

DATE STAMP

Office use only

Application Number

Responsible Officer

Licence Number

## Licensed Promoter's Licence Application

Privacy Act 1993: The particulars in this form which relate to individuals are personal information under the Privacy Act. This information is required so that the Department of Internal Affairs can consider the society's application under the Gambling Act 2003.

The information will be held by the Department of Internal Affairs and may also be disclosed to the Police and other agencies, subject to the Criminal Records (Clean Slate) Act 2004. Any person about whom information is collected has the right of access to, and correction of, that information.

A licence fee of \$1,405.55 (GST incl.) applies to an application for, or renewal of, a licensed promoter's licence. A cheque for this amount should be attached to this application.

Please complete this form, enclose you fee and all required documentation, then return the application to the Department of Internal Affairs. You will receive a receipt once your application has been processed.

**Keep a copy of your completed application for your records.** If this application is incomplete it will be returned to you without being processed.

Please also ensure that you complete and return the Authorisations on pages 8 and 15 of this form.

PLEASE PRINT CLEARLY.

## A. Licensed Promoters

The Gambling Act 2003 makes provisions for the licensing of persons or companies to act for reward as promoters of certain types of class 3 gambling. Class 3 gambling is gambling for community fundraising purposes where prizes exceed \$5000 in value.

A licensed promoter is the only person who can be paid by commission to conduct gambling. A licensed promoter can conduct class 3 gambling - instant games, lotteries and prize competitions - only on behalf of a society that has been granted a licence to conduct class 3 gambling.

## A. Licensed Promoter's Details

A.1 Name under which you propose to carry on business as a licensed promoter

A.2 Do you have a licensed promoter's licence? Yes  If Yes please continue to Question A.3

No  If No please continue to Question A.4

A.3 What is the expiry date of your licence?

**You must apply for a renewal of your licensed promoter's licence before the expiry of your current licence. If your licence has expired you must tick the 'New' box.**

A.4 Is this a new application or a renewal? New  Renewal

Licensed promoter's licence number *if known*

## B. Application for an Individual or Company

B.1 Is this application for an individual to hold a licensed promoter's licence?

Yes  If Yes please continue with this section

No  If No please continue to question B.2

Title *please tick* Mr  Mrs  Miss  Ms  Other  Gender Male  Female

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Other names by which you are, or have been known

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Preferred name \_\_\_\_\_

Occupation \_\_\_\_\_

Daytime phone ( ) Evening phone ( )

Fax ( ) Mobile ( )

Email Web address

Preferred contact method *please tick*  Daytime phone  Evening phone  Fax  Mobile  Email

Date of birth Country of birth

Residential address

*Suburb* *Town/city*

Postal address *if different from above*

*Suburb* *Town/city*



All individual applicants must attach their completed Licenced Promoter's Key Person's Information form (GC10).

B.2  Yes, this application is for a company to hold a licensed promoter's licence

Company name

Company number *if applicable* Licensed promoter's licence number *if known*

Physical address

*Suburb* *Town/city*

Postal address *if different from above*

*Suburb* *Town/city*

Contact person's name

Role

Daytime phone ( ) Evening phone ( )

Fax ( ) Mobile ( )

Email Web address

Preferred contact method *please tick*  Daytime phone  Evening phone  Fax  Mobile  Email

Type of business(es) carried on or intended by the company

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**C. Details of Licensed Promoter's Office**

**C.1 Please provide details.**

Physical address of licensed promoter's office

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*Suburb* *Town/city*

Postal address of licensed promoter's office  
*if different from above*

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*Suburb* *Town/city*

Contact person's name

Role

Daytime phone (    )

Evening phone (    )

Fax (    )

Mobile (    )

Email

Web address

Preferred contact method *please tick*

Daytime phone

Evening phone

Fax

Mobile

Email

**C.2 Are there any other premises at which the business of a licensed promoter will be carried out?**

Other physical address 1

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*Suburb* *Town/city*

Postal address  
*if different from above*

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*Suburb* *Town/city*

Contact person's name

Role

Daytime Phone (    )

Evening Phone (    )

Fax (    )

Mobile (    )

Email

Web Address

Preferred contact method *please tick*

Daytime phone

Evening phone

Fax

Mobile

Email

Other physical address 2

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*Suburb* *Town/city*

Postal address  
*if different from above*

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*Suburb* *Town/city*

Contact person's name

Role

Daytime phone ( )

Evening phone ( )

Fax ( )

Mobile ( )

Email

Web address

Preferred contact  
method *please tick*

Daytime phone

Evening phone

Fax

Mobile

Email

Other physical address 3

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*Suburb* *Town/city*

Postal address  
*if different from above*

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*Suburb* *Town/city*

Contact person's name

Role

Daytime phone ( )

Evening phone ( )

Fax ( )

Mobile ( )

Email

Web address

Preferred contact  
method *please tick*

Daytime phone

Evening phone

Fax

Mobile

Email



**E. Surety and Bond**

A person or company must be nominated as a surety by the Licence applicant.

That person or company must provide a bond of \$200,000 to the Secretary for Internal Affairs as a surety, which must be paid if the licensed promoter fails to meet a financial commitment to a society, fails to pay prizes to winners of the gambling concerned, or breaches the obligations of a licensed promoter under the Gambling Act 2003.

**E. Surety and Bond**

**E.1 Details of the person nominated as a surety.**

Title *please tick* Mr  Mrs  Miss  Ms  Other  Gender Male  Female

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Other names by which the person nominated as a surety is, or has been known

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Surname/Family name \_\_\_\_\_ All first names \_\_\_\_\_

Preferred name \_\_\_\_\_

Occupation \_\_\_\_\_

Company name *if applicable* \_\_\_\_\_

Contact persons last name \_\_\_\_\_ All first names \_\_\_\_\_

Daytime phone ( ) \_\_\_\_\_ Evening phone ( ) \_\_\_\_\_

Fax ( ) \_\_\_\_\_ Mobile ( ) \_\_\_\_\_

Email \_\_\_\_\_ Web address \_\_\_\_\_

Preferred contact method *please tick*  Daytime phone  Evening phone  Fax  Mobile  Email

Physical address \_\_\_\_\_

Suburb \_\_\_\_\_ Town/city \_\_\_\_\_

Postal address *if different from above* \_\_\_\_\_

Suburb \_\_\_\_\_ Town/city \_\_\_\_\_

**E.2 Is this a new application?** Yes  *If Yes please continue to F1*

No  *If No please continue to the next question*

Has a new surety been nominated? Yes  *If Yes please continue to F1*

No  *If No please continue to F2*

**F. Surety Assets, Liabilities and Authorisation/Declaration**

If the surety is an individual the nominated surety must fill out the following statement of assets and liabilities or if the nominated surety is a company please attach a copy of the company's audited financial statement.

The person nominated as a surety must complete this statement of assets and liabilities (or attach an audited financial statement) and sign the Authorisation/Declaration. **These details must be completed by the person nominated as a surety personally.**

**F. Surety Assets and Liabilities**



If the nominated surety is a company please attach the latest audited financial statement.

F.1 Please ensure the individual nominated as surety completes the following details in full.

**ASSETS (Total)**

Deposits/Investments	_____	
Life policies (value as at date)	_____	Date _____
Superannuation (value as at date)	_____	Date _____
Real estate property (latest GV Value)	_____	Date _____
Other assets	_____	Date _____
<b>TOTAL ASSETS \$</b>	_____	

**LIABILITIES (Total)**

Overdrafts	_____
Loans	_____
Mortgages	_____
Hire purchases	_____
Credit cards	_____
Other liabilities	_____
<b>TOTAL LIABILITIES \$</b>	_____

## Authorisation/Declaration by person nominated as surety:

I understand that the Secretary for Internal Affairs is authorised to make appropriate enquiries to verify my ability to pay the bond of NZ\$200,000 on demand.

I understand that all Courts, Police, and all government agencies both domestic and foreign and any other body or person may provide an authorised representative of the Secretary for Internal Affairs with copies of any or all documents, records, and information relating to which may be requested in the course of enquiries concerning my ability to pay the bond of NZ\$200,000 (subject to the Criminal Record (Clean Slate) Act 2004).

In submitting the above statement of assets and liabilities and signing this Authorisation/Declaration I declare that I believe all the details are true and correct.

Full Name \_\_\_\_\_

Company *if applicable* \_\_\_\_\_

Signature \_\_\_\_\_ Date / / \_\_\_\_\_



Please attach the bond to this application form. The wording for the Fidelity Bond - New Licence Application, can be found in Appendix 1.

### F.2 If this is a renewal and the surety has not changed:



Please attach a letter from the existing approved surety that states:

- that the surety is willing to continue to act as a surety, and
- the prescribed bond amount.

## G. Trust Account

A licensed promoter must have a trust account at a registered bank.

### G. Trust Account

Please give details of the bank account:

Name of bank \_\_\_\_\_

Branch \_\_\_\_\_

Account number \_\_\_\_\_

Name of signatories for account

Full Name \_\_\_\_\_ Relationship to applicant

Full Name \_\_\_\_\_ Relationship to applicant

Full Name \_\_\_\_\_ Relationship to applicant

Full Name \_\_\_\_\_ Relationship to applicant



Please attach a pre-printed deposit slip for this bank account to this application form.

**H. Auditor**

Each licensed promoter must engage a chartered accountant to audit the licensed promoter's trust account. **The auditor must not be a relative or partner of any key person.** The auditor must not be a licensed promoter, or be or have been employed by or in business with the licensed promoter within the past twelve months. The auditor must not be engaged or concerned in preparing the financial statements of the licensed promoter. The report must take the form set out in appendix 2. The auditor must complete the Auditors report on page 13 of this form.

**H. Auditor**

H.1 Please give details of your auditor:

Name \_\_\_\_\_

Business name \_\_\_\_\_

Daytime phone (    ) \_\_\_\_\_ Evening phone (    ) \_\_\_\_\_

Fax (    ) \_\_\_\_\_ Mobile (    ) \_\_\_\_\_

Email \_\_\_\_\_ Web address \_\_\_\_\_

Preferred contact method *please tick*     Daytime phone     Evening phone     Fax     Mobile     Email

Physical address \_\_\_\_\_

\_\_\_\_\_

*Suburb* \_\_\_\_\_ *Town/city* \_\_\_\_\_

Postal address \_\_\_\_\_

*if different from above* \_\_\_\_\_

\_\_\_\_\_

*Suburb* \_\_\_\_\_ *Town/city* \_\_\_\_\_

**I. Financial Position and Credit History of the Applicant**

In determining whether an applicant is suitable for a licensed promoter's licence the Secretary for Internal Affairs may take into account the financial position of the applicant and the credit history of the applicant.

**I. Financial Position and Credit History of the Applicant**

I.1 Please complete in full:

**ASSETS (Total)**

Deposits/Investments		
Life policies (value as at date)	Date	
Superannuation (value as at date)	Date	
Real estate property (latest GV Value)	Date	
Other assets		
<b>TOTAL ASSETS \$</b>		

**LIABILITIES (Total)**

Overdrafts	
Loans	
Mortgages	
Hire purchases	
Credit cards	
Other liabilities	
<b>TOTAL LIABILITIES \$</b>	

I.2 If this is a renewal



Please attach the auditor's report of your trust account for the last licensing period. Wording for the auditor's statement can be found in Appendix 3.

**NEW APPLICATIONS ONLY**

**J. Notice of Application**

An applicant for a licensed promoter's licence must, after lodging the application with the Secretary for Internal Affairs-

Send a copy of the application and all relevant documentation to a senior member of the Police-

- i if the applicant is an individual, to the Police in the district where applicant resides
- ii if the applicant is a company, to the Police in the district where the company's registered office is situated

The applicant must also publish a notice of application at least twice, at intervals of not more than 14 days, in each of the major daily newspapers:

- New Zealand Herald
- Dominion Post
- Christchurch Press
- Otago Daily Times

**J. Notice of Application for a Licensed Promoter's Licence**

J.1 Details of senior Police officer to whom the application will be sent

Name \_\_\_\_\_

Rank \_\_\_\_\_

Daytime phone (     ) \_\_\_\_\_ Fax (     ) \_\_\_\_\_

Email \_\_\_\_\_

Preferred contact method *please tick*  Daytime phone  Evening phone  Fax  Mobile  Email

Physical address \_\_\_\_\_

*Suburb* \_\_\_\_\_ *Town/city* \_\_\_\_\_

Postal address *if different from above* \_\_\_\_\_

*Suburb* \_\_\_\_\_ *Town/city* \_\_\_\_\_

J.2 Details of newspapers in which applicant will publish notice of application

Name of newspaper	Dates that the notices will appear
Name of newspaper	Dates that the notices will appear
Name of newspaper	Dates that the notices will appear
Name of newspaper	Dates that the notices will appear

Note: Wording for the Notice of Application can be found in Appendix 4.

**Appendix 1 FIDELITY BOND - NEW LICENCE APPLICATION**

**Fidelity Bond (New Licence Application)**

The (name of surety) \_\_\_\_\_ ("the Bank") of (place), is held and firmly bound unto the Secretary for Internal Affairs (the "Principal") in the sum of \$200,000.00 for the payment of which sum to the Principal the said Bank doth bind itself and its successors firmly by these presents.

Whereas (name of LP) \_\_\_\_\_ of (Address of LP) \_\_\_\_\_ ("the Licensee") has applied to the Secretary of Internal Affairs for the grant of a Licensed Promoters' Licence under sections 200 to 203 of the Gambling Act 2003 ("the Act").

And whereas the Gambling Act provides that an application for a licence must be accompanied by a bond that satisfies section 195.

And whereas section 195 provides that the bond must be for the amount of \$200,000 and must bind the Bank unconditionally to pay the bond to the Secretary on demand, if the licensee does one or more of the things in section 196(1).

And whereas section 196(1) provides that the Secretary may demand immediate payment of the bond and the approved surety must satisfy that demand, if the licensee does one or more of the matters in paragraphs (a), (b) and (c) below.

Now the condition of the above-written bond is such that if the Licence should be granted to the Licensee and if the Licensee shall:

- a) fail to meet a financial commitment to the society that engages the Licensed Promoter; or
- b) fail to pay prizes to winners of class 3 gambling promoted by the Licensed Promoter; or
- c) breach the obligations of a licensed promoter under the Act or the Licensed Promoter's licence,

the Bank is bound, unconditionally, to immediately pay the Bond to the Principal on demand.

Notwithstanding anything stated in this undertaking, the Bank has the right to terminate at any time by paying the Principal the amount of the Bond.

Dated \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_  
(Day) (Month) (Year)

Signed by (Surety) \_\_\_\_\_

By its Authorised Officers \_\_\_\_\_

In the presence of: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Appendix 2 AUDITOR'S REPORT

Auditor's Report

In the matter of the Gambling Act 2003 and in the matter of the Trust Account of

of

Licensed Promoter.

I,

, of

Chartered Accountant.

solemnly and sincerely declare that-

1. I am registered as a chartered accountant (within the meaning of section 19 of the Institute of Chartered Accounts of New Zealand Act 1996).
2. During or within a year prior to my engagement as auditor for the said licensed promoter I was not a clerk, servant, key person (as defined in the Gambling Act 2003(S4) or partner of the said licensed promoter, and that I was not at anytime during which I was conducting the said audit a clerk or servant of another licensed promoter (except in my professional capacity as secretary of a limited company holding a licensed promoter's licence) or myself in business as a licensed promoter, and that neither I nor any member of my firm or staff was at anytime during which I was conducting the said audit engaged or concerned in keeping the books of the said licensed promoter (otherwise than in the completion of the closing entries at the end of a financial year of the preparation of the profit and loss account, balance sheet, or returns for taxation).
3. In accordance with section 212 of the Gambling Act 2003, I have, with the assistance of my employees, audited the trust account

of

licensed promoter

carrying on business at

for the year ended \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_, and in the course of the audit I did complete interim examinations of the said account on the following dates:

- (a) Date \_\_\_\_\_ covering lottery/prize competition/instant game drawn/determined on behalf of \_\_\_\_\_
- (b) Date \_\_\_\_\_ covering lottery/prize competition/instant game drawn/determined on behalf of \_\_\_\_\_ and did complete the final audit on the \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_ on behalf of \_\_\_\_\_

4. Pursuant to the Gambling Act I report as follows:

- (a) The said trust account has, in my opinion, been kept regularly and properly written up.
- (b) The said licensed promoter has forwarded each month to me a certified list of balances of the said trust account for the previous months within the periods prescribed by the said regulations, except that the lists for the following months were received on the dates stated below-

Month	Date Received

5. The said trust account has been ready for examination at the appointed periods.

- (a) The said licensed promoter has complied with my requirements.
- (b) The said trust account is, in my opinion in order.
- (c) The said licensed promoter has produced all unused receipts forms which, according to advice received by me, have been issued to him.
- (d) In my opinion the following matters or things in relation to the trust account should be communicated to the Secretary for Internal affairs: (specify matters)

And I make this solemn declaration conscientiously believing the same to be true, and by virtue of the Oaths and Declarations Act 1957.

Auditor

Declared at

this

day of

20

before me:

Justice of the Peace or Solicitor of the Supreme Court or other person required to take statutory declarations

## Appendix 4 Notice of Application for a Licensed Promoters Licence

### Notice of Application for a Licensed Promoter's Licence

(Section 193 (b) Gambling Act 2003)

Take notice that \_\_\_\_\_ (full name of applicant) of \_\_\_\_\_  
(address) has applied to the Secretary for Internal affairs for a licence under the Gambling Act 2003 to carry on the business of a licensed promoter under the name or style of

\_\_\_\_\_

from the premises situated at \_\_\_\_\_

Objections to this application can be lodged with the Secretary for Internal Affairs within one month from the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_ being the first date of the publication of this notice.

Under section 194 of the Gambling Act 2003-

- (1) The Police or any other person may object to an application for a licensed promoter's licence.
- (2) The Police must lodge an objection to an application within 1 month after a copy of the application has been received by the Police.
- (3) A person, other than the Police, must lodge an objection to an application within 1 month after notice of application is first published.
- (4) Objections must-
  - (a) be lodged with the Secretary,
  - (b) relate to the suitability of the applicant, or key person of the applicant, in terms of the matters specified in section 201(2) and (93); and
  - (c) state the grounds of the objection
- (5) The Secretary must send a copy of the objection to the applicant within 7 days after the objection is lodged with the Secretary.

Name of Applicant \_\_\_\_\_





## Checklist - please tick

To complete this application please attach the following items:

### NEW APPLICATIONS

- Licensed Promoter's Key Person's Information Forms for each person listed as a key person
- Copy of the nominated surety's financial statement if it is a company
- The completion of the statement of assets and liabilities and authorisation/declaration by the person nominated as the surety in section F
- The Fidelity Bond for NEW APPLICATIONS
- A pre-printed trust account deposit slip
- A Licensed Promoter's Licence Application fee of \$1,405.55

In addition, I confirm that:

- A copy of this application and supporting documentation will be sent to a senior member of the Police as outlined in section J
- Advertisements will be placed in all newspapers nominated in section J

### RENEWAL APPLICATIONS

- Licensed Promoter's Key Person's Information Forms for each person listed as a key person
- A letter from the existing surety that they are willing to continue to act as the surety
- The Fidelity Bond for APPLICATION RENEWAL

Or if a new surety has been nominated

- If the surety is an individual, the completed statement of assets and liabilities, and their signed authorisation/declaration
- If the surety is a company, an audited financial statement
- An auditor's report for the trust account for the last financial year
- A pre-printed trust account deposit slip
- A Licensed Promoter's Licence Application fee of \$1,405.55

You may be required to provide further information to assist the Department in assessing your application.

If your application is incomplete or missing supporting documentation, it will be returned to you without being processed. Please also check the accuracy of the application and supporting information as inaccuracies/inconsistencies will cause significant delays.



Please go to page 17 and complete your return address details on the Receipt of application slip.

## Return Address

Please return your completed application form to: **Licensing Unit  
Gambling Compliance Group  
Department of Internal Affairs  
PO Box 10-095  
Wellington 6143**

To find out more about class 3 gambling, visit our website [www.dia.govt.nz](http://www.dia.govt.nz) or call us toll free on 0800 257 887.

### Receipt of application

The Department of Internal Affairs Gambling Licensing Unit received your application on

It will be processed as soon as possible.

**Please complete your return address details.** *(Please include your postcode)*

Attention	_____
Society	_____
Postal Address	_____
Suburb	_____
Town/City	_____

<i>Date Stamp</i>
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**This receipt of application does NOT indicate approval of the application**