



INDEPENDENT GAMBLING CONTROL OFFICE

Information and Instruction for Completing the Corporate Disclosure Form

(For New Horse Racing Applicants with Corporate Headquarters Outside of the Province of British Columbia)

WHO MUST COMPLETE THIS FORM AND WHAT ARE THE COSTS?

This Corporate Disclosure Form must be completed by **New Horse Racing Applicants whose Corporate Headquarters are located Outside of the Province of British Columbia** who conduct business in one of the following categories:

HORSE RACING LICENCE

Licence Class:	Reg Section References	Description:	Application Fee* Annual Licence Fee**
Race Track Operator	GCR S.22(c)	<ul style="list-style-type: none"> Manage or operate a race track, and hold horse races on 25 or more days in a 12-month period 	\$6,285 per track
Temporary Race Track Operator	GCR S.22(d)	<ul style="list-style-type: none"> Manage or operate a race track, and hold horse races fewer than 25 days in a 12-month period 	\$125
Training Centre Operator	GCR S.22(e)	<ul style="list-style-type: none"> Manage or operate race horse training centre 	\$500 per training centre
Teletheatre Operator	GCR S.22(f)	<ul style="list-style-type: none"> Manage or operate a horse racing teletheatre 	\$300 per teletheatre
Purse Administrator	GCR S.22(h)	<ul style="list-style-type: none"> Administer purse money 	\$500
Wagering Services	GCR S.22(k)	<ul style="list-style-type: none"> Provide off-track wagering services in relation to horse races presented by live telecast at a horse racing teletheatre 	\$1,250
Horse Racing Facility Lessor	GCR S.22(g)	<ul style="list-style-type: none"> Lease premises to be used as a horse racing facility 	\$300 per facility***

The (**Application Fee***) is required to initiate a **New Application**.

The (**Annual Licence Fee****) is a yearly fee equal to the application fee paid by the applicant and is required to maintain a licence. It must be submitted to the Independent Gambling Control Office (IGCO) each year on or before the licence anniversary date (THIS IS usually the date THAT licence was approved by IGCO) for the term of the licence.

*** Fee Exemptions

If the applicant already holds a registration as Class B GSP by the IGCO to lease a premises as a provincial gaming facility, the Application Fee is exempt by the GCR S.24(c)

Horse Racing Facility Lessors are not required to pay for costs associated with a background investigation (S.26) or pay an Annual Licence Fee (S.27).

Costs of Background Investigations: Section 180 and 181 *Gaming Control Act*.

Prior to the commencement of a background investigation, applicants will be required to submit a deposit equal to the IGCO's written estimate of costs of the background investigation. The costs of a background investigation include but are not limited to the cost of the IGCO's staff time at \$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@igcbbc.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 licensee.

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 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, leave out important information, or answer incorrectly, your application may be denied.

If it is determined after you have been licensed that your answers on this application were false, incomplete, or misleading, or you failed to notify the IGCO of any material change to this information which occurs after the application has been filed, your licence may be cancelled.

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 that all required documents are signed and that the application fee is included. (NOTE: The individual signing this document must submit a scanned colour copy of a valid government-issued ID that includes their full legal name, date of birth, signature and photograph - such as a driver's licence or passport - along with the application.)

Retain a copy of your application and all submitted documents for your records. Be prepared to bring your copy to any personal interviews that are conducted.

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@igcobic.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 licence 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.

Successful applicants will receive a licence.

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.

CORPORATE DISCLOSURE FORM

(NEW HORSE RACING LICENCE)

**Corporate Headquarters Located Outside of
The Province of British Columbia**



**INDEPENDENT GAMBLING CONTROL OFFICE
LICENSING, REGISTRATION AND CERTIFICATION DIVISION**

Application Completion Date (dd-mmm-yyyy):	
Name of Entity / Corporate Name:	
Contact Person for this Corporate Disclosure:	
Title/Position:	
Email Address:	
Phone Number:	
Class of Licence & Location: (if additional space is required, please attached separately labelled Class of Licence)	
If Associate:	<input type="radio"/> Voting shareholder of the main applicant, where the shares or investment is 10% or more and where the shareholder is a company.
	<input type="radio"/> The entity has an interest in the applicant (e.g. through a partnership, joint venture, beneficial interest holder, or other form of business association).

1

CORPORATE INFORMATION

NAME AND ADDRESS OF APPLICANT COMPANY

Legal Name	Date Established/Incorporated (dd-mmm-yyyy)	Corporation/Tax/Society Number	
Trade-Style/Business Name/Operating as		Fiscal Year End (dd-mmm-yyyy)	
Corporate Address			
Suite/Unit/Floor and Street Name	Telephone Number	Facsimile Number	
City	Province/State	Country	Postal/Zip Code
Company Email	Company Web Site URL		
Registered Office Address (address to which legal notice can be served) if different from above address			
Suite/Unit/Floor and Street Name	Telephone Number	Facsimile Number	
City	Province/State	Country	Postal/Zip Code

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

PERMITS, LICENCES, CERTIFICATES, CONTRACTS AND REGISTRATIONS

- A. List all jurisdictions where the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) is **currently** licensed/registered with a **Horse Racing-Related** permit, licence, certificate, contract, or registration.

▶ Provide the details below for each current licence/registration held and label as '**2A – Horse Racing Licences**'.

- i. Name and address of the licensing or regulatory body.
- ii. Type of permit, licence, certificate, or registration held.
- iii. Date of application.
- iv. Date of expiry.
- v. Disposition of application (i.e., approved, denied, abandoned, withdrawn.)

- B. Within the past five (5) years, in relation to any **Horse Racing-Related** AND/OR **Non-Horse Racing-Related** permits, licences, certificates, or registrations, has the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) in any jurisdiction:

Withdrawn an application?

- Had a permit, licence, certificate, or registration refused, denied, suspended, or cancelled?
- Been subject to additional regulator-imposed terms and conditions beyond those generally applicable to all registrants?
- Been subject to any administrative sanctions taken, disciplinary hearings, fines or penalties imposed by a regulatory body or authority?

- No
- Yes **▶ Provide the following details and attach and label as '2B – Horse Racing Actions'.**
 - i. Name and address of the licensing or regulatory body.
 - ii. Type of permit, licence, certificate or registration.
 - iii. Action taken (e.g. refused, denied, suspended, revoked or disciplinary action taken).
 - iv. Date action was taken.
 - v. Reason(s).

C. Within the past five (5) years, has the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) dismissed or asked for the resignation of an officer, director or senior employee due to criminal activity, association with organized crime or irregular or deceitful activity including but not limited to contracts or customers?

- No
- Yes **▶ Provide the following details. Attach and label as '2C – Terminations for Cause'.**
 - i. Name and position of the employee.
 - ii. Date of dismissal or resignation.
 - iii. Explain the circumstances and the current status.

3 CORPORATE STRUCTURE

CORPORATE NAMES:

A. Within the past five (5) years, has the applicant company conducted business under a different name?

- No
- Yes **▶ Provide a list of all other names and addresses under which the applicant company has conducted business for the last five (5) years. If additional space is required, attach and label as '3A – Corporate Names'.**

BUSINESS STRUCTURE:

B. Check the appropriate box that best describes the applicant company's business structure:

- | | | |
|---|---------------------------------------|--|
| <input type="radio"/> Corporation | <input type="radio"/> Sole Proprietor | <input type="radio"/> Partnership |
| <input type="radio"/> Limited Partnership | <input type="radio"/> Joint Venture | <input type="radio"/> Other (Specify): _____ |

NOTE: Applicant corporations incorporated in another jurisdiction are required to obtain and maintain registration in British Columbia as an extra-provincial company within the meaning of the British Columbia Business Corporations Act in order to be eligible to obtain a licence with IGCO .

BUSINESS STRUCTURE ATTACHMENTS:

- C. Provide the Certificate and Articles of Incorporation, Charter, By-laws and resolutions; partnership, shareholders and trust agreements; and any other basic documentation, including any periodic updates, or amending agreements. List all jurisdictions in which the applicant company is incorporated. Attach and label as **'3C – Business Structure'**.

GOODS AND SERVICES:

- D(i.) Provide a brief history of the company, general outline of the goods or services offered and the experience and capacity of the company to provide such goods or services. If additional space is required, attach and label as **'3D(i.) – Good and Services'**.

- D(ii.) Describe the goods and services that you are, or will be, providing in British Columbia. If additional space is required, attach and label as **'3D(ii.) - Goods and Services'**.

BUSINESS RELATIONSHIP CHART:

- E. Provide a business relationship diagram depicting the direct and indirect business relationships between the applicant, its parent, subsidiaries, associate and holding companies, any interest holder of 10% or more and related corporations or business entities. Attach and label as **'3E – Business Relationship Chart'**.

PERSONNEL ORGANIZATION CHARTS:

- F. Provide Senior Executive/Management organization chart(s) and/or Senior Personnel organization chart(s) indicating the hierarchical structure (Chair, Officers, Directors and Senior Employees) of the applicant company and each of its subsidiaries. Attach and label as **'3F – Org Charts'**.

4 CORPORATE INTEREST HOLDERS

A. Do other companies, business organizations, entities or individuals hold **any** financial or legal interest in the applicant company, its parent, subsidiaries, or affiliates?

- No
- Yes ▶ Provide the following details and attach supporting documents labeled as indicated below:
- i. A list of other companies, business organizations, other entities or individuals which hold **any** financial or legal interest in the applicant company, its parent, subsidiaries, and affiliates. Label as '**4A(i.)**'.
 - ii. A list of companies that hold any liens or other interests caused by the applicant company's debt and any agreements relating to these interests. Label as '**4A(ii.)**'.
 - iii. A description of share structure including the number of shares authorized and issued, the rights and privileges attached to different classes of shares, shareholders, and share percentages of any shareholder holding 10% or more of shares. Label as '**4A(iii.)**'.
 - iv. Current share register(s) for the applicant company, its parent, including any holding companies of the applicant company, its parent, or subsidiaries. Label as '**4A(iv.)**'.
-

B. Does the applicant company currently have any outstanding loans receivable or asset transfers made to individuals or entities? This includes, but is not limited to, monetary loans, property, equipment, or other financial instruments.

- No
- Yes ▶ Provide the following details. Attach and label as '**4B - Corporate Interest Holders**'.
- i. A list of the names of the persons and/or businesses, their addresses, date(s) of loan, amount or asset loaned, reason for such loan(s), and the loan status.

5 CHARGES/CONVICTIONS/FINDINGS OF GUILT

A. Within the past five (5) years, has the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) in any jurisdiction:

- Been the subject of a regulatory or criminal investigation?
- Been charged or convicted of an offence?
- Currently have any outstanding charges of any kind?

Note: Include any charges under any legislation including where an absolute or conditional discharge or a pardon has been granted; offences which could include administrative offences at the provincial, state, or federal level, as well as criminal offences and sanctions.

- No
- Yes ▶ Provide details and supporting documentation. Attach and label as '**5A – Investigations and Charges**'. **IGCO reserves the right to require additional disclosure.**

A. Within the past five (5) years), has the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) in any jurisdiction:

- Initiated any previous claims against another company?
- Initiated any claims against another company that are currently outstanding, pending resolution, or are in the process of being filed?

Note: This includes orders, judgments, administrative sanctions taken, disciplinary hearings, fines, and penalties imposed as a result of such actions.

- No
- Yes ▶ Provide details and supporting documentation. Attach and label as '**6A – Claims Initiated**'. **IGCO reserves the right to require additional disclosure.**

B. Within the past five (5) years), has the applicant company or any related entity (such as a parent, subsidiary, associate, holding company, related corporation, or business entity) in any jurisdiction:

- Been the subject of any previous claims filed against it?
- Been the subject of any claims filed against it that are currently pending or in the process of being filed?

Note: This includes orders, judgments, administrative sanctions taken, disciplinary hearings, fines, and penalties imposed as a result of such actions.

- No
- Yes ▶ Provide details and supporting documentation. Attach and label as '**6B – Outstanding Claims**'. **IGCO reserves the right to require additional disclosure.**

CONSENT TO RELEASE OF CORPORATE INFORMATION

This Consent Granted By: _____
[Applicant Company's Name]

WHEREAS:

I, THE UNDERSIGNED am a duly authorized officer of the Corporation named above which has made application to the INDEPENDENT GAMBLING CONTROL OFFICE to participate in regulated horse racing activities conducted in the Province of British Columbia, Canada, pursuant to horse racing licences issued by the INDEPENDENT GAMBLING CONTROL OFFICE.

The INDEPENDENT GAMBLING CONTROL OFFICE, as a requirement of the Corporation's application, has requested and the Corporation has agreed to execute this consent to Release of Corporate Information for the following purposes:

- A. To evaluate the financial, business regulatory and
- B. History of the Corporation for suitability to participate in the horse racing industry.
- C. To share information gathered with other horse racing regulatory authorities in jurisdictions having agreements to share such information with the INDEPENDENT GAMBLING CONTROL OFFICE or the Province of British Columbia; and
- D. To share information gathered with other law enforcement agencies for horse racing related investigations or clearances.

The Corporation agrees that the INDEPENDENT GAMBLING CONTROL OFFICE and its authorized agents may collect and receive information relating to or concerning the Corporation from any or all of the following sources worldwide: international, national, provincial, state, county or municipal law enforcement or security agencies, police services, licensing bodies, sheriff's offices, all government ministries or regulatory agencies, banks, trust companies, brokerage houses, credit bureaus, professional or industry associations or regulators, and former or current customers of clients, and/or any other bodies or entities that may hold information relevant to the background investigation.

The Corporation has been informed that the INDEPENDENT GAMBLING CONTROL OFFICE is required to protect the confidentiality and privacy of information in its possession in accordance with the terms of the Freedom of Information and Protection of Privacy Act, (British Columbia) and to use information only for the purposes for which it was collected or for consistent purposes, and except as otherwise consented to herein the Corporation requests that the information collected relating to or concerning the Corporation be protected by the INDEPENDENT GAMBLING CONTROL OFFICE and kept confidential and private.

I, THE UNDERSIGNED:

1. Declare that I am a duly authorized officer of the Corporation with authority to execute and deliver this Consent for and on behalf of the Corporation.
2. On behalf of the Corporation, authorize and direct all persons or parties to whom this consent is presented and that have in their possession or control information or documents relating to or concerning the Corporation or its affairs to provide such information to the INDEPENDENT GAMBLING CONTROL OFFICE and to permit the inspection, copying and removal of copies of such documents by the INDEPENDENT GAMBLING CONTROL OFFICE or its authorized agents, whether or not such information or documents are confidential or might otherwise be protected from disclosure.
3. Without limiting the generality of the authority granted herein, on the behalf of the Corporation, confirm that this authority and direction extends to and includes any and all documents, correspondence and records, including those of any financial institution, including past loan information, notes signed or co-signed by the Corporation, account records of any type, passbooks, safe deposit records, and general ledger folios or entries.
4. Affirm that the INDEPENDENT GAMBLING CONTROL OFFICE may insert on this document the name of any person or entity to whom this consent is presented, together with the name of any person they authorize to deliver this consent.
5. Grant the INDEPENDENT GAMBLING CONTROL OFFICE and its authorized agents full power and authority to exercise any and all powers, and to do all such acts and things as may be required on the Corporation's behalf or in the Corporation's name to cause delivery to them of the information or documents provided to be disclosed to them by this consent, and the Corporation releases and agrees to hold harmless any person or entity complying with this authority and direction from any liability to me whatsoever in connection with such disclosure.

On behalf of the Corporation, consent to the release of any information or copies of any documents provided in accordance with this consent to any other law enforcement agency, or to any other horse racing regulatory agency that have agreements to share information with the INDEPENDENT GAMBLING CONTROL OFFICE or the Province of British Columbia.

I _____ DULY SWEAR OR AFFIRM AND DECLARE that I am voluntarily executing this form of consent and understand the nature and purpose of this document.

SIGNED at _____

On this _____ day of _____, 20____ Signature of Company President/Owner/Designate

NOTE: The signee on this document must submit a scanned colour copy of a valid government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

FOR ICGO USE ONLY	
THIS REQUEST IS PRESENTED TO: _____ (Regulatory Agency or Law Enforcement Agency)	
BY: _____ Authorized Agent of the INDEPENDENT GAMBLING CONTROL OFFICE	ON: _____ (Date: dd-mmm-yyyy)

DECLARATION

I, _____, (Company President / Owner / Designate) duly swear or affirm that I am authorized to complete this application, that I have reviewed the application, read the attachments of this application and that they are true and correct to the best of my knowledge and belief. 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, information and diagrams may be grounds for a determination of ineligibility or cancellation of any existing or future licence that may be granted. Further, I am voluntarily submitting this declaration with full knowledge.

Company President / Owner / Designate Signature

Effective - (dd-mmm-yyyy)

NOTE: The signee on this document must submit a scanned colour copy of a valid government-issued ID issued to them that includes their full legal name, date of birth, signature and photograph, such as a driver's licence or passport.

CORPORATE DISCLOSURE ATTACHMENT CHECKLIST (NEW HORSE RACING LICENCE):

As a general guideline, attaching the following documents (if applicable) will assist in 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: The signee on this document must submit a scanned copy of a valid government ID issued to them that includes their full legal name, data of birth, signature and photograph, such as a driver's licence or passport.
<input type="radio"/>	Attachments 2A to 2C – Horse Racing Permits and Licences: Details on horse racing permits, licences, certificates, contracts and registrations.
<input type="radio"/>	Attachment 3A – Corporate Names: Corporate names along with addresses under which the applicant company has conducted business for the last five (5) years.
<input type="radio"/>	<p>Attachment 3C – Business Structure: Certificate of Incorporation, Articles of Incorporation, Partnership, Shareholders and/or Trust Agreements, Constitution or Charter, By-laws and Resolutions and a list of all jurisdictions in which the applicant company is incorporated.</p> <p>NOTE: Applicant corporations incorporated in another jurisdiction are required to obtain and maintain registration in British Columbia as an extra provincial company within the meaning of the British Columbia Business Corporations Act in order to be eligible to obtain a licence with IGCO.</p>
<input type="radio"/>	Attachment 3D(i.) and 3D(ii.) – Goods and Services: Outline of goods and services offered and specifically what is, or will be, provided in British Columbia.
<input type="radio"/>	Attachment 3E – Business Relationship Chart: A business relationship diagram depicting the direct and indirect business relationships between the applicant, its parent, subsidiaries, associate and holding companies, any interest holder of 5% or more and related corporations or business entities.
<input type="radio"/>	Attachment 3F – Org Charts: Personnel organization chart(s) indicating the hierarchical structure of the applicant company and its subsidiaries.
<input type="radio"/>	Attachment 4A and 4B – Corporate Interest Holders: Details on corporate interest holders where other companies, business organizations, entities or individuals hold any financial or legal interest in the applicant company, its parent, subsidiaries and affiliates; or persons or businesses have been loaned monies, equipment or assets by the applicant company.
<input type="radio"/>	Attachment 5A – Charges/Convictions/Findings of Guilt: Details on charges, convictions and findings of guilt.
<input type="radio"/>	Attachment 6A and 6B – Civil Proceedings and Regulatory Penalties: Details on civil proceedings and regulatory penalties.
<input type="radio"/>	Application fee: (Wire transfer, money order, or company cheque). Do NOT submit cash.