

Guidance Notes

Who should complete this form?

This form should be completed by anyone wishing to:

- change contact details;
- change registered address;
- add, amend or remove premises;
- add or remove key personnel (where the operator does not qualify for Small Scale Operator exemption);
- add a shareholder holding between 3% and 9.99% equity;
- remove a shareholder whose shareholding has dropped below 3%;
- change the name of an Annex A holder (where the operator does not qualify for Small Scale Operator exemption);
- notify the Commission of a conviction against the operator or one of the key personnel;
- add or remove an equipment or service provider; or
- add or remove a third party white label.

You only need to complete the relevant questions.

General Information

- An Operating Licence can be remote or non-remote. Operators may hold a single Operating Licence or a combined Operating Licence. An operator can hold both remote and non-remote licences but they can not be combined and must be separate licences.
- Where a fee is due, if you hold more than one licence (ie. remote, non-remote or ancillary) the fee will be payable for each individual licence. Where multiple changes are made which only affect one licence, then only the highest fee is payable.
- This guidance has been written to help you complete the Operating Licence Notification of Change form. Please read this document carefully **before** you attempt to answer any questions.
- **If there are any changes to your circumstances or any of the information contained within this form changes during the period between submitting your application and your application being determined (for example if you are charged or convicted of an offence) you must notify the Commission immediately.**
- If the fee (where applicable) is not provided, the form is completed incorrectly or supporting documentation is missing or not provided upon request, **your application will be delayed and this may result in your application being determined based on the information we have available which may affect the decision on whether a licence can be granted.** If you misrepresent, or fail to reveal, information that you are asked to provide, you may have committed an offence under Section 342 of the Gambling Act 2005.

Completing the form

- The form will be scanned, therefore please complete all sections in **BLACK** ink only.
- Please write clearly within the boxes.
- Use **CAPITAL LETTERS** except when signing or providing an email address.
- Leave a space in between words.
- Mark with a cross (X) where a check box answer is required.

Street	Postcode	Date of Birth
S T A N L E Y R O A D	L S 2 7 L Y	1 4 0 2 1 9 7 0
Email address		
r i c h a r d . g r e g o r y		
@ b t i n t e r n e t . c o m		
Cross (X) box		
Yes	<input checked="" type="checkbox"/>	No <input checked="" type="checkbox"/>

- If you make a mistake, please fill in the box in solid black and write the correction clearly to the right.
- If there is no space to the right, write the correction as close as possible.

Surname	G
G R E G O R Y	

- Do not use correction fluid.
- Do not write over the edge of the boxes.
- Do not staple attachments to the form.

If there is not enough space on the form to answer your questions, please provide the additional information on a separate A4 sheet. Please include your operator and trading name, the question number and ensure you sign and date any additional sheets. If it would be easier to provide this information in an electronic format (eg. Excel spreadsheets) this is also acceptable.

- Copies of all of our application forms and guidance notes can be downloaded from our website www.gamblingcommission.gov.uk
- If you have any queries, please check our website or email info@gamblingcommission.gov.uk or call our enquiries team on **0121 230 6666**

Please return your completed application to:

GAMBLING COMMISSION, PO BOX 13529, BIRMINGHAM B2 2FE

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Section 3. Type of Change

Question 4

Please see the fees calculator at www.gamblingcommission.gov.uk to calculate the required fee where applicable.

Change of contact details – To change the person to whom all future correspondence relating to the licence will be directed. This must be an address in Great Britain.

Change of registered address – To change the registered address of the operator.

Addition of premises – To notify us if you have new premises of which you have not previously notified us.

Removal of premises – To notify us if you no longer use premises of which we have previously been notified.

Amendment of premises – To notify us if the use of premises of which you have previously notified us has changed (eg. changing the use of premises from a Family entertainment centre to an Adult gaming centre).

Addition of key personnel – To apply to add an individual who will occupy a qualifying position for the operator. This section is for operators who do not qualify for Small Scale Operator exemption (SSO) only. Where an operator that qualifies for SSO wishes to add key personnel, then this must be done using the Operating Licence – Application to Vary a Licence form.

Removal of key personnel – To remove an individual who occupies a qualifying position for the operator. This section is for operators who do not qualify for Small Scale Operator exemption (SSO) only. Where an operator that qualifies for SSO wishes to remove key personnel, then this must be done using the Operating Licence – Application to Vary a Licence form.

Addition of shareholder (3–9.99%) – To notify us of a shareholder who gains equity (either by increasing their existing share holding or by becoming a new share holder) which takes them to over 3% equity but below 10% equity. Please note that if an individual's equity increases to 10% or above, a change in corporate control must be applied for.

Removal of shareholder (to below 3%) – To notify us if a shareholder who previously held more than 3% equity reduces their share holding to below 3%.

Change of name of Annex A holder – To notify us of the change of name of an individual who has previously submitted an Annex A in relation to the Operating Licence. This section is for operators who do not qualify for Small Scale Operator exemption (SSO) only.

Notification of conviction against operator – To notify us that the operator has been convicted of an offence under the criminal laws of England, Scotland, Wales or any other jurisdiction of which we have not previously been notified.

Notification of conviction against key personnel – To notify us that an individual occupying a qualifying position or a shareholder who owns 10% or more equity in the operator has been convicted of an offence under the criminal laws of England, Scotland, Wales or any other jurisdiction of which we have not previously been notified.

Addition of equipment or service supplier – For holders of remote Operating Licences who wish to apply to add an equipment or service supplier of whom we have not previously been notified.

Removal of equipment or service supplier – For holders of remote Operating Licences who wish to apply to remove an equipment or service supplier of whom we have previously been notified.

Addition of third party white label – For holders of remote Operating Licences who wish to apply to add a domain name from which gambling services are delivered or for whom you provide white label services of which we have not previously been notified. This also needs to be completed if the status of a domain has changed (eg. if it has changed from being inactive to active).

Removal of third party white label – For holders of remote Operating Licences who wish to apply to remove a domain name from which gambling services are delivered or for whom you provide white label services of which we have previously been notified. This also needs to be completed if the status of a domain has changed (eg. if it has changed from being active to inactive).

Section 4. General Changes

Question 5

5. If you wish to change the details of your designated contact, please provide the new details below.

Title
M R S

First name(s)
S A R A H

Surname
S M I T H

Position
S H A R E H O L D E R

Property number Property name
2

Street
N E W S T R E E T

Town/city
N E W C I T Y

Postcode Country
A 1 2 3 B C E N G L A N D

Contact number (inc. area code)
1 2 3 3 2 1 5 6 6 5 4 5

Alternative contact number (inc. area code)
4 5 6 6 5 4 1 2 3 3 2 1

Email address (please refer to Guidance Notes)
s a r a h . s m i t h
@ b t i n t e r n e t . c o m

As part of the Commission's commitment to providing a cost effective service we will issue all licences and correspondence electronically. Please cross the box if you DO NOT wish us to communicate with you in this way.

Please complete details of the new contact person. All future correspondence and licences will be sent by email to this person unless you cross the box to indicate that you do not wish us to correspond electronically.

Question 6

6. If you are changing your registered address, please provide the new details below.

Property number Property name
1

Street
N E W R O A D

Town/city
N E W C I T Y

Postcode Country
A 1 2 3 B C E N G L A N D

Date address changed
0 1 0 1 2 0 0 8

Please provide details of your new registered address and the date when the address changed. Please provide documentation confirming this change eg. Companies House documents.

Section 5. Addition, Removal or Amendment of Premises

Question 7

7a. Add Remove Amend

Business name(s) displayed at premises if different from the operator name

Property number Property name

2

Street
 T H E S T R E E T

Town/city
 T H E C I T Y

Postcode Country

A 1 2 3 B C E N G L A N D

Premises licence applied for? Yes No

Please indicate the type of activity undertaken at these premises

Administration <input checked="" type="checkbox"/>	Pool betting <input checked="" type="checkbox"/>	Adult gaming centre <input checked="" type="checkbox"/>
Casino (indicate size L, S, E) <input type="checkbox"/>	Machine technical <input checked="" type="checkbox"/>	Lottery manager <input checked="" type="checkbox"/>
Bingo <input checked="" type="checkbox"/>	Gambling software <input checked="" type="checkbox"/>	Family entertainment centre <input checked="" type="checkbox"/>
Betting shop <input checked="" type="checkbox"/>	Betting intermediary <input checked="" type="checkbox"/>	Society lottery <input checked="" type="checkbox"/>

Please cross the appropriate box to indicate whether you wish to add, remove or amend (eg. changing the use of a premises from a Family entertainment centre to an Adult gaming centre) a premises.

Please provide the full address and indicate the use of the premises.

For casinos, please indicate:
 L - Large casino;
 S - Small casino; or
 E - Existing casino.

Section 6. Addition or Removal of Key Personnel

Question 8

8a. Add Remove

First name(s)
 S A R A H

Surname
 S M I T H

Date of birth Does this individual hold or have they submitted an Annex A or PML application? Annex A PML

2 3 0 7 1 9 7 4

Role

Overall strategy and delivery of gambling <input checked="" type="checkbox"/>	Financial planning, control and budgeting <input checked="" type="checkbox"/>	Regulatory compliance <input checked="" type="checkbox"/>
Marketing and commercial development <input checked="" type="checkbox"/>	Gambling related IT provision and security <input checked="" type="checkbox"/>	

Please cross the appropriate box to indicate whether you wish to apply to add or remove an individual who will occupy a qualifying position.

Please complete their details, indicating all roles which they will perform and whether they hold or are submitting an application for an Annex A or PML.

If they do not hold or have not submitted an Annex A or PML, this will be required. For details of which is required, please refer to our website (www.gamblingcommission.gov.uk).

Question 9

9. Increase in shareholding to 3% or above but below 10%

Reduction in shareholding to below 3%

First name(s)
 S A R A H

Surname
 S M I T H

Date of birth Equity 8 %

2 3 0 7 1 9 7 4

Please cross the appropriate box to indicate whether you wish to notify us of:

- a shareholder gaining equity (either by increasing their existing shareholding or becoming a new shareholder) which takes them to over 3% but below 10% equity. (Please note that if an individual's equity increases to 10% or above, you must make an application for a change in corporate control); or
- a shareholder who previously held more than 3% equity reducing their shareholding to below 3%.

Question 10

10. If you wish to notify us of a change of name for an individual who holds an Annex A, please provide details below (see Guidance Notes).

10 a. Date name changed Date of birth

Previous name(s)

New name(s)

Reason for change in name (please attach proof of the change, see Guidance Notes).

Please provide the date of birth and both the new and previous names where an Annex A holder has changed their name. Please also provide the date from which the change took effect. You must also provide proof of the change, eg. a marriage certificate.

Section 7. Notification of Convictions

Question 11

The Gambling Commission (the Commission) is an organisation named in the Notifiable Occupations Scheme. This means that the Commission is notified by Police Forces of any arrests or convictions of individuals employed in the gambling industry. The Commission will determine the weight it will attach to convictions for relevant offences and unspent convictions for other offences committed by licence holders/applicants having regard to the nature and seriousness of the offence and the time which has elapsed since the offence was committed.

11b. Name(s)

Date of birth Date of conviction

Offence

Directors Liability <input checked="" type="checkbox"/>	Corruption <input checked="" type="checkbox"/>	Companies Act offences <input checked="" type="checkbox"/>
Insolvency offences <input checked="" type="checkbox"/>	Fraudulent Trading <input checked="" type="checkbox"/>	Restraint, confiscation orders and asset recovery <input checked="" type="checkbox"/>
Regulatory offences <input checked="" type="checkbox"/>	False Accounting <input checked="" type="checkbox"/>	Schedule 7 offences - Gambling Act 2005 <input checked="" type="checkbox"/>
Financial Services and Market Act offences <input checked="" type="checkbox"/>	Corporate Manslaughter <input checked="" type="checkbox"/>	Other (please specify below) <input checked="" type="checkbox"/>

Please provide details of the circumstances surrounding the offence below. Please include details of any penalties issued and also the location of the convicting court and country. (If you have crossed Schedule 7 offences, please ensure you specify which offence you have been convicted of/are awaiting trial for/are under investigation for.) Please use a continuation sheet if necessary.

Please provide the name of the individual or operator to whom the offence relates and the date of the offence. In the case of an individual, please provide their date of birth.

Please cross the box to indicate the nature of the offence. If a Schedule 7 offence is detailed please cross the box and provide information in the box provided (for a list of Schedule 7 offences please see our website www.gamblingcommission.gov.uk or call our enquiries team on 0121 230 6666).

Please provide full details of the circumstances surrounding the offence, including any penalties imposed and the convicting court and country. If you require additional space please use a continuation sheet.

Section 8. Changes to Equipment Suppliers and White Labels

Question 12

12a. Add supplier Remove supplier Effective date

	Main	Disaster Recovery		Main	Disaster Recovery
Virtual Event and Game Pages	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Random Number Generator	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Virtual Event Controller	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Gambling Transaction Records	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Settling	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Virtual Event State	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Who operates this equipment? Self Other - please specify below

Who provides this equipment? Self Other - please specify below

Please cross the appropriate box to indicate whether you are adding, or removing a supplier or provider. Please provide the date of the change.

Please cross the appropriate box(es) to indicate which pieces of equipment this change of supplier/operator will affect.

Please indicate who will operate and provide this equipment, and provide details where it is not self provision.

Question 13

13a. Domain name Active Inactive White label Effective date 0 1 0 3 2 0 0 8
WWW.GAMBLINGCOMPANY.CO.UK

Please provide the domain names of any sites that are changing status from that which we have previously been informed. Please indicate if they are operated as a white label, and the date from when the change becomes effective.

Section 9. Declaration

The operator must ensure that the declaration is read and signed:

- a) if the operator is an individual, by that individual;
- b) if the operator is a partnership, by all individuals who are partners;
- c) if the operator is a company, by both the company secretary and a director (who is not also the secretary of the company); or
- d) in any other case, by a duly authorised officer of the operator.

If the application is being submitted electronically, you must also sign a paper copy of the Declaration page and submit this by post.

b. First name(s)
Surname
Signed
Position in organisation
Date
D D M M Y Y Y Y

Please ensure that the form is signed and dated by the appropriate people as detailed above.

Freedom of Information Act 2000

Any information or material sent to the Commission which we record may be subject to the Freedom of Information Act 2000. The Commission's policy on release of information is available on request or by reference to the Commission website at www.gamblingcommission.gov.uk. Whilst the Gambling Commission recognises that the information it requests and receives may contain commercially sensitive information or personal data, the Commission will treat all such information as confidential and will only disclose that information to people outside the Commission where it is necessary to do so in order to carry out the Commission's functions or where the Commission is required by law to disclose the information.

As a public authority, the Commission must comply with the requirements of the Freedom of Information Act 2000 and must consider requests for information made under the Act on a case by case basis. However, the Commission would not normally expect that the disclosure of commercially sensitive information to a potential competitor would be in the public interest.

All information provided in connection with this application will be processed in accordance with the Data Protection Act 1998, but it may be disclosed to government departments or agencies, local authorities and other bodies where it is necessary to do so in order to carry out the functions of the Gambling Commission and where the Commission is legally required or permitted to do so.

Section 10. Enclosures

Please cross the box to confirm that the required enclosures have been attached:

The appropriate fee if applicable (non-refundable)	<input type="checkbox"/>
Annex A or Personal Management Licence application form (as applicable) for all required individuals	<input type="checkbox"/>
Personal identification documents for any associated Annex A or PML applications	<input type="checkbox"/>
Completed CRB or Disclosure Scotland application form or overseas police report for relevant personnel	<input type="checkbox"/>
Your existing Operating Licence (if applicable)	<input type="checkbox"/>
Documentation confirming change of name or address (where applicable)	<input type="checkbox"/>
Additional policy information where applicable (see Guidance Notes)	<input type="checkbox"/>
Additional financial information where applicable	<input type="checkbox"/>
Continuation sheet(s) if required	<input type="checkbox"/>

Please cross the appropriate box(es) to indicate which additional documents have been enclosed with this application.

Please note that failure to provide the required enclosures or to provide further information when requested by the Commission may result in your application being determined based on the information available to the Commission at the time which may affect the decision on whether a licence can be granted.

Section 11. Payment Calculation

Question 14

14. Payment Calculation Summary (please see fees calculator at www.gamblingcommission.gov.uk to calculate your fee).

Operating Licence fees due	£	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	.	<input type="text"/>	<input type="text"/>
PML fees due	£	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	.	<input type="text"/>	<input type="text"/>
Total	£	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	.	<input type="text"/>	<input type="text"/>

Where a fee is due, if you hold more than one licence (ie. remote, non-remote or ancillary) the fee will be payable for each individual licence. Where multiple changes are made which only affect one licence, then only the highest fee is payable.

If a PML application is required, then a fee will always be payable in addition to the fee due for the operating licence(s).

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