

**CALIFORNIA CODE OF REGULATIONS**

**TITLE 4. BUSINESS REGULATIONS.**

**DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.**

(AMENDED REGULATIONS EFFECTIVE JULY 26, 2012)

**CHAPTER 2. WORK PERMITS.**

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

**§ 12101. FORMS.**

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

(a) "Renewal Work Permit Application Form" means the "Application for Work Permit Renewal" CGCC-023 (Rev. 06/12) which is hereby incorporated by reference.

\* \* \* \*

(d) "Work Permit Application Form" means the "Application for Initial Regular Work Permit/Temporary Work Permit" CGCC-021 (Rev. 06/12) which is hereby incorporated by reference.

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

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

**ARTICLE 2. REGISTRATION.**

**§ 12202. APPLICATION FOR REGISTRATION.**

\* \* \* \*

(c) An applicant that is an individual shall complete and submit the form Third Party Proposition Player Services Registration Supplemental Information (CGCC-436 (Rev. 06/12)), 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

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Player Services License for Business Entities and Owners (CGCC-433 (Rev. 06/12)) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434 (Rev. 06/12)), 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.

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

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

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

### **ARTICLE 3. LICENSING.**

#### **§ 12218. REQUEST TO CONVERT REGISTRATION TO LICENSE.**

\* \* \* \*

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

(1) A completed Application for Third Party Proposition Player Services License for Business Entities and Owners (CGCC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434), referenced in Section 12205.1.

\* \* \* \*

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

#### **§ 12218.7. PROCESSING TIMES – REQUEST TO CONVERT REGISTRATION TO LICENSE.**

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

(a) The maximum time within which the Commission shall notify the applicant in writing that a request or a resubmitted request is complete and accepted for initial processing by the Commission, or that a request or a resubmitted request is deficient and identifying what specific additional information is required, is 20 days after receipt of the request. For the purposes of this

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section, “request” means the Application for Third Party Proposition Player Services License for Business Entities and Owners (CGCC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434) referenced in Section 12205.1. A request is not complete unless accompanied by *both* a copy of the summons from the Bureau setting a deadline for filing the request with the Commission and the supplemental information package required by Section 12218(c)(5) for review by the Bureau pursuant to subsection (c) for persons affiliated with the primary owner to whom the summons was addressed. The Commission shall not review the supplemental information for completeness.

\* \* \* \*

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

**§ 12218.8. LICENSE RENEWALS.**

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

(1) A completed Application for Third Party Proposition Player Services License for Business Entities and Owners (CGCC-433) or Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees (CGCC-434), referenced in Section 12205.1.

\* \* \* \*

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

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

**ARTICLE 2. REGISTRATION.**

**§ 12222. APPLICATION FOR REGISTRATION.**

\* \* \* \*

(c) An applicant that is an individual shall complete and submit the form Gambling Business Registration Supplemental Information (CGCC-536 (Rev. 06/12)), which is hereby incorporated by reference.

\* \* \* \*

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

**§ 12225.1. TRANSITION TO LICENSING.**

(a) 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

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Bureau shall summon primary owners, owners, supervisors, players, and other employees as expeditiously as possible in light of available program resources. The registration of any registrant that fails or refuses to submit the applicable Application for Gambling Business License for Business Entities and Owners (CGCC-533 (Rev. 06/12)) or Application for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534 (Rev. 06/12)), 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.

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

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

**ARTICLE 3. LICENSING.**

**§12233. REQUEST TO CONVERT REGISTRATION TO LICENSE.**

\* \* \* \*

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

(1) A completed Application for Gambling Business License for Business Entities and Owners (CGCC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534), referenced in Section 12225.1.

\* \* \* \*

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

**§ 12235. PROCESSING TIMES – REQUEST TO CONVERT REGISTRATION TO LICENSE.**

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

(a) The maximum time within which the Commission shall notify the applicant in writing that a request or a resubmitted request is complete and accepted for initial processing by the Commission, or that a request or a resubmitted requested is deficient and identifying what specific additional information is required, is 20 days after receipt of the request. For the purposes of this section, “request” means the form Application for Gambling Business License for Business Entities and Owners (CGCC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534), referenced in Section 12225.1. A

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

\* \* \* \*

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

**§ 12238. LICENSE RENEWALS.**

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

(1) A completed Application for Gambling Business License for Business Entities and Owners (CGCC-533) or Application for Gambling Business License for Supervisor, Player or Other Employee (CGCC-534), referenced in Section 12225.1.

\* \* \* \*

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

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

**§ 12309. FORMS.**

(a) Applications for registration under Section 12301(b) shall be submitted on the Application for Registration of Manufacturers or Distributors of Gambling Equipment, CGCC-025 (Rev. 06/12), which is hereby incorporated by reference.

\* \* \* \*

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

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

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

**§ 12335. Definitions.**

(a) Except as otherwise provided in subsection (c) of Section 12002 of these regulations, the definitions in Business and Professions Code section 19805 shall govern the construction of this

\* \* \* \* denotes omitted text not affected by this action.

chapter.

(b) As used in this chapter:

(1) "Annual Fee" means the fee established by Business and Professions Code, section 19951(b)(2).

(2) "Portable Personal Key Employee License" or "Key Employee License" means a license which authorizes the holder to be associated with any gambling enterprise as a key employee, as provided in Business and Professions Code sections 19805, subdivisions (x) and (y), and 19854, subdivision (c).

Note: Authority cited: Sections 19811(b), 19823, 19824, 19840 and 19841, Business and Professions Code.  
Reference: Sections 19800, 19805, 19811, 19854 and 19951(b)(2), Business and Professions Code.

## **ARTICLE 2. GAMBLING LICENSES.**

### **§ 12342. INITIAL GAMBLING LICENSE APPLICATIONS; REQUIRED FORMS; PROCESSING TIMES**

(a) Any person applying for a gambling license shall, as appropriate, complete the following forms, which are hereby incorporated by reference:

(1) Application for State Gambling License, CGCC-030 (Rev. 06/12).

\* \* \* \*

Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference: Sections 19841, 19850, 19851, 19852, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19868, 19880, 19881, 19883, 19890, 19893, 19951 and 19982, Business and Professions Code.

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

### **§ 12350. INITIAL LICENSES; REQUIRED FORMS; PROCESSING TIMES.**

\* \* \* \*

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

(1) A completed "Application for Gambling Establishment Key Employee License CGCC-031 (Rev. 06/12)," which is attached in Appendix A to this chapter.

\* \* \* \*

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

### **§ 12352. Employment Status Notification; Replacement License; Required Forms; Processing Times.**

(a) The holder of a valid key employee license shall notify the Commission within 10 days of acceptance or termination of employment with a gambling enterprise by submitting a completed

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Notification of Change in Key Employee Employment Status, CGCC-033 (Rev. 06/12), which is attached in Appendix A to this chapter.

(b)(1) The holder of a valid key employee license may request a replacement license in the event the license has been lost, stolen, damaged, or as needed to reflect a change of name by submitting the following:

(A) A completed Request for Replacement Key Employee License, CGCC-034 (New 08/09) which is attached in Appendix A to this chapter.

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

(C) A nonrefundable fee payable to the Commission as specified in subsection (b) of Section 12008.

(2) The Executive Director shall issue a replacement portable personal key employee license to the holder as long as there is not any cause for revocation of the key employee license.

(3) A replacement key employee license issued pursuant to this section shall be valid during the unexpired term of the replaced key employee license.

(4) Upon issuance of the replacement key employee license, the previously issued key employee license shall become invalid and shall not be used thereafter.

(5) Applications submitted pursuant to paragraph (1) of this subsection shall be processed within the following time frames:

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

(B) A replacement key employee license shall be either issued or denied within 15 working days after the filing of a complete application.

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

**§12354. INTERIM KEY EMPLOYEE LICENSES; PROCESSING TIMES.**

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

(1) An Application for Interim Key Employee License, CGCC-035 (Rev. 06/12), which is attached in Appendix A to this chapter.

\* \* \* \*

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

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