

CALIFORNIA CODE OF REGULATIONS  
 TITLE 4. BUSINESS REGULATIONS.  
 DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.  
 CHAPTER 1. GENERAL PROVISIONS.

**Section 12008. Registration Fees; License Fees.**

Every application for a registration or license issued pursuant to this division shall be accompanied by a fee that is authorized by Business and Professions Code section 19951(a). Every application for a work permit issued pursuant to Chapter 2 of this division shall be accompanied by a fee that is authorized by Business and Professions Code section 19915. The fee for the initial application and renewal of registrations, licenses or work permits issued pursuant to this division is as follows:

(a) For an initial and renewal Gambling License issued pursuant to Chapter 6, the fee is one thousand dollars (\$1000).

(b) For ~~an initial and renewal~~ a Gambling Establishment Key Employee License issued pursuant to Chapter 6, the fee is as follows: seven hundred and fifty dollars (\$750).

(1) For an initial and renewal license, the fee is seven hundred and fifty dollars (\$750).

(2) For a transfer license, the fee is twenty-five dollars (\$25).

(3) For a replacement license, the fee is twenty-five dollars (\$25).

(c) For an initial and renewal Work Permit issued pursuant to Chapter 2, the fee is as follows:

(1) For a Regular Work Permit, the fee is two hundred and fifty dollars (\$250).

(2) For a Temporary Work Permit, the fee is twenty-five dollars (\$25), in addition to the regular work permit fee in paragraph (1) of this subsection.

(d) For a Third-Party Proposition Player Services registration or license issued pursuant to Chapter 2.1, the fee is as follows:

(1) For an initial and renewal registration of all registration types, the fee is five hundred dollars (\$500).

(2) For a temporary player registration, the fee is twenty-five dollars (\$25), in addition to the regular player registration fee specified in paragraph (1) of this subsection.

(3) For an initial and renewal license as a primary owner or owner, the fee is one thousand dollars (\$1000).

(4) For an initial and renewal license as a supervisor, the fee is seven hundred and fifty dollars (\$750).

(5) For an initial and renewal license as a player or other employee, the fee is five hundred dollars (\$500).

(e) For a Gambling Business registration or license issued pursuant to Chapter 2.2, the fee is as follows:

(1) For an initial and renewal registration for all registration types, the fee is five hundred dollars (\$500).

(2) For an initial and renewal license as a primary owner or owner, the fee is one thousand dollars (\$1000).

(3) For an initial and renewal license as a supervisor, the fee is seven hundred and fifty dollars (\$750).

(4) For an initial and renewal license as a player or other employee, the fee is five hundred dollars (\$500).

1 (f) For a Gambling Equipment Manufacturer or Distributor Registration issued pursuant to  
2 Chapter 4, the fee is as follows:

3 (1) For an initial and renewal registration as a Class A Equipment Manufacturer or  
4 Distributor, the fee is five hundred dollars (\$500).

5 (2) For an initial and renewal registration as an “antique collector”, within the meaning of  
6 Sections 12300(b)(1) and 12301(b)(10)(B), the fee is forty dollars (\$40).

7 (3) For a Class B Equipment Manufacturer or Distributor Registration, no fee is required.  
8

9 Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19853(a)(3), 19854, 19915, 19951(a) and 19984,  
10 Business and Professions Code. Reference: Sections 19915, 19841, 19853(a)(3), 19951(a) and 19984(b), Business  
11 and Professions Code.  
12

13  
14 **CHAPTER 6. ~~STATE~~ GAMBLING LICENSES AND APPROVALS FOR GAMBLING**  
15 **ESTABLISHMENTS AND OWNERS; ~~AND~~ PORTABLE PERSONAL KEY**  
16 **EMPLOYEES LICENSES.**  
17

18 **ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.**  
19

20 **Section 12335. DEFINITIONS.**

21 (a) Except as otherwise provided in section 12002(b) of these regulations, the definitions in  
22 Business and Professions Code section 19805 shall govern the construction of this chapter.

23 (b) As used in this chapter:

24 (1) “Table Fee” means the fee established by Business and Professions Code, section  
25 19951(b)(2).

26 (2) “Portable Personal Key Employee License” or “Key Employee License” means a license  
27 which authorizes the holder to be associated with the gambling enterprise as a key employee,  
28 provided the key employee terminates employment with one gambling enterprise before  
29 commencing work for another, as provided in Business and Professions Code sections 19805,  
30 subdivisions (w) and (x), and 19854 (c).  
31

32 Note: Authority cited: Sections 19811(b), 19823, 19824, 19840 and 19841, Business and Professions Code.  
33 Reference: Sections 19800, 19805 (w) and (x), ~~19805(l) and (e)~~, 19811, 19854 and 19951(b)(2), Business and  
34 Professions Code.  
35

36 **ARTICLE 2. ~~LICENSING~~ GAMBLING LICENSES.**  
37

38 **Section 12340. Gambling Licenses ~~and Key Employee License.~~**

39 (a) No person may conduct a gambling operation without a current valid gambling license  
40 issued by the Commission.

41 ~~(b) Except as provided in Business and Professions Code Section 19883 and Section 12347,~~  
42 ~~no person may be a key employee of a gambling operation without a current valid key employee~~  
43 ~~license issued by the Commission.~~

44 (e) A ~~state~~ gambling license ~~and key employee license~~ shall be valid for a period of two (2)  
45 years.  
46

1 Note: Authority cited: Sections 19811(b), 19823, 19824, 19840, 19841, 19850, 19851, 19852, 19853, ~~19854~~ and  
 2 19876(a), Business and Professions Code. Reference: Sections 19850, 19851, ~~19854~~ and 19876(a), Business and  
 3 Professions Code.

4  
 5 **Section 12342. Initial Gambling License Applications; Required Forms.**

6 (a) Any person applying for a ~~state~~-gambling license ~~or key employee license~~ shall, as  
 7 appropriate, complete the following forms, which are hereby incorporated by reference:

8 (1) Application for State Gambling License, CGCC-030 (Rev. 05/08).

9 ~~(2) Application for Gambling Establishment Key Employee License, CGCC-031 (Rev.~~  
 10 ~~05/08).~~

11 ~~(3) Gambling Establishment Owner Applicant-Individual Supplemental Background~~  
 12 ~~Investigation Information, BGC-APP-015A (Rev. 04/08).~~

13 ~~(4) Gambling Establishment Owner Entity Supplemental Information for State Gambling~~  
 14 ~~License, BGC-APP-015B (Rev. 04/08).~~

15 ~~(5) Gambling Establishment Supplemental Information for State Gambling License, BGC-~~  
 16 ~~APP-015C (Rev. 04/08).~~

17 ~~(6) Gambling Establishment Key Employee Supplemental Background Investigation~~  
 18 ~~Information, BGC-APP-016A (Rev. 04/08).~~

19 ~~(7) Cardroom Applicant's Spouse Supplemental Background Information for State~~  
 20 ~~Gambling License, BGC-APP-009A (Rev. 11-07).~~

21 ~~(8) Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev.~~  
 22 ~~05/08).~~

23 ~~(9) Declaration of Full Disclosure, BGC-APP-005 (Rev. 11/07).~~

24 ~~(10) Authorization to Release Information, BGC-APP-006 (Rev. 04/08).~~

25 ~~(11) Applicant's Declaration, Acknowledgment and Agreement (Community Property~~  
 26 ~~Interest), BGC-APP-011 (Rev. 11/07).~~

27 ( ) Applicant's Declaration, Acknowledgment and Agreement (Sole and Separate Property),  
 28 BGC-APP-012 (Rev. 11/07).

29 ( ) Spouse's Declaration, Acknowledgment and Agreement (Community Property Interest),  
 30 BGC-APP-013 (Rev. 11/07).

31 ( ) Spouse's Declaration, Acknowledgment and Agreement (Sole and Separate Property),  
 32 BGC-APP-014 (Rev. 11/07).

33 ( ) Appointment of Designated Agent, BGC-APP-008 (Rev. 11/07).

34 ( ) Key Employee Report, BGC-LIC-101 (Rev. 11/07).

35 ( ) Instructions to Applicant's Spouse, BGC-APP-010 (Rev. 05/08).

36 ( ) Notice to Applicants, BGC-APP-001 (Rev. 11/07).

37 ( ) Request for Live Scan Service (California Department of Justice Form BCII 8016, ~~(Rev.~~  
 38 ~~4/01~~ 03/07).

39 ( ) Request for Copy of Personal Income Tax or Fiduciary Return, FTB-3516C1 (Rev. 06/03  
 40 side 1-PIT).

41 ( ) Request for Copy of Corporation, Exempt Organization, Partnership, or Limited Liability  
 42 Company Return FTB-3516C1 (Rev. 06/03 side 2-CORP).

43 ( ) Request for Transcript of Tax Return IRS 4506-T, ~~(Rev. April 2006~~ 01/08).

44  
 45 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:  
 46 Sections 19850, 19851, 19852, ~~19854~~, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19880, 19881, 19883,  
 47 19890, 19893, 19951 and 19982, Business and Professions Code.

1 **Section 12343. Processing Times – Initial Applications.**

2 (a) Except as provided in subsection (b), initial gambling-~~or key employee~~ license  
3 applications submitted pursuant to this chapter shall be processed within the following  
4 timeframes:

5 (1) The maximum time within which the Commission shall notify the applicant in writing  
6 that an application or a resubmitted application is complete and accepted for initial processing by  
7 the Commission, or that an application or a resubmitted application is deficient and identifying  
8 what specific additional information is required, is 20 days after receipt of the application. For  
9 the purposes of this section, "application" means the Application for State Gambling License,  
10 CGCC-030 ~~(Rev. 05/08)~~ and the ~~Application for Gambling Establishment Key Employee~~  
11 ~~License, CGCC-031 (Rev. 05/08)~~, as referenced in paragraph (1) of subsection (a) of Section  
12 12342. An application is not complete unless accompanied by the fee specified in subsection (a)  
13 of Section 12008 for a gambling license ~~or subsection (b) of Section 12008 for a key employee~~  
14 ~~license~~. In addition, an applicant shall submit with the application, any supplemental information  
15 required by Section 12342 for review by the Bureau pursuant to paragraph (3) of this subsection.  
16 The Commission shall not review the supplemental information for completeness.

17 (2) An application for a gambling license and the supplemental information shall be  
18 forwarded by the Commission to the Bureau within 10 days of the date that the Commission  
19 determines that the application is complete.

20 (3) The Bureau shall review the supplemental information submitted for completeness and  
21 notify the applicant of any deficiencies in the supplemental information, or that the supplemental  
22 information is complete, within ~~30~~ 45 days of the date that the application and supplemental  
23 information are received by the Bureau from the Commission. Notwithstanding this subsection,  
24 subsequent to acceptance of the supplemental information as complete, the Bureau may pursuant  
25 to Business and Professions Code section 19866 require the applicant to submit additional  
26 information.

27 (4) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent  
28 practicable, submit its recommendation to the Commission within 180 days after the date the  
29 Bureau is in receipt of both the completed application pursuant to paragraph (2) of this  
30 subsection and the completed supplemental information pursuant to paragraph (3) of this  
31 subsection. If the Bureau has not concluded its investigation within 180 days, then it shall inform  
32 the applicant and the Commission in writing of the status of the investigation and shall also  
33 provide the applicant and the Commission with an estimated date on which the investigation may  
34 reasonably be expected to be concluded.

35 (5) The Commission shall grant or deny the application within 120 days after receipt of the  
36 final written recommendation of the Bureau concerning the application, except that the  
37 Commission may notify the applicant in writing that additional time, not to exceed 30 days, is  
38 needed.

39 (b) The processing times specified in subsection (a) may be exceeded in any of the following  
40 instances:

41 (1) The applicant has agreed to extension of the time.

42 (2) The number of licenses to be processed exceeds by 15 percent the number processed in  
43 the same calendar quarter the preceding year.

44 (3) The Commission must rely on another public or private entity for all or part of the  
45 processing and the delay is caused by that other entity.

46

1 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:  
2 Sections 19841 and 19868, Business and Professions Code.

### 4 **Section 12344. License Renewals.**

5 (a) Each application for renewal of a ~~state~~ gambling license ~~or for renewal of a key employee~~  
6 ~~license~~ shall be accompanied by all of the following:

7 ~~(1) A completed application:~~

8 ~~(A1) Applicants for a state gambling license shall use the form~~ A completed "Application for  
9 State Gambling License, CGCC-030 ~~(Rev. 05/08).~~" as referred to in paragraph (1) of subsection  
10 (a) of Section 12342.

11 ~~(B) Applicants for a key employee license shall use the form "Application for Gambling~~  
12 ~~Establishment Key Employee License, CGCC 031 (Rev. 05/08)."~~

13 (2) A nonrefundable application fee in the amount specified in subsection (a) of Section  
14 12008 for a gambling license ~~or subsection (b) of Section 12008 for a key employee license.~~

15 (b) Each ~~key employee or other~~ person whose name is required to be endorsed upon the  
16 license shall submit a separate application for renewal of that person's license, together with the  
17 application fee specified in subsection ~~(b)~~ (a) of Section 12008.

18 (c) All applications for renewal of ~~state~~ gambling licenses ~~and key employee licenses~~ for a  
19 particular gambling establishment shall be submitted together as a single package to the  
20 California Gambling Control Commission.

21 (d) If, after a review of an application for renewal of a ~~state~~ gambling license ~~or a key~~  
22 ~~employee license~~, the Bureau determines that further investigation is needed, the applicant shall  
23 submit an additional sum of money that, in the judgment of the Chief of the Bureau, will be  
24 adequate to pay the anticipated investigation and processing costs, in accordance with Business  
25 and Professions Code section 19867.

26  
27 Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19851, ~~19854~~ and 19951, Business and Professions  
28 Code. Reference: Sections 19851, 19876, ~~19854~~ and 19951, Business and Professions Code.

### 30 **Section 12345. Processing Times – Renewal Applications.**

31 (a) Except as provided in subsection (b), renewal gambling ~~or key employee~~ license  
32 applications submitted pursuant to Section 12344 shall be processed within the following  
33 timeframes:

34 (1) An application for renewal of a gambling license ~~or key employee license~~ shall be filed  
35 by the owner licensee ~~or the key employee~~ with the Commission no later than 120 days prior to  
36 the expiration of the current license.

37 (2) The maximum time within which the Commission shall notify the applicant in writing  
38 that an application or a resubmitted application is complete and accepted for initial processing by  
39 the Commission, or that an application or a resubmitted application is deficient and identifying  
40 what specific additional information is required, is 10 days after receipt of the application. For  
41 the purposes of this section, "application" means the Application for State Gambling License,  
42 CGCC-030 ~~(Rev. 05/08)~~ and the Application for Gambling Establishment Key Employee  
43 License, CGCC 031 (Rev. 05/08), referenced in paragraph (1) of subsection (a) of Section  
44 12342. An application is not complete unless accompanied by the fee specified in subsection (a)  
45 of Section 12008 for a gambling license ~~or subsection (b) of Section 12008 for a key employee~~  
46 ~~license.~~

1 (3) An application for a gambling license shall be forwarded by the Commission to the  
2 Bureau for processing within five days of the date that the Commission determines that the  
3 application is complete.

4 (4) The Bureau shall submit its written recommendation concerning the renewal application  
5 to the Commission no later than 45 days prior to the expiration of the current license.

6 (b) The processing times specified in paragraphs (2) through and including (4) of subsection  
7 (a) may be exceeded in any of the following instances:

8 (1) The applicant has agreed to extension of the time.

9 (2) The number of licenses to be processed exceeds by 15 percent the number processed in  
10 the same calendar quarter the preceding year.

11 (3) The Commission must rely on another public or private entity for all or part of the  
12 processing and the delay is caused by that other entity.

13  
14 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:  
15 Sections 19868 and 19876, Business and Professions Code.

16  
17 **Section 123486. Mandatory and Discretionary Grounds for Denial of Application for a**  
18 **State-Gambling License ~~or Key Employee License~~.**

19 (a) An application for a ~~state-gambling license or key employee license~~ shall be denied by the  
20 Commission if any of the following :

21 (1) The Commission finds that the applicant is ineligible, unqualified, disqualified, or  
22 unsuitable pursuant to the criteria set forth in the Act or other applicable law or that granting the  
23 license would be inimical to public health, safety, welfare, or would undermine the public trust  
24 that gambling operations are free from criminal or dishonest elements.

25 (2) The Commission finds that the local ordinance does not conform to the requirements of  
26 Business and Professions Code section 19860.

27 (b) An application for a ~~state-gambling license~~ may be denied if:

28 (1) The Commission finds that the applicant meets any of the criteria for license denial set  
29 forth in Business and Professions Code section 19862, subdivision (a).

30 (2) The Commission finds that an applicant has attempted to communicate or has  
31 communicated ex parte, as that term is defined in Business and Professions Code section 19872,  
32 subdivision (e), with one or more Commissioners, through direct or indirect means, regarding the  
33 merits of the application while the application is pending disposition at the Bureau or the  
34 Commission.

35 (3) The Commission finds that the applicant's past behavior calls into question the  
36 applicant's qualification requirements and considerations outlined in Business and Professions  
37 Code section 19856. Examples of past behavior that may be considered include, but are not  
38 limited to:

39 (A) Convictions which demonstrate a pattern of disregard for the law,

40 (B) A conviction involving gambling or gambling-related activities,

41 (C) A final administrative decision concluding that there was a violation of law involving  
42 gambling or gambling-related activities, or

43 (D) A conviction regarding or final administrative decision concluding that there was a  
44 violation of campaign finance disclosure or contribution limitations applicable to an election  
45 conducted pursuant to Business and Professions Code section 19960.

46 (4) The Commission finds that the applicant has, within ten years immediately preceding the  
47 submission of the application, willfully or persistently violated any of the following:

1 (A) Any regulation adopted by the Commission or Bureau.

2 (B) Any condition, limitation, or directive imposed on a previously held ~~state-gambling-or~~  
3 ~~key-employee~~ license.

4 (c) The grounds for denial set forth in this section apply in addition to any grounds prescribed  
5 by statute or any grounds that would support revocation under chapter 10 of these regulations.

6  
7 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, ~~19854~~, 19861, 19870, 19872, 19880,  
8 19890, and 19982, Business and Professions Code. Reference: Sections 19850, 19851, 19852, 19857, 19858,  
9 19859, 19860, 19862, 19863, and 19960, Business and Professions Code.

10  
11  
12 **ARTICLE 3. PORTABLE PERSONAL KEY EMPLOYEE LICENSE.**

13  
14 **Section 12350. Initial Licenses; Required Forms; Processing Times.**

15 (a) Except as provided in Business and Professions Code sections 19883 and 12354, no  
16 person may be associated with a gambling enterprise as a key employee without a valid key  
17 employee license issued by the Commission.

18 (b) A key employee license shall be valid for a period of two (2) years.

19 (c) Any person applying for a key employee license shall submit the following:

20 (1) A completed "Application for Gambling Establishment Key Employee License CGCC-  
21 031 (Rev. 05/09)," which is attached in Appendix A to this chapter.

22 (2) A nonrefundable application fee in the amount specified in subsection (b) of Section  
23 12008 for a key employee license.

24 (3) A two by two inch color passport-style photograph taken no more than 30 days before  
25 submission to the Commission of the key employee application

26 (4) Key Employee Supplemental Background Investigation Information, BGC-APP-016A  
27 (Rev. 04/08), which is hereby incorporated by reference.

28 (5) Authorization to Release Information, BCG-APP-006, as referred to in paragraph (8),  
29 subsection (a) of Section 12342.

30 (6) Request for Live Scan Service, BCII 8016, as referred to in paragraph (17), subsection (a)  
31 of section 12342.

32 (7) Request for Transcript of Tax Return IRS 4506-T, as referred to in paragraph (20),  
33 subsection (a) of section 12342.

34 (d) Except as provided in subsection (e), initial key employee license applications submitted  
35 pursuant to this chapter shall be processed within the following timeframes:

36 (1) The maximum time within which the Commission shall notify the applicant in writing  
37 that an application or a resubmitted application is complete and accepted for initial processing by  
38 the Commission, or that an application or a resubmitted application is deficient and identifying  
39 what specific additional information is required, is 20 days after receipt of the application. For  
40 the purposes of this section, "application" means the Application for Gambling Establishment  
41 Key Employee License, CGCC-031, referred to in paragraph (1) of subsection (c) of Section  
42 12350. An application is not complete unless accompanied by the fee specified in paragraph (1)  
43 of subsection (b) of Section 12008. In addition, an applicant shall submit with the application,  
44 any supplemental information required by subsection (c) of this section for review by the Bureau  
45 pursuant to paragraph (3) of this subsection. The Commission shall not review the supplemental  
46 information for completeness.

1       (2) An application for a key employee license and the supplemental information shall be  
 2 forwarded by the Commission to the Bureau within 10 days of the date that the Commission  
 3 determines that the application is complete.

4       (3) The Bureau shall review the supplemental information submitted for completeness and  
 5 notify the applicant of any deficiencies in the supplemental information, or that the supplemental  
 6 information is complete, within 45 days of the date that the application and supplemental  
 7 information are received by the Bureau from the Commission. Notwithstanding this subsection,  
 8 subsequent to acceptance of the supplemental information as complete, the Bureau may pursuant  
 9 to Business and Professions Code section 19866 require the applicant to submit additional  
 10 information.

11       (4) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent  
 12 practicable, submit its recommendation to the Commission within 180 days after the date the  
 13 Bureau is in receipt of both the completed application pursuant to paragraph (2) of this  
 14 subsection and the completed supplemental information pursuant to paragraph (3) of this  
 15 subsection. If the Bureau has not concluded its investigation within 180 days, then it shall inform  
 16 the applicant and the Commission in writing of the status of the investigation and shall also  
 17 provide the applicant and the Commission with an estimated date on which the investigation may  
 18 reasonably be expected to be concluded.

19       (5) The Commission shall grant or deny the application within 120 days after receipt of the  
 20 final recommendation of the Bureau concerning the application, except that the Commission may  
 21 notify the applicant in writing that additional time, not to exceed 30 days, is needed.

22       (e) The processing times specified in subsection (d) may be exceeded in any of the following  
 23 instances:

24       (1) The applicant has agreed to the extension of the time.

25       (2) The Commission must rely on another public or private entity for all or part of the  
 26 processing and the delay is caused by that other entity.

27  
 28 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, 19876(a), Business and Professions Code.  
 29 Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19876(a),  
 30 19880, 19881, 19883, 19890, 19893, 19951 and 19982, Business and Professions Code.

### 31 32 **Section 12351. License Renewals; Required Forms; Processing Times.**

33       (a) Each application for renewal of a portable personal key employee license shall be  
 34 accompanied by all of the following:

35       (1) A completed "Application for Gambling Establishment Key Employee License, CGCC-  
 36 031," as referred to in paragraph (1) of subsection (c) of Section 12350.

37       (2) A nonrefundable application fee in the amount specified in subsection (b) of Section  
 38 12008 for a key employee license.

39       (3) A two by two inch color passport-style photograph taken no more than 30 days before  
 40 submission to the Commission of the key employee renewal application.

41       (b) If, after a review of an application for renewal of a key employee license, the Bureau  
 42 determines that further investigation is needed, the applicant shall submit a sum of money that, in  
 43 the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation and  
 44 processing costs, in accordance with Business and Professions Code section 19867.

45       (c) Except as provided in subsection (d), key employee renewal license applications shall be  
 46 processed within the following timeframes:

1 (1) An application for renewal of a key employee license shall be filed by the key employee  
 2 with the Commission no later than 120 days prior to the expiration of the current license.

3 (2) The maximum time within which the Commission shall notify the applicant in writing  
 4 that an application or a resubmitted application is complete and accepted for initial processing by  
 5 the Commission, or that an application or a resubmitted application is deficient and identifying  
 6 what specific additional information is required, is 10 days after receipt of the application. For  
 7 the purposes of this section, "application" means the Application for Gambling Establishment  
 8 Key Employee License, CGCC-031, as referred to in paragraph (1) of subsection (c) of Section  
 9 12350. An application is not complete unless accompanied by the fee as specified in subsection  
 10 (b) of Section 12008 for a key employee license.

11 (3) A renewal application for a key employee license shall be forwarded by the Commission  
 12 to the Bureau for processing within five days of the date that the Commission determines that the  
 13 application is complete.

14 (4) The Bureau shall submit its written recommendation concerning the renewal application  
 15 to the Commission, no later than 45 days prior to the expiration of the current license.

16 (d) The processing times specified in subsection (c) may be exceeded in any of the following  
 17 instances:

18 (1) The applicant has agreed to the extension of the time.

19 (2) The Commission must rely on another public or private entity for all or part of the  
 20 processing and the delay is caused by that other entity.

21  
 22 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19851, 19854 and 19951, Business and  
 23 Professions Code. Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866,  
 24 and 19867, Business and Professions Code.

25  
 26 **Section 12352. Change in Place of Employment – Key Employee Transfer; Required**  
 27 **Forms; Processing Times.**

28 (a) A portable personal key employee license shall entitle the holder to work in any key  
 29 employee position at any gambling establishment, provided the key employee terminates  
 30 employment with one gambling establishment before commencing work for another.

31 (b) The holder of a valid key employee license shall notify the Commission within 10 days of  
 32 acceptance of employment at a gambling establishment.

33 (c) The Executive Director shall issue a new portable personal key employee license to an  
 34 applicant for a new place of employment if all of the following conditions are met:

35 (1) The key employee has submitted a completed Application for Transfer of Key Employee  
 36 License, CGCC-033 (New 05/09), which is attached in Appendix A to this chapter and the  
 37 following items:

38 (A) A two by two inch color passport-style photograph taken no more than 30 days before  
 39 submission to the Commission of the key employee transfer request.

40 (B) A nonrefundable fee payable to the Commission in the amount specified in paragraph (2)  
 41 of subsection (b) of Section 12008.

42 (2) Surrender of the key employee license previously issued by the Commission.

43 (3) The Executive Director is not aware of any cause for revocation of the key employee  
 44 license

45 (d) A key employee license issued pursuant to this section shall be valid during the unexpired  
 46 term of the previously issued key employee license.

1 (e) If a key employee license is issued pursuant to this section, the Executive Director shall  
2 promptly inform the Bureau of this decision.

3 (f) Upon issuance of a key employee license pursuant to this section for the applicant's new  
4 place of employment, the key employee license issued for the previous employer shall become  
5 void and shall not be used thereafter.

6 (g) Applications submitted pursuant to this section shall be processed within the following  
7 time frames:

8 (1) The maximum time within which the Executive Director shall notify the applicant in  
9 writing that an application or a resubmitted application is complete and accepted for filing, or  
10 that an application of a resubmitted application is deficient and identifying what specific  
11 additional information is required, is five working days after the receipt of the application.

12 (2) A new key employee license reflecting the new place of employment shall be either  
13 granted or denied within no more than 15 working days after the filing of a complete application.

14  
15 Note: Authority cited: Sections 19811, 19823, 19824, 19840, and 19854, Business and Professions Code.  
16 Reference: 19850, 19854 (c) and (d), 19855, 19856, 19857, 19864, 19865, 19866, and 19867, Business and  
17 Professions Code.

### 18 19 **Section 12353. Replacement Key Employee License; Required Forms; Processing Times.**

20 (a) The Executive Director shall issue a replacement portable personal key employee license  
21 to the holder if all of the following conditions are met:

22 (1) The licensee requesting a replacement license has a valid key employee license.

23 (2) The applicant has submitted a completed Request for Replacement Key Employee  
24 License, CGCC-034 (New 05/09) which is attached in Appendix A to this chapter.

25 (3) The applicant has supplied all of the following to the Commission:

26 (A) A two by two inch color passport-style photograph taken no more than 30 days before  
27 submission to the Commission of the key employee license replacement request.

28 (B) A nonrefundable fee payable to the Commission as specified in paragraph (3) of  
29 subsection (b) of Section 12008.

30 (4) The Executive Director is not aware of any cause for revocation of the key employee  
31 license.

32 (b) A replacement key employee license issued pursuant to this section shall be valid during  
33 the unexpired term of the previously issued key employee license.

34 (c) Upon issuance of the replacement key employee license, the previously issued key  
35 employee license for that gambling establishment shall become void and shall not be used  
36 thereafter.

37 (d) Applications submitted pursuant to this section shall be processed within the following  
38 time frames:

39 (1) The maximum time within which the Executive Director shall notify the applicant in  
40 writing that an application or a resubmitted application is complete and accepted for filing, or  
41 that an application or a resubmitted application is deficient and identifying what specific  
42 additional information is required, is five working days after receipt of the application.

43 (2) A replacement key employee license shall be either issued or denied within no more than  
44 15 working days after the filing of a complete application.

45

1 Note: Authority cited: Sections 19811, 19823, 19824, 19840, and 19841, Business and Professions Code.  
 2 Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, and 19867, Business  
 3 and Professions Code.

#### 5 **Section . Interim Key Employee Status While Application Pending.**

6 (a) ~~Unless given 30 days after hiring to file an application for key employee licensure~~  
 7 ~~pursuant to Business and Professions Code section 19883 (corporate owner licensee exemption~~  
 8 ~~for key employees), gambling establishment employees~~ An employee of a non-corporate-owned  
 9 gambling establishment, if holding a valid work permit or license for any gambling  
 10 establishment, may begin work as an interim key employee provided that written notice is given  
 11 to the Commission and Bureau within ten business days of the employee's assumption of key  
 12 employee duties, accompanied by a description of the key employee duties the employee will  
 13 perform and a copy of the employee's current work permit or license for any ~~licensed~~ gambling  
 14 establishment. For a person employed by a gambling establishment owned by a corporation, the  
 15 required written notice to the Commission and the Bureau shall be provided within 10 business  
 16 days after hiring, as provided for in Business and Professions Code section 19883.

17 (b) An interim key employee shall, within 30 days of assuming a key employee position,  
 18 submit the following:

19 (1) ~~The Commission's key employee license application, CGCC-031, as referenced in~~  
 20 ~~Section 12342, All of the information required for an initial portable personal key employee~~  
 21 ~~license required in subsection (c) of Section 12350, and~~

22 (2) ~~The Bureau's key employee supplemental application, BGC APP-016A, as referenced in~~  
 23 ~~Section 12342, and~~

24 (3) All applicable fees and deposits due for a key employee license.

25 (c) An applicant for key employee licensure currently working as an interim key employee  
 26 shall cease working in a key employee position if the application for key employee licensure is  
 27 abandoned or denied, if the employee's work permit is revoked or cancelled before the key  
 28 employee license is approved, or if the Executive Director notifies the applicant and gambling  
 29 establishment that the interim status is cancelled pursuant to subsection (d), below.

30 (d) With ten day's advance written notice to the interim key employee and to the gambling  
 31 establishment, the Executive Director shall cancel the interim key employee status based upon  
 32 any of the following:

33 (1) Evidence showing that the applicant has sustained any disqualifying criminal convictions;

34 (2) Evidence showing that the applicant is statutorily ineligible for a key employee license  
 35 under the Act;

36 (3) Evidence which discloses that having the applicant serve as an interim key employee  
 37 pending determination of their application may in the judgment of the Executive Director present  
 38 a danger to the public or to the reputation of controlled gambling in this state;

39 (4) A determination by the Executive Director that the applicant has failed to reveal any fact  
 40 that is material to, or supplied materially untrue or misleading information on, the applicant's  
 41 key employee license application;

42 (5) A Bureau recommendation of denial of the applicant's key employee application;

43 (6) Referral by the Commission of the applicant to an evidentiary hearing with direction to  
 44 the Executive Director to cancel the interim key employee status; or

45 (7) A determination by the Executive Director that the gambling establishment using the  
 46 interim key employee procedure has shown a pattern or practice of hiring or promoting persons  
 47 to key employee positions in violation of subsection (a) above or that the gambling establishment

1 has acted in bad faith, with actual knowledge that the persons hired or promoted would be  
2 ineligible for licensure.

3 (e) Within ten days of the date of notice of a cancellation of interim status pursuant to this  
4 section, the gambling establishment shall notify the Commission in writing of the effective date  
5 of the position change for or suspension of the employee, and shall describe the employee's  
6 revised job duties, if any.

7 (f) Judicial review of a cancellation of interim status shall be by petition pursuant to section  
8 1085 of the Code of Civil Procedure.

9  
10 Note: Authority cited: Sections 19823, 19824, 19840, and 19841, Business and Professions Code. Reference:  
11 Sections 19805(w), 19805(x), 19850, 19855, 19856, 19857, 19859, 19866, 19870, and 19883, Business and  
12 Professions Code.

### 13 Section 12355. Mandatory and Discretionary Grounds for Denial of Application for a Key 14 Employee License.

15 (a) An application for a portable personal key employee license shall be denied by the  
16 Commission if any of the following applies:

17 (1) The Commission finds that the applicant is ineligible, unqualified, disqualified, or  
18 unsuitable pursuant to the criteria set forth in the Act or other applicable law or that granting the  
19 license would be inimical to public health, safety, welfare, or would undermine the public trust  
20 that gambling operations are free from criminal or dishonest elements.

21 (b) An application for a key employee license may be denied if:

22 (1) The Commission finds that an applicant has attempted to communicate or has  
23 communicated ex parte, as that term is defined in Business and Professions Code section 19872,  
24 subdivision (e), with one or more Commissioners, through direct or indirect means, regarding the  
25 merits of the application while the application is pending disposition at the Bureau or the  
26 Commission.

27 (2) The Commission finds that the applicant's past behavior calls into question the  
28 applicant's qualification requirements and considerations outlined in Business and Professions  
29 Code section 19856. Examples of past behavior that may be considered include, but are not  
30 limited to:

31 (A) Convictions which demonstrate a pattern of disregard for the law,

32 (B) A conviction involving gambling or gambling-related activities,

33 (C) A final administrative decision concluding that there was a violation of law involving  
34 gambling or gambling-related activities, or

35 (D) A conviction regarding or final administrative decision concluding that there was a  
36 violation of campaign finance disclosure or contribution limitations applicable to an election  
37 conducted pursuant to Business and Professions Code section 19960.

38 (3) The Commission finds that the applicant has, within ten years immediately preceding the  
39 submission of the application, willfully or persistently violated any of the following:

40 (A) Any regulation adopted by the Commission or Bureau.

41 (B) Any condition, limitation, or directive imposed on a previously held gambling or key  
42 employee license.

43 (c) The grounds for denial set forth in this section apply in addition to any grounds prescribed  
44 by statute or any grounds that would support revocation under chapter 10 of these regulations.  
45  
46

- 1 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19854, 19859, 19870, 19872, 19890,
- 2 and 19982, Business and Professions Code. Reference: Sections 19850, 19851, 19852, 19854, 19856, 19857,
- 3 19858, and 19859, Business and Professions Code.