APPLICANT REQUIREMENTS
CANNABIS REPRESENTATIVE REGISTRATION

A Cannabis Representative Registration is to be completed by all cannabis suppliers (LP's) and corporations that represent cannabis suppliers in the sale of cannabis in Alberta.

The applicant must provide the following items before the application can proceed and the application process is usually 2 – 4 months:

- ☐ Non-refundable Registration fee of $200
- ☐ Application for Cannabis Representative Registration (Form 8002)
- ☐ Particulars of Individual – Cannabis (Form 5013) completed by all directors, shareholders, officers
- ☐ Particulars of Incorporation of Company (Form 5231)
- ☐ Particulars of Incorporation of Company for all shareholding companies (Form 5231), if applicable
- ☐ Certificate of Incorporation in Alberta or Extra-Provincial Registration for Alberta
- ☐ Acknowledgment and Undertaking (Form 8003)
- ☐ Letter of Authorization – Cannabis (Form 8007) (sample attached)
- ☐ Copy of all Heath Canada cannabis licences

Provide to Licensing in a sealed envelope addressed to Due Diligence, the below items:

- ☐ Deposit of **$3,000**
- ☐ Applicant Disclosure (Form 8015)
- ☐ Associated Applicant Disclosure (Form 8016) to be completed by corporate entities only
- ☐ Personal Disclosure (Form 8017)

All individuals who represent a Cannabis Supplier (licensed producer) within the province of Alberta are required to obtain Qualified Cannabis Worker status (Form 8013). Additional information on Qualified Cannabis Workers may be found at aglc.ca

The applicant may return the completed package to:

AGLC Liquor/Cannabis Licensing
50 Corriveau Avenue
St. Albert AB, Canada T8N 3T5

OR phone 1-855-506-1066 ext. 1 (toll-free) to schedule an appointment.

ONLY COMPLETED APPLICATION PACKAGES WILL BE PROCESSED

APPLICATION FOR CANNABIS REPRESENTATIVE REGISTRATION

NAME OF REGISTRANT:
(e.g., Company, Partnership or Individual) _____

OPERATING NAME: _____

STREET ADDRESS: _____

CITY/TOWN: _____ PROVINCE: _____ POSTAL CODE: _____

MAILING ADDRESS: _____

CITY/TOWN: _____ PROVINCE: _____ POSTAL CODE: _____

CONTACT NAME: _____ PHONE: _____

PREMISES PHONE: _____

The AGLC requires a Communications Contact email address for the purpose of sharing and collecting important information related to cannabis licensing, policies and processes. Please ensure this email is updated regularly. If no email is provided, the corporation mailing address will be used.

COMMUNICATION CONTACT EMAIL: _____

APPLICATION CONTACT NAME: _____

CONTACT PHONE: _____

BY SIGNATURE I CERTIFY THE ABOVE INFORMATION IS CORRECT, AND THE APPLICANT IS THE OWNER OR LESSEE OF THE PREMISES COVERED BY THIS APPLICATION, AND IS IN ACTUAL POSSESSION AND CONTROL OF THOSE PREMISES.

DATE: _____ ✕ _____
SIGNATURE OF REGISTRANT

In the event that the licence application process is not completed within one year of the submission date, AGLC may require that a new application be made.

Protection of Privacy – The personal information requested on this form is collected under the authority of Section 33(c) of the *Alberta Freedom of Information and Protection of Privacy Act* and will be protected under Part 2 of that Act. It will be used for the administration of all policies and processes relating to cannabis licensing. Direct any questions about this collection to: AGLC FOIP Coordinator, 50 Corriveau Avenue, St. Albert, AB T8N 3T5 780-447-8600 or toll free at 1-800-272-8876.

AGLC
Choices Albertans can trust.

PARTICULARS OF INDIVIDUAL

NAME _____ Surname _____ First Name _____ Middle Name(s) (in full)

MAIDEN NAME _____ OTHER NAMES _____

DATE OF BIRTH _____ Year | _____ Month | _____ Day

☐ CANADIAN CITIZEN
☐ LANDED IMMIGRANT

PLACE OF BIRTH _____ CONTACT PHONE: _____

EMAIL ADDRESS _____

Please check (✓)

☐ Licensee/Registrant ☐ Director/Officer ☐ Shareholder ☐ General Manager ☐ Manager

NAME OF APPLICANT:
(Company, Partnership) _____

NAME OF PREMISES/AGENCY:
(Operating/Trade Name) _____

STREET ADDRESS _____

_____ City _____ Postal Code

I hereby authorize Alberta Gaming, Liquor & Cannabis to undertake a criminal record check, with any police agency, to determine my eligibility to be involved in liquor or cannabis licensed premises, liquor agency or registered cannabis representative.

_____ Signature _____ Date

A privacy statement for the collection of personal information may be found at www.aglc.ca.

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PARTICULARS OF PARTNERSHIP

Operating/Trade Name: _____

Street Address: _____

City/Town: _____ _____
Postal Code

_____
Telephone

Name of Registered Partnership: _____

_____ _____
Date of Registration Date of Registration in Alberta (if applicable)

DIRECTORS:

Name	Address	Phone Number	Position Held

PARTNERS: (both general and registered)

Name	Address	Type of Partner

CERTIFIED CORRECT by an authorized director of the Corporation, and by a Lawyer or CPA, as of the

_____ day of _____, 20 _____

_____ _____
(Signature)
LAWYER or CPA

(Signature of Director)

_____ _____
(Firm) (please print name of Director)

ANY CHANGE IN DIRECTORS OR SHAREHOLDERS MUST BE IMMEDIATELY REPORTED TO AGLC.

The information you are providing on this application form is collected under the authority of the *Gaming, Liquor and Cannabis Act;* Gaming, Liquor and Cannabis Regulation, and the *Freedom of Information and Protection of Privacy* (FOIP) *Act*, section 33(c). The information is strictly for the use of Alberta Gaming, Liquor and Cannabis in assessing your eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact Alberta Gaming, Liquor and Cannabis, 50 Corriveau Avenue, St. Albert, Alberta T8N 3T5 Telephone: 780-447-8600 Toll-free: 1-800-272-8876.

PARTICULARS OF INCORPORATION OF COMPANY

Operating/Trade Name: _____

Street Address: _____

City/Town: _____ _____
Postal Code

_____
Telephone

Name of Corporation: _____

_____ _____
Date of Incorporation Date of Registration in Alberta (if applicable)

DIRECTORS/OFFICERS:

Name	Address	Phone Number	Position Held

SHAREHOLDERS: (both voting and non-voting, and the number and class of shares that each holds)

Name	Address	Percentage & No. of Shares Held

CERTIFIED CORRECT by an authorized director of the Corporation, and by a Lawyer or CPA, as of the

_____ day of _____, 20 _____

_____ _____
(Signature) (Signature of Director or Officer)
LAWYER or CPA

_____ _____
(Firm) (please print name)

ANY CHANGE IN DIRECTORS OR SHAREHOLDERS MUST BE IMMEDIATELY REPORTED TO AGLC.

The information you are providing on this application form is collected under the authority of the *Gaming, Liquor and Cannabis Act;* Gaming, Liquor and Cannabis Regulation, and the *Freedom of Information and Protection of Privacy* (FOIP) *Act*, section 33(c). The information is strictly for the use of Alberta Gaming, Liquor and Cannabis in assessing your eligibility. Your personal information is protected by Alberta's FOIP Act and can be reviewed upon request. If you have any questions about the collection or use of the information, please contact Alberta Gaming, Liquor and Cannabis, 50 Corriveau Avenue, St. Albert, Alberta T8N 3T5 Telephone: 780-447-8600 Toll-free: 1-800-272-8876.

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Choices Albertans can trust.

ACKNOWLEDGEMENT AND UNDERTAKING

1. The cannabis representative named below understands his/her legal obligations under:

   a) the *Gaming, Liquor and Cannabis Act,* as amended from time to time
   b) the Gaming, Liquor and Cannabis Regulation, as amended from time to time
   c) AGLC policies and guidelines

The cannabis representative:

2. Acknowledges responsibility to ensure all staff become aware of the requirements contained in this Acknowledgement and Undertaking.

3. Confirms that the cannabis representative has not entered into any verbal or written, expressed or implied, agreement with a cannabis licensee, an employee of a cannabis licensee, or an agent of a cannabis licensee (hereafter referred to as "cannabis licensee") to sell any particular brand, class, kind or type of cannabis or cannabis accessory, except as authorized by the *Gaming, Liquor and Cannabis Act,* Gaming, Liquor and Cannabis Regulation*,* AGLC policies and/or agreements which have been approved by the AGLC Board.

4. Confirms that the cannabis representative has not directly or indirectly made, or offered to make, a loan or advance, given or offered to give money, a rebate, a concession or anything of value to a cannabis licensee.

5. Confirms that the cannabis representative has not sold, given, rented or loaned any furniture, furnishings, equipment, fixtures, decorations, signs or supplies to a cannabis licensee.

6. Understands that failure to comply with the *Cannabis Act*, Cannabis Regulation*, Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation, or AGLC policies (includes handbooks) may result in prosecution and/or appearance before the AGLC Board.

7. Agrees to advise the AGLC each time a licensee or employee of the licensee requests a benefit or inducement from the cannabis representative.

Witness Signature	Cannabis Representative Signature
(Please Print Name)	(Please Print Name)
Date (Month, Day, Year)	Name of Cannabis Representative

Offering or providing inducements to a cannabis licensee is prohibited under the *Cannabis Act*, Cannabis Regulation, *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation and AGLC policy.

APPENDIX A
LIST OF PROHIBITED INDUCEMENTS

The following describes monetary (or monetary value) inducements which cannabis representative or employees of cannabis representative, are prohibited from offering or providing to cannabis licensees.

1. Payments, rebates or credits of any monetary value.

2. Monetary deposits into licensee accounts in any direct or indirect manner.

3. Any cannabis products other than nominal cannabis product samples permitted under policy guidelines, "Product Promotions ".

4. Interior decorating (e.g. painting, window dressing, and flooring) and renovations or maintenance to the licensed premises or other property owned, rented, or leased by a licensee or anyone directly or indirectly in a business relationship with the licensee.

5. Locked display cabinets, alarm system, video security surveillance system, furniture, office equipment, signs, required in the operation of a licensed premises.

6. Underwriting licensees' expenses, either directly or indirectly, for any travel, whether or not it is for business purposes, a vacation, or a combination of both.

7. Season tickets to sporting or other events.

This is a summary only. A relationship between a cannabis representative and cannabis licensee, or any product promotion, must comply with the *Cannabis Act*, Cannabis Regulation, *Gaming, Liquor and Cannabis Act*, Gaming, Liquor and Cannabis Regulation, or policy guidelines.

For further information, contact the Regulatory Services Division:

St. Albert Office	Calgary Office
780-447-8600	403-292-7300

References: *Gaming, Liquor and Cannabis Act,* as amended from time to time
Gaming, Liquor and Cannabis Regulation, as amended from time to time

Please retain Appendix A for your records.

(**MUST BE ON CANNABIS SUPPLIER LETTERHEAD**)

Date: _____

LETTER OF AUTHORIZATION

AGLC
50 Corriveau Avenue
St. Albert, Alberta
Canada T8N 3T5

We authorize (***name and address of cannabis representative***) to handle our products in Alberta.

We understand (***name of cannabis representative***) is totally responsible for the marketing of the product in the Alberta.

We confirm that we are a federally licenced cannabis producer and remain solely responsible for the quality of our product, will only supply product free of defect, safe for human consumption, and of quality acceptable to the AGLC. We will (and do hereby) indemnify and save harmless the AGLC and its servants and agents from and against any and all losses, damages, claims, demands, liabilities, costs and harm whatsoever arising out of any defects or other faults whatsoever with any of our products.

We understand that cancellation of this Authorization is our responsibility. We must notify the AGLC in writing.

(Signed by the Supplier)

Applicant Disclosure

Cannabis Retailer/Cannabis Representative

Alberta Gaming, Liquor & Cannabis (AGLC) may make a finding of suitability of a Cannabis Retailer or Cannabis Representative after a thorough investigation of the Applicant, including but not limited to the Applicant's background, associates and financial history. Full disclosure is required from the Applicant.

The finding of suitability for a Cannabis Retailer or Cannabis Representative is a privilege not a right. The burden of proving eligibility is at all times the responsibility of the Applicant.

A licence or registration is automatically cancelled on a sale, assignment or transfer that results in a change of control in the ownership structure (shareholder, financial interest, share structure) of the Applicant. A sale, assignment or transfer of a portion of a business that does not result in a change in control must be reported to AGLC and must be approved.

Any proposed change must be approved and a due diligence investigation conducted by AGLC. Please notify AGLC *prior to* the transaction taking place.

Read the Instructions carefully – it contains important information required for the Applicant and any associated persons to complete their portion of the application package.

Digital Signatures - AGLC accepts handwritten signatures and digital signatures using a digital ID. A digital ID proves your identity and contains your name and email address, the name of the organization that issued it, a serial number, and an expiration date.

Submit the completed form electronically via SecureWeb. Please contact us for electronic submission instructions at duediligence@aglc.ca.

All information and documents provided as part of this application package become the property of AGLC and will not be returned. **Keep a copy of all disclosures for your records.** You may be contacted for further information, documents or clarification.

For further information please contact Due Diligence at duediligence@aglc.ca.

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor and Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence or registration.
3. **Associated Applicant** – Any corporate or other entity that is or will be a(n)
   - **i.** Owner of the **Applicant**,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter of the **Applicant**,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any corporate or other entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a licence under the *Gaming, Liquor and Cannabis Act* (Alberta) that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Representative** –
   - **i.** No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.
   - **ii.** No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is qualified with AGLC for that purpose.
6. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
7. **Control** –
   - **i.** Power to direct.
   - **ii.** Any direct or indirect influence which, if exercised, would result in control in fact of the corporation whether directly through the ownership structure, or indirectly through a trust, a contract, ownership of shares, stocks, equities or securities of another corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an Associated Applicant that has direct or indirect control of 10% or more of the **Applicant**.
8. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
9. **Director** –
   - **i.** Those individuals acting collectively to whom the duty of managing the general affairs of the company is delegated by the shareholders. Their duty is to conduct the business of the company for the greatest benefit of the shareholders.
   - **ii.** Any individual acting in a capacity similar to that of director of a company.
   - **iii.** A trustee, officer, member of an executive committee and any individual occupying a similar position.
10. **Financial Interest** – Includes any direct, indirect or contingent interest
    - **i.** Whether as owner, partial or otherwise, of an interest, beneficial owner, owner of shares or owner through trusteeship, investment or otherwise, or
    - **ii.** In management, whether by management agreement, partnership agreement or other agreement, or
    - **iii.** Because of having loaned or advanced or caused to be loaned or advanced money or anything of value, with or without security, or
    - **iv.** Any individual or corporate entity related to an Applicant or Associated Applicant that holds a direct or indirect financial interest of 10% or more in the **Applicant**.
11. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.

ii. Individuals employed in senior management positions such as CEO, CFO, controller, senior compliance officers, or any other individual who performs functions for a company similar to those normally performed by an individual occupying any of these offices.

iii. Any other individual holding a key position as determined by AGLC.

12. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta) and includes an agreement, permit, certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta).

13. **Officer** –

i. An individual employed in connection with the administration and management of a department.

ii. The chairman and vice-chairman of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer, general manager and any other individual designated an officer by by-law or resolution of the directors, and any other individual who performs functions for a company similar to those normally performed by an individual occupying any of those offices.

iii. The chairman, president, vice-president, secretary, treasurer, comptroller, general counsel, general manager, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

14. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the Applicant by virtue of an adult interdependent relationship.

15. **Promoter** – Any individual, corporation or other entity who

i. Acting alone or in concert with one or more other individuals or corporate entities, directly or indirectly takes the initiative in founding, organizing or substantially reorganizing a business; or

ii. In connection with the founding, organization or substantial reorganization of the business, directly or indirectly receives, in consideration of services or property or both, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

16. **Qualified Cannabis Worker** –

i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

ii. No individual may act as a worker unless qualified by AGLC.

B. Deposit

1. **Unless otherwise advised,** the Applicant must pay the costs of the due diligence investigation conducted by AGLC on the Applicant, the Applicant's employees and associates, and persons with connections to the Applicant.

2. Applicants are required to submit an initial deposit of $3,000 CAD (or an amount as otherwise directed), with the completed application package.

i. Additional funds may be required. The investigation will not proceed until the requested funds are received by AGLC.

ii. Additional funds may be requested at any time during the course of the investigation.

3. Please contact duediligence@aglc.ca for electronic funds transfer or wire transfer instructions.

4. An accounting of costs will be provided to the Applicant at the conclusion of the investigation. Further funds may be required; any excess funds will be refunded.

5. Costs may include, but are not limited to

i. Cost of checks conducted and reports and documents obtained.

ii. Travel costs, including transportation, food and lodging.

iii. An hourly charge for AGLC staff assigned to the due diligence investigation.

iv. Costs associated with any person contracted by AGLC to perform specific requirements of the due diligence investigation.

C. Completing the Disclosure

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the Applicant and an Associated Applicant(s).

2. AGLC may request disclosure from other individuals and entities associated with the Applicant.

3. An answer must be provided for every question – do not leave blank spaces

   i. If a question does not apply, write "Does not Apply" or "N/A".

   ii. If there is nothing to disclose, write "None".

   iii. Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.

4. All disclosures must be typed or printed clearly. Illegible disclosures will not be processed.

5. The disclosure may not be modified in any way. Modified disclosures will not be processed.

6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.

7. All attachments must be clearly labelled as "Attachment 1, Attachment 2, Attachment 3," etc. The attachment number must then be noted **in the space provided beside** the applicable question.

8. All attachments must be an accurate copy of the original, and be signed by you.

9. The Applicant owner, president or officer must complete and sign* the "Corporate Declaration" declaring that the information provided is true, accurate and complete, and that all requested documentation is provided.

   **AGLC accepts handwritten and digital signatures using a digital ID*

10. The Applicant owner, president, officer **OR** an individual designated by the Applicant's owner, president or officer (Company Representative) must sign*/initial the appropriate disclosure as follows:

    i. Initial and date each page to verify all statements made are accurate, all material facts are included, and all requested information and documentation are provided.

    ii. Sign the "Consent to Release Information".

    **AGLC accepts handwritten and digital signatures using a digital ID*

11. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.

12. Incomplete disclosures will not be processed.

D. Important Information

1. All information and documents provided as part of this disclosure

   i. Become the property of AGLC and will not be returned.

   ii. Are confidential and will be treated as such.

   iii. Are for AGLC's use to determine the Applicant's eligibility for a licence or registration.

   iv. Will be verified through an investigative process – further information, documents or clarification may be requested.

DI. Protection of Information

1. The information collected in this disclosure is only used in determining the eligibility of the Applicant for a licence or registration and will not be shared with other AGLC units without consent.

2. The specific legal authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the Gaming, Liquor and Cannabis Regulation (Alberta) and FOIP Sections 33(a) & (c).

3. All application packages shall be kept confidential and shall only be released in accordance with the

   i. Consent to Release Information.

   ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

4. The FOIP Act defines personal information as "recorded information about an identifiable individual", such as the individual's

   i. Name, address or telephone number.

   ii. Age, gender, marital or family status.

   iii. Any identifying number or other symbol.

   iv. Financial, criminal or employment history.

5. Inquiries regarding the collection of this information should be directed to Due Diligence at duediligence@aglc.ca.

6. Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

CORPORATE DOCUMENT CHECKLIST | CANNABIS APPLICANT - Due Diligence Investigation

This document must be completed and submitted with your application as **the cover page**. Gather your documents in the order of the checklist and check ☑ each item.

For important information and details, please refer to the Instructions section of the disclosure form or contact the Due Diligence Unit at duediligence@aglc.ca.

If your application package is missing any of the applicable information, signatures or documents listed in this checklist, your application will not be processed.

I have attached/enclosed the following items:

- ☐ DEPOSIT of **$3,000** CAD (or an amount as otherwise directed)

FORMS LIST: the following forms must be completed, signed and dated:

- ☐ Applicant Disclosure Form (8015) *including* Corporate Declaration and Consent to Release Information

DOCUMENTS LIST:

Provide an accurate photocopy of the original appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

- ☐ Certificate and Articles of Incorporation/Change to Certificate and Articles of Incorporation
- ☐ Share Register(s) or Share Certificate(s)
- ☐ Unanimous Shareholder Agreement (if applicable)
- ☐ Partnership Agreement (if applicable)
- ☐ Current ownership structure chart showing all direct/indirect ownership relationships
- ☐ Current organizational chart showing the reporting structure and full names & titles of all key employees
- ☐ Financial statements for the last three years including all notes to financial statements
- ☐ Corporate income tax returns including all schedules for each jurisdiction in which the Applicant is required to file
- ☐ Notices of Assessment/Reassessment from Canada Revenue Agency (or similar tax authority)
- ☐ Retail store budget including start-up cost
- ☐ Business plan
- ☐ Source of Funds: documents confirming the availability of funds required to start the business, cover operating expenses and any contingencies

If any of the above documents are *not* attached, please provide an explanation:

_____

_____

- ☐ Have all questions been answered?
- ☐ Have all pages been initialed and dated?
- ☐ Has the Corporate Declaration been signed?
- ☐ Has the Consent to Release Information been signed?

***TO AVOID DELAYS**, Applicants are strongly encouraged to*

- *use fillable PDF forms*
- *submit the complete package electronically by SecureWeb*
- *pay with an electronic funds transfer*

Please contact the Due Diligence unit at duediligence@aglc.ca for electronic submission or mailing instructions.

APPLICANT IDENTITY

1. Applicant Corporate Information:

Legal Name	
Trade Name/Operating Name	
First Time Applicant	AGLC Registration/Licence Number
❑ No ❑ Yes	
Applying for	
❑ Cannabis Retail Licence	❑ Cannabis Representative Registration

2. Is the Applicant known by any other name
   ☐ No ☐ Yes - List all names the Applicant is known by. List all names used for previous ten years.

3. It is the Applicant's responsibility to pay the costs of the due diligence investigation. **Unless otherwise directed**, an initial deposit of **$3,000 CAD** must be provided with the completed application package. The investigation will not commence until the full amount of the requested deposit is received. See "Instructions - DEPOSIT" for further information.

   Cheque for the initial deposit: .....Attachment#_____

   Contact Due Diligence at duediligence@aglc.ca for EFT or wire transfer information

4. Business Address:

Business Street Address			
City	Province/State	Postal/Zip Code	Country
Telephone Number		Website	
Mailing Address ❑ Same as business address			
City	Province/State	Postal/Zip Code	Country
Telephone Number		Website	

5. Company Representative to contact regarding **all matters**:

Name		Position
Date of Birth (YYYY/MM/DD)	Telephone Number	Email Address

6. Applicant is a:

❑ Corporation ❑ Partnership ❑ Limited Liability Company ❑ Joint Venture ❑ Other (if other – please specify below)
Date and Jurisdiction of Incorporation:

7. Is the Applicant known by any other name
☐ No ☐ Yes - List all names the Applicant is known by. List all names used for previous ten years.

8. Provide a copy of the appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

	Document Attached?	Attachment #
i. Certificate and Articles of Incorporation	☐ No ☐ Yes	_____
ii. Alberta Extra-Provincial Registration	☐ No ☐ Yes	_____
iii. Share Register(s) or Share Certificate(s)	☐ No ☐ Yes	_____
iv. Memorandum of Association	☐ No ☐ Yes	_____
v. Unanimous Shareholders Agreement	☐ No ☐ Yes	_____
vi. Partnership Agreement	☐ No ☐ Yes	_____
vii. Registration under Canada Corporations Act	☐ No ☐ Yes	_____
viii. Other - specify	☐ No ☐ Yes	_____

CORPORATE STRUCTURE

9. Has the Applicant **ever** made application for or held any cannabis licences, registrations or approvals in any **other** jurisdiction?

☐ No ☐ Yes – **Check (☑) one**

Name & Address of Regulatory Agency	Contact Name & Telephone Number	Licence / Registration Type	Date Licensed & Status	Details

10. List all **current** owners, shareholders (investors, promoters, parent or holding companies), and partners (in a partnership).

i. Personal OR Associated Applicant Disclosures must be provided.

ii. Disclosures are not required for shareholders/partners of less than 10% **of the Applicant**; **however, these must be listed** and disclosures may be required at a later date.

Name of Shareholder (Individual or Corporation)	Position or Relationship	% of Ownership

Initial_____ Date: _____

11. List all other corporate entities **currently** associated to the Applicant include all subsidiary companies and those the Applicant has a financial, organizational or managerial interest in. Disclosures may be requested. Provide details as to the nature and extent of any financial, organizational or managerial interest.

Name	Relationship	Contact Name & Telephone Number

12. List all **current** directors and officers. Personal Disclosures **must be provided** for all individuals listed.

Name	Position

13. **Attach** a current organizational chart showing the reporting structure and full names of all key employees: ..... Attachment # _____

14. Total current number of employees - **Applicant**: _____

Initial_____ Date: _____

15. Has the Applicant ever been licenced/registered with AGLC?

☐ No ☐ Yes – **Check (☑) one**

Licence/Registration Type	Date Licenced/Registered & Status	Details

16. ***Retail Applicants only*** **-** Has the Applicant ever been involved in any capacity in the production, distribution or sale of Cannabis?

☐ No ☐ Yes – **Check (☑) one**

Name & Address of Regulatory Agency	Date	Contact Name & Telephone Number	Details

Initial_____ Date: _____

17. List all **current key** employees. Personal Disclosures **must be provided** for all individuals listed.

Name	Position	Individual & Position Reporting To

Initial_____ Date: _____

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing the **Applicant's** character, honesty and integrity and may result in the Applicant being denied a licence/registration.

A. An Applicant may not be eligible for licence/registration if the character, financial history or competence of the Applicant or any associated person (including but not limited to an owner, shareholder, director, officer, key employee, or partner of any individual shareholder, director, officer or key employee) poses a threat to the integrity of the retail of cannabis.

B. Enquiries will be made to determine if the Applicant or any associated person has ever been charged with or convicted of, or is subject to pending charges for a criminal, regulatory, civil or other statutory offence.

C. The Applicant and all associated persons must provide full disclosure of all criminal and civil proceedings on the appropriate disclosures.

D. Failure to disclose any such involvement will be taken into account when assessing the Applicant's eligibility for licence/registration.

E. The particulars of any offence or claim and the sentence or penalty imposed will be reviewed to determine whether a conviction or charge affects the Applicant's eligibility for licence/registration.

F. INSTRUCTIONS

1. Answer **"Yes"** and provide all information **even if**
   - **i.** The charges were dismissed or subsequently downgraded to a lesser charge.
   - **ii.** The Applicant was not convicted.

   If answering **yes** ensure you check (☑) the appropriate box and list all incidents as requested.

2. Answer **"No"** if any records relating to a charge or conviction have been expunged or otherwise officially sealed by a court or government agency.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

Initial_____ Date: _____

Criminal / Litigation / Disciplinary Information - Continued

18. Has the Applicant **ever** been investigated for, charged with or convicted of a criminal offence or other violation of any statute, regulation or code?

☐ No ☐ Yes – **Check (☑) one**

Date	Reason for Investigation, Charge or Conviction	Disposition and Sentence	Enforcement Agency Name and Location

19. Has the Applicant **ever** had any licenses, registrations or approvals denied, suspended, revoked or made subject to any sanctions or fines?

☐ No ☐ Yes – **Check (☑) one**

Type of Licence/Registration	Name of Licensing Agency and Contact Name and Telephone Number	Date of and Reason(s) for Denial, Suspension, Revocation or Condition

20. Has the Applicant **ever** been the defendant or plaintiff in a lawsuit in the last five years? (Include all collection matters, debt matters, bankruptcy, insolvency or liquidation.)

☐ No ☐ Yes – **Check (☑) one**

Date of Order, Judgment or Decree	Docket/File Number	Details	Issuing Court and Location

Initial_____ Date: _____

FINANCIAL INFORMATION

INSTRUCTIONS Ensure all questions are answered and all documents are provided.

21. Financial Statements – attach financial statements for the last three years ..... Attachment #_____

22. Attach copies of completed income tax returns for each jurisdiction in which the Applicant is required to file for the last three years. Include all schedules, information slips and Notices of Assessment/Re-assessment. ..... Attachment #_____

23. The following documents must be provided:

    i. Retail store budget (**for Cannabis Retailers only**), including start-up costs, if applicable. ..... Attachment #_____

    ii. Business plan. ..... Attachment #_____

    iii. Source of funds (i.e. bank statement, loan agreement, shareholder loan account etc.). ..... Attachment #_____

24. If the Applicant is operating in jurisdictions outside of Canada or the United States, provide a credit bureau report completed within the last month, for each jurisdiction. ..... Attachment #_____

25. Is the Applicant a publicly traded company?

    ☐ No ☐ Yes – **Check (☑) one**

Stock Symbol	Exchange

    i. A copy of the current non-objecting beneficial owners (NOBO) list, or equivalent, for companies trading in and outside of Canada

    ..... Attachment #_____

    ii. A copy of the securities register. ..... Attachment #_____

    iii. Are stocks traded over the counter? ☐ No ☐ Yes – **Check (☑) one**

26. Has the Applicant or any person(s) associated to the Applicant entered into any type of contract or agreement (i.e. franchise, management or service contract/agreement) with respect to any cannabis activity?

☐ No ☐ Yes – **Check (☑) one**

Name	Relationship, if any, to Applicant	Contract	Amount Paid	Purpose	Terms	Attachment #

27. List all current financial obligations of the Applicant Entity.

Date of Loan	Source of Funds Lender Name, Contact Name and Telephone Number	Collateral Pledged	Guarantor(s) Name (if applicable)	Reason for Loan and Type of Loan	Amount Borrowed	Amount Outstanding	Interest Rate & Term	Attachment #

The Applicant MUST notify AGLC immediately of any changes to the above list after it has been submitted.

Initial_____ Date: _____

CORPORATE DECLARATION

COMPANY OWNER, PRESIDENT OR OFFICER COMPLETING DISCLOSURE APPLICATION

Name_____ Position _____

Telephone _____ Email _____

Address _____

I, _____
*(**PRINT** Company Owner, President or Officer Name)*

Do solemnly declare that

1. I have prepared this disclosure on behalf of _____ (Applicant name), and have read the Applicant Disclosure and have verified all information contained therein.
2. I have provided an answer to or reviewed every question on this Disclosure, declaring that the information provided is true, accurate and complete to the best of my knowledge.
3. I confirm that all required Disclosures and other documentation have been provided.
4. Any document accompanying this Disclosure that is not an original document, is a true copy of the original document.
5. I have executed the disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence/registration/approval by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any finding of suitability to be suspended or revoked.

I make this solemn declaration conscientiously believing it to be true and knowing it is of the same force and effect as if made under oath

DATED at the city of_____in the province/state of _____

this_____day of_____, 20_____.

_____
Applicant Owner, President or Officer Signature

CONSENT TO RELEASE INFORMATION

Applicant's Name _____

Alberta Gaming, Liquor & Cannabis ("AGLC") is required to conduct background checks and collect information to determine the eligibility of Applicants for licences and registrations pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. This consent form will allow AGLC to verify and investigate the information provided by the Applicant in the Applicant disclosure application form. AGLC authority to collect personal information from third party sources is section 34(1)(a)(i) and(ii) of the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c.F-25 (FOIP) pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation. AGLC is required under the *FOIP Act* to protect the confidentiality of personal information and to use and disclose the information only for the purpose for which it was collected.

1. I hereby authorize AGLC to verify all information provided in the Applicant Disclosure form to which this consent form is attached (the "Applicant Disclosure").

2. I executed the Applicant Disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence/registration by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any licence/registration to be suspended or revoked.

3. For the purposes of this Consent to Release Information, I acknowledge that the Applicant has, or has had, an interest in any company or person if it currently has or has previously had any interest by way of ownership, financial or management.

4. I authorize AGLC to share or exchange the information I have provided only with those persons listed in clause 5, 6 or 7 below and only for the purposes of verifying or confirming the accuracy of the information.

5. I hereby authorize and request the following persons to whom this consent form is presented,

   i) Canada Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign taxing authority;

   ii) any financial institutions, foreign or domestic, including banks, credit unions, trust companies, investment dealers or brokerage houses; or

   iii) credit reporting agencies, foreign or domestic,

   to release information to AGLC and permit AGLC to review and obtain copies of any and all documents, records or correspondence, including but not limited to, past loan information, notes signed or co-signed by me, account records of any type, passbooks, safety deposit records, and general ledger folios or entries, that are necessary to verifying my total income, sources of income, assets and liabilities.

6. I hereby authorize and request the following persons to whom this consent form is presented,

   i) any law enforcement agency, police service or sheriff's office, foreign or domestic;

   ii) any regulatory, licensing or administrative body foreign or domestic; or

   iii) any federal, provincial, state, or municipal government, foreign or domestic,

   to release information to AGLC and permit AGLC to review and obtain copies of any and all documents, records or correspondence, that are necessary to determining the Applicant's eligibility for a licence/registration, or whether or not the Applicant may be a detriment to the integrity or lawful conduct of cannabis retail activities, by verifying whether or not

   iv) The Applicant has acted, or is alleged to have acted, or any company in which the Applicant has an interest in has acted, or is alleged to have acted in any manner not in accordance with federal, provincial, state, or municipal law;

   v) Any kind of cannabis retailer licence of which the Applicant held an interest in was refused, cancelled or suspended in any other jurisdiction;

   vi) The Applicant, or any licensee of which the Applicant held an interest in, received any fines or other sanctions in another jurisdiction pursuant to any cannabis retailer, securities, financial or criminal legislation or policy; or

   vii) The Applicant has connections, business or personal, with other individuals or corporations who may have acted, or who are alleged to have acted in any manner not in accordance with federal, provincial, state or municipal law or who have been subject to any investigations referred to in vi) above.

7. I hereby authorize and request all law enforcement agencies, foreign or domestic, to whom this consent form is presented that have documents related to or concerning the Applicant to provide those documents to AGLC that are necessary for conducting a criminal records check.

8. I acknowledge that the Applicant shall not be entitled to make any claim against a party to whom this consent form is presented in respect of the release of information or documents in good faith to AGLC.

Dated this_____ day of _____, A.D., 20 _____

_____	_____
Company Owner, President or Authorized Representative Signature	PRINTED Title

Associated Applicant Disclosure

Cannabis Retailer/Cannabis Representative

Alberta Gaming, Liquor & Cannabis (AGLC) may make a finding of suitability of a Cannabis Retailer or Cannabis Representative after a thorough investigation of the Associated Applicant, including but not limited to the Associated Applicant's background, associates and financial history. Full disclosure is required from the Associated Applicant.

The finding of suitability for a Cannabis Retailer or Cannabis Representative is a privilege not a right. The burden of proving eligibility is at all times the responsibility of the Associated Applicant.

A licence or registration is automatically cancelled on a sale, assignment or transfer that results in a change of control in the ownership structure (shareholder, financial interest, share structure) of the Applicant. A sale, assignment or transfer of a portion of a business that does not result in a change in control must be reported to AGLC and must be approved.

Any proposed change must be approved and a due diligence investigation conducted by AGLC. Please notify AGLC *prior to* the transaction taking place.

Read the Instructions carefully – it contains important information required for the Applicant and any associated persons to complete their portion of the application package.

Digital Signatures - AGLC accepts handwritten signatures and digital signatures using a digital ID. A digital ID proves your identity and contains your name and email address, the name of the organization that issued it, a serial number, and an expiration date.

Submit the completed form electronically via SecureWeb. Please contact us for electronic submission instructions at duediligence@aglc.ca.

All information and documents provided as part of this application package become the property of AGLC and will not be returned. **Keep a copy of all disclosures for your records.** You may be contacted for further information, documents or clarification.

For further information please contact Due Diligence at duediligence@aglc.ca.

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor and Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence or registration.
3. **Associated Applicant** – Any corporate or other entity that is or will be a(n)
   - **i.** Owner of the **Applicant**,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter of the **Applicant**,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any corporate or other entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a-licence under the *Gaming, Liquor and Cannabis Act* (Alberta) that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Representative** –
   - **i.** No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.
   - **ii.** No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is qualified with AGLC for that purpose.
6. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
7. **Control** –
   - **i.** Power to direct.
   - **ii.** Any direct or indirect influence which, if exercised, would result in control in fact of the corporation whether directly through the ownership structure, or indirectly through a trust, a contract, ownership of shares, stocks, equities or securities of another corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an Associated Applicant that has direct or indirect control of 10% or more of the **Applicant**.
8. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
9. **Director** –
   - **i.** Those individuals acting collectively to whom the duty of managing the general affairs of the company is delegated by the shareholders. Their duty is to conduct the business of the company for the greatest benefit of the shareholders.
   - **ii.** Any individual acting in a capacity similar to that of director of a company.
   - **iii.** A trustee, officer, member of an executive committee and any individual occupying a similar position.
10. **Financial Interest** – Includes any direct, indirect or contingent interest
    - **i.** Whether as owner, partial or otherwise, of an interest, beneficial owner, owner of shares or owner through trusteeship, investment or otherwise, or
    - **ii.** In management, whether by management agreement, partnership agreement or other agreement, or
    - **iii.** Because of having loaned or advanced or caused to be loaned or advanced money or anything of value, with or without security, or
    - **iv.** Any individual or corporate entity related to an applicant or associated applicant that holds a direct or indirect financial interest of 10% or more in the **Applicant**.
11. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.

ii. Individuals employed in senior management positions such as CEO, CFO, controller, senior compliance officers, or any other individual who performs functions for a company similar to those normally performed by an individual occupying any of these offices.

iii. Any other individual holding a key position as determined by AGLC.

12. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta) and, includes an agreement, permit, certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act (Alberta).*

13. **Officer** –

i. An individual employed in connection with the administration and management of a department.

ii. The chairman and vice-chairman of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer, general manager and any other individual designated an officer by by-law or resolution of the directors, and any other individual who performs functions for a company similar to those normally performed by an individual occupying any of those offices.

iii. The chairman, president, vice-president, secretary, treasurer, comptroller, general counsel, general manager, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

14. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the applicant by virtue of an adult interdependent relationship.

15. **Promoter** – Any individual, corporation or other entity who

i. Acting alone or in concert with one or more other individuals or corporate entities, directly or indirectly takes the initiative in founding, organizing or substantially reorganizing a business; or

ii. In connection with the founding, organization or substantial reorganization of the business, directly or indirectly receives, in consideration of services or property or both, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

16. **Qualified Cannabis Worker** –

i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

ii. No individual may act as a worker unless qualified by AGLC.

B. Completing the Disclosure

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the Applicant and an Associated Applicant(s).

2. AGLC may request disclosure from other individuals and entities associated with the Applicant.

3. An answer must be provided for every question – do not leave blank spaces

i. If a question does not apply, write "Does not Apply" or "N/A".

ii. If there is nothing to disclose, write "None".

iii. Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.

4. All disclosures must be typed or printed clearly. Illegible disclosures will not be processed.

5. The disclosure may not be modified in any way. Modified disclosures will not be processed.

6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.

7. All attachments must be clearly labelled as "Attachment 1, Attachment 2, Attachment 3," etc. The attachment number must then be noted **in the space provided beside** the applicable question.

8. All attachments must be an accurate copy of the original, and be signed by you.

9. The Associated Applicant owner, president or officer must complete and sign* the "Corporate Declaration" declaring that the information provided is true, accurate and complete, and that all requested documentation is provided.

**AGLC accepts handwritten and digital signatures using a digital ID*

10. The Associated Applicant owner, president, officer **OR** an individual designated by the Associated Applicant's owner, president or officer (Company Representative) must sign*/initial the appropriate disclosure as follows:

    i. Initial and date each page using to verify all statements made are accurate, all material facts are included, and all requested information and documentation are provided.

    ii. Sign* the "Consent to Release Information".

    **AGLC accepts handwritten and digital signatures using a digital ID*

11. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.

12. Incomplete disclosures will not be processed.

C. Important Information

1. All information and documents provided as part of this disclosure

    i. Become the property of AGLC and will not be returned.

    ii. Are confidential and will be treated as such.

    iii. Are for AGLC's use to determine the Applicant's eligibility for a licence or registration.

    iv. Will be verified through an investigative process – further information, documents or clarification may be requested.

D. Protection of Information

1. The information collected in this disclosure is only used in determining the eligibility of the Applicant for a licence or registration and will not be shared with other AGLC units without consent.

2. The specific legal authority for the collection of this information is the *Gaming, Liquor and Cannabis Act* (Alberta) and the Gaming, Liquor and Cannabis Regulation (Alberta) and FOIP Sections 33(a) & (c).

3. All application packages shall be kept confidential and shall only be released in accordance with the

    i. Consent to Release Information.

    ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

4. The FOIP Act defines personal information as "recorded information about an identifiable individual", such as the individual's

    i. Name, address or telephone number.

    ii. Age, gender, marital or family status.

    iii. Any identifying number or other symbol.

    iv. Financial, criminal or employment history.

5. Inquiries regarding the collection of this information should be directed to Due Diligence at duediligence@aglc.ca.

6. Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

CORPORATE DOCUMENT CHECKLIST | CANNABIS ASSOCIATED APPLICANT - Due Diligence Investigation

This document must be completed and submitted with your application as **the cover page**. Gather your documents in the order of the checklist and check ☑ each item.

For important information and details, please refer to the Instructions section of the disclosure form or contact Due Diligence Unit at duediligence@aglc.ca.

If your application package is missing any of the applicable information, signatures or documents listed in this checklist, your application will not be processed.

FORMS LIST: the following forms must be completed, signed and dated:

☐ Associated Applicant Disclosure Form (8016) including Corporate Declaration and Consent to Release Information

DOCUMENTS LIST:

Provide an accurate photocopy of the original appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

☐ Certificate and Articles of Incorporation/Change to Certificate and Articles of Incorporation
☐ Share Register(s) or Share Certificate(s)
☐ Unanimous Shareholder Agreement (if applicable)
☐ Partnership Agreement (if applicable)
☐ Current ownership structure chart showing all direct/indirect ownership relationships
☐ Current organizational chart showing the reporting structure and full names & titles of all key employees
☐ Financial statements for the last three years including all notes to financial statements
☐ Corporate income tax returns including all schedules for each jurisdiction in which the Applicant is required to file
☐ Notices of Assessment/Reassessment from Canada Revenue Agency (or similar tax authority)

If any of the above documents are *not* attached, please provide an explanation:

_____

_____

☐ Have all questions been answered?
☐ Have all pages been initialed and dated?
☐ Has the Corporate Declaration been signed?
☐ Has the Consent to Release Information been signed?

***TO AVOID DELAYS**, Applicants are strongly encouraged to*

- *use fillable PDF forms*
- *submit the complete package electronically by SecureWeb*

Please contact the Due Diligence unit at duediligence@aglc.ca for electronic submission or mailing instructions.

ASSOCIATED APPLICANT IDENTITY

1. Associated Applicant Corporate Information:

Legal Name
This Associated Applicant Disclosure is being completed on behalf of the following Cannabis Retailer/Cannabis Representative

2. Is the Associated Applicant known by any other name?
   ☐ No ☐ Yes - List all names the Associated Applicant is known by.

3. Business Address:

Business Street Address			
City	Province/State	Postal/Zip Code	Country
Telephone Number		Website	
Mailing Address ☐ Same as business address			
City	Province/State	Postal/Zip Code	Country

4. Company Representative to contact regarding **all matters**:

Name		Position
Date of Birth (YYYY/MM/DD)	Telephone Number	Email Address

5. Associated Applicant is a:

☐ Corporation ☐ Partnership ☐ Limited Liability Company ☐ Joint Venture ☐ Other (if other – please specify below)
Date and Jurisdiction of Incorporation:

6. Provide a copy of the appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

		Document Attached?	Attachment #
i.	Certificate and Articles of Incorporation	☐ No ☐ Yes	_____
ii.	Share Register(s) or Share Certificate(s)	☐ No ☐ Yes	_____
iii.	Memorandum of Association	☐ No ☐ Yes	_____
iv.	Unanimous Shareholders Agreement	☐ No ☐ Yes	_____
v.	Partnership Agreement	☐ No ☐ Yes	_____
vi.	Registration under Canada Corporations Act	☐ No ☐ Yes	_____
vii.	Other - specify	☐ No ☐ Yes	_____

CORPORATE STRUCTURE

7. List the Associated Applicant's current owners, shareholders (investors, promoters, parent or holding companies), and partners (in a partnership).
   i. Personal OR Associated Applicant Disclosures must be provided.
   ii. Disclosures are not required for shareholders/partners of less than 10% **of the Applicant**; **however, these must be listed** and disclosures may be required at a later date.

Shareholder Name (Individual/Corporation)	Position or Relationship	% of Ownership

8. List all **current** directors and officers of the Associated Applicant. Personal Disclosures **must be provided** for all individuals listed.

Name	Position

9. Attach **current** organizational charts showing the ownership and reporting structure including all key employees .....Attachment # _____

10. Total current number of employees – **Associated Applicant**: _____

11. List all **current key** employees. Personal Disclosures **must be provided** for all individuals listed.

Name	Position	Individual and Position Reporting To

12. List all other corporate entities **currently** associated to the Associated Applicant. Include all subsidiary companies and those the Associated Applicant has a financial, organizational or managerial interest in.

Name	Relationship	Contact Name & Telephone Number

Initial_____ Date: _____

ASSOCIATED APPLICANT'S ASSOCIATION WITH APPLICANT AND/OR OTHER ASSOCIATED PERSON(S)

13. Is/will the Associated Applicant be an owner, investor, partner (in a partnership), promoter or shareholder in the Applicant and/or other Associated Applicant(s)?

☐ No ☐ Yes **Check (☑) one** If yes, complete the following. Indicate ownership/investment for any other Associated Applicant with an asterisk (*).

(*)	Amount invested / to be invested	# and % of shares/units held / to be held	Class (voting, non-voting, preferred)	How was/will the investment be made (shareholder loan, purchase of shares/units)	Source of investment (personal savings, loan or investment) and repayment plan. Attach a copy of all agreements, documents and financial records for each transaction.

14. Will the Associated Applicant's interest in either the Applicant or a second Associated Applicant be assigned, pledged or sold either in whole or in part?

☐ No ☐ Yes **Check (☑) one** If yes, complete the following. Indicate with an asterisk (*) if for a second Associated Applicant.

(*)	Person(s) Name	Contact Name (if applicable) and Mailing Address	Telephone #	Agreements, documents, financial records Attachment #

Initial_____ Date: _____

15. Has the Associated Applicant ever been licenced/registered with AGLC?

☐ No ☐ Yes – **Check (☑) one**

Licence/Registration Type	Date Licenced/Registered & Status	Details

16. Has the Associated Applicant ever been involved in any capacity in the production, distribution or sale of Cannabis?

☐ No ☐ Yes – **Check (☑) one**

Name & Address of Regulatory Agency	Date	Contact Name & Telephone Number	Details

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing the **Associated Applicant's** character, honesty and integrity and may result in the **Applicant** being denied a licence/registration.

A. An Applicant may not be eligible for licence/registration if the character, financial history or competence of the Applicant or any associated person (including but not limited to an owner, shareholder, director, officer, key employee, or partner of any individual shareholder, director, officer or key employee) poses a threat to the integrity of the retail of cannabis.

B. Enquiries will be made to determine if the Applicant or any associated person has ever been charged with or convicted of, or is subject to pending charges for a criminal, regulatory, civil or other statutory offence.

C. The Applicant and all associated persons must provide full disclosure of all criminal and civil proceedings on the appropriate Disclosures.

D. Failure to disclose any such involvement will be taken into account when assessing the Applicant's eligibility for licence/registration.

E. The particulars of any offence or claim and the sentence or penalty imposed will be reviewed to determine whether a conviction or charge affects the Applicant's eligibility for licence/registration.

F. **INSTRUCTIONS**

1. Answer **"Yes"** and provide all information **even if**:

i. The charges were dismissed or subsequently downgraded to a lesser charge.

ii. The Associated Applicant was not convicted.

If answering **yes** ensure you check (☑) the appropriate box and list all incidents as requested.

2. Answer **"No"** if any records relating to a charge or conviction have been expunged or otherwise officially sealed by a court or government agency.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

17. Has the Associated Applicant **ever** been investigated for, charged with or convicted of a criminal offence or other violation of any statute, regulation or code?

☐ No ☐ Yes – **Check (☑) one**

Date	Reason for Investigation, Charge or Conviction	Disposition and Sentence	Enforcement Agency Name and Location

18. Has the Associated Applicant **ever** had any licences, registrations or approvals denied, suspended, revoked or made subject to any sanctions?

☐ No ☐ Yes – **Check (☑) one**

Type of Licence/Registration	Name of Licensing Agency and Contact Name and Telephone Number	Date of and Reason(s) for Denial, Suspension, Revocation or Condition

19. Has the Associate Applicant **ever** been the defendant or plaintiff in a lawsuit in the last five years? (Include all collection matters, debt matters, bankruptcy, insolvency or liquidation.)

☐ No ☐ Yes – **Check (☑) one**

Date of Order, Judgment or Decree	Docket/File Number	Details	Issuing Court and Location

FINANCIAL INFORMATION

INSTRUCTIONS Ensure all questions are answered and all documents are provided.

20. Financial Statements – attach financial statements for the last three years..... Attachment #_____

21. Attach copies of completed income tax returns for each jurisdiction in which the Applicant is required to file for the last three years. Include all schedules, information slips and Notices of Assessment/Re-assessment..... Attachment #.....

22. Is the Applicant a publicly traded company?

☐ No ☐ Yes – **Check (☑) one**

Stock Symbol	Exchange

23. Has the Associated Applicant or any person(s) associated to the Associated Applicant entered into any type of management, franchise, service contract or agreement with respect to any cannabis activity?

☐ No ☐ Yes – **Check (☑) one**

Name	Relationship, if any, to Associated Applicant	Contract	Amount Paid	Purpose	Terms	Attachment #

CORPORATE DECLARATION

COMPANY OWNER, PRESIDENT OR OFFICER COMPLETING DISCLOSURE APPLICATION

Name_____ Position _____

Telephone _____ Email _____

Address _____

I, _____
*(**PRINT** Company Owner, President or Officer Name)*

Do solemnly declare that

1. I have prepared this disclosure on behalf of _____ (Applicant name), and have read the Applicant Disclosure and have verified all information contained therein.
2. I have provided an answer to or reviewed every question on this Disclosure, declaring that the information provided is true, accurate and complete to the best of my knowledge.
3. I confirm that all required Disclosures and other documentation have been provided.
4. Any document accompanying this Disclosure that is not an original document, is a true copy of the original document.
5. I have executed the disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence/registration/approval by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any finding of suitability to be suspended or revoked.

I make this solemn declaration conscientiously believing it to be true and knowing it is of the same force and effect as if made under oath

DATED at the city of_____in the province/state of _____

this_____day of_____, 20_____.

_____
Company Representative Signature

CONSENT TO RELEASE INFORMATION

Associated Applicant's Name _____

Alberta Gaming, Liquor & Cannabis ("AGLC") is required to conduct background checks and collect information to determine the eligibility of Applicants for licences and registrations pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. This consent form will allow AGLC to verify and investigate the information provided by the Applicant in the Applicant Disclosure application form. AGLC authority to collect personal information from third party sources is section 34(1)(a)(i) and(ii) of the Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c.F-25 (FOIP) pursuant to section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation. AGLC is required under the *FOIP Act* to protect the confidentiality of personal information and to use and disclose the information only for the purpose for which it was collected.

1. I hereby authorize AGLC to verify all information provided in the Associated Applicant disclosure form to which this consent form is attached (the "Associated Applicant Disclosure").

2. I executed the Associated Applicant Disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence/registration by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any licence/registration to be suspended or revoked.

3. For the purposes of this Consent to Release Information, I acknowledge that the Associated Applicant has, or has had, an interest in any company or person if it currently has or has previously had any interest by way of ownership, financial or management.

4. I authorize AGLC to share or exchange the information I have provided only with those persons listed in clause 5, 6 or 7 below and only for the purposes of verifying or confirming the accuracy of the information.

5. I hereby authorize and request the following persons to whom this consent form is presented,

   i) Canadian Customs and Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign taxing authority;

   ii) any financial institutions, foreign or domestic, including banks, credit unions, trust companies, investment dealers or brokerage houses; or

   iii) credit reporting agencies, foreign or domestic,

   to release information to AGLC and permit AGLC to review and obtain copies of any and all documents, records or correspondence, including but not limited to, past loan information, notes signed or co-signed by me, account records of any type, passbooks, safety deposit records, and general ledger folios or entries, that are necessary to verifying my total income, sources of income, assets and liabilities.

6. I hereby authorize and request the following persons to whom this consent form is presented,

   i) any law enforcement agency, police service or sheriff's office, foreign or domestic;

   ii) any regulatory, licensing or administrative body foreign or domestic; or

   iii) any federal, provincial, state, or municipal government, foreign or domestic,

   to release information to AGLC and permit AGLC to review and obtain copies of any and all documents, records or correspondence, that are necessary to determining the Associated Applicant's eligibility for a licence/registration, or whether or not the Associated Applicant may be a detriment to the integrity or lawful conduct of cannabis retail activities, by verifying whether or not

   iv) The Associated Applicant has acted, or is alleged to have acted, or any company in which the Associated Applicant has an interest in has acted, or is alleged to have acted in any manner not in accordance with federal, provincial, state, or municipal law;

   v) Any kind of cannabis retailer licence of which the Associated Applicant held an interest in was refused, cancelled or suspended in any other jurisdiction;

   vi) The Associated Applicant, or any licensee of which the Associated Applicant held an interest in, received any fines or other sanctions in another jurisdiction pursuant to any cannabis retailer, securities, financial or criminal legislation or policy; or

   vii) The Associated Applicant has connections, business or personal, with other individuals or corporations who may have acted, or who are alleged to have acted in any manner not in accordance with federal, provincial, state or municipal law or who have been subject to any investigations referred to in vi) above.

7. I hereby authorize and request all law enforcement agencies, foreign or domestic, to whom this consent form is presented having documents relating to or concerning the Associated Applicant to provide those documents to AGLC that are necessary for conducting a criminal records check.

8. I acknowledge that the Associated Applicant shall not be entitled to make any claim against a party to whom this consent form is presented in respect of the release of information or documents in good faith to AGLC.

Dated this _____ day of _____ , A.D., 20 _____

_____ _____

Company Owner or President Signature PRINTED Title

Personal Disclosure

Cannabis Retailer/Cannabis Representative

Alberta Gaming, Liquor & Cannabis (AGLC) may make a finding of suitability after a thorough investigation of the Personal Applicant, including but not limited to the Personal Applicant's background, associates and finances. Full disclosure is required from the Personal Applicant.

The finding of suitability is a privilege not a right. The burden of proving eligibility is at all times the responsibility of the Personal Applicant.

Read the Instructions carefully – it contains important information that is required for the completion of the disclosure package.

Digital Signatures - AGLC accepts handwritten signatures and digital signatures using a digital ID. A digital ID proves your identity and contains your name and email address, the name of the organization that issued it, a serial number, and an expiration date.

Submit the completed form electronically via SecureWeb. Please contact us for electronic submission instructions at duediligence@aglc.ca.

All information and documents provided as part of this application package become the property of AGLC and will not be returned. **Keep a copy of all disclosures for your records.** You may be contacted for further information, documents or clarification.

For further information please contact Due Diligence at duediligence@aglc.ca.

INSTRUCTIONS

A. TERMS / DEFINITIONS

1. **AGLC** – Alberta Gaming, Liquor and Cannabis.
2. **Applicant** – Individual, corporation or other entity applying for a licence or registration.
3. **Associated Applicant** – Any corporate or other entity that is or will be a(n)
   - **i.** Owner of the **Applicant**,
   - **ii.** Partner (in a partnership),
   - **iii.** Promoter of the **Applicant**,
   - **iv.** Shareholder directly or indirectly controlling 10% or more of the shares in the **Applicant**, or
   - **v.** Any corporate or other entity with a direct or indirect financial interest of 10% or more in the **Applicant**.
4. **Cannabis Licence** - means a licence under the *Gaming, Liquor and Cannabis Act* (Alberta) that authorizes the purchase, sale, transport, possession, storage or use of cannabis.
5. **Cannabis Representatives** –
   - **i.** No cannabis supplier may authorize any person to be its representative in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.
   - **ii.** No person may act as the representative of a cannabis supplier in the sale of the supplier's cannabis unless the person is registered with AGLC for that purpose.
6. **Cannabis Supplier-** means a person who holds a licence under the federal Act that authorizes the person to produce cannabis for commercial purposes or to sell cannabis to AGLC.
7. **Control** –
   - **i.** Power to direct.
   - **ii.** Any direct or indirect influence which, if exercised, would result in control in fact of the corporation whether directly through the ownership structure, or indirectly through a trust, a contract, ownership of shares, stocks, equities or securities of another corporation or other entity.
   - **iii.** The ability to appoint, elect or cause the appointment or election of a director, whether or not that ability is exercised.
   - **iv.** Any owner, shareholder, other individual, or corporate entity related to an associated applicant that has direct or indirect control of 10% or more of the **applicant**.
8. **Controlling Interest** – the holding by an individual, group or corporate entity a majority of a business, giving the holder a means of exercising control.
9. **Director** –
   - **i.** Those individuals acting collectively to whom the duty of managing the general affairs of the company is delegated by the shareholders. Their duty is to conduct the business of the company for the greatest benefit of the shareholders.
   - **ii.** Any individual acting in a capacity similar to that of director of a company.
   - **iii.** A trustee, officer, member of an executive committee and any individual occupying a similar position.
10. **Financial Interest** – Includes any direct, indirect or contingent interest
    - **i.** Whether as owner, partial or otherwise, of an interest, beneficial owner, owner of shares or owner through trusteeship, investment or otherwise, or
    - **ii.** In management, whether by management agreement, partnership agreement or other agreement, or
    - **iii.** Because of having loaned or advanced or caused to be loaned or advanced money or anything of value, with or without security, or
    - **iv.** Any individual or corporate entity related to an applicant or associated applicant that holds a direct or indirect financial interest of 10% or more in the **applicant**.
11. **Key Employee –**
    - **i.** Individual(s) that exercise influence or control over the day to day operations or decision-making of a registrant or licensee.
    - **ii.** Individuals employed in senior management positions such as CEO, CFO, controller, senior

compliance officers, or any other individual who performs functions for a company similar to those normally performed by an individual occupying any of these offices.

iii. Any other individual holding a key position as determined by AGLC.

12. **Licence and/or registration** – a licence or registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta) and, includes an agreement, permit, certificate, finding of suitability, qualification or other authorization issued under the laws of a jurisdiction other than Alberta that, in AGLC's opinion, is similar to a licence/registration issued under the *Gaming, Liquor and Cannabis Act* (Alberta).

13. **Officer** –

i. An individual employed in connection with the administration and management of a department.

ii. The chairman and vice-chairman of the board of directors, the president, vice-president, secretary, assistant secretary, treasurer, assistant treasurer, general manager and any other individual designated an officer by by-law or resolution of the directors, and any other individual who performs functions for a company similar to those normally performed by an individual occupying any of those offices.

iii. The chairman, president, vice-president, secretary, treasurer, comptroller, general counsel, general manager, director, managing director or any other individual who performs functions for a corporation similar to those normally performed by an individual occupying any such office.

14. **Partner** – A reference to a partner of an individual includes a spouse, common-law spouse or individual connected to the applicant by virtue of an adult interdependent relationship.

15. **Promoter** – Any individual, corporation or other entity who

i. Acting alone or in concert with one or more other individuals or corporate entities, directly or indirectly takes the initiative in founding, organizing or substantially reorganizing a business; or

ii. In connection with the founding, organization or substantial reorganization of the business, directly or indirectly receives, in consideration of services or property or both, 10% or more of a class of shares or 10% or more of the proceeds from the sale of a class of shares.

16. **Qualified Cannabis Worker** –

i. Means an individual qualified with AGLC and who assists a Cannabis Retailer in the operation of a licensed premises.

ii. No individual may act as a worker unless qualified by AGLC.

B. Completing the Disclosure Application

1. Individuals are only required to complete **one** disclosure form, even though they may be related to both the applicant and an associated applicant(s).

2. AGLC may request disclosure from other individuals and entities associated with the applicant.

3. An answer must be provided for every question – do not leave blank spaces

i. If a question does not apply, write "Does not Apply" or "N/A".

ii. If there is nothing to disclose, write "None".

iii. Answers such as *see previous disclosure* or *no changes since last disclosure* are **NOT** acceptable when questions ask for current information.

4. All disclosures must be typed or printed clearly. Illegible disclosures will not be processed.

5. The disclosure may not be modified in any way. Modified disclosures will not be processed.

6. If additional space is required, either make additional copies of the page, or use additional paper and attach it to the appropriate page.

7. All attachments must be clearly labelled as "Attachment 1, Attachment 2, Attachment 3," etc. The attachment number must then be noted **in the space provided beside** the applicable question.

8. All attachments must be an accurate copy of the original, and be signed* by you.

9. The disclosure must be signed*/initialed as follows

**AGLC accepts handwritten and digital signatures using a digital ID*

i. Initial and date each page to verify all statements made are accurate, all material facts are included, and all requested information and documents are provided.

ii. Sign the consent to criminal and financial checks – your partner must also sign.

iii. Sign the Declaration.

iv. Sign the Consent to Release Information.

10. Keep a copy of this disclosure for your records. You may be contacted for further information, documents or clarification.

11. Incomplete disclosures will not be processed.

C. Important Information

1. All information and documents provided as part of this disclosure

   i. Become the property of AGLC and will not be returned.

   ii. Are confidential and will be treated as such.

   iii. Are for AGLC's use to determine the applicant's eligibility for a licence, registration or approval.

   iv. Will be verified through an investigative process – further information, documents or clarification may be requested.

D. Protection of Information

1. The information collected in this disclosure is only used in determining the eligibility of the applicant for a licence, registration or approval and will not be shared with other AGLC units without consent.

2. The specific legal authority for the collection of this information is the *Gaming, Liquor and Cannabis* Act (Alberta) and the *Gaming and Liquor Regulation* (Alberta) and FOIP Sections 33(a) & (c).

3. All application packages shall be kept confidential and shall only be released in accordance with the

   i. Consent to Release Information.

   ii. *Freedom of Information and Protection of Privacy Act* (FOIP Act) (Alberta).

4. The FOIP Act defines personal information as "recorded information about an identifiable individual", such as the individual's

   i. Name, address or telephone number.

   ii. Age, gender, marital or family status.

   iii. Any identifying number or other symbol.

   iv. Financial, criminal or employment history.

5. Inquiries regarding the collection of this information should be directed to Due Diligence at duediligence@aglc.ca.

6. Disclosure documents are classified "Protected B" and are handled as such. Details of these processes can be found here.

INDIVIDUAL DOCUMENT CHECKLIST | Cannabis Personal Applicant - Due Diligence Investigation

This document must be completed and submitted with your application as **the cover page**. Gather your documents in the order of the checklist and check ☑ each item.

For important information and details, please refer to the Instructions section of the disclosure form or contact the Due Diligence Unit at duediligence@aglc.ca.

If your application package is missing any of the applicable information, signatures or documents listed in this checklist, your application will not be processed.

FORMS LIST: the following forms must be completed, signed and dated:

- ☐ Personal Disclosure Form (8017) including Personal Declaration Form and Consent Waiver

DOCUMENTS LIST: for each key individual included in the application:

Provide an accurate photocopy of the original appropriate document(s) below. All documents in a language other than English must be translated. Provide both a photocopy of the original document and the translation in English.

- ☐ Criminal record check, if you and/or your partner reside outside of Canada for a period of more than six months at a time
- ☐ Credit bureau report, if you and/or your partner reside outside of Canada or the United States for a period of more than six months at a time
- ☐ Income tax Notices of Assessment/Reassessment from Canada Revenue Agency (or similar tax authority) for you and your partner

If any of the above documents are *not* attached, please provide an explanation:

_____

_____

- ☐ Has the Consent to criminal and financial checks been signed by your and your partner? (page 1)
- ☐ Have all questions been answered?
- ☐ Have all pages been initialed and dated?
- ☐ Has the Personal Declaration been signed?
- ☐ Has the Consent Waiver been signed?

***TO AVOID DELAYS**, the applicant is encouraged to*

- *use fillable PDF forms*
- *submit the complete package electronically by SecureWeb*

Please contact the Due Diligence unit at duediligence@aglc.ca for electronic submission or mailing instructions.

PERSONAL INFORMATION

1. Personal Information:

Last	First	Middle

Date of Birth (YYYY/MM/DD)	Place of Birth

Gender	Citizenship	Social Insurance Number/Social Security Number

Maiden name	List all aliases and name changes, including former married names, nicknames and the date changed

2. Addresses:

Home Address			
			☐ Rent ☐ Own
City	Province/State	Postal/Zip Code	Country

Home Telephone Number	Work Telephone Number	Cell Phone Number

E-mail Addresses (Work and Personal)

3. **Whereas you** will be involved in a sensitive position of trust, criminal and financial checks will be conducted on you and your partner.

   Consent to criminal and financial checks given by signing below.

_____ Your Signature*

_____ Spouse/Partner's Signature*

**AGLC accepts handwritten and digital signatures using a digital ID*

Initial_____ Date: _____

4. This disclosure is being completed on behalf of the **following Applicant(s) and/or Associate Applicant(s) (entity/corporation):**

5. Have you or your partner ever been a Director, Shareholder or Key Employee of an AGLC Registrant or Licensee? ☐ No ☐ Yes

6. Is this the first time you have completed a disclosure for AGLC? ☐ No ☐ Yes

7. List all residences for the past three years, beginning with current residence. **Attach copy of most recent property tax assessment for all currently owned property.**

Date		Owned or Rented	Monthly mortgage or rent payment	Property Details: Legal Land Description and Address (Street, City, Province/State, Country, Postal Code/Zip Code)
From (MO/YR)	To (MO/YR)			

8. Sign below to authorize AGLC to discuss this disclosure with an individual other than yourself:

☐ You **ONLY**, OR

Individual's Name			
Mailing Address	City	Province/State	Postal/Zip Code
Home Telephone Number	Work Telephone Number	E-mail Addresses (Work and Personal)	

I AUTHORIZE AGLC to contact and discuss any aspects of this disclosure with the individual named above:

SIGNED BY (YOU): _____

9. Have you or your partner ever been involved in any capacity in the production, distribution or selling of Cannabis? ☐ No ☐ Yes

EMPLOYMENT / WORK HISTORY

10. Current Employer Information:

Current Employer			Occupation/Title	Since Date	Salary
Address	City		Province/State	Postal/Zip Code	Country

11. List your employment history for the past ten years, including all periods of unemployment, starting with the most recent.

From (MO/YR)	To (MO/YR)	Position	Name of Employer	Reason for Leaving

Initial_____ Date: _____

FAMILY INFORMATION

12. I am **currently** ☐ Married ☐ Engaged ☐ Divorced ☐ Separated ☐ Widowed ☐ Single ☐ Common Law ☐ Cohabitating

13. If married, common-law or cohabitating, the following questions must be completed regarding your partner.

Note: A criminal records and financial check will be conducted on all spouses, who must sign the consent to a criminal records check and consent to financial check.

Last Name	First	Middle
Date of Birth (YYYY/MM/DD)	Gender	Social Insurance Number /Social Security Number
List all aliases and name changes, legal or otherwise, including nicknames, maiden name and former married names and the date changed		

Initial_____ Date: _____

14. List all compensated employment, held by your partner during the last three year period, beginning with their current employer.

From: (MO/YR)	To (MO/YR)	Name, Address and Telephone Number of Employer	Title/Position Held

i. Does your partner have any involvement with the cannabis industry?

☐ No ☐ Yes, provide details _____

15. List **all** your children, step-children and adopted children (dependent or not), and any other dependent individual(s).

Name	Birth Date	Relationship	Amount of Support Received	Dependant (Y/N)

16. Your current dependent/(ex-)partner support obligations

☐ I am not subject to a court order or other agreement for the support of a child/dependent or (ex-) partner.

☐ I am subject to a court order or other agreement for the support of a child/dependent or (ex-) partner, and am in compliance with the order/agreement.

☐ I am subject to a court order or other agreement for the support of a child/dependent or (ex-) partner, and am NOT in compliance with the order.

Public agency/court responsible for enforcing support order/agreement

Agency Name & Contact Person	Telephone Number	File Number

Initial_____ Date: _____

BUSINESS INTERESTS

When answering the following questions, indicate with an asterisk (*) before each item/line, answers that pertain to your partner or dependent.

17. List all corporations/entities that you or your partner have or have had a financial, ownership, organizational or shareholder interest in. Do not include publicly traded corporations in which you own less than 10% of stock. List all corporations owned during the past ten years.

(*)	Dates		Name and Location of Corporation/Entity	% interest held	Current Status of Business	Name & Address of Other Owners (Other than a publicly traded company)
	From (MO/YR)	To (MO/YR)				

18. List all corporations/entities that you or your partner are/were associated with as an officer, director or other similar capacity. Include non-profit societies, charitable entities and family trusts. List all associations for the past ten years.

(*)	Dates		Position Held and/or Nature of Interest	Compensation Received	Name and Address of Corporation/Entity
	From (MO/YR)	To (MO/YR)			

Initial_____ Date: _____

19. I am/will be associated with the corporate applicant and/or corporate associated applicants as one of the following – include all positions currently held or proposed:

Position	For Corporate Applicant Position Held and Since Date	For Corporate Associated Applicant Position Held and Since Date
☐ Owner/Investor		
☐ Director/Officer		
☐ Key Employee		

Initial_____ Date: _____

CRIMINAL / LITIGATION / DISCIPLINARY INFORMATION

IMPORTANT INFORMATION: Failure to provide full disclosure will be taken into account in assessing **your** character, honesty and integrity and may result in **you** being found unsuitable.

A. You may be found unsuitable if your character, financial history or competence poses a threat to the integrity of the retail of cannabis.

B. Enquiries will be made to determine if you, or your partner has ever been charged with or convicted of, or is subject to pending charges for a criminal, regulatory, civil or other statutory offence.

C. You must provide full disclosure of all criminal and civil proceedings on the appropriate disclosures.

D. Failure to disclose any such involvement will be taken into account when assessing the applicant's eligibility for a licence or registration.

E. The particulars of any offence or claim and the sentence or penalty imposed will be reviewed to determine whether a conviction or charge affects the applicant's eligibility for licence or registration.

Definitions:

Charge – Includes any indictment, information, summons or other notice of the alleged commission of a criminal offence.

Arrest – Includes any detaining, holding or taking into custody by any law enforcement authority to answer for the alleged performance of any offence.

Offence – Includes all offences, regardless of the seriousness, under any Federal, Provincial or Municipal statute, or violations of probation or any other court order.

INSTRUCTIONS

1. Provide all required information **even if**
   - **i.** The charges were dismissed or subsequently downgraded to a lesser charge.
   - **ii.** You completed an alternative measures or other similar program.
   - **iii.** You were not convicted.
   - **iv.** You did not serve any time in prison or gaol.
   - **iv.** The investigation, charges or offences happened in another jurisdiction.
2. Do not provide information in questions 20 and/or 21 if you were charged under the provisions of the *Youth Criminal Justice Act (Canada)* or other similar legislation.

Initial_____ Date: _____

20. If you and/or your partner reside **in the United States** for a period of more than six months at a time, attach a criminal record check from your local police agency *or* a third party vendor, for both you and your partner, **that includes but is not limited to the following**:
    - Nationally accredited by a professional association i.e. PBSA (Professional Background Screening Association)
    - Use of an SSN (Social Security Number) and DOB (Date of Birth) as identifiers
    - Multiple jurisdictions such as municipal, county and/or federal criminal records checks
    - Date of order and issuance

21. If you and/or your partner reside **in any other country,** outside of Canada and the United States, for a period of more than six months at a time, attach a criminal record check from the local police agency for both you and your partner.

Attachment(s) #: _____

22. List all instances where you or your partner have **ever** been: investigated, charged, arrested, or convicted of any offence (except minor traffic violations), regulation or code?

(*)	Date	Reason for Investigation, Arrest, Charge and/or Conviction	Disposition and Sentence	Enforcement Agency Name and Location

23. List all instances where you or your partner have **ever** been investigated, disciplined, fined or sanctioned by any regulatory body (i.e. cannabis, liquor, securities, professional, etc.).

(*)	Type of Licence/Registration	Name of Regulatory Body, Contact Name and Telephone Number	Date of, and Reason(s) for Denial, Suspension, Revocation or Condition

Initial_____ Date: _____

24. List all instances where you or your partner have been a defendant or plaintiff in any civil action or lawsuit in the last ten years?

(*)	Date	Reason for Action or Lawsuit	Disposition and/or Judgement	Court Type and Location

Initial_____ Date: _____

FINANCIAL

INSTRUCTIONS

1. Financial information must be provided for **you, your partner/spouse and adult dependents**. Indicate with an asterisk (*) before each item/line answers that pertain to your partner/spouse or dependent.
2. If not using Canadian funds, identify currency used. _____

25. If you and/or your partner reside outside of Canada for a period of more than six months at a time, attach a credit bureau report that is current within the last 3 months, for both you and your partner from each jurisdiction where you reside. Attachment(s) #: _____

26. Personal income tax Notices of Assessment/Re-assessment from Canada Revenue Agency, from the appropriate jurisdiction(s) for the last three (3) years **must be attached for both you and your spouse/partner**. Attachment(s) #: _____

27. Complete the following net worth statement:

Assets		Liabilities	
Asset	Current Value (A)	Liability	Amount Outstanding (B)
Cash (On Hand & In Financial Institutions)		Mortgages and/or Lease Obligation	
Stocks and Other Marketable Investments		Loans and Lines of Credit	
Vehicles		Credit Cards	
Real Estate Interests		Taxes Payable	
Cash Value Pension/Retirement Funds		Other Liabilities	
Other Assets		**Total Liabilities**	
Total Assets		Total Assets (A) **Less** Total Liabilities (B)	

28. If you answer yes to any of the following, include a narrative explaining your answer (as an attachment):
    - **i.** In the last ten years has any level of government filed a lien against or seized any of your or your partner's assets? ☐ No ☐ Yes
    - **ii.** In the last ten years have you or your partner been a defendant in any collection or debt matters? ☐ No ☐ Yes
    - **iii.** In the last ten years have you or your partner had your wages or assets garnisheed? ☐ No ☐ Yes
    - **iv.** In the last ten years have you or your partner applied for any financial monitoring or consumer proposal? ☐ No ☐ Yes
    - **v.** Have you or your partner ever declared bankruptcy? ☐ No ☐ Yes

Initial_____ Date: _____

PERSONAL DECLARATION

I, _____

(PRINT full LEGAL name)

of the city of _____ in the province/state of _

do solemnly declare that

1. I personally supplied and/or verified all information contained in this Personal Disclosure ("Disclosure"), and I have personally initialed and dated each page of thisDisclosure.

2. I understand and read the English language or I have had an interpreter read, explain and record the answer to each and every question on this Disclosure.

3. The information provided on this Disclosure is true, accurate and complete to the best of my knowledge, and all requested documentation has beenprovided.

4. Any document accompanying this Disclosure, that is not an original document, is an accurate copy of the original document.

5. I executed the disclosure with the knowledge that it is an official document and that failure to disclose or provide complete and accurate information on any portion of it may result in the Applicant being rejected for licence or registration by AGLC. I am further aware that later discovery of an omission or misrepresentation may be grounds for any finding of suitability to be suspended orrevoked.

I make this solemn declaration conscientiously believing it to be true and knowing that it is of the same force and effect as if made under oath.

DATED at the city of _____ in the province/state of _____,

this _____ day of _____ , 20 _____ .

_____

Your Signature

Alberta Gaming, Liquor & Cannabis (AGLC) is required to conduct background checks and collect information to determine the eligibility of applicants pursuant to the *Gaming, Liquor and Cannabis Act*, R.S.A. 2000, c.G-1. AGLC is required under the *Freedom of Information and Protection of Privacy Act* to protect the confidentiality of personal and corporate information. The information is strictly for the use of AGLC and is intended to be used for the purpose for which it was collected.

CONSENT TO RELEASE INFORMATION

Your Name: _____

Applicant Name: _____

1. I authorize AGLC to verify all information provided by me in the Personal Applicant Disclosure (the Disclosure) and/or other information identified during the course of the background investigation. The information is strictly for the use of AGLC and is intended to be used for the purpose of a background investigation pursuant to Section 9 and 9.1 of the Gaming, Liquor and Cannabis Regulation (GLCR).

2. I authorize the following entities to release to AGLC any documents, records or correspondence that are necessary in determining whether I may be a detriment to the integrity or lawful conduct of gaming or cannabis activities:

- **i)** Canada Revenue Agency, or the United States Internal Revenue Service, or other equivalent foreign taxing authority;
- **ii)** Financial institutions, including banks, credit unions, trust companies, investment dealers or brokerage houses;
- **iii)** Credit reporting agencies;
- **iv)** Law enforcement agencies, police services or sheriff's office, foreign or domestic;
- **v)** Other regulatory, licensing or administrative bodies, foreign or domestic; or
- **vi)** Federal, provincial, state, or municipal government, foreign or domestic.

3. I authorize AGLC to share as necessary with the entities listed above the information I have provided and/or other information identified during the course of the background investigation.

4. In the event there is a finding of unsuitability with respect to my application, I authorize AGLC to share as necessary, the information I have provided and/or information identified during the course of the background investigation with parties related to this application, including but not limited to the Applicant, as well as any hearing panel of AGLC.

5. I authorize AGLC to conduct ongoing investigations, including but not limited to checks for outstanding criminal charges, criminal records, police intelligence and credit bureau.

6. This authorization shall be in effect for the duration of the registration, licence or approval granted by AGLC.

7. I acknowledge that additional consent may be required for the collection of information from the entities listed above and agree to cooperate and provide any further consent as may be required throughout the course of the background investigation.

8. I acknowledge that I shall not be entitled to make any claim against a party to whom this consent form is presented in respect of the release of information or documents in good faith to AGLC.

9. I authorize a reproduction of this request to be treated as the original.

Dated this_____day of_____, 20_____

_____
Your Signature