

**State of California  
Office of Administrative Law**

In re:

California Gambling Control Commission

Regulatory Action:

Title 4, California Code of Regulations

Amend sections: 12200, 12200.9,  
12200.10A, 12200.11,  
12200.13, 12220, 12220.13,  
12342, 12464

NOTICE OF APPROVAL OF CHANGES  
WITHOUT REGULATORY EFFECT

California Code of Regulations, Title 1,  
Section 100

OAL File No. 2012-0214-03 N

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The California Gambling Control Commission (CGCC) submitted this Section 100 action to update eight forms and the incorporation by reference dates of these forms in nine sections under title 4 of the California Code of Regulations. The updates to most of the forms include updating the address and phone/fax numbers for CGCC, and the deposit amounts that must be submitted to CGCC with the form for background checks that are conducted by the Bureau of Gambling Control, Department of Justice (Bureau). These deposit amounts are established by the Bureau in title 11, California Code of Regulations, section 2037. Title 11, section 2037 was amended in 2011 resulting in increases in the amount of the deposits. CGCC has no discretion in the amount of the deposit as they are established by the Bureau in title 11, section 2037. Changes to the nine title 4 sections are proposed mainly to update the incorporation by reference date of the forms, and make other nonsubstantive changes.

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

Date: 3/21/2012



Richard L. Smith  
Staff Counsel

For: DEBRA M. CORNEZ  
Assistant Chief Counsel/  
Acting Director

Original: Tina Littleton  
Copy: James Allen

# 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 <b>Z-</b>	REGULATORY ACTION NUMBER <b>2012-0214-03N</b>	EMERGENCY NUMBER
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ENDORSED FILED IN THE OFFICE OF

2012 MAR 21 PM 2:16

For use by Office of Administrative Law (OAL) only

2012 FEB 14 PM 2:44  
OFFICE OF ADMINISTRATIVE LAW

*Debra Bowen*  
DEBRA BOWEN  
SECRETARY OF STATE

NOTICE	REGULATIONS
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AGENCY WITH RULEMAKING AUTHORITY  
California Gambling Control Commission

AGENCY FILE NUMBER (if any)  
CGCC-GCA-2012-02-N

### 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	PUBLICATION DATE

### B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Revised BGC Forms; Address Change; Investigation and Processing Costs	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 §§ 12200, 12200.9, 12200.10A, 12200.11, 12200.13, 12220, 12220.13, 12342, and 12464
REPEAL
TITLE(S) 4

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)
<input type="checkbox"/> Effective 30th day after filing with Secretary of State <input type="checkbox"/> Effective on filing with Secretary of State <input checked="" 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"/> State Fire Marshal
<input type="checkbox"/> 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 2-6-12
TYPED NAME AND TITLE OF SIGNATORY STEPHANIE SHIMAZU, Chairperson	

For use by Office of Administrative Law (OAL) only

ENDORSED APPROVED

MAR 21 2012

Office of Administrative Law

1 CALIFORNIA GAMBLING CONTROL COMMISSION

2 CGCC-GCA-2012-02-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 2.1. THIRD-PARTY PROVIDERS OF PROPOSITION PLAYER SERVICES:

11 REGISTRATION; LICENSING.

12 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

13 § 12200. Definitions.

14 \* \* \* \*

15 (b) As used in this chapter:

16 \* \* \* \*

17 (27) “Supplemental information package” means all of the documentation and deposits  
18 required by each of the following forms (which are hereby incorporated by reference) to be  
19 submitted to the Commission in response to a summons issued by the Bureau pursuant to Section  
20 12205.1:

21 (A) Owners, as defined in Section 12200, that are a natural person shall complete the form  
22 Level III Supplemental Information-Individual (BGC-APP-034A (Rev. ~~11/07~~12/11)) for a level  
23 III investigation.

24 (B) Owners, as defined in Section 12200 that are not a natural person shall complete the form  
25 Level III Supplemental Information-Business (BGC-APP-034B (Rev. ~~11/07~~12/11)) for a level III  
26 investigation.

27 (C) Supervisors, as defined in Section 12200, shall complete the form Level II Supplemental  
28 Information (BGC-APP-033 (Rev. ~~11/07~~12/11)) for a level II investigation.

29 (D) Other employees and players, as defined in Section 12200, shall complete the form Level  
30 I Supplemental Information (BGC-APP-032 (Rev. ~~11/07~~12/11)) for a level I investigation.

31 \* \* \* \*

Red strikethrough denotes deleted text. Blue underline denotes added text. \* \* \* \* denotes omitted text.

1 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections  
2 19805 and 19984, Business and Professions Code.

3  
4 **§ 12200.9. Review and Approval of Proposition Player Contracts.**

5 (a)(1) \* \* \* \*

6 (2) Prior to December 7, 2003, each primary owner providing proposition player services at a  
7 gambling establishment on the date that these regulations originally became effective (November  
8 6, 2003) shall submit an Application for Contract Approval Provider of Proposition Player  
9 Services (BGC-APP-030 (Rev. ~~05/09~~12/11)), which is hereby incorporated by reference.

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

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

13 \* \* \* \*

14 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections  
15 19951 and 19984, Business and Professions Code.

16  
17 **§ 12200.10A. Expedited Review and Approval of Proposition Player Contracts.**

18 \* \* \* \*

19 (c) The Bureau shall complete the expedited review and approval of a contract within five  
20 business days of receiving all of the following:

21 (1) A completed Application for Contract Approval to Provide Proposition Player Services  
22 (BGC-APP-030 (~~Rev. 05/09~~)), referenced in paragraph (2) of subsection (a) of Section 12200.9.

23 \* \* \* \*

24 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections  
25 19951 and 19984, Business and Professions Code.

26  
27 **§ 12200.11. Extension of Proposition Player Contracts.**

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

30 (1) A completed Application for Contract Approval to Provide Proposition Player Services  
31 (BGC-APP-030 (~~Rev. 05/09~~)), referenced in paragraph (2) of subsection (a) of Section 12200.9.

32 \* \* \* \*

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

Red strikethrough denotes deleted text. Blue underline denotes added text. \* \* \* \* denotes omitted text.

1 19951 and 19984, Business and Professions Code.

2  
3 **§ 12200.13. Playing Book.**

4 \* \* \* \*

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

9 \* \* \* \*

10 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Section  
11 19984, Business and Professions Code.

12  
13 **CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.**

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

15 **§ 12220. Definitions.**

16 \* \* \* \*

17 (b) As used in this chapter:

18 \* \* \* \*

19 (27) “Supplemental information package” means all of the documentation and deposits  
20 required by each of the following forms (which are ~~hereby incorporated by~~ referenced in  
21 paragraph (27) of subsection (b) of Section 12200) to be submitted to the Commission in  
22 response to a summons issued by the Bureau pursuant to Section 12225.1.

23 (A) Owners, as defined in Section 12220, that are a natural person shall complete the form  
24 Level III Supplemental Information-Individual (BGC-APP-034A (~~Rev. 11/07~~)) for a level III  
25 investigation.

26 (B) Owners, as defined in Section 12220, that are not a natural person shall complete the  
27 form Level III Supplemental Information-Business (BGC-APP-034B (~~Rev. 11/07~~)) for a level III  
28 investigation.

29 (C) Supervisors, as defined in Section 12220, shall complete the form Level II Supplemental  
30 Information (BGC-APP-033 (~~Rev. 11/07~~)) for a level II investigation.

31 (D) Other employees, independent contractors, and players shall complete the form Level I  
32 Supplemental Information (BGC-APP-032 (~~Rev. 11/07~~)) for a level I investigation.

Red strikethrough denotes deleted text. Blue underline denotes added text. \* \* \* \* denotes omitted text.

1 \* \* \* \*

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

4  
5 **§ 12220.13. Playing Book.**

6 \* \* \* \*

7 (c)(1) A Request for Approval of Playing Book form (BGC-App 036 ~~(New 05/09)~~),  
8 referenced in paragraph (1) of subsection (c) of Section 12200.13, must be completed and  
9 submitted to the Bureau for prior approval along with the following to constitute a complete  
10 request for initial approval or to amend the playing book form:

11 \* \* \* \*

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

14  
15 **CHAPTER 6. GAMBLING LICENSES AND APPROVALS FOR GAMBLING ESTABLISHMENTS AND**  
16 **OWNERS; PORTABLE PERSONAL KEY EMPLOYEE LICENSES.**

17 **ARTICLE 2. GAMBLING LICENSES.**

18 **§ 12342. Initial Gambling License Applications; Required Forms; Processing Times.**

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

21 \* \* \* \*

22 (5) Cardroom Applicant's Spouse Supplemental Background Information for State Gambling  
23 License, BGC-APP-009A (Rev. ~~04/08~~12/11).

24 \* \* \* \*

25 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:  
26 Sections 19841, 19850, 19851, 19852, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19868, 19880, 19881,  
27 19883, 19890, 19893, 19951 and 19982, Business and Professions Code.

28  
29 **CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS.**

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

31 **§ 12464. Self-Exclusion Program.**

32 (a) Licensees shall implement, by July 1, 2007, a program that allows patrons to self-exclude  
33 themselves from gambling establishments using a form entitled "Self-Exclusion Form," CGCC-

Red strikethrough denotes deleted text. Blue underline denotes added text. \* \* \* \* denotes omitted text.

1 037 (Rev. ~~05~~12/11), attached in Appendix A to this chapter. ~~Such~~That program shall contain, at  
2 a minimum, the following:

3 \* \* \* \*

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

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Red strikethrough denotes deleted text. Blue underline denotes added text. \* \* \* \* denotes omitted text.

# APPENDIX A



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

## SELF-EXCLUSION FORM

### CGCC – 037 (Rev. 0512/11)

Type or print (in ink) all information requested on this form.  
 If additional space is needed, please note response on a separate sheet of paper and attach to this completed form.  
 You may hand this completed form in to any Cardroom or participating gambling facility, to the Bureau of Gambling Control, or the California Gambling Control Commission, or you may mail this completed form to: **BUREAU OF GAMBLING CONTROL, 1425 River Park Drive, Suite 400, Post Office Box 168024, Sacramento, CA 958156-8024**

#### SECTION 1: PERSONAL INFORMATION

Full Legal Name:

First	Middle (if applicable)	Last

Other Names (Former Name (such as Maiden name), Nickname, or Alias / A.K.A.):

Home Address:

Street (No P.O. Box)	City	State	Zip Code
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Mailing Address (if different than Home Address):

Street or P.O. Box	City	State	Zip Code
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Home Telephone Number:

(     )

Business Number:

(     )

Games most often played:

#### SECTION 2: TERM OF EXCLUSION *(Irrevocable during the time period specified)*

Please Initial Appropriate Term: One Year \_\_\_\_\_ Five Years \_\_\_\_\_ Lifetime \_\_\_\_\_

#### SECTION 3: PHOTO, PHYSICAL DESCRIPTION, AND OTHER IDENTIFYING INFORMATION

Gender: Male  Female  Date of Birth:  /  /  Race/Ethnicity:

Height:  Weight:  Hair Color/Type:  Eye Color:

Date of Photograph:  /  /  CA Drivers License:

Distinguishing marks (such as visible scars or tattoos – describe mark & location):

AFFIX A RECENT  
 PASSPORT QUALITY  
 PHOTOGRAPH  
 HERE SHOWING  
 HEAD AND SHOULDERS OF  
 PERSON TO BE EXCLUDED

Type of vehicle normally driven:  License Plate:

**SECTION 4: DECLARATION**

I understand English or have had an interpreter read and explain this form to me in \_\_\_\_\_  
(Language)

(Initial Here) I voluntarily seek to exclude myself as specified in Section 2 of this form.

(Initial Here) I agree that I will not attempt to enter and/or use any of the services or privileges of a California gambling establishment or participating gambling facility during the period specified in Section 2.

(Initial Here) I acknowledge and understand that should I attempt to enter a California gambling establishment or participating gambling facility or use the services of a gambling establishment or participating gambling facility during the term of exclusion, once identified, I shall be escorted from the gambling establishment or participating gambling facility and any winnings or prizes I may have accrued or losses recovered will be confiscated and remitted by the gambling establishment or participating gambling facility for deposit into the Gambling Addiction Program Fund for problem gambling prevention and treatment services through the Department of Alcohol and Drug Programs, Office of Problem and Pathological Gambling.

(Initial Here) I understand that the ultimate responsibility to limit my access to the gambling establishment or participating gambling facility or gaming services in the State of California remains mine alone.

(Initial Here) This self-exclusion request is **irrevocable** during the time period checked in Section 2.

(Initial Here) I understand that disclosure of certain information is necessary to effect my request for self-exclusion.

(Initial Here) I understand that my information will be added to a statewide exclusion database. Disclosure may also occur if needed for the conduct of an official investigation or if ordered by a court of competent jurisdiction.

I will not seek to hold the gambling establishment or participating gambling facility liable in any way should I enter a gambling establishment or participating gambling facility and/or use any of the services or privileges therein despite this exclusion request, and I agree to indemnify the State of California, the California Gambling Control Commission, the Bureau of Gambling Control, and the Office of Problem Gambling for any liability relating to this request. Specifically, I for myself, my heirs, executors, administrators, successors, and assigns, hereby release and forever discharge the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling, the Gambling Establishment or participating gambling facility, their agents, employees, officers, and Directors and those with whom they may lawfully share information regarding this exclusion (collectively, the "Released Parties") from any and all claims in law or equity that I now have, or may have in the future, against all or any of all of the Released Parties arising out of, or by reason of, the performance or non-performance of this self-exclusion request, or any matter relating thereto. I further agree, in consideration for the Released Parties' efforts to implement my exclusion, to indemnify and hold harmless the Released Parties to fullest extent permitted by law for any and all liabilities, judgments, damages, and expenses of any kind, including reasonable attorneys' fees, resulting from or in connection with the performance or non-performance of the self-exclusion requested herein.

I declare that all information submitted on or with this self-exclusion form is true, correct, and complete.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

**SECTION 5: NOTARIZATION**

Subscribed and sworn to (or affirmed) before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

By \_\_\_\_\_,  
 personally known to me OR  proved to me on the basis of satisfactory evidence to be the person who appeared before me.

Notary Public Seal:

Signature of Notary Public \_\_\_\_\_  
My Commission expires on: 

/	/
---	---

**OR**

**WITNESS BY KEY EMPLOYEE**

As a Key Employee of \_\_\_\_\_, I affirm that on \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_,

I witnessed \_\_\_\_\_  
(individual's name)

complete this form and that this person is:

personally known to me OR  
 proved to me on the basis of satisfactory evidence to be the person who appeared before me.

Signature of Key Employee \_\_\_\_\_

Printed Name \_\_\_\_\_