

# **MPUMALANGA GAMING BOARD**



## **APPLICATION FOR CONSENT TO PROCURE AN INTEREST IN A LICENSEE**



**BUSINESS ENTITY DISCLOSURE FORM - GAMING  
APPLICATION INSTRUCTIONS**

1. This application form is to be completed by any person who is required to apply in terms of section 36 of the Mpumalanga Gaming Act or has been identified as a qualifier for procurement of an interest in a licensee.
2. This application should also include the prescribed application fees as stipulated in the Mpumalanga Gaming Board Regulations.
3. Read this entire form carefully before answering any of the questions. Any incomplete or inaccurate answer may result in no action being taken on the application or denial of the application.
4. A complete copy of the Consent to Procure an interest in a Licensee application must be submitted with the original. The application will be deemed incomplete and not processed if a copy is not included.
5. For purposes of this application, "enterprise" shall be defined to include any corporation, association, operation, firm, partnership, trust or other form of business association, as well as any sole proprietor or natural person.
6. Answer every question completely and truthfully. Do not leave any blank spaces. If a question does not apply to you, indicate "Not Applicable" in response to that question. If there is nothing to disclose as to a particular question, state "None" in response to that question.
7. All entries on this form, except signatures, must be typed or block printed in ink. If your application is not legible, it will not be accepted.
8. Initial each page of this form in the space provided, once you have checked your answers and are sure they are complete and correct.
9. If you need additional space to answer any question(s), use the blank page provided at the end of this form. Be sure to indicate the number(s) of the question(s) you are answering if you use this additional space.
10. Sign the Statement of Truth and all Release Authorisation Forms in the presence of a Notary Public and have both your signatures notarised.

**IMPORTANT NOTICES**

1. You must immediately notify the Mpumalanga Gaming Board of any change of address. All notices regarding this application will be sent to the address, which you provide on this form. Changes of address should be forwarded to:

<b>Street Address</b>	<b>Postal Address</b>
Mpumalanga Gaming Board	Private Bag X9908
1 <sup>st</sup> Avenue	White River
White River	1240
1240	Fax No: (013) 750 8097
2. Any person who applies for and obtains qualification from the Board is required to submit to warrantless searches when present in a licensed casino hotel facility pursuant to Section 63 of the Mpumalanga Gaming Act, 1995 (Act 5 of 1995).
3. Information supplied to the Board, or otherwise obtained by them, is confidential and shall not be revealed except in the course of the necessary administration of the Mpumalanga Gaming Act, or upon the lawful order of a court of competent jurisdiction. Nevertheless, an applicant or licensee waives any liability of the Mpumalanga Gaming Board, its instrumentality's and agents, for any damages resulting from any disclosure or publication in any manner, other than a wilfully unlawful disclosure or publication, pursuant to Section 11 of the Mpumalanga Gaming Act.

## BUSINESS ENTITY DISCLOSURE FORM - GAMING

### APPLICATION FOR CONSENT TO PROCURE AN INTEREST IN A LICENSEE

Indicate in which category of Licence the procurement will be effective.

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Casino Licence | <input type="checkbox"/> Manufacturer, Maintenance<br>or Supplier's Licence |   |
| <input type="checkbox"/> Route Operator | <input type="checkbox"/> Site Operator                                      | <input type="checkbox"/> Bingo Operator |

Supply a description of the procurement obtained, below:

Date Obtained	Name of Licensee	Number of Shares	Percentage Shareholding	Description of Shares	Cost of Procurement

NAME OF ENTERPRISE\* (Applicant)

\*Name as appears on the certificate of incorporation, charter, by-laws, partnership agreement or other official document. **DO NOT ABBREVIATE.**

TRADE NAME(S)


Person to be contacted in reference to these forms:

NAME	
TITLE	TELEPHONE NO. (INCLUDE AREA CODE)

The principal business address of the enterprise:

STREET LOCATION (NUMBER/STREET)	CITY	PROVINCE	POSTAL CODE
COUNTRY	TELEPHONE NO. OF THIS LOCATION (INCLUDE AREA CODE)		
MAILING ADDRESS (IF DIFFERENT)	CITY	PROVINCE	POSTAL CODE

The address from which the enterprise is or will be conducting any business as part of an agreement with a licensee.

STREET LOCATION (NUMBER/STREET)	CITY	PROVINCE	POSTAL CODE
COUNTRY	TELEPHONE NO. OF THIS LOCATION (INCLUDE AREA CODE)		

**ITEM 1. OTHER NAMES AND ADDRESSES OF THE ENTERPRISE**

- A. List all other names under which the enterprise has done business, and give approximate time periods during which such names were in use.

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- B. State all other addresses currently occupied/held by the enterprise and all addresses from which the enterprise is currently doing business.

NUMBER AND STREET	CITY	PROVINCE	POSTAL CODE

- C. State all addresses, other than those listed above, which the enterprise occupied/held or from which it was conducting business during the last ten-year period, and give the approximate time periods during which such addresses were occupied/held.

NUMBER AND STREET	CITY	PROVINC E	POSTAL CODE	FROM	TO



**ITEM 2. DESCRIPTION OF ENTERPRISE**

- A. Specify the business form of this enterprise (i.e., corporation, partnership, trust, joint venture, sole proprietorship or otherwise).

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- B. Submit a copy of the certificate of incorporation and all amendments, charter, by-laws, partnership agreement, trust agreement or other basic documentation of the enterprise, if any. This document must be labelled as ITEM 2-B.

**ITEM 3. DESCRIPTION OF PRESENT BUSINESS**

As an attachment labelled ITEM 3, describe the business done and intended to be done by the enterprise and its parent, holding, subsidiary and intermediary companies and the general development of such business during the past five years, or such shorter period as the corporation or its parent, subsidiary and intermediary companies may have been engaged in business. This description must include information on matters such as the following:

- A. Competitive conditions in the industry or industries involved and the competitive position of the enterprise, if known.
- B. The principal products produced and services rendered by the enterprise and its parent, intermediary and subsidiary companies, the principal markets for said products or services and the methods of distribution.
- C. The sources and availability of raw materials essential to the business of the enterprise.
- D. The importance to the business and the duration and effect of all material patents, trademarks, licences, franchises and concessions held.
- E. This description must contain a detailed account of the goods or services being provided, or to be provided, to the casino industry (if any). If your enterprise is conducting or intends to conduct both gaming-related and non-gaming related business, differentiate between the gaming-related goods or services and the non-gaming related goods or services.

**ITEM 4. DESCRIPTION OF FORMER BUSINESS**

As an attachment labelled ITEM 4, describe any former business not listed in response to ITEM 3, which the enterprise or any parent, intermediary or subsidiary company engaged in during the last ten-year period, and the reasons for the cessation of such business. Also indicate the approximate time period during which each such business was conducted.



**ITEM 5. STOCK DESCRIPTION (CORPORATION)**

Describe the nature, type, terms, conditions, rights and privileges of all classes of voting, non-voting and other stock issued, or to be issued, by the corporation including the number of shares of each class of stock authorised or to be authorised and the number of shares of each class of stock outstanding (i.e. not held by or on behalf of the issuer) as on this date.

<b>ORDINARY SHARES</b>	<b>PAR VALUE</b>	<b>NUMBER</b>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
<b>PREFERENCE SHARES</b>	<b>PAR VALUE</b>	<b>NUMBER</b>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
<b>OTHER (INCLUDING OPTIONS)</b>		
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**VOTING RIGHTS**

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If the rights of holders of any class of stock may be modified other than by a vote, indicate this and explain briefly.

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**ITEM 6. NON-VOTING SHAREHOLDERS**

Furnish the information called for in the table below, as to each person or entity holding or having a beneficial interest in any non-voting stock issued by the corporation.

NAME AND ADDRESS	DATE OF BIRTH	CLASS OF NON-VOTING STOCK HELD	NUMBER OF SHARES HELD	PERCENTAGE OF OUTSTANDING VOTING STOCK

\* This information must be provided as on a date no more than sixty (60) days prior to the date of this application.

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 6.



## **ITEM 7. QUALIFIERS**

Please indicate all persons or entities in your enterprise that correspond to the sub-items listed below. If any of the sub-items (A) through (I) do not apply, please indicate “Does Not Apply” directly on this form.

**NOTE: A PERSONAL HISTORY DISCLOSURE FORM MUST BE COMPLETED BY EVERY PERSON NOTED IN ITEM A THROUGH I BELOW. IN ADDITION, THE BOARD MAY, AT ITS DISCRETION, ORDER ADDITIONAL PERSONS ASSOCIATED WITH THE ENTERPRISE TO FILE SUCH A FORM IF IT APPEARS THAT SUCH PERSONS SHOULD BE QUALIFIED IN ORDER TO EFFECTUATE THE PURPOSES OF THE MPUMALANGA GAMING ACT AND REGULATIONS.**

- A. All persons who will act as sales representatives or otherwise regularly engage in the solicitation of business from a casino, bingo, gaming machine operator and site licence holder.
- B. All persons who have or will sign any agreement with a casino, bingo, gaming machine operator and site licence holder.
- C. The management employee supervising the regional or local office which employs the sales representative(s) described in Sub-section A.
- D. All officers of the enterprise.
- E. All directors or trustees of the enterprise.
- F. All partners, whether general, limited or otherwise.
- G. The sole proprietor, if the enterprise is a sole proprietorship.
- H. All beneficial owners of more than five per cent of the outstanding voting securities of the enterprise, whether such owners are themselves legal or natural persons.
- I. All persons doing business with the casino, bingo, gaming operator and site licence holder.







**ITEM 8. OUTLINE OF OWNERSHIP**

If item 7 notes **any enterprise** as holding any stock, holding a partnership interest or holding any other ownership interest in the applicant, prepare a flowchart which illustrates the fully diluted ownership of the applicant as an attachment labelled ITEM 8. List all parent, holding or intermediary companies so that the flowchart reflects the stock, partnership or ownership interest as being held by a natural person(s) and not another enterprise(s). If the ultimate parent company is publicly traded and no natural person controls more than 5% of the publicly traded stock, indicate this fact in a footnote to the flowchart.

**ITEM 9. FORMER OFFICERS AND DIRECTORS**

Furnish the information indicated below for each person not listed in response to item 7, who has held a position as an officer or director of the enterprise over the last ten years:

NAME	DATE OF BIRTH	LAST KNOWN ADDRESS	POSITION AND DATES HELD	REASON FOR LEAVING

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 9.



**ITEM 10. REMUNERATION OF OFFICERS, DIRECTORS AND PARTNERS**

List the total annual remuneration received during the last calendar year, and the amount to be received during the calendar year subsequent thereto, by each director, trustee, officer and/or partner of the enterprise, whether such remuneration is in the form of salary, wages, commissions, fees, stock options, bonuses or otherwise.

NAME	POSITION HELD WITH THE ENTERPRISE	AMOUNT OF REMUNERATION

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 10.

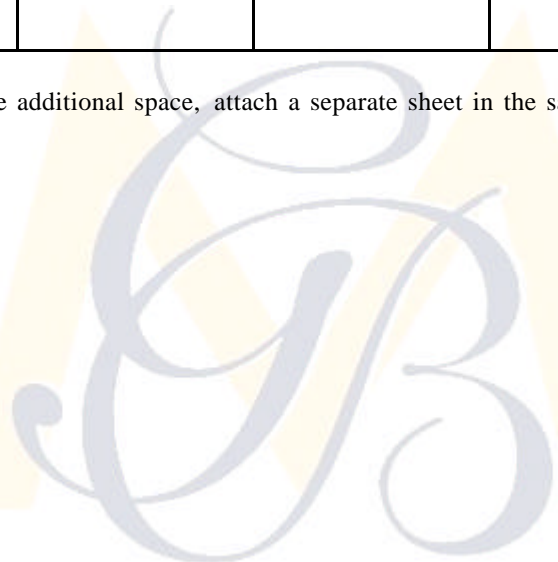


**ITEM 11. REMUNERATION OVER R 150 000**

Furnish the information indicated below for each person, other than those listed in response to item 7, who currently receives, or who can be reasonably expected to receive from the enterprise, within one calendar year from the date of this form, remuneration as described in item 10 exceeding **R150 000** per annum.

NAME	DATE OF BIRTH	HOME ADDRESS	POSITION AND PERIOD OF TIME WITH THE ENTERPRISE	AMOUNT OF REMUNERATION

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 11.



**ITEM 12. BONUSES, PROFIT SHARING, RETIREMENT, DEFERRED REMUNERATION & SIMILAR PLANS**

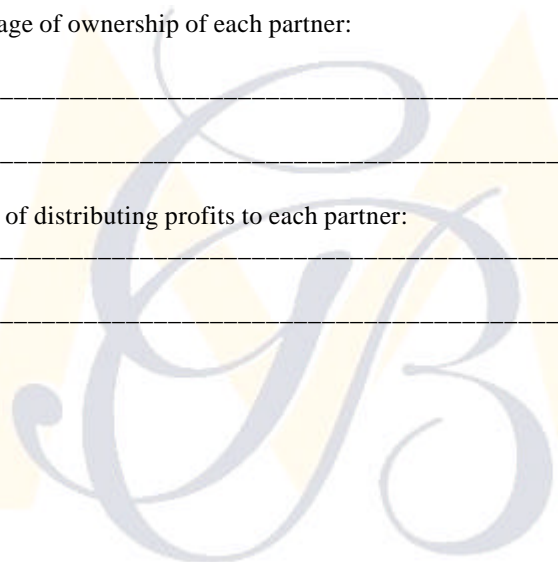
As an attachment labelled ITEM 12, describe all existing bonuses, profit sharing, pension, retirement, deferred remuneration and similar plans, or those to be created by the enterprise, which description shall include, but not be limited to:

- A. Title or name of the plan;
- B. Identity and address of the trustee of the plan or the person administering such plan;
- C. Material features of the plan;
- D. Methods of financing the plan;
- E. Identity of each class of person who is participating or will participate in the plan;
- F. Approximate number of persons in each class;
- G. Amounts distributed under the plan to each class of persons during the last fiscal year, if the plan was in effect during that time period.

**ITEM 13. INTEREST OF PARTNERS (PARTNERSHIP)**

Describe the interest held by each partner in the partnership, whether general or limited:

- A. Amount of initial investment, whether in the form of cash, negotiable instruments, property or otherwise:  
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- B. Amount of any additional contributions made to the partnership:  
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- C. Amount and nature of any anticipated future investments:  
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- D. Degree of control of each partner over the activities of the partnership:  
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- E. Percentage of ownership of each partner:  
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- F. Method of distributing profits to each partner:  
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**ITEM 13(i). SECURITIES OPTIONS\* (CORPORATION)**

Describe in detail any options existing or to be created in respect of securities issued by the corporation, which description shall include, but not be limited to, the title and amount of securities subject to option, the year or years during which the options were or will be granted, the conditions under which the options were or will be granted, the consideration for granting the option and the year or years, the terms under which optionees became, or will become, entitled to exercise the options, and when such options expire.

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*\*For the purpose of this application, option shall mean right, warrant or option to subscribe to or purchase any securities issued by the corporation.*

**ITEM 13(ii)**

Identify all persons holding the options described in item 13(i) and include the market value of the option at the time of issue.

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**ITEM 14. DESCRIPTION OF LONG-TERM DEBT**

Describe the nature, terms, and conditions of all outstanding bonds, loans, mortgages, trust deeds, notes, debentures or other forms of indebtedness issued or executed (including loans made by shareholders), or to be issued or executed by the enterprise, which matures more than one year from the date of issue or which, by their terms, are renewable for a period of more than one year from the date of issue.

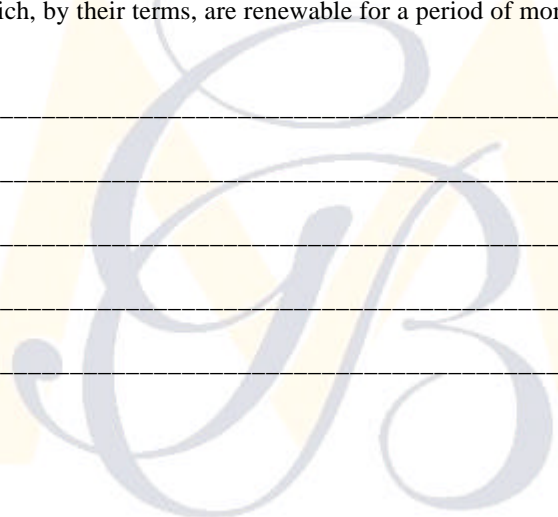
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Should you require additional space, attach a separate sheet in the same tabular form and label it ITEM 14.

**ITEM 15. HOLDERS OF LONG-TERM DEBT**

Furnish the information indicated in the table below for each person or entity holding any outstanding bonds, loans, mortgages, trust deeds, notes, debentures or other forms of indebtedness executed or issued by the enterprise, which mature more than one year from the date of issue or which, by their terms, are renewable for a period of more than one year from the date of issue.

NAME AND ADDRESS	DATE OF BIRTH	TYPE AND CLASS OF DEBT INSTRUMENT HELD	RAND AMOUNT OF DEBT HELD (Both original Amount and Current Balance)

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 15.

**ITEM 16. OTHER INDEBTEDNESS AND SECURITY DEVICES**

Describe the nature, type, terms and conditions of all outstanding loans, mortgages, trust deeds, pledges, lines of credit, or other evidence of indebtedness or security devices utilised by the enterprise, other than those described in response to items 14 and 15.

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**ITEM 17. HOLDERS OF INDEBTEDNESS**

Furnish the information indicated in the table below in respect of each holder of any outstanding loan, mortgage, trust deed, pledge or other evidence of indebtedness or security device described in response to Item 16.

NAME AND ADDRESS	DATE OF BIRTH	TYPE OF DEBT INSTRUMENT HELD	RAND AMOUNT OF DEBT HELD (Both Original Amount and Current Balance)

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 17.





**ITEM 18. FINANCIAL INSTITUTIONS**

Furnish the information indicated in the table below in respect of each bank, savings and loan association or other financial institution, whether domestic or foreign, in which the enterprise has or has had an account over the last ten-year period, regardless of whether such account was held in the name of the enterprise, a nominee of the enterprise or was otherwise under the direct or indirect control of the enterprise.

NAME AND ADDRESS	TYPE OF ACCOUNT(S)	ACCOUNT NUMBER	TIME PERIOD ACCOUNT HELD (FROM/TO)

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 18.

**ITEM 19. CONTRACTS AND SUPPLIERS**

*Furnish a copy of the contracts/shareholders agreements that came into effect on procurement of the interest in the licensee.*

Furnish the information indicated in the table below in respect of all other persons/entities with whom the enterprise has contracts or agreements valued at R50 000 or more, or from whom the enterprise has received R50 000 or more in goods or services in the past six months.

Employment contracts need only be listed if, by their terms, they exceed one year in duration.

NAME	ADDRESS	NATURE OF CONTRACT OR GOODS OR SERVICES SUPPLIED

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 19.

**ITEM 20. STOCK HELD BY ENTERPRISE**

Furnish the information indicated in the table below in respect of each company in which the enterprise holds stock:

NAME AND ADDRESS OF COMPANY	TYPE OF STOCK HELD	PURCHASE PRICE PER SHARE	NUMBER OF SHARES HELD	PERCENTAGE OF OWNERSHIP MORE THAN 5%

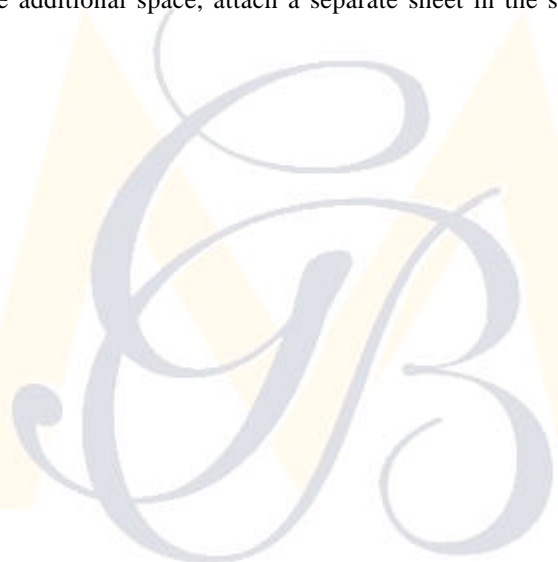
Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 20.

**ITEM 21. INSIDER TRANSACTIONS (CORPORATION)**

Furnish the information indicated in the table below for each change, within the last five (5) years preceding this application, in the beneficial ownership of the equity securities of the corporation on the part of any person who is indirectly or directly a beneficial owner of more than 5% of any class of an equity security of the corporation, or who is, or was, a director or official of the corporation within that period. [Include changes resulting from (a) gift, (b) purchase, (c) sale, (d) exercise of an option to purchase, (e) exercise of an option to sell, (f) or any other transaction.

DATE OF TRANSACTION	NATURE OF TRANSACTION	PARTIES TO TRANSACTION (INCLUDE POSITIONS)	NUMBER OF SECURITIES INVOLVED

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 21.



**ITEM 22. CRIMINAL HISTORY**

The next question requests information about any offences the enterprise may have committed or charges against it. Prior to answering this question, carefully review the definitions and instructions which follow.

**DEFINITIONS:**

**For the purpose of this question:**

- A. "Charge" includes any indictment, complaint, information, summons, or other notice of the alleged commission of any "offence".
- B. "Offence" includes all felonies, crimes, disorderly persons' offences, and petty disorderly offences.

**INSTRUCTIONS:  
EVEN IF:**

**1. Answer "yes" and provide all information to the best of your ability**

- A. The enterprise did not commit the offence charged;
- B. The charge was dismissed;
- C. The enterprise was not convicted; or
- D. The charges or offences happened a long time ago.

**2. Answer "no" IF:**

- A. The records relating to the charges have been expunged by court order; AND
- B. Attach a copy of the expungement order to this application, labelled as ITEM 22.

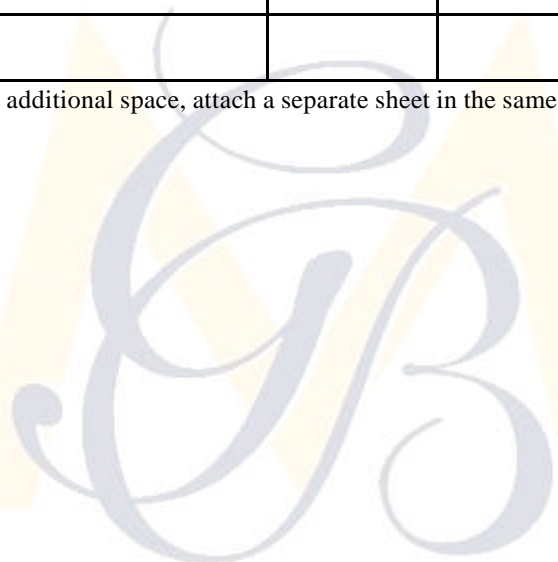
**"Has the enterprise, its owners, officers, directors or any of its subsidiaries ever been indicted, charged with or convicted of a criminal or disorderly person's offence or been a party or named as an indicted co-conspirator in any criminal proceeding in the Republic of South Africa or any other jurisdiction?"**

\_\_\_\_\_ YES \_\_\_\_\_ NO

**If Yes, complete the table below:**

NAME OF CASE AND CASE NUMBER	NATURE OF CHARGE OR COMPLAINT	DATE OF CHARGE OR COMPLAINT	NAME AND ADDRESS OF LAW ENFORCEMENT AGENCY OR COURT INVOLVED	DISPOSITION (ACQUITTED, CONVICTED, DISMISSED, ETC)	SENTENCE

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 22.



**ITEM 23. TRADE REGULATIONS AND SECURITIES JUDGEMENTS**

Has the enterprise ever had a judgement, consent, decree or consent order pertaining to a violation or alleged violation of trade regulations or securities laws, or similar laws of any country, entered against it?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If yes, provide the information in the following tabular form:

NAME OF CASE AND DOCKET NUMBER	NAME AND ADDRESS OF COURT OR AGENCY	NATURE OF JUDGEMENT, DECREE OR ORDER	DATE ENTERED

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 23.

**ITEM 24. INSOLVENCY PROCEEDINGS & APPOINTED RECEIVER, AGENT OR TRUSTEE**

A. Has the enterprise, its parent or any affiliated company had any petition under any provision of any Bankruptcy Act or under any state insolvency law filed by or against it over the last ten year period?

\_\_\_\_\_ YES \_\_\_\_\_ NO

IF YES, PROVIDE DETAILS.

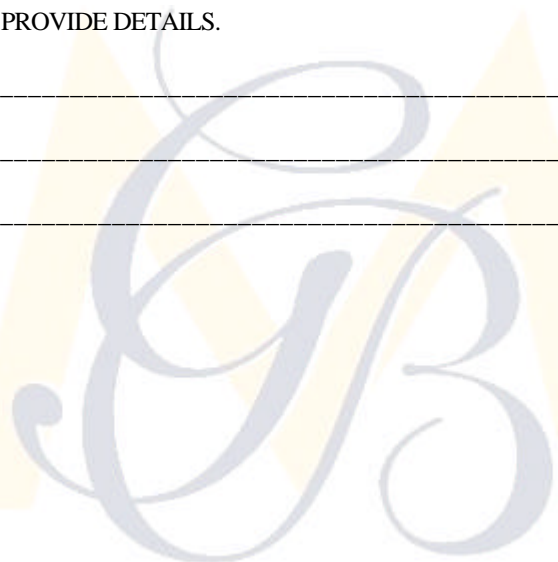
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B. Has the enterprise, its parent or any affiliated company sought relief under any provision of any Bankruptcy Act or any state insolvency law over the last ten-year period?

\_\_\_\_\_ YES \_\_\_\_\_ NO

IF YES, PROVIDE DETAILS.

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- C. Has any receiver, fiscal agent, trustee, recognition trustee, or similar officer been appointed, over the last ten-year period, by a court for the business or property of the enterprise or its parent, holding, affiliate or subsidiary companies?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If the response to Item 24C is in the affirmative, complete the table below.

NAME OF PERSON APPOINTED	DATE APPOINTED	COURT	REASON

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 24C.

**ITEM 25 EXISTING LITIGATION**

As an attachment labelled ITEM 25, describe all existing civil litigation at equity and law to which the enterprise or any subsidiary is currently a part, whether in this province or in another jurisdiction. Do not include any case for monetary damages in litigation in which the damages may not be expected to exceed R100 000. This description shall include the title and case number of the litigation, the name and location of the court where it is pending, the identity of all parties to the litigation, and the general nature of all claims being made.

**ITEM 26. LICENCES**

- A. Over the last ten-year period, has the enterprise ever had any licence or certificate issued by a government agency in the Republic of South Africa or any other jurisdiction, denied, suspended or revoked?

\_\_\_\_\_ YES \_\_\_\_\_ NO

If the response to item 26A is in the affirmative, complete the table below.

TYPE OF LICENCE OR CERTIFICATE	NAME AND LOCATION OF GOVERNMENT AGENCY	ACTION TAKEN	DATE	REASON

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 26A.

B. Has the enterprise ever applied, in any jurisdiction, for a licence, permit or other authorisation to participate in lawful gambling operations (including casino gaming, horse racing, dog racing, pari-mutual operation, lottery, sports betting, etc)?

\_\_\_\_\_YES \_\_\_\_\_NO

If the response to Item 26B is in the affirmative, complete the table below.

NAME AND ADDRESS OF LICENSING AGENCY	DATE OF APPLICATION	DISPOSITION (GRANTED, DENIED, PENDING)	TYPE OF GAMBLING ACTIVITY	IF ISSUED, GIVE APPROPRIATE NUMBER AND EXPIRY DATE

Should you require additional space, attach a separate sheet in the same tabular format and label it ITEM 26B.

**ITEM 27. CONTRIBUTION AND DISBURSEMENTS OF ENTERPRISE**

A. Over the last ten-year period, has the enterprise, any director, officer, partner, or employee or any third party acting for or on behalf of the enterprise offered any bribes or kickbacks to any employee, company or organisation to obtain favourable treatment?

\_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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B. Over the last-ten-year period, has the enterprise, any director, officer, partner, or employee or any party acting for or on behalf of the enterprise offered any bribes or kickbacks to any government official, domestic or foreign, to obtain favourable treatment?

\_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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C. Over the last ten-year period, have enterprise funds been donated or loaned for the purpose of opposing or supporting any government, political party, candidate or committee, either domestic or foreign? \_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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D. Over the last ten-year period, has enterprise property been donated or loaned for the purpose of opposing or supporting any government, political party, candidate or committee, either domestic or foreign? \_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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E. Over the last ten-year period, has the enterprise made/granted any loans, donations or other disbursements to directors, officers, partners, or employees for the purpose of reimbursing such individuals for political contributions, either foreign or domestic? \_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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F. Over the last ten-year period, has the enterprise maintained any bank account or any account in the name of a nominee for the corporation? \_\_\_\_\_YES \_\_\_\_\_NO

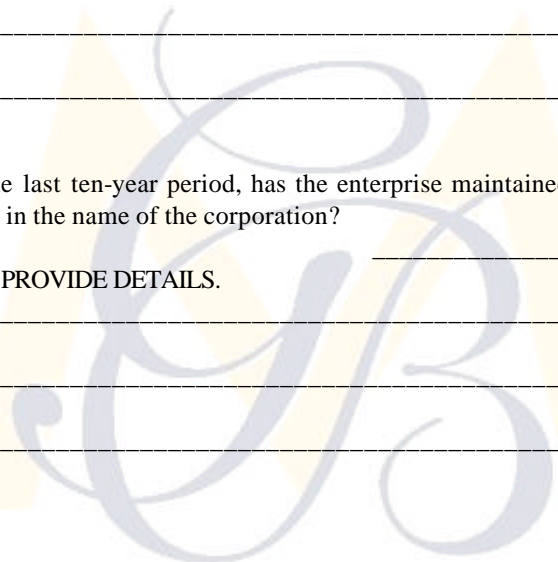
IF YES, PROVIDE DETAILS.

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G. Over the last ten-year period, has the enterprise maintained any numbered account or any account in the name of the corporation? \_\_\_\_\_YES \_\_\_\_\_NO

IF YES, PROVIDE DETAILS.

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- H. List the names and addresses of any present or former directors, officers, partners, or employees or third parties who would have knowledge or information concerning the questions affirmatively answered under F and G above.

\_\_\_\_\_ YES \_\_\_\_\_ NO

IF YES, PROVIDE DETAILS.

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**ITEM 28. FINANCIAL STATEMENTS**

- A. Attach, as an appendix to this form copies of all audited financial statements prepared in the last five years with regard to the enterprise and label them ITEM 28A. Include any holding company exception taken to such statements, and management's response thereto.
- B. If the enterprise does not normally have its financial statements audited, attach as an appendix to this form all un-audited financial statements prepared in the last five years with regard to the enterprise. (If the enterprise has neither audited nor un-audited financial statements prepared, please note same below this paragraph.) Label it ITEM 28B.

**ITEM 29. ANNUAL REPORTS**

Attach, as an appendix to this form, a copy of all annual reports of the enterprise which have been submitted to shareholders, partners, or other persons over the last five years.

**ITEM 30. QUARTERLY REPORTS**

Submit, as an appendix to this application, a copy of all quarterly financial statements prepared by or for the enterprise, if any, since the last annual report noted in Item 29.

**ITEM 31. INTERIM REPORTS**

Submit, as an appendix to this form, a copy of all reports prepared following the occurrence of any of the following events: Change in control of the enterprise, acquisition or disposition of assets, bankruptcy or receivership proceedings, changes in the enterprise's independent auditors, or other material events.

**ITEM 32. REPORTS OF ACCOUNTANTS**

Submit, as an appendix to this form, a copy of all reports and correspondence, other than those previously included in this application, submitted in the last five years, by independent auditors for the enterprise, which pertain to the issue of financial statements, managerial advisory services, or internal control recommendations.

**ITEM 33. ORGANISATIONAL CHART**

Provide as an appendix hereto, an organisational chart of the enterprise which includes position descriptions and the names of persons holding such positions.

**ITEM 34. TAX RETURNS**



Provide, as an appendix to this form, a copy of all Tax Returns for the last five years. Be sure to include all schedules and attachments for these returns.

**ITEM 35. AFFIDAVITS AND SIGNATURES**

Pursuant to the regulations of the Board, this form must be sworn to or affirmed, signed and dated before a person legally competent to take an oath or affirmation who shall himself date the signature of the affiance and indicate the basis of his authority to take oaths and affirmations.

Each of the following persons must complete an affidavit attesting to the truth of the information in this form:

- A. If the enterprise is a corporation, the president or any officer so authorised to affirm;
- B. If the enterprise is a partnership, each of the partners. If a limited partnership, by each of the general partners only;
- C. If the enterprise is any other business form, organisation or association, the president or any officer so authorised to affirm;
- D. If the enterprise is a sole proprietorship, the natural person who is the proprietor.

Each affidavit required must be identical to the model which appears on the next page of this form.



**AFFIDAVIT**

PROVINCE OF \_\_\_\_\_

COUNTRY OF \_\_\_\_\_

I, \_\_\_\_\_, hereby

acknowledge that I am aware that the Board may deny a licence to any applicant that supplies information to the Board which is untrue or misleading as to a material fact pertaining to the qualification criteria.

Further I, \_\_\_\_\_, hereby

(NAME)

swear (or affirm) that the foregoing statements made by me on behalf of \_\_\_\_\_

\_\_\_\_\_ are true. I am aware that if any of the foregoing

(NAME OF ENTERPRISE)

statements made by me are wilfully false, I will be subject to the penalty attendant upon perjury.

\_\_\_\_\_  
DATE

+\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
(TYPE, STAMP OR PRINT NAME)

\_\_\_\_\_  
TITLE OR POSITION

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_.

\_\_\_\_\_  
NOTARY

\_\_\_\_\_  
Seal of Authority of Notary



**ITEM 36. RELEASE AUTHORISATION-NOTICE**

Each enterprise must have the attached “Release Authorisation” properly signed, dated and notarised. The attached “Notice” must also be acknowledged by a proper signature and date.

Each document must be signed by the following person:

- A. If the enterprise is a corporation, the president or any officer so authorised to execute such a document and bind the corporation;
- B. If the enterprise is a partnership, a partner;
- C. If the enterprise is a limited partnership, a general partner;
- D. If the enterprise is any other business form, organisation or association, the president or any officer so authorised to execute such a document and bind the enterprise;
- E. If the enterprise is a sole proprietorship, the natural person who is the proprietor.



**RELEASE AUTHORISATION**

To All Courts, Probation Departments, Selective Service Boards, Employers, Educational Institutions, Banks, Financial and Other Such Institutions, and all Government Agencies - State, Provincial and Local, without exception, both foreign and domestic.

On behalf of \_\_\_\_\_

I, \_\_\_\_\_, have

authorised the Mpumalanga Gaming Board to conduct a full investigation into the background of the said enterprise.

Therefore, you are hereby authorised to release any and all information pertaining to the said enterprise, documentary or otherwise, as requested by any employee or agent of the Mpumalanga Gaming Board, provided that he or she certifies to you that the said enterprise has an application pending before the Mpumalanga Gaming Board or that the said enterprise is currently a licensee or registrant required to be qualified under the provisions of the Mpumalanga Gaming Act.

This authorisation shall supersede or countermand any prior request or authorisation to the contrary.

A photostat copy of this authorisation will be considered as effective and valid as the original.

\_\_\_\_\_  
DATE

SIGNATURE

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 19

\_\_\_\_\_

\_\_\_\_\_  
NOTARY PUBLIC



## NOTICE

1. Information supplied to the Board or otherwise obtained by them is confidential and shall not be revealed, except in the course of the necessary administration of the Mpumalanga Gaming Act, or upon the lawful order of a court of competent jurisdiction. Nevertheless, an applicant or licensee exempts the Mpumalanga Gaming Board and its instrumentality and agents from any liability for any damages resulting from any disclosure or publication in any manner.
2. An applicant for, or holder of, a licence or registration under the Mpumalanga Gaming Act, 1995 (Act 5 of 1995) is subject to inspections, searches and seizures as authorised by the Act and by the regulations of the Board. More specifically, Section 27 of the Act empowers the Board to gather such information from any source or person regarding the suitability of their applicant to hold a licence and the suitability of the premises in respect of which the application has been made.
3. Section 25(b) of the Mpumalanga Gaming Act, 1995 provides that any person who submits an application to the Board under Section 24 shall be liable for and pay to the Board all reasonable direct expenses incurred by the Board to conduct the necessary investigations referred to in Section 27. Section 25(a) provides that the prescribed fee is payable to the Board on the submission of such an application.

Receipt of Notice

Acknowledged on Behalf of \_\_\_\_\_

(NAME OF

ENTERPRISE)

Date: \_\_\_\_\_ By: \_\_\_\_\_

[Type] Name \_\_\_\_\_

Title  
\_\_\_\_\_





