

Fact Sheets relating to Associated Persons (Fact Sheet 29) and Significant Influence (Fact Sheet 30) can be found on the Department of Internal Affairs' website: www.dia.govt.nz. If you have any questions about filling in this application, or have any difficulties completing it, freephone 0800 25 78 87 (New Zealand only).

The particulars in this form that relate to individuals is personal information in terms of the Privacy Act 1993. The information is required so that the Department of Internal Affairs (the Department) can assess the applicant's suitability for approval as an associated person.

Suitability criteria are specified in section 124 of the Gambling Act 2003. The information will be held by the Department and may also be disclosed to the Police and other agencies nationally and internationally, subject to the Criminal Records (Clean Slate) Act 2004 and the Privacy Act 1993. Any person about whom information is collected has the right of access to, and correction of, that information.

A. Applicant Information

A1. This application is in respect of a significant influence held by:

applicant

trading as

if applicable

in

casino licence holder

A1a. The applicant type

Joint venture

Partnership

Company

Trust

Other

A1b. This application is completed on behalf of the applicant by:

Surname

First names

Occupation

Address

Suburb

State/province

Town/city

Country

Postcode/zip

A1c. Nominated contact person in New Zealand:

(this person will be required to act as an intermediary between the Department of Internal Affairs and the applicant)

Surname

First names

Business phone

After hours phone

Mobile

Email

Continue on next page

A2. Registered office of applicant

Suburb Town/city

State/province Postcode/zip

Country

Address for service (if different from above)

Suburb Town/city

State/province Postcode/zip

Country

Telephone () Fax ()

A3a. If the applicant is a company incorporated under the New Zealand Companies Act 1993, give details:

Date of incorporation / /

Company number (as shown on Certificate of Incorporation)

Place of incorporation

A3b. If the applicant is an 'overseas company' (as defined in section 2(1) of the Companies Act 1993) that is incorporated outside of New Zealand, please supply full details of incorporation:

Date of incorporation / /

Company number (as shown on Certificate of Incorporation)

Place of incorporation

A3c. If the applicant is an 'overseas company' does the applicant:

- have a wholly owned New Zealand subsidiary company operating in New Zealand,
- have a branch operating in New Zealand, or
- operate in New Zealand under some other arrangement
(please give details of this arrangement):

A4a. Applicant's solicitors

Name of solicitor/legal advisor/lawyer

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

If you have instructed any other legal advisors in the last two years, please complete below:

Name of solicitor/legal advisor/lawyer

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

A4b. Applicant's accounts

Name of accountants

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

If you have instructed any other accountants in the last two years, please complete below:

Name of accountants

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

A4c. Applicant's auditors

Name of auditor

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

If you have instructed any other auditor in the last two years, please complete below:

Name of auditor

Address for communication

Suburb *Town/city*

State/province *Postcode/zip*

Country

Telephone () *Mobile* ()

Email *Fax*

A5. Management structure



Please ensure the Department of Internal Affairs is notified of changes in the management structure.

A5a. Please provide a diagram or table identifying the management structure. This should identify the specific divisions of the applicant together with titles of management positions including directors, executives and senior officers. (Use separate sheet if necessary).

A large, empty yellow rectangular area, likely intended for the applicant to provide a diagram or table of their management structure.

B. Litigation and disciplinary action

B1a. Has the applicant ever been investigated, fined, suspended or reprimanded for breaches of the New Zealand Stock Exchange (or overseas equivalent) listing rules?

Yes No

If yes, please provide full details, including result of investigation:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B1b. Does the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere, have any legal or arbitration proceedings active, threatened or pending?

Yes No

If yes, please provide full details:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B1c. Has the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere, been found guilty of an offence including (but not limited to) criminal, taxation and gaming (irrespective of whether a conviction was subsequently recorded), fined or been issued with an infringement notice?

Yes No

If yes, please provide full details: the offence, the date of offence, the court, tribunal, commission of authority of competent jurisdiction, and result (if any imposed):

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B1d. Has the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere had a judgement made against them in respect of any civil proceedings (excluding injury claims and worker compensation)?

Yes No

If yes, please provide full details: the offence, the date of the offence, the court, tribunal, commission or authority of competent jurisdiction, and result (if any imposed):

[Four horizontal yellow bars for providing details]

Continue on separate sheet if necessary

B1e. Has the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere ever been investigated by any governmental or statutory body or authority, the Securities Commission of New Zealand, or equivalent bodies elsewhere?

Yes No

If yes, please provide full details:

[Four horizontal yellow bars for providing details]

Continue on separate sheet if necessary

B1f. Has the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere ever been disciplined in any way during involvement with any casino?

Yes No

If yes, please provide full details:

[Four horizontal yellow bars for providing details]

Continue on separate sheet if necessary

B3. Financial character

B3a. Has the applicant ever entered into a compromise or arrangement with its creditors under the Companies Act 1993, or equivalent New Zealand or overseas legislation?

Yes No

If yes, please provide full details:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B3b. Has the applicant, or any holding or subsidiary company been placed into liquidation, or receivership under any insolvency administration?

Yes No

If yes, please provide full details:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B3c. Has the applicant, or any holding or subsidiary company ever had any licence, certificate, authority or approval issued by a government agency in New Zealand or elsewhere relating to the conduct of gambling, or any other business terminated, denied, suspended, or revoked or any disciplinary action taken?

Yes No

If yes, please provide full details:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

B3e. Is the applicant, or any holding or subsidiary company in New Zealand, Australia or elsewhere being, or has it been, investigated by any gaming authority in any country?

Yes No

If yes, please provide full details:

Four horizontal yellow bars for providing details.

Continue on separate sheet if necessary

C. Financial position

C1. Financial statements

Supply details of the financial position of the applicant for the three years preceeding the date of the application including a copy of:

- statement of financial position (balance sheet)
- statement of financial performance (profit and loss)
- statement of cash-flows
- statement of accounting policies (applicable notes)
- accompanying notes to the financial statements

C2. Have the financial statements been audited? Yes No

Name of the auditors

C3. Provide particulars about any substantial change in the financial position of the applicant since the last set of financial statements:

Four horizontal yellow bars for providing particulars.

Continue on separate sheet if necessary

C4. Applicant's last income tax return was filed on / / for year

at *Town/city* *Country*

E. Other matters

Are there any other matters that the applicant considers relevant to this application?

Blank lined area for providing additional information.

Continue on separate sheet if necessary

Authority for release of information by a company

Name of
company

I,

Surname

First names

Position in Company /
Occupation

of

Place of abode

1. Acknowledges that the Gambling Act 2003 authorises the New Zealand Department of Internal Affairs to cause to be made investigations about the applicant for the purposes of determining the applicant's suitability for the purposes of the Gambling Act 2003;
2. Authorises any officer of the police service, law enforcement agency, or regulatory body in any jurisdiction to whom a copy of this authority is presented to release to the New Zealand Department of Internal Affairs any information or official record of any kind in written, electronic, or other form, where that information relates to the applicant and is held by the police service, agency or body, including information relating to the criminal history of the applicant. The provisions of the Criminal Records (Clean Slate) Act 2004 apply to this authorisation.

Signed

this

day of

day

month

year

Interview arrangements



A representative of the Department of Internal Affairs (the Department) will generally interview the nominated representative of the applicant. If you are required to be interviewed, the place and form of the interview will be at the discretion of the Department. All persons to be interviewed are required to bear their own cost of travel and accommodation, if applicable. If you are based overseas the Department may arrange a video interview, or a telephone interview.

Please answer the following questions for the purposes of interview arrangements:

Where would you prefer to attend an interview?

Auckland	<input type="checkbox"/>	Christchurch	<input type="checkbox"/>
Hamilton	<input type="checkbox"/>	Queenstown	<input type="checkbox"/>
Wellington	<input type="checkbox"/>	Dunedin	<input type="checkbox"/>

Please indicate any dates you will be unable to attend an interview over the next three month period:

From to

From to

From to

Certification

In submitting this application on behalf of the applicant, I certify that I believe all details on this application to be true and correct.

Surname First names

Occupation

Signature Date

Checklist

The following must be enclosed for this application to be processed:

- Fully completed Company Information Application
- \$337.33 fee (cheque made payable to *Department of Internal Affairs*)
- Statement of financial position (balance sheet)
- Statement of financial performance (profit and loss)
- Statement of cash-flows
- Statement of accounting policies (applicable notes)
- Accompanying notes to the financial statements
- Any other information that the applicant thinks may be relevant to the Department of Internal Affairs in considering this application.

An application may be delayed where additional information sought is not provided in a timely manner.

Please return to:

National Manager
Gambling Compliance Group
Department of Internal Affairs
46 Waring Taylor Street
PO Box 10-095
Wellington 6140
NEW ZEALAND