

APPLICATION FOR AN INDIVIDUAL CLUB BOOKMAKER'S LICENCE

(From 1 August 2022 to 31 July 2023)

Wagering Services
400 Epsom Road
Flemington VIC 3031, Australia
Telephone: +61 3 9258 4667
Email: b.admin@racingvictoria.net.au

Applications must be lodged via email to b.admin@racingvictoria.net.au or post to:

*Racing Victoria
Attention: Wagering Services
400 Epsom Road,
Flemington, VIC 3031*

APPLICATIONS INCLUDING FINANCIAL STATEMENTS AND TICKET FORMS MUST BE RECEIVED BY THE WAGERING DEPARTMENT ON OR BEFORE FRIDAY **JUNE 30th, 2022**. A FEE OF \$100 WILL APPLY TO BOOKMAKERS WHO PROVIDE THESE DOCUMENTS AFTER THIS DATE.

Steps to completing this Application Form:

- Step 1: Complete **SECTION 1: APPLICATION TYPE**
- Step 2: Complete **SECTION 2: ABOUT YOU**
- Step 3: Complete **SECTION 3: AREA ALLOCATION AND VENUES**
- Step 4: Complete **SECTION 4: MODES OF BETTING**
- Step 5: Complete **SECTION 5: BETTING SYSTEMS**
- Step 6: Read **SECTION 6: PRIVACY COLLECTION STATEMENT**
- Step 7: Read **SECTION 7: PROVISION OF BETTING RECORDS**
- Step 8: Complete **SECTION 8: BOOKMAKER PRIVACY OBLIGATIONS**
- Step 9: Read and sign **SECTION 9: DECLARATIONS**

Before submitting the Application Form:

- Step 10: Prepare Supporting Documentation listed in **SECTION 2: ABOUT YOU**
- Step 11: Complete Financial Statement Form (available from www.racingvictoria.net.au)
- Step 12: Complete an Off-course Premises Form (where applicable, available from www.racingvictoria.net.au)

Submitting Application:

- Step 13: Deliver the completed Application Form, the Supporting Documentation, the completed Financial Statement Form, and the complete Off-course Premises Form (if necessary) to Racing Victoria via email or post (see details above)

If you wish to operate as a **Company** or a **Partnership**, please do **not** complete this form. Please complete the **APPLICATION FOR CORPORATION** or **APPLICATION FOR PARTNERSHIP** located on Racing Victoria's website.

PURPOSE OF THIS FORM

This form will enable Racing Victoria to make an assessment as to whether they will issue you a Club Bookmakers Licence.

In Victoria operating as a lawful bookmaker requires a **two-step** process:

1. BOOKMAKER REGISTRATION AND GUARANTEE

A person applies to the Victorian Gambling and Casino Control Commission (VGCCC) to become “registered” as a bookmaker.

As part of that registration process, the person must have a **guarantee** which meets the requirements of section 94A of the *Racing Act 1958* (Vic). This can be accomplished in two ways: (1) become a member of the Victorian Bookmakers’ Association and contribute to their guarantee fund; (2) make alternative arrangements with the VGCCC.



2. BOOKMAKER LICENCE

A registered bookmaker then applies to Racing Victoria, as a principal racing authority, to enable them to lawfully commence bookmaking operations.

SECTION 1: APPLICATION TYPE

1. Application Type (All applicants)

Please select if this is a new or renewal application:

- New
- Renewal

2. Have you applied for another licence with Racing Victoria this Licence Term? (All applicants)

- No
- Yes, please specify:

3. Do you operate, are an associate of or otherwise involved in another bookmaking business in another Australian State or Territory? (All applicants)

- No
- Yes, please specify:

4. Class of Licence (All applicants)

There are four classes which may attach to your Licence. These Licence Classes relate to where you want to operate your bookmaking business. Please be careful to tick ALL the Licence Classes that apply to you. For example, if you intend to work the Metro Rails and Country tracks, you will have to tick BOTH Class R and Class C. If you are unsure which class applies to you, please see SECTION 3 of this Application Form, or contact Wagering Services.

Please select one or more of the following:

- Class C (Country) This Licence Class permits the Bookmaker to take bets from customers at any “country” (non-metropolitan) venue.
- Class R (Rails) This Licence Class permits the Bookmaker to take bets from customers on the “rails” at metropolitan racing venues.
- Class O (Other) This Licence Class permits the Bookmaker to take bets from customers at metropolitan racing venues on the “paddock/ring” or “other” areas not already covered by Class C and Class R.

- Class I (Internet) This Licence Class entitles the Bookmaker to take bets from customers over the internet.

5. Intended Launch Date (New applicants only)

Please indicate when you intend to launch your bookmaking business:

/ /

SECTION 2: ABOUT YOU

1. Your details (**All applicants MUST complete**)

Please provide the following information:

Bookmakers Licence No: (for prior holders of a Bookmakers Licence only)			
Bookmakers Full name:		D.O.B. (Must be at least 18 years of age)	
Residential Address:			
		Post Code:	
Postal Address (if different from Residential Address):			
		Post Code:	
Phone:		Mobile:	
Fax number (if any):			
Email:			
Usual occupation:			
Usual employer:		Employer's ABN:	

2. Your bookmaking registration (All applicants MUST complete)

Please provide the following information:

Are you registered under Part 5A of the <i>Gambling Regulations Act 2003</i> (Vic)?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Is the approval under Part 5A of the <i>Gambling Regulations Act 2003</i> (Vic) valid for the whole of the Club Bookmakers Licence period?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

If you answered NO to the above questions, you are not eligible to apply for a Club Bookmaker's Licence and this Application **cannot** be processed.

3. Your membership with the Victorian Bookmakers' Association (All applicants MUST complete)

Please provide the following information:

Are you a member of the Victorian Bookmakers' Association (VBA)?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
If you are a member of the VBA, what membership class do you hold?				
If you are not a member of the VBA, have you separately organised a guarantee to satisfy the requirements of section 94A of the <i>Racing Act 1958</i> (Vic)? (Please note that if you answered NO to this question, you are not eligible to apply for a Club Bookmaker's Licence and this Application cannot be processed)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Are you utilising the VBA's Responsible Gambling Code of Conduct? (Please note that if you answered NO to this question, you will be required to provide a copy of your responsible gambling policy)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

4. Your experience (*New applicants only*)

Please complete all the tables below that are relevant to your industry experience:

A. EXPERIENCE AS A BOOKMAKER

Please complete the following table regarding your *current or prior experience* operating *as a bookmaker* (if applicable).

Jurisdiction	Licence / Registration number	Trading Name	Period of operation (mm/yy)

B. EXPERIENCE WITH AN ONCOURSE BOOKMAKER

Please complete the following table regarding your industry experience being *employed by* an oncourse bookmaker (if applicable).

Bookmaker name	Job title	Period of employment (mm/yy)	Number of race meeting worked

Please tick **all** that apply in relation to the role(s) you included in table B:

- operating keyboard or ledger
- cash management, including collection and payment;
- customer dispute resolution
- assisting the managing bookmaker during race day operations
- liability management or hedging (laying off)
- None of the above

C. EXPERIENCE WITH A CORPORATE OR ONLINE BOOKMAKER

Please complete the following table regarding your industry experience being employed by a corporate bookmaker or a bookmaker that operates via the internet (if applicable).

Bookmaker name	Job title	Period of employment (mm/yy)

Please tick **all** that apply in relation to the role(s) you included in table C:

- phone operations
- trading (hedging or laying off)
- analytics (wagering)
- business development management (client origination)
- end-to-end affiliate (client) management
- customer dispute resolution
- race day operations
- responsible gambling
- anti-money laundering and counter terrorism financing
- other regulatory requirements
- None of the above

5. Probity Questions **(All applicants MUST complete)**

Please answer the following questions. Please note that certain terms in these questions are defined on page 11.

A.	New applicants only: Considering the definition of Associate below, please list all the people you consider to be your Associate:		
B.	Renewal applicants only: Do you consider that your Associates (as defined below) have changed since last application?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please list all the Associates:	
C.	Are you currently under any ban/restriction imposed by any Racing Authority, either in Australia or another jurisdiction?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
D.	Has any Associate, been subject to any <i>past, current, pending, or threatened</i> investigation by a regulator or other government or controlling body, in relation to misconduct, fraud, corrupt conduct or other integrity related matter?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
E.	In the last 10 years, have you or any Associates, been subject to criminal <i>charges</i> , in any jurisdiction, which involved fraud, dishonesty or the operation of a bookmaking business? This includes charges that were discontinued.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances and provide a National Police Record Certificate:	
F.	In the last 10 years, have you or any Associates been <i>found guilty</i> of a criminal offence, in any jurisdiction, which: (a) Involved fraud or dishonesty; (b) Involved the operation of a bookmaking business; or	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances and provide a National Police Record Certificate:	

	(c) Involved a sentence of a term of imprisonment (including suspended term of imprisonment). This includes where you or an Associate has been found guilty, but no conviction was recorded.		
G.	Are there any current criminal proceedings (or charges) <i>pending</i> against you or any Associates?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances and provide a National Police Record Certificate:	
H.	Are there any current civil proceeding <i>pending</i> against you or any Associates that relates to a debt allegedly owed by you or any Associate more than \$20,000?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
I.	Have you or any Associate ever been subject to any findings of dishonesty in a civil proceeding before a Court?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
J.	Have you or any Associate been subject to a <i>past</i> civil proceeding you were ordered to pay a sum exceeding \$20,000?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
K.	Have you or any Associate been subject to any <i>adverse findings</i> by a Court, professional body, statutory body, Royal Commission, or other regulatory authority (including other principal racing authorities or other gambling regulators)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
L.	Have you or any Associate been subject to any insolvency or similar proceeding in the last 10 years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		If Yes, please explain the circumstances:	
M.		Yes <input type="checkbox"/>	No <input type="checkbox"/>

	Are you aware of any other matter relating to you or any Associate that may bring Racing Victoria or the profession of bookmaking into disrepute?	If Yes, please explain the circumstances:
<p>Ongoing requirement to inform Racing Victoria regarding any civil or criminal proceedings (or charges) pending against you</p> <p>After submitting this Application, you are required to inform the Racing Victoria Integrity Services Department of any criminal charges or civil proceedings laid or issued against you <i>within <u>seven days</u> of any charges or proceedings being laid or issued.</i></p> <p>Updates must be sent by email to b.admin@racingvictoria.net.au</p>		

For the purposes of this application for a Club Bookmaker Licence, the following key term is defined:

“Associate” means—

- (a) a person who holds or will hold any relevant financial interest, or is or will be entitled to exercise any relevant power (whether in right of the person or on behalf of any other person) in the Applicant’s business, and by virtue of that interest or power, is able or will be able to exercise a significant influence over or with respect to the management or operation of that business; or
- (b) a person who is or will be an executive officer, whether in right of the person or on behalf of any other person, of the Applicant’s business; or
- (c) if the Applicant is a natural person, a person who is a relative of the Applicant.

The terms “executive officer”, “relative”, “relevant financial interest” and “relevant power” have the following meanings:

“executive officer”, in relation to an incorporated entity, means—

- (a) a director, secretary or other officer (by whatever name called); or
- (b) any other person who is concerned with, or takes part in, the management of the entity, whether or not the person’s position is given the name of executive officer;

“relative”, in relation to a person, means—

- (a) the spouse or domestic partner of the person;
- (b) the mother or father of the person; or
- (c) a son or daughter of that person who has attained the age of 18 years;

“relevant financial interest”, in relation to the Applicant, means—

- (a) any share in the capital of the Applicant; or
- (b) any entitlement to receive any income derived from the Applicant’s business; or
- (c) any entitlement to receive any payment as a result of money advanced; and

“relevant power” means any power, whether exercisable by voting or otherwise and whether exercisable alone or in association with others—

- (a) to participate in any directorial, managerial, or executive decision; or
- (b) to elect or appoint any person as an executive officer.

Where an Applicant or its ultimate parent company is listed on the Australian Securities Exchange or another similar exchange, the term “relevant financial interest” will not, unless Racing Victoria determines otherwise, apply to any shareholder of the Applicant or its ultimate parent company (as applicable), or any other person, unless the relevant financial interest is such that it is equivalent to a 10% or greater shareholding in the capital of the Applicant or its ultimate parent company (as applicable)

6. Supporting Documentation and Financial Statement

Please tick all the documents you are submitting alongside this application

CATEGORY 1 - must be submitted alongside this application

- A copy of your approval from the Victorian Commission for Gambling Regulation (*for new applicants only*)
- A completed Financial Statement, located on the Racing Victoria website
- Description or chart of the organisational and ownership structure of your business (*for new applicants only*)

If this is a **licence renewal**, has your organisational or ownership structure changed? *If you answer yes, please provide a revised description or chart of your business’ organisational and ownership structure.*

Yes No

- A completed Bookmaker Direct Debit and Service Level Agreement form, located on the Racing Victoria website
- A completed Off-Course Premises application (where you are intending to operate from a location other than a Racecourse), located on the Racing Victoria website
- National Police Record Check (*if specified as necessary in “5. Probity Questions” part E, F and G above*)
- A 3-year business plan, containing projections for turnover, gross margin, and operating margin (*for new applicants only*)
- A letter from a lawyer certifying that terms and conditions comply with all relevant laws (*for new applicants only*)

CATEGORY 2 - may be submitted alongside this application OR no later than **11 July 2022** being 21 days before the commencement of the Licence Term

- A copy of your website terms and conditions (*Class I only*)

- A copy of your responsible gambling policy, if different from VBA Responsible Gambling Code of Conduct
- A copy of your privacy policy and/or information collection statement that complies with SECTION 8 of this Application Form
- A copy of your betting rules (*unless operating only on-course*)
- A copy of your terms and conditions (*unless operating only on-course*)

SECTION 3: AREA ALLOCATION AND VENUES

All Licences are for a **12-month period**. Where a bookmaker receives an Area Allocation at a Metropolitan racecourse, that bookmaker must meet the minimum works requirement of 33% of all meetings. Please also note that meeting the minimum 33% requirement will not guarantee a stand during the next licence period.

Stand allocations will be based on your selections on this application and allocations will be made in accordance with [Racing Victoria's Victorian Bookmakers' Policies](#). Tick each venue you wish to be considered for - please be careful to complete your selections correctly.

Please note that if you tick a box in any of the tables below, please also tick the corresponding Licence Class in SECTION 1: APPLICATION TYPE. For example, if you tick Rails at Caulfield, Paddock at Sandown and Country racecourses please also tick Class R, Class P and Class C in SECTION 1.

Class R "Rails"

This Licence Class permits the Bookmaker to take bets from customers on the "rails" at metropolitan racing venues.

A. Flemington		
Time	Area	✓
Saturdays including Public Holidays & Turnbull Stakes Day	Rails	<input type="checkbox"/>
Melbourne Cup Carnival (Derby, Cup, Oaks & Stakes)	Rails	<input type="checkbox"/>

B. Caulfield		
Time	Area	✓
Standard Meeting (Saturdays including Public Holidays)	Rails	<input type="checkbox"/>
Caulfield Carnival (Guineas, Blue Sapphire & Cup)	Rails	<input type="checkbox"/>
Semi feature meetings (Underwood Stakes, Orr Stakes and Blue Diamond)	Rails	<input type="checkbox"/>

C. Sandown		
Time	Area	✓
Saturdays including Public Holidays	Rails	<input type="checkbox"/>
Midweek	Rails	<input type="checkbox"/>
Sandown Classic Day	Rails	<input type="checkbox"/>

D. Mornington (Metropolitan meetings)		
Time	Area	✓
Saturday and Midweek (excluding Mornington Cup)	Rails	<input type="checkbox"/>

E. Moonee Valley		
Time	Area	✓
Saturdays including Public Holidays	Rails	<input type="checkbox"/>

Night meetings	Rails	<input type="checkbox"/>
Cox Plate Carnival (Manikato Stakes Friday night & Cox Plate Saturday)	Rails	<input type="checkbox"/>

Class R "Rails" continued

F. Bendigo		
Time	Area	✓
Golden Mile Raceday	Rails	<input type="checkbox"/>

Class O "Other"

This Licence Class permits the Bookmaker to take bets from customers at metropolitan racing venues on the "paddock/ring", or "other" areas not already covered by Class C and R.

A. Flemington		
Time	Area	✓
Saturdays including Public Holidays & Turnbull Stakes Day	Paddock	<input type="checkbox"/>
	Saintly Place	<input type="checkbox"/>
	Hill Stand	<input type="checkbox"/>
	Forum	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Melbourne Cup Carnival (Derby, Cup, Oaks & Stakes)	Paddock	<input type="checkbox"/>
	Saintly Place	<input type="checkbox"/>
	Hill Stand	<input type="checkbox"/>
	Forum	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>

B. Caulfield		
Time	Area	✓
Standard Meeting (Saturdays including Public Holidays)	Concourse	<input type="checkbox"/>
	Promenade	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Caulfield Carnival (Guineas, Blue Sapphire & Cup)	Concourse	<input type="checkbox"/>
	Promenade	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
	Concourse	<input type="checkbox"/>
	Promenade	<input type="checkbox"/>

Semi feature meetings (Underwood Stakes, Orr Stakes and Blue Diamond)	Other (please specify):	<input type="checkbox"/>
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Class O "Other" continued

C. Sandown		
Time	Area	✓
Saturdays including Public Holidays	Paddock	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Midweek	Paddock	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Sandown Classic Day	Paddock	<input type="checkbox"/>
	Ring Inside	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>

D. Mornington (Metropolitan meetings)		
Time	Area	✓
Saturday and Midweek (excluding Mornington Cup)	Paddock	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>

E. Moonee Valley		
Time	Area	✓
Saturdays including Public Holidays	Paddock	<input type="checkbox"/>
	Market Place	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Night meetings	Paddock	<input type="checkbox"/>
	Market Place	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>
Cox Plate Carnival (Manikato Stakes Friday night & Cox Plate Saturday)	Paddock	<input type="checkbox"/>
	Market Place	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>

F. Bendigo

Time	Area	✓
Golden Mile Raceday	Paddock	<input type="checkbox"/>
	Other (please specify):	<input type="checkbox"/>

Class C “Country”

This Licence Class permits the Bookmaker to take bets from customers at any “country” (non-metropolitan) venue.

G. Country Racecourses

Racecourse	✓
Do you wish to operate at a “country” racecourse? Note: a “country” racecourse includes: <ul style="list-style-type: none">• all the racecourses not referred to in the Class R or Class O tables below; and• Mornington racecourse (non-metropolitan race meetings)• Bendigo racecourse (outside of Golden Mile Raceday)	<input type="checkbox"/>
Conditions	✓
Note: Bookmakers granted a Club Bookmaker’s Licence in respect of country racecourses must lodge monthly applications to field at a particular race meeting. A \$25 administration fee may be incurred when a bookmaker advises Wagering Services of his/her intention not to field more than two (2) full business days prior to the race meeting.	<input type="checkbox"/>

Off-Course Premises Application

H. Off-Course Premises Application

Note	Address	Type	✓
<i>If you do not have an existing approval to operate from an off-course premises, please download and complete the relevant form from www.racingvictoria.net.au</i>		Internet Only (Class I)	<input type="checkbox"/>
		Telephone Only	<input type="checkbox"/>
		Telephone + Internet (Class I)	<input type="checkbox"/>

Please note that a **Class I Licence Class** permits the Bookmaker to accept bets from customers over the internet.

SECTION 4: MODES OF BETTING

**Note: all bookmakers are approved to accept bets on thoroughbred racing events that are to be decided less than 35 days after the day on which the bet is placed. To be approved for other modes of betting, please select from the list below.*

Mode		✓
Sports Betting	Non-Future Sports Betting <i>(Sports Bets where the result is to be decided less than 35 days after the day on which the bet is placed)</i>	<input type="checkbox"/>
	Future and Non-Future Sports Betting <i>(Sports bets which includes Bets where the result is to be decided 35 days or more after the day on which the bet is placed)</i>	<input type="checkbox"/>
Racing	Future Win / Place <i>(Bets on a horse or greyhound where the result is to be decided 35 days or more after the day on which the bet is placed)</i>	<input type="checkbox"/>
	Future Double <i>(Bets on a horse or greyhound in two specified races, providing at least one of the races is decided at a race meeting conducted on a day after the day the bet is placed)</i>	<input type="checkbox"/>
Tote Odds	Request for permission under LR 8A (3) of the Rules of Race Betting 12.3 to offer Totalisator Odds.	<input type="checkbox"/>

Please specify what bet types are being offered (i.e., win, place, trifecta, etc.)?

(Please see the list of Approved Bet types on the Racing Victoria website)

SECTION 5: BETTING SYSTEMS

Type of betting channel used		✓
Face-to-face	<input type="checkbox"/>	
Telephone	<input type="checkbox"/>	
Internet (Class I only)	<input type="checkbox"/>	
Mobile app (Class I only)	<input type="checkbox"/>	
Other (please specify)	<input type="checkbox"/>	

Type of Betting	✓	System and Version		
Computerised Betting	<input type="checkbox"/>	Racebet 2010: Current Approved Version (or higher)		
	<input type="checkbox"/>	Multi-Bet: Current Approved Version (or higher)		
	<input type="checkbox"/>	Panther: Current Approved Version (or higher)		
Internet Betting <i>Please note: If applying for Betfair or Best Bookies, please ensure you have provided an account number.</i>	<input type="checkbox"/>	Betfair	Account Number:	
	<input type="checkbox"/>	Best Bookies	Account Number:	
	<input type="checkbox"/>	OM Apps (Bet Makers)		
	<input type="checkbox"/>	Generation Web		
Telephone Betting	<input type="checkbox"/>	Escape Net Telephone Betting System		

Bookmakers are required to ensure they are compliant with the Current Approved Version for their Computerised Betting Systems as specified by Racing Victoria.

SECTION 6: PRIVACY COLLECTION STATEMENT

Racing Victoria Limited (ACN 096 917 930) (RV) is the Principal Racing Authority governing thoroughbred racing in Victoria, and carries out the following functions in respect of bookmakers it licenses:

- determining and issuing bookmakers' club licences;
- regulating bookmakers including monitoring compliance with licence conditions;
- monitoring bookmakers and betting transactions;
- ensuring the integrity and probity of bookmaking businesses; and
- ensuring the efficient operation of bookmaking services.

RV is collecting your personal information on this form, including your name, contact details and financial information. We may also be collecting personal information about you which may be considered sensitive or protected under applicable laws (such information may include your criminal record (including pending civil or criminal proceedings or charges)) that you may provide in this form or under your ongoing disclosure obligations.

The purpose of collecting your personal information is for our legitimate interests, including as required pursuant to the Racing Victoria Rules of Racing (including the Rules of Race Betting) (**Rules of Racing**), the *Club Bookmakers' Licence Rules 2010*, *Bookmakers' Levy Rules 2012*, *Bookmakers' Telephone Betting Rules 2001*, *Bookmakers' Internet Betting Rules 2001*, *Bookmaker Sports Betting Rules 2007* and any other rules made under the *Racing Act 1958 (Vic)* (together the **Bookmaker Rules**), which require RV to collect information about bookmakers and betting transactions. Further, the collection of your personal information allows RV to perform its regulatory functions, including but not limited to:

- make determinations in relation to your licence application, renewal or continuance;
- to verify your compliance with the Rules of Racing, the Bookmaker Rules and any conditions imposed on your Licence;
- to detect breach of and/or non-compliance with the Rules of Racing, Bookmaker Rules and any conditions imposed on your Licence;
- to investigate possible or suspected breaches and/or instances of non-compliance of the Rules of Racing, Bookmaker Rules and any conditions imposed on your Licence; and
- to otherwise meet its regulatory responsibilities in relation to you as a bookmaker (together, RV's **Regulatory Purpose**).

If your personal information is not collected, either on this form or otherwise when requested by RV as part of its licensing and regulatory activities, we may not be able to process your application (and therefore refuse to grant your application or renew your licence, as the case may be) or may revoke or suspend your licence.

To further its Regulatory Purpose, RV may also obtain personal (including sensitive) information about you from, or disclose your personal information to, third parties such as:

- entities set out in section 91E of the *Racing Act 1958 (Vic)*;
- enforcement bodies (as defined in section 6 of the *Privacy Act 1988 (Cth)*);

- Federal or state government authorities (for example, the Victorian Commission for Gambling and Liquor Regulation);
- racing control bodies (such as other PRA's and their equivalents in Greyhound and Harness) in the States and Territories of Australia and overseas;
- racing clubs;
- approved system providers, contractors and/or other service providers;
- wagering service providers; and
- the Victorian Bookmakers' Association Ltd.

Other than where described in this Privacy Collection Statement, RV's Privacy Policy or required by law, RV will keep your personal (including sensitive) information confidential.

We otherwise use, disclose and handle your personal information in accordance with our Privacy Policy available at <https://www.racingvictoria.com.au/privacy-policy>. If you are concerned about a possible interference with your privacy, please contact RV's Privacy Officer at privacyofficer@racingvictoria.net.au. Privacy complaints to RV must be made in writing.

SECTION 7: PROVISION OF BETTING RECORDS

In order for RV to fulfil the Functions and Purpose described in Section 6 of this Application Form, Rule 13.11.2 of the *Club Bookmaker's Licence Rules 2010 (Club Bookmakers Licence Rules)*, a bookmaker must provide as directed by RV, all information, records or documents required by RV to verify the bookmaker's obligations under and compliance with the Bookmaker Rules and Rules of Racing made under the *Racing Act 1958 (Vic)* and any relevant law, including without limitation; information regarding bets made by the bookmaker (**Betting Records**). Such Betting Records are to be provided in the form and manner as may be required by the Authorised Officer (as defined in the Club Bookmaker's Licence Rules).

In addition to ensuring compliance with the Club Bookmakers Licence Rules, Rules of Racing, and the Bookmaker Rules (as defined in Section 6 of this Application Form and amended from time to time) and any relevant law, this information may be used for reporting purposes.

RV may disclose Betting Records to third parties such as:

- entities set out in section 91E of the *Racing Act 1958 (Vic)*;
- enforcement bodies (as defined in section 6 of the *Privacy Act 1988 (Cth)*);
- Federal or state government authorities (for example, the Victorian Commission for Gambling and Liquor Regulation);
- racing control bodies (such as other PRA's and their equivalents in Greyhound and Harness) in the States and Territories of Australia and overseas;
- racing clubs;
- approved system providers, contractors and/or other service providers;
- wagering service providers; and
- the Victorian Bookmakers' Association Ltd.

SECTION 8: BOOKMAKER PRIVACY OBLIGATIONS

For the Bookmaker to:

- (a) give effect to Section 7 and Section 8 of this Application Form; and
- (b) recognise the various powers of Racing Victoria, the Stewards, or Authorised Officers of Racing Victoria to request information and/or documents under the Club Bookmakers Licence Rules, Rules of Racing, the Rules of Race Betting and the Bookmaker Rules,

the Bookmaker **must** include in their Privacy Policy and/or information collection statement, one of the following:

- OPTION 1: suggested language of Racing Victoria**
- OPTION 2: your own language (subject to approval by Racing Victoria)**

Where you have selected **OPTION 2**, please provide your language below.

For the avoidance of doubt, it is each Bookmaker's responsibility to have a suitable privacy policy and/or collection statement to fulfill its obligations under law and the Club Bookmakers Licence Rules, Rules of Racing, the Rules of Race Betting and the Bookmaker Rules.

OPTION 1: SUGGESTED LANGUAGE OF RACING VICTORIA

The **[bookmaker]** may also disclose your personal information to Racing Victoria Limited (ACN 096 917 930) (**Racing Victoria**). Racing Victoria is the Principal Racing Authority responsible for governing thoroughbred racing in Victoria which includes administering and ensuring the integrity of the industry and supervising bookmakers, licensed and registered persons, its employees and betting transactions generally. **[Bookmaker]** is subject to the Club Bookmaker Licence Rules and the Rules of Racing (as amended from time to time) (**Rules**) and may disclose your personal information to Racing Victoria for the purpose of it fulfilling its regulatory functions such as monitoring, investigating and enforcing the Rules. Racing Victoria will handle your personal information in accordance with its own privacy policy available at <https://www.racingvictoria.com.au/privacy-policy>. Please note that Racing Victoria may disclose your personal information and/or betting records to a third party in accordance with section 91E of the Racing Act, Racing Victoria's privacy policy, or as otherwise permitted by law. For example, Racing Victoria may disclose your personal information to a third-party service provider of Racing Victoria retained for the strict purpose of assisting Racing Victoria fulfill its regulatory functions (described above).

OR

OPTION 2: YOUR OWN LANGUAGE (SUBJECT TO APPROVAL BY RACING VICTORIA)

Please include your proposed alternative language for the collection statement below:

SECTION 9: DECLARATIONS

In making this application, we:

- (a) declare and acknowledge that we have read and understood the information contained in this application form;
- (b) declare that all particulars provided in this application (including documents submitted in support of my application) are true, complete, and correct;
- (c) declare that we hold no other interest in a company, structure, entity, co-ownership, partnership, joint venture or otherwise other than those tabulated and provided in the Financial Statement;
- (d) acknowledge that we have read, understood and agree to be bound by the Racing Victoria Rules of Racing (**Rules of Racing**), *Club Bookmakers' Licence Rules 2010*, *Bookmakers' Levy Rules 2012*, *Bookmakers' Telephone Betting Rules 2001*, *Bookmakers' Internet Betting Rules 2001* and *Bookmaker Sports Betting Rules 2007* (together, the **Bookmaker Rules**), as published on the RV website, and we agree to familiarise ourselves and be bound by any amendments to those rules;
- (e) warrant that all persons whom we employ in my bookmaking business have read the Rules of Racing and the Bookmaker Rules, as published on the RV website, and:
 - (i) will assist Racing Victoria with any enquiry or direction (or other relevant matter) related to our bookmaking business;
 - (ii) Where directed or requested, will attend and give evidence in respect of any investigation or inquiry by Racing Victoria in accordance with the Rules of Racing and/or the Bookmaker Rules;
- (f) agree to be subject and bound by such rules and directions as may from time to time be made or given by the directors of Racing Victoria, Authorised Officers of Racing Victoria, the Stewards and/or betting supervisors of Racing Victoria (or any of their delegates), or any officials of any racing club registered to conduct thoroughbred racing under the Rules of Racing;

- (g) acknowledge that, when one of our Key Employees is performing the role of Approved Substitute for us, that person carries on our bookmaking business on our behalf and we are liable for the operation of that business at all times;
- (h) acknowledge that we have read and agree to be bound by the Privacy Collection Statement in Section 6 and the Provision of Betting Records in Section 7 of this Application Form;
- (i) agree to be bound by Racing Victoria policies relating to bookmakers, including but not limited to the stand allocation policies, which may be amended from time to time;
- (j) agree to use an Approved Betting System (**ABS**) to record all betting activity, in accordance with Rule 13 of the Club Bookmakers Licence Rules;
- (k) agree that when using an ABS, it is our responsibility to:
 - (i) conduct our own due diligence regarding the ABS provider and suitability of the ABS to our business requirements and circumstances; and
 - (ii) ensure that we are satisfied with the commercial terms offered by the ABS provider - including the level of insurance cover held by the ABS provider - are appropriate and sufficient for our requirements and circumstances;
- (l) agree to have all outstanding payments owed to Racing Victoria (including any administrative charges, levy fees or fines) settled by the commencement of the new licence period on 1 August 2022;
- (m) in addition to the Financial Statement provided, we warrant that my/our bookmaking business has sufficient funds and/or resources available to maintain and manage the business the subject of this application and that there is no insolvency event or similar proceeding on foot now or likely to be in the foreseeable future that may have a material affect on my/our capacity to be a bookmaker;
- (n) agree to ensure all required end of day files are transferred to Racing Victoria at the conclusion of each day of operation;
- (o) declare that we are not financially or in any other way interested in illegal betting whatsoever, and we undertake that we will not engage or attempt to engage in any such business while we hold a Club Bookmaker's Licence issued by Racing Victoria;
- (p) declare that my terms and conditions and betting rules comply with all applicable laws;

- (q) agree to insert the prescribed wording contained in Section 8 of this Application Form into my/our privacy policy and/or information collection statement or otherwise use language provided by me/us, subject to the approval of Racing Victoria;
- (r) agree that Racing Victoria is able to supply, and otherwise consent to Racing Victoria supplying, customer's personal information and/or betting records to a third-party service provider for the strict purpose of assisting Racing Victoria fulfill its regulatory functions in accordance with section 91E of the Racing Act or otherwise permitted by law;
- (s) acknowledge and confirm that, pursuant to the requirements of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth) ('**AML/CTF Act**'), we are enrolled with the Australian Transaction Reports and Analysis Centre ('**AUSTRAC**') and warrant that we are/our business is (and will continue to be throughout the period of the Club Bookmaker's Licence) compliant with our / its obligations under the AML/CTF Act;¹
- (t) warrant that as at the date of signing this declaration and at all times during the period of my Club Bookmakers Licence neither we nor our bookmaking business is in breach or contravention of or default under or non-compliance with any statute, rule, regulation or by-law whether Commonwealth or State that is related to or in connection with wagering or the activities or undertakings of operating a wagering business or the breach of which would constitute a criminal offence and neither we nor our bookmaking business has received notice that it may be in such default, contravention or breach. Please note this does not only include wagering specific statutes, rules, regulations or by-laws but also other such provisions that cover our bookmaking operations generally, including (but not limited to) the Australian Consumer Law;
- (u) warrant that I will promptly abide by any and all taxation laws, ruling, investigations or otherwise and provide full cooperation with the Australian Taxation Office ('**ATO**') in association with the taxation responsibilities, debts or otherwise that may result as a consequence or in association with my/our bookmaking business;
- (v) warrant that I will abide by all industry codes, rules, regulations and statutes (both State, Territory and Federal) relation to advertising both in the general sense but also in the wagering specific sense; and
- (w) acknowledge that if this application (including documents submitted in support of my application) contains any false or misleading information or conceals any material facts, our Club Bookmaker's Licence may be revoked or suspended in accordance with the Club Bookmaker's Licence Rules, and/or disciplinary action may be taken against me under the Rules of Racing.

¹ Refer to the AUSTRAC Compliance Guide (in particular (in particular chapter 4) available on the AUSTRAC website, for more information: <http://www.austrac.gov.au> Instructions on how to enrol or register your business are available on the AUSTRAC website at the following link: www.austrac.gov.au/businesses/enrolment-and-registration/enrolment-and-registration

Signed:

Bookmaker's Name

Bookmaker's Signature

Date

SECTION 10: UPDATES TO THIS APPLICATION FORM

Version	Nature of Change	Reviewing Party	Approval date
1.1	New form following rule review	Sam Prendergast	08/06/2022