



## APPLICATION FOR REGISTRATION AS A SUPPLIER

### Section A Reason for Application

Gaming Supplier

Non-Gaming Supplier

Test Laboratory

Trade Union

If the applicant is a gaming or non-gaming supplier, specify the type of goods or services to be provided, subject to qualifying for registration, and the estimated annual volume of business in Canadian dollars.

\_\_\_\_\_ \$ \_\_\_\_\_  
(type of goods and services) (dollars)

**NOTE:** A *Shareholder Disclosure Form, Form Number 78-9740* must be completed and submitted with this application for all holders of 5% or more of any shares (voting or non-voting) of the applicant.

Identify relationship to applicant company \_\_\_\_\_

### Section B Name and Address of Company

Legal Name \_\_\_\_\_

Business Name (Operating As) \_\_\_\_\_

Date Incorporated \_\_\_\_\_ Place of Incorporation \_\_\_\_\_ Corporation Number \_\_\_\_\_

Address \_\_\_\_\_  
(Street Number and Name)

(Suite / Floor) (City)

(Province / State / Country) (Postal Code / Zip Code)

Telephone ( ) \_\_\_\_\_ Facsimile ( ) \_\_\_\_\_

<b>Section B Name and Address of Company (continued)</b>
--

**Attach the names and addresses under which the applicant has done or is doing business for the last 10 years:**

(Legal Name)	(Business Operating As)	(Address)
(Legal Name)	(Business Operating As)	(Address)
(Legal Name)	(Business Operating As)	(Address)
(Legal Name)	(Business Operating As)	(Address)
(Legal Name)	(Business Operating As)	(Address)

<b>Section C Business Structure</b>
-------------------------------------

- |  |   |
|--|---|
| <input type="checkbox"/> Corporation<br><input type="checkbox"/> Sole Proprietorship<br><input type="checkbox"/> Partnership | <input type="checkbox"/> Limited Partnership<br><input type="checkbox"/> Other (please specify) |
|--|---|

**Where applicable, attach copies of:**

- |   |                               |  |
|---|-------------------------------|--|
| <input type="radio"/> Certificate / Articles of Incorporation | <input type="radio"/> Charter | <input type="radio"/> Partnership Agreement(s) |
| <input type="radio"/> Shareholder Agreement(s)                | <input type="radio"/> By-Laws |  |

**Attach a schematic diagram showing the relationship between all parent, controlling, subsidiary, affiliated and commonly controlled companies, if applicable, and any periodic updates or amending agreements.**

<b>Section D Directors</b>
----------------------------

Provide on an attached sheet the full legal name and date of birth for all directors of the applicant and attach a completed ***Personal Disclosure Form, Form Number 78-9684*** for each.

<b>Section E Officers</b>
---------------------------

Provide on an attached sheet the full legal name and date of birth for all officers of the applicant and attach a completed ***Personal Disclosure Form, Form Number 78-9684*** for each.

<b>Section F Associated Individuals</b>
---

Provide on an attached sheet the full legal name, date of birth, position or association with the applicant for:

- (i) all individuals who will be dealing directly with the casino;
- (ii) the immediate supervisor of the individual described in (i);
- (iii) all partners; and
- (iv) the sole proprietor, if the applicant is a sole proprietorship.

Attach a completed **Personal Disclosure Form, Form Number 78-9684** for all associated individuals.

<b>Section G Shareholders</b>
-------------------------------

Provide on an attached sheet a list of all shareholders with the following:

- (i) name of individual or business entity;
- (ii) address of individual or business entity;
- (iii) whether shares are voting or non-voting; and
- (iv) number of shares held.

Attach a **Shareholder Disclosure Form, Form Number 78-9740** for each individual holding 5% or more of the shares (voting or non-voting) of the applicant.

<b>Section H Charges / Convictions / Findings of Guilt</b>
--

- (A)** Has the applicant ever been charged or convicted of any type of offense in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet for each:

- (i) description of charge or conviction;
- (ii) date of charge or conviction (include any written judgments);
- (iii) description of sentence (include any written decisions);
- (iv) name and address of court;
- (v) court file number (if known).

- (B)** Does the applicant have any charges outstanding in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) description of charge;
- (ii) date of charge;
- (iii) name and address of court;
- (iv) court file number (if known); and
- (v) next court date (if applicable).

**Section I Civil Proceedings**

- (A) Has the applicant had any claim made against it in the last 10 years in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) description of claim (include statements of claim and defense);
- (ii) name of other parties to the proceeding;
- (iii) outcome of proceedings (include any written judgments);
- (iv) name and address of court; and
- (v) court file number (if known).

- (B) Has the applicant any outstanding claims filed and pending disposition in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) description of claim;
- (ii) name of other parties to the proceeding;
- (iii) date of proceeding;
- (iv) name and address of court; and
- (v) court file number (if known).

**Section J Bankruptcy and Insolvency Proceedings**

- (A) Has the applicant ever filed for bankruptcy, been petitioned into bankruptcy or made a proposal under any bankruptcy or insolvency law in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) type of petition filed;
- (ii) date of filing;
- (iii) name and address of trustee;
- (iv) name and address of court;
- (v) court file number (if known); and
- (vi) disposition or outcome (include a copy of any discharge).

- (B) Has a receiver, trustee, re-organization trustee or similar officer ever been appointed by a court in any jurisdiction for the business or property of the applicant?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) name of person appointed;
- (ii) reason for appointment;
- (iii) date of appointment;
- (iv) name and address of court;
- (v) court file number (if known); and
- (vi) disposition or outcome.

## Section K Permits, Licenses, Certificates and Registrations

- (A) Has the applicant ever applied for any permit, license, certificate or registration in connection with gaming in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) name and address of regulatory body;
- (ii) type of permit, license or registration;
- (iii) date of application;
- (iv) disposition of application (approved (terms and conditions), abandoned, withdrawn, refused).

- (B) Has the applicant ever had a permit, license, certificate or registration in connection with gaming refused, suspended, revoked, or any other types of penalties (e.g. fines) in any jurisdiction?  No  Yes

If yes, provide the following information on an attached sheet:

- (i) name and address of regulatory body;
- (ii) type of permit, license, or registration;
- (iii) action taken (e.g. refused, suspended, revoked, fine, or other disciplinary action);
- (iv) include copy of written decision if any and
- (v) date action taken.

## Section L Financial Information

### (A) Financial Statements

Attach a copy of the applicant's audited financial statements for the **last 3 years**. Unaudited financial statements may be attached, where audited financial statements are not required by law and are not available.

### (B) Annual Reports and Securities Commission Filings

Attach copies of all annual reports submitted to shareholders and all annual and quarterly filings with securities commission for the **last 3 years**.

### (C) Tax Assessments

Attach copies of tax assessments for the **last 3 years**.

## Section M Long Term Debt

- (A) Provide on an attached sheet a list of the applicant's material debt and capital leases.  Not applicable  Description Attached

- (B) Provide the following information for each individual or company holding any of the items listed in Section (A):

- (i) name and address;
- (ii) type and class of debt instrument;
- (iii) amount of debt held; and
- (iv) repayment terms.

**Section N Attachments**

List number of pages attached of additional documents (if applicable) and ensure they are clearly labeled:

- Section A \_\_\_\_\_
- Section B \_\_\_\_\_
- Section C \_\_\_\_\_
- Section D \_\_\_\_\_
- Section E \_\_\_\_\_
- Section F \_\_\_\_\_
- Section G \_\_\_\_\_

- Section H \_\_\_\_\_
- Section I \_\_\_\_\_
- Section J \_\_\_\_\_
- Section K \_\_\_\_\_
- Section L \_\_\_\_\_
- Section M \_\_\_\_\_

**Total number of pages attached**

**Note: Fees as prescribed by Regulation 2009-24 – Casino Regulation under the *Gaming Control Act* must accompany this application for registration. Please have cheque made payable to the Minister of Finance.**

## NOTICE

As required by the ***Protection of Personal Information Act*** and the ***Right to Information Act***.

In compliance with the *Gaming Control Act*, in order to complete or verify the information provided on or with this form and to determine eligibility for registration, it may be necessary for the Registrar of Gaming Control to collect and receive additional information from any source, including from some or all of the following domestic and foreign sources: federal governments (including Canada Customs and Revenue Agency/IRS), provincial governments, state governments or municipal governments, licensing bodies, police services, other law enforcement agencies, sheriff's offices, the Registrar of Bankruptcy, credit bureaus, trust companies, banks, professional and industry associations, former and current employers, and any government Ministry or Agency. The New Brunswick Lotteries and Gaming Corporation and the Gaming, Liquor and Security Licensing Branch are required under the *Protection of Personal Information Act* and the *Right to Information Act* to protect the confidentiality of such information in its possession and control and to use the information only for purposes for which it is collected or for consistent purposes.

Information collected may be used and disclosed as follows:

1. To evaluate the applicant, and individuals and corporations identified in connection with the applicant, regarding their person, financial, business and criminal history, honesty and business integrity;
2. Information on the applicant, and on individuals and corporations identified in connection with the applicant, may be shared with Government officials who are assisting the Branch in the evaluation of applicants for registration;
3. The Branch may share information on the applicant, and on individuals and corporations identified in connection with the applicant, with other jurisdictions with which it makes formal agreements;
4. The Branch may share information on the applicant, and on individuals and corporations identified in connection with the applicant, with law enforcement agencies for gaming-related investigations or clearances; and
5. To conduct ongoing personal history investigations, including checks for criminal charges outstanding and past criminal convictions or criminal records, during the entire course of the applicant's registration with the Gaming, Liquor and Security Licensing Branch.

I agree to give the Branch, as and when requested, any additional or written authorization that is required for the purposes of this application.

I have read and understand the above notice, I hereby consent as or on behalf of the applicant to the direct and indirect collection of information by the Branch and consent to the use and disclosure of this information as described in the above notice.

If you have questions about the collection and disclosure of information, please call (506)-453-7472 or e-mail [DPS-MSP.Information@gnb.ca](mailto:DPS-MSP.Information@gnb.ca).

# Statutory Declaration

I, \_\_\_\_\_ swear/solemnly declare that  
(Name of Authorized Person)

all of the answers provided in this application, as well as all of the information contained in the documents and materials submitted with it, are, to the best of my knowledge and belief, true and complete.

**SWORN / SOLEMNLY DECLARED BEFORE ME at )**

\_\_\_\_\_  
(City / Town)                      (Municipality)

\_\_\_\_\_  
(State / Province)                      (Country)

this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
(Barrister, Solicitor, Commissioner of Oaths or Notary Public)

\_\_\_\_\_  
(Signature of Authorized Person)