

**State of California
Office of Administrative Law**

In re:

California Gambling Control Commission

Regulatory Action:

Title 4, California Code of Regulations

Adopt sections:

Amend sections: 12100, 12101, 12200.3,
12200.5, 12200.6, 12200.9,
12200.10B, 12200.14,
12202, 12205.1, 12218,
12218.7, 12218.8, 12220.3,
12220.5, 12220.6,
12220.14, 12222, 12225.1,
12233, 12235, 12238,
12300, 12301.1, 12309,
12350, 12354, 12358,
12359, 12362, 12400,
12404, 12463, 12464

Repeal sections:

NOTICE OF APPROVAL OF CHANGES
WITHOUT REGULATORY EFFECT

California Code of Regulations, Title 1,
Section 100

OAL File No. 2011-0818-02 N

This non-substantive regulatory action by the California Gambling Control Commission (CGCC) amends 34 sections of title 4 of the California Code of Regulations. The amendments are being made in response to the Bureau of Gambling Control's recently adopted regulations, which increased the amount of the deposit required to begin various applicant background investigations. CGCC is now amending its regulations and related forms to reflect the new deposit amount. Clarifying grammatical and organizational changes are also being made at this time.

OAL approves this change without regulatory effect as meeting the requirements of California Code of Regulations, Title 1, section 100.

Date: 9/30/2011


Eric Partington
Staff Counsel

For: DEBRA M. CORNEZ
Assistant Chief Counsel/

Acting Director

Original: Terri A. Ciau
Copy: James Allen

NONSUBSTANTIVE

STATE OF CALIFORNIA—OFFICE OF ADMINISTRATIVE LAW

NOTICE PUBLICATION/REGULATIONS SUBMISSION

(See instructions on reverse)

For use by Secretary of State only

STD 400 (REV. 01-09)

OAL FILE NUMBERS	NOTICE FILE NUMBER Z-	REGULATORY ACTION NUMBER 2011-0818-02N	EMERGENCY NUMBER
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COURSES FILED
IN THE OFFICE OF
2011 SEP 30 PM 1:59

For use by Office of Administrative Law (OAL) only

2011 AUG 18 P 2:00

OFFICE OF ADMINISTRATIVE LAW

NOTICE	REGULATIONS
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Janis Bowen
JANIS BOWEN
SECRETARY OF STATE

AGENCY WITH RULEMAKING AUTHORITY California Gambling Control Commission	AGENCY FILE NUMBER (if any) CGCC-GCA-03-N
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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 <input type="checkbox"/> Approved as Submitted <input type="checkbox"/> Approved as Modified <input type="checkbox"/> Disapproved/Withdrawn	ACTION ON PROPOSED NOTICE	NOTICE REGISTER NUMBER	PUBLICATION DATE

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Revised Schedule of Investigation Costs; Misc. Div. 18 Clean-up	1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S) N/A
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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 §
AMEND § see attached
TITLE(S) 4
REPEAL §

3. TYPE OF FILING			
<input type="checkbox"/> Regular Rulemaking (Gov. Code §11346) <input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4) <input type="checkbox"/> Emergency (Gov. Code, §11346.1(b))	<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 emergency filing (Gov. Code, §11346.1)	<input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> File & Print <input type="checkbox"/> Other (Specify) _____	<input checked="" 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)
N/A

5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100)

Effective 30th day after filing with Secretary of State
 Effective on filing with Secretary of State
 §100 Changes Without Regulatory Effect
 Effective other (Specify) _____

6. CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY

Department of Finance (Form STD. 399) (SAM §6660)
 Fair Political Practices Commission
 State Fire Marshal
 Other (Specify) _____

7. CONTACT PERSON James Allen	TELEPHONE NUMBER (916) 263-4204	FAX NUMBER (Optional) (916) 263-0499	E-MAIL ADDRESS (Optional) jallen@cgcc.ca.gov
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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>Stephanie Shimazu</i>	DATE 8-16-11
TYPED NAME AND TITLE OF SIGNATORY STEPHANIE SHIMAZU, Chairperson	

For use by Office of Administrative Law (OAL) only

ENDORSED APPROVED

SEP 30 2011

Office of Administrative Law

NOTICE PUBLICATION/REGULATIONS SUBMISSION (STD 400)

**CALIFORNIA GAMBLING CONTROL COMMISSION
CGCC-GCA-2011-03-N**

PART B. SUBMISSION OF REGULATIONS

2. SECTIONS AFFECTED

Amend §§ 12100, 12101, 12200.3, 12200.5, 12200.6, 12200.9, 12200.10B, 12200.14, 12202, 12205.1, 12218, 12218.7, 12218.8, 12220.3, 12220.5, 12220.6, 12220.14, 12222, 12225.1, 12233, 12235, 12238, 12300, 12301.1, 12309, 12350, 12354, 12358, 12359, 12362, 12400, 12404, 12463, and 12464

1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 CGCC-GCA-2011-03-N

3
4 **ORDER OF ADOPTION**

5
6 The California Gambling Control Commission hereby adopts the following changes without
7 regulatory effect, pursuant to 1 CCR § 100, in its regulations contained in Division 18 of Title 4
8 of the California Code of Regulations:

9
10 **CHAPTER 2. WORK PERMITS.**

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

12 **§ 12100. Definitions.**

13 In addition to section 12002, the following definitions govern the construction of the
14 regulations contained in this Chapter:

15 ~~(a) "Executive Director" means the executive officer of the Commission, as provided in~~
16 ~~Business and Professions Code section 19816(a), or his or her designee. If the Executive~~
17 ~~Director position is vacant, then "Executive Director" means the officer or employee who shall~~
18 ~~be designated by the Commission.~~

19 ~~(b) "Gambling Enterprise Employee" has the same meaning as defined in Business and~~
20 ~~Professions Code section 19805, subdivision (m).~~

21 ~~(c) "Gambling Establishment" or "Establishment" has the same meaning as defined in~~
22 ~~Business and Professions Code section 19805, subdivision (n).~~

23 (d) "Regular Work Permit" or "Work Permit" means a work permit issued pursuant to
24 Business and Professions Code section 19912 for a period of no more than two years.

25 (e) "Temporary Work Permit" means a work permit issued pursuant to this article to a
26 prospective gambling enterprise employee in accordance with Business and Professions Code
27 section 19824, subdivision (f), valid for a period not to exceed 120 days from the date of
28 issuance.

29 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.
30 Reference: Sections 10, 19800, 19811, 19816 and 19912, Business and Professions Code.

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1 **§ 12101. Forms.**

2 The following forms shall be used as specified in this chapter:

3 (a) “Renewal Work Permit Application Form” means the “Application for Work Permit
4 Renewal” CGCC-023 (Rev. ~~04/08~~ 05/11) which is hereby incorporated by reference.

5 (b) “Replacement Badge Application” means the “Application for Replacement Work Permit
6 Badge” CGCC-026 (Rev. ~~04/08~~ 05/11) which is hereby incorporated by reference.

7 (c) “Transfer of Work Permit Application Form” means the “Application for Transfer of
8 Work Permit” CGCC-022 (Rev. ~~04/08~~ 05/11) which is hereby incorporated by reference.

9 (d) “Work Permit Application Form” means the “Application for Initial Regular Work
10 Permit/Temporary Work Permit” CGCC-021 (Rev. ~~04/08~~ 05/11) which is hereby incorporated
11 by reference.

12 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.
13 Reference: Sections 10, 19800, 19811, 19816 and 19912, Business and Professions Code.

14

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

17

ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

18 **§ 12200.3. Badge.**

19

* * * *

20 (b) A badge authorizing play in a controlled game shall be of a distinctly different color than
21 a badge that identifies a registrant or licensee, but does not authorize play. If an individual
22 ceases to be employed by or affiliated with a particular primary owner, that individual shall
23 surrender his or her badge to the primary owner. The primary owner shall notify the
24 Commission and the Bureau in writing within ten (10) days of the change in status using the
25 Change in Status Form for a Third Party Proposition Player Services Registration (CGCC-441
26 (Rev. ~~09/04~~ 05/11)), which is hereby incorporated by reference; with this form, the primary
27 owner shall submit the registrant’s or licensee’s badge.

28

* * * *

29 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section
30 19984, Business and Professions Code.

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1 **§ 12200.5. Replacement of Badge.**

2 (a) Upon submission of a request, the Executive Director shall issue a replacement badge if all of
3 the following conditions are met:

4 (1) The requester has a current valid registration or license.

5 (2) The request is complete and has been submitted on the form Request for Replacement
6 Third Party Proposition Player Services Badge (CGCC-438, Rev. ~~09/04~~ 05/11), which is hereby
7 incorporated by reference.

8 * * * *

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

11
12 **§ 12200.6. Transfer or Reinstatement of Player Registration or License; Issuance of**
13 **Additional Badge.**

14 (a) Upon submission of a request, the Executive Director shall issue a player transfer badge,
15 reinstatement badge, or additional badge if all of the following conditions are met:

16 (1) The requester has a currently valid registration or license.

17 (2) The request is complete and has been submitted on the form Request for an
18 Additional/Transfer/Reinstatement Third Party Proposition Player Services Registration/License
19 (CGCC-439, Rev. ~~09/04~~ 05/11), which is hereby incorporated by reference.

20 * * * *

21 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section
22 19984, Business and Professions Code.

23
24 **§ 12200.9. Review and Approval of Proposition Player Contracts.**

25 (a) * * * *

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

27 * * * *

28 (F) The deposit as required by Title 11, California Code of Regulations, Section
29 2037~~(a)(2)(A)~~. The Bureau may require an additional sum to be deposited to pay the final costs
30 of the review and approval or disapproval of the contract. Any money received as a deposit in
31 excess of the costs incurred in the review and approval or disapproval of the contract will be

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1 refunded and an itemized accounting will be provided to the primary owner, or primary owner's
2 designee.

3 * * * *

4 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections
5 19951 and 19984, Business and Professions Code.

6
7 **§ 12200.10B. Review and Approval of Amendments to Proposition Player Contracts.**

8 (a) Requests to review and approve an amendment to a proposition player contract shall be
9 submitted with an application for approval (see Section 12200.9(a)(3)(A)) along with an
10 executed copy of the contract, a five hundred dollar (\$500) nonrefundable application fee, and a
11 four hundred and fifty dollar (\$450) deposit as required by Title 11, California Code of
12 Regulations, Section 2037~~(a)(2)(B)~~. The Bureau may require an additional sum to be deposited
13 to pay the final costs of the review and approval or disapproval of the amendment. Any money
14 received as a deposit in excess of the costs incurred in the review and approval or disapproval of
15 the amendment shall be refunded and an itemized accounting shall be provided to the primary
16 owner or the primary owner's designee.

17 * * * *

18 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections
19 19951 and 19984, Business and Professions Code.

20

21 **§ 12200.14. Organization Chart and Employee Report.**

22 (a) Each licensed primary owner shall submit to the Commission, pursuant to the schedule
23 specified in subsection (a) of Section 12200.20, a completed form Third Party Proposition Player
24 Services Employee Report (CGCC-440 (Rev. ~~09/04~~ 05/11)), which is hereby incorporated by
25 reference. Upon renewal of the license, each licensed primary owner shall submit an updated
26 organization chart to the Commission.

27 (b) Upon renewal of the registration, each registered primary owner shall submit an updated
28 organization chart and a form Third Party Proposition Player Services Employee Report (CGCC-
29 440 (Rev. ~~09/04~~ 05/11)) to the Commission.

30 * * * *

31 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section
32 19984(b), Business and Professions Code

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ARTICLE 2. REGISTRATION.

§ 12202. Application for Registration.

* * * *

(b) An application for registration shall include all of the following:

(1) Payment of a nonrefundable application fee in the amount specified in paragraph (1) of section (d) of Section 12008.

(2) A completed Application for Third Party Proposition Player Services Registration (CGCC-435 (Rev. ~~9/04~~ 05/11)), which is hereby incorporated by reference.

* * * *

(c) An applicant that is an individual shall complete and submit the form Third Party Proposition Player Services Registration Supplemental Information (CGCC-436 (Rev. ~~06/04~~ 05/11)), which is hereby incorporated by reference.

* * * *

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

§ 12205.1. Transition to Licensing.

(a) As expeditiously as possible in light of available program resources, the Bureau shall summon persons registered as primary owners, owners, supervisors, players, and other employees for the purpose of applying for licenses under this chapter. The registration of any registrant that fails or refuses to submit the applicable Application for Third Party Proposition Player Services License for Business Entities and Owners (CGCC-433; (~~New-05/09~~ Rev. 05/11)) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434; (~~New-05/09~~ Rev. 05/11)), which are hereby incorporated by reference, including any fees to the Commission within 30 days of receiving a summons from the Bureau shall expire by operation of law on the following day. Prior to and during review of a request to convert a registration to a license, a registration shall remain valid and may be renewed by the registrant as necessary, upon application and approval of renewal of registration as provided in Section 12203A.

* * * *

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1 (c) If the registration expires by operation of law, the former registrant shall submit a new
 2 Application for Third Party Proposition Player Services License for Business Entities and
 3 Owners (CGCC-433; ~~New-05/09~~ Rev. 05/11) or Application for Third-Party Proposition Player
 4 Services License for Supervisors, Players or Other Employees (CGCC-434; ~~New-05/09~~ Rev.
 5 05/11) and a new nonrefundable application fee as specified in paragraph (1), and the applicable
 6 additional fee specified in paragraph (3), (4), or (5) of subsection (d) of Section 12008.

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

10 **ARTICLE 3. LICENSING.**

11 **§ 12218. Request to Convert Registration to License.**

12 * * * *

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

14 (1) A completed Application for Third Party Proposition Player Services License for
 15 Business Entities and Owners (CGCC-433; ~~New-05/09~~ Rev. 05/11) or Application for Third-
 16 Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-
 17 434; ~~New-05/09~~ Rev. 05/11), referenced in Section 12205.1.

18 * * * *

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

21 **§ 12218.7. Processing Times – Request to Convert Registration to License.**

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

24 (a) The maximum time within which the Commission shall notify the applicant in writing
 25 that a request or a resubmitted request is complete and accepted for initial processing by the
 26 Commission, or that a request or a resubmitted request is deficient and identifying what specific
 27 additional information is required, is 20 days after receipt of the request. For the purposes of this
 28 section, “request” means the Application for Third Party Proposition Player Services License for
 29 Business Entities and Owners (CGCC-433; ~~New-05/09~~ Rev. 05/11) or Application for Third-
 30 Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-
 31 434; ~~New-05/09~~ Rev. 05/11), referenced in Section 12205.1. A request is not complete unless
 32 accompanied by *both* a copy of the summons from the Bureau setting a deadline for filing the

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1 request with the Commission and the supplemental information package required by Section
 2 12218(c)(5) for review by the Bureau pursuant to subsection (c) for persons affiliated with the
 3 primary owner to whom the summons was addressed. The Commission shall not review the
 4 supplemental information for completeness.

5 * * * *

6 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section
 7 19984, Business and Professions Code.

8
 9 **§ 12218.8. License Renewals.**

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

11 (1) A completed Application for Third Party Proposition Player Services License for
 12 Business Entities and Owners (CGCC-433; ~~New 05/09~~ Rev. 05/11) or Application for Third-
 13 Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-
 14 434; ~~New 05/09~~ Rev. 05/11), referenced in Section 12205.1.

15 * * * *

16 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections
 17 19823, 19824, 19851, 19867, 19876, 19951 and 19984, Business and Professions Code.

18 **CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.**

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

20 **§ 12220.3. Badge.**

21 * * * *

22 (b) A badge authorizing play in a controlled game shall be of a distinctly different color than
 23 a badge that identifies a registrant or licensee, but does not authorize play. If an individual
 24 ceases to be employed by or affiliated with a particular primary owner, that individual shall
 25 surrender his or her badge to the primary owner. The primary owner shall notify the
 26 Commission and the Bureau in writing within ten (10) days of the change in status using Change
 27 in Status Form for a Gambling Business Registration (CGCC-541 (Rev. ~~09/04~~ 05/11)), which is
 28 hereby incorporated by reference; with this form, the primary owner shall submit the registrant’s
 29 or licensee’s badge.

30 * * * *

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

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§ 12220.5. Replacement of Badge.

(a) Upon submission of a request, the Executive Director shall issue a replacement badge if all of the following conditions are met:

* * * *

(2) The request is complete and has been submitted on the form Request for Replacement Gambling Business Badge (CGCC-538, ~~New-06/04~~ Rev. 05/11), which is hereby incorporated by reference.

* * * *

Note: Authority cited: Sections 19811, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Section and 19853(a)(3), Business and Professions Code.

§ 12220.6. Transfer or Reinstatement of Player Registration or License; Issuance of Additional Badge.

(a) Upon submission of a request, the Executive Director shall issue a player transfer badge, reinstatement badge, or additional badge if all of the following conditions are met:

(1) The requester has a currently valid registration or license.

(2) The request is complete and has been submitted on the form Request for an Additional/Transfer/Reinstatement of Gambling Business Registration/License (CGCC-539, Rev. ~~09/04~~ 05/11), which is hereby incorporated by reference.

* * * *

Note: Authority cited: Sections 19811, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections 19805 and 19853(a)(3), Business and Professions Code.

§ 12220.14. Organization Chart and Employee Report.

(a) Each licensed primary owner shall submit to the Commission, pursuant to the schedule specified in subsection (a) of Section 12200.20, a completed form Gambling Business Employee and Independent Contractor Report (CGCC-540 (Rev. ~~09/04~~ 05/11)), which is hereby incorporated by reference. Upon renewal of the license, each licensed primary owner shall submit an updated organization chart to the Commission.

(b) Upon renewal of the registration, each registered primary owner shall submit an updated organization chart and form Gambling Business Employee and Independent Contractor Report (CGCC-540 (Rev. ~~09/04~~ 05/11)) to the Commission.

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1 (c) The primary owner shall notify the Bureau and the Commission in writing within ten (10)
2 days of any change to its ownership structure.

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

5 **ARTICLE 2. REGISTRATION.**

6 **§ 12222. Application for Registration.**

7 * * * *

8 (b) An application for registration shall include all of the following:

9 * * * *

10 (2) A completed Application for Gambling Business Registration (CGCC-535 (Rev. ~~09/04~~
11 05/11)), which is hereby incorporated by reference.

12 * * * *

13 (c) An applicant that is an individual shall complete and submit the form Gambling Business
14 Registration Supplemental Information (CGCC-536 (Rev. ~~06/04~~ 05/11)), which is hereby
15 incorporated by reference.

16 * * * *

17 Note: Authority cited: Sections 19840, 19841, 19853(a)(3) and 19951(a), Business and Professions Code.
18 Reference: Sections 19853(a)(3) and 19951(a), Business and Professions Code.

19

20 **§ 12225.1. Transition to Licensing.**

21 (a) The Bureau shall summon persons registered as primary owners, owners, supervisors,
22 players, and other employees for the purpose of applying for licenses under this chapter. The
23 Bureau shall summon primary owners, owners, supervisors, players, and other employees as
24 expeditiously as possible in light of available program resources. The registration of any
25 registrant that fails or refuses to submit the applicable Application for Gambling Business
26 License for Business Entities and Owners (CGCC-533; (~~New-05/09~~ Rev. 05/11)) or Application
27 for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534; (~~New~~
28 05/09 Rev. 05/11)), which are hereby incorporated by reference, including any fees to the
29 Commission within 30 days of receiving a summons from the Bureau shall expire by operation
30 of law on the following day. Prior to and during review of a request to convert a registration to a
31 license, a registration shall remain valid and may be renewed by the registrant as necessary, upon
32 application and approval of renewal of registration.

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1 (b) If the registration expires by operation of law, the former registrant shall submit a new
 2 Application for Gambling Business License for Business Entities and Owners (CGCC-533; (~~New~~
 3 ~~05/09~~ Rev. 05/11)) or Application for Gambling Business License for Supervisor, Player or
 4 Other Employee (CGCC-534; (~~New 05/09~~ Rev. 05/11)), and a new nonrefundable application
 5 fee as specified in paragraph (1), and the applicable additional fee specified in paragraph (3), (4),
 6 or (5), of subsection (e) of Section 12008.

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

9

10 **ARTICLE 3. LICENSING.**

11 **§ 12233. Request to Convert Registration to License.**

12 * * * *

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

14 (1) A completed Application for Gambling Business License for Business Entities and
 15 Owners (CGCC-533; (~~New 05/09~~ Rev. 05/11)) or Application for Gambling Business License
 16 for Supervisor, Player or Other Employee (CGCC-534; (~~New 05/09~~ Rev. 05/11)), referenced in
 17 Section 12225.1.

18 * * * *

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

21

22 **§ 12235. Processing Times – Request to Convert Registration to License.**

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

25 (a) The maximum time within which the Commission shall notify the applicant in writing
 26 that a request or a resubmitted request is complete and accepted for initial processing by the
 27 Commission, or that a request or a resubmitted request is deficient and identifying what specific
 28 additional information is required, is 20 days after receipt of the request. For the purposes of this
 29 section, “request” means the form Application for Gambling Business License for Business
 30 Entities and Owners (CGCC-533; (~~New 05/09~~ Rev. 05/11)) or Application for Gambling
 31 Business License for Supervisor, Player or Other Employee (CGCC-534; (~~New 05/09~~ Rev.
 32 05/11)), referenced in Section 12225.1. A request is not complete unless accompanied by both a

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1 copy of the summons from the Bureau setting a deadline for filing the request with the
 2 Commission and the supplemental information package required by Section 12233(c)(5) for
 3 review by the Bureau pursuant to subsection (c) for persons affiliated with the primary owner to
 4 whom the summons was addressed. The Commission shall not review the supplemental
 5 information for completeness.

6 * * * *

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

9

10 **§ 12238. License Renewals.**

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

12 (1) A completed Application for Gambling Business License for Business Entities and
 13 Owners (CGCC-533, ~~New 05/09~~ Rev. 05/11) or Application for Gambling Business License
 14 for Supervisor, Player or Other Employee (CGCC-534, ~~New 05/09~~ Rev. 05/11), referenced in
 15 Section 12225.1.

16 * * * *

17 Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections
 18 19823, 19824, 19851, 19853, 19867, 19876 and 19951, Business and Professions Code.

19

20 **CHAPTER 4. GAMBLING EQUIPMENT MANUFACTURERS OR DISTRIBUTORS.**

21 **§ 12300. Definitions.**

22 * * * *

23 (b) As used in this chapter only:

24 (1) "Antique collector" means any individual that sells, exchanges, or otherwise transfers five
 25 or fewer antique slot machines, as defined in Penal Code section 330.7, during any calendar year.
 26 For purposes of computing the number of antique slot machines transferred during any calendar
 27 year, transactions in which a registered manufacturer or distributor acts as an agent or broker on
 28 behalf of an antique collector shall not be counted or included. "Antique collector" does not
 29 include any individual who is otherwise a manufacturer or distributor within the meaning of
 30 paragraph ~~(7)~~ (6) of this subsection.

31 * * * *

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1 ~~(4) “Executive Director” means Executive Director of the Commission or such other person~~
 2 ~~who may be designated by the Commission.~~

3 (5 4) “Gambling equipment” means any slot machine or device as defined in section 330b or
 4 330.1 of the Penal Code. “Gambling Equipment” also includes (A) any essential part and (B)
 5 any inoperable slot machine or device that is substantially complete and repairable or that can be
 6 made operable with the installation of one or more essential parts. Any reference to slot
 7 machines or devices has the meaning defined in Penal Code sections 330b and 330.1.

8 (6 5) “Manufacture or distribute” and “manufacture or distribution” refer to the activities of a
 9 manufacturer or distributor specified in paragraph (7 6) of this subsection.

10 (7 6) “Manufacturer or Distributor” means any person that manufactures, including the
 11 assembly, production, programming, or modification of, distributes, sells, leases, inspects, tests,
 12 repairs, refurbishes, or stores gambling equipment in this state or for use in this state.
 13 Manufacturer or distributor includes, in addition to in-state manufacturers and distributors,
 14 persons performing these functions in a location outside of this state with respect to gambling
 15 equipment intended for operation in this state.

16 (8 7) “Registration” means registration with the Commission under this chapter.

17 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code; and Section
 18 337j, Penal Code. Reference: Section 19841(r), Business and Professions Code; and Section 337j(e)(1), Penal
 19 Code.

21 **§ 12301.1. Claim of Exemption by Antique Collector; Form.**

22 (a) An antique collector may obtain an exemption from registration under this chapter if the
 23 antique collector satisfies all of the following requirements:

24 (1) Submits a completed Antique Collector Claim of Exemption, CGCC-039 (Rev. ~~04/08~~
 25 05/11), which is hereby incorporated by reference, in which the antique collector declares under
 26 penalty of perjury in the form specified in section 2015.5 of the Code of Civil Procedure that the
 27 information provided in the application is accurate and complete.

28 * * * *

29 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code. Reference:
 30 Sections 19805(b), 19841(r) and 19951(a), Business and Professions Code; Section 2015.5, Code of Civil
 31 Procedure; Section 330.8, Penal Code; Chapter 24 (commencing with Section 1171) of Title 15 of the United States
 32 Code.

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1 **§ 12309. Forms.**

2 (a) Applications for registration under Section 12301(b) shall be submitted on the
 3 Application for Registration of Manufacturers or Distributors of Gambling Equipment CGCC-
 4 025 (Rev. ~~04/08~~ 05/11), which is hereby incorporated by reference.

5 * * * *

6 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19864, Business and Professions Code.
 7 Reference: Sections 19841(r) and 19951(a), Business and Professions Code; Section 2015.5, Code of Civil
 8 Procedure; Section 330.8, Penal Code; Chapter 24 (commencing with Section 1171) of Title 15 of the United States
 9 Code.

10
 11 **CHAPTER 6. GAMBLING LICENSES AND APPROVALS FOR GAMBLING ESTABLISHMENTS AND**
 12 **OWNERS; PORTABLE PERSONAL KEY EMPLOYEE LICENSES.**

13 **ARTICLE 3. PORTABLE PERSONAL KEY EMPLOYEE LICENSE.**

14 **§ 12350. Initial Licenses; Required Forms; Processing Times.**

15 * * * *

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

17 (1) A completed “Application for Gambling Establishment Key Employee License CGCC-
 18 031 (Rev. ~~08/11~~),” which is attached in Appendix A to this chapter.

19 * * * *

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

22 (1) The maximum time within which the Commission shall notify the applicant in writing
 23 that an application or a resubmitted application is complete and accepted for initial processing by
 24 the Commission, or that an application or a resubmitted application is deficient and identifying
 25 what specific additional information is required, is five working days after receipt of the
 26 application. For the purposes of this section, "application" means the Application for Gambling
 27 Establishment Key Employee License, CGCC-031, referred to in paragraph (1) of subsection (c)
 28 of ~~Section 12350~~ this section. An application is not complete unless accompanied by the fee
 29 specified in subsection (b) of Section 12008. In addition, an applicant shall submit with the
 30 application, any supplemental information required by subsection (c) of this section for review
 31 by the Bureau pursuant to paragraph (3) of this subsection. The Commission shall not review the
 32 supplemental information for completeness.

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1 * * * *

2 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19876(a), Business and Professions Code.
 3 Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19876(a),
 4 19951 and 19982, Business and Professions Code.

5

6 **§ 12354. Interim Key Employee Licenses; Processing Times.**

7 (a) An individual, if holding a valid work permit for any gambling enterprise, may
 8 immediately begin to work as an interim key employee provided that the individual submit the
 9 following to the Commission within 10 days of hiring:

10 (1) An Application for Interim Key Employee License, CGCC-035 (~~New-08/09~~ Rev. 05/11),
 11 which is attached in Appendix A to this chapter.

12 * * * *

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

16

17 **ARTICLE 4. TABLE FEE; REQUESTS FOR ADDITIONAL TABLES.**

18 **§ 12358. Request for Additional Temporary Tables for Tournaments or Special Events.**

19 (a) An owner licensee of a gambling establishment may apply to operate, on a limited and
 20 temporary basis, for a tournament or special event (hereinafter, event), more tables than the
 21 gambling establishment is authorized to regularly operate. To apply for additional tables, the
 22 applicant must submit to the Commission, no less than 45 days prior to the event, the following
 23 for each event:

24 (1) A completed and signed application form entitled “Request for a Certificate to Operate
 25 Additional Tables on a Temporary Basis” CGCC-024 (Rev. ~~04/08~~ 05/11), which is attached in
 26 Appendix A to this chapter.

27 * * * *

28 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841(a)-(c) and (p), 19864, 19950(b) and 19952,
 29 Business and Professions Code. Reference: Section 19951, Business and Professions Code.

30

31 **§ 12359. Request for Additional Permanent Tables.**

32 (a) The owner licensee of a gambling establishment may apply to operate additional tables on
 33 a permanent basis by submitting the following to the Executive Director:

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1 (1) A completed and signed application form entitled “Application for Additional Authorized
2 Permanent Tables,” CGCC–027 (Rev. ~~04/08~~ 05/11), which is attached in Appendix A to this
3 chapter.

4 * * * *

5 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19864, 19950(b) and 19951, Business and
6 Professions Code. Reference: Section 19951, Business and Professions Code.

7

CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS.

ARTICLE 1. GENERAL PROVISIONS.

§ 12362. STATEWIDE INVOLUNTARY EXCLUSION LIST.

* * * *

(b) A licensee or government official (such as law enforcement, or agents of the California Horse Racing Board, Bureau, or Commission) (“requestor”) may submit, on form CGCC – 12362 (~~New 10-08~~ Rev. 05/11) “Request for Statewide Involuntary Exclusion of an Individual,” which is attached in Appendix A to this chapter, a request to exclude an individual from all California gambling establishments based upon the reasons listed in Business and Professions Code section 19844 or 19845, subdivision (a)(7). Such request shall have the protections afforded under Business and Professions Code section 19846, subdivision (a).

* * * *

Note: Authority cited: Sections 19840 and 19844, Business and Professions Code. Reference: Sections 19801(i), 19801(l), 19844, 19845, 19846 and 19940, Business and Professions Code.

ARTICLE 4. ACCOUNTING AND FINANCIAL REPORTING.

§ 12400. Definitions.

* * * *

(b) As used in this chapter:

* * * *

(10) “Licensee” means “owner licensee” as defined in Business and Professions Code section 19805 (~~ae~~ ad).

* * * *

Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference: Sections 19805 and 19841, Business and Professions Code.

§ 12404. Records and Reports of Monetary Instrument Transactions.

(a) A gambling ~~establishment~~ enterprise, as defined in section 19805(~~n~~ m) of the Business and Professions Code, is required to file a report of each transaction involving currency in excess of \$10,000, in accordance with section 14162(b) of the Penal Code.

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1 (b) A gambling ~~establishment~~ enterprise shall comply with sections 5313 and 5314 of Title
2 31 of the United States Code and with sections 103.21, 103.22, 103.23, 103.63, and 103.64 of
3 Title 31 of the Code of Federal Regulations, and any successor provisions.

4 (c) A gambling ~~establishment~~ enterprise, regardless of gross revenue, shall make and keep on
5 file at the gambling establishment a report of each transaction in currency in excess of \$10,000.
6 These reports shall be available for inspection at any time as requested by the Bureau or the
7 Commission. These reports shall include, but not be limited to:

8 (1) Patron's name

9 (2) Patron's address

10 (3) Patron's identification

11 (4) Amount of transaction

12 (5) Type of transaction

13 (6) Date of transaction.

14 (d) Nothing in this section shall be deemed to waive or to suspend the requirement that a
15 gambling ~~establishment~~ enterprise make and keep a record and file a report of any transaction
16 otherwise required by the Bureau or the Commission.

17 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:
18 Section 19841, Business and Professions Code.

19

20 **ARTICLE 6. PROGRAM FOR RESPONSIBLE GAMBLING.**

21 **§ 12463. Self-Restriction Program.**

22 (a) Licensees shall implement, by July 1, 2007, a program that allows patrons to self-limit
23 their access to the gambling establishment entirely, or to the issuance of credit, check cashing, or
24 marketing by that licensee. Such program shall contain, at a minimum, the following:

25 (1) The development of written materials for dissemination to patrons explaining the
26 program;

27 (2) The development of written forms allowing patrons to participate in the program, which
28 may include use of a form entitled "Self-Restriction Form," CGCC-036 (Rev. ~~04/08~~ 05/11),
29 attached in Appendix A to this chapter;

30

* * * *

1 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions Code. Reference:
2 Sections 19801, 19920 and 19954, Business and Professions Code; and Section 4369.4, Welfare and Institutions
3 Code.

4

5 **§ 12464. Self-Exclusion Program.**

6 (a) Licensees shall implement, by July 1, 2007, a program that allows patrons to self-exclude
7 themselves from gambling establishments using a form entitled “Self-Exclusion Form,” CGCC-
8 037 (Rev. ~~04/08~~ 05/11), attached in Appendix A to this chapter. Such program shall contain, at a
9 minimum, the following:

10

* * * *

11 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions Code. Reference:
12 Sections 19801, 19920 and 19954, Business and Professions Code; and Section 4369.4, Welfare and Institutions
13 Code.