

**State of California
Office of Administrative Law**

In re:
California Gambling Control Commission

NOTICE OF APPROVAL OF REGULATORY
ACTION

Regulatory Action:

Government Code Section 11349.3

Title 4, California Code of Regulations

OAL File No. 2009-1023-02 S

Adopt sections: 12218.8, 12218.9, 12238,
12239

Amend sections: 12200.9, 12200.10A,
12200.11, 12200.13,
12203.2, 12205.1, 12218,
12218.7, 12220.13,
12220.18, 12220.23,
12225.1, 12233, 12235

Repeal sections:

This regulatory action: (1) increases various proposition player contract application fees, (2) establishes the procedures for an ongoing license renewal program for Third-Party Proposition Player Services (TPPS) and gambling businesses and their supervisors, players and other employees (creates new forms for this purpose: CGCC-433 (New 05/09), CGCC-434 (New 05/09), CGCC-533 (New 05/09), CGCC-534 (New 05/09), (3) establishes provisions for the review and approval of periodic amendments to playing book forms for both TPPS and gambling businesses (creates new form: BGC-APP 036 New 05/09), and (4) extends the maximum term of a TPPS contract from one year to two years.

OAL approves this regulatory action pursuant to section 11349.3 of the Government Code. This regulatory action becomes effective on 12/8/2009 pursuant to Government Code section 11343.4(c).

Date: 12/8/2009


Debra M. Cornez
Assistant Chief Counsel

For: SUSAN LAPSLEY
Director

Original: Terri A. Ciau
Copy: James Allen

NOTICE PUBLICATION/REGULATIONS SUBMISSION

REGULAR

(See instructions on reverse)

For use by Secretary of State only

STD. 400 (REV. 01-09)

OAL FILE NUMBERS	NOTICE FILE NUMBER Z- 2009-0623-01	REGULATORY ACTION NUMBER 2009-1023-025	EMERGENCY NUMBER
For use by Office of Administrative Law (OAL) only			
NOTICE		REGULATIONS	

ENDORSED FILED
IN THE OFFICE OF
2009 DEC -8 PM 2:48
Debra Bowen
DEBRA BOWEN
SECRETARY OF STATE

AGENCY WITH RULEMAKING AUTHORITY California Gambling Control Commission	AGENCY FILE NUMBER (if any) CGCC-GCA-2009-07-R
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A. PUBLICATION OF NOTICE (Complete for publication in Notice Register)

1. SUBJECT OF NOTICE	TITLE(S)	FIRST SECTION AFFECTED	2. REQUESTED PUBLICATION DATE
3. NOTICE TYPE <input type="checkbox"/> Notice re Proposed Regulatory Action <input type="checkbox"/> Other	4. AGENCY CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER (Optional)
OAL USE ONLY	ACTION ON PROPOSED NOTICE <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn	NOTICE REGISTER NUMBER 09 #27-Z	PUBLICATION DATE 13 2009

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) TPPS and Gambling Business License Renewal	1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) n/a
2. SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)	
SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)	ADOPT §§ 12218.8, 12218.9, 12238 and 12239
	AMEND [Please see attached list.]
TITLE(S) 4	REPEAL §
3. TYPE OF FILING	
<input checked="" type="checkbox"/> Regular Rulemaking (Gov. Code §11346)	<input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §§11346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute.
<input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4)	<input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1)
<input type="checkbox"/> Emergency (Gov. Code, §11346.1(b))	<input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h))
	<input type="checkbox"/> File & Print
	<input type="checkbox"/> Other (Specify) _____
	<input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100)
	<input type="checkbox"/> Print Only
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1) September 3 - 18, 2009 <i>per agency Omc 12-8-09</i>	
5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11344(d); Cal. Code Regs., title 1, §100)	
<input checked="" type="checkbox"/> Effective 30th day after filing with Secretary of State	<input checked="" type="checkbox"/> Effective on filing with Secretary of State
	<input type="checkbox"/> \$100 Changes Without Regulatory Effect
	<input type="checkbox"/> Effective other (Specify) _____
6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY	
<input type="checkbox"/> Department of Finance (Form STD. 399) (SAM §6660)	<input type="checkbox"/> Fair Political Practices Commission
<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> State Fire Marshal
7. CONTACT PERSON James Allen	TELEPHONE NUMBER (916) 263-4024
	FAX NUMBER (Optional) (916) 262-0499
	E-MAIL ADDRESS (Optional) Jallen@cgcc.ca.gov

8. I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE <i>Dean Shelton</i>	DATE 10-23-09
TYPED NAME AND TITLE OF SIGNATORY DEAN SHELTON, Chairman	

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ENDORSED APPROVED

DEC 08 2009

Office of Administrative Law

NOTICE PUBLICATION/ REGULATIONS SUBMISSION (STD 400)

CALIFORNIA GAMBLING CONTROL COMMISSION

CGCC-GCA-2009-07-R

SECTION B. SUBMISSION OF REGULATIONS.

1a. TPPS and Gambling Business License Renewal

2. SECTIONS AFFECTED:

TITLE 4:

AMEND: §§ 12200.9, 12200.10A, 12200.11, 12200.13, 12203.2,
12205.1, 12218, 12218.7, 12220.13, 12220.18, 12220.23,
12225.1, 12233 and 12235.

1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 **THIRD-PARTY PROPOSITION PLAYER SERVICES AND GAMBLING BUSINESS LICENSE RENEWAL**
3 CGCC-GCA-2009-07-R
4

5 **ORDER OF ADOPTION**

6 The California Gambling Control Commission hereby adopts the following changes in its
7 regulations contained in Division 18 of Title 4 of the California Code of Regulations:
8

9 **CHAPTER 2.1. THIRD-PARTY PROVIDERS OF PROPOSITION PLAYER SERVICES:**
10 **REGISTRATION; LICENSING.**

11 **ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.**

12 **§ 12200.9. Review and Approval of Proposition Player Contracts.**

13 (a)(1) Proposition player services shall not be provided except pursuant to a written
14 proposition player contract approved in advance by the Bureau. Provision of proposition player
15 services by any person subject to registration or licensing under this chapter, or engagement of
16 proposition player services by the holder of a state gambling license, without a contract as
17 required by this section is a violation of this section. The Bureau shall approve a proposition
18 player contract only if all the following requirements have been satisfied:

19 (A) The contract is consistent with this regulation and the Act.

20 (B) The contract does not provide for controlled gambling that will be conducted in a manner
21 that is inimical to the public health, safety, or welfare.

22 (C) The contract will not create or enhance the dangers of unsuitable, unfair, or illegal
23 practices, methods, or activities in the conduct of controlled gambling or in the carrying on of the
24 business and related financial arrangements.

25 (D) The contract will not undermine public trust that the controlled gambling operations
26 covered by the contract will be conducted honestly, by reason of the existence or perception of
27 any collusive arrangement between any party to the contract and the holder of a state gambling
28 license, or otherwise.

29 (2) Prior to December 7, 2003, each primary owner providing proposition player services at a
30 gambling establishment on the date that these regulations originally became effective (November

1 6, 2003) shall submit an Application for Contract Approval Provider of Proposition Player
2 Services (BGC-APP-030 (Rev. ~~11/07~~ 05/09)), which is hereby incorporated by reference.

3 (3) A complete application for contract approval shall include all of the following:

4 (A) A completed Application for Contract Approval to Provide Proposition Player Services
5 (BGC-APP-030 (Rev. ~~11/07~~ 05/09)), ~~which is hereby incorporated by reference.~~

6 (B) A completed Appointment of Designated Agent for Owners and Proposition Players
7 (BGC-APP-031 (Rev. 11/07)), which is hereby incorporated by reference.

8 (C) An executed copy of the contract that specifically addresses all of the requirements of
9 Section 12200.7.

10 (D) A playing book form that specifically addresses all of the requirements of Section
11 12200.13.

12 (E) ~~A five hundred dollar (\$500)~~ \$1000 nonrefundable application fee.

13 (F) The deposit as required by Title 11, California Code of Regulations, Section
14 2037(a)(2)(A). The Bureau may require an additional sum to be deposited to pay the final costs
15 of the review and approval or disapproval of the contract. Any money received as a deposit in
16 excess of the costs incurred in the review and approval or disapproval of the contract will be
17 refunded and an itemized accounting will be provided to the primary owner, or primary owner's
18 designee.

19 (4) The Bureau shall notify the applicant, in writing, within ten working days of receiving the
20 application that the application or resubmitted application is complete or incomplete. If an
21 application is incomplete, the Bureau shall request, in writing, any information, fees, or
22 documentation needed to complete the application. Unless extended by the Bureau for further
23 investigation up to 90 days or with the consent of the applicant, review and approval or
24 disapproval of a proposition player contract shall be completed within 90 days of receiving a
25 completed application and notice thereof shall be sent via United States mail to the applicant or
26 the applicant's designee within ten (10) days of the Bureau's decision. Notice of disapproval of
27 the contract or amendments shall specify the cause.

28 (b) An executed copy of the currently effective contract, and all amendment(s) thereto, and a
29 copy of all Bureau notices that approved the contract and any amendment shall be maintained at
30 the gambling establishment and shall be provided for review or copying upon request by any
31 representative of the Commission or Bureau.

1 (c) The term of any proposition player contract shall not exceed ~~one~~ two years and shall not
2 be extended or renewed without the prior approval of the Bureau. No amendment changing any
3 of the contract terms referred to in Section 12200.7, other than paragraphs (3), (4), and (6) of
4 subsection (b) thereof, may become effective during the term of a proposition player contract
5 without the prior written approval of the Bureau. If any amendment is made to a proposition
6 player contract term specified in paragraphs (3), (4), or (6) of subsection (b) of Section 12200.7,
7 both parties to the contract shall notify the Commission and Bureau in writing of the amendment
8 within 10 days of the execution thereof by the parties to the contract.

9 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
10 19951 and 19984, Business and Professions Code.

11
12 **§ 12200.10A. Expedited Review and Approval of Proposition Player Contracts.**

13 (a) In lieu of the procedure specified in Section 12200.9, the Bureau shall provide an
14 expedited review process of an application for contract approval if all of the following conditions
15 exist:

16 (1) Proposition player services were provided in the gambling establishment at any time
17 during the 60 days preceding the application pursuant to a contract that was previously approved
18 by the Bureau and that has been terminated in whole or in part.

19 (2) The proposed contract is between the house and a different primary owner than the
20 previous contract under which proposition player services were provided in the gambling
21 establishment.

22 (3) The terms of the proposed contract are substantially identical to the contract previously
23 approved by the Bureau under which proposition player services were provided in the gambling
24 establishment at any time during the 60 days preceding the application.

25 (b) If an application for contract approval is submitted as an expedited contract request and
26 the Bureau determines that it does not meet the criteria, the primary owner or designee and the
27 house shall be notified within three (3) business days of the Bureau's decision. Any contract that
28 is not processed through the expedited review and approval process shall be treated as a new
29 contract request and reviewed and approved or disapproved as otherwise provided by Section
30 12200.9(a).

31 (c) The Bureau shall complete the expedited review and approval of a contract within five (5)

1 business days of receiving all of the following:

2 (1) A completed Application for Contract Approval to Provide Proposition Player Services
3 (BGC-APP-030 (Rev. ~~11/07~~ 05/09)), referenced in Section 12200.9.

4 (2) A completed Appointment of Designated Agent for Owners and Proposition Players
5 (BGC-APP-031 (Rev. 11/07)), referenced in Section 12200.9.

6 (3) An executed copy of the contract that specifically addresses all the requirements of
7 Section 12200.7.

8 (4) A playing book form that specifically addresses all the requirements of Section 12200.13.

9 (5) A ~~five hundred dollar (\$500)~~ \$1000 nonrefundable application fee.

10 (6) An expedited processing fee of ~~one hundred and fifty dollars (\$150)~~ \$150 and a sum of
11 money that, in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated
12 processing costs in accordance with Business and Professions Code section 19867.

13 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
14 19951 and 19984, Business and Professions Code.

15

16 **§ 12200.11. Extension of Proposition Player Contracts.**

17 (a) An application for approval of a contract to continue proposition player services shall
18 include all of the following:

19 (1) A completed Application for Contract Approval to Provide Proposition Player Services
20 (BGC-APP-030 (Rev. ~~11/07~~ 05/09)), referenced in ~~subsection (e)~~ of Section 12200.9.

21 (2) A ~~five hundred dollar (\$500)~~ \$1000 nonrefundable application fee.

22 (3) An executed copy of the contract.

23 (4) A completed playing book form for three non-consecutive sessions of play that occurred
24 during the ten (10) days preceding the submission of the application for contract extension.

25 (5) A deposit in such amount as, in the judgment of the Chief of the Bureau, will be sufficient
26 to pay the anticipated processing costs. The Bureau may require an additional sum to be
27 deposited to pay the final costs of the review and approval or disapproval of the contract. Any
28 money received as a deposit in excess of the costs incurred in the review and approval or
29 disapproval of the contract will be refunded and an itemized accounting will be provided to the
30 primary owner, or primary owner's designee.

31 (b) The application shall be submitted to the Bureau no later than 90 days prior to the date

1 that the current contract is scheduled to expire.

2 (c) As soon as is practicable after determining that any application for approval of a
3 proposition player contract extension is complete and that the contract extension appears to
4 qualify for approval, but in no event more than 75 days from receipt of the application, the
5 Bureau shall submit the contract extension to the Commission for review and comment. The
6 Commission shall provide the Bureau with comments, if any, within 15 days of receipt of the
7 contract extension.

8 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
9 19951 and 19984, Business and Professions Code.

10

11 **§ 12200.13. Playing Book.**

12 (a) The primary owner shall be responsible for assuring that its players maintain accurate,
13 complete, and up-to-date playing books for all sessions of play worked in conformity with
14 regulations of the Commission. The information in the playing-book record shall be transferred
15 to the primary owner, or a supervisor designated by the primary owner at the end of each session
16 of play. The primary owner shall maintain this information in English at a single location in the
17 State of California, and shall maintain the original playing book records in the State of
18 California, for at least five (5) years. The location or locations where the records of this
19 information and the original playing book records are maintained, and any change therein, shall
20 be disclosed to the Commission and Bureau by written notice, mailed or delivered within five (5)
21 business days after establishing or changing such a location.

22 (b) The playing book shall be prepared and maintained as follows:

23 (1) The playing book form shall be reviewed and approved or disapproved during the review
24 of the contract by the Bureau.

25 (2) Each form in the playing book shall be recorded in ink and include, but not be limited to,
26 the following information:

27 (A) Sequential numbers. Any unused form shall be voided and maintained in the playing
28 book.

29 (B) The name of the gambling establishment where play occurred.

30 (C) The date and approximate time when play occurred.

31 (D) Beginning and ending balances.

- 1 (E) Individual identification of all fills and credits affecting the balance.
- 2 (F) The printed full name and badge number of the proposition player, which includes
- 3 owners, supervisors, and/or players.
- 4 (G) The table number assigned by the gambling establishment.
- 5 (H) The specific name of the Bureau-approved gaming activity.
- 6 (I) The name of the primary owner.
- 7 (3) The form for each session of play shall be time-stamped, dated, and signed under penalty
- 8 of perjury by the person who prepared it and shall include a declaration in the following form: “I
- 9 declare under penalty of perjury under the laws of the State of California that the foregoing is
- 10 true and correct.”

11 (c)(1) To amend a playing book form during a contract period, a Request for Approval of
 12 Playing Book form (BGC-App 036 (New 05/09)), which is hereby incorporated by reference,
 13 must be completed and submitted to the Bureau for prior approval along with the following to
 14 constitute a complete request:

- 15 (A) Processing fee of \$75.
- 16 (B) Sample playing book form that complies with this section.
- 17 (2) Review and approval or disapproval of an amended playing book form shall be completed
- 18 within 30 days of receiving a completed request. Written notices shall be sent to the applicant or
- 19 the applicant’s designee.

20 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Section
 21 19984, Business and Professions Code.

22

23 **ARTICLE 2. REGISTRATION.**

24 **§ 12203.2. Temporary Player Registration: Application; Criteria.**

25 The Executive Director shall, within 15 days of receiving a complete application, issue a
 26 temporary player registration valid for 60 days (or 150 days if Family Code section 17520
 27 applies) if all of the following requirements are met:

- 28 (a) The applicant has applied for a temporary player registration by completing the
- 29 Commission’s regular registration application form, requesting issuance of a temporary
- 30 registration by checking the appropriate box on the application form, and submitting with the
- 31 application a nonrefundable temporary registration fee specified in paragraph (2) of subsection

1 (d) of Section 12008, in addition to the regular registration fee specified in paragraph (1) of
2 subsection (d) of Section 12008.

3 (b) The applicant has supplied to the Commission all the documentation and fees required for
4 a regular registration.

5 (c) Neither the application in its entirety, nor the results of the review of the applicant's
6 criminal history up until the date of issuance of the temporary registration, discloses any of the
7 following:

8 (1) The applicant has been convicted of any felony.

9 (2) The applicant has, within the ten (10) year period immediately preceding the submission
10 of the application, been convicted of any of the following offenses, not including convictions
11 which have been expunged or dismissed as provided by law:

12 (A) A misdemeanor involving a firearm or other deadly weapon.

13 (B) A misdemeanor involving gaming or gaming-related activities prohibited by Chapter 9
14 (commencing with section 319) and Chapter 10 (commencing with section 330) of Title 9 of Part
15 1 of the Penal Code.

16 (C) A misdemeanor involving a violation of an ordinance of any city, county, or city and
17 county, which pertains to gambling or gambling-related activities.

18 (D) A misdemeanor involving violations of the Act.

19 (E) A misdemeanor involving dishonesty or moral turpitude.

20 (3) The applicant has had an application for a gambling license, work permit, proposition
21 player registration, proposition player license, gambling business registration, or gambling
22 business license denied.

23 (4) The applicant has had a gambling license, work permit, proposition player registration,
24 proposition player license, gambling business registration, or gambling business license revoked.

25 (5) The applicant is disqualified under the Act or other provisions of law from holding a
26 temporary registration.

27 (d) The review of the applicant's criminal history has resulted in one of the following:

28 (1) A response has been received from the BCII or Federal authorities that is consistent with
29 a finding that the applicant has not sustained any disqualifying criminal convictions, or,

30 (2) No response from the BCII or Federal authorities has been received within the time
31 period set forth in subsection ~~(a)(2)~~ (b) of Section 12203.3.

1 (e) The application and other information obtained during the review does not disclose any
2 factor indicating that approval of the temporary registration may, in the judgment of the
3 Executive Director, present a danger to the public or to the reputation of controlled gambling or
4 proposition playing in this state.

5 (f) The applicant is not ineligible under Business and Professions Code section 19859,
6 subdivisions (b), (e), (f), or (g), the terms of which are incorporated by reference and hereby
7 expressly made applicable to applications for temporary player registrations.

8 Note: Authority cited: Sections 19840, 19841, 19951(a) and 19984, Business and Professions Code. Reference:
9 Sections 19951 and 19984, Business and Professions Code.

10
11 **§ 12205.1. Transition to Licensing.**

12 (a) As expeditiously as possible in light of available program resources, the Bureau shall
13 summon persons registered as primary owners, owners, supervisors, players, and other
14 employees for the purpose of applying for licenses under this chapter. The registration of any
15 registrant that fails or refuses to submit a ~~Request for Conversion of a Third Party Proposition~~
16 ~~Player Services Registration to a License (CGCC-437 (Rev. 04/08))~~ the applicable Application
17 for Third Party Proposition Player Services License for Business Entities and Owners (CGCC-
18 433, (New 05/09)) or Application for Third-Party Proposition Player Services License for
19 Supervisors, Players or Other Employees (CGCC-434, (New 05/09)), which ~~is~~ are hereby
20 incorporated by reference, including any fees to the Commission within 30 days of receiving a
21 summons from the Bureau shall expire by operation of law on the following day. Prior to and
22 during review of a request to convert a registration to a license, a registration shall remain valid
23 and may be renewed by the registrant as necessary, upon application and approval of renewal of
24 registration as provided in Section 12203A.

25 (b) Any person who became affiliated with a primary owner following receipt of a summons
26 from the Bureau shall apply for registration pursuant to this chapter and shall be called forward
27 by the Bureau expeditiously.

28 (c) If the registration expires by operation of law, the former registrant shall submit a new
29 ~~Request for Conversion of a Third Party Proposition Player Services Registration to a License~~
30 ~~(CGCC-437 (Rev. 04/08))~~ Application for Third Party Proposition Player Services License for
31 Business Entities and Owners (CGCC-433, (New 05/09)) or Application for Third-Party

1 Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434,
 2 (New 05/09)) and a new nonrefundable application fee as specified in paragraph (1), and the
 3 applicable additional fee specified in paragraph (3), (4), or (5) of subsection (d) of Section
 4 12008.

5 ~~(d) The transition to licensing for registrations approved prior to April 30, 2004, shall be~~
 6 ~~completed no later than July 1, 2008.~~

7 ~~(e) Except as provided in subsection (c), a request to convert a registration to a license shall~~
 8 ~~require only payment of a sum of money that, in the judgment of the Chief of the Bureau, will be~~
 9 ~~adequate to pay the anticipated investigation and processing costs, in accordance with Business~~
 10 ~~and Professions Code sections 19867 and 19984(e).~~

11 ~~(f) If a license is issued, it will expire as provided in Section 12218.13 (Term of License).~~

12 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Section
 13 19984, Business and Professions Code.

14 15 **ARTICLE 3. LICENSING.**

16 **§ 12218. Request to Convert Registration to License.**

17 (a) A request to convert a registration to a license shall be submitted to the Commission only
 18 in response to a written summons from the Bureau to a primary owner pursuant to Section
 19 12205.1. Each primary owner's request shall be accompanied by the requests of all affiliated
 20 owners, supervisors, players, and other employees.

21 (b) The request to convert a registration to a license shall designate whether the license is
 22 requested as a primary owner, owner, supervisor, player, or other employee. The request shall be
 23 signed by the individual requester or, if the requester is a business entity, by the chief executive
 24 officer or other designated officer of the business entity.

25 (c) The request to convert a registration to a license shall include all of the following:

26 ~~(1) A completed Request for Conversion of a Third Party Proposition Player Services~~
 27 ~~Registration to a License (CGCC-437 (Rev. 04/08))~~ A completed Application for Third Party
 28 Proposition Player Services License for Business Entities and Owners (CGCC-433, (New
 29 05/09)) or Application for Third-Party Proposition Player Services License for Supervisors,
 30 Players or Other Employees (CGCC-434, (New 05/09)), referenced in Section 12205.1.

31 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-

1 143 (Rev. 05/08), referenced in Section 12342 of this division.

2 (3) The applicable nonrefundable application fee in the amount specified in subsection (d) of
3 Section 12008.

4 ~~(2)~~(4) Two 2x2 inch color passport-style photographs of a requester that is an individual
5 taken no more than one year before submission of the request to the Commission.

6 ~~(3)~~(5) The supplemental information package as defined in Section 12200(b).

7 ~~(4)~~(6) A sum of money that, in the judgment of the Chief of the Bureau, will be adequate to
8 pay the anticipated investigation and processing costs, in accordance with Business and
9 Professions Code sections 19867 and 19984~~(c)~~.

10 ~~(5)~~(7) A copy of the summons issued by the Bureau.

11 (d) Nothing in this chapter shall require the Commission or Bureau to divulge to the
12 requester any confidential information received from any law enforcement agency or any
13 information received from any person with assurances that the information would be maintained
14 as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any
15 information that might reveal the identity of any source of information or jeopardize the safety of
16 any person.

17 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section
18 19984, Business and Professions Code.

19

20 **§ 12218.7. Processing Times – Request to Convert Registration to License.**

21 A request to convert a registration to license submitted pursuant to this chapter shall be
22 processed within the following timeframes:

23 (a) The maximum time within which the Commission shall notify the applicant in writing
24 that a request or a resubmitted request is complete and accepted for initial processing by the
25 Commission, or that a request or a resubmitted request is deficient and identifying what specific
26 additional information is required, is 20 days after receipt of the request. For the purposes of this
27 section, “request” means the ~~Request for Conversion of a Third-Party Proposition Player~~
28 ~~Services Registration to a License (CGCC-437 (Rev. 04/08))~~ Application for Third Party
29 Proposition Player Services License for Business Entities and Owners (CGCC-433, (New
30 05/09)) or Application for Third-Party Proposition Player Services License for Supervisors,
31 Players or Other Employees (CGCC-434, (New 05/09)), referenced in Section 12205.1. A

1 request is not complete unless accompanied by *both* a copy of the summons from the Bureau
2 setting a deadline for filing the request with the Commission and the supplemental information
3 package required by Section 12218(c)(35) for review by the Bureau pursuant to subsection (c)
4 for persons affiliated with the primary owner to whom the summons was addressed. The
5 Commission shall not review the supplemental information for completeness.

6 (b) A request and the supplemental information package shall be forwarded by the
7 Commission to the Bureau for processing within ten (10) days of the date that the Commission
8 determines that the request is complete.

9 (c) The Bureau shall review the supplemental information package submitted for
10 completeness and notify the applicant of any deficiencies in the supplemental information
11 package, or that the supplemental information package is complete, within 45 days of the date
12 that the request and supplemental information package are received by the Bureau from the
13 Commission. Notwithstanding this subsection, subsequent to acceptance of the supplemental
14 information package as complete, the Bureau may, pursuant to Business and Professions Code
15 section 19866, require the requester to submit additional information.

16 (d) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent
17 practicable, submit its recommendation to the Commission within 180 days after the date the
18 Bureau is in receipt of both the completed request pursuant to subsection (b) and the completed
19 supplemental information package pursuant to subsection (c). If the Bureau has not concluded
20 its investigation within 180 days, then it shall inform the applicant and the Commission in
21 writing of the status of the investigation and shall also provide the applicant and the Commission
22 with an estimated date on which the investigation may reasonably be expected to be concluded.

23 (e) The Commission shall grant or deny the request within 120 days after receipt of the final
24 written recommendation of the Bureau concerning the request, except that the Commission may
25 notify the applicant in writing that additional time, not to exceed 30 days, is needed.

26 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Section
27 19984, Business and Professions Code.

28
29 **§ 12218.8. License Renewals.**

30 (a) Each application for the renewal of a license shall be accompanied by all of the following:

31 (1) A completed Application for Third Party Proposition Player Services License for

1 Business Entities and Owners (CGCC-433, (New 05/09)) or Application for Third-Party
2 Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434,
3 (New 05/09)), referenced in Section 12205.1.

4 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-
5 143 (Rev. 05/08), referenced in Section 12342 of this division.

6 (3) The applicable nonrefundable application fee in the amount specified in subsection (d) of
7 Section 12008.

8 (b) Each owner whose name is required to be endorsed upon the license of the primary owner
9 shall submit a separate application for renewal of that individual's or entity's license, together
10 with the application fee specified in subsection (a).

11 (c) The Bureau may conduct an investigation of a primary owner and each owner whose
12 name is required to be endorsed upon the license of the primary owner; and any licensed
13 supervisor, player, or other employee identified in the notice issued by the Bureau.

14 (1) Within 15 days of receipt of a notice issued by the Bureau, those identified in the notice
15 must submit a supplemental package pursuant to Section 12200(b)(27) and a sum of money that,
16 in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation
17 and processing costs, in accordance with Business and Professions Code sections 19867 and
18 19984.

19 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
20 19823, 19824, 19851, 19867, 19876, 19951 and 19984, Business and Professions Code.

21
22 **§ 12218.9. Processing of Applications for Renewal License.**

23 (a) Except as provided in subsection (b), renewal license applications submitted pursuant to
24 Section 12218.8 shall be processed within the following timeframes:

25 (1) An application for renewal of a license shall be filed by the primary owner, owner,
26 supervisor, player, and other employee with the Commission no later than 120 days prior to the
27 expiration of the current license.

28 (2) The maximum time within which the Commission shall notify the applicant in writing
29 that an application or a resubmitted application is complete and accepted for initial processing by
30 the Commission, or that an application or a resubmitted application is deficient and identifying
31 what specific additional information is required, is 10 working days after receipt of the

1 application. For the purposes of this section, "application" means either of the two forms
2 specified in paragraph (1) of subsection (a) of Section 12218.8, as applicable.

3 (3) An application for a license shall be forwarded by the Commission to the Bureau for
4 processing within five working days of the date that the Commission deems the application is
5 complete.

6 (4) If the Bureau conducts an investigation, it shall submit a written report concerning the
7 renewal application to the Commission no later than 45 days prior to the expiration of the current
8 license, unless that application is filed with the Commission less than the 120 days prior to the
9 expiration of the current license.

10 (b) The processing times specified in paragraphs (2) through (4) of subsection (a) may be
11 exceeded in any of the following instances:

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

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

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

17 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections
18 19824, 19868, 19876 and 19984, Business and Professions Code.

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CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.

22

ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

23

§ 12220.13. Playing Book.

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(a) The primary owner shall be responsible for assuring that its players maintain accurate, complete, and up-to-date playing books for all sessions of play worked in conformity with regulations of the Commission. The information in the playing-book record shall be transferred to the primary owner, or a supervisor designated by the primary owner at the end of each session of play. The primary owner shall maintain this information in English at a single location in the State of California, and shall maintain the original playing book records in the State of California for at least five (5) years. The location or locations where the records of this information and the original playing book records are maintained, and any change therein, shall be disclosed to the

1 Commission and Bureau by written notice, mailed or delivered within five (5) business days
2 after establishing or changing such a location.

3 (b) The playing book shall be prepared and maintained as follows:

4 (1) The playing book form shall be reviewed and approved or disapproved by the Bureau
5 during the review of the primary owner's registration or license application.

6 (2) Each form in the playing book shall be recorded in ink and include, but not be limited to,
7 the following information:

8 (A) Sequential numbers. Any unused form shall be voided and maintained in the playing
9 book.

10 (B) The name of the gambling establishment where play occurred.

11 (C) The date and approximate time when play occurred.

12 (D) Beginning and ending balances.

13 (E) Individual identification of all fills and credits affecting the balance.

14 (F) The printed full name and badge number of the player, which includes owners,
15 supervisors, and/or players.

16 (G) The table number assigned by the gambling establishment.

17 (H) The specific name of the Bureau-approved gaming activity.

18 (I) The name of the primary owner.

19 (3) The form for each session of play shall be time-stamped, dated, and signed under penalty
20 of perjury by the person who prepared it and shall include a declaration in the following form: "I
21 declare under penalty of perjury under the laws of the State of California that the foregoing is
22 true and correct."

23 (c)(1) A Request for Approval of Playing Book form (BGC-App 036 (New 03/09)),
24 referenced in Section 12200.13, must be completed and submitted to the Bureau for prior
25 approval along with the following to constitute a complete request for initial approval or to
26 amend the playing book form:

27 (A) Processing fee of \$75.

28 (B) Sample playing book form that complies with this section.

29 (2) Review and approval or disapproval of an amended playing book form shall be completed
30 within 30 days of receiving a completed request. Written notices shall be sent to the applicant or
31 the applicant's designee.

1 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
2 Sections 19805 and 19853(a)(3), Business and Professions Code.

3
4 **§ 12220.18. Revocation.**

5 The Commission may revoke a registration or license, upon any of the following grounds,
6 after a hearing conducted pursuant to the same procedures applicable to the revocation of a
7 gambling establishment license:

8 (a) The registrant or licensee committed, attempted to commit, or conspired to commit any
9 acts prohibited by the Act or this chapter.

10 (b) Any act or omission by the registrant that would disqualify the registrant from obtaining
11 registration under this chapter. Any act or omission by the licensee that would disqualify the
12 licensee from obtaining licensing under this chapter.

13 (c) The registrant or licensee engaged in any dishonest, fraudulent, or unfairly deceptive
14 activities in connection with controlled gambling, including any violation of laws related to
15 cheating.

16 (d) The registrant or licensee failed or refused to comply with the requirements of Section
17 ~~12200.16~~ 12220.16 (Inspections and Investigations).

18 (e) The registrant or licensee failed or refused to comply with the requirements of Section
19 ~~12200.14~~ 12220.14 (Organization Chart and Employee Report).

20 (f) The registrant or licensee concealed or refused to disclose any material fact in any inquiry
21 by the Bureau or the Commission.

22 (g) The registrant or licensee committed, attempted, or conspired to commit any
23 embezzlement or larceny against a gambling business registrant or licensee or proposition player
24 registrant or licensee or against a holder of a state gambling license, or on the premises of a
25 gambling establishment.

26 (h) The registrant or licensee has been lawfully excluded from being present upon the
27 premises of any licensed gambling establishment for any reason relating to cheating or any
28 violation of the Act by the registrant or licensee.

29 (i) The registrant or licensee buys or sells chips other than to or from the house, except for
30 exchanging with a patron chips of one denomination for chips of another denomination.

31 (j) The registrant or licensee lends money or chips to gambling establishment patrons or

1 proposition players, except for exchanging with a patron chips of one denomination for chips of
2 another denomination.

3 (k) The registrant or licensee made wagers that were not specifically authorized by the game
4 rules approved by the Bureau.

5 (l) Any owner knowingly permitted one or more of the owner's supervisors or players to
6 commit any act described in subsections (a) through (k), inclusive.

7 (m) Any owner knew, or failed to implement reasonable oversight procedures that would
8 have apprised the owner, that one or more of the registrants or licensees was in violation of one
9 or more provisions of this chapter or of the Act and failed or refused to take action to prevent the
10 recurrence of the violation or violations.

11 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
12 Section 19853(a)(3), Business and Professions Code.

13

14 **§ 12220.23. Exclusion.**

15 (a) In order to promote the purposes of the Act to provide for effective regulation of
16 gambling enterprises, owner-licensees of gambling establishments shall notify the Commission
17 and Bureau of, and may exclude from the gambling establishment, any person that the owner-
18 licensee reasonably believes is conducting a gambling business within the gambling
19 establishment without having been registered or licensed under this chapter. An owner-licensee
20 acting under this section shall notify the Commission and Bureau in writing of any such
21 unregistered or unlicensed person and of any such exclusion, including the identity of the
22 excluded individuals and entity if known, within ten (10) business days following the exclusion.
23 Upon receiving such notice of an unregistered or unlicensed person, the Commission shall notify
24 the person in writing of the registration and license requirement of this chapter and shall notify
25 all owner-licensees of the name of the unregistered or unlicensed person, if known and may
26 condition any subsequent registration or license of the person under this chapter or Chapter 2.1
27 of this division upon a 60 to 90 day suspension of registration or license or payment of a civil
28 penalty under Business and Professions Code section 19930(c), or both.

29 (b) An owner-licensee of a gambling establishment may exclude any registered or licensed
30 gambling business and shall notify the Commission and Bureau in writing within five (5) days
31 following the exclusion.

1 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
2 Sections 19853(a)(3) and 19930, Business and Professions Code.

3
4 **ARTICLE 2. REGISTRATION.**

5 **§ 12225.1. Transition to Licensing.**

6 (a) The Bureau shall summon persons registered as primary owners, owners, supervisors,
7 players, and other employees for the purpose of applying for licenses under this chapter. The
8 Bureau shall summon primary owners, owners, supervisors, players, and other employees as
9 expeditiously as possible in light of available program resources. The registration of any
10 registrant that fails or refuses to submit a ~~Request for Conversion of a Gambling Business~~
11 ~~Registration to a License (CGCC-537 (Rev. 04/08))~~ the applicable Application for Gambling
12 Business License for Business Entities and Owners (CGCC-533, (New 05/09)) or Application
13 for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534, (New
14 05/09)), which ~~is~~ are hereby incorporated by reference, including any fees to the Commission
15 within 30 days of receiving a summons from the Bureau shall expire by operation of law on the
16 following day. Prior to and during review of a request to convert a registration to a license, a
17 registration shall remain valid and may be renewed by the registrant as necessary, upon
18 application and approval of renewal of registration.

19 (b) If the registration expires by operation of law, the former registrant shall submit a new
20 ~~request to convert a registration to a license~~ Application for Gambling Business License for
21 Business Entities and Owners (CGCC-533, (New 05/09)) or Application for Gambling Business
22 License for Supervisor, Player or Other Employee (CGCC-534, (New 05/09)) and a new
23 nonrefundable application fee as specified in paragraph (1), and the applicable additional fee
24 specified in paragraph (3), (4), or (5), of subsection (e) of Section 12008.

25 (c) ~~The transition from registration to licensing for applications approved prior to April 30,~~
26 ~~2004, shall be completed no later than July 1, 2008.~~

27 (d) ~~Except as provided for in subsection (b), a request to convert a registration to a license~~
28 ~~shall require only payment of a sum of money that in the judgment of the Chief of the Bureau,~~
29 ~~will be adequate to pay the anticipated investigation and processing costs, in accordance with~~
30 ~~Business and Professions Code section 19867.~~

31 (e) ~~If a license is issued, it will expire as provided in Section 12237 (Term of License).~~

1 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
 2 Sections 19853(a)(3) and 19867, Business and Professions Code.

4 **ARTICLE 3. LICENSING.**

5 **§ 12233. Request to Convert Registration to License.**

6 (a) A request to convert a registration to a license shall be submitted to the Commission only
 7 in response to a written summons from the Bureau to a primary owner pursuant to Section
 8 12225.1. Each primary owner's request shall be accompanied by the requests of all affiliated
 9 owners, supervisors, players, and other employees.

10 (b) The request to convert a registration to a license shall designate whether the license is
 11 requested as a primary owner, owner, supervisor, player, or other employee. The request shall be
 12 signed by the individual requester or, if the requester is a business entity, by the chief executive
 13 officer or other designated officer of the business entity.

14 (c) The request to convert a registration to a license shall include all of the following:

15 (1) ~~A completed Request for Conversion of a Gambling Business Registration to a License~~
 16 (CGCC-537 (Rev. 04/08)) Application for Gambling Business License for Business Entities and
 17 Owners (CGCC-533, (New 05/09)) or Application for Gambling Business License for
 18 Supervisor, Player or Other Employee (CGCC-534, (New 05/09)), referenced in Section
 19 12225.1.

20 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-
 21 143 (Rev. 05/08), referenced in Section 12342 of this division.

22 (3) The applicable nonrefundable application fee in the amount specified in subsection (e) of
 23 Section 12008.

24 ~~(2)~~(4) Two 2x2 inch color passport-style photographs of a requester that is an individual
 25 taken no more than one year before submission of the request to the Commission.

26 ~~(3)~~(5) The supplemental information package as defined in Section 12220.

27 ~~(4)~~(6) A sum of money that, in the judgment of the Chief of the Bureau, will be adequate to
 28 pay the anticipated investigation and processing costs, in accordance with Business and
 29 Professions Code section 19867.

30 ~~(5)~~(7) A copy of the summons issued by the Bureau.

31 (d) Nothing in this chapter shall require the Commission or Bureau to divulge to the

1 requester any confidential information received from any law enforcement agency or any
2 information received from any person with assurances that the information would be maintained
3 as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any
4 information that might reveal the identity of any source of information or jeopardize the safety of
5 any person.

6 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
7 Sections 19853(a)(3) and 19867, Business and Professions Code.

8
9 **§ 12235. Processing Times - Request to Convert Registration to License.**

10 A request to convert a registration to license submitted pursuant to this chapter shall be
11 processed within the following timeframes:

12 (a) The maximum time within which the Commission shall notify the applicant in writing
13 that a request or a resubmitted request is complete and accepted for initial processing by the
14 Commission, or that a request or a resubmitted request is deficient and identifying what
15 specific additional information is required, is 20 days after receipt of the request. For the
16 purposes of this section, "request" means the form ~~Request for Conversion of a Gambling~~
17 Business Registration to a License (CGCC-537 (Rev. 04/08)) Application for Gambling Business
18 License for Business Entities and Owners (CGCC-533, (New 05/09)) or Application for
19 Gambling Business License for Supervisor, Player or Other Employee (CGCC-534, (New
20 05/09)), referenced in Section 12225.1. A request is not complete unless accompanied by both a
21 copy of the summons from the Bureau setting a deadline for filing the request with the
22 Commission and the supplemental information package required by Section 12233(c)(35) for
23 review by the Bureau pursuant to subsection (c) for persons affiliated with the primary owner to
24 whom the summons was addressed. The Commission shall not review the supplemental
25 information for completeness.

26 (b) A request and the supplemental information package shall be forwarded by the
27 Commission to the Bureau for processing within ten (10) days of the date that the Commission
28 determines that the request is complete.

29 (c) The Bureau shall review the supplemental information package submitted for
30 completeness and notify the applicant of any deficiencies in the supplemental information
31 package, or that the supplemental information package is complete, within 45 days of the date

1 that the request and supplemental information package are received by the Bureau from the
2 Commission. Notwithstanding this subsection, subsequent to acceptance of the supplemental
3 information package as complete, the Bureau may, pursuant to Business and Professions Code
4 section 19866, require the requester to submit additional information.

5 (d) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent
6 practicable, submit its recommendation to the Commission within 180 days after the date the
7 Bureau is in receipt of both the completed request pursuant to subsection (b) and the completed
8 supplemental information package pursuant to subsection (c). If the Bureau has not concluded
9 its investigation within 180 days, then it shall inform the applicant and the Commission in
10 writing of the status of the investigation and shall also provide the applicant and the Commission
11 with an estimated date on which the investigation may reasonably be expected to be concluded.

12 (e) The Commission shall grant or deny the request within 120 days after receipt of the final
13 written recommendation of the Bureau concerning the request, except that the Commission may
14 notify the applicant in writing that additional time, not to exceed 30 days, is needed.

15 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:
16 Sections 19853(a)(3) and 19868, Business and Professions Code.

17
18 **§ 12238. License Renewals.**

19 (a) Each application for the renewal of a license shall be accompanied by all of the following:

20 (1) A completed Application for Gambling Business License for Business Entities and
21 Owners (CGCC-533, (New 05/09)) or Application for Gambling Business License for
22 Supervisor, Player or Other Employee (CGCC-534, (New 05/09)), referenced in Section
23 12225.1.

24 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-
25 143 (Rev. 05/08), referenced in Section 12342 of this division.

26 (3) As applicable, the nonrefundable application fee in the amount specified in subsection (e)
27 of Section 12008.

28 (b) Each owner whose name is required to be endorsed upon the license of the primary owner
29 shall submit a separate application for renewal of that individual's or entity's license, together
30 with the application fee specified in subsection (a).

1 (c) The Bureau may conduct an investigation of a primary owner and each owner whose
2 name is required to be endorsed upon the license of the primary owner; and any licensed
3 supervisor, player, or other employee identified in the notice issued by the Bureau.

4 (1) Within 15 days of receipt of a notice issued by the Bureau, those identified in the notice
5 must submit a supplemental package pursuant to Section 12220(b)(27) and a sum of money that,
6 in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation
7 and processing costs, in accordance with Business and Professions Code sections 19867.

8 Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: 19823,
9 19824, Sections 19851, 19853, 19867, 19876 and 19951, Business and Professions Code.

10
11 **§ 12239. Processing of Applications for Renewal License.**

12 (a) Except as provided in subsection (b), renewal license applications submitted pursuant to
13 Section 12237 shall be processed within the following timeframes:

14 (1) An application for renewal of a license shall be filed by the primary owner, owner,
15 supervisor, player, and other employee with the Commission no later than 120 days prior to the
16 expiration of the current license.

17 (2) The maximum time within which the Commission shall notify the applicant in writing
18 that an application or a resubmitted application is complete and accepted for initial processing by
19 the Commission, or that an application or a resubmitted application is deficient and identifying
20 what specific additional information is required, is 10 working days after receipt of the
21 application. For the purposes of this section, "application" means either of the two forms
22 specified in paragraph (1) of subsection (a) of Section 12238, as applicable.

23 (3) An application for a license shall be forwarded by the Commission to the Bureau for
24 processing within five working days of the date that the Commission determines that the
25 application is complete.

26 (4) If the Bureau conducts an investigation, it shall submit a written report concerning the
27 renewal application to the Commission no later than 45 days prior to the expiration of the current
28 license, unless that application is filed with the Commission less than 120 days prior to the
29 expiration of the current license.

30 (b) The processing times specified in paragraphs (2) through (4) of subsection (a) may be
31 exceeded in any of the following instances:

- 1 (1) The applicant has agreed to an extension of the time.
- 2 (2) The number of licenses to be processed exceeds by 15 percent the number processed in
- 3 the same calendar quarter in the preceding year.
- 4 (3) The Commission or Bureau must rely on another public or private entity for all or part of
- 5 the processing, and the delay is caused by that other entity.

6 Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections
7 19824, 19853, 19868 and 19876, Business and Professions Code.

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Application for Contract Approval to Provide Proposition Player Services

BGC-APP. 030 (Rev. 05/09+1/07)

DEPARTMENT OF JUSTICE BUREAU OF GAMBLING CONTROL

INSTRUCTIONS TO PRIMARY OWNER

APPLICATION FOR CONTRACT APPROVAL TO PROVIDE PROPOSITION PLAYER SERVICES

The following forms and documentation must be submitted to the Bureau of Gambling Control (Bureau), as applicable, in conjunction with the submission of an application for approval of a contract for proposition player services. Any corrections, changes or other alterations must be initialed and dated by the applicant.

Pursuant to Business and Professions Code section 19868, subd. (a), the supplemental information package will not be deemed complete until all required forms, documentation, and fees have been received by the Bureau.

Forms/Documentation	Submitted (if applicable)
Completed Application for Contract Approval (includes Instructions) (BGC-APP. 030 [Rev. 05/09+1/07])	
Completed Appointment of Designated Agent For Owners and Proposition Players (BGC-APP. 031 [Rev. 11/07])	
Executed Copy of the Contract and/or Amendment	
Non-refundable \$1,000 500 Application Fee	
Deposit of \$600 for Contract Review and Processing of New Contracts	
Non-refundable \$500 Amendment Application Fee	
Deposit of \$450 for Contract Review and Processing of Amendments to Contracts	
Processing Fee of \$150 for Expedited Review of New Contracts	
Deposit of \$360 for Expedited Review of a Contract	
Deposit of \$600 for review and processing of Applications for Extension of Services (Renewal).	

The primary owner is responsible for all costs incurred by the Bureau while conducting the review. At the conclusion of the review, the primary owner/designee will receive an itemized accounting of all costs. Deposits received in excess of the actual costs incurred will be refunded to the applicant. A notice of contract approval will not be issued until all fees have been received.

Make Checks Payable To: **Bureau of Gambling Control**

For Regular Mail delivery:

Bureau of Gambling Control
Attn: Prop Player Unit
P.O. Box 168024
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control
Attn: Prop Player Unit
1425 River Park Drive, Suite 400
Sacramento, CA 95815

Application for Contract Approval to Provide Proposition Player Services

BGC-APP. 030 (Rev. 05/09/14/07)



California Department of Justice
 Bureau of Gambling Control
 Attn: Prop Player Unit
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 263-3408 / (916) 263-5572 facsimile

COMMERCIAL/EXPRESS DELIVERIES
 Bureau of Gambling Control
 Attn: Prop Player Unit
 1425 River Park Drive, Suite 400
 Sacramento, CA 95815

APPLICATION FOR CONTRACT APPROVAL TO PROVIDE PROPOSITION PLAYER SERVICES

Instructions: Type or print legibly in ink an answer to every question. If a question does not apply to you, indicate with "N/A." If the space available is insufficient, use a separate sheet and precede each answer with the applicable section and question number. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other alterations must be initialed and dated by the Primary Owner/Designee.

Attach additional sheet(s), if necessary.

1. INDICATE THE TYPE OF CONTRACT APPROVAL REQUEST (check one)		
<input type="checkbox"/> NEW <input type="checkbox"/> AMENDMENT <input type="checkbox"/> EXTENSION OF SERVICES (RENEWAL) <input type="checkbox"/> EXPEDITE		
2. BUSINESS ENTITY OR INDIVIDUAL NAME (<i>Primary Owner</i>)		3. TELEPHONE NUMBER ()
4. MAILING ADDRESS (<i>street, city, state, zip code</i>)		
5. FAX NUMBER ()	6. E-MAIL ADDRESS	7. WEBSITE ADDRESS
8. FULL NAME OF GAMBLING ESTABLISHMENT NAMED AS A PARTY TO THE CONTRACT		
9. ADDRESS OF GAMBLING ESTABLISHMENT (<i>physical location - street, city, state, zip code</i>)		
10. IDENTIFY THE LEGAL BUSINESS STRUCTURE OF THE PRIMARY OWNER (<i>check all that apply</i>)		
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Corporation <input type="checkbox"/> Publicly Traded Corporation	<input type="checkbox"/> Limited Partnership <input type="checkbox"/> General Partnership <input type="checkbox"/> Limited Liability Company	<input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Parent <input type="checkbox"/> Subsidiary <input type="checkbox"/> Other
11. LIST THE NAME AND ADDRESS (<i>physical location - street, city, state, zip code</i>) OF ANY OTHER GAMBLING ESTABLISHMENTS TO WHICH THIS PRIMARY OWNER PROVIDES PROPOSITION PLAYERS.		
I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.		
PRINTED NAME OF PRIMARY OWNER/DESIGNEE	SIGNATURE OF PRIMARY OWNER/DESIGNEE	DATE

Request for Approval of Playing Book Form

BGC-APP. 036 New 05/09



BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 263-3408; Fax (916) 263-3403

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

The owner of a Gambling Business (GB) must complete this form to receive Bureau approval of the playing book form prior to operating in any gambling establishment. In addition, the owner of the Third-Party Provider of Proposition Player Services (TP) must complete this form to obtain prior Bureau approval to utilize an amended playing book form in any gambling establishment.

Type or print legibly in blue or black ink an answer to every question. If a question does not apply to you, indicate with "N/A." If the space available is insufficient, use a separate sheet and precede each answer with the applicable item number. Any corrections, changes, or alterations must be initialed and dated. Line One: Use an "X" to identify the type of entity for which the playing book form will be used; and Line Two: Use an "X" to specify the type of enclosed form and to verify the proper fee is enclosed.

Mail To: Bureau of Gambling Control at PO Box above or 1425 River Park Drive, Suite 400, Sacramento, CA 95815

1.	<input type="checkbox"/> THIRD-PARTY PROVIDER OF PROPOSITION PLAYER SERVICES (TP)		<input type="checkbox"/> GAMBLING BUSINESS (GB)	
2.	<input type="checkbox"/> INITIAL PLAYING BOOK FORM ENCLOSED (GB ONLY)		<input type="checkbox"/> \$75 CHECK OR MONEY ORDER ENCLOSED PAYABLE TO: BUREAU OF GAMBLING CONTROL	
	<input type="checkbox"/> AMENDED PLAYING BOOK FORM ENCLOSED (TP or GB)			
3.	NAME OF TP OR GB			
4.	PHYSICAL ADDRESS OF MAIN OFFICE FOR TP OR GB (<i>street, city, state, and zip code</i>)			
5.	TELEPHONE NUMBER (<i>include area code</i>)	E-MAIL ADDRESS	FAX NUMBER (<i>include area code</i>)	
6.	NAME OF DESIGNATED AGENT FOR TP OR GB			
	MAILING ADDRESS (<i>street, city, state, and zip code</i>)			
	TELEPHONE NUMBER (<i>include area code</i>)	E-MAIL ADDRESS	FAX NUMBER (<i>include area code</i>)	
7.	IF APPLICABLE, BRIEFLY EXPLAIN WHAT HAS BEEN AMENDED AND THE REASON FOR THE AMENDMENT			
I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.				
OWNER'S PRINTED NAME		SIGNATURE		DATE



State of California
 California Gambling Control Commission
 2399 Gateway Oaks Drive, Suite 220
 Sacramento, CA 95833-4231
 (916) 263-0700; Fax: (916) 263-0452
www.cgcc.ca.gov

**APPLICATION FOR THIRD-PARTY PROPOSITION PLAYER SERVICES LICENSE
 FOR BUSINESS ENTITIES AND OWNERS
 CGCC-433 (New 05/09)**

Pursuant to Business and Professions Code section 19984, except as provided in California Code of Regulations, Title 4, Section 12201(a), no person may perform in the capacity of a primary owner or owner in the provision of third-party proposition player services without a license issued by the California Gambling Control Commission (Commission). A license certificate will be issued after the application is approved by the Commission and will indicate the name of the "primary owner".

Instructions:

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Incomplete applications will be returned. You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item.

Please submit the following with the application for the renewal of an individual:

- Two 2x2 inch, passport-style color photographs taken within the last 12 months
- Photocopy of your current State Driver's License or State Identification Card

Send the completed application package with required fee (listed below) to: California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231. Please make all checks payable to the California Gambling Control Commission.

Name of Provider of Third-Party Proposition Player Services (Business)	Name of Applicant (Individual or Entity)
Please check one box indicating whether you are applying for an <i>initial</i> or <i>renewal</i> license.	
<input type="checkbox"/> <u>INITIAL</u> Application Fee: \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust) NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. You will also be required to supply a deposit as identified in California Code of Regulations, Title 11, Section 2037, and additional documentation (bank statements, taxes, employment agreements, etc.)	
<input type="checkbox"/> <u>RENEWAL</u> Application Fee: \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust) Background Deposit: A sum of money that, in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code sections 19867 and 19984. <i>Unused portion of background deposit will be refunded.</i>	

SECTION 1 – TYPE OF APPLICATION (check one box)

Submit the information listed below with the required fees/deposits with your initial or renewal application.

Primary Owner: The primary owner is a sole proprietor, corporation, partnership, or other business entity that proposes to provide third-party proposition player services as an independent contractor in a gambling establishment (see California Code of Regulations, Title 4, Section 12200(b)(18)).

Sole Proprietors: Submit one application with all sections completed *except* 3a and 3b

All other Owner Types, including Trusts (As indicated in section 3a): Complete all sections *except* 4

Owner: An owner is any other owner type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source (see California Code of Regulations, Title 4, Section 12200(b)(16)).

Individual Applicants, including Trustors, Trustees, and Beneficiaries (As indicated in section 4): Complete sections 3, 5, 6, and 7

Entity Applicants, including Trusts (As indicated in section 3a): Complete sections 4, 5, 6, and 7.

SECTION 2 – PRIMARY OWNER INFORMATION

Attach a current organization chart for this business that includes the primary owner and all other owners that will be endorsed upon the primary owner's license.

Primary Owner Name

Street Address

Mailing Address (If different than above)

Telephone Number
()

Fax Number
()

Website Address (if any)

SECTION 3a – ENTITY STRUCTURE (check one box)

Attach a current organization chart for the entity indicating the names and titles of any officers, shareholders, partners, members, etc. that are associated with this entity.

General Partnership

Limited Partnership

Joint Venture

Limited Liability Company

Other: _____

Corporation:

Publicly Traded

Private:

Sub-Chapter S

Sub-Chapter C

Trust:

Revocable

Irrevocable

SECTION 3b – ENTITY INFORMATION

Please provide the information below for the entity structure indicated in section 3a. Identify all individual officers (President, Secretary, Treasurer, and Chief Financial Officer), directors, shareholders, partners, members, etc. of the entity. For Trusts, identify the Trustor and any Trustees. For officers and directors of corporations with no ownership, enter 0% in the ownership column. If a section does not apply, write "N/A" not applicable. If additional space is needed, please use separate sheets of paper.

Entity Name

Street Address

Telephone Number
()

Fax Number
()

Entity / Individual's Name	Title	Ownership / Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	

SECTION 4 – INDIVIDUAL APPLICANT INFORMATION			
Indicate your association with the business. (Check all that apply)			
<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Officer	<input type="checkbox"/> Financial Interest Holder	<input type="checkbox"/> Trustor
<input type="checkbox"/> General Partner	<input type="checkbox"/> Director	<input type="checkbox"/> Community Property Interest	<input type="checkbox"/> Trustee
<input type="checkbox"/> Limited Partner	<input type="checkbox"/> Landlord	<input type="checkbox"/> Other: _____	<input type="checkbox"/> Current Beneficiary
<input type="checkbox"/> Shareholder	<input type="checkbox"/> LLC Member		
Last Name		First Name	Middle Initial
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 4 for note)			Apt. / Unit Number
City	County	State	Zip Code
*Mailing Address, if different than above (See page 4 for note)			
Contact Numbers			E-mail Address (if any)
Home: ()	Work: ()	Cell: ()	
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See page 4 for note)	
SECTION 5– RENEWAL INFORMATION			
Complete this section <u>only</u> if you are renewing your license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
A) Primary Owner:			
1. Has there been any changes affecting ownership or controlling interest in this business since last filing an application for a third-party proposition player services license?			<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Has there been any changes affecting the ownership or controlling interest in any entity that is endorsed upon the license of the primary provider?			<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Has there been any acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
B) Owner:			
1. Have you been a party to any civil litigation since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been named in any administrative action affecting any license certification since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Complete the following <u>only</u> if renewing as a Trust:			
Have there been (a) any amendments to the trust document or (b) any changes to a beneficiary, trustee, or trust asset since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 6- AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: <input type="checkbox"/> Owner <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____		Business Name, if applicable
Mailing Address		
Telephone Number ()	Fax Number ()	E-mail Address (if any)
SECTION 7 - DECLARATION / SIGNATURE		
An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.		
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>		
Name of Individual Completing this Application (<i>typed or printed</i>)		Title
Signature		Date
Signature of Designated Agent		Date
<p>* You must provide your residence address to the Commission. Unless a separate mailing address is provided, the Commission will mail all correspondence to your residence address. Your residence address will not be displayed on the Commission's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>**Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC section 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p>		

Trust Applicants Only Please disregard the instructions on the Trust Supplemental Background Investigation Information BGC-APP-143 which are generally directed at gambling establishment applicants. Follow the instructions below, which are directed at third-party provider applicants.

Any trust that is an owner of a third-party provider must be registered or licensed. Other trust-related persons must also be registered or licensed: the trustor of the trust, any trustee and any current beneficiary. "Trustor" means the same thing as "grantor," "donor," or "settlor": an individual who creates a trust.

A current beneficiary must be registered or licensed if either of the follows applies:

- (1) The beneficiary receives a distribution from a trust that is an owner of a third-party provider.
- (2) The beneficiary receives any percentage share of revenue from gambling activities. For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from the Washington Third-Party Company every six months.

Trusts: Must submit a Trust Supplemental Background Investigation Information Form, BGC-APP-143 (Rev. 5/08), along with this form (Application for Third-Party Proposition Player Services License (CGCC-433)).

Trustors, Trustees, and Current Beneficiaries: Must submit this form (Application for Third-Party Proposition Player Services License (CGCC-433)). If the trustee is also the trustor and the beneficiary, only one CGCC-433 form needs to be submitted.

Contingent Beneficiary: A contingent or future beneficiary is not required to be registered or licensed unless specifically directed to apply by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership in a business when the future event occurs, for instance, the death of the current beneficiary.

SECTION 1 – APPLICANT INFORMATION			
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 3 for note)		Apt. / Unit Number	
City	County	State	Zip Code
*Mailing Address, if different than above (See page 3 for note)			
Contact Numbers			<input type="checkbox"/> Cell
Home: ()	Work: ()	Ext: Other: ()	<input type="checkbox"/> Fax
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See page 3 for note)	
SECTION 2 - RENEWAL INFORMATION			
Complete this section only if renewing your third-party proposition player services license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
1. Have you been a party to any civil litigation since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been named in any administrative action affecting any license certification since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION			
Last Name		First Name	Restrictions, if any:
Relationship to Applicant: <input type="checkbox"/> Self <input type="checkbox"/> Attorney <input type="checkbox"/> Other: _____		Business Name, if applicable	
Mailing Address			
Telephone Number ()	Fax Number ()	E-mail Address (if any)	
SECTION 4 –DECLARATION/SIGNATURE			
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>			
Signature of Applicant in Full			Date
Signature of Designated Agent			Date
<p>*You must provide your residence address to the Commission. Unless a separate mailing address is provided, the Commission will mail all correspondence to your residence address. Your residence address will not be displayed on the Commission's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>**Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p>			

APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES LICENSE INSTRUCTIONS

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license.

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

Please submit the following with the renewal application only:

- Two 2x2 inch, passport-style color photographs taken within the last 12 months
- Photocopy of your current State Driver's License or State Identification Card



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 California Gambling Control Commission
 2399 Gateway Oaks Drive, Suite 220
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**APPLICATION FOR GAMBLING BUSINESS LICENSE
 FOR BUSINESS ENTITIES AND OWNERS
 CGCC-533 (New 05/09)**

Pursuant to Business and Professions Code section 19853, except as provided in California Code of Regulations, Title 4, Section 12221, no person may perform in the capacity of a primary owner or owner in the operation of a gambling business without a license issued by the California Gambling Control Commission (Commission). A license certificate will be issued after the application is approved by the Commission and will indicate the name of the "primary owner".

Instructions:

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). Incomplete applications will be returned. You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item.

Please submit the following with the application for the renewal of an individual:

- Two 2x2 inch, passport-style color photographs taken within the last 12 months
- Photocopy of your current State Driver's License or State Identification Card

Send the completed application package with required fee (listed below) to: California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231. Please make all checks payable to the California Gambling Control Commission.

Name of Gambling Business (Business)	Name of Applicant (Individual or Entity)
Please check one box indicating whether you are applying for an <i>initial</i> or <i>renewal</i> license.	
<input type="checkbox"/> <u>INITIAL</u> Application Fee: \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)	
NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. You will also be required to supply a deposit as identified in California Code of Regulations, Title 11, Section 2037, and additional documentation (bank statements, taxes, employment agreements, etc.)	
<input type="checkbox"/> <u>RENEWAL</u> Application Fee: \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)	
Background Deposit: A sum of money that, in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation and processing costs, in accordance with Business and Professions Code sections 19867. <i>Unused portion of background deposit will be refunded.</i>	

SECTION 1 – TYPE OF APPLICATION (check one box)

Submit the information listed below with the required fees/deposits with your initial or renewal application.

Primary Owner: The primary owner is a sole proprietor, corporation, partnership, or other business entity that proposes to conduct a gambling business in a gambling establishment (see California Code of Regulations, Title 4, Section 12220(b)(17)).

Sole Proprietors: Submit one application with all sections completed *except* 3a and 3b

All other Owner Types, including Trusts (As indicated in section 3a): Complete all sections *except* 4

Owner: An owner is any other owner type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source (see California Code of Regulations, Title 4, Section 12220(b)(10)).

Individual Applicants, including Trustors, Trustees, and Beneficiaries (As indicated in section 4): Complete sections 3, 5, 6, and 7

Entity Applicants, including Trusts (As indicated in section 3a): Complete sections 4, 5, 6, and 7.

SECTION 2 – PRIMARY OWNER INFORMATION

Attach a current organization chart for this business that includes the primary owner and all other owners that will be endorsed upon the primary owner's license.

Primary Owner Name

Street Address

Mailing Address (If different than above)

Telephone Number
()

Fax Number
()

Website Address (if any)

SECTION 3a – ENTITY STRUCTURE (check one box)

Attach a current organization chart for the entity indicating the names and titles of any officers, shareholders, partners, members, etc. that are associated with this entity.

General Partnership

Limited Partnership

Joint Venture

Limited Liability Company

Other: _____

Corporation:

Publicly Traded

Private:

Sub-Chapter S

Sub-Chapter C

Trust:

Revocable

Irrevocable

SECTION 3b – ENTITY INFORMATION

Please provide the information below for the entity structure indicated in section 3a. Identify all individual officers (President, Secretary, Treasurer, and Chief Financial Officer), directors, shareholders, partners, members, etc. of the entity. For Trusts, identify the Trustor and any Trustees. For officers and directors of corporations with no ownership, enter 0% in the ownership column. If a section does not apply, write "N/A" not applicable. If additional space is needed, please use separate sheets of paper.

Entity Name

Street Address

Telephone Number
()

Fax Number
()

Entity / Individual's Name	Title	Ownership / Membership Interest Percentage	Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.)
		%	
		%	
		%	

SECTION 4 – INDIVIDUAL APPLICANT INFORMATION			
Indicate your association with the business. (Check all that apply)			
<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Officer	<input type="checkbox"/> Financial Interest Holder	<input type="checkbox"/> Trustor
<input type="checkbox"/> General Partner	<input type="checkbox"/> Director	<input type="checkbox"/> Community Property Interest	<input type="checkbox"/> Trustee
<input type="checkbox"/> Limited Partner	<input type="checkbox"/> Landlord	<input type="checkbox"/> Other: _____	<input type="checkbox"/> Current Beneficiary
<input type="checkbox"/> Shareholder	<input type="checkbox"/> LLC Member		
Last Name	First Name	Middle Initial	
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 4 for note)			Apt. / Unit Number
City	County	State	Zip Code
*Mailing Address, if different than above (See page 4 for note)			
Contact Numbers Home: () Work: () Cell: ()			E-mail Address (if any)
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See page 4 for note)	
SECTION 5– RENEWAL INFORMATION			
Complete this section <u>only</u> if you are renewing your license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
A) Primary Owner:			
1. Has there been any changes affecting ownership or controlling interest in this business since last filing an application for a gambling business license?			<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Has there been any changes affecting the ownership or controlling interest in any entity that is endorsed upon the license of the primary provider?			<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Has there been any acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
B) Owner:			
1. Have you been a party to any civil litigation since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been named in any administrative action affecting any license certification since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No
Complete the following <u>only</u> if renewing as a Trust:			
Have there been (a) any amendments to the trust document or (b) any changes to a beneficiary, trustee, or trust asset since last filing a gambling business license application?			<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 6- AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: <input type="checkbox"/> Owner <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____		Business Name, if applicable
Mailing Address		
Telephone Number ()	Fax Number ()	E-mail Address (if any)
SECTION 7 - DECLARATION / SIGNATURE		
An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.		
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>		
Name of Individual Completing this Application (<i>typed or printed</i>)		Title
Signature		Date
Signature of Designated Agent		Date
<p>* You must provide your residence address to the Commission. Unless a separate mailing address is provided, the Commission will mail all correspondence to your residence address. Your residence address will not be displayed on the Commission's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>**Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC section 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p>		

Trust Applicants Only Please disregard the instructions on the Trust Supplemental Background Investigation Information BGC-APP-143 which are generally directed at gambling establishment applicants. Follow the instructions below, which are directed at gambling business applicants.

Any trust that is an owner of a gambling business must be registered or licensed. Other trust-related persons must also be registered or licensed: the trustor of the trust, any trustee and any current beneficiary. "Trustor" means the same thing as "grantor," "donor," or "settlor": an individual who creates a trust.

A current beneficiary must be registered or licensed if either of the follows applies:

- (1) The beneficiary receives a distribution from a trust that is an owner of a gambling business.
- (2) The beneficiary receives any percentage share of revenue from gambling activities. For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from the Washington Gambling Business Company every six months.

Trusts: Must submit a Trust Supplemental Background Investigation Information BGC-APP-143 (Rev. 5/08) along with this form (Application for Gambling Business License (CGCC-533)).

Trustors, Trustees, and Current Beneficiaries: Must submit this form (Application for Gambling Business License (CGCC-533)). If the trustee is also the trustor and the beneficiary, only one CGCC-533 form needs to be submitted.

Contingent Beneficiary: A contingent or future beneficiary is not required to be registered or licensed unless specifically directed to apply by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership in a business when the future event occurs, for instance, the death of the current beneficiary.



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APPLICATION FOR GAMBLING BUSINESS LICENSE FOR SUPERVISOR, PLAYER OR OTHER EMPLOYEE CGCC-534 (New 05/09)

Pursuant to Business and Professions Code section 19853, except as provided in California Code of Regulations, Title 4, Section 12221, no person may perform in the capacity of a supervisor, player or "other employee" in the operation of gambling business without a license issued by the California Gambling Control Commission (Commission).

Send the completed application package with required fee (listed below) to: California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231. Please make all checks payable to the California Gambling Control Commission.

Applicant's Last Name	First Name	Middle Initial
Name of Gambling Business(Business)		License or Registration Number
Please check one box indicating if you are applying for an <i>initial</i> or <i>renewal</i> license.		
<input type="checkbox"/> <u>INITIAL</u>		
Application Fee:		
\$750 Non-refundable (Supervisor) \$500 Non-refundable (Player and Other Employee)		
NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. You will also be required to supply a deposit as identified in California Code of Regulations, Title 11, Section 2037, and additional documentation (bank statements, taxes, employment agreements, etc.).		
<input type="checkbox"/> <u>RENEWAL</u>		
Application Fee:		
\$750 Non-refundable (Supervisor) \$500 Non-refundable (Player and Other Employee)		
Background Deposit:		
No background deposit is required at time of application submission; however, you may be required to submit a background deposit upon notification by the Bureau. <i>Unused portion of background deposit will be refunded.</i>		

JOB TITLE / DESCRIPTION			
Job Title	<input type="checkbox"/> Supervisor	<input type="checkbox"/> Player	<input type="checkbox"/> Other Employee
Description of Job Duties			

SECTION 1 – APPLICANT INFORMATION			
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 3 for note)		Apt. / Unit Number	
City	County	State	Zip Code
*Mailing Address, if different than above (See page 3 for note)			
Contact Numbers			<input type="checkbox"/> Cell
Home: ()	Work: ()	Ext:	<input type="checkbox"/> Fax
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See page 3 for note)	
SECTION 2 - RENEWAL INFORMATION			
Complete this section only if renewing your gambling business license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
1. Have you been a party to any civil litigation since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2. Have you been named in any administrative action affecting any license certification since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION			
Last Name		First Name	Restrictions, if any:
Relationship to Applicant: <input type="checkbox"/> Self <input type="checkbox"/> Attorney <input type="checkbox"/> Other: _____		Business Name, if applicable	
Mailing Address			
Telephone Number ()	Fax Number ()	E-mail Address (if any)	
SECTION 4 –DECLARATION/SIGNATURE			
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>			
Signature of Applicant in Full			Date
Signature of Designated Agent			Date
<p>*You must provide your residence address to the Commission. Unless a separate mailing address is provided, the Commission will mail all correspondence to your residence address. Your residence address will not be displayed on the Commission's website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>**Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p>			

APPLICATION FOR GAMBLING BUSINESS LICENSE INSTRUCTIONS

Type or print legibly, in ink, all information requested on this application. If a question does not apply, write "N/A" (Not Applicable). You must provide truthful information in all your responses. All answers to questions in this application and on all supplemental documentation will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license.

Retain a photocopy of the complete application packet for your permanent records. A separate application and fee is required for each applicant.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

Please submit the following with the renewal application only:

- Two 2x2 inch, passport-style color photographs taken within the last 12 months
- Photocopy of your current State Driver's License or State Identification Card

Bureau of Gambling Control

Trust Supplemental Background Investigation Information

BGC-APP-143 (Rev. 05/08)



BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 263-3408; Fax (916) 263-3403

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

The Gambling Control Act requires any "person" who is an owner of a gambling enterprise to apply for and obtain a state gambling license. Business and Professions (B & P) Code section 19850.

A "trust" is a "person." B & P Code section 19805(ad) provides that:

"Person," unless otherwise indicated, includes a natural person, corporation, partnership, limited partnership, trust, joint venture, association, or any other business organization. (Emphasis added.)

Thus, a trust that is an owner of a cardroom must be licensed, just as a limited partnership in the same position must be licensed. B & P Code section 19852 goes on to mandate that certain trust-related persons must also apply for and obtain a state gambling license before the trust itself can be licensed, and to authorize the Commission to require licensing of other specified trust-related persons. According to B & P Code section 19852, a trustee of a trust that is an owner of a gambling enterprise, must also apply for and obtain a state gambling license [B & P Code section 19852(e)]. Similarly, the Commission may in its discretion require that the trustor or the beneficiary of a trust that is an owner of a gambling enterprise apply for and obtain a state gambling license [B & P Code section 19852(e)].

"Trustor" means the same thing as "grantor," "donor," or "settlor": a person who creates a trust.

B & P Code section 19852, provides, in part:

Except as provided in Section 19852.2 [racetrack ownership], an owner of a gambling enterprise that is not a natural person shall not be eligible for a state gambling license unless each of the following persons individually applies for and obtains a state gambling license:

"(e) If the owner is a trust, then the trustee and, in the discretion of the commission, any beneficiary and the trustor of the trust." (Emphasis added.)

A current beneficiary must be licensed if either of the follows applies:

- (1) The beneficiary receives a distribution from a trust that is an owner of a gambling enterprise. (B & P Code section 19850.)
- (2) The beneficiary receives any percentage share of revenue from gambling activities. (B & P Code section 19852(g).) For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from Washington's Cardroom every six months.

A current beneficiary who falls in either of the two above-noted categories must submit the following forms:

- One Application for State Gambling License, CGCC-030 (Rev. 05/08); and
- One Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 04/08).

NOTE: Pursuant to B & P Code section 19859(g), any person less than 21 years of age is disqualified from receiving a gambling license. Thus, a current beneficiary who is less than 21 years of age cannot be licensed and accordingly should not submit an application. In lieu of the two forms required above of other current beneficiaries, the trustee shall submit, as part of the trust application package, a copy of a birth certificate or other documentation of the birth date and identity of the underage beneficiary.

A contingent or future beneficiary is not required to be licensed unless specifically directed to apply for a license by the Commission. However, a contingent or future beneficiary may elect to submit an application, if, for instance, the beneficiary wishes to avoid future delays in receiving income or a share in ownership from a cardroom when the future event occurs, for instance, the death of the current beneficiary.

The purpose of this Trust Supplemental Background Investigation Information form is to obtain information that is necessary to determine whether the applicant meets the requirements for licensure under state law. By completing this form, the applicant is providing information that will be used to make that determination.

This form is to be completed for all trusts. The trustee, trustor, and the beneficiary (if applicable) apply for licensure using the following forms:

- One Application for State Gambling License, CGCC-030 (Rev. 05/08); and
- One Gambling Establishment Owner Applicant-Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 04/08).

If the trustee is also the trustor and the beneficiary, only one CGCC-030 and one BGC-APP-015A form needs to be submitted. In this situation, the applicant will indicate in Section 4 of the CGCC-030 form that he/she is applying in three separate capacities (trustee, trustor, and beneficiary).

The applicant must provide truthful information in all responses in this application. All answers to questions in this application, and all supplemental documentation provided by the applicant, will be subject to verification. Any misrepresentation or failure to disclose information required on this application may constitute sufficient cause for denial or revocation.

Type, or print legibly in blue or black ink, all information requested on this application. If a question does not apply to the applicant, write "N/A" (Not Applicable). Applications not fully and accurately completed will be returned to the applicant for completion.

Please send your completed Trust Supplemental Background Investigation Information form, along with a completed Authorization to Release Information form (BGC-APP-006 (Rev. 04/08)) to the California Gambling Control Commission at 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231.

SECTION 1: TYPE OF TRUST AND TRUST INFORMATION			
A) TRUST NAME	B) ORIGINAL DATE OF TRUST	D) TYPE OF TRUST <input type="checkbox"/> REVOCABLE <input type="checkbox"/> IRREVOCABLE	
	C) AMENDMENT DATE(S)		
E) NAME OF SUITABILITY APPLICANT (e.g., Cardroom, Proposition Player Provider)	F) RELATIONSHIP TO SUITABILITY APPLICANT (e.g., owner, shareholder, beneficiary)		
G) IF OTHER THAN ESTATE PLANNING, DESCRIBE THE PURPOSE OF THE TRUST.			
H) EFFECTIVE DATE OF THE TRUST IF CONTINGENT, PLEASE EXPLAIN THE CONTINGENCY (e.g., death of the trustor)			
I) CURRENT MARKET VALUE OF TRUST ASSETS (ESTIMATED) \$			
J) TRUST TAX ID NUMBER	K) IS THE TRUST TAX ID NUMBER SEPARATE FROM THAT OF ANOTHER PERSON OR ENTITY? ... <input type="checkbox"/> YES <input type="checkbox"/> NO IF NO, COMPLETE BELOW; IF YES, GO TO SECTION 2.		
1) NAME OF INDIVIDUAL (First, MI, Last) OR ENTITY ASSIGNED TAX ID NUMBER		2) RELATIONSHIP TO TRUST (e.g., trustor)	
3) ADDRESS (Number / Street / Apt)			
4) CITY	5) COUNTY	6) STATE	7) ZIP CODE

SECTION 2: TRUST STRUCTURE			
LIST EACH TRUSTEE, TRUSTOR, AND BENEFICIARY. (If additional space is needed, attach a separate sheet of paper.)			
A) INDIVIDUAL'S NAME (First, MI, Last) OR ENTITY NAME	B) ADDRESS (City, State, Zip Code)	C) SPECIFY TRUSTEE, TRUSTOR, AND/OR BENEFICIARY	D) CONTINGENT * <input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
* CHECK "YES" IF THE INDIVIDUAL'S STATUS OR INTEREST IN THE TRUST IS CONTINGENT ON A FUTURE EVENT (and describe the contingenc(ies)). IF A BENEFICIARY CURRENTLY RECEIVES INCOME FROM THE TRUST, THAT PERSON IS NOT A CONTINGENT BENEFICIARY.			

SECTION 3: TRUST AUTHORITY

LIST EACH PERSON THAT HAS AUTHORITY OVER TRUST ASSETS AND/OR AUTHORITY OVER TRUST DISBURSEMENTS

A) INDIVIDUAL'S NAME (First, MI, Last) OR ENTITY NAME	B) DISCRETIONARY AUTHORITY OVER TRUST INVESTMENTS	C) SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS
	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
	<input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> YES <input type="checkbox"/> NO
D) NAME OF CONTACT PERSON FOR THE APPLICANT	PHONE NUMBER ()	EMAIL ADDRESS (if any)
E) LIST THE NAME OF PERSON WHO PREPARES AND FILES THE TRUST'S FINANCIAL STATEMENTS AND TAX FORMS, IF APPLICABLE.	F) IS THIS PERSON AN INDEPENDENT CERTIFIED PUBLIC ACCOUNTANT? <input type="checkbox"/> YES <input type="checkbox"/> NO	
DESCRIBE DUTIES: (e.g., bookkeeping, preparation of audited financial statements, investment manager)		
G) IS THERE ANY COMMINGLING OF THE TRUST ASSETS WITH ASSETS NOT A PART OF THE TRUST? (If yes, provide details)..... <input type="checkbox"/> YES <input type="checkbox"/> NO		
H) IS ANY TRUSTEE ALSO A BENEFICIARY OF THE TRUST? (If yes, provide details if not listed in Section 2.) <input type="checkbox"/> YES <input type="checkbox"/> NO		

SECTION 4: REQUIRED ADDITIONAL DOCUMENTATION

SUBMIT COMPLETED COPIES OF THE FOLLOWING DOCUMENTATION WITH THIS APPLICATION.

- THE TRUST DOCUMENT AND ALL AMENDMENTS (signed copies)
- A PLAIN ENGLISH SUMMARY (in approximately two pages) OF THE TERMS OF THE TRUST (including any amendments), INCLUDING CONTINGENCIES, IF ANY, THAT IMPACT THE STATUS OF INTERESTS IN THE TRUST AND/OR TRUST DISTRIBUTIONS.
- ITEMIZED LIST OF (A) ALL TRUST ASSETS AND THEIR CURRENT ESTIMATED FAIR MARKET VALUES AND (B) ALL TRUST LIABILITIES FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- ITEMIZED LIST OF ALL TRUST INCOME AND EXPENSES, INCLUDING THEIR DOLLAR VALUES, FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- ITEMIZED LIST OF ALL DISTRIBUTIONS AND DISPOSITIONS OF TRUST ASSETS FOR THE 12-MONTH PERIOD PRECEDING THE DATE OF THIS APPLICATION.
- IRS FORM 4506-T (available at www.irs.gov)

SECTION 5: DECLARATION/SIGNATURE

A PERSON HAVING AUTHORITY TO ACT ON BEHALF OF THE TRUST, INCLUDING THE AUTHORITY OVER TRUST INCOME AND ASSETS, MUST SIGN THIS FORM.

NAME AND TITLE OF PERSON COMPLETING THE APPLICATION: _____

I declare under penalty of perjury, under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, are true, accurate and complete, and that this declaration is executed by me at

_____ On _____

CITY AND STATE *DATE*

PRINT FULL NAME	SIGNATURE	DATE
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