

# Gaming Supplier Licence Application Form Guidance Notes

## IMPORTANT INFORMATION – PLEASE READ BEFORE COMPLETING AND SUBMITTING ANY APPLICATION

Applications must be completed in English and sent to the National Gaming and Casino Supervision Commission (the Commission).

All supporting documents and information must also be in English or translations provided that are certified as true copies by a lawyer, judge or chartered or certified public accountant fluent in that language.

To be eligible to apply for a supplier licence you must either have a contract of supply or a pending contract (which contract is subject to obtaining a gaming supplier licence) with the Republic of Cyprus Integrated Casino Resort (ICR) operator. Applications received that do not meet these criteria will not be accepted and you could lose your application fee.

No person shall supply gaming machines or gaming test services to the casino and the casino operator shall not be permitted to be supplied with such gaming machines or gaming test services, unless such supplier of gaming machines or gaming test services holds a valid gaming supplier licence.

The Commission may, in specified circumstances, waive some of the information and documentation required in support of an application. ALL of the following criteria MUST be met before the Commission will consider applying a waiver and accepting a simplified application. However please note that even if all criteria are met the Commission may require a full application to be made (including supporting documents) should it have any concerns. Should the Commission accept a simplified application it may call for further information at any time as it sees fit.

To be eligible for the waiver, ALL criteria must apply

- ❖ The supplier or gaming machine test service provider is approved and/or licensed by a government authority in another member state of the European Union or state, belongs to the European Free Trade Zone which has signed the Agreement for the Single European Area or is in a state with which the European Union has signed an agreement for a customs union and mutual recognition for compliance evaluation of products. AND
- ❖ Sufficient evidence is presented to satisfy the Commission regarding the existence of such approval and/or licence in the particular jurisdiction. AND
- ❖ The standards and procedures of the particular jurisdiction where they are approved and/or licensed do not deviate substantially and are not substantially less protective

than those applied by the Commission in relation to the due diligence and suitability investigation.

If you consider that you can meet ALL of the above criteria then please contact the Commission on 00357 25573810 or email [licensing@cgc.org.cy](mailto:licensing@cgc.org.cy).

### Who should complete this application form?

Except for any Applicant, who may be able to satisfy the criteria above, you must use this form to apply for a **Supplier licence** if you intend to manufacture, or supply gaming machines (or part thereof) or software or to provide gaming test services for the ICR.

### General Information

This guidance has been written to help you complete the Gaming Supplier Licence application form. Please read this document carefully **before** you attempt to answer any questions.

Please note that those seeking to provide gaming test services will also need to complete Annex A to the application form.

You will be required to provide supporting documentation/evidence with your application and/or to provide certified copies if applicable.

If any of the information contained within the application changes during the period between submitting the application and the application being determined, you **must** notify the Commission immediately by telephone or email.

The application **will not be considered** unless all relevant questions have been completed and the application fee has been paid in full. Where required an Investigation fee must also be paid at the time of the application.

Failure to provide all relevant information, documentation or assurances or to provide further information when requested by the Commission **may result in the application being determined based on the information available at the time which may affect the outcome of the application, including whether a licence can be granted.**

Failure to provide any material fact or supply of information which is un-true or misleading will result in the refusal of the application.

Should the Applicant be granted a licence and the Commission later discovers that the Applicant has submitted or provided false or misleading information to obtain the licence, the licence may be revoked or other penalties imposed.

### What the Commission expects from applicants for licences

- Be able to demonstrate that they can meet the Commission's suitability assessment
- Ensure that the activities they plan to carry out will be conducted in a manner which minimises the risks to the licensing objectives
- Work with the Commission in an open and co-operative way
- Disclose to the Commission anything which the Commission would reasonably expect to know

## How is your application assessed?

The Commission needs to be satisfied that licensees are suitable to hold a licence and undertake the activities for which they are licensed. In assessing suitability the Commission will look at the suitability of the Applicant and those persons relevant to the application. Relevant persons include, officers of the company, senior management, shareholders and any other person who may influence or benefit from the activities or services provided under the licence. The Commission will take a number of factors into consideration whilst processing your application and determining suitability including;

- **Identity and ownership** – the identity of the applicant and any person(s) relevant to the application will be established and verified using appropriate official documentation. The ownership of a corporate applicant will be investigated, and all major shareholders identified. The Commission will check company and director records to ensure that the correct entity is being licensed and check any related companies or directors. The Commission will also wish to establish who benefits from the gambling services and facilities provided. It is therefore required that any shareholder with a 3% or more share is listed within the application and those with over a 10% share may be subject to further checks. If the beneficiary of any business is a Trust, the Commission will require details of the beneficiaries of that Trust. If the applicant is a company based overseas, or part of the company structure is based overseas, we require a full description of the company structure, and may carry out checks with overseas regulators.

**Integrity** – the reputation, honesty and trustworthiness of the Applicant and/or person(s) relevant to the Applicant and/or associated companies. The Commission will consider whether the information it collects raises any concerns about integrity. This includes an assessment of an applicant's criminal record, and any past involvement in civil or regulatory investigations or proceedings. We will also consider the manner by which the applicant has conducted their business with specific regard to the provision of gambling services in other jurisdictions. In addition, the Commission will also consider the evidence and findings of any complaints about the applicant and/or investigations by other regulators, and we will investigate any history of business failure.

**Finances** – the financial condition, stability and strength of the Applicant as well as its financial resources and the integrity of any source of funds. The past and present financial circumstances of the applicant and any person(s) relevant to the application will be investigated to ensure that sufficient resources are in place to carry out the licensed activities. Additionally, the Commission will ask for accounts from existing businesses and associated companies. Our focus is on assessing the source of funding and the resources likely to be available to enable a licensee to carry on the licensed activities.

**Competence** – whether the Applicant has the technical capability to manufacture, install, test, inspect, maintain or repair gaming machines in accordance with the technical standards and for the purposes for which the licence may be granted. This includes the Applicant's track record of compliance with the legal and regulatory requirements of any jurisdiction where it may hold a gaming licence/permit or approval. The Commission may also take up references and may review the CVs of relevant persons to assess their work experience and the training they have received which demonstrates their competence to carry out the role required of them.

**Criminality** – Criminal record of the Applicant and/or person(s) relevant to the application. Any prior offences committed by the Applicant and any person(s) relevant to the application will be taken into account when assessing an application for a gaming supplier licence. Any previous

offences do not mean that the application will automatically be refused. Each case will be considered on its individual merits, and consideration will be given to the seriousness, relevance and date of the conviction. In evaluating the seriousness and relevance of an offence, the Commission's assessment will focus on whether the conviction has a potential bearing on suitability to hold a licence and will have regard to safeguarding the licensing objectives and the public interest.

In assessing suitability, the Commission will use both the information and supporting documentation provided by the Applicant as part of the application and also information available from other sources (e.g. open source, government departments, overseas regulators).

**For every application, the Commission may:**

- Grant a licence;
- Limit the scope of licensed activities that can be accrued out in accordance with a licence;
- Refuse a licence where there are reasons to do so.

**What the Commission expects from licensees:**

The Commission expects licensees to conduct their activities in a way that does not put the licensing objectives at risk. It expects those holding a gaming supplier licence to;

- Conduct their business with integrity;
- Act with due care, skill and diligence;
- Maintain adequate financial resources;
- Work with the Commission in an open and co-operative way;
- Disclose to the Commission at any time anything which it would reasonably be expected to know;
- Provide to the Commission such information or records as the Commission considers necessary from time to time;
- Ensure that every gaming machine manufactured or supplied by it or gaming testing services provided by it comply with the technical standards requirements in the standards notices issued by the Commission;
- Ensure that gaming machines manufactured for or supplied to the casino are gaming machines approved by the Commission.

**Completing the Form**

- Please write clearly within the boxes
- Use CAPITAL LETTERS except when signing or providing an email address
- Leave a space between words
- Mark with a cross (X) where a cross box answer is required. Please note the applicable cross box will always be to the right of the relevant text
- If you make a mistake, please fill in the box in solid black and write the correction clearly to the right.
- If there is no space to the right, write the correction as close as possible.

Name									
G	A	M	I		G		L	T	D

- Do not use correction fluid
- Do not write over the edges of boxes
- Do not staple attachments to the application form

If there is not enough space on the form to answer the questions, please provide the additional information on a separate A4 sheet. Please include your Applicant Name, the question number you are providing additional information for and ensure you sign and date each additional sheet. Please

indicate the number of continuation sheets that you are including with your application in the box provided on the “Enclosures” page.  
You are advised to keep a copy of your application for future reference.

Copies of application forms and guidance notes can be downloaded from the Commission’s website [www.cgc.org.cy](http://www.cgc.org.cy).

If you have any queries, please check our website or email [licensing@cgc.org.cy](mailto:licensing@cgc.org.cy).

Completed application forms and supporting documentation should be sent to:

**Cyprus Gaming and Casino Supervision Commission,  
3, Thaleias Str., 1st floor,  
3011 Limassol, Cyprus.**

## Section 1. Applicant’s Details

### Question 1.

Please provide the name of the Applicant who is applying for the licence. This should match the name as stated on any official documents confirming the identity of the Applicant entity. Where the Applicant is a partnership please list the names of all partners.

Applicant Name

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Trading Name (s)

A	L	L		M	A	C	H	I	N	E	S	
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G		A	U	T	O	M	A	T	I	C	S	
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If the trading name is different to the name of the applicant, please provide the trading name details. If there is more than one trading name, please ensure you list them all, using a continuation sheet if needed.

## Section 2. Licence Activities

### Question 2.

A gaming supplier licence authorises the holder to manufacture or supply gaming machines or gaming software or to provide gaming test services for the casino. Please indicate by crossing the appropriate cross box(es) which of the activities/services listed that you are applying to provide. Please cross ALL that are applicable to this application.

### Question 3.

Under the provisions of the Casino Operations and Control Law 2015 (the Law) machine mechanics are required to hold a “casino employee” licence. To enable the Commission to ensure that all those that need a licence obtain one the Commission needs to know who will be maintaining and/or repairing gaming machines within the casino(s) and/or installing and updating software on those machines.

If, as part of the contract with the ICR operator, the Applicant’s employees will be maintaining or repairing gaming machines and/or installing/updating software on any machines the Applicant should tick the “Yes” box and provide brief details of the nature of the services that will be provided.

Should, having reviewed that information, the Commission considers that individuals within the Applicants business require “casino employee” licences then those individuals will need to apply for such a licence. If applicable it is likely that the Commission will attach a condition to the Applicant’s licence requiring that their machine mechanics are licensed.

If you have any queries regarding this section of the application form, then please contact the Commission.

### Section 3. Contact Details

#### Question 4.

The Commission needs a single contact point for any matters arising from the application who it can correspond with, who can provide answers to any queries it may have and/or to provide further information. The contact can be an employee of the Applicant or may be a third - party representative such as a lawyer acting on behalf of the applicant.

Please note that **ALL** correspondence relating to the application, and if granted the licence, will be sent to the individual named in this section.

It may be that you will wish to use one person to be the main contact for the application and, should the licence be granted, you would wish to have another person be the main contact for all other ongoing matters relating to the gaming supplier licence. Please indicate by crossing the appropriate box whether the person named in response to question 4 will continue to be the contact should the licence be granted. If not please provide details of the person you wish to be the main contact going forward.

### Section 4. Organisation Details

#### Question 5.

The Commission needs to know the type of entity that is applying for the licence e.g. a sole proprietor, public limited company. Please indicate by ticking the appropriate cross box which type of entity applies to the Applicant. If the entity type that applies to the Applicant isn't shown, please tick the "other" box and write in the narrative box provided what entity type it is.

With the exception of sole proprietors, all other types of entity are required to provide documentation which shows the entity type, for example, public or private limited companies must provide their Memorandum and Articles of Association, partnerships must provide a copy of their Partnership Agreement (if in place).

Please complete details of when and where the business was incorporated.

Date of incorporation

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If the applicant is a sole proprietor the date of incorporation will be the date the business was established. If a partnership the date of incorporation will be the date the Partnership Agreement was formalised. If the applicant is registered with an organisation such as Registrar of Companies, or overseas equivalent, the date of incorporation is the date of incorporation in the Certificate of Incorporation.

#### Question 6.

Please indicate if the Applicant has been known by any other name.

6a Previous name

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From DD/MM/YYYY

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To DD/MM/YYYY



Please provide **all** the names that the Applicant has been known by and the dates from and To. If there is insufficient room on the form please use a continuation sheet.

### Question 7.

The Commission needs to understand the Applicant and how it fits into any corporate/group structure. Please provide full details of **all** the companies within the applicant's current corporate /group structure. This should include all sister companies, subsidiary companies, holding companies, intermediary companies and the ultimate parent company regardless of whether they operate within the gambling industry.

#### 7a Name of company

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#### Place of incorporation

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#### Country of incorporation

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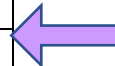
#### Business registration/incorporation number

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#### Date of incorporation DD/MM/YYYY

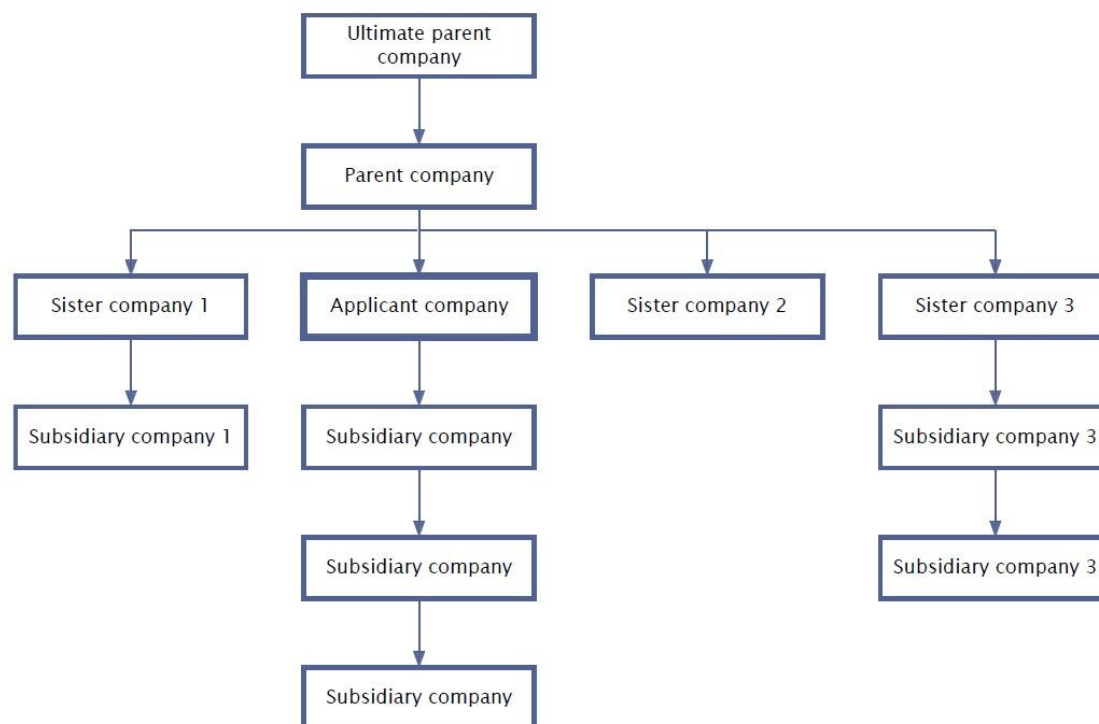
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#### Brief description of nature of business

For each business entity please provide a brief description of the business and details of all activities the company engages in, including principal products, services, markets and methods of distribution and any non - gambling related activities. If necessary please use a continuation sheet.

In addition to the above information, please provide a copy of the corporate family tree (group structure). This should include all sister companies, subsidiary companies, holding companies, intermediary companies, the ultimate parent company, and any other related entities regardless of whether they operate within the gambling industry. The diagram should also detail the relationship between all related companies. An example structure is provided below.



#### Question 8.

Please provide details of any former businesses not identified in response to question 7 which the Applicant or its related companies have engaged in the last 10 years. This should include all dormant, dissolved, and sold companies. Please use a continuation sheet as necessary.

#### Question 9.

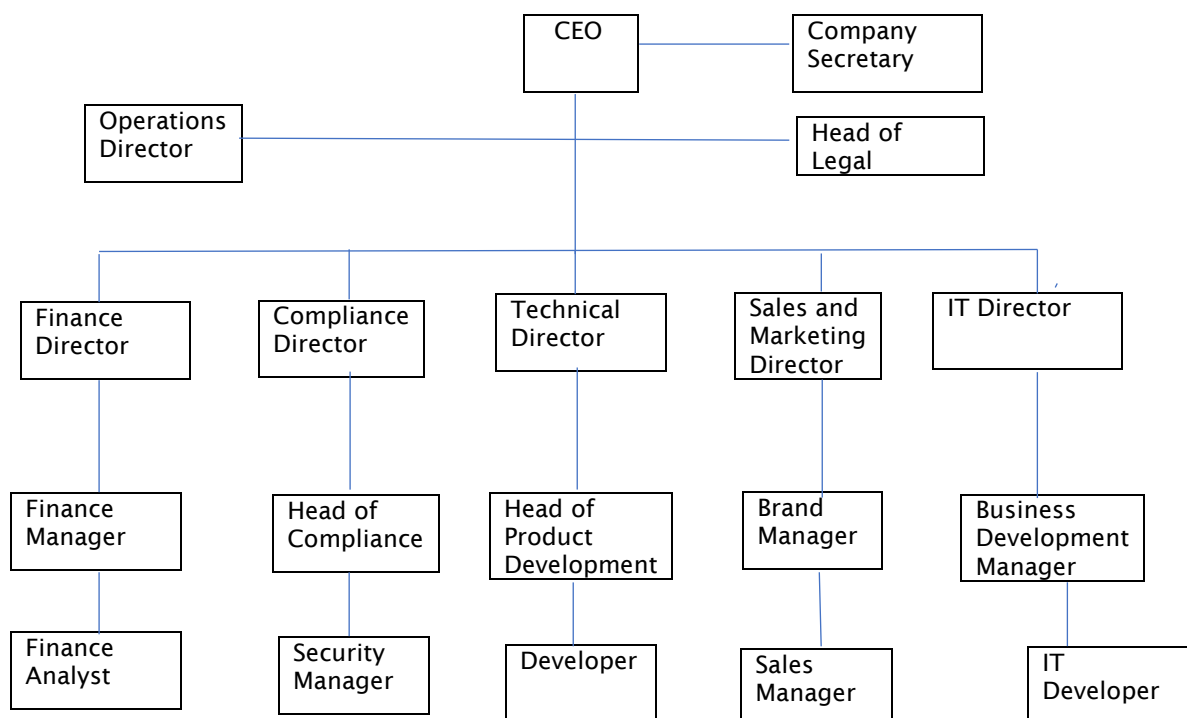
Please provide the list of addresses at which the Applicant has been registered or conducted business in the last 10 years. Please provide the information in chronological order beginning with the current registered address. If necessary please use a continuation sheet.

#### Question 10.

Provide details (full names and dates of birth) of all current of all directors, secretaries, principal executive officers, executive officers and senior management personnel who are involved in the management and/or operation of the gaming business. This should include those who have responsibility for overall strategy and delivery, financial planning, control and budgeting, regulatory compliance, gambling related IT provision, marketing and commercial development.

Copies of the Applicant management and corporate management diagrams are also required as part of the documentation to be submitted with application. An example is provided below.





### Question 11.

In looking at the suitability of an Applicant the commission also looks at the suitability of those persons who are relevant to the application including their history and in particular their track record in the gambling industry where applicable. For those individuals named in Question 10 the Commission is interested as to whether they hold or held a gambling related licence or approval in any other jurisdiction. Please provide details of those who hold licences or approvals elsewhere. Where the licence is no longer held please give reason as to why it is no longer held. If necessary please use a continuation sheet.

If no related licence or approval is held in another jurisdiction the Commission may require individuals to complete Annex B.

### Question 12.

Please provide full details of any joint venture arrangements between the Applicant and any other entity in relation to the ownership, development, management of any casino, gaming, wagering, junket, gaming machine manufacture/supply or test provider for the past 10 Years. Starting with the most current arrangement (s) please provide the name of the organisation the arrangement is with, the date the arrangement started, brief details of the nature of the joint venture, any terms and conditions, details of any other organisation involved, the date the arrangement is due to end/ended (if applicable), and details of what each party has received/will receive as part of the arrangement.

Name of Joint Venture Entity	Description of Joint Venture	Start Date DD/MM/YYYY	End Date DD/MM/YYYY

If there are/were multiple entities involved with a particular arrangement, please list them all.

## Section 5. Licence History

The Commission requires details of all gambling related licences or approvals held by the applicant and/or associated companies. As well as providing the details requested in Questions 13 and 15 the Commission requires copies of all the licences.

In addition, the Commission requires the Applicant to provide confirmation from each jurisdiction where a licence is held as to the licensee's track record of compliance with legal and regulatory requirements. The confirmation should also specify who occupies the senior management positions as applicable and provide details of the beneficial owners of the Applicant. This should be submitted with the application. Should this not be possible it should be submitted as soon as practical thereafter and the Applicant should indicate when submitting the application when the Commission may expect that information. Failure to provide this information could affect the decision made on the application.

**Question 13.**

**Question 13 and question 14 relate to the Applicant ONLY**

**Question 13.** Please indicate if the Applicant or any other associated entities currently hold any gambling related licences, permits, or approvals, or have any applications pending, or previously held any licences, permits or approvals in **any** Jurisdiction.

Please indicate if the Applicant is currently licensed or approved as a manufacturer/ supplier or gaming machine test service provider by a government authority in another member state of the European Union or state, belonging to the European Free Trade Zone which has signed the Agreement for the Single European Area or in a state with which the European Union has signed an agreement for a customs union and mutual recognition for compliance evaluation of products.

Full details must be provided including the name of the issuing body, licence type, licence number, country where issued and date of issue. Please also provide a brief description of the activities and/or services that are authorised by that licence or approval. This should include details of any conditions or restrictions as to the provision of those services or activities. Please use a continuation sheet as necessary.

Please provide full details as asked for in the question and if the licence, permit or approval is no longer held the reason it is no longer held. The Commission will want to see copies of licences held which should be submitted with the application. Please use a continuation sheet as necessary.

#### **Question 14.**

Please indicate if the Applicant has had any disciplinary action taken against it in the last 10 years in respect of the licence (s) detailed in the response to Question 13. Please provide full details of the circumstances surrounding the disciplinary action taken including the outcome. You should also include any current or pending disciplinary action. If you consider there is any other information it would be useful for the Commission to know in relation to the action taken or being taken please also include in the box provided. Please use a continuation sheet if necessary.

If required, the Commission may request further information from the Applicant or may contact the other regulator directly.

#### **Question 15.**

**Question 15 question 16 relate to both the Applicant and any other associated entities (as named in response to question 7).**

*Please note if you have already answered question 13 in relation to licences held by the Applicant you do not need to repeat the information here, but you do need to provide details of any applications pending in in **any** jurisdiction (including those specified in question 13) and details of all licences held or previously held by the Applicant in any other jurisdiction other than those specified in question 13.*

If required, the Commission may request further information from the Applicant or may contact the other regulator directly.

#### **Question 16.**

Please indicate if any disciplinary action has been taken against any of the licences specified in response to question 15. This should include any current or pending disciplinary action. Please provide full details of the circumstances surrounding the disciplinary action taken including the outcome. If you consider there is any other information it would be useful for the Commission to know in relation to the action taken or being taken please also include in the box provided. Please use a continuation sheet if necessary.

## Section 17. Criminality and Investigations

### Question 17.

Please indicate if the Applicant or any of its directors, partners, or officers as named in response to question 10 or any other person relevant to the application has **EVER** been found liable under the criminal laws of any jurisdiction or received a civil penalty in relation to their corporate duties. Details of charges made but awaiting trial or under investigation should also be included here.

Please indicate the name of the Applicant or the full name of any individual, the date of the offence, and the type of offence. In the narrative box provided please provide full details of the circumstances surrounding the offence, the outcome including details of any penalties issued and the location and country of the convicting court. If you have crossed Felony offences in answer to the type of offence, then please specify in narrative box which offence was/is the subject of the conviction/ are awaiting trial on/or are under investigation. Where you are currently under investigation please provide details of the investigating body and where known the name of the investigating officer. Please use a continuation sheet if necessary.

If there is any supporting documentation in relation to the offence/conviction for example a memorandum of conviction, then it should be submitted with the application form.

### Question 18.

In respect of any gambling activity, gambling licence, certificate or permit held in the last 10 years please provide details of any current, pending or previous investigation by any statutory, regulatory or governing body in any jurisdiction of which the Applicant or any related companies is the subject.

Such bodies could include, but are not restricted to, tax authorities, financial services authorities, customs. Details provided should include the date of the investigation, name of the investigating body, country where body is located, the type of licence held, the case/investigation number and full details of the circumstances surrounding the investigation. This would include the outcome. If the investigation is still current or pending please include details of the investigating officer if known.

If required, the Commission may request further information from the Applicant or may contact the investigating body directly. If you have any documentation relating to the investigation you should submit it with the application.

## Section 7. Finances and Ownership

The Commission needs to understand how the business is funded and who has a financial interest in the business including if any individuals or other companies have a 3% or more equity stake in the Applicant.

In addition, where an individual directly owns a 10% or more interest in the Applicant the Commission will require additional information on that individual and may require completion of Annex B.

Where the applicant is owned by other entities, a diagram should be provided detailing the group structure. The Commission will use this information to investigate the ownership structure until one of the following is reached:

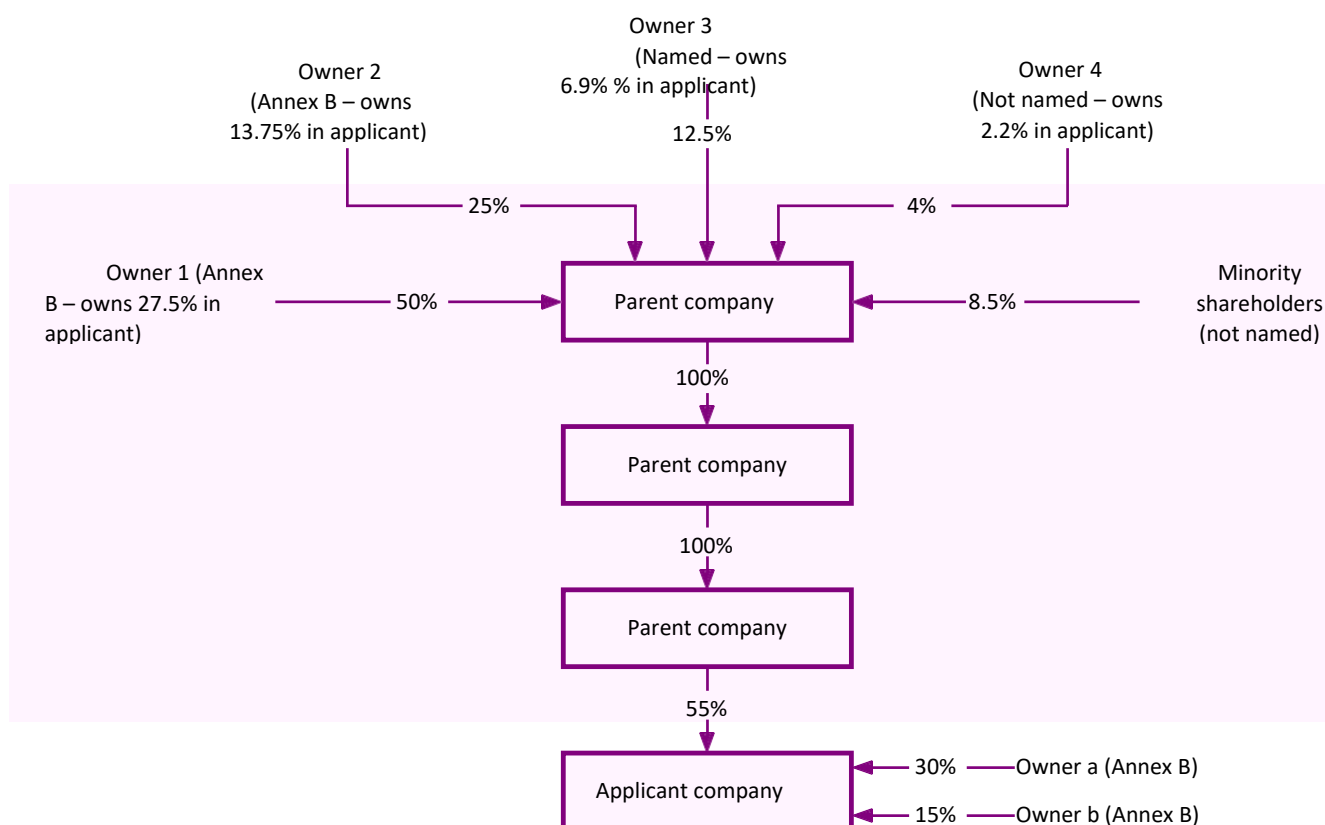
- The point at which no entity owns 3% or more because the interest in the applicant has been diluted through the corporate layers to below 3%;
- An identified person; or
- Another regulated entity that satisfies the Commission's probity requirements. This is on a case by case basis but could include for example a securities exchange.

Example structures are shown below. A group structure will vary between applicants but should enable us to determine every company or individual who has an interest of 3% or more in the applicant.

All owners should be named and where it is an entity please provide the registration number of the company and the name of the country in which they are registered.

#### Example 1. Simple group structure

- Owners a and b must be named and may require Annex B's
- Owners 1 and 2 must be named and may require Annex B's
- Owner 3 must be named
- Owner 4 does not need to be named
- Minority shareholders do not need to be named
- All parent companies must be named and their registration number and name of country they are registered in must be provided.

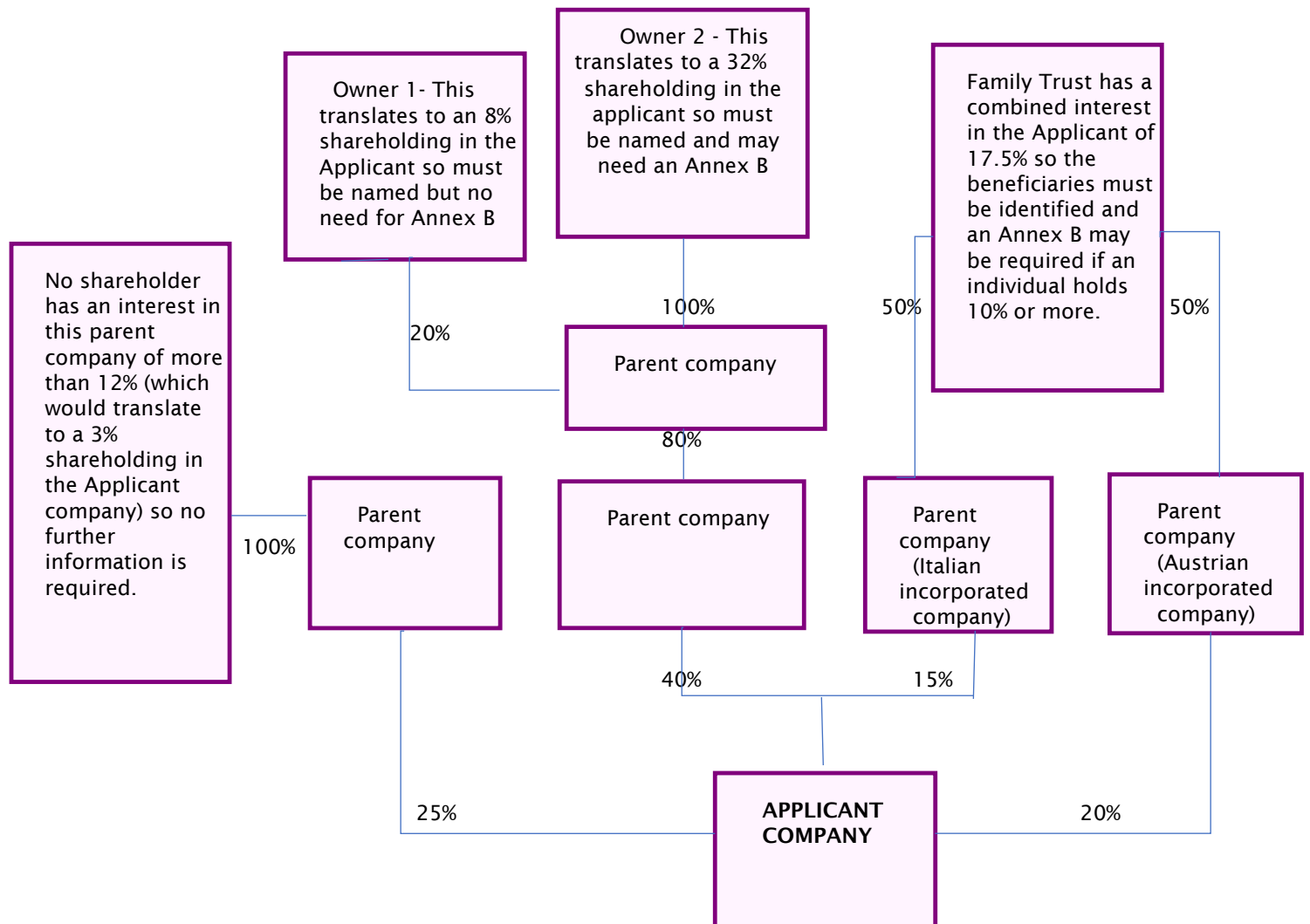


Whether individual owners need to submit an Annex B will depend on whether the Applicant is currently licensed in another jurisdiction and whether as part of that jurisdiction's own probity process the individual has been deemed suitable. As part of the application the Applicant is required to submit confirmation from the relevant gambling regulator as to the Applicant's track record in relation to its compliance record (see section 5 above). That confirmation should include details of the beneficial owners of the applicant.

If having reviewed the confirmation provided the Commission still requires submission of an Annex B for any individuals it will request the Applicant to arrange for its completion and submission. See below for information on completing Annex B.

## Example 2. Complex Group Structure

- Owner 1 must be named
- Owner 2 must be named and may require an Annex B
- All parent companies must be named
- The beneficiaries of the family trust must be named and their date of birth must be provided if their interest translates into more than 3% in the Applicant
- The beneficiaries of the family trust must submit an Annex B if their interest translates into 10% or more in the Applicant.



**Question 19.**

For every individual who DIRECTLY owns a 3% share or more in the Applicant, including those who through their ownership in another company (see examples in diagrams above) own a 3% share or more in the Applicant please provide their full name, date of birth and the % share that they own in the Applicant.

**Question 20.**

Please indicate whether the Applicant is owned by another company. If yes then please provide a diagram showing the ownership structure and identifying the entities and their shareholders who either directly or indirectly have an interest of 3% or more in the Applicant to the point at which the shareholding becomes so diluted that no one entity holds more than the threshold interest of 3%.

To assess the financial stability of the Applicant and source of funds then in addition to the questions contained in this section the Commission requires the following information to be submitted with the application;

- The Applicant's audited and/or published financial statements for the last five years
- Annual reports of the Applicant for the last five years
- Interim financial statements for the Applicant if current year audited statements are not available
- Annual financial and tax returns for the Applicant which were provided to local or foreign regulators for the last five years
- Where the Applicant is part of a Group, the most recent set of audited accounts for the Ultimate Parent Company.

**Question 21.**

Please provide full details of all auditors and/or accountants engaged by the applicant within the past 5 years. Please use a continuation sheet if necessary.

**Question 22.**

Please indicate if the Applicant or its related companies is publicly listed on any securities exchange such as the London Stock Exchange, the NASDAQ, the New York Stock Exchange, etc. Please provide the name of the company that is listed, the name of the securities exchange and the country in which the exchange is located. Please use a continuation sheet if necessary.

**Question 23.**

Please provide details of all bank, financial institution accounts that are/have been operated by the Applicant in the last 10 years. Please indicate if the account is currently in use. Use a continuation sheet if necessary.

**Question 24.**

The Commission needs to understand how the Applicant is funded and the source of such funds. Please provide details of any current loans from individuals, companies or institutions the Applicant has together with any loans it has obtained in the last 5 years.

Please specify the full name and address of the lender, the period of the loan, the original amount and the purpose of the loan. Where the loan is still outstanding please indicate how much of the loan is still outstanding. Please use a continuation sheet if necessary.

**Please note;** In addition to the information required in response to question 24, the Commission requires a copy of the loan agreement, the security schedule (if a separate document to the loan agreement), any amendment to the loan agreement and/or security schedule, and a copy of the settlement documentation (if the loan has been repaid).

**Question 25.**

Please indicate if the applicant (or any related company) has any other bank accounts that have not already been declared as part of this application and that are not reflected on the applicant's books or records. This includes: expenses accounts, investment accounts, corporate or entertainment accounts, overseas accounts, etc. If yes, please provide full details. Please note you do not need to include any accounts that appear in the financial information you have submitted as part of this application. Use a continuation sheet if necessary.

Name of Company	Name of bank	Place of bank and country	Account number	Account type	Details

Please provide full details of what the account is used for and the full names of authorised signatories within the details box

**Question 26.**

Please indicate if the applicant (or any related company) has held any financial institution accounts that are not held in the name of the applicant in the past 10 years. These include 'numbered' accounts where the account name is withheld, accounts that are held in proxy or nominee names, or any other accounts that are not immediately identifiable as belonging to the applicant, its subsidiaries or holding companies. If yes, please provide the full name of the account holder along with full details of the bank account. This should include the full name of any nominees (if applicable), the date the account was opened, any terms and conditions for the account, what the account is used for, and the full names of all the authorised signatories for the account. Please use a continuation sheet if necessary.

**Question 27.**

Please indicate if the applicant (or any related company) has:

- a) had any petition under bankruptcy, receivership, administration or insolvency law filed by or against it in the past 10 years, or
- b) sought relief under any bankruptcy, receivership or administration or insolvency law in the past 10 years.

If yes, please provide full details of the petition/arrangement. This should include the name of the organisation the petition/arrangement is with, the date the petition/arrangement started, the reason for the petition/arrangement, any terms and conditions, details of any other organisations involved, the date the petition/arrangement ended, and the outcome. Please use a continuation sheet if necessary.

**Question 28.**

Please indicate if the Applicant, any officer of the applicant, or any related company has been charged with any offence as a result of an administrator, receiver, or liquidator being appointed. If yes, please provide the name of the individual or company the offence relates to along with full details of the charges. This should include the date of the charges, the circumstances surrounding the charges, any penalties imposed, and the name of the convicting court and country.

**Question 29.**

The Commission requires that all applicants and licensees to work with it in an open and co-operative way therefore if there is anything else that you consider the Commission should know or you would like to add anything else in support of the application please provide details in the space provided.



## Section 8. Declaration

The Applicant must ensure that the declaration is read and signed:

- If the Applicant is an individual, by that individual;
- If the Applicant is a partnership, by all individuals who are partners;
- If the Applicant is a Company by the company secretary (if it has one) and/or at least one director
- In any other case, by a duly authorised officer of the applicant.

In signing the declaration the individual(s) are acting on behalf of the Applicant and are responsible for ensuring the statements therein are met in full.

Should the information provided in the application form cease to be correct, or if there are any changes to the information provided in the application form between the date of application form was submitted and the date the application is determined, it is the Applicant's responsibility to inform the Commission immediately.

## Section 9. Enclosures

This section details all the enclosures that must be provided so that the Commission can process your application. The Commission requires **all** this information as applicable to process your application. If you fail to provide this information or do not provide additional information when requested, your application will be delayed, and this may result in your application being determined based on the information we have available which may affect the outcome.

Other documentation may be submitted in support of the application if the Applicant considers it relevant.

**Please note; Original documents should be provided. If copies are submitted they must be certified by a lawyer as being true coloured copies. Documents must be in English or a certified translation of the document must also be provided.**

Please refer to our note on fees as to the application fee to be submitted with the application. The Investigation fee to be submitted with the application will differ depending on the level of investigation that the Commission expects it will need to carry out on the Applicant. Please refer to our note on fees or contact the Commission. Should the Commission find that during its investigations that the initial investigation fee was insufficient to undertake/complete enquiries then an additional fee will be requested.

Application fee (non - refundable) €500

Investigation fee (as applicable)

Certificate of incorporation, Constitution or Memorandum of Association and Articles of Association, Partnership agreements or other written constitution

Company and Management diagrams (see guidance notes)

Copies of all gambling related licences, permits, approvals held by the Applicant and associated entities

Ownership Structure diagram

Audited accounts (see Q18)

Copies of any loan agreement and associated documents (see Q 24)

Confirmation from each jurisdiction where a licence is held as to the track record of the licensee with regard to compliance with the legal with the and regulatory requirements

Annex A - and supporting documents (Test Providers only)

Continuation sheets - please indicate number included

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Please select the relevant cross boxes to indicate which documents are being submitted with the application

Please indicate how many continuation sheets are included with the application. All continuation sheets should contain the Applicants name and be signed and dated

## ANNEX A – Guidance Notes

### Supplementary information for Test services providers

#### Who should complete this application form?

This form needs to be completed by all applicants who are applying for a licence to undertake testing of gaming machines and casino equipment – test services provider.

This form must be completed in ADDITION to the main application form and submitted at the same time.

#### General information

An Applicant seeking authorisation to provide test services must in addition to meeting suitability requirements be able to demonstrate to the Commission that it has the skills, capabilities and capacity to fully comply with the Commission's technical standards.

In particular, the Applicant must have accreditation obtained by UKAS or an equivalent international organisation for BS EN ISO/IEC 17025 (*General requirements for the competence of testing and calibration laboratories*).

Please note that a licence will not be granted to provide test services without the Applicant obtaining accreditation from UKAS or an equivalent international organisation.

The Commission will also wish to be assured as to your independence from the operator and what policies you have in place to ensure that independence is maintained.

### Section 1. Testing Activities

#### Question 1.

Please indicate by crossing the relevant box(es) which activities the Applicant wishes to be licensed to undertake. Please tick all boxes that apply.

### Section 2. Accreditations, licences and permits

#### Question 2.

The Commission is interested in understanding what relevant accreditations or permits you may already hold or other jurisdictions where you have been approved by gambling regulators to carry out testing.

Please provide details of all relevant certificates of accreditation/licences/permits. If you are an approved test house for another gambling regulator please provide details of your approval (name of regulator, date of approval, scope of approval, etc). Use a continuation sheet if necessary.

**Please note** Copies of relevant accreditations should be submitted with the application

Relevant accreditations may include:

- BS EN ISO/IEC 17025:2005 STANDARD - General requirements for the competence of testing and calibration laboratories
- BS EN ISO/IEC 17020:2004 STANDARD - General requirements for the operation of various types of bodies performing inspection.

### Section 3. Technical Personnel

The Commission needs to be satisfied that those individuals who are responsible for technical compliance and quality control are competent to undertake those roles and will ensure that the Commission's technical standards and requirements can be met in full.

#### Question 3.

Please provide the full name, date of birth, position/job title of those individual(s) who undertake the above roles or similar. Full details of relevant qualifications obtained, or training undertaken should also be provided.

Please indicate if the individual(s) holds a licence or approval issued by another gambling regulator and if so please provide details of the regulator, licence number and date of issue.

A continuation sheet should be used if necessary.

### Section 4. Professional indemnity insurance

#### Question 4.

The Commission expects all test providers to have professional indemnity insurance to provide protection to both the test provider and the ICR in the event that work is found to be deficient or substandard.

Please indicate whether you have professional indemnity insurance – if so, give details of the insurance firm providing cover, the amount covered and the date of expiry of any cover.

### Section 5. Information on Policy

The Commission expects test providers to ensure that gaming machines and other casino equipment used in the ICR are fully compliant with the Commission's technical standards. They will be contracted to undertake testing and give an opinion on the suitability of machines/equipment and systems to be used in the ICR.

The Commission needs to be assured that test houses and their staff are independent of those they provide test services to in order to mitigate the risk of fraud or corruption. In this regard, the Commission is seeking to understand the Applicants policies and procedures for maintaining its independence and dealing with conflicts of interest.

**Copies of policies and procedures must be submitted with the application.**

#### Question 5.

Please indicate if the Applicant, any of its associated companies or officers in its employ have a direct interest in any gambling provider for example an operator, supplier, manufacturer or software developer etc.

If yes please provide details of the name of the individual(s) or company (s) and in the box provided please provide full details of the nature of the interest. Please use a continuation sheet if necessary.

#### Question 6.

Please indicate if the Applicant has a policy for ensuring its independence and for dealing with conflicts of interest. In addition to providing a copy of the policy please detail key features of the policy in the box provided including engagement acceptance procedures, consideration of conflicts of interest at recruitment stage; any restrictions placed on staff and their spouses or partners regarding shareholdings etc.

### Question 7.

The Commission expects test providers to have in place arrangements to ensure compliance with their independence policies.

Please give details of the arrangements you have in place to gain assurance that all staff are complying with your key independence policies. These arrangements could include an annual declaration from all staff, sign off procedures for engagement acceptance, reviews by independent auditors, etc.

## Section 6. Declaration

The declaration should be signed by the same individual or individuals who are signing the main application form.

## ANNEX B – Guidance Notes

### Personal Declaration

The Commission needs to be satisfied that all persons relevant to the Applicant are suitable. Relevant persons include officers of the company, senior management and those who will benefit from the activities of the Applicant, for example shareholders.

#### Who should complete this declaration form?

The Commission may require completion of Annex B by a relevant person where that individual does not hold a gambling related licence or approval in another jurisdiction or holds a licence or approval in a jurisdiction that does not meet the Commission's probity standards, or who holds a 10% or more stake in the Applicant.

On receipt of the Applicant's application form the Commission will review the information provided on individuals and where necessary will request that the individual(s) complete and submit an Annex B personal declaration form. If you have any queries about who is likely to require an Annex B, then please contact the Commission.

Should the Commission request an Annex B (s) it should be completed and returned without delay. Failure to do so could delay the determination of the Applicant's application and/or could lead to a decision being made which could result in its refusal.

The form should be completed and signed by the individual.

### Applicant Name

Please enter the name of the Applicant to which the Annex B relates.

## Section 1. Contact Details

### Question 1.

Please provide your title and full name.

### Question 2.

Please provide your current address and contact details. Please note that the Commission will use the details provided here to contact you should it need to clarify anything contained in the form or to request further information as required.

## Section 2. Address History

### Question 3.

If you have lived at any other addresses than given in response to question 2 in the last 10 years please provide full details here. There should be no gaps in the time line. Where there is a gap you should explain the reason why in the box provided.

Please use a continuation sheet if necessary.

## Section 3. Identity details

The Commission needs to be able to confirm the identity of individuals relevant to the Applicant. Please provide details as requested.

The Commission will require certified true colour copies of the identity documents. **All** certified copies must be stamped as true copies and signed and dated by the individual who has seen the original identity documents and who is confirming that the copies are true. The Commission will accept certification by, a practicing lawyer, a judge or court official or a chartered accountant or certified public accountant. In **all** instances, the individual confirming your identity or certifying copies must provide their full name, job title and the name and address of the organisation where are employed.

If you are providing identification documents which are not in English or Greek, you **must** provide English or Greek translations and these **must** be certified as true translations by one of the acceptable certifiers above, fluent in that language.

### Question 4.

Please indicate your gender and provide details of your date of birth, national or social insurance number or identity number and nationality. Please also provide your mother's maiden or family name.

### Question 5.

Please provide details of any other names you have been known by and the period in which you were known by that name. Please use a continuation sheet if necessary.

### Question 6.

Please provide details of when you were born and where. If your nationality was different at birth from your current nationality please provide details. Please provide a certified copy of your birth certificate.

### Question 7.

Please indicate if you have a current full or provisional driving licence. Please provide details of the licence number where it was issued and when. Please provide a certified copy of your driving licence.

### Question 8.

Please indicate if you have a valid passport and provide your passport details. Please provide a certified copy of your passport.

### Question 9.

Please indicate if you have a spouse or civil partner. If yes please provide their full name, any previous name by which they have been known (if applicable), their date of birth and their current address.

## Section 4. Criminality and Integrity

All current (i.e. unspent) convictions must be declared. In addition, **all** convictions for felony offences which occurred within the last ten years period must also be declared. The declarations apply to any jurisdiction.

The definition of felony crimes can differ from jurisdiction to jurisdiction but generally are more serious in nature and carry a prison sentence of over twelve months and/or a large fine. Examples include but are not limited to murder, aggravated assault, manslaughter, rape/sexual assault,

burglary, tax evasion, fraud, money laundering, kidnapping and arson. If you are unsure whether you were convicted of or face prosecution or have pending charges for a felony, then you should consult your lawyer.

The Commission may require you to submit evidence in relation to your criminal record.

**Question 10.**

Having regard to the first paragraph in this section please indicate if you have ever been convicted of an offence or accepted a police reprimand, warning or caution in any jurisdiction (including if charged with an offence but awaiting trial, or under investigation). If you have any documentation relating to the action taken, please submit it with this form.

Please provide details of the date of the offence, the name of the body taking action, along with the type/nature of the offence. Provide full details of the circumstances surrounding the offence, any reference number (if known) and details of the outcome. Please provide as much detail as possible and use a continuation sheet if necessary.

**Question 11.**

If you are currently subject of any criminal investigations, please provide the date of the investigation, the name of the investigating body, and the subject of the investigation. Please provide full details of the circumstances surrounding the investigation and any reference number (if known). Please provide as much information as possible and use a continuation sheet if necessary.

**Question 12.**

Please indicate whether in the last 10 years you have had any civil action taken against you.

If yes please provide the date of the action, the name of the body taking action, along with the type/nature of the action. Please provide full details of the circumstances surrounding the civil action and details of the outcome. Please provide as much detail as possible and use a continuation sheet if necessary.

## Section 5. Financial Circumstances

**Question 13.**

Please indicate if you have ever been declared bankrupt or entered into an Individual Voluntary Agreement in the past ten years. Please note, where you are currently subject to a bankruptcy order or an Individual Voluntary Agreement, or you still have a payment plan in place, you must provide copies of all documents relating to the order, agreement, etc. Provide full details of the circumstances surrounding the bankruptcy/Individual Voluntary Agreement and details of the outcome. Please provide as much detail as possible and use a continuation sheet if necessary.

**Question 14.**

Please provide details of all assets and liabilities. For example, assets could include property, shares, cash, investments, cars, whilst examples of liabilities could include overdrafts, loans, mortgages, credit cards. Any individual assets and liabilities over €100,000 must be listed separately for example mortgage 1 €120,000 - those totaling under €100,000 can be lumped together for example credit cards €25,600. Please provide as much detail as possible and use a continuation sheet if necessary.

The Commission may require confirmation/evidence of any assets or liabilities including provision of bank statements.

**Question 15.**

Please indicate if you are in default in respect of any liabilities listed in question 14. If yes, please provide full details of the circumstances surrounding the default and any additional information. Please provide as much detail as possible and use a continuation sheet if necessary.

**Question 16.**

Please provide details of your other business interests including any companies where you hold a 10% or more shareholding. Please give details of the company you have an interest in, the nature of their business and details of your interest in the company. Please provide as much information as possible. Please use a continuation sheet if necessary.

**Section 6. Declaration**

Please read the declaration and sign and date it.