

## **Appendix C**

Application for Registration as a Break Open Ticket Seller  
and/or Lottery Retailer

[http://www.agco.on.ca/forms/en/6179\\_g.pdf](http://www.agco.on.ca/forms/en/6179_g.pdf)

Alcohol and Gaming Commission of Ontario



The Alcohol and Gaming Commission of Ontario (AGCO) has developed this guide to answer common questions and to help you, the applicant, complete the Application for Registration as a Seller.

### When is registration as a Seller required?

A registration as a Seller is required if you intend to do the following:

- sell lottery products on behalf of the Ontario Lottery and Gaming Corporation (OLG); and/or
- sell break open tickets on behalf of a charitable lottery licensee.

### How long will it take to process my application?

The application process for a Seller registration generally takes between 2 to 4 weeks.

However, this process can be longer if application materials are not submitted in a timely manner, if they are incomplete, incorrect, or if risks have been identified that warrant further investigation.

### What do I need to submit to apply for registration?

To apply for registration or to renew your registration as a Seller, the following documents are required to be submitted to the AGCO:

- **A completed Application for Registration as a Seller.**
- **Personal Disclosure Form(s)** - A completed Personal Disclosure Form (PDF) for **each** individual listed in Question 9 of the Seller application form.
- **Application for Registration as a Category 1 Gaming Assistant** - A completed Application for Registration as a Category 1 Gaming Assistant for **each** individual listed in Question 10 of the Seller application form who does **not** already have a valid registration as a Category 1 Gaming Assistant.
- **OLG Retailer Agreement(s)** - A copy of the OLG Retailer Agreement for **each** site identified in Question 7 of the Seller application form, where the type of products to be sold at the site are OLG products (e.g. scratch tickets, Lotto Max, Lotto 6/49, etc.).

**Note:** If you have already submitted a copy of the OLG Retailer Agreement for your site to the AGCO and there have been no changes to your business since your submission then a copy is not required.

## Where can I get the forms?

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All of our forms and guides are available on the AGCO website at [www.agco.on.ca](http://www.agco.on.ca).

To access the Application for Registration as a Seller, Personal Disclosure Form and Application for Registration as a Category 1 Gaming Assistant, go to the AGCO website and select "Forms". On the "AGCO Application Form & Guides" web page select "Gaming" and then "OLG Lotteries Registration" or "Charitable Gaming Registration" (as the case may be).

## Completing the forms

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Forms may be completed online and printed, or filled out by hand using blue or black ink. If completing by hand do not use pencil.

Fully complete all questions and sections on the required forms, unless indicated otherwise, and ensure to include all supporting documents and details to avoid any delays in the processing of your application for registration.

## Helpful tips for completing the Application for Registration as a Seller

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Clarification has been provided below for certain sections of the application form. These are questions that are sometimes answered incorrectly or where applicants typically require some clarification.

### Question 1 - Type of Application

The difference between a new, reinstatement, renewal and change of ownership application type is the following:

- **New** - Applicant has never been registered as a Seller and is applying for the first time;
- **Reinstatement** - Applicant is applying to re-activate their Seller registration that had previously been terminated;
- **Renewal** - Applicant is applying to renew their existing Seller registration; and
- **Change of Ownership** - Applicant is applying to take over a site that is currently registered to another Seller.

### Question 3 - Contact

The individual named as the contact in reference to the application will also be the main point of contact for all future correspondence from the AGCO (e.g. certificates of registration, notices, renewal applications, letters, etc.).

### **Questions 4, 5, and 7(d) - Address**

When entering the head office or business address, mailing address or address of the site, ensure to indicate each part of the address separately in the spaces provided.

Example: 90 Sheppard Avenue East

Street Number: 90

Street Name: Sheppard

Street Type: Avenue

Direction: East

### **Question 5 - Mailing Address of the Applicant**

The mailing address is the address to which you would like the AGCO to mail **all** of your correspondence (e.g. certificates of registration, notices, renewal applications, letters, etc.). A post office box will be accepted for this address. Only one mailing address can be provided.

If a mailing address is not provided, all correspondence will be mailed to the head office or business address indicated in Question 4 of the Seller application form.

### **Question 7(c) - Types of Products to be Sold at the Site**

A registered Seller has the ability to sell break open tickets (also known as Nevada tickets or Pull Tab tickets) on behalf of a charitable lottery licensee; or OLG products (e.g. scratch tickets, Lotto Max, Lotto 6/49, etc.); or both break open tickets and OLG products. If you intend to sell both break open tickets and OLG products, check both boxes on the Seller application form.

Selling Break Open Tickets:

To sell break open tickets on behalf of a charitable lottery licensee you must have a valid contract with the charitable lottery licensee. A copy of this contract is **not** required to be provided to the AGCO with your application.

Selling OLG Products:

To sell lottery products on behalf of OLG you must have a valid **OLG Retailer Agreement**. An OLG Retailer Agreement is needed for each site where you intend to sell OLG products. A copy of the OLG Retailer Agreement, for each site, must be attached to the application unless you have already provided the AGCO with a copy and no changes have occurred at the site since your last submission.

The Retailer Location Number (RL #) assigned to your site by OLG is required to be indicated on the application. The RL # of your site is on your OLG Retailer Agreement.

### Question 9 - Individuals Associated with the Business Entity

List the individuals associated with the business entity that have or will have decision-making authority and/or supervisory responsibilities **with respect to the sale of break open tickets and/or OLG products.**

This question **only** applies to the following types of individuals:

- the **sole proprietor** of the sole proprietorship;
- the **partners** of the partnership;
- the **officer(s), director(s), shareholder(s)** of the corporation; or
- the **members** of the association or organization.

Decision-making authority and/or supervisory responsibilities would include:

- organizing and managing the sale of break open tickets and/or OLG products;
- managing compliance issues regarding the sale of break open tickets and/or OLG products; or
- having signing authority to purchase break open tickets and/or OLG products for the site(s), enter into contracts with gaming service suppliers and/or OLG, or complete an "offer of employment" for a Category 1 Gaming Assistant.

### Question 10 - Category 1 Gaming Assistants

The individuals to be listed as Category 1 Gaming Assistants (formally known as Lottery Retailer Managers) are individuals that are employed by the applicant who have or will have decision-making authority and/or supervisory responsibilities **with respect to the sale of OLG products.**

These are individuals whose responsibilities would include:

- organizing and managing the sale of OLG products;
- managing compliance issues regarding the sale of OLG products; or
- having signing authority to purchase OLG products for the site(s), enter into contracts with OLG, or complete an "offer of employment" for a Category 1 Gaming Assistant.

#### **Note:**

1. This question only applies to applicants who intend to sell OLG products.
2. The individual(s) listed in Question 9 of the Seller application form should **not** be included in Question 10 of the Seller application form. Question 9 applies to individuals associated with the business entity (e.g. officers and directors) whereas Question 10 applies to employees.
3. Individuals employed by the applicant whose duties and responsibilities are limited to the sale of OLG products on behalf of the applicant (e.g. sales clerk, cashier, etc.) should **not** be included in Question 10 of the Seller application form.

## Declaration

The declaration must be completed and signed by an individual who has signing authority (i.e. authority to bind) on behalf of the business entity (applicant) named in Question 2 of the Seller application form.

Typically this would include:

- the sole proprietor of the sole proprietorship;
- one of the partners of the partnership;
- an officer or director of a corporation; or
- a member of the association or organization that has signing authority on behalf of the association or organization.

## Attachments

For questions where the space provided is insufficient to complete your response, attach a separate sheet of paper identifying the name of the applicant and label each answer with the appropriate question number and title.

Also ensure to indicate on the form that an attachment (e.g. details, supporting document, etc.) has been provided. This can be done by completing the check box provided on the form.

## Where do I submit my application?

Mail or deliver your completed application and supporting documents to:

**Alcohol and Gaming Commission of Ontario**

Licensing and Registration  
90 SHEPPARD AVENUE EAST  
SUITE 200  
TORONTO ON M2N 0A4

**Please keep a copy of your forms and any attachments for your records.**

Do not fax or submit photocopies of any forms or documents that require a signature, unless instructed by the AGCO. Original ink signatures are required for all forms.

## **Warning:**

It is the responsibility of the applicant to notify the Registrar of Alcohol and Gaming in writing within 5 days of any material changes to the information supplied on this application or any attachment.

The provision of false, incomplete or misleading information, or the omission of information in this application or in the documents submitted with this application, or the failure to notify the Registrar of Alcohol and Gaming of any material changes to this information which occur following this application being filed, may result in the refusal, suspension or revocation of registration.

## **What should I do with my certificate of registration as a Seller?**

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A Seller registration will be issued to you if the Registrar of the AGCO is satisfied that all requirements have been met, a risk-based assessment has been completed and concerns (if any) have been addressed.

Upon the issuance of your registration as a Seller you will receive a certificate of registration for **each** site where you intend to sell break open tickets and/or OLG products. Each certificate of registration includes the address of the site. The certificate should be kept at the site so that it is readily accessible upon request of a customer, AGCO Inspector or local police.

## **Important**

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Applicants are required to be aware of their responsibilities under the *Gaming Control Act, 1992* and its Regulations. Copies of the *Act* and Regulations are available on our website, [www.agco.on.ca](http://www.agco.on.ca), or can be obtained from Publications Ontario located at 880 Bay Street in Toronto or by calling 1 800 668-9938.

## **Questions or Concerns**

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If you have any questions or concerns, please contact AGCO Customer Service during regular business hours at **416 326-8700** (in the GTA) or **1 800 522-2876** (toll-free in Ontario). You can also find helpful information on our website, [www.agco.on.ca](http://www.agco.on.ca).



Alcohol and Gaming Commission of Ontario  
 Licensing and Registration  
 90 SHEPPARD AVE E  
 SUITE 200  
 TORONTO ON M2N 0A4  
 Fax: 416 326-8711  
 Tel. 416 326-8700 or 1 800 522-2876 toll free in Ontario

## Registration as a Seller Form

You may complete this application online and print the document for submission, or fill it out by hand. Please PRINT clearly in black or blue INK. All questions on the application form must be completed in full, unless otherwise indicated. Incomplete or improperly completed applications may be returned.

<b>For Office Use Only</b>	<b>W#</b> _____	<b>Notes:</b>
	<b>F#</b> _____	
	<b>R#</b> _____	

### 1. Type of Application (check appropriate box or boxes)

<input type="checkbox"/> New	<input type="checkbox"/> Renewal AGCO File Number: _____	<input type="checkbox"/> Reinstatement	<input type="checkbox"/> Change of Ownership Date ownership changed	YYYY	MM	DD
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### 2. Full Legal Name of Applicant (name of business entity applying for registration - i.e. the name of the sole proprietor, partnership, corporation, association or organization)

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### 3. Contact (individual to be contacted in reference to this application)

Last Name	First Name	Middle Name(s)
Job Title/Position		
Telephone Number ( ) Ext.	Fax Number ( )	Email

### 4. Head Office or Business Address of Applicant (cannot be a Post Office Box)

Street Number	Street Name	Street Type	Direction	Suite/Floor/Apt.
Lot/Concession/Rural Route	City/Town/Municipality	Province/State	Country	Postal Code/Zip Code
Telephone Number ( ) Ext.	Fax Number ( )	Email		

### 5. Mailing Address of Applicant (if different from head office or business address above)

Street Number	Street Name	Street Type	Direction	Suite/Floor/Apt.
Lot/Concession/Rural Route	City/Town/Municipality	Province/State	Country	Postal Code/Zip Code





**8. Business Structure** (check the box and complete the section that best describes the business structure of the applicant)

<input type="checkbox"/> Sole Proprietorship	▶	Complete section 8.1
<input type="checkbox"/> Partnership	▶	Complete section 8.2
<input type="checkbox"/> Corporation	▶	Complete section 8.3
<input type="checkbox"/> Association or Organization	▶	Complete section 8.4

**8.1 Sole Proprietorship**

In the section below, provide the name of the sole proprietor.

Last Name	First Name	Middle Name(s)
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Go to Question 9 ▶ **Individuals Associated with the Business Entity**

**8.2 Partnership**

In the section below, provide the legal name and percentage of partnership interest of the partners that form the partnership. A partner can be an individual, corporation, or partnership.

	Legal Name of Partner	Percentage of partnership interest
1		%
2		%
3		%

If you require more space, provide the legal name and percentage partnership interest of the other partner(s) on a separate sheet of paper labelled as **8.2 Partnership - Partners**, and attach to the application form.

List attached

Go to Question 9 ▶ **Individuals Associated with the Business Entity**

**8.3 Corporation**

Legal name of the corporation (please refer to legal incorporation documentation)			
Date of Incorporation	YYYY	MM	DD
Corporation Number		Jurisdiction of Incorporation (country, province, territory, or state)	

Go to Question 9 ▶ **Individuals Associated with the Business Entity**


### 8.4 Association or Organization

In the section below, provide the legal name of the members that form the association or organization. A member can be an individual, corporation, or partnership.

	Legal Name of Member
1	
2	
3	

If you require more space, provide the legal name of the other member(s) on a separate sheet of paper labelled as **8.4 Association or Organization - Members**, and attach to the application form.

List attached

Go to Question 9  **Individuals Associated with the Business Entity**

### 9. Individuals Associated with the Business Entity

In the section below, provide the following information for the individuals associated with the business entity that have or will have decision-making authority and/or supervisory responsibility *with respect to the sale of break open tickets and/or OLG products*.

Note, this question *only* applies to the following types of individuals: the *sole proprietor* of the sole proprietorship; the *partners* of the partnership; the *officer(s), director(s), shareholder(s)* of the corporation; or the *members* of the association or organization.


Decision-making authority and supervisory responsibilities would include: overseeing or coordinating the sale of break open tickets and/or OLG products; managing compliance issues regarding the sale of break open tickets and/or OLG products; or having signing authority to purchase break open tickets and/or OLG products for the site(s), enter into contracts with gaming service suppliers and/or OLG, or complete an "offer of employment" for a Category 1 Gaming Assistant.


A **Personal Disclosure Form** must be completed and attached to this application for each individual listed below.

	Last Name	First Name	Middle Name(s)	Has Signing Authority on behalf of the Business Entity?	Personal Disclosure Form attached
1				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>
2				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>
3				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/>

If more space is required, provide the information for the other individual(s) associated with the business entity on a separate sheet of paper labelled as **9. Individuals Associated with the Business Entity**, and attach to the application form.

List attached

Go to Question 10  **Category 1 Gaming Assistants** if you intend to sell OLG products

Go to Question 11  **Background Information** if you do not intend to sell OLG products

**10. Category 1 Gaming Assistants** (complete this question only if the applicant intends to sell OLG products)

Does the applicant employ any individuals who have or will have decision-making authority or supervisory responsibilities with respect to the sale of OLG products?

This includes individuals who oversee and coordinate the sale of OLG products; manage compliance issues regarding the sale of OLG products; or have signing authority to purchase OLG products for the site(s), enter into contracts with OLG, or to complete an "offer of employment" for a Category 1 Gaming Assistant.

- Yes   ▶ If Yes, provide the information requested in the section below for each individual.
- No   ▶ If No, go to Question 11 - **Background Information**

1	Last Name	First Name	Middle Name(s)
Does the individual have a valid registration as a Category 1 Gaming Assistant?			
<input type="checkbox"/> Yes   ▶ If Yes, provide the AGCO File # _____			
<input type="checkbox"/> No   ▶ If No, attach a completed <i>Application for Registration as a Category 1 Gaming Assistant</i>			
			<input type="checkbox"/> Application form attached

2	Last Name	First Name	Middle Name(s)
Does the individual have a valid registration as a Category 1 Gaming Assistant?			
<input type="checkbox"/> Yes   ▶ If Yes, provide the AGCO File # _____			
<input type="checkbox"/> No   ▶ If No, attach a completed <i>Application for Registration as a Category 1 Gaming Assistant</i>			
			<input type="checkbox"/> Application form attached

3	Last Name	First Name	Middle Name(s)
Does the individual have a valid registration as a Category 1 Gaming Assistant?			
<input type="checkbox"/> Yes   ▶ If Yes, provide the AGCO File # _____			
<input type="checkbox"/> No   ▶ If No, attach a completed <i>Application for Registration as a Category 1 Gaming Assistant</i>			
			<input type="checkbox"/> Application form attached

If you require more space, provide the information requested above for the other individual(s) on a separate sheet of paper labelled as **10. Category 1 Gaming Assistants**, and attach to the application form.

Attachment provided

## 11. Background Information

(Questions 11.1, 11.2, 11.3, and 11.4 apply to the **business entity** (applicant) named in Question 2)

### 11.1 Licences/Registrations

a) Does the applicant currently hold a licence, permit, certificate or registration of any kind that is necessary to carry on specific business activities? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.1(a) Licences/Registrations**: (1) licence/permit/certificate/registration number; (2) type of licence/permit/certificate/registration; and (3) jurisdiction (province/state) of licence/permit/certificate/registration.
- No  Details attached

b) Has the applicant ever withdrawn an application for or been refused any type of licence, permit, certificate or registration by any kind of regulatory body or authority? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.1(b) Licences/Registrations - Withdraw/Refuse**: (1) reason for refusal or withdrawal; (2) date of occurrence; (3) type of licence/permit/certificate/registration; and (4) jurisdiction (province/state).
- No  Details attached

c) Has the applicant ever surrendered or had any type of licence, permit, certificate or registration suspended, revoked, or had a fine, monetary penalty or similar disciplinary action imposed against it in Canada or elsewhere? *This includes any licence, permit, certificate or registration in connection with gaming or liquor.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.1(c) Licences/Registrations - Surrender/Suspend/Revoke/Penalty**: (1) type of licence/permit/certificate/registration; (2) date of occurrence; (3) jurisdiction; (4) reason for surrender, suspension, revocation, imposition of monetary penalty, fine or disciplinary action; (5) length of suspension (if applicable); and (6) amount of fine or monetary penalty (if applicable).
- No  Details attached

### 11.2 Past Conduct

a) Has the applicant ever been charged, convicted or found guilty of any offence in Canada or elsewhere? *This includes all federal and provincial offences, including criminal offences.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.2(a) Past Conduct - Offences**: (1) date of occurrence; (2) description of charge, conviction or finding of guilt; (3) description of sentence/disposition; and (4) court location.
- No  Details attached

b) Are there any outstanding charges (including appearance notices and/or summons(es)) against the applicant in Canada or elsewhere? *This includes all federal and provincial offences, including criminal offences.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.2(b) Past Conduct - Outstanding Charges**: (1) court appearance date and location; and (2) description of offence(s).
- No  Details attached

c) Has the applicant ever been subject to any disciplinary action or administrative penalties by OLG in the last four years? *This includes selling non-activated tickets (pack penalties), returned cheques for non-sufficient funds (NSF), etc.*

- Yes ► If Yes, please attach the following details to this application labelled as **11.2(c) Past Conduct - Disciplinary Action/Penalty**: (1) date of occurrence; (2) type of disciplinary action or penalty; and (3) reason(s) for disciplinary action or penalty.
- No  Details attached

### 11.3 Civil Proceedings

a) Has the applicant ever had a lawsuit(s) (civil action) brought against it for misrepresentation, fraud, deceit, or breach of trust in which a party (plaintiff) was awarded damages either through a court decision or an out-of-court settlement?

- Yes   ▶ If Yes, please attach the following details to this application labelled as **11.3(a) Civil Proceedings - Lawsuit(s)**: (1) description of claim; (2) date of proceedings; (3) name(s) of other parties to the proceeding; (4) outcome of proceeding(s); (5) name and address of court; and (6) court file number (if known).
- No                    Details attached

b) Are there any outstanding claims filed against the applicant, or in the process of being filed against the applicant, in Canada or elsewhere?

- Yes   ▶ If Yes, please attach the following details to this application labelled as **11.3(b) Civil Proceedings - Outstanding Claims**: (1) nature of claim; (2) name and address of court; and (3) court file number (if known).
- No                   Note: For outstanding lawsuit(s) provide a copy of the Statement of Defence (if one has been filed).
- Details attached
- Copy of Statement of Defence attached

### 11.4 Bankruptcy Information

Has the applicant ever filed for bankruptcy, been petitioned into bankruptcy, sought relief or made a proposal under any bankruptcy or insolvency law in Canada or elsewhere?

- Yes   ▶ If Yes, please attach the following details to this application labelled as **11.4 Bankruptcy Information**: (1) type (filing, petition, relief or proposal); (2) reason; (3) date; (4) name and address of trustee or receiver (if applicable); (5) name and address of court; (6) court file number; and (7) outcome or current status.
- No                    Details attached

**NOTIFICATION UNDER FREEDOM OF INFORMATION AND PROTECTION OF PRIVACY ACT Subsection 39(2)**

**NOTICE**

The information on this form is collected pursuant to the *Gaming Control Act, 1992*. The principal purpose for which this information will be used is to consider my suitability or continued suitability for a gaming registration.

**CONSENT**

I consent to the Registrar of Alcohol and Gaming (the Registrar) collecting such additional information about me as may be necessary to verify the information provided on this form and to determine my suitability or continued suitability for a gaming registration. I understand that it may be necessary for the Registrar to collect and receive additional information from any source, including some or all of the following domestic and foreign sources: financial institutions, credit bureaus and credit reporting agencies, regional and national banking and loan institutions. I further consent to the disclosure to the Registrar of any information sought including my police or criminal record, if any, and I hereby authorize the Chief of Police or other Officer in Charge to forward all relevant information to the Registrar. I hereby authorize the Ontario Provincial Police (OPP) to release records of criminal convictions and findings of guilt for which a pardon has not been granted, records of discharges which have not been removed from the Canadian Police Information Centre (CPIC) system in accordance with the *Criminal Records Act* and records of outstanding criminal charges of which the OPP is aware to the Registrar.

**ADDITIONAL INFORMATION**

If you have questions about the collection of your personal information on this form, please contact:

**Registrar of Alcohol and Gaming**

90 SHEPPARD AVENUE EAST

SUITE 200

TORONTO ON M2N 0A4

Fax: 416 326-8711 Tel: 416 326-8700 or 1 800 522-2876 toll free in Ontario

**DECLARATION**

I solemnly declare that I have read over this form and I make this solemn declaration conscientiously believing its contents to be true and knowing that it is of the same force and effect as if made under oath. I also understand that this form may not set out all the questions that I may be asked nor constitute all the documentation and/or information that I may be required to supply. I understand that further questions may become necessary and that further documentation and/or information may be required during the application process and that if I do not wish to answer any further questions or supply any further documentation or information that my application will be abandoned.

Name

Signature

Date

YYYY

MM

DD

*The individual named above must have the authority to bind the business entity (applicant) named in Question 2.*