



## REGULATIONS CONCERNING POKER ROOMS

### SCHEDULE "D"

#### BUSINESS ENTITY INFORMATION FORM

*All information provided by the applicant to the Commission will be held in the strictest confidence and will not be used by the Commission for any purpose other than matters pertaining to this application nor will the information be provided, in whole or in part, to any other party without the applicant's express written permission.*

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**THIS BUSINESS ENTITY INFORMATION PACKAGE CONTAINS THE FOLLOWING DOCUMENTS.  
PLEASE ENSURE YOUR PACKAGE IS COMPLETE.**

1. Instructions for completion.
2. Oath or Solemn Affirmation.
3. Authority for release of information.
4. Business Entity Information Form.
5. Attachment page.

#### **INSTRUCTIONS FOR COMPLETION**

1. This Business Entity Information Package must be completed by a duly authorized Key Person, director, or partner of the applicant.
2. Type or print in BLOCK LETTERS an answer to every question.
3. If a question does not apply, state "N/A" in response to that question.
4. If there is nothing to disclose in reply to a particular question state "nil" in response to that question.
5. If there is insufficient space on a printed form in which to answer a question, additional information may be provided on an attachment page, a form for which is attached.
6. When required to use an attachment page precede each answer thereon with the title applicable to that question.
7. All dates should be completed in the form: Day/Month/Year.
8. This form is to be completed in the English language. Any documents required to be provided are to have a certified English translation appended.

9. Failure to give true and correct answers to any questions in this form may constitute an offence and will be grounds for the Commission to refuse an application or revoke a licence that has been granted on the basis of untrue or incorrect information.

10. The completed form should be forwarded to:

Kahnawake Gaming Commission  
P.O. Box 1799  
Mohawk Territory of Kahnawake, Canada  
J0L 1B0

11. The Business Entity Information form should be sealed in an envelope and marked "Private and Confidential".

12. Please enclose a money order or bank draft for the prescribed fee in the envelope.

13. Any further enquiries should be directed to the Kahnawake Gaming Commission.

**OATH OR SOLEMN AFFIRMATION BY THE APPLICANT  
BEFORE AN AUTHORIZED PERSON**

I, \_\_\_\_\_ of \_\_\_\_\_ swear or solemnly affirm that:

1. I am the \_\_\_\_\_ of \_\_\_\_\_.  
*(Relationship of Declarant to the applicant) (Name of applicant)*
2. I have personally completed (or I am personally responsible for providing the information contained in) the Business Entity Information Form to which this Declaration is appended.
3. I certify that the particulars contained in the Business Entity Information Form are true and correct in every detail and fully disclose the information required to complete the Business Entity Information Form.

\_\_\_\_\_  
*(Signature of applicant/Declarant)*

- ( ) Sworn before me,  
( ) Solemnly affirmed before me,

at \_\_\_\_\_

this \_\_\_\_\_

\_\_\_\_\_  
*(Signature)*

\_\_\_\_\_  
*(Given name and name in block letters)*

\_\_\_\_\_  
*(Specify in which capacity this declaration is taken:  
as commissioner for oaths, justice of the peace,  
lawyer, notary, mayor, clerk or secretary-  
treasurer of a municipality.)*

## AUTHORITY FOR RELEASE OF INFORMATION

\_\_\_\_\_  
(Name of Business Entity)

of \_\_\_\_\_

(Address)

(Hereinafter referred to as the "Business Entity"):

1. Acknowledges that the *Kahnawake Gaming Law* and the *Regulations concerning Poker Rooms* enacted pursuant thereto (collectively referred to herein as the "Laws"), authorizes the Kahnawake Gaming Commission (the "Commission") to cause to be made investigations about the Business Entity for the purposes of determining the Business Entity's suitability for the purposes of the Laws and by signing this Authority;
2. Authorizes the Commission and any person conducting any investigations or enquiries on behalf of the Commission for the purposes of the Laws (referred to herein as "authorized representatives"), to obtain any information and make any investigations or enquiries which relates to the Business Entity that may be relevant to any of the purposes of the Laws, in any jurisdiction;
3. Authorizes the manager or other principal officer of any branch or office of a bank or financial institution in any jurisdiction to whom a copy of this Authority is presented to allow any authorized representative to inspect and obtain copies of, or to release to any authorized representative, any record, document or other information of any kind in written, electronic or any other form, which relates to the Business Entity and is held by the bank or financial institution;
4. Authorizes any officer of any police service, law enforcement agency or regulatory body in any jurisdiction to whom a copy of this Authority is presented to release to any authorized representative any information or official record of any kind in written, electronic or any other form, which relates to the Business Entity and is held by the police service, agency or body, including any information relating to the criminal history of the Business Entity, and
5. Undertakes that it will at all times sufficiently indemnify the Commission and authorized representative and keep the Commission and authorized representative indemnified against all liability in respect of the supply or publication of the information and against all actions, suits, proceedings, claims, demands, costs and expenses whatsoever which may be taken against the authorized persons or incurred or become payable by the authorized representative in respect thereof.

**By signing below, I confirm that this Authority is given with the full knowledge and consent of the Business Entity and that I have the necessary permission to provide this Authority on behalf of the Business Entity.**

Signed at \_\_\_\_\_ this \_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_,

\_\_\_\_\_  
(Name of Business Entity)

Per:

\_\_\_\_\_  
(Signature of Business Entity Representative)

\_\_\_\_\_  
(Position of Business Entity Representative)

## BUSINESS ENTITY INFORMATION FORM

1. Full Registered Name of Business Entity:

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2. Legal Nature of Business Entity (e.g. Corporation, Partnership, Limited Liability Company, etc.):

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3. Laws under which Business Entity was established (Provide name of jurisdiction and cite relevant legislation):

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Attach copies of constating documents of the Business Entity, e.g. Charters, Letters Patent, Certificate of Incorporation. Also attach certified copies of internal management documents such as: By-laws, Operating Agreements, Partnership Agreements.

4. Date on which Business Entity was established: \_\_\_\_\_

5. List any other jurisdictions in which Business Entity is registered or seeking registration:

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Provide date(s) of registration, registered address (es) and telephone number(s) for each jurisdiction.

6. Has the Business Entity ever applied for and been refused registration in any jurisdiction? If so, give details.

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7. Registration Number(s) for jurisdiction(s) in which Business Entity is registered:

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8. Address of Registered Office:

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9. Address of principal place of business (if different from registered address):

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10. Mailing Address (if different from registered address):  
\_\_\_\_\_  
\_\_\_\_\_

11. Telephone: \_\_\_\_\_

12. Fax: \_\_\_\_\_

13. E-mail: \_\_\_\_\_

14. Website: \_\_\_\_\_

15. Name of Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_

Cellular: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

16. Describe the primary objectives and business activities of the Business Entity:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

17. On an attachment page, provide full details of all parent, holding, subsidiary and related business entities (attach flowchart) including details as to the nature of the relationships with the applicant Business Entity, the names of the Key Persons, directors, shareholders and partners of the related business entities and the business conducted by each related business entity.

18. On an attachment page, list those business entities in which the business entities identified in paragraph 17, have a controlling or ownership interest in excess of ten (10%) per cent.

## LITIGATION

19. Provide full details of any criminal, regulatory or civil actions taken by or against the Business Entity in the past ten (10) years, including name of the jurisdiction(s) in which action(s) were brought, court file number(s) and the outcome of each action:

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20. Provide full details of any pending criminal, regulatory or civil litigation, by or against the Business Entity, including the name of the jurisdiction(s) in which the action(s) are proceeding and court file number(s):

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## ADDRESSES

21. Commencing with the current address and working backwards, list all addresses at which the Business Entity has been registered or has conducted business over the last ten (10) years.

## PERSONNEL

22. On an attachment page, list the names, addresses (including the dates at each address) and places of birth for each Key Person, director, shareholder with more than 10% ownership of or controlling interest in the Business Entity, or partner of the Business Entity *as of the date on which this form is completed* and describe the nature of each person's interest and role in the Business Entity.
23. On an attachment page, list the names, addresses (including the dates at each address) and places of birth for each Key Person, director, shareholder with more than 10% ownership of or controlling interest in the Business Entity and partner who have ceased to hold office or have an interest in the Business Entity during the last five (5) years.
24. On an attachment page, list the names, addresses and telephone numbers of the Business Entity's auditors, both presently and over the last five years.
25. On an attachment page, list the names, addresses and telephone numbers of any legal advisors, solicitors and consultants engaged by the Business Entity over the last five years.

## CONFIDENTIAL FINANCIAL DETAILS

26. Attach certified copies of the audited and, if applicable, published financial statements of the Business Entity for the last five (5) years.
27. Attach certified copies of the audited and, if applicable, published financial statements of any parent or holding business entity, for the last five (5) years.

28. Attach certified copies of the annual return or equivalent annual filing for all jurisdictions in which the Business Entity is registered, for the last five (5) years.
29. Furnish full details of any persons, companies or institutions from which the Business Entity has current loans or has obtained funds on loan during the last five (5) years.
30. Advise if there has been any substantial change to the financial situation of the Business Entity since the last audited accounts. If so, provide full details.
31. Supply details (name, branch, and account number) of all bank accounts held or operated by the Business Entity.
32. Supply details of all investments of the Business Entity.
33. Confirm that if requested:
  - (a) The Business Entity will produce certified copies of its income tax returns;
  - (b) The Business Entity will produce copies of minutes of shareholder and directors meetings;
  - (c) The Business Entity will produce any information relevant to the published financial statements; and
  - (d) The Business Entity will authorize the release of any other information required by the Commission.
34. Advise whether the investment in the Poker Room Licence will be used as collateral against any indebtedness. If so, please provide details on an attachment page.

## **BUSINESS AFFILIATIONS**

35. Provide full details of any other directorships, partnerships or other business interests or affiliations with which the Key Persons, directors, shareholders with more than 10% ownership interest in the Business Entity, and partners of the Business Entity are currently or previously associated.
36. Prior to this date has the Business Entity or any Key Person, director, shareholder, or partner of the Business Entity been associated with the ownership, administration or management of:
  - (a) a casino; \_\_\_\_\_
  - (b) Keno or lottery operations; \_\_\_\_\_
  - (c) interactive gambling; \_\_\_\_\_
  - (d) race wagering or sports wagering operations; \_\_\_\_\_
  - (e) the manufacture, assembling, selling, distributing, importing, supplying or repairing of gaming machines, in line machines, lucky envelope machines or other amusement devices? \_\_\_\_\_

*(Insert either "Yes" or "No" in the spaces beside each item)*

If so, please provide details on an attachment page.



37. Does the Business Entity have any interest, financial or otherwise, in any other business entity or with any person, or has the Business Entity ever provided any financial assistance or other support to any other business entity or person involved with the ownership, administration or management of:
- (a) a casino; \_\_\_\_\_
  - (b) Keno or lottery operations; \_\_\_\_\_
  - (c) interactive gambling; \_\_\_\_\_
  - (d) race wagering or sports wagering operations; \_\_\_\_\_
  - (e) the manufacture, assembling, selling, distributing, importing, supplying or repairing of gaming machines, in line machines, lucky envelope machines or other amusement devices? \_\_\_\_\_

*(Insert either "Yes" or "No" in the spaces beside each item)*

If so, please provide details on an attachment page.

38. Has the Business Entity ever changed its name? \_\_\_\_\_

If so, provide full details.

39. Does the Business Entity have, or does it use, or has it previously used, any other business name? \_\_\_\_\_

If so, please provide full details.

