier must not, by their actions, cause a licensee to violate *The Alcohol and Gaming Regulation Act, 1997*, *The Gaming Regulations, 2007* or any term and conditions, policy or guideline set by SLGA, of a lottery or gaming event for which they are contracted to provide services.
- (o) A registered supplier may only supply the supplies and/or services identified in Part 5 of the supplier application form. Changes or additions to those supplies and/or services must be approved by SLGA prior to being offered for sale.
- (p) A registered supplier must comply with all applicable *Gaming Integrity Standards* as established by SLGA and any amendments thereto. For a list of the Gaming Integrity Standards, visit our website or phone 306-798-4320.
- (q) A registered supplier is required to collect and submit provincial sales tax to the Government of Saskatchewan, when the supplies and services supplied are taxable.

- (r) A registered supplier must continue to be of good character and maintain their suitability during their period of registration.
- (s) Registration as a gaming or non-gaming supplier does not guarantee a contractual arrangement in Saskatchewan.
- (t) No proprietary rights accumulate with registration as a gaming or non-gaming supplier.

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

- (a) A registered supplier shall ensure there is no conflict of interest, real or perceived, with regard to providing supplies or services for the operation or conduct and management of a lottery scheme. A conflict of interest means any situation in which a registered supplier who provides supplies or services, or any of its key people, either for himself or some other 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 duties; or
  - ii) a gain or an advantage by virtue of his position.

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

- (a) A registered supplier must notify SLGA within 7 days of any changes that might affect the suitability of the supplier, its business and/or any of its key people. Changes that must be reported include, but are not limited to, situations in which the registered supplier or any of its key people are:
  - i) 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,
  - ii) being sued in a civil proceedings, based in whole or in part on fraud, deceit, misrepresentation, breach of trust or similar conduct,
  - iii) the subject of a bankruptcy proceeding or
  - iv) the subject of a gaming investigation (other than as an applicant), suspension, cancellation or any disciplinary actions or sanctions (including fines) by any regulatory body.
- (b) A registered supplier must notify SLGA within 7 days of:
  - i) changes to owners or shareholders having more than 20% interest in ownership,
  - ii) changes to officers and directors,
  - iii) changes in business location or contact person,
  - vi) changes to the nature of the supplies or services before making them available to any Saskatchewan gaming site,
  - vii) changes to the distributor used by the registered supplier to distribute their product in Saskatchewan and
  - viii) any other matter or event which the registered supplier can reasonably assume to be of consequence to SLGA.

#### **6. CHANGE IN OWNERSHIP**

- (a) A supplier registration is non-transferrable or assignable except with the consent of SLGA and may become void should the company be sold, assigned or otherwise transferred to another entity.
- (b) A registered supplier must notify SLGA within 10 days pre-closing of any of the following transactions:

- i) any sale, assignment or transfer of 20% or more of the company's shares or units,
  - ii) any sale, assignment or transfer which results in a change in direct or indirect control of the company or
  - iii) any sale, assignment or transfer of assets of the company through which the activities authorized by the registration are carried out.
- (c) Where a registered supplier has notified SLGA that 20% or more of their business was purchased, assigned or transferred to individuals or another entity, the registered supplier must provide SLGA with the details of the transaction including, but not limited to, the following:
- i) the name of the new owner or investor involved in the purchase,
  - ii) the percentage of ownership assigned to the new owner or investor,
  - iii) the closing date of the sale,
  - iv) a copy of the purchase or sales agreement (if requested by SLGA), and
  - v) any changes to corporate structure, entity name, corporate control, reporting and influence by the new owner.