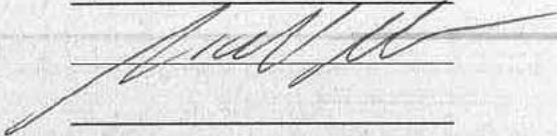


Key Persons Suitability Check

This coversheet **MUST** be attached to the Application for each Key Person having suitability checks processed on them.

Date Received:	07-OCT-2011
Responsible Officer:	NIALL MILLER
Licence Track Application Number:	2056880
Name of Corporate Society:	NEW ZEALAND RACING BOARD
Current Operator's Licence Number: GM2054364	
Key Persons	1 E
Names of key persons:	FERGUSON, Maria Lee
Venue key person?	VENUE MANAGER
If YES, name of venue: address of venue:	TAB NEW LYNN GMV200242 2/3041 Great North Road, New Lynn, Waitakere City
Correct venue number?	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Has a PI form been fully completed and signed by the key person?	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
Licence Track search satisfactory?	9(2)(a)
SiD search satisfactory?	
Conflict of roles identified?	
Identified as banned director or manager?	
Comments:	
Current venue manager with lion (Since 04/02/2009). Previous venue manager of TAB LINCOLN ROAD GMV 2000243 FROM 17/09/2010 – 20/04/2011	

Adversity Check	1
Does one or more pieces of information on the Personal Information Form, Licence Track and/or SiD <i>definitely</i> indicate that the person does not meet the suitability criteria?	9(2)(a)
Does a check of the Personal Information Form, Licence Track and SiD show (on face value) that the key person meets the suitability criteria?	
Does a check of the Personal Information Form, Licence Track and SiD show that the key person meets most of, but not all of the suitability criteria? If YES, is it not certain how relevant or serious the adversity is to simply judge them unsuitable?	
Comments:	
Licence cancelled, suspended, or an application for renewal refused under previous gaming Acts	
Response to question: "Have you ever been refused a gambling or liquor licence, or had a gambling licence cancelled, or been a member of an executive committee of a group or organisation, which has been refused a gambling or liquor licence, cancelled for whatever reason?" If NO, is there any conflicting information on database searches or other checks?	
Comments:	
Receivership, liquidation, or bankruptcy	
Response to question: "Have you ever been disqualified or prohibited from being a director, or taking part in the management of a company in NZ or elsewhere?" If NO, is there any conflicting information on database searches or other checks?	
Response to question: "Are you or have you been directly, or indirectly, involved in the management of any company that is, or was, at any time, in receivership or liquidation?" If NO, is there any conflicting information on database searches or other checks?	
Response to question: "Are you or have you ever been, bankrupt or subject to any order or arrangement under the bankruptcy or insolvency laws of any country?" If NO, is there any conflicting information on database searches or other checks?	
Comments:	

Relevant offence or past compliance	1	
<p>Response to question: "Have you ever been convicted of a criminal offence in any country?"</p> <p>If NO, is there any conflicting information on police report?</p>	9(2)(a)	
<p>Response to question: "Have you ever breached or been convicted of any offence under the Racing Act 2003 or the Racing Act 1971?"</p> <p>If NO, is there any conflicting information on database searches or other checks?</p> <p>Comments:</p>		
Financial position of the applicant and credit history of the applicant and each key person		
<p>Do the Level 2 checks indicate the:</p> <p>Financial position of the key person is sound?</p> <p>The credit history of the key person is sound?</p> <p>Comments:</p>		
Any of the above matters that occurred outside NZ		
<p>Has any of the above been disclosed relating to overseas matters, or do investigations lead you to believe that the key person may have a history of adversity internationally?</p> <p>If YES, talk to Intelligence Unit.</p> <p>Comments:</p>		
Compliance Check		1
Is Compliance satisfied with the details of the application?		<input type="checkbox"/> YES <input type="checkbox"/> NO
<p>Date:</p> <p>Responsible Officer Signature:</p> <p>Checked by:</p> <p>Date:</p>	<p>26.10.11</p> 	
Comments:		

Class 3 and Class 4 Key Person Application
Personal Information

Gambling Act 2003
GC5

Office use

Application Number

2056880

Responsible Officer

Nrull

Licence Number

20 NZRB

Venue Number

2000242

DATE STAMP

Privacy Act 1993: The particulars in this form which relate to individuals are personal information under the Privacy Act. This information is required so that the Department of Internal Affairs can consider the society's application under the Gambling Act 2003.

The information will be held by the Department of Internal Affairs and may also be disclosed to the Police and other agencies, subject to the Criminal Records (Clean Slate) Act 2004. Any person about whom information is collected has the right of access to, and correction of, that information.

The information you have provided in this form, and that which is obtained from other sources is to assist in determining your suitability to be involved in the conduct of gambling in New Zealand.

NEW KEY PERSON APPLICANTS please complete PART A, PART B and if applicable PART C of this Personal Information Form.

REAPPLYING KEY PERSON APPLICANTS please complete PART A only of this Personal Information Form if the following applies to you:

You have previously completed and submitted a Personal Information Form to the Department of Internal Affairs for the purposes of the Department assessing your suitability to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003; AND

Since completing and submitting that Personal Information Form your personal situation and personal details have not changed in any manner that may affect a reassessment of your suitability by the Department to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003.

Warning about false or misleading information - Applicants completing this Personal Information Form should be aware that action may be taken should information be supplied that is false, misleading or incomplete in a material particular. Persons who submit false or misleading information may not be assessed as suitable to be involved in the conduct of gambling. Where a licence is issued and it is subsequently found that full disclosures had not been made in relation to the licensee or its key persons or that false or misleading information had been provided, the licence may be suspended or cancelled.

If your personal situation or details have changed since you last submitted a Personal Information Form you must also complete PART B of this Personal Information Form

Part A
Personal details

Title please tick Mr Mrs Ms Miss Other Gender Male Female

Surname/Family Name Ferguson All first names MARIA LEE

All other names by which you are, or have been known (please include maiden names)

Surname/Family Name 9(2)(a) All first names MARIA - LEE Title Miss

Surname/Family Name _____ All first names _____ Title _____

Preferred Surname/Family Name Ferguson Preferred First Name MARIA LEE

Occupation MANAGER NZRB - NEW LYNN

Daytime Phone (09) 8276359 Evening Phone 9(2)(a)

Fax () Mobile 9(2)(a)

Email _____ Web Address _____

Preferred Contact Method please tick Evening Phone Daytime Phone Fax Mobile Email

Date of Birth 9(2)(a) Town/City of Birth 9(2)(a)

Country of Birth 9(2)(a)

Residential Address 5 CALLUNA CRES TETARA HEIGHTS
MANUKAU CITY 2105
Suburb Town/City and Postcode

Postal Address _____
if different from above
Suburb Town/City and Postcode

[Handwritten Signature]

Class 3 and Class 4 Key Person Application
Personal Information

Gambling Act 2003
GC5

Office use

Application Number

2056880

Responsible Officer

Nrull

Licence Number

20 NR2RB

Venue Number

2000242

DATE STAMP

Privacy Act 1993: The particulars in this form which relate to individuals are personal information under the Privacy Act. This information is required so that the Department of Internal Affairs can consider the society's application under the Gambling Act 2003.

The information will be held by the Department of Internal Affairs and may also be disclosed to the Police and other agencies, subject to the Criminal Records (Clean Slate) Act 2004. Any person about whom information is collected has the right of access to, and correction of, that information.

The information you have provided in this form, and that which is obtained from other sources is to assist in determining your suitability to be involved in the conduct of gambling in New Zealand.

NEW KEY PERSON APPLICANTS please complete **PART A**, **PART B** and if applicable **PART C** of this Personal Information Form.

REAPPLYING KEY PERSON APPLICANTS please complete **PART A** only of this Personal Information Form if the following applies to you:

You have previously completed and submitted a Personal Information Form to the Department of Internal Affairs for the purposes of the Department assessing your suitability to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003; **AND**

Since completing and submitting that Personal Information Form your personal situation and personal details have not changed in any manner that may affect a reassessment of your suitability by the Department to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003.

Warning about false or misleading information - Applicants completing this Personal Information Form should be aware that action may be taken should information be supplied that is false, misleading or incomplete in a material particular. Persons who submit false or misleading information may not be assessed as suitable to be involved in the conduct of gambling. Where a licence is issued and it is subsequently found that full disclosures had not been made in relation to the licensee or its key persons or that false or misleading information had been provided, the licence may be suspended or cancelled.

I. If your personal situation or details have changed since you last submitted a Personal Information Form you must also complete PART B of this Personal Information Form

Part A
Personal details

Title *please tick* Mr Mrs Ms Miss Other Gender Male Female

Surname/Family Name FERGUSON All first names MARIA LEE

All other names by which you are, or have been known (*please include maiden names*)

Surname/Family Name 9(2)(a) All first names MARIA - LEE Title Miss

Surname/Family Name _____ All first names _____ Title _____

Preferred Surname/
Family Name FERGUSON Preferred First Name MARIA LEE

Occupation MANAGER / NZRB - NEW LYNN

Daytime Phone (09) 8276359 Evening Phone 9(2)(a)

Fax () Mobile _____

Email _____ Web Address _____

Preferred Contact Method *please tick* Evening Phone Daytime Phone Fax Mobile Email

Date of Birth 9(2)(a) Town/City of Birth 9(2)(a)

Country of Birth 9(2)(a)

Residential Address 5 CALLUNA CRES TETARA HEIGHTS

MANUKAU CITY 2105
Suburb Town/City and Postcode

Postal Address _____
if different from above

Suburb _____ Town/City and Postcode _____

Society Details (complete only if applying to be a Key Person for a Society)

Your role in relation
to Society
RW
Society Name

Current Operators Licence
Number NZGM

Venue Details (complete only if applying to be a Key Person for a Venue)

Your role in relation
to Venue (Class 4 venue only) VENUE MANAGER.

Venue Name TAB - NEW LYNN

Venue Address 3044 GREAT NORTH RD NEW LYNN
Street and Number Suburb Town/City and Postcode

Reapplying Key Person applicants ONLY (refer to notes under REAPPLYING KEY PERSON APPLICANTS on page one)

Certification

I certify that from MARIA LEE FERGLSON

insert date of completion of last PI form OR the last licence renewal date

my personal situation or details have not changed in any manner that may affect a reassessment of my suitability by the Department of Internal Affairs to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003.

Signed [Signature]

Date 30-09-2011

ALL Key Person applicants, INCLUDING those who are reapplying must also complete and sign the AUTHORISATION section on page 3 and the Declaration on page 8.

NEW applicants MUST ALSO complete Section B and, where applicable, Section C.

RW 4/10/11

ALL Key Person Applicants to Complete

Authorisation

I hereby authorise the Department of Internal Affairs to make or cause to be made, in New Zealand, or internationally whatever enquiries that the Department considers necessary to assess and continue to assess my suitability to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003.

I authorise any agency, or officer of any law enforcement agency or regulatory body in any jurisdiction to whom a copy of this authority is presented to release to the Department of Internal Affairs any information which relates to me, including information relating to my personal and criminal history for the purposes of assessing my suitability to be involved in the conduct of gambling in New Zealand under the Gambling Act 2003.

I authorise the Department of Internal Affairs if requested by any officer of any law enforcement agency or regulatory body in any jurisdiction to release any personal information to that agency for the purposes of assisting that agency to assess my suitability to be involved in the conduct of gambling in that jurisdiction. The release of personal information is subject to an agreement in writing between the Department of Internal Affairs and that agency.

I certify that:

- I have personally completed this form and have supplied all the information indicated;
- All of the information provided in Part A and Part B of this Personal Information Form is true and correct; and
- I have not provided any information that is false or misleading.

Surname/Family Name FERGUSON

All First Names MARIA LEE

Title please tick Mr Mrs Ms Miss Other

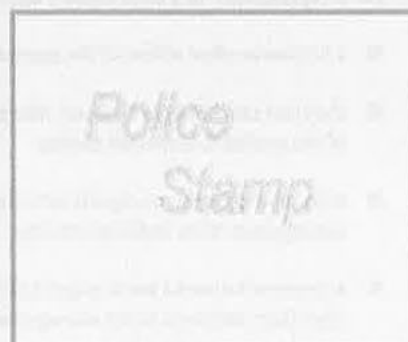
Other Surname(s)/ Family Name(s) 9(2)(a)

All Other First Names

Date of Birth 9(2)(a)

Signed [Signature]

Date 30.09.2011



[Signature]

Key Persons

When considering a class 3 or class 4 gambling licence application the Secretary for Internal Affairs has the power to assess the suitability of key persons who are involved in the conduct of that gambling. Personal Information applications for each key person in relation to that licence holder or applicant must accompany the licence application.

The Gambling Act 2003 authorises the Department of Internal Affairs to make an assessment of the suitability of people involved in a gambling operation as part of considering a licence application.

In assessing or reassessing a person's suitability to be involved in the conduct of gambling the Department is required to take into account criteria such as:

- Your criminal history, including any relevant convictions
- Your profile of past compliance with gaming legislation
- Your financial history
- Your financial position
- Your character and business reputation
- Any relevant matter raised in Police reports, or reports from other law enforcement agencies; and
- Other relevant matters.

The Department may also take into account matters of a similar nature that occurred outside New Zealand.

The Department will make an assessment of your suitability. If the Department assesses that you are suitable the Department will continue to reassess your suitability when it receives information that may indicate your suitability status has changed. If the Department's assessment finds you unsuitable to be involved in the conduct of gambling in New Zealand the Department will propose to refuse the application and/or suspend or cancel the licence to which the application relates. The licence holder or applicant has the right to make submissions to the Department, which the Department will consider before making a final assessment. The licence holder or applicant (and in the case of a class 4 venue, the venue manager and venue operator) will have the right of appeal to the Gambling Commission.

CLASS 3 GAMBLING

To apply for a NEW Licence to Conduct Class 3 Gambling the following KEY PERSONS MUST complete this form:

- the organiser of the gambling
- all officers of the society or corporate society applicant, including:
 - president
 - vice-president
 - chairman
 - secretary
 - treasurer
- anyone who exercises significant influence in the management of an applicant society.

(These key persons must be named on the Application to Conduct Class 3 Gambling)

CLASS 4 GAMBLING

To apply for a NEW Class 4 Gambling Licence the following KEY PERSONS MUST complete this form:

- a) For an application for a NEW Class 4 Operator's Licence
- a trustee or other officer of the applicant corporate society
 - the chief executive (or a person who performs that function) of the applicant corporate society
 - anyone who exercises significant influence in the management of an applicant society
 - a person who works for an organisation that exercises significant influence in the management of an applicant society, e.g. a management company.

Significant influence may include but is not limited to:

- the power to make decisions that would normally be made by the trustees, officers or senior management of the corporate society
- the power to appoint trustees, officers or senior management or to alter the society's constitution
- influencing the grants decision-making process.

b) For an application for a NEW Class 4 Venue Licence

- a venue manager
- a venue operator
- a person who is a director, shareholder, chief executive or senior manager of a venue operator
- anyone who has a significant interest in the management, ownership or operation of a venue operator.

Significant interest may include but is not limited to:

- financial or ownership interest in the venue (e.g. a shareholding)
- undertaking responsibilities or duties that would normally be undertaken by the venue manager
- the power to make decisions that would normally be undertaken by the venue manager.

(These key persons must be named on the relevant class 4 operator's or venue licence application.)

Class 3 and Class 4 Gambling:

- If any of the key people have changed, the society must submit an amendment application together with the relevant Personal Information Form(s).
- Please note that the Department may require anyone it reasonably believes to be a key person in relation to the relevant application to complete a Personal Information Form. For example, the Department may consider contracted management companies or other organisations that maintain relationships with the society, as well as any person related to these companies and organisations, to be key persons.

B. Personal History

If you answer Yes to any of the following questions, give full details in the spaces provided (below):

B.1 Have you ever been refused a Gambling or Liquor Licence or had a Gambling Licence cancelled or not renewed?

9(2)(a)

[Redacted area for B.1]

B.2 Have you been a member of an executive committee of a group or organisation which has been refused a Gambling or Liquor Licence, or had a Gambling Licence cancelled or not renewed?

9(2)(a)

[Redacted area for B.2]

B.3 Have you ever been disqualified or prohibited from being a director, or taking part in the management of a company in New Zealand or elsewhere?

9(2)(a)

[Redacted area for B.3]

B.4 Are you or have you been directly or indirectly involved in the management of any company that is, or was, at any time, in receivership or liquidation?

9(2)(a)

[Redacted area for B.4]



If so please attach a copy of the liquidator's report

[Handwritten signature]

B.5 Are you, or have you ever been, bankrupt, or subject to any order or arrangement under the bankruptcy or insolvency laws of any country?

9(2)(a)



If yes, please attach a copy of official assignee's final report

B.6 Have you ever been convicted of a criminal offence in any country (subject to the Criminal Record (Clean Slate) Act 2004)?

9(2)(a)



B.7 Have you ever breached the Gambling Act 2003, Gaming and Lotteries Act 1977, Racing Act 2003 or Racing Act 1971 subject to the Criminal Record (Clean Slate) Act 2004?

9(2)(a)



Note: For more information on the Criminal Record (Clean Slate) Act 2004 go to www.justice.govt.nz

A handwritten signature in black ink, appearing to read 'RJ 4/10/11'.

C. Key People in Relation to a Class 4 Venue Licence: Venue Manager or Venue Operator only. (This includes directors and shareholders of a Venue Operator Company)

If you are a venue manager or venue operator in relation to a Class 4 Venue Licence, please provide the following information. Otherwise, move on to the "Declaration" on page 8 of this form.

If you have no experience, history or qualifications please write "None". DO NOT leave any question blank.

C.1 Your experience in Class 4 Gambling (do not include your personal gambling):

I HAVE BEEN VENUE MANAGER FOR NZ RACING BOARD
IN NEW LYNN FOR APPROX 8 YEARS.

C.2 Your work history in the gambling industry:

AS ABOVE

C.3 Your qualifications, if any, that relate to the gambling industry:

QUALIFICATIONS AS MANAGER FOR NZ RACING BOARD

C.4 Please provide names and contact details of people prepared to provide character references (do NOT attach references):

9(2)(a)

Full Name	
Daytime contact number	
Full Name	
Daytime contact number	
Full Name	
Daytime contact number	
Full Name	
Daytime contact number	

[Handwritten Signature]

DECLARATION

To be completed by the Key Person:

I, MARIA-LEE FERRELLSON of 5 CALLUNA CRES N/CITY - MANAGER.
full name place of abode and occupation NEW LYNN TAB

solemnly and sincerely declare that:

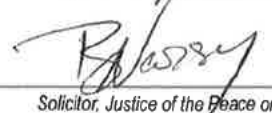
- All the details entered in, or provided with, this Class 3 and Class 4 Key Person Application Personal Information form are true and correct to the best of my knowledge.
- I understand that if I have provided information that is materially false or misleading, the society may have its licence cancelled or not renewed.
- I have read and understood the relevant regulatory requirements. If needed, I have obtained/will obtain legal advice to ensure compliance with these requirements.

And I make this solemn declaration conscientiously believing the same to be true and by virtue of the Oaths and Declarations Act 1957.

Declared at AUCKLAND this 4TH of OCTOBER 2011
place day month year

Signature 

Before me BHARAT NARSEY
full name

Signature 
Solicitor, Justice of the Peace or other person authorised to take a statutory declaration

B NARSEY 88209
 JUSTICE OF PEACE
 BLACKHOUSE BAY

Checklist - please tick



Please send the following TO YOUR APPLICANT SOCIETY:

- this completed Personal Information form (including the declaration on page 8 of this form.)
- copy of the liquidator's report (if applicable)
- copy of official assignee's final report (if applicable)

Return of Completed Form

Please RETURN this Key Person Personal Information form TO YOUR APPLICANT SOCIETY.

To find out more, visit our website www.dia.govt.nz and click on 'gambling'
or call us toll free on 0800 257 887.

New Zealand Racing Board

TAB NEW LYNN

Harm Prevention and Minimisation Procedures – Wagering and Gaming Site

Venue Name TAB NEW LYNN
Venue Address 3041 Great North Road
Waitakere City

There is **One** principal entrance into the gaming room of this venue. This entrance is in full view of the main counter so staff can monitor who is entering the gaming room at all times. There is **One Main Entrance** to this venue off **Great North Road**.

4 (Four) Surveillance cameras are located in the gaming room so staff can monitor who is in there at all times and all gaming machines have “Under 18” prohibited labels on the door surrounds.

Public notices and underage signage is clearly visible to ensure the public is aware of their responsibilities with regards to Harm Minimisation and Problem gambling.

There is also literature supplied by the New Zealand Racing Board available in the brochure holder located on the wall in the **Gaming Room** of **TAB NEW LYNN**.

1 Information

1.1 Definitions

Harm means harm or distress of any kind arising from, or caused or exacerbated by, a person’s gambling and includes personal, social or economic harm suffered:

- a) by the person; or
- b) by the person’s spouse, partner, family, whanau or wider community; or
- c) in the workplace; or
- d) by society at large.

Harm Prevention & Minimisation Regulations

means the provisions of the Racing Act 2003, the Gambling Act 2003 (and relevant subsidiary legislation such as the Racing (Harm Prevention and Minimisation) Regulations 2004 and the Gambling (Harm Prevention & Minimisation) Regulations 2004) concerned with Problem Gamblers and the prevention and minimisation of Harm.

Problem Gambler	means a person whose gambling causes harm or may cause harm.
Gaming Venue	means those NZ Racing Board agencies or branches that have gaming machines and the NZ Racing Board holds the venue licence.
Venue	means any outlet that supplies NZ Racing Board wagering services or is a Gaming Venue and includes National Office, Branches, Agencies, PubTABs, ClubTABs, Self Service and On-course facilities. Note that this definition has a wider scope than that of "Board venue" as defined in the Racing Act 2003.
Venue Supervisors	means (a) a manager, or other staff involved in the supervision of racing and sports wagering, including agents and agents staff; and (b) for Gaming Venues, a manager or other staff involved in supervising gaming at the Gaming Venue.

2 Training

2.1 Procedures

The NZ Racing Board will design a training course in conjunction with providers of problem gambling counselling services. This training programme will be reviewed and updated, if necessary, on an annual basis.

The training programme will ensure that supervisors who have attended the training know what the recognised signs of problem gambling are and will enable supervisors to:

- Approach a customer that the Venue Supervisor has reasonable grounds to believe may be experiencing difficulties relating to gambling
- Provide information to a customer about the characteristics of problem gambling (including recognised signs of problem gambling)
- Provide information to a customer about the potential risks and consequences of problem gambling
- Provide information to a customer about how to access problem gambling services
- Remind a customer that under Section 65 of the Racing Act 2003, any bet may be refused without giving any reason for doing so
- Remind a customer that he or she can identify himself or herself as a problem gambler and request that the Venue Supervisor exclude the customer from the Venue.

Training will also cover aspects relevant to gaming, in accordance with the Gambling Act 2003 and associated regulations.

The training programme will ensure that Venue Supervisors are able to comply with the NZ Racing Board's Harm Prevention and Minimisation Policy for both Wagering and Gaming.

Details of problem gambling training for staff will be held in the Harm Prevention and Minimisation Register in each Venue and by the NZ Racing Board.

Problem Gambling training is compulsory for all Venue Supervisors. All Venue Supervisors will complete refresher training at appropriate intervals. The NZ Racing Board will also require that a Venue Supervisor who has completed the problem gambling training is present at the Venue at all times when wagering or gaming activities are available.

3 Harm Prevention and Minimisation Folder

3.1 Procedures

Each Venue's Harm Prevention and Minimisation Manual will contain the following information:

- The Harm Prevention and Minimisation Policy
- Code of Practice
- The Harm Prevention and Minimisation Procedures
- Incident and Intervention forms for Wagering
- "Set Your Limits" Information sheet and forms for Wagering
- Self-Exclusion Information sheet and forms for Wagering
- Revocation Request forms for Wagering Excluded customers
- Incident and Intervention forms for Gaming
- Self-Exclusion forms for Gaming
- Manager/Venue Initiated Exclusion forms for Gaming
- Harm Prevention and Minimisation Staff Training records
- Completed Forms (Incident and Exclusion)

Each Venue will keep its Harm Prevention and Minimisation Manual confidential to the Venue Supervisors, relevant staff and the Risk, Legal & Audit Division of the NZ Racing Board, except where disclosure is required by law or to assist the NZ Racing Board with compliance with or enforcement of the Harm Prevention and Minimisation Policy and these procedures.

The Risk, Legal & Audit Division of the NZ Racing Board will maintain records of the above information, as well as:

- Copies of all completed self-exclusion and "Set your Limits" forms for Wagering
- Records of all customers the NZ Racing Board has excluded from accepting bets from under section 65 of the Racing Act 2003

- For Gaming Venues a record of all exclusion orders issued by Venue Supervisors

4 Signage and displays

4.1 Procedures

All Venues will display the following:

- A notice in the wagering and gaming areas advising customers that the Venue has a policy for identifying problem gamblers, and that a copy of the policy will be made available for viewing on request;
- Signs that encourage customers to gamble only at levels they can afford;
- Signs that contain advice about how to seek assistance for problem gambling;
- Signs stating that no person under the age of 18 is permitted to enter the gaming area or participate in gaming at the venue;
- Signs stating that no person under the age of 18 is permitted to place a wager;
- Signs stating that suitable identification will be requested if venue personnel think that a person is under 18 years old;
- The commencement date and expiry date of the class 4 venue licence;
- Contact details for the holder of the class 4 venue licence;
- Details of how and where to apply for a grant, details of where to complain if an application is unsuccessful and a statement that the law does not permit venue personnel to be involved in decisions about, or to manage or provide applications for, grants to the community;
- A notice that complaints about the conduct of gambling in the venue or the conduct of a holder of a class 4 operator's licence may be made to the Secretary;
- any other signs required by law.

All Venues will also have information about the characteristics of problem gambling (including the recognised signs of problem gambling) and how to seek advice for problem gambling available for customers.

5 Underage Gambling

5.1 Procedures

All Venues will display signage stating that suitable identification will be requested if venue personnel think that a person is under 18 years old.

For Gaming, the venue manager and staff will make every effort to enter and check the gambling area at least 4 times an Hour. A variety of factors will need to be considered when determining the number of monitoring visits per day to the gaming area. eg..the number of gaming machines, the number of players, the turnover, venue layout and other relevant factors.

Where a Venue Supervisor has reasonable grounds to suspect that a person is under 18 years of age, the Venue Supervisor must ask that person for photographic identification to prove that the person is over 18 years of age. If the person cannot produce or refuses to produce such identification, the Venue Supervisor must:

- (a) Wagering - refuse to accept bets from that person.
- (b) Gaming - not allow the person enter or remain in the gaming area or use the gaming machines. They must also refuse to pay any money won by that person.

Where money is withheld the venue must keep a record of the name and address of the person suspected to be under-age, the amount of money or prize won by that person and the date on which the money was withheld.

The person must be advised that if they provide satisfactory verification of their age within 7 days they will be able to claim the money being withheld.

Should this not occur, the funds are to be banked into the NZ Racing Board's bank account as soon as possible after the 7 days have elapsed. The Venue Supervisor will need to provide a copy of the relevant documentation for NZ Racing Board's records.

6 Identification of problem gamblers

6.1 Procedures

In all circumstances, Venue Supervisors must handle matters regarding problem gamblers discretely and with sensitivity. Venue Supervisors will always provide problem gambling information in a clear and accurate manner and in a way that avoids potential embarrassment to the customer.

Venue Supervisors must also respect customers privacy, including abiding by the provisions of the Privacy Act 1993.

If a customer wishes to talk about their gambling, a Venue Supervisor must listen to that person's concerns using the interview and listening techniques learned through Problem Gambling Training.

All Venue Supervisors must take all reasonable steps to identify people who they have reasonable grounds to believe may be experiencing difficulties related to gambling. Reasonable grounds include identifying recognised signs of problem gambling in that customer, self identification by a customer or notification of a problem by a third party, such as a customer's family or friends.

Signs that a customer may be developing or already have problems with their gambling are not always clear-cut and may be more noticeable if changes are seen in the person's betting patterns. Many signs can be explained by reasons other than gambling problems. However, as signs either multiply or become more intense, gambling problems may become a more likely explanation.

6.2 TAB Accounts

The Risk, Legal & Audit Division of the NZ Racing Board will obtain monthly reports on TAB account activity, based on the recognised signs of problem gambling.

These reports will include the following:

1. A summary of the accounts with the largest loss over the previous rolling year and rolling three month period.

2. Percentage returns – identifying account holders whose percentage of winning bets has decreased. This may be an indication of chasing losses. This report will be ranked by largest change in percentage return to indicate a change in betting pattern.
3. Total calls – identifying account holders whose percentage of calls per day to phone bet has increased, which may be an indicator of a potential problem. These account holders will be ranked by largest change in percentage of calls received per day and by highest number of calls per day.
4. Internet usage – identifying account holders whose percentage of internet usage per day has increased, which may be an indicator of a potential problem. This will be ranked by largest change in percentage of internet usage per day and by the largest internet usage per day.

The Risk, Legal & Audit Division of NZ Racing Board will use these reports to identify potential problem gamblers. Those with the highest chance of being a potential or actual problem gambler may be those people who appear in more than one of the above reports. The recognised signs of problem gambling noted above should also be taken into account when identifying actual or potential problem gamblers, as should any contact made by a third party, such as the account holder's friends or family.

6.3 Self identification

A customer may tell a Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board that they believe they have a problem with their gambling.

6.4 Third party identification

Family members or friends of a customer may also tell a Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board that they believe that a customer has a problem with their gambling. Where a third party, such as a customer's family or friends, tells the Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board that they consider a customer has a problem with their gambling, the Venue Supervisor or Risk, Legal & Audit Division of the NZ Racing Board must provide that person with information on problem gambling as set out below. It is important that the third party is advised that their concern is being treated seriously. Unless the customer gives their consent or if such release is required by law, no details of the customer's betting habits may be released to that third party.

7 Dealing with identified problem gamblers

7.1 Procedures

7.1.1 Approach

Where a Venue Supervisor has reasonable grounds to believe a customer is a problem gambler, that customer must be approached to discuss the issue.

7.1.1.1 Venue

When a Venue Supervisor has reasonable grounds to believe a customer may have difficulties related to gambling, the Venue Supervisor will approach that customer.

The Venue Supervisor will strike up a conversation with the customer, and as part of the conversation will ask the customer about his or her betting or gambling, raising concern about the customer's habits. This could include reference to the recognised signs of problem gambling. The Venue Supervisor must if appropriate provide that person with information on problem gambling, and problem gambling service providers as set out below e.g. if concerns are insufficient to determine a gambling problem then the Venue Supervisor may continue to monitor. If a gambling problem is conceded then information and action must be provided/taken as described in Section 8.

7.1.1.2 TAB Account Holder

When the Risk, Legal & Audit Division of the NZ Racing Board has reasonable grounds to believe a TAB account holder may be having difficulties related to gambling the Risk, Legal & Audit Division must approach that account holder.

The Risk, Legal & Audit Division should make contact with the account holder to discuss the NZ Racing Board's concerns. This discussion should address the changes in the account holders betting habits and should refer to the recognised signs of problem gambling. The NZ Racing Board representative must provide that person with information on problem gambling as set out below and discuss the possible options available eg. Set Your Limits and Self Exclusion.

7.1.2 Information to be provided

Where a customer has been identified as a potential or actual problem gambler, the Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board must provide that person with information on problem gambling as set out below. This information should also be supplied where a third party has raised concerns about a customer.

The customer or third party will be given information pamphlets on responsible gambling that contains the following: -

- the recognised signs of problem gambling;
- gambling helpline contact number; and
- the NZ Racing Board's "Self Exclusion" and "Set Your Limits" processes.

The Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board will also remind the customer,

- in the case of a wagering venue, of the ability to refuse to accept any bet without giving a reason for doing so;
- In the case of a gaming venue, of the ability to exclude the customer from the gaming area for up to two years by way of any Exclusion Order.

7.2 Further Steps

7.2.1 Referral to Service Provider

After having spoken with the customer concerned, if a Venue Supervisor or Risk, Legal & Audit Division representative considers, taking into account all relevant factors including the recognised signs of problem gambling and any concerns raised by a third party, that a customer is or may be a problem gambler, the Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board should in the first instance, refer the customer to a problem gambling support service.

If a Venue Supervisor makes such a referral, they should inform the Risk, Legal & Audit Division of the NZ Racing Board, by way of incident form of that referral, and may seek assistance from the Risk, Legal & Audit Division if required.

On referring the customer to a problem gambling support service, the Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board should obtain consent from the customer for the problem gambling support service to inform the Venue and the Risk, Legal & Audit Division of the NZ Racing Board of the outcome of their assessment of that account holder.

Where a customer has been referred to a problem gambling support service provider, and that customer is a TAB account holder, that customer's account may be placed on hold unless or until the customer is reported by the problem gambling support service as not having a problem related to gambling.

Risk, Legal & Audit should follow up with the customer to ensure that counselling is being provided or an assessment has been completed.

7.2.2 Refusal or exclusion

7.2.2.1 Venues

If the Venue Supervisor considers that a customer has or continues to have a problem with his or her gambling, the Venue Supervisor may;

- In the case of a wagering Venue, recommend to the Risk, Legal & Audit Division of the NZ Racing Board that the NZ Racing Board refuses to accept bets from that customer under section 65 of the Racing Act 2003, as set out in Section 8.2; or
- In the case of a Gaming Venue, issue an exclusion order for that customer. Refer Section 8.1.1.2

7.2.2.2 TAB account holders

Where the Risk, Legal & Audit Division of the NZ Racing Board considers that a customer who is a TAB account holder has or continues to have a problem with his or her gambling, including as the result of a report by a problem gambling support service on that customer, or by reference to the recognised signs of problem gambling, the Risk, Legal & Audit Division of the NZ Racing Board may close that customer's TAB account, and refuse to accept bets from that customer in accordance with section 65 of the Racing Act 2003, as set out in Section 8.2.

8 Exclusion processes

8.1 Self Exclusion

8.1.1 Procedures

8.1.1.1 Wagering

Should a customer, including a TAB account holder, wish to exclude himself or herself from wagering with the NZ Racing Board the Risk, Legal & Audit Division of the NZ Racing Board or a Venue Supervisor will provide that customer with a NZ Racing Board Self Exclusion Form.

The self exclusion form will provide that the customer wishes to exclude himself or herself from their local Venues and from having a TAB account. The form will require the customer to provide the NZ Racing Board with a recent photograph of the customer and will also obtain the customer's consent for using the information provided for the purposes of enforcing the self exclusion.

When a customer completes a self exclusion form, or is issued with an exclusion order from a Gaming Venue, then the Venue supervisor must provide the original form/order and the photograph provided with it, to the Risk, Legal & Audit Division of the NZ Racing Board retaining a copy at the venue in the Harm Prevention and Minimisation Manual and a copy to be given to the customer.

Where an exclusion has been completed, the NZ Racing Board must refuse to accept bets from the customer in question in accordance with Section 65 of the Racing Act 2003, as per the procedures set out in Section 8.2.

8.1.1.2 Gaming Exclusion Orders

Under Section 310 of the Gambling Act Exclusion Orders **MUST** be issued **immediately** to all self-identified problem gamblers. Exclusion order forms can be found in the Harm Prevention and Minimisation Manual. Once completed, one copy must be kept by the venue, one must be sent/given to the problem gambler, and a further copy must be sent to the NZ Racing Board.

The problem gambler must provide a photo so staff members are able to identify the excluded person, should they attempt to enter the gaming venue.

The Gambling Act makes it clear that the Venue Supervisor or any other qualified staff member can ask a customer to leave the gambling area at any time. No reason needs to be given.

8.1.1.3 Reciprocal Exclusions

Where a customer has requested or has been excluded from wagering with the NZ Racing Board then a Venue Initiated Gaming Exclusion is to be issued for the maximum 2 year term.

Where a customer has requested or has been excluded from an NZRB gaming venue then a copy of that exclusion shall be forwarded to the Risk, Legal & Audit Department of the NZ Racing Board so that a wagering exclusion can be completed and forwarded to the customer and other TAB's in the local area.

8.2 NZRB Initiated Exclusions

8.2.1 Refusal to accept bets - Wagering

Where a Venue Supervisor or the Risk, Legal & Audit Division of the NZ Racing Board has reasonable grounds to believe that customer has a problem related to gambling, the NZ Racing Board, acting through its agents, may refuse to accept bets from that person in accordance with section 65 of the Racing Act 2003.

Where the NZ Racing Board refuses to accept bets from a customer, the NZ Racing Board must write to that customer stating that it will no longer accept bets from that customer. The NZ Racing Board is not required to give reasons for this refusal.

For the avoidance of doubt, any customer who is the subject of an exclusion must have bets refused in accordance with section 65 of the Racing Act 2003.

Any customer who is the subject of a section 65 refusal to accept bets must be flagged in such a way to ensure that such customers do not receive marketing material from the NZ Racing Board.

8.2.2 Venue Initiated Exclusion Order - Gaming

Under Section 309 of the Gambling Act a Venue Supervisor may, after offering advice and/or information to a potential problem gambler, issue a Venue Initiated Exclusion Order to the person that prohibits the person from entering the gambling area of the venue for a period of up to 2 years. These forms can be found in the Harm Prevention and Minimisation folder.

8.2.3 Enforcement of exclusions

8.2.3.1 Wagering

Venue staff shall proactively and regularly monitor the venue for excluded customers. Where a customer has completed a self exclusion form, or is the subject of a refusal to accept bets, Venue Supervisors and the NZ Racing Board shall take all reasonable steps to enforce that exclusion or refusal. This could include the issue of a trespass notice. Contact the Risk, Legal & Audit Division for options available if necessary.

The NZ Racing Board shall take all steps as are reasonably necessary to ensure that such a customer shall not open or operate a TAB Account.

Personal details and photographs may also be provided to on-course managers for the enforcement of exclusions and refusals on-course.

8.2.3.2 Gaming

Venue staff shall proactively and regularly monitor the Gaming area for excluded customers. Section 311 of the Gambling Act 2003 requires the Venue Supervisor to remove persons who enter the gambling venue in breach of their exclusion order. A Venue Supervisor (or person acting on their behalf) who knowingly allows an excluded person to enter the gaming venue may be liable for a fine not exceeding \$10,000.

A member of the police may be called upon to assist in the removal of an excluded person.

8.2.4 Privacy

Any photograph provided by the customer, or through closed circuit television and other details required for the purposes of enforcement may be circulated by the NZ Racing Board to relevant Venues for the purposes of enforcing such orders or refusals. Such details and photographs shall be used only for the purposes of enforcing the relevant exclusion or refusal.

Venue Supervisors (or person acting on their behalf) must ensure the privacy of such information and photos.

9 “Revocation Requests” (Wagering Only)

Where a customer who is currently excluded from wagering with the NZ Racing Board feels that they no longer have the issues they did when an exclusion from wagering was invoked and wishes to have wagering facilities made available to them once again, they must complete the Revocation Request form and agree to abide by the processes detailed on that form. After completion of these processes the NZ Racing Board will make a decision as to whether to fully or partially revoke the exclusion or decide that it should remain in force. The customer will be informed of that decision.

10 “Set Your Limits” program (TAB Accounts only)

Where a customer recognises that his or her wagering is potentially getting out of control or just wishes to cap their weekly loss or spend he or she can elect to participate in the “Set Your Limits” programme.

This programme can assist customers who wish to control their account wagering by setting either (or both) a maximum amount of money lost, or spent, on a per week basis.

Should a customer request to participate in this programme the Risk, Legal & Audit Division of the NZ Racing Board or a Venue Supervisor will provide that customer with the “Set Your Limits” information sheet and application form. Completed application forms should be forwarded by the customer to the Risk, Legal & Audit Division of the NZ Racing Board.

11 Incident and Intervention Reports

Venue Supervisors will record all incidents and interventions in the Harm Prevention and Minimisation Folder under the appropriate headings.

Incidents and interventions can include, but are not limited to:

- Approaches to customers related to problem gambling, and the grounds for that approach (such as recognising signs of problem gambling in that customer);
- providing information to customers about problem gambling;
- reporting of possible problem gambling by a third party such as family or friends of a customer; and
- any follow up or further action taken, including referral to a service provider or whether a self-exclusion was completed or an exclusion order issued.

A copy of all incidents and interventions are to be forwarded by Venue Supervisors to the Risk, Legal & Audit Division of the NZ Racing Board **immediately** they have occurred.

12 Sports desk (Wagering Only)

The names of actual or potential problem gamblers may be provided to the head bookie at the NZ Racing Board sports desk for the purposes of enforcing any exclusion or refusal orders or for monitoring any potential problem gamblers.

Additionally, should any NZ Racing Board book maker become concerned regarding a customer's betting habits or patterns, with reference to the recognised signs of problem gambling, that book maker shall raise his or her concerns immediately with the head book maker who in turn shall discuss the matter with the Risk, Legal & Audit Division of the NZ Racing Board. Upon any such notification the Risk, Legal & Audit Division of the NZ Racing Board shall follow the steps as outlined above in relation to TAB account holders and customers.

13 Contact details

A customer may wish to contact the NZ Racing Board directly regarding their gambling concerns. The Venue Supervisor may also wish to contact the NZ Racing Board to discuss their concerns, or issues such as exclusion orders and enforcement. The NZ Racing Board contact in relation to harm prevention and minimisation is:

Risk, Legal & Audit Division

NZ Racing Board

PO Box 38899

Wellington Mail Centre

Lower Hutt 5045

Phone 04 576 6999

Harm Prevention & Minimisation Policy of the New Zealand Racing Board

Approved by: New Zealand Racing Board
Issued By: Chief Executive Officer, New Zealand Racing Board
Reviewed: August 2011
Next review: Due by August 2012

Contents

- 1 Application**
 - 2 Statement of Purpose**
 - 3 Definitions**
 - 4 Policy**
 - 5 Penalties**
 - 6 Procedures**
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1. Application

This policy applies to all NZ Racing Board employees, agents and agent's employees. This NZ Racing Board policy provides the framework for complying with the requirements of the Racing Act 2003, the Racing (Harm Prevention & Minimisation) Regulations 2004, the Gambling Act 2003, and the Gambling (Harm Prevention & Minimisation) Regulations 2004, as well as any other specific statutory obligations.

All betting, whether by placing a bet at a retail outlet or by using a TAB account via channels such as Phonebet, internet, Touch Tone and Txtbet is covered by this policy. The operation of gaming machines at TAB Agencies and Branches (but not at PubTABs or ClubTABs) is also covered by this policy.

Employees who have any questions about the application of this policy should raise these with their relevant Senior Executive Team member or the Risk, Legal and Audit Division of the NZ Racing Board.

2. Purpose

The NZ Racing Board wants to ensure that any potential harm from products it provides to the community is minimised. The NZ Racing Board aims to identify customers who may have difficulties related to gambling and to minimise the effects of those issues.

3. Definitions

Harm means harm or distress of any kind arising from, or caused or exacerbated by, a person's gambling and includes personal, social or economic harm suffered:

- a) by the person; or
- b) by the person's spouse, partner, family, whanau or wider community; or
- c) in the workplace; or
- d) by society at large.

Harm Prevention & Minimisation Regulations

	means the provisions of the Racing Act 2003, the Gambling Act 2003 (and relevant subsidiary legislation such as the Racing (Harm Prevention and Minimisation) Regulations 2004 and the Gambling (Harm Prevention & Minimisation) Regulations 2004) concerned with Problem Gamblers and the prevention and minimisation of Harm.
Problem Gambler	means a person whose gambling causes harm or may cause harm.
Gaming Venue	means a NZ Racing Board Branch or Agency (not PubTABs or ClubTABs) that has gaming machines.
Venue	means any outlet that supplies NZ Racing Board wagering services or is a Gaming Venue and includes National Office, Branches, Agencies, Sub-agencies, Self-service outlets and On-course facilities. Note that this definition has a wider scope than that of "Board venue" as defined in the Racing Act 2003.
Venue Supervisor	means (a) a manager, or other staff involved in the supervision of racing and sports wagering, including agents and agents' employees; and (b) for Gaming Venues, a manager or other employee involved in supervising gaming at the Gaming Venue.

This Policy, and the processes and procedures that support this Policy, and any reference to 'gambling', apply to the NZ Racing Board's responsibilities in relation to both wagering on racing and sporting events, as well as gambling in Class 4 Venues where the New Zealand Racing Board holds the Venue Licence. It is important to note that some areas of the Policy go beyond the base requirements of the Gambling Act.

4. Policy

The NZ Racing Board will implement practices and procedures aimed at ensuring that customers are served in a responsible manner, and enabling staff to identify people who may have difficulties related to gambling, and to take any action appropriate in relation to that person.

The NZ Racing Board will enable all relevant staff to provide information about problem gambling to others, including information about problem gambling support services.

The NZ Racing Board will take such action as is required regarding problem gamblers, including the exclusion of customers from Venues, or refusing to accept bets from customers.

- 4.1. The NZ Racing Board will ensure that Supervisory staff are aware of their legal obligations in relation to Problem Gambling. To that end, NZRB will provide training to all Venue Supervisors on problem gambling awareness, which will include the requirements of the Racing Act 2003 and associated

regulations and for Gaming Venues, the requirements of the Gambling Act 2003 and associated regulations).

The NZRB will provide periodic refresher training on Problem Gambling for supervisory staff.

It is required that a trained person (supervisor) in Problem Gambling issues is on-site at all times.

- 4.2. All NZ Racing Board Venue Supervisors are required to take all reasonable steps to identify problem gamblers, and will approach any person identified as an actual or potential problem gambler and provide that person with information about problem gambling.
- 4.3. The NZ Racing Board will periodically monitor TAB accounts for signs of problem gambling and will investigate and take appropriate action, including refusing to accept bets from that account holder where a customer is identified as a problem gambler.
- 4.4. The NZ Racing Board will ensure that all Venues display signage informing customers of its Harm Prevention and Minimisation Policy, and providing information related to problem gambling, including problem gambling services, and as required by any harm minimisation regulations made under the Racing Act 2003 or Gambling Act 2003 as applicable.
- 4.5. The NZ Racing Board will have an exclusion procedure whereby customers can elect to be excluded or the NZ Racing Board can impose exclusion from wagering and gaming venues, and from having a TAB Account. The NZ Racing Board will ensure all relevant staff are aware of and know how to administer this procedure.
- 4.6. An exclusion order must be issued, under section 310 of the Gambling Act 2003, to a self-identified problem gambler who makes a request for the issue of such an order. An exclusion order must be issued under section 309 of the Gambling Act to any person identified under that section as a problem gambler.
- 4.7. Where a customer exclusion is required at a NZ Racing Board Gaming Venue a reciprocal exclusion covering both gaming and wagering will be actioned.
- 4.8. The NZ Racing Board will refuse to accept bets from identified Problem Gamblers.
- 4.9. All Venues will maintain a Harm Prevention and Minimisation Manual including information on staff training and incident and intervention reports.

No customers under the age of 18 years will be permitted to enter the gaming area or participate in wagering or gaming at Venues. Venue staff will regularly and proactively monitor gaming and wagering areas for both excluded customers and under-age persons.

NZRB will provide CCTV camera coverage to assist in the monitoring of such issues.

- 4.10. No staff are to provide credit either directly or indirectly to customers for gambling purposes.
- 4.11. Venue staff and management must not play gaming machines at the Venue which they are employed where the NZRB is the Venue or Operator Licence holder.
- 4.12. No automatic teller machines will be available in NZ Racing Board Agencies or Branches.
- 4.13. The NZ Racing Board will discourage customers from leaving children unattended either in the Venue or the Venue car park.
- 4.14. The NZ Racing Board will take reasonable measures aimed at providing a safe and secure environment in which wagering or gaming activities are conducted.
- 4.15. The NZ Racing Board will comply with the Advertising Standards Authority Code for advertising gaming and gambling.

5. Penalties

The NZ Racing Board, agents and Gaming Venue operators and managers are subject to various penalties under the Racing Act 2003 and the Gambling Act 2003.

6. Procedures

Detailed procedures on Harm Prevention and Minimisation can be found in the Harm Prevention and Minimisation Manual.

Licence: GM 2044084

26 October 2011

46 Waring Taylor St, PO Box 805

Wellington 6140, New Zealand

Telephone +64 4 495 7200

Facsimile +64 4 495 7222

Website www.dia.govt.nz

The Chairperson
THE LION FOUNDATION (2008)
PRIVATE BAG 102 920
NORTH SHORE
NORTH SHORE CITY 0745

Dear Sir/Madam

Notification in Respect of Class 4 Venue Licence – Surrender Venue Licence

- **TAB New Lynn GMV2000242**

Thank you for your recent notification in respect of your class 4 venue licence, which has now been processed.

Our records have been altered to reflect the changes outlined in the notification.

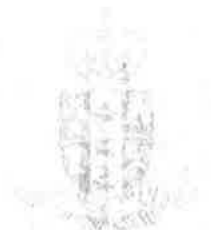
TAB New Lynn GMV2000242, 2/3041 Great North Road, New Lynn, Waitakere City was surrendered on Tuesday 25 October 2011. An arrangement has been made to refund the pro rata gaming machine fees. This refund of \$2,932.53 will follow shortly.

Please do not hesitate to contact me on 0800 257 887 if you require further information.

Yours sincerely



NIALL MILLER
GAMBLING INSPECTOR LICENSING
Regulatory and Compliance Operations





THE LION FOUNDATION

05 October 2011

Kerry Wood
New Zealand Racing Board
Petone, Lower Hutt

Dear Kerry

This is to confirm that we, the undersigned, have a purchase agreement with the above trust for the equipment listed below:

Venue: TAB New Lynn

Machine Approval #	Serial #	Game Name	Game Approval #	BAN
00863041	1050108	PLAYERS CHOICE PLATINUM 120 / 125 CREDITS	G1571-1/09	B1124/08
00863776	1050108	PLAYERS CHOICE FAVOURITES (120/125 CREDITS)	G1164-1/08	B1124/08
00864486	1050108	PLAYERS CHOICE GOLD EDITION 100 / 125 CREDITS	G1456-1/09	B1124/08
00866147	10518	LET'S GO FISH'N (125/250 CREDITS)	G1075-4/07	B0848/06
00866149	10518	GOLDEN PYRAMIDS	G1359-4/09	B0848/06
00868765	1050108	PLAYERS CHOICE SUPER (120/125 CREDITS)	G1048-1/07	B1124/08
01981650	1070105	MULTISTAR 50 LINES	G1138-1/08	B1130/08
01981654	1070104	MULTISTAR 11 (15 LINES)	G1153-5/08	B1324/08
01981655	1070104	MULTISTAR 12 (15 LINES)	G1149-4/08	B1324/08
10514	20058	CASCADE MYSTERY JACKPOT LINK	G3292/03	

In accordance with Section 65, sub sections (h) and (i) we confirm that clear title for the gambling equipment below passes to New Zealand Racing Board upon the issue of a Class 4 Venue licence and upon payment of the full amount owing which will occur prior to installation of equipment.

Yours sincerely,

The Lion Foundation

Alistair Davidson
Business Analyst

NEW ZEALAND
RACING BOARD
██████████ ██████████

Memo

To: Department of Internal Affairs
From: Stuart Robb – CFO, New Zealand Racing Board
Date: 10/6/2011
Re: License Application Process

Set out below are the summary financial terms of the financing arrangement the NZRB will enter into in the next couple of weeks. This facility will be used in part for the “Lion” venues – approx. 9(2)(b)(ii)

The terms are:

Facility – 9(2)(b)(ii)

Facility amount – 9(2)(b)(ii)

Amortisation – 9(2)(b)(ii)

Purpose – Purchase of gaming machines (& peripheral equipment)

Drawdown – 9(2)(b)(ii)

Drawdown period – 9(2)(b)(ii)

Interest margin – 9(2)(b)(ii)

Base Rate – 9(2)(b)(ii)

Line Fee – 9(2)(b)(ii)

Establishment fee – 9(2)(b)(ii)


6 OCT 2011

