



INDEPENDENT GAMBLING CONTROL OFFICE

Information and Instruction for Completing the Personal Disclosure Form

(For Renewal Horse Racing Applicants with Corporate Headquarters Within/Outside of the Province of British Columbia)

WHO MUST COMPLETE THIS FORM?

This Personal Disclosure Form must be completed by:

1	Senior Horse Racing Officials who, in the opinion of the general manager, have significant decision-making responsibility in relation to the management or operation of a horse racing facility	2	Individuals with an investment of 10% or greater in gaming services provider companies as well as partners or associates of a horse racing applicant/licensee
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Note: The Independent Gambling Control Office (IGCO) may require additional disclosure from an applicant that the IGCO determines that further information is necessary to conduct a thorough background investigation in accordance with its mandate to regulate horse racing industry and to ensure the licensee is fit and proper to hold a horse racing licence.

WHAT ARE THE COSTS?

Horse Racing Licence Classes:	Application Fee* Annual Licence Fee**
Senior Horse Racing Official (Category 1)	\$250.00

An (**Application Fee***) of \$250.00 is required to initiate the licence application of the Senior Officials identified under Category 1 above. Individuals completing the Personal Disclosure Form under category 2 are subject to review as part of IGCO's due diligence process in assessing the applicant/horse racing licensee. They are not licensed as Senior Officials, and no application fee is required. If the applicant already holds a registration as a Senior Gaming Official with the IGCO, the Application Fee and Annual Licence Fee is exempt by the GCR S.24(b).

An (**Annual Licence Fee****), equal to the original application fee, is required to maintain the licence. It must be submitted to the IGCO each year on or before the licence anniversary date (THIS IS usually the date THAT licence was approved by the IGCO) for the term of the licence.

Costs of Background Investigations: are required to cover the costs of any background investigation, including but not limited to the cost of IGCO's staff time @ \$150 per hour (per person), out-of-province travel costs, and where it is deemed necessary, the engagement of specialized financial, management, or investigation advisory services.

Payment Methods: Wire transfers, money orders or company cheques are accepted.

- Wire transfers – Please contact gaming.registration@igcobic.ca for instructions and banking details.
- Alternate Payment Methods: If paying by money order or cheque, please make it payable to the **“Minister of Finance” in Canadian funds**. Do **NOT** submit cash.
- Additional funds may be required to cover any special investigation, auditing, or administrative costs considered necessary by the IGCO to ensure a thorough and complete background investigation of the applicant or registrant.

WHERE CAN I GET MORE INFORMATION?

Additional information is available on the [IGCO Website](#).

WHAT IF I HAVE FURTHER QUESTIONS?

If you have questions about the disclosure documents, contact the Licensing, Registration and Certification Division – Corporate Registration Unit at (250) 356-0663 or by email at gaming.registration@igcobic.ca.

RESPONSES

Print or type your responses. Answer all questions fully and truthfully. If a question does not apply to you, state “*Not Applicable*” or “*N/A*”. If more space is required or if the requested information exists in another format, cross reference the attachment to the relevant question.

Read each question carefully. Submitting the application gives the IGCO authority to investigate your answers. If you do not fully disclose, if you leave out any important information or if your answers are not correct, your application may be denied.

If it is determined after you have been registered that your answers on this application were false, incomplete, or misleading, or if you fail to notify the IGCO of any material change to this information which occurs after the application has been filed, your licence may be cancelled by the IGCO. If necessary, an applicant will be required to provide fingerprints to verify whether or not they have a criminal record.

You are seeking the granting of a privilege and the burden of proving suitability for a favourable determination is at all times on you. You must accept any risk of adverse publicity, embarrassment, criticism or other action, or financial loss, which may result from action with respect to an application, and expressly waive any claim for damages as a result thereof.

After completing the forms, ensure you have signed all required forms and have included the application fee and photograph. **Retain a copy of your application and all submitted documents for your records.** Be prepared to bring a copy of this completed disclosure to any personal interviews that are conducted.

IDENTIFICATION REQUIREMENT

You must submit with your application a scanned colour copy of a valid government-issued ID that includes your full legal name, date of birth, signature, and photograph, such as a driver’s licence or passport.

WHERE DO I SEND THE COMPLETED FORMS AND FEES?

The Disclosure Form and supporting documents are **to be submitted electronically, on a flash drive, or via a file-sharing service**. To submit the disclosure form(s) and supporting documents using the IGCO’s FTPS site, contact the Corporate Registration Unit at gaming.registration@igcobc.ca and request a temporary FTPS account.

Should the disclosure forms and supporting documents be submitted as physical copies, applicants/licensees will be charged \$150 per hour for the time IGCO staff spend on scanning the documentation.

Documents should be in English. If any document is in a language other than English, the applicant should provide the IGCO with a copy of the original document as well as an English version translated by a certified translator.

Attachments should be properly named and provided as separate files per the Attachment Checklist included in the disclosure. Not respecting the naming convention and/or submitting the documentation as a single file will create additional delays and costs in processing the application.

The disclosure submission, flash drive (if applicable) and/or fee payment are to be sent to:

MAIL/COURIER:
Independent Gambling Control Office
Corporate Registration Unit
220 - 4370 Dominion Street Burnaby BC V5G 4L7

WHAT HAPPENS ONCE I SUBMIT MY APPLICATION?

All information and documents provided as part of this disclosure become the property of the IGCO and will not be returned. An application may not be withdrawn without the written permission of the IGCO. Application fees are not refundable.

Expect an IGCO investigator to contact you. You may be required to provide other information in addition to what is requested in this application package.

CHANGE OF INFORMATION

If any of the information changes subsequent to the submission of this disclosure form, you must immediately submit the changes in writing to gaming.registration@igcobic.ca.

HOW WILL THE INFORMATION IN THE APPLICATION BE USED?

Except as provided in the *Consent to Release of Corporate Information* form, all information provided in this application, including attachments and supporting documents, shall be kept confidential in accordance with the *Freedom of Information and Protection of Privacy Act (BC)*.

You may direct questions about the collection and use of this information by email gaming.registration@igcobic.ca to the Director of Corporate Registration, IGCO.

CONFIDENTIAL

PERSONAL DISCLOSURE FORM (HORSE RACING LICENCE RENEWAL) Corporate Headquarters Within/Outside of The Province of British Columbia



INDEPENDENT GAMBLING CONTROL OFFICE LICENSING, REGISTRATION AND CERTIFICATION DIVISION

Employer or Company Representing Horse Racing Site:			
Name of Applicant:			
Company Position:			
Current Licence Expiry Date (dd-mmm-yyyy): (if applicable, otherwise 'N/A')		<input type="radio"/>	N/A
Date Application Completed (dd-mmm-yyyy):			
Application for: (check ALL boxes that apply)	<input type="radio"/>	Senior Horse Racing Official of applicant company	
	<input type="radio"/>	Shareholder or investor with an investment of 10% or greater in applicant company.	
	<input type="radio"/>	Other, as deemed by the IGCO. Specify: _____	

1 PERSONAL INFORMATION

Last Name		First Name		Middle Name(s)	
Alias, Nicknames, Maiden Name, Other Name Changes (Legal or Otherwise)			Date of Birth		Gender
Place of Birth					
City		Province/State	Country	Postal/Zip Code	
Do you hold dual citizenship?					
<input type="radio"/> No <input type="radio"/> Yes, in the following country/countries:					
Contact Details					
Home Telephone #		Personal Cell #		Work Telephone #	
Personal Email			Work Email		
Identification					
Driver's Licence # (Province / State)			Passport Number(s)		

Identification Requirements: (Include as 'Attachment 1')

You must submit a scanned copy of a valid government-issued ID that includes your full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

2 HORSE RACING APPLICATIONS, LICENSURE AND REGISTRATION

In the last ten (10) years, have you, or any business entity in which you own(ed) 10% or more, or in which you currently serve, or have served, as an officer or director:

A. Applied for any permit, licence, certificate or registration **in connection with horse racing** in any jurisdiction?

- No
- Yes If Yes, you MUST include the following information as '**Attachment 2A**'.
- Name and address of business entity
 - Name and address of licensing or regulatory body
 - Type of permit, licence, certificate, registration
 - Date of application
 - Disposition of application (e.g., approved, abandoned or withdrawn)
 - Name and contact information of regulatory personnel assigned to your file

B. Had a permit, licence, certificate or registration **in connection with horse racing** denied, suspended or cancelled in any jurisdiction?

- No
- Yes If Yes, you MUST include the following information as '**Attachment 2B**'.

- i. Name and address of business entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g., refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

C. Had any administrative sanctions taken, disciplinary hearings, fines and penalties **imposed by a horse racing regulator?**

No

Yes If Yes, you MUST include the following information as **'Attachment 2C'**.

- i. Name and address of business entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g., refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

D. Had a permit, licence, certificate or registration denied, suspended or cancelled by a regulatory body or authority exercising jurisdiction over specific business activities or professions? Note: This includes any act under Federal, Provincial and State jurisdictions (e.g. driver's licence, professional membership/certification).

No

Yes If Yes, you MUST include the following information as **'Attachment 2D'**.

- i. Name and address of entity
- ii. Name and address of licensing or regulatory body
- iii. Type of permit, licence, certificate, registration
- iv. Action taken (e.g. refused, denied, suspended, cancelled, or disciplined)
- v. Date action taken
- vi. Reason(s)

E. Had any administrative sanctions, fines and/or penalties imposed? Note: This includes any act under Federal, Provincial and State jurisdictions (e.g. driver's licence, professional membership/certification).

No

Yes If Yes, you MUST include the following information as **'Attachment 2E'**.

- i. Name and address of entity
 - ii. Name and address of licensing or regulatory body
 - iii. Type of permit, licence, certificate, registration
 - iv. Action taken (e.g., administrative sanctions, fines, penalties, or disciplinary hearings)
 - v. Date action taken
 - vi. Reason(s)
-

F. Been connected to, or engaged in any way with illegal or unlicensed horse racing, gambling or gaming enterprise?

No

Yes If Yes, you MUST include the following information as **'Attachment 2F'**.

- i. Name and address of employer or associate
- ii. Date of association
- iii. Type of gaming activity
- iv. Date and location of gaming
- v. Explain the circumstances

G. Had any relatives associated with, or employed in the horse racing, gambling or gaming industry?

No

Yes If Yes, you MUST include the following information as **'Attachment 2G'**.

- i. Name of relative
- ii. Relationship to relative

3 RESPONSIBILITIES

Describe your involvement in the applicant company and your current responsibilities. If additional space is required, include as **'Attachment 3'**.

4 CRIMINAL, STATUTORY AND REGULATORY MATTERS

In the last ten (10) years, have you, or any business entity in which you own(ed) 10% or more or in which you currently serve, or have served, as an officer or director been:

- Subject to any criminal investigation in any jurisdiction?
- Charged with an offence in any jurisdiction? Includes outstanding charges, absolute discharges and stays of proceeding in any jurisdiction.
- Found guilty or convicted of an offence in any jurisdiction? (This includes convictions / charges where an absolute or conditional discharge or a pardon was granted.)

No

Yes If YES, Provide details and label as **'Attachment 4'**.

IGCO reserves the right to require additional disclosure.

CONSENT RESPECTING PERSONAL INFORMATION

I, _____, consent the Independent Gambling Control Office (IGCO) to:

1. Disclose my personal information to the organizations including but not limited to those listed below for the purpose of verifying identity prior to additional collection of personal information.
2. Collect additional information pertaining to my application for horse racing licence for the purpose of verification of the information provided on this form and to determine suitability to hold a horse racing licence and the suitability for the entity with which I am employed, involved, or affiliated to hold a horse racing licence.
3. Collect additional information from any financial organization, including but not limited to the following domestic and foreign sources: financial institutions, credit bureaus and credit reporting agencies, regional and national banking and loan institutions, accounting firms and law firms where any privilege is waived for investigative purposes.
4. Collect additional information from any regulatory or enforcement agency, including but not limited to: tax authority or regulator, securities regulators, or any regulatory or enforcement body executing legislation. IGCO reserves the right to disseminate any information provided through the application process and during the licence period with any regulatory or enforcement agency presenting a valid consent to release information signed by the applicant or licensee for the purpose of assisting any regulatory or enforcement agency.
5. Collect additional information from any academic institution, association governing professions or designations, organization governing certification, or previous, current or prospective employer
6. Collect additional information from any City, Municipal, or Provincial Police department, domestic and foreign law enforcement agency or public body, and the Royal Canadian Mounted Police pursuant to Section 8 (1) of the *Privacy Act of Canada*, including any and all personal information and records, (including convictions, non-convictions and charges regardless of disposition) retained by them in their files or electronic databases accessed through the Public Safety Portal (PSP) query as well as PIRS and CPIC or any other Police or Court Information indices and databases, including any open source material deemed necessary for IGCO to perform licensing and enforcement responsibilities under the *Gaming Control Act*.
7. Personal information collected during the IGCO application process may be disclosed to third parties requesting the information with a valid consent from the applicant.

Disclaimer: The Independent Gambling Control Office (IGCO) will collect your personal information for the purpose of fulfilling the requirements of the *Gaming Control Act 2022* (GCA) and associated regulations in accordance with sections 26(a) and (c) of the *Freedom of Information and Protection of Privacy Act* (FoIPPA). Additionally, the IGCO may collect personal information under section 26(e) of FoIPPA for the purpose of evaluating programs and activities to better serve you. Should you have any questions about the collection, use, or disclosure of personal information, please contact the Director of Corporate Registration, IGCO at gaming.registration@iqcobc.ca.

Signature of Applicant: _____

Effective (dd-mmm-yyyy): _____

CRIMINAL RECORD CONSENT FORM

(Send the completed form directly to this office for processing)

FULL NAME OF APPLICANT

Surname	All Given Names	Maiden Name	Date of Birth (dd-mmm-yyyy)

Alias, Nicknames, Middle Names, Other Name Changes (Legal or Otherwise)	Gender

Place of Birth

City	Province/State	Country

Height	Weight	Hair Colour	Eye Colour

Home Address

Apt/Suite/Unit Number/Street or RR# and Lot, Concession, Township	Home Telephone #		
	Cell Telephone #		
City	Province/State	Postal/Zip Code & Country	Work Telephone #

Identification

SIN/SSN or National ID # (Optional)	Driver's Licence # (Prov/State)

Note: Applicants that reside outside of Canada must provide proof of verification, regardless of the outcome of a criminal based investigation, that they have not been convicted of any criminal offenses.

United States (US) Residents:

United States applicants must provide:

- Authenticated local police check document (Police Certificate) which includes a local state criminal record search for the area they resided in covering those years of residence.
- Authenticated FBI identification records check (Identity History Summary). Applicants should refer to the Federal Bureau of Investigation's ("FBI") website for instructions on how to submit the request.

Note: United States applicants should contact their local State Identification Bureau (or State Police), who may be able to coordinate all of the required criminal record searches.

Foreign Residents (Other than US or Canada):

Applicants that reside in a country other than Canada or the United States must provide a national police certificate from the country(s) they have resided in covering those years of residence.

Note: Obtaining a police certificate varies from country to country. Go to <https://www.canada.ca/en/immigration-refugees-citizenship/services/application/medical-police/police-certificates/how.html> and select the country(s) you resided in to determine how to obtain a police certificate.

Translation Required: If a police certificate is in a language other than English, the applicant must provide the IGCO with a copy of the original document as well as an English version translated by a certified translator and an affidavit from the person who completed the translation.

FOR IGCO USE ONLY:

	CPIC		CNI		INTERPOL
	PIRS		ED1		OTHER FED
	EQUIFAX		OTHER DATABASES		OTHER DIVISIONS
Signature			GBC ID #		Date (dd-mmm-yyyy)

DECLARATION

I, _____, (applicant name) duly swear or affirm, that I have read the above application and attached statements, documents, information, and that they are true and correct to the best of my knowledge and belief. I understand that if necessary, I will be required to provide fingerprints to verify whether or not I have a criminal record. Further, this statement is executed with the knowledge that misrepresentation or failure to disclose any information required by this application is sufficient cause for the rejection by the **Independent Gambling Control Office** of any application. Further, I am aware that later discovery of an omission or misrepresentation made in the above application, attached statements, documents and information may be grounds for a determination of ineligibility or cancellation of any existing or future registration or licence that may be granted. Further, that I am voluntarily submitting this disclosure with full knowledge.

Signature of Applicant: _____

Effective (dd-mmm-yyyy): _____

PERSONAL DISCLOSURE ATTACHMENT CHECKLIST (RENEWAL HORSE RACING LICENCE):

As a general guideline, attaching the following documents (if applicable) will assist the completion of the licensing process. Each document will be identified with an Attachment Number and cross referenced to the appropriate question.

<input type="radio"/>	Attachment 1 Identification: A scanned colour copy of a valid government-issued ID that includes your full legal name, date of birth, signature and photograph, such as a driver's licence or passport.
<input type="radio"/>	Attachment 2: Horse racing applications, licensure and registration.
<input type="radio"/>	Attachment 3: An outline of your involvement in the applicant company and your current responsibilities.
<input type="radio"/>	Attachment 4: Criminal, statutory and regulatory matters.
<input type="radio"/>	Application Fee (if required by IGCO): (Wire transfer, money order, or company cheque) Do NOT submit cash.