

**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. 2012-0215-05 S

Adopt sections:

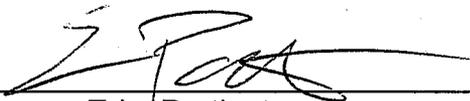
**Amend sections: 12008, 12335, 12342,
12345, 12357, 12359**

Repeal sections:

This rulemaking action by the California Gambling Control Commission amends the term "table fee" to "annual fee," establishes the close of a licensee's fiscal year as the date on which annual fees are calculated, and clarifies that existing consequences apply to licenses deemed surrendered under Business and Professions Code section 19955. This action also establishes a delinquency fee for license renewal applications received after statutory deadlines.

OAL approves this regulatory action pursuant to section 11349.3 of the Government Code. This regulatory action becomes effective on 4/28/2012.

Date: 3/29/2012



Eric Partington
Staff Counsel

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

**Original: Tina Littleton
Copy: James Allen**

REGULAR

See instructions on reverse

For use by Secretary of State only

STD. 400 (REV. 01-09)

OAL FILE NUMBERS	NOTICE FILE NUMBER Z- 2011-1101-01	REGULATORY ACTION NUMBER 2012-0215-055	EMERGENCY NUMBER
------------------	---------------------------------------	---	------------------

For use by Office of Administrative Law (OAL) only

<p>2012 FEB 15 AM 11:51</p> <p>OFFICE OF ADMINISTRATIVE LAW</p>	<p>2012 MAR 29 PM 2:02</p> <p><i>Debra Bowen</i> DEBRA BOWEN SECRETARY OF STATE</p>
NOTICE	REGULATIONS

AGENCY WITH RULEMAKING AUTHORITY California Gambling Control Commission	AGENCY FILE NUMBER (if any) CGCC-GCA-2011-04-R
--	---

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 Disapproved/Withdrawn	ACTION ON PROPOSED NOTICE	NOTICE REGISTER NUMBER 2011, 452	PUBLICATION DATE 11-11-2011

B. SUBMISSION OF REGULATIONS (Complete when submitting regulations)

1a. SUBJECT OF REGULATION(S) Delinquency Fees; Non-payment of Annual Fees	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
	AMEND §§ 12008, 12335, 12342, 12345, 12357 and 12359
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"/> Emergency Readopt (Gov. Code, §11346.1(h)) <input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100) <input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §511349.3, 11349.4) <input type="checkbox"/> File & Print <input type="checkbox"/> Print Only <input type="checkbox"/> Emergency (Gov. Code, §11346.1(b)) <input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1) <input type="checkbox"/> Other (Specify) _____	
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, 544 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 checked="" type="checkbox"/> Effective 30th day after filing with Secretary of State <input 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 checked="" 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) 263-4024
FAX NUMBER (Optional) (916) 263-0499	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>Stephanie Shimazu</i>	DATE 2-14-12
TYPED NAME AND TITLE OF SIGNATORY STEPHANIE SHIMAZU, Chairperson	

For use by Office of Administrative Law (OAL) only

ENDORSED APPROVED

MAR 29 2012

Office of Administrative Law

1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 RENEWAL OF GAMBLING LICENSES; DELINQUENT APPLICATION FEE
3 NONPAYMENT OF ANNUAL FEE; TEMPORARY CLOSURE OF GAMBLING ESTABLISHMENT
4 CGCC-GCA-2011-04-R
5 ORDER OF ADOPTION
6

7 The California Gambling Control Commission hereby adopts the following changes in its
8 regulations contained in Division 18 of Title 4 of the California Code of Regulations:
9

10 CHAPTER 1. GENERAL PROVISIONS.

11 **§ 12008. ~~Registration Fees; and License Application Fees.~~**

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

18 (a)(1) For an initial ~~and renewal~~ Gambling License issued pursuant to Chapter 6, the fee is
19 one thousand dollars (\$1000).

20 (2) For a renewal Gambling License issued pursuant to Chapter 6 when the complete renewal
21 application is submitted in a timely manner, as defined in subsection (a) of Section 12345 of
22 Article 3, the fee is one thousand dollars (\$1000) for each application required pursuant to
23 Section 12345. For a renewal Gambling License issued pursuant to Chapter 6 when the
24 complete renewal application is deemed delinquent, as defined in subsection (a) of Section
25 12345, the fee is two thousand dollars (\$2000) for each application required pursuant to Section
26 12345, which includes a delinquency fee of one thousand dollars (\$1000).

27 * * * *

28 Note: Authority cited: Sections 19811, 19824, 19840, 19841(a), 19853(a)(3), 19854, 19876(g), 19915, 19951(a)
29 and 19984, Business and Professions Code. Reference: Sections 19915, 19841(r), 19853(a)(3), 19951(a), 19876(g)
30 and 19984(b), Business and Professions Code.

31
32
Blue underline denotes additions; red strikethrough denoted deletions; * * * * denotes omitted text.

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 chapter.

(b) As used in this chapter:

(1) "Table Annual Fee" means the fee established by Business and Profession 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, provided the key employee terminates employment with one gambling enterprise before commencing work for another, as provided in Business and Professions Code sections 19805, subdivisions (w-x) and (xy), and 19854, subdivision (c).

* * * *

Note: Authority cited: Sections 19811(b), 19823, 19824, 19840 and 19841, Business and Professions Code. Reference: Sections 19800, 19805(w), 19805(x), 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. 05/0806/11).

* * * *

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.

§ 12345. Gambling License Renewals; Processing Times.

(a) ~~Each application for renewal of a gambling license shall be accompanied by all of the following:~~ A complete application for renewal of a gambling license shall be timely filed by the owner-licensee with the Commission no later than 120 days prior to the expiration of the current

Blue underline denotes additions; red strikethrough denoted deletions; * * * * denotes omitted text.

1 license. To be timely, the complete application for renewal must either be received by the
2 Commission no later than the date due or, if delivered by mail, be postmarked no later than the
3 date due. If the complete application is filed less than 110 days prior to the expiration date of the
4 current license, the application of the owner-licensee and each individual application required
5 pursuant to subsection (b) shall be deemed delinquent. For the purposes of this section, a
6 “complete application” shall consist of all of the following for the owner-licensee and each
7 person whose name is required to be endorsed upon the license of the owner-licensee, as
8 specified in subsection (b):

9 (1) A completed and executed "Application for State Gambling License, CGCC-030," as
10 referred to in paragraph (1) of subsection (a) of Section 12342;

11 (2) A nonrefundable application fee in the applicable amount specified in subsection (a) of
12 Section 12008 for renewal of a gambling license; and,

13 (3) Any applicable investigation deposit specified in Title 11, CCR, Section 2037. However,
14 if, after a review of an application for renewal of a gambling license, the Bureau determines that
15 further investigation is needed, the applicant shall submit an additional sum of money that, in the
16 judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation and
17 processing costs, in accordance with Business and Professions Code section 19867.

18 (b) Each person whose name is required to be endorsed upon the license of a particular
19 gambling enterprise shall submit complete and execute a separate application for renewal of that
20 person's license, together with the application fee specified in subsection (a) of Section 12008.

21 ~~—(e)—~~ All applications for renewal of the endorsed licensees' gambling licenses for a particular
22 gambling enterprise shall be submitted to the Commission together as with the owner-licensee's
23 application in a single package to the California Gambling Control Commission, as provided in
24 subsection (a).

25 ~~(d) If, after a review of an application for renewal of a gambling license, the Bureau~~
26 ~~determines that further investigation is needed, the applicant shall submit an additional sum of~~
27 ~~money that, in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated~~
28 ~~investigation and processing costs, in accordance with Business and Professions Code section~~
29 ~~19867.~~

30 ~~(ec)~~ Except as provided in subsection (fd), renewal gambling license applications submitted
31 pursuant to subsections (a) and (b) of this section shall be processed within the following

Blue underline denotes additions; ~~red strikethrough~~ denoted deletions; * * * * denotes omitted text.

1 timeframes:

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

4 ~~(2) The maximum time within which the Commission shall notify the applicant in writing~~
5 ~~that an application or a resubmitted application is complete and accepted for initial processing by~~
6 ~~the Commission, or that an application or a resubmitted application is deficient and identifying~~
7 ~~what specific additional information is required, is 10 days after receipt of the application. For~~
8 ~~the purposes of this section, "application" means the Application for State Gambling License,~~
9 ~~CGCC 030, referred to in paragraph (1) of subsection (a) of Section 12342. An application is~~
10 ~~not complete unless accompanied by the fee specified in subsection (a) of Section 12008 for a~~
11 ~~gambling license.~~

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

15 ~~(4) The Bureau shall submit its written report concerning the renewal application, which~~
16 ~~may include a recommendation pursuant to Business and Professions Code section 19826,~~
17 ~~subdivision (a), to the Commission no later than 45 days prior to the expiration of the current~~
18 ~~license, unless that application is filed with the Commission less than 120 days prior to the~~
19 ~~expiration of the current license.~~

20 ~~(f) The processing times specified in paragraphs (2) through and including (4) of~~
21 ~~subsection (e) may be exceeded in any of the following instances:~~

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

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

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

27 (4) The application was filed with the Commission less than 120 days prior to the expiration
28 of the current license.

29 ~~(g) An application for license renewal that was not submitted at least 120 days in advance of~~
30 ~~the expiration of the existing license shall be subject to the same timeframes as specified in~~
31 ~~paragraphs (2) through (4) of subsection (e). However, if the Bureau and the Commission~~

1 cannot complete their review and approval of the application prior to the expiration of the
 2 existing license due to the late submittal of the renewal application, the gambling enterprise shall
 3 cease all gambling operations on the expiration date of the license, ~~and~~ ~~gambling operations~~
 4 shall not resume until the renewal application is approved by the Commission, unless the license
 5 has been extended as provided in subdivision (c) of section 19876 of the Business and
 6 Professions Code.

7 (hf) If a licensee has not submitted a complete renewal application, including all required
 8 fees and deposits, within 10 days after the expiration date of the current license, the license shall
 9 be deemed abandoned. ~~An abandoned~~ A license that has been deemed abandoned pursuant to
 10 this subsection shall be subject to the provisions of subsection (b) of Section 12347.

11 Note: Authority cited: Sections 19811, 19824, 19840, 19841 and 19951, Business and Professions Code.

12 Reference: Sections 19826, 19851, 19868, 19876 and 19951, Business and Professions Code.

13
 14 ARTICLE 4. ~~TABLE ANNUAL FEE~~; REQUESTS FOR ADDITIONAL TABLES.

15 § 12357. ~~Table Annual Fee.~~

16 (a) The annual fee required by Business and Professions Code section 19951, subdivision (b),
 17 paragraph (2), subparagraph (B) shall be based on the criteria in ~~subsection (a) or (b) paragraph~~
 18 (1) or (2) of this subsection, whichever is applicable, and shall be due ~~and paid annually by the~~
 19 holder of a state gambling license payable to the Commission annually by the gambling
 20 enterprise no later than 120 calendar days following the end of the licensee's gambling
 21 enterprise's fiscal year. To be considered timely, the annual fee must either be received by the
 22 Commission no later than the date due or, if delivered by mail, be postmarked no later than the
 23 date due.

24 (a1) The annual fee specified in ~~Business and Professions Code subdivision (c) of section~~
 25 ~~19951, subdivision (c)~~ shall be based on the number of tables authorized by the license ~~during at~~
 26 the close of the licensee's gambling enterprise's preceding fiscal year.

27 (b2) The annual fee specified in ~~Business and Professions Code subdivision (d) of section~~
 28 ~~19951, subdivision (d)~~ shall be based on the ~~owner licensee's~~ gambling enterprise's gross
 29 revenues for the preceding fiscal year.

30 (eb) Each ~~holder of a state gambling license~~ owner-licensee shall submit, ~~to the Commission,~~
 31 ~~together~~ with their payment of the annual fee specified in this section, a completed ~~form~~
 32 Gambling Establishment Annual Fee Calculation, form CGCC-028 (New 08/07 Rev. 06/11),

Blue underline denotes additions; ~~red strikethrough~~ denoted deletions; * * * * denotes omitted text.

1 which is hereby incorporated by reference.

2 (c) If the full amount of the annual fee has not been received by the Commission within 90
3 days after the payment due date, and the gambling license has been deemed surrendered pursuant
4 to Business and Professions Code section 19955, the license shall be subject to the provisions of
5 subsection (b) of Section 12347 of Article 2.

6 Note: Authority cited: Sections 19811(b), 19823, 19824, 19840, 19841, 19876(a), ~~and 19951 and 19955~~, Business
7 and Professions Code. Reference: Sections 19841, 19876(a), 19951, ~~and 19954 and 19955~~, Business and
8 Professions Code.

9

10 **§ 12359. Request for Additional Permanent Tables.**

11 * * * *

12 (d) Commission staff shall commence the initial review and shall forward the application to
13 the Bureau for investigation within 7 days of receipt of the application. The Bureau shall
14 complete its review and return its findings to the Commission within 25 days of receipt of the
15 application from the Commission. Commission staff shall then complete the review and set the
16 request on the Commission agenda within 90 days of receiving the Bureau’s findings and advise
17 the applicant of the agenda date and any required ~~table~~ annual fees due. If the request for
18 additional permanent tables is approved, the applicant must pay the required ~~tables~~ annual fees
19 due before placing the additional tables in operation.

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

22 ///

23 ///

24

25

26

27

28

29

30

31

32

33

Blue underline denotes additions; ~~red strikethrough~~ denoted deletions; * * * * denotes omitted text.

APPLICATION FOR STATE GAMBLING LICENSE
CGCC-030 (Rev. 05/08)



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 STATE GAMBLING LICENSE
CGCC-030 (Rev. 06/11)

Pursuant to Business and Professions Code section 19850, every person who directly or indirectly receives any compensation, reward, percentage or share of money or property played in any controlled game in this state, shall apply for and obtain a state gambling license. A license certificate will be issued after the application for state gambling license is approved and will indicate the name of the "owner-licensee". All other applicants are considered "endorsed licensees" and will not receive a separate license certificate, but their names will be endorsed on the license issued to the owner of the gambling enterprise.

A completed license renewal application package and all renewal fees are due no later than 120 days prior to the license expiration date. [See Business and Professions Code section 19876(b)] Any application package received less than 110 days prior to the license expiration date shall be subject to a delinquency fee of an additional \$ 1000 for each application in the package. [See Title 4, California Code of Regulations, Sections 12008(a)(2) and 12345(a).]

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 gambling license.

Send the completed application package with required fees/deposits (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 Establishment (Cardroom):	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"/> INITIAL	
Application Fee:	\$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)
Background Deposit:	\$ 5000-6600 (Owner-Licensee and Endorsed Licensee) \$ 900-1100 (Trust,* Trustee, and Trustor) \$ 750-1500 (Community Property Spouse) <i>Any Unused portion of a background deposit will be refunded.</i>
NOTE: Initial applicants must also attach a completed Supplemental Background Information form, as indicated below:	
Gambling Establishment (Cardroom): Attach a Gambling Establishment Supplemental Information for State Gambling License, BGC-APP-015C (Rev. 04/08) form – <i>Owner-Licensee to submit on behalf of gambling establishment</i>	
Individual Applicants: Attach a Gambling Establishment Owner Applicant – Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 04/08) form	
Entity Applicants: Attach a Gambling Establishment Owner – Entity Supplemental Information for a State Gambling License, BGC-APP-015B (Rev. 04/08) form	
*Trust Applicants: Attach a Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08) form	
<i>* Contingent beneficiaries do not need to submit an application if benefits are contingent upon a specific future event or circumstance.</i>	
<input type="checkbox"/> RENEWAL	
Application Fee:	\$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)
Delinquent Application Fee:	\$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee)
Background Deposit:	\$ 600-725 (Owner-Licensee) Other applicants may be responsible for background deposits upon notification from the Bureau of Gambling Control. <i>Any Unused portion of a 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.

Owner-Licensee: The owner of the gambling enterprise for which the license certificate shall be issued

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

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

Endorsed Licensee: Shall be endorsed on the gambling enterprise license certificate

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

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

SECTION 2a – GAMBLING ESTABLISHMENT (CARDROOM) INFORMATION

Attach a current organization chart for the gambling establishment (cardroom) that includes the owner-licensee, all endorsed licensees, and all key employees.

Gambling Establishment (Cardroom) Name:

Street Address:

Mailing Address (If different than above):

Telephone Number:

()

Fax Number:

()

Website Address (if any):

Hours of Operation:

24 hrs/365 days

Hours as indicated:

	MON	TUES	WED	THURS	FRI	SAT	SUN
Open							
Close							

SECTION 2b – EMPLOYEE WORK PERMIT CERTIFICATION (check one box)

I certify that all gambling enterprise employees (employees of this gambling establishment) have complied with Business and Professions Code section 19912 by either:

Holding a valid gambling enterprise employee work permit issued in accordance with the applicable ordinance of the city or county in which his or her duties are performed, or,

Holding a valid gambling enterprise employee work permit issued by the California Gambling Control Commission.

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 the 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 interest, 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: _____

Contact Numbers: Home: () Work: () Cell: () E-mail Address (if any): _____

Birthdate (mm/dd/yyyy): _____ Gender: Male Female ** Social Security Number (See page 4 for note): _____

SECTION 5- RENEWAL INFORMATION

Complete this section **only** 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 it to the application.

A) Gambling Establishment:		
1. Have there been any changes affecting ownership or controlling interest in this gambling establishment since last filing a State Gambling License application?		<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have there been any changes to the terms (financial or otherwise) of the gambling establishment's lease or a change of landlord since last filing a State Gambling License application?		<input type="checkbox"/> Yes <input type="checkbox"/> No
B) Owner-Licensee or Endorsed Licensee:		
1. Have you been a party to any civil litigation since last filing a State Gambling 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 State Gambling 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 State Gambling 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 State Gambling License application?		<input type="checkbox"/> Yes <input type="checkbox"/> No
C) Complete the following <i>only</i> if renewing as a Trust:		
5 ₁ . 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 State Gambling License application?		<input type="checkbox"/> Yes <input type="checkbox"/> No

SECTION 6- AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION

Last Name:	First Name:	Middle Initial:
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 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 attachments, corrections, changes and other alterations, is true, accurate, and complete.

Name of Individual Completing this Application (typed or printed):	Title:
Signature:	Date:

* 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).

** 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.

GAMBLING ESTABLISHMENT ANNUAL FEE CALCULATION
CGCC-028 (New-08/07)



State of California
California Gambling Control Commission
2399 Gateway Oaks Drive, Suite 400220, Sacramento, CA 95833-4231
(916) 263-0700; Fax (916) 263-0452
www.cgcc.ca.gov

Gambling Establishment Annual Fee Calculation

CGCC-028 (Rev 05/11)

Business and Professions (B&P) Code (B&P) section 19951 establishes two fee schedules for Gambling Establishment owner-licensees to determine the amount of annual fees to be paid to the Commission. The fee schedules are based on the gross revenues of the owner-licensee and the number of authorized tables from at the close of the previous fiscal year. In addition, B&P section 19954 requires each licensee to pay an additional one hundred dollars (\$100) for each authorized table. This fee will be deposited in the Gambling Addiction Program Fund, which is maintained by the Department of Alcohol and Drug Programs.

Annual fees are to be submitted no later than 120 calendar days following the end of the owner-licensee's fiscal year and in conjunction with the annual submission of financial statements. If the annual fee is not paid timely, the Commission may, pursuant to B&P Code section 19955, order the temporary closure of the gambling establishment for up to 90 days. If the annual fee or any portion thereof remains unpaid 90 days after the due date, the gambling license shall be deemed surrendered. [See also, Title 4, California Code of Regulations, Section 12357.]

You must provide truthful information in all of your responses on this form. Any misrepresentation or failure to disclose information requested on this form may constitute sufficient cause for denial or revocation of your state gambling license.

Instructions:

Type or print legibly, in ink, all information requested on this form. **Send the completed form and required annual fees to the California Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 400220, Sacramento, CA 95833-4231.** Please make all checks payable to the California Gambling Control Commission.

Gambling Establishment (Cardroom) Name:

SECTION 1 – GAMBLING ACTIVITIES/REVENUE

List the games offered and the gross revenue attributed to each game for the cardroom's prior fiscal year. Should you need additional space, attach a separate sheet of paper. If any section below does not apply, indicate N/A (not applicable).

Fiscal Year Reporting: / - /
(mm/yy) (mm/yy)

A. Poker Style Games		Revenue
1)		\$
2)		\$
3)		\$
4)		\$
B. California Style Games		Revenue
1)		\$
2)		\$
3)		\$
4)		\$
C. Other Games		Revenue
1)		\$
2)		\$
3)		\$

Gambling Establishment Annual Fee Calculation

SECTION 1 – GAMBLING ACTIVITIES/REVENUE (Continued)	
D. Tournament (Name)	Revenue (Entry Fee)
1)	\$
2)	\$
E. Total Annual Interest Received from the Issuance of Credit:	\$
TOTAL REVENUES LISTED ABOVE (A+B+C+D+E):	\$

SECTION 2a – TABLE ANNUAL FEE SCHEDULES	
Check the appropriate box based on the Total Revenues indicated in Section 1 and follow the instructions to determine the appropriate fee per authorized table.	
<input type="checkbox"/> Annual gross revenues are less than \$200,000: Refer to Table 1 to determine appropriate fee per authorized table. <input type="checkbox"/> Annual gross revenues are \$200,000 or more: To determine the appropriate fee per authorized table: 1) Refer to the cardroom's Number of Authorized Tables range in Table 1 and the corresponding fee. 2) Refer to the cardroom's Gross Revenues range in Table 2 and the corresponding fee. 3) The fee per table will be whichever fee is <u>the greater of the two amounts</u> .	
Table 1	
Number of Authorized Tables ¹	1 – 5 6 – 8 9 – 14 15 – 25 26 – 70 71 or more
Fee Per Table	\$300 \$550 \$1300 \$2700 \$4000 \$4700
¹ Based on the number of authorized tables at the close of the licensee's preceding fiscal year.	
Table 2	
Gross Revenues	\$200,000 – \$499,999 \$500,000 – \$1,999,999 \$2,000,000 – \$9,999,999 \$10,000,000 – \$29,999,999 \$30,000,000 or more
Fee Per Table	\$550 \$1300 \$2700 \$4000 \$4700

SECTION 2b – ANNUAL TABLE FEE CALCULATION	
Fee Per Table (Determined in Section 2a):	\$
Multiply by Cardroom's Number of Authorized Tables:	X
TOTAL ANNUAL Table FEES TO BE SUBMITTED:	\$

SECTION 2c – GAMBLING ADDICTION PROGRAM FUND FEE CALCULATION	
Gambling Addiction Program Fund Fee Per Authorized Table:	\$ 100
Multiply by Cardroom's Number of Authorized Tables:	X
Total FEES FOR DEPOSIT TO THE GAMBLING ADDICTION PROGRAM FUND:	\$

SECTION 2d – TOTAL ANNUAL FEES DUE	
ANNUAL TOTAL FEES DUE (Total from Section 2b and 2c):	\$

Gambling Establishment Annual Fee Calculation

SECTION 3 – DECLARATION / SIGNATURE

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 attachments, corrections, changes and other alterations, is true, accurate, and complete.

Name of Individual Completing this Application form (typed or printed):

Title:

Signature:

Date: