

**EASTERN CAPE  
GAMBLING BOARD**

**APPLICATION FOR RACECOURSE LICENCE**

## APPLICATION INSTRUCTIONS

1. This application form is to be completed by any person who wishes to apply for a racecourse licence.
2. 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 and the CEO shall not be obliged to publish any incomplete or inaccurate Application.
3. Applications shall be prepared in accordance with the guidelines contained in this form and shall be consistent with the following:
  - 3.1 The Board will require the Application to be prepared under the leadership of an experienced and committed Lead Applicant. The Applicant shall identify the Lead Applicant and provide a resolution of the Shareholders of the Applicant as proof of his/her authority;
  - 3.2 The Lead Applicant shall be the only person authorised to make statements on behalf of and receive instructions for and on behalf of the Applicant;
  - 3.3 Facsimiled or e-mailed proposals will not be accepted;
  - 3.4 Any natural person who is a Shareholder of the Applicant and who has successfully been investigated and issued with a licence or certificate of suitability by the Board within the last five (5) years prior to the submission of this application is not required to complete a PHD form, provided that the natural person attach a duly completed LA 7;
  - 3.5 Any juristic person who is a Shareholder of the Applicant and who has successfully been investigated and issued with a certificate of suitability by the Board within the twelve (12) months prior to the submission of this application is not required to complete a BHD provided that the juristic person has complied with all the requirements of the application form;
  - 3.6 Any juristic person who is a Shareholder of the Applicant and who has successfully been investigated and issued with a certificate of suitability by another Provincial Licensing Authority, is required to attach a duly completed BHD form and to comply with all the requirements of the application form;
  - 3.7 All Persons issued with a national licence by the National Gambling Board or in possession of a licence issued by another Provincial Licensing Authority must attach (i) a certified copy of the licence; (ii) a copy of the application submitted to the National Gambling Board or the responsible Provincial Licensing Authority; and (iii) authorisation to release information in the name of the Board.
4. The premises must be zoned for a racecourse licence or gambling related activities and the other land uses envisaged in the Application. It is anticipated that the special consent of the municipality where the racecourse will be located will be required in order to comply with the aforesaid. The zoning certificate and the special consent (if applicable) shall be provided by the Applicant concerned at least seven (7) days prior to the date of the public hearings of the application.
5. For the purposes of this application, the below definitions shall apply:

- a) **“Applicant”** a company, duly incorporated in terms of the Companies Act, No. 71 of 2008, and in compliance with section 19 of the Act, who has responded to apply for a Licence by submitting an application for racecourse licence (LA5) and paid the applicable fees;
  - b) **“Lead Applicant”** The Person authorised by the Persons and/or Enterprises constituting the Applicant to sign its Proposal and bind the members of that Applicant;
  - c) **“Local Inhabitant”** A Black Person who is a permanent resident of the Province or whose primary residence is located in the Province;
  - d) **“Local PDI(s)”** means a Black Person who is a permanent resident of the Province or whose primary residence is located in the Province;
  - e) **“Black People”** means Previously Disadvantaged Individuals (PDIs);
  - f) **“PDI(s)”** is a generic term which means Africans, Coloureds and Indians—
    - i. who are citizens of the Republic of South Africa by birth or descent; or
    - ii. who became citizens of the Republic of South Africa by naturalisation —
      - occurring before 27 April 1994; or
      - occurring on or after 27 April 1994 and who would have been entitled to acquire citizenship by naturalisation prior to that date.
  - g) **“Province”** the Eastern Cape Province as recognised in section 103(a) of the Constitution;
6. Answer every question fully and truthfully. Do not leave any blank spaces. If a question does not apply to you, indicate N/A (for “Not Applicable”) in response to that question. If there is nothing to disclose about a particular question, write “None”.
7. Sign the Statement of Truth and all Release Authorisation Forms in the presence of a notary public and have both your signatures notarised.

#### IMPORTANT NOTICE

1. You must immediately notify the Eastern Cape Gambling Board of any change of address. All notices regarding this application will be sent to the address that you provide on this form.
2. Any person who applies to the Board for a licence as a racecourse is required to submit to searches without a warrant when present on licensed premises pursuant to section 76(1) of the Eastern Cape Gambling Act, 1997 (Act No. 5 of 1997) (as amended) (“the Act”).

## 8. Confidentiality

In terms of section 25 of the Act, any application, representations, responses and further information lodged in terms of sections 20 to 24 of the Act, shall be open to public inspection within fourteen (14) days of their lodgement for a period of 3 months and the period specified in the Act from the date of publication of the section 21 notice by the CEO.

The Board has determined in terms of section 25(2) of the Act, that:

- (a) any document or information relating to the financial capacity of any person participating in an Application, to the names of prospective employees or to the business plans of an Applicant, shall not be open to public inspection: Provided such information can be separated from the remainder of the Application and is marked “confidential”; and
- (b) the identity of any person who lodged representations in relation to an Application shall not be divulged to any other person.

Applicants must give reasons for any information they regard as confidential. In the interests of transparency, honesty and openness, Applicants shall keep to the absolute minimum information to be categorised as confidential.

By submitting application, an Applicant agrees that it shall not be entitled to any information disclosed by another Applicant to the Board which the Board has determined to be of a confidential nature.

The content and details of the evaluation of Applications will remain confidential to the Board. The Board shall be entitled to disclose, in the appropriate manner, confidential information contained in its investigation reports and reasons for approving an Application.

Unless required by law, Applicants shall not issue a news release or make any public announcement pertaining to the details of their Proposals or other Proposals or the Process without prior written approval of the Board.

Any information, relating to the application, received by the Applicants, through the Application process or otherwise, shall be treated in strict confidence.

Applicants, its officers, employees, agents, advisors and representatives shall use this form solely for the purpose of considering, developing and preparing the application and for no other purpose whatsoever. Applicants shall not divulge or distribute any information contained in the application to any third party without the prior written approval of the Board.

Subject to the provisions of the Act, the Board and its advisors undertake to keep confidential all information received from an Applicant which is clearly identified as confidential in the application, and which is not excused from confidentiality. It is a condition that the Applicant provides the Board with a written undertaking in its application to indemnify the Board in respect of any losses suffered by the Board in it refusing to disclose the relevant material or data to any person seeking access thereto. Failure to include such an undertaking shall be deemed to be a waiver of the Applicant's right to exemption from disclosure and shall constitute authorisation to the Board to provide copies of material/ data forming part of the application to third parties on due request therefor.

## 9. Fee payments and costs

The non-refundable Application fee for a Licence is **R1 500.00**.

An initial investigation deposit of **R65 000.00** will be required from the Applicant for a Licence presented with the submission of its Application in respect of the Board's reasonable fees and expenses to conduct the investigation as contemplated in section 20(5) of the Act (including, but not be limited to, the fees and expenses of the members of the Board). The Board reserves the right to request additional deposits from the Applicant.

All payments must be made by electronic transfer, no cash or cheques will be accepted. The Applicant shall ensure that the funds are cleared into the bank account of the Board, by no later than three (3) days prior to the date of submission. Any Application not accompanied by proof of payment of the above Application fee and investigation deposit will be rejected outright.

## 10. Validity of Licence

This Licence shall subsist from the date of issue subject to compliance with the Act, the terms and conditions imposed by the Board in terms of the Act, and any applicable legislation.

## 11. Essential Minimum Requirements (EMR's)

The Table below covers the EMRs in each of the evaluation areas which must be satisfied. Applicants must submit an application which meets the EMRs listed below and, which responds to all information requested. Applicant shall satisfy the Board that it complies with the EMRs, setting out the relevant information in support of this.

Evaluation area	Essential Minimum Requirement
<b>General</b>	<ul style="list-style-type: none"> <li>○ Completion of Appendix B (Affidavit) by all Persons claiming to be PDIs;</li> </ul>
<b>Technical</b>	<p>The Applicant shall attach a technical proposal that shows the integration of the design, sustainability and operational aspects of the licensed activities which entail the following:</p> <ul style="list-style-type: none"> <li>(a) Minimum investment of amount for each branch or agent; ;</li> <li>(b) and</li> <li>(c) Parking Facilities ;</li> </ul>
<b>Financial</b>	<p>The Applicant must provide, as a minimum response, the following:</p> <ul style="list-style-type: none"> <li>○ Financial projections for the duration of the licence period ;</li> </ul>
<b>Legal</b>	<p>The Applicant must provide, as a minimum response, the following:</p> <ul style="list-style-type: none"> <li>○ proof that the Applicant is a company, duly incorporated in terms of the Companies Act, No. 71 of 2008, and in compliance with section 19 of the Act;</li> </ul>

Evaluation area	Essential Minimum Requirement
	<ul style="list-style-type: none"> <li>○ a demonstration of which of the Equity Members are the sponsor members of the Applicant;</li> <li>○ Share certificates of all Shareholders in the Applicant and of all Shareholders in the Equity Members;</li> <li>○ Detailed description of the Sites including, but not limited to an aerial photograph or Google image indicating the Site and the vicinity of places of worship, schools and residential areas;</li> <li>○ Proof from the local authority in the format of a zoning certificate and a special consent (where applicable) that the Site is zoned for a racecourse or gambling activities and the other land uses envisaged in the application.</li> <li>○ GPS coordinates of the proposed Sites;</li> <li>○ Proof that Applicant will be the sole owner or principal tenant of the Site for the duration of the Licence and must provide the following: <ul style="list-style-type: none"> <li>▪ Title deed of the proposed Site;</li> <li>▪ Valid and enforceable lease agreement (if applicable);</li> <li>▪ Disclosure relating to any litigation, claim (including a land claim) or right relating to the Sites;</li> </ul> </li> </ul>
<b>Target Groups</b>	<p>As a public entity, the Board upholds and promotes the principles enshrined in the legislation pertaining to Black Economic Empowerment and as such, will seek to ensure commitment to, adherence and compliance to BBBEE legislative provisions.</p> <p>Therefore, in addition to the other elements of BBBEE requirements the following minimum requirements are obligatory and the Applicant must provide, as a minimum response, the following:</p> <ul style="list-style-type: none"> <li>○ Applicant equity, including: <ul style="list-style-type: none"> <li>▪ a minimum of 26% effective economic interest of the total shareholding constituting of PDIs</li> <li>▪ how the equity for the PDIs will be funded;</li> <li>▪ list of proposed key personnel and management of the Applicant; and</li> <li>▪ structure of, membership and positions of the Board of directors of the Applicant and the participation of the Black Shareholders.</li> </ul> </li> </ul> <p>In the event that the Applicant appoints a separate Racecourse Operator, the Applicant shall demonstrate that at least 26% of the total Management Fee accrues to PDI shareholders and the submission of a written agreement to that effect.</p>

Evaluation area	Essential Minimum Requirement
	Note: The shareholding referred to under this criterion is meant for any type of business ownership with the exclusion of community trusts.
<b>SED</b>	The Applicant must provide, as a minimum response, a commitment to an annual contribution of 1% of its Gross Gaming Revenue to the Board for SED for the duration of the Licence Period.
<b>Additional mandatory requirements</b>	<p>The Applicant must provide the following for the Applicant and all Shareholders with an effective financial interest of five (5) percent or more in the Applicant regardless of dormancy:</p> <ul style="list-style-type: none"> <li>○ Valid SARS pin or tax clearance certificates;</li> <li>○ Business history disclosure (in the case of an Enterprise): Applicants shall complete all information as per Appendix F; and</li> <li>○ Personal history disclosure (in the case of a Natural Person): Applicants shall complete all information as per Appendix G.</li> </ul>

RACECOURSE LICENCE APPLICATION

I, \_\_\_\_\_ on behalf of the applicant hereby apply in terms of the Gambling Act, 1997 (Eastern Cape), for a racecourse licence and confirm being aware of and understanding the provisions of the said Act and Regulations, insofar as they pertain to this application.

Full name of applicant \_\_\_\_\_  
\_\_\_\_\_

Physical business address \_\_\_\_\_  
\_\_\_\_\_

Postal address \_\_\_\_\_  
\_\_\_\_\_

Telephone number \_\_\_\_\_

Telefax number \_\_\_\_\_

E-Mail address \_\_\_\_\_

For and on behalf of the applicant

\_\_\_\_\_  
Date

\_\_\_\_\_  
(who warrants his authority)

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Capacity of signatory

**APPLICATION FOR RACECOURSE LICENCE**

Provide current licence number (if applicable):

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Provide previous licence numbers (if applicable):

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NAME AND REGISTRATION NUMBER OF ENTERPRISE

<p>_____                  *Name as appears on or in the certificate of incorporation, memorandum of incorporation, or other official document. DO NOT ABBREVIATE</p>
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TRADE NAME(S)

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Person to be contacted with reference to these forms:

NAME	
TITLE	TELEPHONE NO. (INCLUDE AREA CODE)

The principal business address of the enterprise:

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

The addresses from which the enterprise is or will be conducting any business and which the applicant requires to be licensed:

**ADDRESS 1**

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

**ADDRESS 2**

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

**ADDRESS 3**

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

**ADDRESS 4**

STREET LOCATION (NUMBERS/STREET)	CITY	PROVINCE/STATE	POSTAL CODE
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COUNTRY	TELEPHONE NO. OF THIS LOCATION (INCLUDE AREA CODE)
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**ADDRESS 5**

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

**ADDRESS 6**

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

**ADDRESS 7**

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

**ADDRESS 8**

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

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

- A. List all other names and registration numbers under which the Applicant has conducted business, and give approximate periods of time during which such names were in use.

NAME	REGISTRATION NUMBER	FROM	TO

- B. State all other addresses currently occupied/held by the Applicant and all addresses from which the enterprise is currently conducting 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 (10) years, and give the approximate periods of time during which such addresses were occupied/held.

NUMBER AND STREET	CITY	PROVINCE	POSTAL CODE	FROM	TO

**ITEM 2. DESCRIPTION OF APPLICANT**

- A. Specify the business form of the Applicant

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- B. Attach a copy of the certificate of incorporation and all amendments, the charter, by-laws, memorandum, founding statement or other basic documentation of the Applicant, if any.

**ITEM 3. DESCRIPTION OF PRESENT BUSINESS**

Describe the business done and intended to be done by the Applicant and its parent, holding, subsidiary and intermediary companies and the general development of that business during the last five (5) years or the shorter period the Applicant 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 Applicant, if known.
- B. The principal goods and services provided by the Applicant and its parent, intermediary, and subsidiary companies, the principal markets for those products or services and the methods of distribution.
- C. The importance to the business and the duration and effect of all concessions held.

**ITEM 4. DESCRIPTION OF FORMER BUSINESS**

Describe any former business not listed in response to ITEM 3, which the Applicant 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 period of time during which each such business was conducted.

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

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 company, 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.

ORDINARY SHARES	PAR VALUE	NUMBER
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

PREFERENCE SHARES	PAR VALUE	NUMBER
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

OTHER (INCLUDING OPTIONS)		
_____	_____	_____
_____	_____	_____
_____	_____	_____

**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, in respect of each person or entity holding or having a beneficial interest in any non-voting stock issued by the company.

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.

**ITEM 7. QUALIFIERS**

Please indicate all persons or entities in your Applicant that correspond to the sub-items listed below. If any of sub-items A to K do not apply, please indicate N/A (for “Not applicable”) directly on this form.

**NOTE 1: A PERSONAL HISTORY DISCLOSURE FORM MUST BE COMPLETED BY EVERY PERSON NOTED IN SUB-ITEMS A TO D.**

**NOTE 2: A PERSONAL DISCLOSURE FORM OR BUSINESS HISTORY DISCLOSURE FORM MUST BE COMPLETED BY EVERY PERSON NOTED IN SUB-ITEM F AND G.**

**NOTE 3: A PERSONAL HISTORY DISCLOSURE FORM OR BUSINESS HISTORY DISCLOSURE FORM MUST IN ADDITION BE COMPLETED BY EVERY PERSON LISTED IN SUB-ITEM E IF SUCH PERSON DOES NOT FALL INTO SUB-ITEMS A TO D.**

**NOTE 4: THE BOARD MAY, AT ITS DISCRETION ORDER ADDITIONAL PERSONS ASSOCIATED WITH THE ENTERPRISE TO FILE THE APPROPRIATE DISCLOSURE FORM IF IT APPEARS THAT SUCH PERSON SHOULD BE QUALIFIED IN ORDER TO CARRY INTO EFFECT THE PURPOSES OF THE EASTERN CAPE GAMBLING ACT AND THE REGULATIONS THERETO.**

**NOTE 5: IT IS NOT NECESSARY FOR PERSONS REFERRED TO IN NOTE 2 WHO ALSO FALL INTO NOTE 3 TO COMPLETE TWO SETS OF FORMS.**

**NOTE 6: WHERE APPLICATIONS FOR REGISTRATION OF KEY PERSONS OR GAMBLING EMPLOYEES ACCOMPANY THIS APPLICATION -**

- (A) PERSONS SET OUT IN SUB-ITEMS A TO C SHALL APPLY FOR REGISTRATION AS KEY PERSONS.**
- (B) PERSONS SET OUT IN SUB-ITEM D SHALL APPLY FOR REGISTRATION AS GAMBLING EMPLOYEES.**
- (C) IT SHALL NOT BE NECESSARY FOR PERSONS REGISTERED AS KEY PERSONS TO SIMULTANEOUSLY BE REGISTERED AS GAMBLING EMPLOYEES.**
- (D) AN APPLICANT FOR REGISTRATION AS A KEY PERSON OR GAMBLING EMPLOYEE SHALL ONLY NEED TO FILL IN ONE PERSONAL HISTORY APPLICATION FORM I.E. THAT ACCOMPANYING HIS OR HER APPLICATION FOR REGISTRATION AS A KEY PERSON OR GAMBLING EMPLOYEE.**

**NOTE 7: WHERE APPLICATIONS FOR REGISTRATION AS KEY PERSONS OR GAMBLING EMPLOYEES BY PERSONS REFERRED TO IN SUB-ITEMS A TO D DO NOT ACCOMPANY THIS APPLICATION, EACH APPLICANT FOR REGISTRATION AS A KEY PERSON OR GAMBLING EMPLOYEE SHALL SUBMIT A SECOND PERSONAL HISTORY DISCLOSURE FORM WITH HIS OR HER APPLICATION FOR SUCH REGISTRATION.**

**A All officers of the Applicant.**

**B All directors or trustees of the Applicant.**

**C In the case of a Close Corporation, all members of such Close Corporation.**



**ITEM 9. FORMER OFFICERS AND DIRECTORS**

Furnish the information indicated below for each person not listed in response to item 7, who has held position as an officer/director or trustee of the enterprise or in the case of a close corporation, a member of such close corporation, over the last ten (10) years:

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

**ITEM 10. REMUNERATION OF OFFICERS, DIRECTORS, MEMBERS 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, officer, or in the case of a close corporation, a member 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





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 option holders became, or will become, entitled to exercise the options, and when such options expire.

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\* *For the purposes of this application, "option" means right, warrant or option to subscribe to or purchase any securities issued by the corporate entity.*

**ITEM 13(ii)**

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

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

Describe the nature and 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 Applicant, which mature more than one year from the date of issue or which, according to their terms, are renewable for a period of more than one (1) year from the date of issue.

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**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 Applicant, which mature more than one (1) year from the date of issue or which, according to their terms, are renewable for a period of more than one (1) year from the date of issue.

NAME AND ADDRESS	DATE OF BIRTH	TYPE AND CLASS OF DEBT INSTRUMENT HELD	AMOUNT IN RANDES OF DEBT HELD (Both original amount and current balance)
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**ITEM 16. OTHER INDEBTEDNESS AND SECURITY DEVICES**

Describe the nature, type and 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 Applicant, 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.

<b>NAME AND ADDRESS</b>	<b>DATE OF BIRTH</b>	<b>TYPE OF DEBT INSTRUMENT HELD</b>	<b>AMOUNT IN RANCS OF DEBT HELD (Both original amount and current balance)</b>

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**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 Applicant has or has had an account over the last ten (10) years, regardless of whether such account was held in the name of the enterprise or a nominee of the enterprise or was otherwise under the direct or indirect control of the Applicant.

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

**ITEM 19. CONTRACTS AND SUPPLIERS**

Furnish the information indicated in the table below in respect of all persons with whom the Applicant 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 (6) months.

Employment contracts need only be listed if, according to their terms, they exceed one year's duration.

NAME	ADDRESS	NATURE OF CONTRACT OR GOODS OR SERVICES SUPPLIED

**ITEM 20. STOCK HELD BY ENTERPRISE**

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

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

**ITEM 21. INSIDER TRANSACTION (CORPORATE ENTITY)**

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 corporate entity on the part of any person who is indirectly or directly a beneficial owner of more than 5% of any class of equity security of the corporation, or who is, or was, a director or an official of the corporation within that period. [Include changes resulting from (a) a gift, (b) a purchase, (c) a sale, (d) the exercise of an option to purchase, (e) exercise of an option to sell, or (f) another transaction.]

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

**ITEM 22. CRIMINAL HISTORY**

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

**DEFINITIONS: For the purposes of this question:**

- (a) "Charge" includes any indictment, complaint, information, summons, or other notice relating to the alleged commission of any "offence".
- (b) "Offence" includes all felonies, crimes, disorderly persons' offences, and petty disorderly offences.

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

- (a) The enterprise did not commit the offence with which it was 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 the records relating to the charges have been expunged by court order.**
- 3. Attach a copy of the expungement order to this application, labelled ITEM 22.**

"Has the Applicant, 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 OR COURT INVOLVED	OUTCOME (ACQUITTED), CONVICTED, DISMISSED, ETC.)	SENTENCE

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

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

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

A. Has the Applicant or its parent company 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 in the last ten (10) years?

- Yes
- No

IF YES, PROVIDE DETAILS:

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B. Has the Applicant or its parent company or any affiliated company sought relief under any provision of any Bankruptcy Act or any state insolvency law in the last ten (10) years?

- Yes

No

IF YES, PROVIDE DETAILS:

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C. Has any receiver, fiscal agent, trustee, recognition trustee or similar officer been appointed, in the last ten (10) years, by a court for the business or property of the Applicant or its parent, holding affiliate or subsidiary companies?

Yes

No

IF YES, COMPLETE THE TABLE BELOW:

NAME OF PERSON APPOINTED	DATE APPOINTED	COURT	REASON

**ITEM 25. EXISTING LITIGATION**

Describe all existing civil litigation at equity and law to which the Applicant or any subsidiary is currently a party, 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 must 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. In the last ten (10) years, has the Applicant 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 YES, COMPLETE THE TABLE BELOW:

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

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

Yes

No

If the response to Item 26B is yes, complete the table below:

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

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

A. In the last ten (10) years, has the enterprise, any director, officer, or employee or any third party acting for or on behalf of the Applicant 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. In the last ten (10) years, has the Applicant, any director, officer or employee or any party acting for or on behalf of the Applicant offered any bribes or kickbacks to any government official, either domestic or foreign, to obtain favourable treatment?

Yes

No

IF YES, PROVIDE DETAILS:

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C. In the last ten (10) years, have the Applicant 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. In the last ten (10) years, has the Applicant 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. In the last ten (10) years, has the Applicant made or granted any loans, donations or other disbursements to directors, officers 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. In the last ten (10) years, has the Applicant maintained any bank account or any account in the name of a nominee for the company or close corporation?

- Yes
- No

IF YES, PROVIDE DETAILS:

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G. In the last ten (10) years, has the Applicant maintained any numbered account or any account in the name of the Applicant?

- Yes
- No

IF YES, PROVIDE DETAILS:

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H. List the names and addresses of any present or former directors, officers 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 three (3) years with regard to the Applicant and label them ITEM 28A. Include any holding company exception taken to such statements, and management’s response thereto.
- B. If the Applicant does not normally have its financial statements audited, attach as an appendix to this form all unaudited financial statements prepared in the last three (e) years with regard to the Applicant. (If the Applicant has neither audited nor unaudited financial statements prepared, please note this below this paragraph.

**ITEM 29. ANNUAL REPORTS**

Attach, as an appendix to this form, a copy of all annual reports of the Applicant which have been submitted to shareholders, members or other persons over the last three (3) years.

**ITEM 30. QUARTERLY REPORTS**

Attach as an appendix to this application, a copy of all quarterly financial statements prepared by or for the Applicant, if any, since the last annual report noted in Item 30.

**ITEM 31. INTERIM REPORTS**

Attach as an appendix to this application, a copy of all reports prepared following the occurrence of any of the following events: Change in control of the Applicant, acquisition or disposal of assets, bankruptcy or receivership proceedings, changes in the Applicant’s independent auditors, or other material events.

**ITEM 32. REPORTS OF ACCOUNTANTS**

Attach 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 three (3) years by independent auditors for the enterprise, which pertain to the issue of financial statements, managerial advisory services, or internal control recommendations.

**ITEM 33. FINANCIAL STRENGTH**

Applicants shall provide as an appendix hereto:

- A. The three (3) most recent audited or reviewed AFS (whichever is legally applicable) for all Enterprises and AFS or tax returns for Persons holding more than an effective 5% shareholding in the Applicant, and an interim report if this is more recent than the most recent AFS.
- B. The three (3) most recent audited or reviewed AFS (whichever is legally applicable) for all Enterprises and AFS or tax returns for Persons contracting to the Applicant (e.g. entertainment, hotel).
- C. For all dormant Enterprises, an auditor's confirmation of dormancy or a confirmation that the Enterprise is not subject to any undisclosed or contingent liabilities.

**ITEM 35. FINANCING STRUCTURE AND ACCESS TO CAPITAL RESOURCES**

Applicants shall, as an appendix hereto:

- A. For all companies having a direct holding in the applicant, specify the nature, terms and conditions of all debt financing and details of all other financial commitments, including letters of commitment from financiers for the full debt requirements.
- B. Provide names of contactable representatives of all financiers of the applicant, financially responsible shareholders and members and empowerment vehicles.
- C. Provide the proposed capital structure of applicant.
- D. Specify whether any of the project capital expenditure is based on cash flows from the gambling business, and detail secondary sources of funding if the primary cash flows fail.
- E. Specify and schedule the ultimate source of all funding for the gambling business.
- F. Give comprehensive details of commitments for intended funding or funding of previously disadvantaged individual shareholders' contribution to equity, including sources, terms and conditions relating to it.

**ITEM 36. SUITABILITY OF GUARANTEES**

Applicants shall as an appendix herein specify whether any party other than financially responsible shareholders or members of the applicant have committed a deposit, line of credit or any other form of guarantee for the financing of the business and detail the terms and conditions of the guarantees, particularly in relation to the control of the applicant.

**ITEM 37. MANAGEMENT AND ACCESS TO EXPERTISE AND EXPERIENCE OF APPLICANTS**

Applicants shall provide an organizational chart of the applicant which includes position descriptions and the names of persons holding such positions and details of their access to operating expertise in terms of:

- A. Their experience in managing and operating the business of a racecourse and demonstrate how this experience and expertise will be applied.
- B. The persons (including all directors, executives, principal officers, associates and consultants) associated with the entities who will be responsible for the operation of the racecourse business.
- C. The relationship between themselves and such persons.
- D. The agreements governing these relationships.
- E. Any consultants contracted to perform specific tasks.
- F. Any proposed commitment or participation in other significant racecourse operations that have been entered into or are being contemplated over the next two years.
- G. The applicant shall outline in broad terms internal controls planned to be incorporated in the racecourse operations which shall be consistent with internationally accepted standards. (The Board will adopt certain minimum requirements for internal controls to be incorporated in all racecourse operations in the Eastern Cape, which shall be consistent with internationally accepted standards.)

**ITEM 38. STRATEGY AND OBJECTIVES**

Applicants shall:

- A. State the overall mission of the racecourse business and define its business and geographic area of operations.
- B. Describe the projected business environment, including external forces, which are expected to impact upon the business.
- C. State the critical objectives of the racecourse business and the critical success factors for the achievement of each of the objectives (i.e. activities that need to be performed well to achieve the stated objectives). Also, applicants shall state the significant business risks which threaten the achievement of the stated objectives.
- D. Describe the corporate strategy adopted to achieve the objectives and the key performance indicators that will be used to monitor the achievement of the critical success factors.

**ITEM 39. SITE LOCATION AND SIZE**

- A. Applicants shall describe the overall design of each of the proposed premises from which the applicant intends to conduct racecourse operations in terms of:
  - i its size and prominence in terms of location and visibility; and
  - ii nearby land uses.
  - iii Proximity to other gambling establishments
- B. Site and locality plans, including a floorplan of the premises indicating those portions on which racecourse activities shall be conducted and which need to be licensed, shall be provided.
- C. Plans or maps showing how the racecourse business fits into surrounding areas are to be provided.
- D. Details shall be provided regarding the current ownership of the premises. Evidence of pre-contracts, guarantees or options regarding site availability shall be provided, together with any potential legal (e.g. potential land restitution claims) or physical impediments to site occupation and development.
- E. A copy shall be provided of any lease agreements for the lease of the premises.
- F. The current status of negotiations in respect of land and/or buildings, if applicable, shall be disclosed.
- G. Local authority comments on land rights shall be provided.
- H. The Board's development and design objectives for racecourse premises will best be achieved by premises that provide for all facilities to be of a quality standard sufficient to satisfy the expectations of local citizens. This would include adequate public facilities.
- I. Applicants should summarise how their racecourse business on those premises is likely to impact on the surrounding neighbourhood environment and land uses.

**ITEM 40.       DECLARATION**

Pursuant to the regulations of the Board, this form must be sworn to or affirmed by the Applicant or an authorised representative of the Applicant.

**DECLARATION**

I, \_\_\_\_\_ the

authorized representative of the Applicant, hereby acknowledge that I am aware that the Board may deny a licence or registration 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 swear (or affirm) that the foregoing statements made by me on behalf of the Applicant are true. I am aware that if any of the foregoing statements made by me are wilfully false, I will be subject to the penalty attendant upon perjury.

**ITEM 41.       RELEASE AUTHORISATION - NOTICE**

Each Applicant or representative thereof must acknowledge the release of information and notice below.

A copy of the resolution by the company or close corporation authorising the person referred to above must be attached hereto.

### RELEASE AUTHORISATION

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

On behalf of the Applicant,

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

authorised the Eastern Cape Gambling Board to conduct a full investigation into the background of the said Applicant.

Therefore, you are hereby authorised to release any and all information pertaining to that Applicant, either documentary or otherwise, as requested by any employee or agent of the Eastern Cape Gambling Board, provided that he or she certifies to you that Applicant has an application pending before the Eastern Cape Gambling Board or that that Applicant is currently a licence holder or registrant required to be qualified under a provision of the Gambling Act, 1997 (Act No. 5 of 1997)(Eastern Cape), or has an application pending before the Eastern Cape Gambling Board.

This authorisation supersedes or countermands any prior request or authorisation to the contrary.

### NOTICE

1. Information supplied to the Board or otherwise obtained by it is confidential and may not be revealed, except in the course of administering the Gambling Act, 1997 (Act No. 5 of 1997) (Eastern Cape) or upon the lawful order of a court of competent jurisdiction. Nevertheless, an applicant or a licence holder or registrant exempts the Eastern Cape Gambling Board and its instrumentality and agents from 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 Gambling Act, 1997 (Act No. 5 of 1997)(Eastern Cape), is subject to inspections, searches and seizures as authorised by the Act and by the Eastern Cape Gambling Regulations. More specifically, section 4(1) of the Act empowers the Board to gather information from any source or person regarding the suitability of the applicant to hold a licence or be registered and the suitability of the premises in respect of which the application has been made.
3. In terms of Regulation 13 of the Eastern Cape Gambling Regulations, 1998, any person who submits an application to the board for registration shall be liable for and pay to the board all expenses incurred by the board in investigating the applicant : Provided that in the case of employee registrations, the employer shall pay the investigating expenditure but the employee will be liable to the employer for one half of the expenses should he leave the employ of the employer within six (6) months.

Receipt of notice acknowledged on behalf of the Applicant:

\_\_\_\_\_  
(Name)