

**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:** 12101, 12120, 12122,  
12126, 12130, 12132,  
12140, 12142, 12200,  
12200.3, 12200.5, 12200.6,  
12200.10B, 12200.14,  
12200.20, 12202, 12203,  
12203A, 12203.2, 12203.3,  
12205.1, 12218, 12218.7,  
12218.8, 12218.9, 12220,  
12220.3, 12220.5, 12220.6,  
12220.14, 12220.20, 12222,  
12223, 12225.1, 12233,  
12235, 12238, 12239,  
12301, 12301.1, 12302,  
12303, 12304, 12305,  
12309, 12310, 12342,  
12345, 12349, 12350,  
12351, 12352, 12354,  
12357, 12358, 12359,  
12370, 12372, 12401,  
12402, 12403, 12404,  
12464, 12480, 12492,  
12496, 12500, 12503,  
12505, 12508, 12591

**Repeal sections:**

**NOTICE OF APPROVAL OF CHANGES  
WITHOUT REGULATORY EFFECT**

**California Code of Regulations, Title 1,  
Section 100**

**OAL File No. 2013-0419-03 N**

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The California Gambling Control Commission (Commission) submitted this change without regulatory effect to amend Title 4 of the California Code of Regulations to implement the Governor's Reorganization Plan No. 2 (GRP No. 2) of 2012. GRP No. 2 made numerous changes to the Gambling Control Act (Business and Professions Code section 19800, et seq.) and sections 326.3 and 326.5 of the Penal Code that consolidated the support, investigatory, auditing and compliance functions of the Commission and transferred these duties to the Department of Justice, Bureau of Gambling Control (Bureau). This amendment makes conforming changes throughout Title 4 by changing references in regulatory text and associated forms from the

Commission to the Bureau, related to the consolidation and reassignment of responsibilities. Other non-substantive grammatical and editorial changes are also included in this amendment.

OAL approves this change without regulatory effect as meeting the requirements of California Code of Regulations, Title 1, Section 100. This change without regulatory effect becomes operative July 1, 2013, in accordance with Governor's Reorganization Plan No. 2 of 2012.

Date: 6/3/2013



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Eric Partington  
Staff Counsel

For: DEBRA M. CORNEZ  
Director

Original: Tina Littleton  
Copy: James Allen

STD. 400 (REV. 01-2013)

<b>OAL FILE NUMBERS</b>	<b>NOTICE FILE NUMBER</b> Z-	<b>REGULATORY ACTION NUMBER</b> 2013-0419-03N	<b>EMERGENCY NUMBER</b>
For use by Office of Administrative Law (OAL) only			
NOTICE		REGULATIONS	

ENDORSED FILED  
 OFFICE OF  
 2013 JUN -3 PM 2:12  
  
 TINA BOWEN  
 SECRETARY OF STATE

2013 APR 19 PM 4:18  
 OFFICE OF  
 ADMINISTRATIVE LAW

**AGENCY WITH RULEMAKING AUTHORITY**  
 California Gambling Control Commission

**AGENCY FILE NUMBER (if any)**  
 CGCC-GCA-2013-01-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)	
<b>OAL USE ONLY</b>	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) Implementation of the Governors Reorganization Plan No. 2 of 2012	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)	
<b>SECTION(S) AFFECTED (List all section number(s) individually. Attach additional sheet if needed.)</b>	ADOPT
	AMEND (Please see attachment.)
TITLE(S) 4	REPEAL

3. TYPE OF FILING			
<input 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 checked="" type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100)
<input type="checkbox"/> Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §§11349.3, 11349.4)	<input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1)	<input type="checkbox"/> File & Print	<input type="checkbox"/> Print Only
<input type="checkbox"/> Emergency (Gov. Code, §11346.1(b))		<input type="checkbox"/> Other (Specify)	

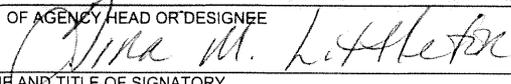
4. ALL BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs. title 1, §44 and Gov. Code §11347.1)  
 N/A

5. EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100)  
 Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a))  
 Effective on filing with Secretary of State  
 \$100 Changes Without Regulatory Effect  
 Effective other (Specify) 7/1/2013 per agency request

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)263-4024	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 	DATE 4/16/2013
TYPED NAME AND TITLE OF SIGNATORY TINA M. LITTLETON, Executive Director	

For use by Office of Administrative Law (OAL) only  
 ENDORSED APPROVED  
 JUN 03 2013  
 Office of Administrative Law

**NOTICE PUBLICATION/REGULATIONS SUBMISSION (STD 400)**

**CALIFORNIA GAMBLING CONTROL COMMISSION  
CGCC-GCA-2013-01-N**

**PART B. SUBMISSION OF REGULATIONS**

**2. SECTIONS AFFECTED**

**Amend §§** 12101, 12120, 12122, 12126, 12130, 12132, 12140, 12142, 12200, 12200.3, 12200.5, 12200.6, 12200.10B, 12200.14, 12200.20, 12202, 12203, 12203A, 12203.2, 12203.3, 12205.1, 12218, 12218.7, 12218.8, 12218.9, 12220, 12220.3, 12220.5, 12220.6, 12220.14, 12220.20, 12222, 12223, 12225.1, 12233, 12235, 12238, 12239, 12301, 12301.1, 12302, 12303, 12304, 12305, 12309, 12310, 12342, 12345, 12349, 12350, 12351, 12352, 12354, 12357, 12358, 12359, 12370, 12372, 12401, 12402, 12403, 12404, 12464, 12480, 12492, 12496, 12500, 12503, 12505, 12508, and 12591

1 CALIFORNIA GAMBLING CONTROL COMMISSION  
2 IMPLEMENTATION OF GOVERNOR'S REORGANIZATION PLAN NO. 2 OF 2012  
3 CGCC-GCA-2013-01-N  
4

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 2. WORK PERMITS.

11 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

12 § 12101. Forms.

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

14 (a) "Renewal Work Permit Application Form" means the "Application for Work Permit  
15 Renewal" ~~CGCC~~ BGC-023 (Rev. ~~06/12~~ 04/13) which is hereby incorporated by reference.

16 (b) "Replacement Badge Application" means the "Application for Replacement Work Permit  
17 Badge" ~~CGCC~~ BGC-026 (Rev. ~~05/11~~ 04/13) which is hereby incorporated by reference.

18 (c) "Transfer of Work Permit Application Form" means the "Application for Transfer of  
19 Work Permit" ~~CGCC~~ BGC-022 (Rev. ~~05/11~~ 04/13) which is hereby incorporated by reference.

20 (d) "Work Permit Application Form" means the "Application for Initial Regular Work  
21 Permit/Temporary Work Permit" ~~CGCC~~ BGC-021 (Rev. ~~06/12~~ 04/13) which is hereby  
22 incorporated by reference.

23 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.  
24 Reference: Sections 10, 19800, 19811, 19816 and 19912, Business and Professions Code.  
25

26 ARTICLE 3. TEMPORARY WORK PERMITS.

27 § 12120. Temporary Work Permits.

28 (a) While the Bureau is processing an application for a regular work permit, and subject to  
29 Section 12122, the Executive Director, or any employee of the Commission designated in  
30 writing by the Executive Director, may issue a temporary work permit pursuant to this article,  
31 which shall be valid for no more than 120 days. The duration of the temporary work permit shall

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1 not substantially exceed the estimated time to process and consider the application for a regular  
2 work permit, but may be extended if necessary; provided that in no event shall a temporary work  
3 permit be valid for more than 120 days. Any temporary work permit issued in accordance with  
4 this article shall not create a property right in its holder. In order to protect the public, each  
5 temporary work permit shall be issued subject to the conditions specified in Section 12128.

6 (b) Upon issuance or denial of a regular work permit by the Commission, the temporary work  
7 permit previously issued shall become void and shall not be used thereafter.

8 (c) If the regular work permit is not issued within 120 days of the issuance of the temporary  
9 work permit, the applicant may submit an application for a new temporary work permit to the  
10 ~~Commission~~ Bureau. The ~~Executive Director~~ Bureau shall waive the fee for the new temporary  
11 work permit upon request of the applicant.

12 (d) In the event that the regular work permit is issued prior to any action ~~by the Executive~~  
13 ~~Director~~ on the application for the temporary work permit, the application for the temporary  
14 work permit shall be deemed withdrawn and no further action will be taken on it.

15 (e) If an application for a temporary work permit is incomplete, the ~~Executive Director~~  
16 Bureau may request in writing any information needed in order to complete the application. The  
17 ~~Executive Director~~ Bureau shall allow the applicant 30 days in which to furnish the information.  
18 If the applicant fails to respond to the request, the temporary work permit application shall be  
19 deemed abandoned and no further action will be taken on it.

20 (f) If the applicant submits a request for withdrawal of his or her application for a regular  
21 work permit, the application for a temporary work permit shall be deemed abandoned and no  
22 further action will be taken ~~on it by the Executive Director~~.

23 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.  
24 Reference: Sections 10, 19801(j), 19811, 19816, 19866, 19910 and 19912, Business and Professions Code.

25  
26 **§ 12122. Criteria for the Issuance of Temporary Work Permits.**

27 The Executive Director shall issue a temporary work permit if all of the following  
28 requirements are met:

29 (a) The applicant has applied for a temporary work permit by completing the ~~Commission's~~  
30 Bureau's work permit application form, BGC-021, requesting issuance of a temporary work  
31 permit by checking the appropriate box on the application form, and submitting with the  
32 application a nonrefundable temporary work permit fee as specified in paragraph (2) of

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1 subsection (c) of Section 12008, in addition to the regular work permit fee specified in paragraph  
2 (1) of subsection (c) of Section 12008.

3 (b) The applicant has supplied all of the following to the ~~Commission~~ Bureau:

4 (1) The applicant's name, mailing address, residence street address (if different than mailing  
5 address), telephone number, e-mail address (optional), and date of birth.

6 (2) A two by two inch color passport-style photograph taken no more than 30 days before  
7 submission to the ~~Commission~~ Bureau of the work permit application, which shall be in addition  
8 to the photograph submitted for the regular work permit.

9 (3) Information concerning the gambling establishment in which the position is available:  
10 the name of the gambling establishment, mailing address, voice telephone number, facsimile  
11 number (if any), e-mail address (if any), the job title of the position, and the name of the owner,  
12 authorized agent, or hiring authority of the establishment.

13 (4) A Request for Live Scan Service (California Department of Justice Form BCII 8016, rev.  
14 4/01,) confirming that the applicant has submitted his or her fingerprints to the BCII for an  
15 automated background check and response.

16 (c) Neither the application in its entirety nor the results of the investigation of the applicant  
17 reported by the Bureau to the Commission up until the date of issuance of the temporary work  
18 permit discloses any of the following:

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

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

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

24 (B) A misdemeanor involving gaming or gaming-related activities prohibited by Chapter 9  
25 (commencing with section 319) and Chapter 10 (commencing with section 330) of Title 9 of Part  
26 1 of the Penal Code.

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

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

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

31 (3) The applicant has had an application for a gambling license or work permit denied.

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1 (4) The applicant has had a gambling license or work permit revoked.

2 (5) The applicant is disqualified under the Act or other provisions of law from holding a  
3 work permit.

4 (d) The Bureau has reported one of the following to the Commission concerning the Request  
5 for Live Scan Service submitted to the BCII:

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

8 (2) No response from the BCII or Federal authorities has been received within the time  
9 period set forth in subsection (b) of Section 12126.

10 (e) The application and other information obtained during the review does not disclose any  
11 factor indicating that approval of the temporary work permit may in the judgment of the  
12 Executive Director present a danger to the public or to the reputation of controlled gambling in  
13 this state.

14 (f) The applicant is not ineligible under Business and Professions Code section 19859,  
15 subdivision (b), (e), (f), or (g), the terms of which are incorporated by reference and hereby  
16 expressly made applicable to applications for temporary work permits.

17 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.  
18 Reference: Sections 19811, 19816, 19823, 19859 and 19912, Business and Professions Code.

19

20 **§ 12126. Processing Times for Temporary Work Permit.**

21 Applications for issuance of a temporary work permit by the Executive Director shall be  
22 processed within the following time frames:

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

27 (b) A temporary work permit shall be either granted or denied within no more than 15  
28 working days after the filing of a complete application.

29 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and  
30 Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections  
31 19824(f) and 19912, Business and Professions Code.

32

33 **ARTICLE 4. CHANGE IN PLACE OF EMPLOYMENT – WORK PERMIT TRANSFER.**

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1    **§ 12130. Change in Place of Employment – Work Permit Transfer.**

2       (a) The holder of a currently valid regular work permit may apply for a new work permit for  
3 a different place of employment in accordance with this article.

4       (b) The ~~Executive Director~~ Bureau shall ~~issue~~ provide a regular work permit badge to an  
5 applicant for a new place of employment if all of the following conditions are met:

6       (1) The applicant has applied for a work permit transfer by completing the ~~Commission's~~  
7 Bureau's transfer of work permit application form, BGC-022.

8       (2) The applicant has supplied all of the following to the ~~Commission~~ Bureau:

9       (A) The applicant's name, mailing address, residence street address (if different than mailing  
10 address), telephone number, e-mail address (optional), and date of birth.

11       (B) A two by two inch color passport-style photograph taken no more than 30 days before  
12 submission to the ~~Commission~~ Bureau of the work permit transfer request.

13       (C) A nonrefundable \$25.00 fee payable to the ~~Commission~~ Bureau.

14       (D) Information concerning the new employer in which the position is available: the name of  
15 the gambling establishment, mailing address, voice telephone number, facsimile number (if any),  
16 e-mail address (if any), the job title of the position, and the name of the owner, authorized agent,  
17 or hiring authority of the establishment.

18       (3) The applicant possesses a valid work permit issued by the Commission ~~or the Bureau~~ that  
19 has been issued or renewed within a two-year period immediately preceding the date that the  
20 work permit transfer application is received by the ~~Commission~~ Bureau. The applicant shall  
21 provide the ~~Commission~~ Bureau with a photocopy of the valid work permit.

22       (4) The applicant seeks to change his or her place of employment from the gambling  
23 establishment for which the valid work permit was issued to a different licensed gambling  
24 establishment for which a work permit issued by the Commission is required by the Act.

25       (5) The ~~Executive Director~~ Bureau is not aware of any cause for revocation of the work  
26 permit.

27       (c) A work permit ~~issued~~ provided pursuant to this section shall be valid during the unexpired  
28 term of the previously issued work permit.

29       ~~(d) If a work permit is issued pursuant to this section, the Executive Director shall promptly~~  
30 ~~inform the Bureau in writing of this decision.~~

31       (ed) Upon ~~issuance~~ the providing of a regular work permit pursuant to this section for the

1 applicant's new place of employment, the regular work permit ~~issued~~ for the previous employer  
2 shall become void and shall not be used thereafter.

3 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.  
4 Reference: Sections 10, 19801, ~~19816, 19824(f)~~ 19826(a) and 19912~~(d)~~, Business and Professions Code.

5

6 **§ 12132. Processing Times for Application to Change Place of Employment.**

7 Applications submitted pursuant to section 12130 shall be processed within the following  
8 time frames:

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

13 (b) A work permit shall be either granted or denied within no more than 15 working days  
14 after the filing of a complete application.

15 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and  
16 Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections 19824  
17 and 19912, Business and Professions Code.

18

19 **ARTICLE 5. REPLACEMENT WORK PERMIT BADGES.**

20 **§ 12140. Replacement Work Permit Badges.**

21 (a) The ~~Executive Director~~ Bureau shall ~~issue~~ provide a replacement work permit badge to a  
22 gambling enterprise employee if all of the following conditions are met:

23 (1) The applicant has previously been issued a currently valid work permit.

24 (2) The applicant has applied for a replacement work permit badge by completing the  
25 ~~Commission's~~ Bureau's replacement badge application, BGC-026.

26 (3) The applicant has supplied all of the following to the ~~Commission~~ Bureau:

27 (A) The applicant's name, mailing address, residence street address (if different than mailing  
28 address), telephone number, e-mail address (optional), and date of birth.

29 (B) A two by two inch color passport-style photograph taken no more than 30 days before  
30 submission to the ~~Commission~~ Bureau of the work permit transfer request.

31 (C) A nonrefundable \$25.00 fee payable to the ~~Commission~~ Bureau.

32 (D) Information concerning the gambling establishment for which the replacement badge is  
33 requested: the name of the gambling establishment, mailing address, voice telephone number,

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1 facsimile number (if any), e-mail address (if any), the job title of the position, and the name of  
2 the owner, authorizing agent, or hiring authority of the establishment.

3 (4) The ~~Executive Director~~ Bureau is not aware of any cause for revocation of the work  
4 permit.

5 (b) A replacement work permit badge ~~issued~~ provided pursuant to this section shall be valid  
6 during the unexpired term of the previously issued work permit.

7 (c) Upon ~~issuance~~ the providing of the replacement work permit badge, the previously ~~issued~~  
8 work permit badge for that gambling establishment shall become void and shall not be used  
9 thereafter.

10 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19912, Business and Professions Code.  
11 Reference: Sections 10, 19801, ~~19816, 19824(f)~~ 19826(a) and 19912, Business and Professions Code.

12

13 **§ 12142. Processing Times for Application to Replace Work Permit Badge.**

14 Applications submitted pursuant to section 12140 shall be processed within the following  
15 time frames:

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

20 (b) A replacement work permit badge shall be either ~~issued~~ provided or denied within no  
21 more than 15 working days after the filing of a complete application.

22 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code; and  
23 Section 15376, Government Code. Reference: Sections 15375 and 15376, Government Code; and Sections 19824  
24 and 19912, Business and Professions Code.

25

26 **CHAPTER 2.1. THIRD-PARTY PROVIDERS OF PROPOSITION PLAYER SERVICES.**

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

28 **§ 12200. Definitions.**

29 (a) Except as otherwise provided in Section 12002 and in subsection (b) of this regulation,  
30 the definitions in Business and Professions Code section 19805 shall govern the construction of  
31 this chapter.

32 (b) As used in this chapter:

33 (1) “Additional Badge” means a badge ~~issued by the Commission~~ provided pursuant to

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1 Section 12200.6, which authorizes an individual registrant or licensee to be simultaneously  
2 employed by more than one primary owner.

3 (2) “Applicant” means an applicant for registration or licensing under this chapter, including  
4 in the case of an owner that is a corporation, partnership, or any other business entity, all persons  
5 whose registrations or licenses are required to be endorsed upon the primary owner's registration  
6 or license certificate.

7 (3) “Authorized player” means an individual associated with a particular primary owner  
8 whose badge authorizes play in a controlled game on behalf of the primary owner, including the  
9 primary owner, all other owners, all supervisors, and all players. Only authorized players may  
10 perform the functions of a supervisor or player.

11 (4) “Badge” means a form of identification issued by the Commission identifying a registrant  
12 or licensee.

13 (5) [Reserved]

14 (6) [Reserved]

15 (7) [Reserved]

16 (8) [Reserved]

17 (9) [Reserved]

18 (10) “Funding source” means any person that provides financing, including but not limited to  
19 loans, advances, any other form of credit, chips, or any other representation or thing of value, to  
20 an owner-registrant or owner-licensee, other than individual registrants under Subsection (d) of  
21 Section 12201 or individual licensees. “Funding source” does not include any federally or state  
22 chartered lending institution or any of the following entities that in the aggregate owns at least  
23 one hundred million dollars (\$100,000,000) of securities of issuers that are not affiliated with the  
24 entity:

25 (A) Any federally-regulated or state-regulated bank or savings association or other federally-  
26 or state-regulated lending institution.

27 (B) Any company that is organized as an insurance company, the primary and predominant  
28 business activity of which is the writing of insurance or the reinsuring of risks underwritten by  
29 insurance companies, and that is subject to supervision by the Insurance Commissioner of  
30 California, or a similar official or agency of another state.

31 (C) Any investment company registered under the federal Investment Company Act of 1940

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1 (15 U.S.C. sec. 80a-1 et seq.).

2 (D) Any retirement plan established and maintained by the United States, an agency or  
3 instrumentality thereof, or by a state, its political subdivisions, or any agency or instrumentality  
4 of a state or its political subdivisions, for the benefit of its employees.

5 (E) Any employee benefit plan within the meaning of Title I of the federal Employee  
6 Retirement Income Security Act of 1974 (29 U.S.C. sec. 1001 et seq.).

7 (F) Any securities dealer registered pursuant to the federal Securities Exchange Act of 1934  
8 (15 U.S.C. sec. 78a et seq.).

9 (G) Any entity, all of the equity owners of which individually meet the criteria of this  
10 paragraph (10).

11 (11) [Reserved]

12 (12) "License" means a license issued by the Commission pursuant to Article 3 of this  
13 chapter.

14 (A) There are four license categories entitling the holder to provide third-party proposition  
15 player services:

- 16 1. Primary owner,
- 17 2. Owner,
- 18 3. Supervisor, and
- 19 4. Player.

20 (B) All "other employees" (as defined in this section) of the primary owner who are present  
21 in the gambling establishment during the provision of proposition player services under the  
22 primary owner's proposition player contract shall be licensed as "other employee" and shall be  
23 required to submit an application and be approved or denied based upon the same criteria that  
24 apply to a player.

25 (C) A primary owner and an owner may also perform the functions of a supervisor or player,  
26 and the holder of a supervisor's license may also perform the functions of a player.

27 (D) No licensee, other than an owner, supervisor, or player, may possess, direct, or otherwise  
28 control currency, chips, or other wagering instruments used for play in the performance of a  
29 proposition player contract.

30 (13) "Licensee" means a person having a valid license.

31 (14) "Organization chart" means a chart that identifies the names and titles of all owners, as

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1 defined in Section 12200, supervisors, and any persons having significant influence over the  
2 operation of the entity or provision of proposition player services; the percentage of ownership,  
3 if any, held by each identified individual or entity; the reporting relationship for each identified  
4 individual or entity; and the job title and number of persons in each of the job titles that report to  
5 each individual or entity identified on the organization chart.

6 (15) “Other employee” means an individual employed by a primary owner who is not  
7 authorized to provide proposition player services. “Other employee” does not include any owner,  
8 any supervisor, or any officer or director of a primary owner that is a corporation. An individual  
9 registered or licensed as an “other employee” may not function as a player unless and until that  
10 individual applies for and obtains registration or licensure as a player.

11 (16) “Owner” includes all of the following:

12 (A) A sole proprietor, corporation, partnership, or other business entity that provides or  
13 proposes to provide third party proposition player services as an independent contractor in a  
14 gambling establishment,

15 (B) Any individual specified in Business and Professions Code section 19852, subdivisions  
16 (a) through (h), and

17 (C) Any funding source.

18 (17) “Playing Book” means a record documenting each session of play by a third-party  
19 proposition player.

20 (18) “Primary Owner” means the owner specified in subparagraph (A) of paragraph (16) of  
21 this subsection.

22 (19) “Proposition player” or “player” means an individual other than an owner or a  
23 supervisor who provides third-party proposition player services in a controlled game.

24 (20) “Proposition player contract” or “contract” means a written contract, the terms of which  
25 have been reviewed and approved by the Bureau, between the holder of a state gambling license  
26 and a primary owner acting as an independent contractor for the provision of third-party  
27 proposition player services in the gambling establishment.

28 (21) “Rebate” means a partial return by an authorized proposition player of chips or money  
29 to a patron who has lost the chips or money to the authorized player through play in a controlled  
30 game at a gambling establishment.

31 (22) “Registrant” means a person having a valid registration.

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1 (23) "Registration" means a registration issued by the Commission pursuant to this chapter.

2 (A) There are four registration categories entitling the holder to provide third-party  
3 proposition player services: primary owner, owner, supervisor, and player.

4 (B) All other employees of the primary owner who are present in the gambling establishment  
5 during the provision of proposition player services under the primary owner's proposition player  
6 contract shall be registered as "other employee" and shall be required to submit an application,  
7 which application shall be approved or denied based upon the same criteria that apply to a  
8 player.

9 (C) A primary owner and an owner may also perform the functions of a supervisor or player,  
10 and the holder of a supervisor's registration may also perform the functions of a player. No  
11 registrant, other than an owner, supervisor, or player, may possess, direct, or otherwise control  
12 currency, chips, or other wagering instruments used for play in the performance of a proposition  
13 player contract.

14 (24) "Reinstatement Badge" means a badge ~~issued by the Commission~~ provided to a player, a  
15 supervisor, or an "other employee" pursuant to Section 12200.6 which authorizes an individual  
16 registrant or licensee who has ceased to be employed by a primary owner to return to work for  
17 that primary owner.

18 (25) "Session of play" as used in Section 12200.13 ("Playing Book") means a continuous  
19 workshift of third-party proposition player services provided by an individual proposition player.

20 (26) "Supervisor" means an individual who, in addition to any supervisory responsibilities,  
21 has authority, on behalf of the primary owner, to provide or direct the distribution of currency,  
22 chips, or other wagering instruments to players engaged in the provision of third-party  
23 proposition player services in a gambling establishment.

24 (27) "Supplemental information package" means all of the documentation and deposits  
25 required by each of the following forms, ~~(which are hereby incorporated by reference)~~, to be  
26 submitted to the ~~Commission~~ Bureau in response to a summons issued by the Bureau pursuant to  
27 Section 12205.1:

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

31 (B) Owners, as defined in Section 12200, that are not a natural person shall complete the

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1 form Level III Supplemental Information-Business (BGC-APP-034B (Rev. 12/11)) for a level III  
2 investigation.

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

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

7 (28) “Third-party proposition player services” or “proposition player services” means  
8 services provided in and to the house under any written, oral, or implied agreement with the  
9 house, which services include play as a participant in any controlled game that has a rotating  
10 player-dealer position as permitted by Penal Code section 330.11. “Proposition player services”  
11 also includes the services of any supervisors, as specified in paragraph (26) of this subsection.

12 (29) “TPP” means “third party proposition.” This abbreviation is used in Section 12200.3 and  
13 in prescribing titles to be used on registrant and licensee badges, for example, “TPP Player  
14 Registrant.”

15 (30) “Transfer Badge” means a badge ~~issued by the Commission~~ provided pursuant Section  
16 12200.6 which authorizes an individual registrant or licensee to work for a subsequent primary  
17 owner after having ceased to work for an initial primary owner.

18 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections  
19 19805 and 19984, Business and Professions Code.

20

21 **§ 12200.3. Badge.**

22 (a) All individuals licensed or registered as primary owners, owners, supervisors, players, or  
23 other employees of the primary owner shall wear in a prominently visible location a numbered  
24 badge issued by the Commission when present in a gambling establishment during the provision  
25 of proposition player services under the proposition player contract that covers the licensee or  
26 registrant.

27 (b) A badge authorizing play in a controlled game shall be of a distinctly different color than  
28 a badge that identifies a registrant or licensee, but does not authorize play. If an individual  
29 ceases to be employed by or affiliated with a particular primary owner, that individual shall  
30 surrender his or her badge to the primary owner. The primary owner shall notify ~~the~~  
31 ~~Commission and~~ the Bureau in writing within ten (10) days of the change in status using the  
32 Bureau’s Change in Status Form for a Third Party Proposition Player Services Registration

Underline denotes new text. ~~Strikethrough~~ denotes deleted text.

1 (~~CGCC-441 (Rev. 05/11)~~BGC-441 (Rev. 04/13)), which is hereby incorporated by reference;  
2 with this form, the primary owner shall submit the registrant's or licensee's badge.

3 (c) The words "TPP PLAYER REGISTRANT," "NON-PLAYER TPP REGISTRANT,"  
4 "TPP PLAYER LICENSEE," OR "NON-PLAYER TPP PLAYER LICENSEE" in capital letters  
5 shall be prominently displayed on the front of the badge. The first name of the registrant or  
6 licensee shall appear on the front of the badge. The full name of the registrant or licensee shall  
7 be printed on the reverse side of the badge, together with the registrant's or licensee's category of  
8 registration or licensing as an owner, supervisor, player, or other employee.

9 (d) On the front of the badge, there shall be displayed the picture of the registrant or licensee  
10 submitted with the application, the badge number, and expiration date. On the front of the  
11 badge, there shall be displayed the name of the primary owner employing the registrant or  
12 licensee, which shall be the fictitious business name, if any, established pursuant to Chapter 5  
13 (commencing with Section 17900) of Part 3 of Division 7 of the Business and Professions Code.

14 (e) Upon renewal of each registration and upon issuance of each registration or license,  
15 authorized players shall be issued a badge of one color; individuals not authorized to play shall  
16 be issued a badge of a distinctly different color. Any non-player badge issued prior to July 1,  
17 2004, shall be re-issued upon renewal pursuant to subsection (b), so that each registrant receives  
18 either a player or non-player badge.

19 (f) An individual registered or licensed as a player with a particular primary owner shall  
20 apply for and obtain a new badge pursuant to Section 12200.6 before beginning to work for an  
21 additional or different primary owner.

22 (g) Registrations, licenses, and badges are specific to the primary owner. Third party  
23 proposition player services cannot be provided without first applying for and obtaining a  
24 registration, license, or badge.

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

27

## 28 **§ 12200.5. Replacement of Badge.**

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

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

32 (2) The request is complete and has been submitted on the Bureau's form Request for

Underline denotes new text. ~~Strikethrough~~ denotes deleted text.

1 Replacement Third Party Proposition Player Services Badge (~~CGCC 438, Rev. 05/11~~BGC-438  
2 (Rev. 04/13)), which is hereby incorporated by reference.

3 (3) The requester has supplied all of the following to the ~~Commission~~ Bureau:

4 (A) A nonrefundable twenty-five dollar (\$25) fee, payable to the ~~Commission~~ Bureau.

5 (B) The category of the position and information concerning the primary owner for which the  
6 replacement badge is requested: the name of the primary owner, mailing address, voice  
7 telephone number, facsimile number (if any), and email address (if any).

8 (C) A statement under penalty of perjury that a replacement badge is needed due to a name  
9 change or to loss or destruction of the originally issued badge.

10 (b) A replacement badge ~~issued~~ provided pursuant to this section shall be valid during the  
11 unexpired term of the previously issued registration or license.

12 (c) Upon ~~issuance~~ the providing of the replacement badge, the previously ~~issued~~ badge for  
13 that third-party proposition services provider shall become void and shall not be used.

14 (d) Replacement badges shall be ~~issued~~ provided by the ~~Commission~~ Bureau within seven (7)  
15 days of receipt of a complete request.

16 Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19984, Business and Professions Code.  
17 Reference: Sections 19826, 19864 and 19984, Business and Professions Code.

18

19 **§ 12200.6. Transfer or Reinstatement of Player Registration or License; Issuance of**  
20 **Additional Badge.**

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

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

25 (2) The request is complete and has been submitted on the Bureau's form Request for an  
26 Additional/Transfer/Reinstatement Third Party Proposition Player Services Registration/License  
27 (~~CGCC-439, Rev. 05/11~~BGC-439 (Rev. 04/13)), which is hereby incorporated by reference.

28 (3) The requester has supplied all of the following to the ~~Commission~~ Bureau:

29 (A) A nonrefundable one hundred and twenty-five dollar (\$125) fee payable to the  
30 ~~Commission~~ Bureau.

31 (B) The names as applicable of the current and future primary owner (or previous owner or  
32 additional owner), mailing address, voice telephone number, facsimile number (if any), and

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1 email address (if any).

2 (b) A badge ~~issued~~ provided pursuant to this section shall be valid during the unexpired term  
3 of the previously issued registration or license.

4 (c) Upon ~~issuance~~ the providing of the transfer badge, the previous~~ly issued~~ badge for that  
5 third-party proposition services provider shall become void and shall not be used.

6 (d) Transfer, additional, and reinstatement badges shall be ~~issued~~ provided by the  
7 ~~Commission~~ Bureau within seven (7) days of receipt of a complete request.

8 Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19984, Business and Professions Code.

9 Reference: Sections 19826, 19864 and 19984, Business and Professions Code.

10

11 **§ 12200.10B. Review and Approval of Amendments to Proposition Player Contracts.**

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

21 (b) No amendment changing any of the contract terms referred to in Section 12200.7, other  
22 than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective during the term  
23 of a proposition player contract without the prior written approval of the Bureau. If any  
24 amendment is made to a proposition player contract term specified in paragraphs (3), (4), or (6)  
25 of subsection (b) of Section 12200.7, both parties to the contract shall notify the Commission and  
26 Bureau in writing of the amendment within ten (10) days of the execution thereof by the parties  
27 to the contract.

28 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections  
29 19951 and 19984, Business and Professions Code.

30

31 **§ 12200.14. Organization Chart and Employee Report.**

32 (a) Each licensed primary owner shall submit to the ~~Commission~~ Bureau, pursuant to the

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1 schedule specified in subsection (a) of Section 12200.20, a completed Bureau form Third Party  
2 Proposition Player Services Employee Report (~~CGCC-440 (Rev. 05/11)~~BGC-440 (Rev. 04/13)),  
3 which is hereby incorporated by reference. Upon renewal of the license, each licensed primary  
4 owner shall submit an updated organization chart to the ~~Commission~~ Bureau.

5 (b) Upon renewal of the registration, each registered primary owner shall submit an updated  
6 organization chart and a completed Bureau form Third Party Proposition Player Services  
7 Employee Report (~~CGCC-440 (Rev. 05/11)~~BGC-440) to the ~~Commission~~ Bureau.

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

10 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections  
11 19826, 19864 and 19984(b), Business and Professions Code.

12

13 **§ 12200.20. Annual Fee.**

14 (a) No later than September 1 of each year, each registered or licensed primary owner shall  
15 submit to the ~~Commission~~ Bureau the annual fee set forth in subsection (c) of this section, based  
16 on the total number of registrations or licenses affiliated with the primary owner on the  
17 immediately preceding August 1. The payment due September 1 of each year shall be based on  
18 the total number of registrations or licenses affiliated with the primary owner on August 1 that  
19 same year.

20 (b) Within 30 days of approval of any request to convert a registration to a license, the  
21 ~~Commission~~ Bureau shall notify the licensee of any additional fees owed for the term of the  
22 license granted, allowing pro rata credit on a monthly basis for any annual fee paid in connection  
23 with a registration that has not expired.

24 (c) The annual fee shall be computed as follows:

25 (1) Beginning September 1, 2004, each primary owner shall pay the annual sum of two  
26 thousand fifty dollars (\$2050) per registrant or licensee. This fee shall be retroactive to  
27 September 1, 2004. Any overpayment of fees previously paid that cannot be applied against an  
28 installment payment that is due shall be credited against the following year's annual fee  
29 obligation, unless the primary owner no later than February 1, 2005 submits a written refund  
30 request to the ~~Executive Director~~ Bureau.

31 (2) Beginning September 1, 2005, each primary owner shall pay the annual sum of two  
32 thousand three hundred dollars (\$2300) per registrant or licensee, less any applicable credit that

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1 may apply from paragraph (1) of this subsection.

2 (3) Beginning September 1, 2006, and thereafter, each primary owner shall pay the annual  
3 sum of two thousand eight hundred dollars (\$2800) per registrant or licensee, less any applicable  
4 credit that may apply from paragraph (1) of this subsection.

5 (d)(1) The annual fee for each registered primary owner may be paid in installments. The  
6 primary owner must submit a written request to the ~~Executive Director~~ Bureau to make  
7 installment payments prior to August 1 of that same year. Upon approval by the Executive  
8 Director, installment payments submitted prior to licensure shall be made as follows: one-third  
9 of the annual fee to be submitted no later than September 1, one-third no later than December 1,  
10 and the balance no later than March 1.

11 (2) The annual fee for each licensed primary owner may be paid in installments. The  
12 primary owner must submit a written request to the ~~Executive Director~~ Bureau to make  
13 installment payments 120 days prior to the expiration of the license. Upon approval by the  
14 Executive Director, installment payments submitted after conversion to licensure shall be made  
15 as follows: one-third of the annual fee to be submitted prior to issuance of the license, one-third  
16 to be submitted three months thereafter, and one-third to be submitted six (6) months thereafter.

17 (e) Refunds shall not be available in the event of a subsequent decrease in the number of  
18 registrants or licensees upon which the annual fee payment was based.

19 (f)(1) Following assessment of the annual fee, if the primary owner increases the number of  
20 its registrants or licensees above the number upon which the annual fee assessment was based,  
21 the primary owner shall submit to the ~~Commission~~ Bureau both the required application fee for  
22 the additional registrants or licensees, and the additional per player annual fee set forth in  
23 subsection (c) of this section. No new badges shall be issued until the ~~Commission~~ Bureau has  
24 received all fees required by this subsection.

25 (2) Annual fees due under this subsection shall be prorated on a monthly basis.

26 (3) Annual fees due under this subsection (3) may be paid in installments, on the conditions that  
27 the installment payment request is submitted in writing, that one-third of the fees are paid with  
28 the application for additional registrants or licensees, and that two subsequent equal payments  
29 are paid at reasonable intervals prior to expiration of the applicable term, subject to the approval  
30 of the Executive Director.

31 (g) No renewal application shall be approved by the Commission until any delinquent annual

1 fees have been paid in full.

2 (h) No application for a contract extension shall be approved by the Bureau until any  
3 delinquent annual fees have been paid in full.

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

ARTICLE 2. REGISTRATION.

8 **§ 12202. Application for Registration.**

9 (a) The application for registration shall designate whether the registration is requested as a  
10 primary owner, owner, supervisor, player, or other employee. The application shall be signed by  
11 both the individual applicant and the designated agent, or, if the applicant is a business entity, by  
12 the chief executive officer or other designated officer of the business entity.

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

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

16 (2) A completed Bureau Application for Third Party Proposition Player Services Registration  
17 (~~CGCC-435 (Rev. 05/11)~~BGC-435 (Rev. 04/13)), which is hereby incorporated by reference.

18 (3) A properly completed Request for Live Scan Service (California Department of Justice  
19 Form BCII 8016, rev. 4/01) for an applicant that is an individual, confirming that the applicant's  
20 fingerprints have been submitted to the BCII for an automated background check and response.

21 (4) Two 2x2 inch color passport-style photographs of an applicant that is an individual taken  
22 no more than one (1) year before submission of the application to the ~~Commission~~ Bureau.

23 (c) An applicant that is an individual shall complete and submit the Bureau form Third Party  
24 Proposition Player Services Registration Supplemental Information (~~CGCC-436 (Rev.~~  
25 ~~06/12)~~BGC-436 (Rev. 04/13)), which is hereby incorporated by reference.

26 (d) An applicant for registration or for any approval required by this chapter shall make full  
27 and true disclosure of all information to the ~~Commission and~~ Bureau as required for the  
28 application and as requested by the Commission or Bureau to carry out the policies of this state  
29 relating to controlled gambling.

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

32

1    **§ 12203. Processing of Applications for Initial Registration.**

2       (a) The ~~Executive Director~~ Bureau shall notify the applicant in writing within 20 days of  
3 receiving the application, that the application or resubmitted application is complete and  
4 accepted for filing, or that the application or resubmitted application is deficient. If an  
5 application for registration is incomplete, the ~~Executive Director~~ Bureau shall request in writing  
6 any information needed in order to complete the application. The applicant shall be permitted 30  
7 days in which to furnish the information. If the applicant fails to respond to the request, the  
8 application shall be deemed abandoned and no further action will be taken on it.

9       (b) Upon determination that an application for registration is complete, the application shall  
10 be processed by the Bureau within 60 days and the Executive Director shall either issue the  
11 registration and badge applied for or shall notify the applicant of denial and the grounds therefor  
12 under Section 12204.

13       (c) If the applicant submits a request for withdrawal of his or her application to the  
14 Commission, the application shall be deemed abandoned and no further action will be taken on  
15 it.

16       (d) The ~~Commission~~ Bureau shall provide written notice of abandonment of an application to  
17 the applicant and the Commission. If the application is for registration as a supervisor, player, or  
18 other employee, the ~~Commission~~ Bureau shall also provide written notice of abandonment of the  
19 application to the primary owner.

20       (e) Nothing in this chapter shall require the Commission or Bureau to divulge to the applicant  
21 any confidential information received from any law enforcement agency or any information  
22 received from any person with assurances that the information would be maintained as  
23 confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any  
24 information that might reveal the identity of any source of information or jeopardize the safety of  
25 any person.

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

28

29    **§ 12203A. Processing of Applications for Renewal of Registration.**

30       (a) Renewal applications for owners shall be received no later than 120 days prior to the  
31 expiration of the current registration, together with the application fee specified in paragraph (1)  
32 of subsection (d) of Section 12008. If an application is received after this 120-day deadline, an

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1 expedited processing fee of sixty dollars (\$60) shall be submitted with the application. If an  
2 expedited processing fee is due but has not been received, a registration renewal shall not be  
3 issued.

4 (b) Renewal applications for supervisors, players, and other employees shall be received no  
5 later than 90 days prior to the expiration of the current registration, together with the application  
6 fee specified in paragraph (1) of subsection (d) of Section 12008. If an application is received  
7 after this 90-day deadline, an expedited processing fee of sixty dollars (\$60) shall be submitted  
8 with the application. If an expedited processing fee is due but has not been received, a  
9 registration renewal shall not be issued.

10 (c) The ~~Executive Director~~ Bureau shall notify the applicant in writing within 20 days of  
11 receiving the renewal application, that the application or resubmitted application is complete and  
12 accepted for filing, or that the application or resubmitted application is deficient. If an  
13 application for registration is incomplete, the ~~Executive Director~~ Bureau shall request in writing  
14 any information needed in order to complete the application. The applicant shall be permitted 30  
15 days in which to furnish the information. If the applicant fails to respond to the request, the  
16 application shall be deemed abandoned and no further action will be taken on it.

17 (d) Upon determination that an application for registration is complete, the application shall  
18 be processed by the Bureau within 60 days and the Executive Director shall either issue the  
19 registration and badge applied for or shall notify the applicant of denial and the grounds therefor  
20 under Section 12204.

21 (e) The ~~Commission~~ Bureau shall provide written notice of abandonment of an application to  
22 the applicant and the Commission. If the application is for registration as a supervisor, player, or  
23 other employee, the ~~Commission~~ Bureau shall also provide written notice of abandonment of the  
24 application to the primary owner.

25 (f) If the applicant submits a request for withdrawal of his or her application to the  
26 ~~Commission~~ Bureau, the application shall be deemed abandoned and no further action will be  
27 taken on it.

28 (g) Nothing in this chapter shall require the Commission or Bureau to divulge to the  
29 applicant any confidential information received from any law enforcement agency or any  
30 information received from any person with assurances that the information would be maintained  
31 as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any

1 information that might reveal the identity of any source of information or jeopardize the safety of  
2 any person.

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

5

6 **§ 12203.2. Temporary Player Registration; Application; Criteria.**

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

10 (a) The applicant has applied for a temporary player registration by completing the  
11 ~~Commission's~~ Bureau's regular registration application form, BGC-435, referenced in Section  
12 12202, requesting issuance of a temporary registration by checking the appropriate box on the  
13 application form, and submitting with the application a nonrefundable temporary registration fee  
14 specified in paragraph (2) of subsection (d) of Section 12008, in addition to the regular  
15 registration fee specified in paragraph (1) of subsection (d) of Section 12008.

16 (b) The applicant has supplied to the ~~Commission~~ Bureau all the documentation and fees  
17 required for a regular registration.

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

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

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

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

26 (B) A misdemeanor involving gaming or gaming-related activities prohibited by Chapter 9  
27 (commencing with section 319) and Chapter 10 (commencing with section 330) of Title 9 of Part  
28 1 of the Penal Code.

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

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

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

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

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

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

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

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

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

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

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

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

22  
23 **§ 12203.3. Processing Times for Temporary Player Registration.**

24 Applications for issuance of a temporary player registration by the ~~Executive Director~~  
25 Bureau shall be processed within the following time frames:

26 (a) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
27 writing that an application or a resubmitted application is complete and accepted for filing, or  
28 that an application or a resubmitted application is deficient and identifying what specific  
29 additional information is required, is five (5) working days.

30 (b) A temporary registration shall be either granted or denied within no more than 15  
31 working days after the filing of a completed application, unless a regular registration has already  
32 been approved.

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

3

4 **§ 12205.1. Transition to Licensing.**

5 (a) As expeditiously as possible in light of available program resources, the Bureau shall  
6 summon persons registered as primary owners, owners, supervisors, players, and other  
7 employees for the purpose of applying for licenses under this chapter. The registration of any  
8 registrant that fails or refuses to submit the applicable Application for Third Party Proposition  
9 Player Services License for Business Entities and Owners (~~CGCC-433 (Rev. 06/12)~~BGC-433  
10 (Rev. 04/13)) or Application for Third-Party Proposition Player Services License for  
11 Supervisors, Players or Other Employees (~~CGCC-434 (Rev. 06/12)~~BGC-434 (Rev. 04/13)),  
12 which are hereby incorporated by reference, including any fees to the ~~Commission~~ Bureau within  
13 30 days of receiving a summons ~~from the Bureau~~ shall expire by operation of law on the  
14 following day. Prior to and during review of a request to convert a registration to a license, a  
15 registration shall remain valid and may be renewed by the registrant as necessary, upon  
16 application and approval of renewal of registration as provided in Section 12203A.

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

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

27 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section  
28 19984, Business and Professions Code.

29

30

ARTICLE 3. LICENSING.

31 **§ 12218. Request to Convert Registration to License.**

32 (a) A request to convert a registration to a license shall be submitted to the ~~Commission~~

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1 Bureau only in response to a written summons ~~from the Bureau~~ to a primary owner pursuant to  
2 Section 12205.1. Each primary owner's request shall be accompanied by the requests of all  
3 affiliated owners, supervisors, players, and other employees.

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

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

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

13 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-  
14 143 (Rev. 05/08), referenced in Section 12342 of this division.

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

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

19 (5) The supplemental information package as defined in Section 12200(b).

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

23 (7) A copy of the summons issued by the Bureau.

24 (d) Nothing in this chapter shall require the Commission or Bureau to divulge to the  
25 requester any confidential information received from any law enforcement agency or any  
26 information received from any person with assurances that the information would be maintained  
27 as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any  
28 information that might reveal the identity of any source of information or jeopardize the safety of  
29 any person.

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

32

1 § 12218.7. Processing Times – Request to Convert Registration to License.

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

4 (a) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
5 writing that a request or a resubmitted request is complete and accepted for initial processing ~~by~~  
6 ~~the Commission~~, or that a request or a resubmitted request is deficient and identifying what  
7 specific additional information is required, is 20 days after receipt of the request. For the  
8 purposes of this section, “request” means the Application for Third Party Proposition Player  
9 Services License for Business Entities and Owners (~~CGCC-433~~BGC-433) or Application for  
10 Third-Party Proposition Player Services License for Supervisors, Players or Other Employees  
11 (~~CGCC-434~~BGC-434), referenced in Section 12205.1. A request is not complete unless  
12 accompanied by *both* a copy of the summons from the Bureau setting a deadline for filing the  
13 request ~~with the Commission~~ and the supplemental information package required by Section  
14 12218(c)(5) for review by the Bureau pursuant to subsection (~~e~~b) for persons affiliated with the  
15 primary owner to whom the summons was addressed. ~~The Commission shall not review the~~  
16 ~~supplemental information for completeness.~~

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

20 (b) The Bureau shall review the supplemental information package submitted for  
21 completeness and notify the applicant of any deficiencies in the supplemental information  
22 package, or that the supplemental information package is complete, within 45 days of the date  
23 that the request and supplemental information package are received by the Bureau ~~from the~~  
24 ~~Commission~~. Notwithstanding this subsection, subsequent to acceptance of the supplemental  
25 information package as complete, the Bureau may, pursuant to Business and Professions Code  
26 section 19866, require the requester to submit additional information.

27 (~~d~~c) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent  
28 practicable, submit its recommendation to the Commission within 180 days after the date the  
29 Bureau is in receipt of both the completed request ~~pursuant to subsection (b)~~ and the completed  
30 supplemental information package pursuant to subsection (~~e~~a). If the Bureau has not concluded  
31 its investigation within 180 days, then it shall inform the applicant and the Commission in

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1 writing of the status of the investigation and shall also provide the applicant and the Commission  
2 with an estimated date on which the investigation may reasonably be expected to be concluded.

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

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) An application for renewal of a license shall be filed by the primary owner, owner,  
11 supervisor, player, and other employee with the Bureau no later than 120 days prior to the  
12 expiration of the current license. Each application for the renewal of a license shall be  
13 accompanied by all of the following:

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

18 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-  
19 143 (Rev. 05/08), referenced in Section 12342 of this division.

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

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

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

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

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

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1 19823, 19824, 19851, 19867, 19876, 19951 and 19984, Business and Professions Code.

2

3 **§ 12218.9. Processing of Applications for Renewal License.**

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

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

9 (2) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
10 writing that an application or a resubmitted application is complete and accepted for initial  
11 processing ~~by the Commission~~, or that an application or a resubmitted application is deficient  
12 and identifying what specific additional information is required, is 10 working days after receipt  
13 of the application. For the purposes of this section, “application” means either of the two forms  
14 specified in paragraph (1) of subsection (a) of Section 12218.8, as applicable.

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

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

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

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

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

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

29 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections  
30 19824, 19868, 19876 and 19984, Business and Professions Code.

31

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

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ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

§ 12220. Definitions.

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

(b) As used in this chapter:

(1) “Additional Badge” means a badge ~~issued by the Commission~~ provided pursuant to Section 12220.6 which authorizes an individual registrant or licensee to be simultaneously employed by more than one primary owner.

(2) “Applicant” means an applicant for registration or licensing under this chapter, including in the case of an owner that is a corporation, partnership, or any other business entity, all persons whose registrations or licenses are required to be endorsed upon the primary owner's registration or license certificate.

(3) “Authorized player” means an individual associated with a particular primary owner whose badge authorizes play in a controlled game on behalf of the primary owner, including the primary owner, all other owners, all supervisors, and all players. Only authorized players may perform the functions of a supervisor or player.

(4) “Badge” means a form of identification issued by the Commission identifying a registrant or licensee.

(5) [Reserved]

(6) [Reserved]

(7) [Reserved]

(8) [Reserved]

(9) [Reserved]

(10) “Funding source” means any person that provides financing, including but not limited to loans, advances, any other form of credit, chips, or any other representation or thing of value, to an owner-registrant or owner-licensee, other than individual registrants under subsection (d) of Section 12221 or individual licensees. “Funding source” does not include any federally or state chartered lending institution or any of the following entities that in the aggregate owns at least one hundred million dollars (\$100,000,000) of securities of issuers that are not affiliated with the entity:

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1 (A) Any federally-regulated or state-regulated bank or savings association or other federally-  
2 or state-regulated lending institution.

3 (B) Any company that is organized as an insurance company, the primary and predominant  
4 business activity of which is the writing of insurance or the reinsuring of risks underwritten by  
5 insurance companies, and that is subject to supervision by the Insurance Commissioner of  
6 California, or a similar official or agency of another state.

7 (C) Any investment company registered under the federal Investment Company Act of 1940  
8 (15 U.S.C. sec. 80a-1 et seq.).

9 (D) Any retirement plan established and maintained by the United States, an agency or  
10 instrumentality thereof, or by a state, its political subdivisions, or any agency or instrumentality  
11 of a state or its political subdivisions, for the benefit of its employees.

12 (E) Any employee benefit plan within the meaning of Title I of the federal Employee  
13 Retirement Income Security Act of 1974 (29 U.S.C. sec. 1001 et seq.).

14 (F) Any securities dealer registered pursuant to the federal Securities Exchange Act of 1934  
15 (15 U.S.C. sec. 78a et seq.).

16 (G) Any entity, all of the equity owners of which individually meet the criteria of this  
17 paragraph.

18 (11) "Gambling business," except as otherwise provided in this paragraph, means a business  
19 enterprise that engages the services of employees, independent contractors, or both to participate  
20 in the play of any controlled game in a gambling establishment that has a rotating player-dealer  
21 position as permitted by Penal Code section 330.11. "Gambling business" also refers to the  
22 conduct of such a business enterprise in a gambling establishment. "Gambling business" does  
23 not, however, include the provision of proposition player services subject to Chapter 2.1  
24 (commencing with Section 12200) of this division.

25 (12) [Reserved]

26 (13) "License" means a license issued by the Commission pursuant to Article 3 of this  
27 chapter.

28 (A) There are four license categories entitling the holder to operate a gambling business:

- 29 1. Primary owner,
- 30 2. Owner,
- 31 3. Supervisor, and

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1 4. Player.

2 (B) All “other employees” (as defined in this section) of the primary owner who are present  
3 in the gambling establishment during the conduct of the gambling business shall be licensed as  
4 “other employee” and shall be required to submit an application and be approved or denied based  
5 upon the same criteria that apply to a player.

6 (C) A primary owner and an owner may also perform the functions of a supervisor or player,  
7 and the holder of a supervisor's license may also perform the functions of a player.

8 (D) No licensee, other than an owner, supervisor, or player, may possess, direct, or  
9 otherwise control currency, chips, or other wagering instruments used for play of a controlled  
10 game.

11 (14) “Licensee” means a person having a valid license.

12 (15) “Organization chart” means a chart that identifies the names and titles of all owners, as  
13 defined in Section 12220, supervisors, and any persons having significant influence over the  
14 operation of gambling business; the percentage of ownership, if any, held by each identified  
15 individual or entity; the reporting relationship for each identified individual or entity; and the job  
16 title and number of persons in each of the job titles that report to each individual or entity  
17 identified on the organization chart.

18 (16) “Other employee” means an individual employed by a primary owner who is not  
19 authorized to serve as a player. “Other employee” does not include any owner, any supervisor, or  
20 any officer or director of a primary owner that is a corporation. An individual registered or  
21 licensed as an “other employee” may not function as a player unless and until that individual  
22 applies for and obtains registration or licensure as a player.

23 (17) “Owner” includes all of the following:

24 (A) A sole proprietor, corporation, partnership, or other business entity that provides or  
25 proposes to conduct a gambling business~~;~~.

26 (B) Any individual specified in Business and Professions Code section 19852, subdivisions  
27 (a) through and including (h), and

28 (C) Any funding source.

29 (18) “Player” means an individual employed by or an independent contractor engaged by a  
30 gambling business to participate in the play of any controlled game in a gambling establishment.

31 (19) “Playing Book” means a record documenting each session of play by an individual

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1 player.

2 (20) “Primary Owner” means the owner specified in subparagraph (A) of paragraph (17) of  
3 this subsection.

4 (21) “Rebate” means a partial return by an authorized player of chips or money to a patron  
5 who has lost the chips or money to the authorized player through play in a controlled game at a  
6 gambling establishment.

7 (22) “Registrant” means a person having a valid registration.

8 (23) “Registration” means a registration issued by the Commission pursuant to this chapter.

9 (A) There are four registration categories entitling the holder to participate in the operation  
10 of a gambling business: primary owner, owner, supervisor, and player.

11 (B) All other employees of the primary owner who are present in the gambling  
12 establishment during the operation of the gambling business shall be registered as “other  
13 employee,” and shall be required to submit an application, which application shall be approved  
14 or denied based upon the same criteria that apply to a player.

15 (C) A primary owner and an owner may also perform the functions of a supervisor or player,  
16 and the holder of a supervisor's registration may also perform the functions of a player. No  
17 registrant, other than an owner, supervisor, or player, may possess, direct, or otherwise control  
18 currency, chips, or other wagering instruments used for play as part of the operation of a  
19 gambling business.

20 (24) “Reinstatement Badge” means a badge ~~issued by the Commission~~ provided to a player,  
21 a supervisor, or an “other employee” pursuant to Section 12220.6 which authorizes an individual  
22 registrant or licensee who has ceased to be employed by a primary owner to return to work for  
23 that primary owner.

24 (25) “Session of play” as used in Section 12220.13 (“Playing Book”) means a continuous  
25 work shift performed by a player.

26 (26) “Supervisor” means an individual who, in addition to any supervisory responsibilities,  
27 has authority, on behalf of the primary owner, to provide or direct the distribution of currency,  
28 chips, or other wagering instruments to affiliated registrants or licensees who are authorized to  
29 play.

30 (27) “Supplemental information package” means all of the documentation and deposits  
31 required by each of the following forms, ~~which are referenced in paragraph (27) of subsection~~

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1 (b) of Section 12200), to be submitted to the ~~Commission~~ Bureau in response to a summons  
2 issued by the Bureau pursuant to Section 12225.1.

3 (A) Owners, as defined in Section 12220, that are a natural person shall complete the form  
4 Level III Supplemental Information-Individual (BGC-APP-034A) for a level III investigation.

5 (B) Owners, as defined in Section 12220, that are not a natural person shall complete the  
6 form Level III Supplemental Information-Business (BGC-APP-034B) for a level III  
7 investigation.

8 (C) Supervisors, as defined in Section 12220, shall complete the form Level II Supplemental  
9 Information (BGC-APP-033) for a level II investigation.

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

12 (28) “Transfer Badge” means a badge ~~issued by the Commission~~ provided pursuant Section  
13 12220.6 which authorizes an individual registrant or licensee to work as an employee or  
14 independent contractor for a subsequent primary owner after having ceased to work for an initial  
15 primary owner.

16 Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Sections  
17 19805 and 19853(a)(3), Business and Professions Code.

18  
19 **§ 12220.3. Badge.**

20 (a) All individuals registered or licensed as primary owners, owners, supervisors, players, or  
21 other employees of the primary owner shall wear in a prominently visible location a numbered  
22 badge issued by the Commission when present in a gambling establishment during the operation  
23 of the gambling business.

24 (b) A badge authorizing play in a controlled game shall be of a distinctly different color than  
25 a badge that identifies a registrant or licensee, but does not authorize play. If an individual  
26 ceases to be employed by or affiliated with a particular primary owner, that individual shall  
27 surrender his or her badge to the primary owner. The primary owner shall notify ~~the~~  
28 ~~Commission and~~ the Bureau in writing within ten (10) days of the change in status using Change  
29 in Status Form for a Gambling Business Registration (~~CGCC-541 (Rev. 05/11)~~ BGC-541 (Rev.  
30 04/13)), which is hereby incorporated by reference; with this form, the primary owner shall  
31 submit the registrant's or licensee's badge.

32 (c) The words “GAMBLING BUSINESS PLAYER REGISTRANT,” “NON-PLAYER

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1 GAMBLING BUSINESS REGISTRANT,” “GAMBLING BUSINESS PLAYER LICENSEE,”  
2 OR “NON-PLAYER GAMBLING BUSINESS LICENSEE” in capital letters shall be  
3 prominently displayed on the front of the badge. The first name of the registrant or licensee shall  
4 appear on the front of the badge. The full name of the registrant or licensee shall be printed on  
5 the reverse side of the badge, together with the registrant's or licensee's category of registration  
6 or licensing as an owner, supervisor, player, or other employee.

7 (d) On the front of the badge, there shall be displayed the picture of the registrant or licensee  
8 submitted with the application, the badge number, and expiration date. On the front of the  
9 badge, there shall be displayed the name of the primary owner employing the registrant or  
10 licensee, which shall be the fictitious business name, if any, established pursuant to Chapter 5  
11 (commencing with section 17900) of Part 3 of Division 7 of the Business and Professions Code.

12 (e) Upon renewal of each registration and upon issuance of each registration or license,  
13 authorized players shall be issued a badge of one color; individuals not authorized to play shall  
14 be issued a badge of a distinctly different color. Any non-player badge issued prior to July 1,  
15 2004, shall be re-issued upon renewal pursuant to subsection (b), so that each registrant receives  
16 either a player or non-player badge.

17 (f) An individual registered or licensed as a player with a particular primary owner shall  
18 apply for and obtain a new badge pursuant to Section 12220.6 before beginning to work for an  
19 additional or different primary owner.

20 (g) Registrations, licenses, and badges are specific to the primary owner. A gambling  
21 business cannot be operated without first applying for and obtaining a registration, license, or  
22 badge.

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

25

26 **§ 12220.5. Replacement of Badge.**

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

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

30 (2) The request is complete and has been submitted on the form Request for Replacement  
31 Gambling Business Badge (~~CGCC 538, Rev. 05/11~~BGC-538 (Rev. 04/13)), which is hereby  
32 incorporated by reference.

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- 1 (3) The request has supplied all of the following to the ~~Commission~~ Bureau:
- 2 (A) A nonrefundable twenty-five dollar (\$25) fee payable to the ~~Commission~~ Bureau.
- 3 (B) The category of the position and information concerning the primary owner for which the
- 4 replacement badge is requested: the name of the primary owner, mailing address, voice
- 5 telephone number, facsimile number (if any), and email address (if any).
- 6 (C) A statement under penalty of perjury that a replacement badge is needed due to a name
- 7 change or to loss or destruction of the originally issued badge.
- 8 (b) A replacement badge ~~issued~~ provided pursuant to this section shall be valid during the
- 9 unexpired term of the previously issued registration or license.
- 10 (c) Upon ~~issuance~~ the providing of the replacement badge, the previously ~~issued~~ badge for
- 11 that gambling business shall become void and shall not be used.
- 12 (d) Replacement badges shall be ~~issued~~ provided by the ~~Commission~~ Bureau within seven (7)
- 13 days of receipt of a completed request.

14 Note: Authority cited: Sections 19811, 19827, 19840, 19841 and 19853(a)(3), Business and Professions Code.  
15 Reference: Section ~~19853(a)(3)~~ 19826, Business and Professions Code.

16

17 **§ 12220.6. Transfer or Reinstatement of Player Registration or License; Issuance of**  
18 **Additional Badge.**

19 (a) Upon submission of a request, the ~~Executive Director~~ Bureau shall ~~issue~~ provide a player

20 transfer badge, reinstatement badge, or additional badge if all of the following conditions are

21 met:

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

23 (2) The request is complete and has been submitted on the form Request for an

24 Additional/Transfer/Reinstatement of Gambling Business Registration/License (~~CGCC-539,~~

25 ~~Rev. 05/11~~ BGC-539 (Rev. 04/13)), which is hereby incorporated by reference.

26 (3) The requester has supplied all of the following to the ~~Commission~~ Bureau:

27 (A) A nonrefundable one hundred and twenty-five dollar (\$125) fee payable to the

28 ~~Commission~~ Bureau.

29 (B) The names as applicable of the current and future primary owner, or previous owner or

30 additional owner, mailing address, voice telephone number, facsimile number (if any), and email

31 address (if any).

32 (b) A badge ~~issued~~ provided pursuant to this section shall be valid during the unexpired term

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1 of the previously issued registration or license.

2 (c) Upon ~~issuance~~ the providing of the transfer badge, the previously ~~issued~~ badge shall  
3 become void and shall not be used.

4 (d) Transfer, additional, and reinstatement badges shall be ~~issued~~ provided by the  
5 ~~Commission Bureau~~ within seven (7) days of receipt of a complete request.

6 Note: Authority cited: Sections 19811, 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference:  
7 Sections 19805, 19826 and 19853(a)(3), Business and Professions Code.

8

9 **§ 12220.14. Organization Chart and Employee Report.**

10 (a) Each licensed primary owner shall submit to the ~~Commission Bureau~~, pursuant to the  
11 schedule specified in subsection (a) of Section 12200.20, a completed form Gambling Business  
12 Employee and Independent Contractor Report (~~CGCC-540 (Rev. 05/11)~~ BGC-540 (Rev. 04/13)),  
13 which is hereby incorporated by reference. Upon renewal of the license, each licensed primary  
14 owner shall submit an updated organization chart to the ~~Commission Bureau~~.

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

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

20 Note: Authority cited: Sections 19826, 19827, 19840, 19841 and 19853(a)(3), Business and Professions Code.  
21 Reference: Section ~~19853(a)(3)~~ 19826, Business and Professions Code.

22

23 **§ 12220.20. Annual Fee.**

24 (a) No later than September 1 of each year, each registered or licensed primary owner shall  
25 submit to the ~~Commission Bureau~~ the annual fee set forth in subsection (c) of this section, based  
26 on the total number of registrations or licenses affiliated with the primary owner on the  
27 immediately preceding August 1. The payment due September 1 of each year shall be based on  
28 the total number of registrations or licenses affiliated with the primary owner on August 1 of that  
29 same year.

30 (b) Within 30 days of approval of any request to convert a registration to a license, the  
31 ~~Commission Bureau~~ shall notify the licensee of any additional fees owed for the term of the  
32 license granted, allowing pro rata credit on a monthly basis for any annual fee paid in connection

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1 with a registration that has not expired.

2 (c) The annual fee shall be computed as follows:

3 (1) Beginning September 1, 2004, each primary owner shall pay the annual sum of two  
4 thousand fifty dollars (\$2050) per registrant or licensee. This fee shall be retroactive to  
5 September 1, 2004. Any overpayment of fees previously paid that cannot be applied against an  
6 installment payment that is due shall be credited against the following year's annual fee  
7 obligation, unless the primary owner no later than February 1, 2005 submits a written refund  
8 request to the ~~Executive Director~~ Bureau.

9 (2) Beginning September 1, 2005, each primary owner shall pay the annual sum of two  
10 thousand three hundred dollars (\$2300) per registrant or licensee, less any applicable credit that  
11 may apply from paragraph (1) of this subsection.

12 (3) Beginning September 1, 2006, and thereafter, each primary owner shall pay the annual  
13 sum of two thousand eight hundred dollars (\$2800) per registrant or licensee, less any applicable  
14 credit that may apply from paragraph (1) of this subsection.

15 (d)(1) The annual fee for each registered primary owner may be paid in installments. The  
16 primary owner must submit a written request to the ~~Executive Director~~ Bureau to make  
17 installment payments prior to August 1 of that same year. Upon approval by the Executive  
18 Director, installment payments submitted prior to licensure shall be made as follows: one-third  
19 of the annual fee to be submitted no later than September 1, one-third no later than December 1,  
20 and the balance no later than March 1.

21 (2) The annual fee for each licensed primary owner may be paid in installments. The  
22 primary owner must submit a written request to the ~~Executive Director~~ Bureau to make  
23 installment payments 120 days prior to the expiration of the license. Upon approval by the  
24 Executive Director, installment payments submitted after conversion to licensure shall be made  
25 as follows: one-third of the annual fee to be submitted prior to issuance of the license, one-third  
26 to be submitted three months thereafter, and one-third to be submitted six (6) months thereafter.

27 (e) Refunds shall not be available in the event of a subsequent decrease in the number of  
28 registrants or licensees upon which the annual fee payment was based.

29 (f)(1) Following assessment of the annual fee, if the primary owner increases the number of  
30 its registrants or licensees above the number upon which the annual fee assessment was based,  
31 the primary owner shall submit to the ~~Commission~~ Bureau both the required application fee for

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1 the additional registrants or licensees and the additional per player fee set forth in subsection (c)  
2 of this section. No new badges shall be issued until the ~~Commission~~ Bureau has received all fees  
3 required by this subsection.

4 (2) Annual fees due under this subsection shall be prorated on a monthly basis.

5 (3) Annual fees due under this subsection may be paid in installments, on the conditions that  
6 the installment payment request is submitted in writing, that one-third of the fees are paid with  
7 the application for additional registrants or licensees, and that two subsequent equal payments  
8 are paid at reasonable intervals prior to expiration of the applicable term, subject to the approval  
9 of the Executive Director.

10 (g) No renewal application shall be approved by the Commission until any delinquent annual  
11 fees have been paid in full.

12 Note: Authority cited: Sections 19801, 19811, 19823, 19824, 19840, 19841 and 19853(a)(3), Business and  
13 Professions Code. Reference: Sections 19853(a)(3) and 19951, Business and Professions Code.

14

15 **ARTICLE 2. REGISTRATION.**

16 **§ 12222. Application for Registration.**

17 (a) The application for registration shall designate whether registration is requested as a  
18 primary owner, other owner, or employee or independent contractor of the primary owner. The  
19 application shall be signed by both the individual applicant and the designated agent, or, if the  
20 applicant is a business entity, by the chief executive officer or other designated officer of the  
21 business entity.

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

23 (1) Payment of a nonrefundable application fee in the amount specified in paragraph (1) of  
24 subsection (e) of Section 12008.

25 (2) A completed Application for Gambling Business Registration (~~CGCC 535 (Rev.~~  
26 ~~05/11)~~BGC-535 (Rev. 04/13)), which is hereby incorporated by reference.

27 (3) A properly completed Request for Live Scan Service (California Department of Justice  
28 Form BCII 8016, rev. 4/01) of an applicant that is an individual, confirming that the applicant's  
29 fingerprints have been submitted to the BCII for an automated background check and response.

30 (4) Two 2x2 inch color passport-style photographs of an applicant that is an individual taken  
31 no more than one (1) year before submission of the application to the ~~Commission~~ Bureau.

32 (c) An applicant that is an individual shall complete and submit the form Gambling Business

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1 Registration Supplemental Information (~~CGCC-536 (Rev. 06/12)~~BGC-536 (Rev. 04/13)), which  
2 is hereby incorporated by reference.

3 (d) An applicant for registration shall make full and true disclosure of all information to the  
4 ~~Commission and~~ Bureau as required for the application and as requested by the Commission or  
5 Bureau to carry out the policies of this state relating to controlled gambling.

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

8

9 **§ 12223. Processing of Applications for Initial and Renewal Registration.**

10 (a) The ~~Executive Director~~ Bureau shall notify the applicant in writing within twenty (20)  
11 days of receiving the application, that the application or resubmitted application is complete and  
12 accepted for filing, or that the application or resubmitted application is deficient. If an  
13 application for registration is incomplete, the ~~Executive Director~~ Bureau shall request in writing  
14 any information needed in order to complete the application. The applicant shall be permitted 30  
15 days in which to furnish the information. If the applicant fails to respond to the request, the  
16 application shall be deemed abandoned and no further action will be taken on it.

17 (b) Upon determination that an application for registration is complete, the application shall  
18 be processed by the Bureau within 60 days and the Executive Director shall either issue the  
19 registration and badge applied for or shall notify the applicant of denial and the grounds therefor  
20 under Section 12224.

21 (c) If the applicant submits a request for withdrawal of his or her application to the  
22 Commission, the application shall be deemed abandoned and no further action will be taken on  
23 it.

24 (d) The ~~Commission~~ Bureau shall provide written notice of abandonment of an application to  
25 the applicant and the Commission. If the application is for registration as other than the primary  
26 owner, the ~~Commission~~ Bureau shall also provide written notice of abandonment of the  
27 application to the primary owner.

28 (e) Nothing in this chapter shall require the Commission or Bureau to divulge to the applicant  
29 any confidential information received from any law enforcement agency or any information  
30 received from any person with assurances that the information would be maintained as  
31 confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any  
32 information that might reveal the identity of any source of information or jeopardize the safety of

1 any person.

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

4

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

6 (a) The Bureau shall summon persons registered as primary owners, owners, supervisors,  
7 players, and other employees for the purpose of applying for licenses under this chapter. The  
8 Bureau shall summon primary owners, owners, supervisors, players, and other employees as  
9 expeditiously as possible in light of available program resources. The registration of any  
10 registrant that fails or refuses to submit the applicable Application for Gambling Business  
11 License for Business Entities and Owners (~~CGCC-533 (Rev. 06/12)~~BGC-533 (Rev. 04/13)) or  
12 Application for Gambling Business License for Supervisor, Player or Other Employee (~~CGCC-~~  
13 ~~534 (Rev. 06/12)~~BGC-534 (Rev. 04/13)), which are hereby incorporated by reference, including  
14 any fees to the ~~Commission~~ Bureau within 30 days of receiving a summons ~~from the Bureau~~  
15 shall expire by operation of law on the following day. Prior to and during review of a request to  
16 convert a registration to a license, a registration shall remain valid and may be renewed by the  
17 registrant as necessary, upon application and approval of renewal of registration.

18 (b) If the registration expires by operation of law, the former registrant shall submit a new  
19 Application for Gambling Business License for Business Entities and Owners (~~CGCC-533~~BGC-  
20 533) or Application for Gambling Business License for Supervisor, Player or Other Employee  
21 (~~CGCC-534~~BGC-534), which are referenced in subsection (a), and a new nonrefundable  
22 application fee as specified in paragraph (~~1~~2), and the applicable additional fee specified in  
23 paragraph (3), or (4), ~~or (5)~~, of subsection (e) of Section 12008.

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

26

27 **§ 12233. Request to Convert Registration to License.**

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

32 (b) The request to convert a registration to a license shall designate whether the license is

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1 requested as a primary owner, owner, supervisor, player, or other employee. The request shall be  
2 signed by the individual requester or, if the requester is a business entity, by the chief executive  
3 officer or other designated officer of the business entity.

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

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

8 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-  
9 143 (Rev. 05/08), referenced in Section 12342 of this division.

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

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

14 (5) The supplemental information package as defined in Section 12220.

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

18 (7) A copy of the summons issued by the Bureau.

19 (d) Nothing in this chapter shall require the Commission or Bureau to divulge to the  
20 requester any confidential information received from any law enforcement agency or any  
21 information received from any person with assurances that the information would be maintained  
22 as confidential. Nothing in this chapter shall require the Commission or Bureau to divulge any  
23 information that might reveal the identity of any source of information or jeopardize the safety of  
24 any person.

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

27

28 **§ 12235. Processing Times – Request to Convert Registration to License.**

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

31 (a) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
32 writing that a request or a resubmitted request is complete and accepted for initial processing ~~by~~

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1 ~~the Commission~~, or that a request or a resubmitted request is deficient and identifying what  
2 specific additional information is required, is 20 days after receipt of the request. For the  
3 purposes of this section, “request” means the form Application for Gambling Business License  
4 for Business Entities and Owners (~~CGCC-533~~BGC-533) or Application for Gambling Business  
5 License for Supervisor, Player or Other Employee (~~CGCC-534~~BGC-534), referenced in Section  
6 12225.1. A request is not complete unless accompanied by both a copy of the summons from the  
7 Bureau setting a deadline for filing the request ~~with the Commission~~ and the supplemental  
8 information package required by Section 12233(c)(5) for review by the Bureau pursuant to  
9 subsection (eb) for persons affiliated with the primary owner to whom the summons was  
10 addressed. ~~The Commission shall not review the supplemental information for completeness.~~

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

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

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

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

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

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1 Sections 19853(a)(3) and 19868, Business and Professions Code.

2

3 **§ 12238. License Renewals.**

4 (a) An application for renewal of a license shall be filed by the primary owner, owner,  
5 supervisor, player, and other employee with the Bureau no later than 120 days prior to the  
6 expiration of the current license. Each application for the renewal of a license shall be  
7 accompanied by all of the following:

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

11 (2) If applicable, the Trust Supplemental Background Investigation Information, BGC-APP-  
12 143 (Rev. 05/08), referenced in Section 12342 of this division.

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

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

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

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

25 Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections  
26 19823, 19824, 19851, 19853, 19867, 19876 and 19951, Business and Professions Code.

27

28 **§ 12239. Processing of Applications for Renewal License.**

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

31 ~~(1) An application for renewal of a license shall be filed by the primary owner, owner,~~  
32 ~~supervisor, player, and other employee with the Commission no later than 120 days prior to the~~

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1 ~~expiration of the current license.~~

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

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

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

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

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

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

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

22 Note: Authority cited: Sections 19840, 19841 and 19853, Business and Professions Code. Reference: Sections  
23 19824, 19853, 19868 and 19876, Business and Professions Code.

24

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

### 26 **§ 12301. Registration of Manufacturers or Distributors.**

27 (a) Except as provided in Section 12310, and after December 31, 2002, no person may  
28 manufacture or distribute gambling equipment unless that person has a currently valid  
29 registration as a manufacturer or distributor issued in accordance with this chapter.

30 (b) Each manufacturer or distributor shall apply for registration with the ~~Commission~~  
31 Bureau, using the form required by Section 12309. Any manufacturer or distributor in business  
32 on the effective date of this chapter shall submit an application for registration to the

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1 ~~Commission~~ Bureau within 30 days of the effective date of this chapter. An application for  
2 registration shall include all of the following:

3 (1) The applicant's name, Federal Employer Identification Number, if any, or Social Security  
4 Number, voice telephone number, facsimile telephone number, and address of its principal place  
5 of business and of each location in this state at which it conducts the business of manufacture or  
6 distribution of gambling equipment or gambling equipment parts, including a list of its storage  
7 facilities. For purposes of this paragraph, a vehicle used for storage or distribution of gambling  
8 equipment parts shall be deemed to be located at the address in this state where customarily  
9 garaged or kept when not in use.

10 (2) A statement specifying in which activities the applicant engages with respect to gambling  
11 equipment located, operated, or to be operated in this state, including, as applicable,  
12 manufacturing, distributing, selling, leasing, inspecting, testing, repairing, refurbishing, or  
13 storing.

14 (3) Whether the application is for registration as a class A or as a class B manufacturer or  
15 distributor.

16 (4) If the applicant is a business entity, the name, mailing address, voice telephone number,  
17 and facsimile telephone number, if any, of its chief executive officer, or other person designated  
18 by the entity to serve as the entity's representative.

19 (5) If the principal place of business of the applicant is located outside of this state, the  
20 applicant shall provide a copy or other evidence of current licensure in the jurisdiction in which  
21 it is located to manufacture or distribute gambling equipment, or shall submit a statement that  
22 licensure is not required by the jurisdiction in which it is located.

23 (6) A copy of the applicant's current registration with the United States Attorney General  
24 pursuant to the Gambling Devices Act of 1962, 15 United States Code section 1173, if the  
25 applicant is so registered. If the applicant is not so registered, the application shall include a  
26 statement that the applicant is not required to register under the Gambling Devices Act of 1962,  
27 Title 15 United States Code section 1173.

28 (7) Whether the manufacturer or distributor has currently designated an agent for service of  
29 process pursuant to the laws of this state by a filing with the Secretary of State and, if so, the  
30 name of the designated agent for service of process.

31 (8) A statement that the application is accurate and complete within the personal knowledge

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1 of the designated representative who executes the application.

2 (9) A declaration under penalty of perjury in the form specified in Section 2015.5 of the  
3 Code of Civil Procedure signed by the designated representative that the application is true and  
4 correct.

5 (10)(A) Except as provided in subparagraph (B) of this paragraph, for class A registration, a  
6 nonrefundable application fee as specified in paragraph (1) of subsection (f) of Section 12008  
7 shall be submitted with the application for initial registration, and annually thereafter with each  
8 application for renewal at least thirty days prior to the anniversary date of initial registration. For  
9 class B registration, no fee shall be required for initial registration or renewal. Applications for  
10 renewal of class B registration shall be submitted annually at least thirty days prior to the  
11 anniversary date of initial registration.

12 (B) The nonrefundable annual application fee for a manufacturer or distributor applying for  
13 class A registration that sells, leases, inspects, tests, repairs, refurbishes, or stores only slot  
14 machines or devices that are “antique slot machines” within the meaning of Penal Code section  
15 330.7 shall be as specified in paragraph (2) of subsection (f) of Section 12008, provided that this  
16 subparagraph does not apply to a person that is otherwise a manufacturer or distributor or who is  
17 an antique collector exempt from registration under Section 12301.1.

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

22

23 **§ 12301.1. Claim of Exemption by Antique Collector; Form.**

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

26 (1) Submits a completed Antique Collector Claim of Exemption, ~~CGCC-039 (Rev.~~  
27 ~~05/11)~~BGC-039 (Rev. 04/13), which is hereby incorporated by reference, in which the antique  
28 collector declares under penalty of perjury in the form specified in section 2015.5 of the Code of  
29 Civil Procedure that the information provided in the application is accurate and complete.

30 (2) The antique collector maintains and retains in California for a period of five years a  
31 record of each transaction showing the names and addresses of all parties to the transaction.

32 (b) Any antique collector who intends to sell, exchange, or transfer more than five antique

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1 slot machines within a calendar year shall register as a manufacturer or distributor as otherwise  
2 required by this chapter.

3 (c) The records of slot machine transactions and the inventory of slot machines in the  
4 possession of any antique collector shall be subject to inspection by representatives of ~~the~~  
5 ~~Commission or~~ the Bureau during normal business hours.

6 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code. Reference:  
7 Sections 19805(b), 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 **§ 12302. Delegation of Authority; Process Times.**

12 (a) The Executive Director shall review and grant or deny applications for registration in  
13 accordance with this chapter.

14 (b) The Executive Director shall approve an application for registration under this chapter if  
15 the application satisfies the requirements of Section 12301(b) of this chapter.

16 (c) The ~~Executive Director~~ Bureau shall notify the applicant in writing within ten business  
17 days of receiving the application, that the application or resubmitted application is complete and  
18 accepted for filing, or that the application or resubmitted application is deficient. If an  
19 application for registration is incomplete, the ~~Executive Director~~ Bureau shall request in writing  
20 any information required in order to complete the application. If the applicant fails to provide  
21 the required information within 45 days, the application shall be deemed abandoned and no  
22 further action will be taken on it.

23 Upon determination that an application for registration is complete, the application shall be  
24 processed within ten business days and the Executive Director shall either issue the registration  
25 applied for or shall notify the applicant of denial and the grounds therefor.

26 (d) Notwithstanding any other provision of this chapter, including subsection (a) of Section  
27 12301, the time within which to register as a manufacturer or distributor shall be extended during  
28 any time required by the Executive Director for consideration of a registration application that  
29 has been resubmitted pursuant to subsection (c) of this section.

30 Note: Authority cited: Sections 19823, 19824, 19840 and 19841, Business and Professions Code. Reference:  
31 Sections 19805(b) and 19841(r), Business and Professions Code.

32

33 **§ 12303. Conditions of Registration. ~~(Operative August 1, 2003)~~**

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1 (a) Each manufacturer or distributor shall, as a condition of continued registration, comply  
2 with the following continuing requirements:

3 (1) Submit in duplicate to the ~~Executive Director~~ Bureau, at its office in the City of  
4 Sacramento, within 30 days after the close of each calendar quarter, a report on sales and  
5 shipments of gambling equipment as follows:

6 (A) Except as provided in subparagraph (D) of this paragraph, for each shipment of gambling  
7 equipment received or sent out by the manufacturer or distributor from or to a location in the  
8 State of California during the preceding calendar quarter, the report shall include all of the  
9 following information:

- 10 1. The name and address of the sender.
- 11 2. The name and address of the recipient.
- 12 3. The date of shipment.
- 13 4. The bill of lading number.
- 14 5. The manufacturer of each item of gambling equipment if different from the sender.
- 15 6. The model (no.) of each item of gambling equipment.
- 16 7. The year of manufacture (if known) of each slot machine or device/essential part shipped.
- 17 8. The manufacturer's serial number, if any, of each slot machine or device/essential part.
- 18 9. The number of units of each type, manufacturer, and model (no.) of slot machine/essential  
19 part.

20 (B) For each sale, lease, or other transfer of gambling equipment not otherwise reportable  
21 under subparagraph (A) of this paragraph, and any transfer as an agent or broker on behalf of an  
22 antique collector, during the preceding calendar quarter by the manufacturer or distributor from  
23 or to a location within the State of California, the report shall include all of the following  
24 information:

- 25 1. The names and addresses of all parties to the sale or lease.
- 26 2. The date of the contract of sale or lease.
- 27 3. The date of shipment or delivery of the gambling equipment.
- 28 4. The name of the manufacturer of the gambling equipment if different from the seller.
- 29 5. The year of manufacture (if known) of each slot machine or device/essential part sold.
- 30 6. The manufacturer's serial number, if any, of each slot machine or device/essential part.
- 31 7. The number of units of each type, manufacturer, and model (no.) of slot machine/essential

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1 part.

2 (C) If a manufacturer or distributor delivers or ships gambling equipment to a purchaser or  
3 other recipient at a location in this state for subsequent transportation in interstate or foreign  
4 commerce as provided in California Penal Code section 330.8, the purchaser or other recipient  
5 shall be a registrant under this chapter. These transactions shall be reported pursuant to  
6 subparagraph (B) of this paragraph.

7 (D) Any shipment of gambling equipment sent by a manufacturer or distributor to a tribal  
8 gaming facility or sent by a tribal gaming facility to a manufacturer or distributor ~~that is~~ shall be  
9 reported to the Bureau pursuant to the terms of the transportation agreement required by section  
10 7.4.5 of the applicable Tribal-State Gaming Compact, ~~need only be reported to the Commission~~  
11 ~~by reference to the recipient and date of the report sent to the Bureau, if the report provided to~~  
12 ~~the Bureau specifies the~~ The manufacturer, model (no.), and manufacturer's serial number of the  
13 gambling equipment shipped shall be specified and the shipment ~~is~~ shall be transported in full  
14 compliance with all of the requirements of the transportation agreement, including the following:

- 15 1. The gambling equipment shall be located in a locked compartment or sealed container  
16 within the conveyance while being transported.
- 17 2. The gambling equipment shall not be accessible for use while being transported, and,  
18 3. No gambling equipment shall be operated except on the Tribe's lands.

19 (E) The report shall also include a list of all items of gambling equipment or essential parts in  
20 the possession or custody of the registrant at any location in this state (other than a shipment in  
21 transit) during the reporting period and the address of each business location of the registrant in  
22 this state at which each listed item of gambling equipment or essential part was stored or  
23 otherwise located.

24 (F) The report shall include a statement that it is accurate and complete within the personal  
25 knowledge of the designated representative who executes the report, and a declaration under  
26 penalty of perjury that it is true and correct, signed by the designated representative in the form  
27 specified in Code of Civil Procedure section 2015.5.

28 (G) The initial quarterly report required by this section shall be for the first calendar quarter  
29 of 2003 and shall be submitted and received no later than 30 days following the close of that  
30 calendar quarter.

31 (2) Advise the ~~Commission~~ Bureau in writing of any new California business location or any

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1 termination of an existing business location, within 15 days following the change.

2 (3) Submit to any representative of ~~the Commission or~~ the Bureau any additional information  
3 requested by the representative concerning the registrant's activities as a manufacturer or  
4 distributor, including copies of any records maintained or retained pursuant to Title 15, United  
5 States Code, section 1173. The information shall include a statement that the information is  
6 accurate and complete within the personal knowledge of the designated representative who  
7 executes the report, and a declaration under penalty of perjury that it is true and correct, signed  
8 by the designated representative in the form specified in Code of Civil Procedure section 2015.5.

9 (4) Submit to inspection and examination by the Bureau of all premises where gambling  
10 equipment is manufactured, sold, or distributed, pursuant to Business and Professions Code  
11 section 19827(a)(1)(B).

12 (5) Submit to audits by representatives of the ~~Commission~~ Bureau, upon request, during  
13 normal business hours in order to verify the accuracy of reporting under this chapter.

14 (b) The Commission may deny or revoke a registration, upon any of the following grounds,  
15 after a duly noticed hearing:

16 (1) The manufacturer or distributor has failed or refused to comply with any requirement of  
17 this chapter.

18 (2) The manufacturer or distributor has violated Penal Code sections 330a, 330b, 330.1, or  
19 330.8.

20 (c) This section shall become operative on August 1, 2003, and applies to reports for all  
21 quarters beginning with the report for the third quarter of 2003, which report shall contain data  
22 reflecting the new requirements for the months of July, August, and September.

23 Note: Authority cited: Sections 19801(g), 19823, 19824, 19827(a)(1), 19840 and 19841(r), Business and  
24 Professions Code. Reference: Sections 19841(r), 19930 and 19931, Business and Professions Code.

25 **§ 12304. Fines.**

26 (a) In addition to, or in lieu of, any denial or revocation of registration under Section  
27 12303(b), any violation of this chapter other than as provided in subsection (c) of this section  
28 shall be subject to a fine not to exceed ten thousand dollars (\$10,000) upon first offense and  
29 twenty thousand dollars (\$20,000) upon any second or subsequent offense for each separate  
30 violation, as provided by Business and Professions Code section 19930, subdivision (c).

31 (b) Each day a violation continues shall be deemed a separate violation commencing after  
32 receipt of notice of violation by the manufacturer or distributor from the ~~Commission or~~ Bureau

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1 or 30 days after commencement of the violation, whichever first occurs.

2 (c) A manufacturer or distributor shall be liable for a civil penalty not to exceed five hundred  
3 dollars (\$500) per business day for each business day that the report required by Section 12303,  
4 subsection (a), paragraph (1), is overdue. For purposes of this chapter, the report shall be  
5 deemed overdue if not received by ~~the Commission~~ the Bureau within 30 calendar days  
6 following the last day of the calendar quarter for which the report is required.

7 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code. Reference:  
8 Sections 19841(r), 19930 and 19931, Business and Professions Code.

9

10 **§ 12305. Availability of Records.**

11 (a) Copies of any and all records provided to the ~~Commission~~ Bureau by applicants and  
12 registrants under this chapter shall be provided, upon request, to the ~~Bureau~~ Commission and  
13 made available, upon request, to any law enforcement agency.

14 (b) Upon request of the Commission, copies of the following records shall be provided by  
15 the Bureau to the Commission:

16 (1) Any and all records received by the Bureau from manufacturers and distributors,

17 (2) Any and all transportation agreements and amendments to transportation agreements  
18 entered into with gaming tribes under the Tribal-State Gaming Compacts referred to in Section  
19 12306,

20 (3) Any and all records received by the Bureau pursuant to transportation agreements  
21 entered into with gaming tribes under the Tribal-State Gaming Compacts referred to in Section  
22 12306.

23 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code. Reference:  
24 Sections 19805(b) and 19841, Business and Professions Code.

25 **§ 12309. Forms.**

26 (a) Applications for registration under Section 12301(b) shall be submitted on the  
27 Application for Registration of Manufacturers or Distributors of Gambling Equipment, ~~CGCC-~~  
28 ~~025 (Rev. 06/12)~~ BGC-025 (Rev. 04/13), which is hereby incorporated by reference.

29 (b) Quarterly Report, ~~CGCC-040 (Rev. 04/08)~~ BGC-040 (Rev. 04/13), which is hereby  
30 incorporated by reference, may but need not be used for submission of reports required by  
31 Section 12303.

32 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19864, Business and Professions Code.  
33 Reference: Sections 19841(r) and 19951(a), Business and Professions Code; Section 2015.5, Code of Civil

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1 Procedure; Section 330.8, Penal Code; Chapter 24 (commencing with Section 1171) of Title 15 of the United States  
2 Code.

3

4 **§ 12310. Uniform Tribal Gaming Regulation Exemption.**

5 There shall be exempt from this chapter all class B manufacturers and distributors that are  
6 subject to requirements of a Tribal Gaming Agency pursuant to a uniform regulation (1) that has  
7 been approved by the Association of Tribal and State Gaming Regulators, and is in effect as  
8 provided in section 8.4.1 of the Tribal-State Gaming Compacts, and (2) that includes the  
9 requirement for manufacturers and distributors to provide quarterly reports to the ~~Commission~~  
10 Bureau pertaining to gaming device shipments pursuant to the Transportation Agreements  
11 entered into by Tribal Gaming Agencies and the State Gaming Agency pursuant to section 7.4.5  
12 of the Tribal-State Gaming Compacts, which reports are verified by a declaration under penalty  
13 of perjury signed by the designated representative of the manufacturer or distributor that the  
14 report is true and correct.

15 Note: Authority cited: Sections 19823, 19824, 19840 and 19841(r), Business and Professions Code. Reference:  
16 Section 19841(r), Business and Professions Code.

17

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

20

ARTICLE 2. GAMBLING LICENSES.

21 **§ 12342. Initial Gambling License Applications; Required Forms; Processing Times.**

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

24 (1) Application for State Gambling License, ~~CGCC-030 (Rev. 06/12)~~ BGC-030 (Rev. 04/13).

25 (2) Gambling Establishment Owner Applicant-Individual Supplemental Background  
26 Investigation Information, BGC-APP-015A (Rev. 04/08).

27 (3) Gambling Establishment Owner Entity Supplemental Information for State Gambling  
28 License, BGC-APP-015B (Rev. 04/08).

29 (4) Gambling Establishment Supplemental Information for State Gambling License, BGC-  
30 APP-015C (Rev. 04/08).

31 (5) Cardroom Applicant's Spouse Supplemental Background Information for State Gambling  
32 License, BGC-APP-009A (Rev. 12/11).

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- 1 (6) Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08).
- 2 (7) Declaration of Full Disclosure, BGC-APP-005 (Rev. 11/07).
- 3 (8) Authorization to Release Information, BGC-APP-006 (Rev. 04/08).
- 4 (9) Applicant's Declaration, Acknowledgment and Agreement (Community Property
- 5 Interest), BGC-APP-011 (Rev. 11/07).
- 6 (10) Applicant's Declaration, Acknowledgment and Agreement (Sole and Separate Property),
- 7 BGC-APP-012 (Rev. 11/07).
- 8 (11) Spouse's Declaration, Acknowledgment and Agreement (Community Property Interest),
- 9 BGC-APP-013 (Rev. 11/07).
- 10 (12) Spouse's Declaration, Acknowledgment and Agreement (Sole and Separate Property),
- 11 BGC-APP-014 (Rev. 11/07).
- 12 (13) Appointment of Designated Agent, BGC-APP-008 (Rev. 11/07).
- 13 (14) Key Employee Report, BGC-APP-LIC-101 (Rev. 11/07).
- 14 (15) Instructions to Applicant's Spouse, BGC-APP-010 (Rev. 05/08).
- 15 (16) Notice to Applicants, BGC-APP-001 (Rev. 11/07).
- 16 (17) Request for Live Scan Service (California Department of Justice Form BCII 8016, (Rev.
- 17 03/07)).
- 18 (18) Request for Copy of Personal Income Tax or Fiduciary Return, FTB-3516C1 (Rev.
- 19 06/03 side 1-PIT).
- 20 (19) Request for Copy of Corporation, Exempt Organization, Partnership, or Limited
- 21 Liability Company Return FTB-3516C1 (Rev. 06/03-side 2-CORP).
- 22 (20) Request for Transcript of Tax Return IRS 4506-T, (Rev. 01/08).
- 23 (b) Except as provided in subsection (c), initial gambling license applications submitted
- 24 pursuant to this chapter shall be processed within the following timeframes:
- 25 (1) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in
- 26 writing that an application or a resubmitted application is complete and accepted for initial
- 27 processing ~~by the Commission~~, or that an application or a resubmitted application is deficient
- 28 and identifying what specific additional information is required, is 20 days after receipt of the
- 29 application. For the purposes of this section, "application" means the Application for State
- 30 Gambling License, ~~CGCC-030~~ BGC-030, as referred to in paragraph (1) of subsection (a) of this
- 31 section. An application is not complete unless accompanied by the fee specified in subsection

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1 (a) of Section 12008 for a gambling license. In addition, an applicant shall submit with the  
2 application, any supplemental information required in paragraph (a) of this section for review by  
3 the Bureau pursuant to paragraph (32) of this subsection. ~~The Commission shall not review the~~  
4 ~~supplemental information for completeness.~~

5 ~~(2) An application for a gambling license and the supplemental information shall be~~  
6 ~~forwarded by the Commission to the Bureau within 10 days of the date that the Commission~~  
7 ~~determines that the application is complete.~~

8 (32) The Bureau shall review the supplemental information submitted for completeness and  
9 notify the applicant of any deficiencies in the supplemental information, or that the supplemental  
10 information is complete, within 30 days of the date that the application and supplemental  
11 information are received by the Bureau ~~from the Commission~~. Notwithstanding this subsection,  
12 subsequent to acceptance of the supplemental information as complete, the Bureau may, pursuant  
13 to Business and Professions Code section 19866, require the applicant to submit additional  
14 information.

15 (43) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent  
16 practicable, submit its recommendation to the Commission within 180 days after the date the  
17 Bureau is in receipt of both the completed application ~~pursuant to paragraph (2) of this~~  
18 ~~subsection~~ and the completed supplemental information pursuant to paragraph (31) of this  
19 subsection. If the Bureau has not concluded its investigation within 180 days, then it shall  
20 inform the applicant and the Commission in writing of the status of the investigation and shall  
21 also provide the applicant and the Commission with an estimated date on which the investigation  
22 may reasonably be expected to be concluded.

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

27 (c) The processing times specified in subsection (ab) may be exceeded in any of the  
28 following instances:

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

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

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

3 Note: Authority cited: Sections 19811, 19824, 19840 and 19841, Business and Professions Code. Reference:  
4 Sections 19841, 19850, 19851, 19852, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19868, 19880, 19881,  
5 19883, 19890, 19893, 19951 and 19982, Business and Professions Code.

6

7 **§ 12345. Gambling License Renewals; Processing Times.**

8 (a) A complete application for renewal of a gambling license shall be timely filed by the  
9 owner-licensee with the ~~Commission~~ Bureau no later than 120 days prior to the expiration of the  
10 current license. To be timely, the complete application for renewal must ~~either~~ be received by  
11 the ~~Commission~~ Bureau no later than the date due or, if delivered by mail, be postmarked no  
12 later than the date due. If the complete application is filed less than 110 days prior to the  
13 expiration date of the current license, the application of the owner-licensee and each individual  
14 application required pursuant to subsection (b) shall be deemed delinquent. For the purposes of  
15 this section, a “complete application” shall consist of all of the following for the owner-licensee  
16 and each person whose name is required to be endorsed upon the license of the owner-licensee,  
17 as specified in subsection (b):

18 (1) A completed and executed “Application for State Gambling License, ~~CGCC 030~~ BGC-  
19 030,” as referred to in paragraph (1) of subsection (a) of Section 12342;

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

22 (3) Any applicable investigation deposit specified in Title 11, Cal Code Regs., Section 2037.  
23 However, if, after a review of an application for renewal of a gambling license, the Bureau  
24 determines that further investigation is needed, the applicant shall submit an additional sum of  
25 money that, in the judgment of the Chief of the Bureau, will be adequate to pay the anticipated  
26 investigation and processing costs, in accordance with Business and Professions Code section  
27 19867.

28 (b) Each person whose name is required to be endorsed upon the license of a particular  
29 gambling enterprise shall complete and execute a separate application for renewal of that  
30 person's license. All applications for renewal of the endorsed licensees' gambling licenses for a  
31 particular gambling enterprise shall be submitted to the ~~Commission~~ Bureau together with the  
32 owner-licensee's application in a single package, as provided in subsection (a).

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1 (c) Except as provided in subsection (d), renewal gambling license applications submitted  
2 pursuant to subsections (a) and (b) of this section shall be processed within the following  
3 timeframes:

4 (1) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
5 writing that an application or a resubmitted application is complete and accepted for initial  
6 processing ~~by the Commission~~, or that an application or a resubmitted application is deficient  
7 and identifying what specific additional information is required, is 10 days after receipt of the  
8 application.

9 ~~(2) An application for renewal of a gambling license shall be forwarded by the Commission~~  
10 ~~to the Bureau for processing within five days of the date that the Commission determines that the~~  
11 ~~application is complete.~~

12 ~~(3)~~ The Bureau shall submit its written report concerning the renewal application, which may  
13 include a recommendation pursuant to Business and Professions Code section 19826, subdivision  
14 (a), to the Commission no later than 45 days prior to the expiration of the current license.

15 (d) The processing times specified in ~~paragraphs (1) through and including (3) of~~ subsection  
16 (c) may be exceeded in any of the following instances:

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

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

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

22 (4) The application was filed with the ~~Commission~~ Bureau less than 120 days prior to the  
23 expiration of the current license.

24 (e) If the Bureau and the Commission cannot complete their review and approval of the  
25 application prior to the expiration of the existing license due to the late submittal of the renewal  
26 application, the gambling enterprise shall cease all gambling operations on the expiration date of  
27 the license and gambling operations shall not resume until the renewal application is approved by  
28 the Commission, unless the license has been extended as provided in subdivision (c) of section  
29 19876 of the Business and Professions Code.

30 (f) If a licensee has not submitted a complete renewal application, including all required fees  
31 and deposits, within 10 days after the expiration date of the current license, the license shall be

1 deemed abandoned. A license that has been deemed abandoned pursuant to this subsection shall  
2 be subject to the provisions of subsection (b) of Section 12347.

3 Note: Authority cited: Sections 19811, 19824, 19840, 19841 and 19951, Business and Professions Code.  
4 Reference: Sections 19826, 19851, 19868, 19876 and 19951, Business and Professions Code.

5

6 **§ 12349. Interim Licenses for Continued Operation Following Qualifying Events; Criteria;**  
7 **Processing Times; Conditions.**

8 (a) For the purposes of this section, the following definitions apply:

9 (1) “Applicant” means a new owner of a gambling enterprise or individual in control of an  
10 ownership interest, who makes application to the ~~Commission~~ Bureau for an interim gambling  
11 license pursuant to subsection (c).

12 (2) “Interim gambling license” means a license issued by the Commission which permits the  
13 interim operation of a gambling enterprise following a qualifying event, during which time the  
14 ~~Commission~~ Bureau processes and the Commission considers an application for a regular  
15 gambling license from a new owner.

16 (3) “New owner” means an individual who is a trustee (other than a trustee in bankruptcy),  
17 beneficiary, successor in interest, or security interest holder who becomes an owner of, or  
18 obtains an ownership interest in a gambling enterprise as a result of a qualifying event.

19 (4) “Qualifying event” means an event, such as those specified in Business and Professions  
20 Code section 19841, subdivision (s), that results in a change in the ownership or in the control of  
21 the ownership interest of a gambling enterprise and prevents the gambling enterprise from  
22 conducting gambling operations because the new owner or individual in control does not hold a  
23 valid gambling license for that gambling enterprise, as required by Business and Professions  
24 Code sections 19850, 19851, 19852 or 19855. A qualifying event does not include any planned  
25 or negotiated transaction where a current licensee retains the capacity and authority to continue  
26 gambling operations until approval of the transaction and issuance of any new gambling license  
27 by the Commission (e.g., a sale, the transfer of shares, incorporation, etc.).

28 (5) “Regular gambling license” means a gambling license issued by the Commission  
29 pursuant to Section 12342.

30 (b) Subject to the provisions of the Act, this division and Title 11, Division 3, of the  
31 California Code of Regulations, a gambling enterprise may continue gambling operations  
32 following a qualifying event only if an owner or a licensed person affiliated with the gambling

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1 enterprise has control of the gambling operations, the Commission is notified of the qualifying  
2 event within 10 calendar days of that event, and the new owner, or individual in control of the  
3 ownership interest, submits a request for an interim gambling license to the ~~Commission~~ Bureau  
4 as provided in subsection (c). Gambling operations shall be immediately terminated if the  
5 Commission denies an applicant's request for an interim gambling license, or approves an  
6 applicant's request to withdraw that application, and no other person has applied for or been  
7 granted an interim or regular gambling license for that gambling enterprise.

8 (c)(1) In order to be considered for an interim gambling license, a new owner, or individual  
9 in control of the ownership interest, must submit all of the following within 30 calendar days of a  
10 qualifying event:

11 (A) All forms, fees, and deposits for a regular gambling license application required by  
12 Sections 12341, 12342, and Title 11, Cal Code Regs., Section 2037;

13 (B) A signed written request for an interim gambling license that describes the qualifying  
14 event and identifies the person who will control and oversee gambling operations; and

15 (C) A copy of any document that evidences the succession to the owner-licensee's interest in  
16 the gambling enterprise, which may include, as applicable, any of the following:

17 1. In the case of the death of an owner-licensee, a copy of the death certificate; or

18 2. In the case of the incapacity of an owner-licensee, a copy of any document that evidences  
19 the owner-licensee's incapacity and the appointment of a conservator; or

20 3. In the case of insolvency, foreclosure or receivership of a gambling enterprise, a copy of  
21 any pertinent agreement, note, mortgage, lease, deed of trust, and any document, notice or order  
22 that evidences the insolvency, foreclosure or receivership.

23 (2) The time period for submission specified in paragraph (1) may be extended, at the  
24 discretion of the Commission or the Executive Director, if the new owner, or individual in  
25 control of the ownership interest, is able to provide satisfactory evidence of any facts or  
26 circumstances that interfere with timely submission, including but not limited to, a lack of actual  
27 knowledge of the occurrence of the qualifying event, and that all appropriate and reasonable  
28 actions have been taken to overcome those impediments.

29 (d) A request for an interim gambling license shall be ancillary to and concurrent with an  
30 application for a regular gambling license. The application for a regular gambling license shall  
31 be processed in accordance with Section 12342. The request for an interim gambling license

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1 shall be processed as follows:

2 (1) The maximum time within which the ~~Executive Director~~ Bureau shall notify the applicant  
3 in writing that a request for an interim gambling license is complete and accepted for filing, or  
4 that a request is deficient and identifying what specific additional information is required, is 10  
5 calendar days after receipt of the request. If additional information is required, the ~~Executive~~  
6 ~~Director~~ Bureau shall allow the applicant 10 calendar days to submit the additional information.  
7 If the requested information is not supplied within 10 calendar days, the request for an interim  
8 gambling license shall be considered abandoned and no further action shall be taken on the  
9 request. A gambling enterprise shall immediately terminate gambling operations if a request for  
10 an interim gambling license is abandoned by the applicant and no other person has applied for or  
11 been granted an interim or regular gambling license for that gambling enterprise.

12 (2) Once the ~~Executive Director~~ Bureau determines that a request for an interim gambling  
13 license is complete, the matter shall be set for consideration at a noticed Commission meeting.  
14 Pursuant to the provisions of the Act and this division, the Commission shall grant or deny the  
15 request for an interim gambling license within 60 calendar days after receipt of the request. A  
16 request for an interim gambling license shall be denied by the Commission if the applicant is  
17 disqualified for any reason set forth in section 19859 of the Business and Professions Code.

18 (e) All of the following criteria shall apply to a request for an interim gambling license:

19 (1) In the event a regular gambling license is issued to an applicant prior to action by the  
20 Commission on any related request for an interim gambling license, the request for an interim  
21 gambling license shall be deemed withdrawn and no further action shall be taken on that request.

22 (2) If a request for withdrawal of an application for a regular gambling license is submitted  
23 before the Bureau's recommendation is made regarding that application, any related request for  
24 an interim gambling license shall be deemed withdrawn and no further action shall be taken on  
25 that request.

26 (3) Denial of a request for an interim gambling license, or cancellation of an interim  
27 gambling license, shall not suspend or otherwise affect the processing and review of the related  
28 application for a regular gambling license.

29 (f) All of the following conditions shall apply to an interim gambling license granted by the  
30 Commission:

31 (1) Upon issuance or denial of a regular gambling license, any related interim gambling

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1 license shall become invalid.

2 (2) The term of an interim gambling license shall be determined by the Commission and shall  
3 be based in part on the time necessary to process and consider the application for a regular  
4 gambling license.

5 (3) Issuance of an interim gambling license does not prejudice or obligate the Commission to  
6 grant a regular gambling license. Issuance of a regular gambling license is subject to the results  
7 of a complete background investigation by the Bureau, the conduct of the applicant during the  
8 term of the interim gambling license, and final approval of the Commission pursuant to Sections  
9 12342 and 12346.

10 (4) Issuance of an interim gambling license does not create a vested right in the holder to  
11 either an extension of the interim gambling license or the issuance of a regular gambling license.

12 (5) Issuance of an interim gambling license does not change the qualification, or  
13 disqualification, requirements for a regular gambling license under the Act or this division.

14 (6) The holder of an interim gambling license shall provide ~~the Commission and~~ the Bureau  
15 with the name of any newly-appointed key employee within 30 days following the appointment  
16 of that key employee. Within 30 days of its occurrence, the holder of an interim gambling  
17 license shall also provide ~~the Commission and~~ the Bureau with the name of any person who  
18 provides any service or property to the gambling enterprise under any arrangement whereby the  
19 person receives payment based on the earnings, profits or receipts of the gambling enterprise.

20 (7) The holder of an interim gambling license shall pay all applicable annual fees associated  
21 with a regular gambling license.

22 (8) The holder of an interim gambling license shall comply with the provisions of the Act,  
23 this division and Title 11, Division 3, of the California Code of Regulations.

24 (9) During the term of an interim gambling license, any proceeds derived from the operation  
25 of the gambling enterprise that would otherwise be payable to a new owner shall be held in an  
26 escrow account and not disbursed until the disposition of ownership interest has been resolved  
27 and received Commission approval and all owners of the gambling enterprise have been  
28 approved by the Commission for a regular gambling license pursuant to Section 12342. This  
29 paragraph shall not prevent the payment of any taxes, operating expenses, preexisting  
30 obligations, preexisting dependent support or any other distribution of proceeds that is approved  
31 by the Commission.

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1 (10) The Commission, in its sole discretion and on an individual case-by-case basis, may  
2 impose any additional conditions necessary to address particular factual situations related to a  
3 request for an interim gambling license.

4 (g) If, as a result of a qualifying event, a new owner intends to sell his or her interest in the  
5 gambling enterprise without first obtaining an interim or regular gambling license, he or she shall  
6 provide written notification to the ~~Commission~~ Bureau of that intent within 30 calendar days of  
7 that qualifying event.

8 (h) If, during the term of an interim gambling license, the Executive Director determines that  
9 the holder of that license is disqualified for any of the reasons set forth in Business and  
10 Professions Code section 19859, or may have violated one or more of the conditions under which  
11 the interim gambling license was issued, the Executive Director shall prepare and serve on the  
12 license holder an order to show cause as to why the interim gambling license should not be  
13 cancelled. The holder of the interim gambling license shall be given 30 days to respond in  
14 writing. After receipt of the license holder's response, or if the license holder fails to respond  
15 within the specified time, the matter shall be set for consideration at a noticed Commission  
16 meeting. The interim license holder may address the Commission by way of an oral or written  
17 statement, or both, at the Commission meeting. If the Commission acts to cancel the interim  
18 gambling license, the license holder may request an evidentiary hearing, in writing, either at that  
19 meeting or within 10 calendar days following that meeting. Any evidentiary hearing shall be  
20 conducted in accordance with the applicable provisions of subsection (b) of Section 12050 of this  
21 division.

22 (i) This section shall not preclude the Commission from issuing temporary licenses pursuant  
23 to Business and Professions Code section 19824, subdivision (f).

24 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853 and 19870, Business  
25 and Professions Code. Reference: Sections 19824, 19841(s), 19850, 19851, 19855, 19857, 19859, 19869 and  
26 19870(b), Business and Professions Code.

27  
28 **ARTICLE 3. PORTABLE PERSONAL KEY EMPLOYEE LICENSE.**

29 **§ 12350. Initial Licenses; Required Forms; Processing Times.**

30 (a) Except as provided in Business and Professions Code section 19883 and Section 12354,  
31 no person may be associated with a gambling enterprise as a key employee without a valid key  
32 employee license issued by the Commission.

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1 (b) A key employee license, including an interim key employee license, shall be valid for a  
2 period of two (2) years. If an interim key employee license is issued pursuant to Section 12354,  
3 the term of the subsequently issued initial key employee license shall be for the remaining  
4 unexpired term of the interim license.

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

6 (1) A completed “Application for Gambling Establishment Key Employee License ~~CGCC-~~  
7 ~~031 (Rev. 06/12)~~, BGC-031 (Rev. 04/13),” which is attached in Appendix A to this chapter.

8 (2) A nonrefundable application fee in the amount specified in subsection (b) of Section  
9 12008 for a key employee license.

10 (3) A two by two inch color passport-style photograph taken no more than 30 days before  
11 submission to the ~~Commission~~ Bureau of the key employee application.

12 (4) Key Employee Supplemental Background Investigation Information, BGC-APP-016A  
13 (Rev. 08/09), which is hereby incorporated by reference.

14 (5) Authorization to Release Information, BCG-APP-006, as referred to in paragraph (8),  
15 subsection (a) of Section 12342.

16 (6) Request for Live Scan Service, BCII 8016, as referred to in paragraph (17), subsection (a)  
17 of section 12342.

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

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

31 (2) ~~An application for a key employee license and the supplemental information shall be~~

1 ~~forwarded by the Commission to the Bureau within five working days of the date that the~~  
2 ~~Commission determines that the application is complete.~~

3 (32) The Bureau shall review supplemental information submitted for completeness and  
4 notify the applicant of any deficiencies in the supplemental information, or that the supplemental  
5 information is complete, within 30 days of the date that the application and supplemental  
6 information are received by the Bureau ~~from the Commission~~. Notwithstanding this subsection,  
7 subsequent to acceptance of the supplemental information as complete, the Bureau may, pursuant  
8 to Business and Professions Code section 19866, require the applicant to submit additional  
9 information.

10 (43) Pursuant to Business and Professions Code section 19868, the Bureau shall, to the extent  
11 practicable, submit its recommendation to the Commission within 180 days after the date the  
12 Bureau is in receipt of both the completed application ~~pursuant to paragraph (2) of this~~  
13 ~~subsection~~ and the completed supplemental information ~~pursuant to paragraph (3) of this~~  
14 ~~subsection~~. If the Bureau has not concluded its investigation within 180 days, then it shall  
15 inform the applicant and the Commission in writing of the status of the investigation and shall  
16 also provide the applicant and the Commission with an estimated date on which the investigation  
17 may reasonably be expected to be concluded.

18 (54) The Commission shall grant or deny the application within 120 days after receipt of the  
19 final recommendation of the Bureau concerning the application, except that the Commission may  
20 notify the applicant in writing that additional time, not to exceed 30 days, is needed.

21 (e) The processing times specified in subsection (d) may be exceeded in any of the following  
22 instances:

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

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

26 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841 and 19876(a), Business and Professions Code.  
27 Reference: Sections 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, 19867, 19876(a),  
28 19951 and 19982, Business and Professions Code.

29

30 **§ 12351. License Renewals; Required Forms; Processing Times.**

31 (a) Each application for renewal of a portable personal key employee license shall be  
32 accompanied by all of the following:

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1 (1) A completed “Application for Gambling Establishment Key Employee License, ~~CGCC-~~  
2 ~~031~~ BGC-031,” as referred to in paragraph (1) of subsection (c) of Section 12350.

3 (2) A nonrefundable application fee in the amount specified in subsection (b) of Section  
4 12008 for a key employee license.

5 (3) A two inch by two inch color passport-style photograph taken no more than 30 days  
6 before submission to the ~~Commission~~ Bureau of the key employee renewal application.

7 (b) If, after a review of an application for renewal of a key employee license, the Bureau  
8 determines that further investigation is needed, the applicant shall submit a sum of money that, in  
9 the judgment of the Chief of the Bureau, will be adequate to pay the anticipated investigation and  
10 processing costs, in accordance with Business and Professions Code section 19867.

11 (c) Except as provided in subsection (d), key employee renewal license applications shall be  
12 processed within the following timeframes:

13 (1) An application for renewal of a key employee license shall be filed by the key employee  
14 with the ~~Commission~~ Bureau no later than 120 days prior to the expiration of the current license.

15 (2) The maximum time within which the ~~Commission~~ Bureau shall notify the applicant in  
16 writing that an application or a resubmitted application is complete and accepted for initial  
17 processing ~~by the Commission~~, or that an application or a resubmitted application is deficient  
18 and identifying what specific additional information is required, is five working days after  
19 receipt of the application. For the purposes of this section, “application” means the Application  
20 for Gambling Establishment Key Employee License, ~~CGCC-031~~ BGC-031, as referred to in  
21 paragraph (1) of subsection (c) of Section 12350. An application is not complete unless  
22 accompanied by the fee as specified in subsection (b) of Section 12008 for a key employee  
23 license.

24 (3) ~~A renewal application for a key employee license shall be forwarded by the Commission~~  
25 ~~to the Bureau for processing within five days of the date that the Commission determines that the~~  
26 ~~application is complete.~~

27 (4) If the Bureau conducts an investigation, it shall submit a written report concerning the  
28 renewal application, which may include a recommendation pursuant to Business and Professions  
29 Code section 19826, subdivision (a), to the Commission no later than 45 days prior to the  
30 expiration of the current license, unless that application is filed with the ~~Commission~~ Bureau less  
31 than 120 days prior to the expiration of the current license.

1 (d) The processing times specified in subsection (c) may be exceeded in any of the following  
2 instances:

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

4 (2) The Commission or the Bureau must rely on another public or private entity for all or part  
5 of the processing and the delay is caused by that other entity.

6 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19851, 19854 and 19951, Business and  
7 Professions Code. Reference: Sections 19826, 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865,  
8 19866 and 19867, Business and Professions Code.

9

10 **§ 12352. Employment Status Notification; Replacement License; Required Forms;**  
11 **Processing Times.**

12 (a) The holder of a valid key employee license shall notify the ~~Commission~~ Bureau within 10  
13 days of acceptance or termination of employment with a gambling enterprise by submitting a  
14 completed Notification of Change in Key Employee Employment Status, ~~CGCC-033 (Rev.~~  
15 ~~06/12)~~ BGC-033 (Rev. 04/13), which is attached in Appendix A to this chapter.

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

19 (A) A completed Request for Replacement Key Employee License, ~~CGCC-034 (New 08/09)~~  
20 BGC-034 (Rev. 04/13), which is attached in Appendix A to this chapter.

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

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

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

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

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

32 (5) Applications submitted pursuant to paragraph (1) of this subsection shall be processed

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1 within the following time frames:

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

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

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

11 **§ 12354. Interim Key Employee Licenses; Processing Times.**

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

15 (1) An Application for Interim Key Employee License, ~~CGCC-035 (Rev. 06/12)~~ BGC-035  
16 (Rev. 04/13), which is attached in Appendix A to this chapter.

17 (2) A nonrefundable application fee pursuant to subsection (b) of Section 12008.

18 (3) A copy of the employee's valid work permit issued pursuant to section 19912 of the  
19 Business and Professions Code for any gambling enterprise.

20 (4) A two inch by two inch color passport-style photograph taken no more than 30 days  
21 before submission to the ~~Commission~~ Bureau of the interim key employee application, which  
22 shall be in addition to the photograph submitted for the initial portable personal key employee  
23 license.

24 (b) Applications for issuance of an interim key employee license ~~by the Executive Director~~  
25 shall be processed within the following timeframes:

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

30 (2) An interim key employee license shall be either granted or denied within 15 working days  
31 after the filing of a complete application.

32 (c) Interim key employee license approvals are subject to the following conditions:

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1 (1) An application package for an initial portable personal key employee license as required  
2 in subsection (c) of Section 12350 must be submitted to the ~~Commission~~ Bureau within 30 days  
3 of assuming a key employee position.

4 (2) An interim license shall be valid for a period of two years from the date it is issued.

5 (3) Issuance of an interim license does not obligate the Commission to issue a regular key  
6 employee license.

7 (4) Issuance of an interim license has no bearing on the question of whether the holder will  
8 qualify for issuance of any Commission permit, registration, or license.

9 (5) The interim key employee shall cease working in a key employee position if, during the  
10 term of the interim license, any of the following occurs:

11 (A) The application for key employee license is abandoned or denied.

12 (B) The interim key employee's work permit expires, is revoked, or is cancelled before the  
13 key employee license is approved.

14 (C) The Executive Director notifies the applicant and gambling enterprise that the interim  
15 status is cancelled pursuant to subsection (e); of this section.

16 (d) Upon issuance or denial of a regular key employee license by the Commission, the  
17 interim license previously issued shall become invalid and shall not be used thereafter.

18 (e) With ten day's advance written notice to the interim key employee and to the gambling  
19 enterprise, the Executive Director shall cancel the interim key employee license based upon the  
20 following:

21 (1) Evidence showing that the applicant has sustained any disqualifying criminal convictions;

22 (2) Evidence showing that the applicant is statutorily ineligible for a key employee license  
23 under the Act;

24 (3) Evidence which discloses that having the applicant serve as an interim key employee  
25 pending determination of their application may in the judgment of the Executive Director present  
26 a danger to the public or to the reputation of controlled gambling in this state;

27 (4) A determination by the Executive Director that the applicant has failed to reveal any fact  
28 that is material to, or supplied materially untrue or misleading information on, the applicant's key  
29 employee license application;

30 (5) A Bureau recommendation of denial of the applicant's key employee application;

31 (6) Referral by the Commission of the applicant to an evidentiary hearing with direction to

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1 the Executive Director to cancel the interim key employee status; or

2 (7) A determination by the Executive Director that the gambling enterprise using the interim  
3 key employee procedure has shown a pattern or practice of hiring or promoting persons to key  
4 employee positions in violation of subsection (a) above or that the gambling enterprise has acted  
5 in bad faith, with actual knowledge that the persons hired or promoted would be ineligible for  
6 licensure.

7 (f) Within ten days of the date of notice of a cancellation of interim status pursuant to this  
8 section, the gambling enterprise shall notify the ~~Commission~~ Bureau in writing of the effective  
9 date of the position change for or suspension of the employee, and shall describe the employee's  
10 revised job duties, if any.

11 (g) Judicial review of a cancellation of interim status shall be by petition pursuant to section  
12 1085 of the Code of Civil Procedure.

13 (h) This section shall apply to any individual employed in the capacity of a key employee,  
14 whether employed in a gambling establishment owned by a non-corporate licensee or by a  
15 corporate licensee, as provided in Business and Professions Code section 19883.

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

19

20 ARTICLE 4. ANNUAL FEE; REQUESTS FOR ADDITIONAL TABLES.

21 **§ 12357. Annual Fee.**

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

29 (1) The annual fee specified in subdivision (c) of section 19951 shall be based on the number  
30 of tables authorized by the license at the close of the gambling enterprise's preceding fiscal year.

31 (2) The annual fee specified in subdivision (d) of section 19951 shall be based on the  
32 gambling enterprise's gross revenues for the preceding fiscal year.

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1 (b) Each owner-licensee shall submit, with their payment of the annual fee specified in this  
2 section, a completed Gambling Establishment Annual Fee Calculation; form ~~CGCC-028 (Rev.~~  
3 ~~06/11)~~, BGC-028 (Rev. 04/13), which is hereby incorporated by reference.

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

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

10  
11 **§ 12358. Request for Additional Temporary Tables for Tournaments or Special Events.**

12 (a) An owner licensee of a gambling establishment may apply to operate, on a limited and  
13 temporary basis, for a tournament or special event (hereinafter, event), more tables than the  
14 gambling establishment is authorized to regularly operate. To apply for additional tables, the  
15 applicant must submit to the ~~Commission~~ Bureau, no less than 45 days prior to the event, the  
16 following for each event:

17 (1) A completed and signed application form entitled “Request for a Certificate to Operate  
18 Additional Tables on a Temporary Basis” ~~CGCC-024 (Rev. 05/11)~~, BGC-024 (Rev. 04/13),  
19 which is attached in Appendix A to this chapter.

20 (2) A non-refundable application fee of \$500 plus a Bureau review deposit pursuant to  
21 ~~California Code of Regulations~~, Title 11, Cal Code Regs., Section 2037, made payable to the  
22 ~~California Gambling Control Commission~~ Bureau of Gambling Control.

23 (3) Fees for the additional tables, as calculated according to the form in paragraph (1) of this  
24 subsection.

25 (b) The Commission shall not grant the application if a review by the Bureau discloses any of  
26 the following:

27 (1) The requested temporary increase in the number of tables would exceed the number of  
28 tables allowed to be operated by the local jurisdiction for either the particular cardroom or the  
29 jurisdiction where the gambling establishment is located.

30 (2) The requested temporary increase in the number of tables has been denied by the local  
31 jurisdiction where the gambling establishment is located.

32 (3) The gambling establishment's state gambling license is suspended or contains conditions

1 precluding the approval of a temporary increase in the number of tables.

2 (4) The gambling establishment has outstanding fees, deposits, fines, or penalties owing to  
3 the Commission or to the Bureau.

4 (c) The Commission may deny the application if the application as submitted was untimely  
5 or incomplete.

6 (d) A request by an applicant to withdraw the application shall result in the application being  
7 considered abandoned, and the fees for the additional tables and unused deposit amounts  
8 returned, with no further action to be taken by the Commission or Bureau.

9 ~~(e) The Commission may delegate the authority to deny the requested temporary increase or~~  
10 ~~to issue a license certificate approving the requested temporary increase in the number of tables~~  
11 ~~to any employee of the Commission. Commission staff shall commence the initial review and~~  
12 ~~shall forward the application to the Bureau for review within 7 days of receipt of the application.~~  
13 The Bureau shall complete its review of the application and ~~return~~ submit its findings to the  
14 Commission within 25 days of receipt of the application ~~from the Commission~~. The  
15 ~~Commission staff shall then complete the review~~ either approve or deny the request within 13  
16 days of receiving the Bureau's findings and notify the applicant, in writing, of its decision. The  
17 Commission may delegate the authority to deny the requested temporary increase or to issue a  
18 license certificate approving the requested temporary increase in the number of tables to any  
19 employee of the Commission.

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

22

23 **§ 12359. Request for Additional Permanent Tables.**

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

26 (1) A completed and signed application form entitled “Application for Additional Authorized  
27 Permanent Tables,” ~~CGCC-027 (Rev. 05/11)~~ BGC-027 (Rev. 04/13), which is attached in  
28 Appendix A to this chapter.

29 (2) A non-refundable application fee of \$500 plus a Bureau review deposit pursuant to  
30 ~~California Code of Regulations~~, Title 11, Cal Code Regs., Section 2037, made payable to the  
31 ~~California Gambling Control Commission~~ Bureau of Gambling Control.

32 (b) The Commission shall not grant the application if any of the following are disclosed by

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1 the application or the results of the investigation of the applicant by the Bureau:

2 (1) The requested increase in the number of tables would exceed the number of tables  
3 allowed to be operated by the local jurisdiction for either the particular cardroom or the  
4 jurisdiction in which the gambling establishment is located.

5 (2) The requested increase in the number of tables has been denied by the local jurisdiction in  
6 which the gambling establishment is located.

7 (3) The gambling establishment's state gambling license is suspended or is subject to  
8 conditions precluding the approval of an increase in the number of tables.

9 (4) The gambling establishment has outstanding fees, deposits, fines, or penalties owing to  
10 the Commission or to the Bureau.

11 (c) A request by an applicant to withdraw the application shall result in the application being  
12 considered abandoned and unused deposit amounts returned, with no further action to be taken  
13 by the Commission or Bureau.

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

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

24

25 **CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS.**

26 **ARTICLE 2. EMERGENCY PREPAREDNESS AND EVACUATION PLAN.**

27 **§ 12370. Emergency Planning and Preparedness.**

28 (a) As required by California Code of Regulations Title 24, Part 9, Chapter 4 (commencing  
29 with Section 401), and Title 19, Section 3.09, a gambling establishment shall prepare and  
30 maintain a fire safety and evacuation plan, conduct emergency evacuation drills and conduct  
31 employee training on the content of their fire safety and evacuation plan. Fire safety and  
32 evacuation plans, emergency evacuation drills and employee training procedures adopted

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1 pursuant to this section shall comply with, as applicable, California Code of Regulations Title  
2 24, Part 9, Chapter 4 (commencing with Section 401) and Title 19, Section 3.09, or those  
3 standards adopted by local ordinance pursuant to Health and Safety Code section 13143.5.

4 (b) Each applicant as an owner-licensee under Chapter 6 of this Division shall submit to the  
5 ~~Commission~~ Bureau one copy of a current fire safety and evacuation plan, pursuant to this  
6 section, together with those application documents required by Section 12342.

7 (c) Each licensee shall submit one copy of its current fire safety and evacuation plan,  
8 pursuant to this section, with the first biennial license renewal application submitted after the  
9 effective date of this section, and with every second renewal application submitted thereafter.

10 (d) If a licensee's fire safety and evacuation plan is revised as a result of the addition of  
11 permanent tables, or as a result of any change to the physical premises which alters the locations  
12 of phones, fire extinguishers, manual fire alarm pull stations or exits, or which alters evacuation  
13 routes or procedures, the licensee shall submit one copy of its revised fire safety and evacuation  
14 plan with the first biennial license renewal application submitted immediately following any  
15 revision, and, subsection (c) notwithstanding, with every second renewal application submitted  
16 thereafter.

17 (e) Each fire safety and evacuation plan submitted to the ~~Commission~~ Bureau pursuant to this  
18 Section shall include the following documentation, as applicable:

19 (1) If the responsible local authority provides reviews, the licensee shall send to the  
20 ~~Executive Director~~ Bureau documentation showing that the local authority approved the fire  
21 safety and evacuation plan, pursuant to Health and Safety Code section 13143.5 and California  
22 Code of Regulations Title 24, Part 9, Chapter 1, Section 111.2.1.1. Health and Safety Code  
23 section 13143.5, subdivision (f), paragraph (2), provides that any fee charged pursuant to the  
24 enforcement authority of subdivision (f) shall not exceed the estimated reasonable cost of  
25 providing the service for which the fee is charged.

26 (2) If the responsible local authority does not provide reviews, the licensee shall send the fire  
27 safety and evacuation plan to the State Fire Marshal, and shall send to the ~~Executive Director~~  
28 Bureau documentation showing that the State Fire Marshal has approved the fire safety and  
29 evacuation plan.

30 (f) Failure by a licensee to develop and implement a fire safety and evacuation plan, conduct  
31 emergency evacuation drills or conduct employee training on the content of its fire safety and

1 evacuation plan pursuant to this section, constitutes an unsuitable method of operation and also  
2 may result in denial of an application for license renewal, pursuant to Section 12348, or in the  
3 suspension or revocation of its existing license, pursuant to Chapter 10 of this division.

4 (g) In addition to any other remedy under the Act or this division, the Commission may  
5 assess a civil penalty of at least \$500 but not more than \$5000 for each violation of this section.

6 Note: Authority cited: Sections 19811, 19824 and 19840, Business and Professions Code. Reference: Sections  
7 19801, 19823, 19841, 19860, 19920 and 19924, Business and Professions Code.

8

9 **§ 12372. Security and Surveillance Plan.**

10 (a) No later than December 1, 2011, each gambling establishment in Tier I and Tier II, as  
11 provided in subsection (b) of Section 12380, shall develop and implement a written security and  
12 surveillance plan for the gambling establishment that includes, but is not limited to, provisions  
13 for the following:

14 (1) Close monitoring and control of all controlled gambling and gaming activity;

15 (2) Close monitoring and control of access to restricted areas of the gambling establishment  
16 that include, but are not limited to, cages, count rooms, vaults, security offices and surveillance  
17 rooms;

18 (3) Surveillance procedures, including video recording requirements, as applicable;

19 (4) Lighting in and around the gambling establishment;

20 (5) Specific conditions, procedures and instructions for reporting suspected criminal  
21 incidents or activity to state and local law enforcement agencies;

22 (6) Procedures for securing or protecting persons, property, assets and records.

23 (b) No later than December 1, 2011, each gambling establishment in Tiers III through and  
24 including V, as provided in subsection (b) of Section 12380, shall develop and implement a  
25 security and surveillance plan for the gambling establishment that, in addition to the  
26 requirements of subsection (a), includes, but is not limited to, provisions for the following:

27 (1) A listing of the names and job titles of the employees who are responsible for making  
28 decisions that involve the security of patrons, patrons' property, employees, employees' property,  
29 and the gambling establishment's property, cash or equivalent assets and records;

30 (2) The presence and duties of uniformed security personnel;

31 (3) Surveillance procedures, including video recording and monitoring requirements, as  
32 applicable;

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1 (4) Specific conditions, procedures and instructions for stopping controlled gambling and  
2 gaming activities; and

3 (5) Specific employee training schedules that relate to the gambling establishment's security  
4 and surveillance plan.

5 (c)(1) Each security and surveillance plan shall identify and comply with all state and local  
6 requirements and shall implement all applicable provisions of Article 3 of this chapter. Each  
7 licensee shall submit, pursuant to paragraph (2), (3) or (4), as an attachment to its security and  
8 surveillance plan, copies of identified, applicable local ordinances and any locally-issued  
9 certificate of compliance with those ordinances.

10 (2) Each applicant as an owner-licensee under Chapter 6 of this Division shall submit to the  
11 ~~Commission~~ Bureau one copy of a current security and surveillance plan, pursuant to this  
12 section, together with those application documents required by Section 12342.

13 (3) Each licensee shall submit to the ~~Commission~~ Bureau one copy of its current security and  
14 surveillance plan with the first biennial license renewal application that is submitted eighteen  
15 months after the effective date of this section, and with every second renewal application  
16 submitted thereafter.

17 (4) If a licensee's security and surveillance plan is revised as a result of the addition of  
18 permanent tables, or as a result of any change to the physical premises which alters the locations  
19 or configurations of any restricted areas of the gambling establishment, or which alters or affects  
20 any security or surveillance capabilities or procedures, the licensee shall submit one copy of its  
21 revised security and surveillance plan with the first biennial license renewal application  
22 submitted immediately following any revision to its security and surveillance plan, and,  
23 paragraph (3) notwithstanding, with every second renewal application submitted thereafter.

24 (5) If the responsible local authority provides reviews of security or surveillance plans, the  
25 licensee shall send documentation of the areas reviewed by the responsible local authority and  
26 whether or not the responsible local authority approved those areas of the security and  
27 surveillance plan under the responsible local authority's jurisdiction.

28 (d) The Bureau shall review the licensee's security and surveillance plan, including those  
29 provisions under the responsible local authority's jurisdiction, whether reviewed by the local  
30 authority or not, and those provisions not under the responsible local authority's jurisdiction. If  
31 the Bureau determines that the licensee's security and surveillance plan does not address the

1 elements set forth in this section, then the Bureau may issue a determination identifying the  
2 deficiencies and specifying a time certain within which those deficiencies shall be cured.

3 (e)(1) Each licensee shall, at least annually, provide for a review of the requirements of the  
4 security and surveillance plan with those employees that have been assigned duties under the  
5 plan, ensuring that each employee has a general understanding of the provisions of the plan  
6 applicable to his or her position and understands his or her specific duties under the plan. This  
7 annual review shall be documented, including a signature from each employee indicating that  
8 they have participated in the review and a signature from the person who provided the review.

9 (2) When a new employee begins work, the licensee, or the licensee's designate, shall review  
10 the requirements of the security and surveillance plan with the new employee, ensuring that each  
11 new employee has a general understanding of the provisions of the plan applicable to his or her  
12 position and understands his or her specific duties under the plan. This initial review shall be  
13 documented as provided in paragraph (1).

14 (f) Failure by a licensee to develop and implement a security and surveillance plan, or to cure  
15 a deficiency identified pursuant to subsection (d), constitutes an unsuitable method of operation  
16 and also may result in denial of an application for license renewal pursuant to Section 12348, or  
17 in the suspension or revocation of its existing license pursuant to Chapter 10 of this division.

18 (g) In addition to any other remedy under the Act or this division, the Commission may  
19 assess a civil penalty of at least \$500 but no more than \$5000 for each violation of this section.

20 Note: Authority cited: Sections 19811, 19824, 19840, 19841 and 19924, Business and Professions Code.  
21 Reference: Sections 19841, 19860, 19920 and 19924, Business and Professions Code.

22

23 **ARTICLE 4. ACCOUNTING AND FINANCIAL REPORTING.**

24 **§ 12401. Accounting Records.**

25 Each licensee shall:

26 (a) Maintain accurate, complete, and legible records of all transactions pertaining to gross  
27 revenue as defined in Business and Professions Code section 19805(~~qr~~). Records must be  
28 maintained in sufficient detail to support the amount of revenue reported to the ~~Commission~~  
29 Bureau in renewal applications.

30 (b) Maintain accounting records identifying the following:

31 (1) Revenues, expenses, assets, liabilities, and equity for the gambling establishment.

32 (2) Records of all players' banks, dealers' banks, credit transactions, returned checks, and

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1 drop for each table (either by shift or other accounting period).

2 (3) Records required by the licensee's written system of internal controls.

3 (4) Records of all jackpot moneys contributed by the gambling establishment, jackpot  
4 moneys collected from patrons, or both, and moneys withdrawn for either jackpot administrative  
5 fees or payment to patrons.

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

8

9 **§ 12402. Chart of Accounts.**

10 Each licensee shall:

11 (a) Maintain a uniform chart of accounts and accounting classifications in order to ensure  
12 consistency, comparability, and effective disclosure of financial information. The chart of  
13 accounts shall provide the classifications necessary to prepare a complete set of financial  
14 statements including but not limited to a statement of financial position, a statement of  
15 operations, a statement of changes in equity, a statement of cash flows, or other statements  
16 appropriate for the licensee. If the licensee elects to submit to the Bureau ~~and the Commission~~  
17 copies of its federal income tax return as provided in Section 12403, the chart of accounts shall  
18 contain classifications necessary to prepare the licensee's federal income tax return.

19 (b) Within 90 days of the effective date of these regulations, submit the chart of accounts to  
20 the Commission for approval. The Commission shall submit a copy of the chart of accounts to  
21 the Bureau for review and comment. The Bureau shall provide the Commission with comments,  
22 if any, within 15 days of the submission to the Bureau. If the Bureau does not respond within 15  
23 days, it shall be deemed that the Bureau does not object to the chart of accounts or have  
24 comments. The Commission shall then have 30 days to approve, reject, request additional  
25 information, or approve with modification(s) the chart of accounts and advise the licensee.

26 (c) Not use a chart of accounts other than the approved chart of accounts, but may create  
27 subaccounts for some or all accounting classifications. The licensee may alter the account  
28 numbering system, provided that the licensee maintains and provides to the Commission a cross  
29 reference to the approved chart of accounts no later than 30 calendar days following the end of  
30 the fiscal year in which the change occurs.

31 (d) Keep a general ledger, which documents all accounting transactions completed and  
32 posted to accounts listed in the chart of accounts referred to in subsection (a) of this section.

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1 General accounting records shall be maintained on a double entry system of accounting with  
2 recorded transactions supported by detailed subsidiary records, including but not limited to  
3 ledgers, invoices, purchase orders, and other source documents.

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

6

7 **§ 12403. Financial Statements and Reporting Requirements.**

8 (a) A licensee shall prepare financial statements covering all financial activities of the  
9 licensee's gambling operation for each fiscal year, in accordance with generally accepted  
10 accounting principles unless otherwise provided in this section. If the licensee (or a person or  
11 entity that has an interest, control, or common control with the licensee) owns or operates  
12 lodging, food, beverage, or any other non-gambling operation at the establishment, the financial  
13 statements must reflect the results of the gambling operation separately from those non-gambling  
14 operations.

15 (1) A Group I licensee shall engage an independent accountant licensed by the California  
16 Board of Accountancy to audit the licensee's annual financial statements in accordance with  
17 generally accepted auditing standards.

18 (2) A Group II licensee shall engage an independent accountant licensed by the California  
19 Board of Accountancy to review the licensee's annual financial statements in accordance with  
20 standards for accounting and review services or with currently applicable professional  
21 accounting standards. The Bureau or Commission may require the licensee, or the licensee may  
22 elect, to engage, an independent accountant licensed by the California Board of Accountancy to  
23 audit the annual financial statements in accordance with generally accepted auditing standards, if  
24 there are concerns about the licensee's operation or financial reporting, including but not limited  
25 to:

- 26 (A) Inadequate internal control procedures;  
27 (B) Insufficient financial disclosure;  
28 (C) Material misstatement in financial reporting;  
29 (D) Inadequate maintenance of financial data; or  
30 (E) Irregularities noted during an investigation.

31 (3) A Group III licensee with a gross revenue of \$500,000 or more per year shall prepare  
32 financial statements including at a minimum a statement of financial position, a statement of

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1 income or statement of operations, and disclosure in the form of notes to the financial statements.  
2 If the licensee is unable to produce the financial statements, it shall engage an independent  
3 accountant licensed by the California Board of Accountancy to perform a compilation of the  
4 licensee's annual financial statements in accordance with standards for accounting and review  
5 services or with currently applicable professional accounting standards, including full disclosure  
6 in the form of notes to the financial statements. The Bureau or Commission may require the  
7 licensee, or the licensee may elect, to engage an independent accountant licensed by the  
8 California Board of Accountancy to compile or review the licensee's financial statements in  
9 accordance with standards for accounting and review services, or to audit the financial  
10 statements in accordance with generally accepted auditing standards, if there are concerns about  
11 the licensee's operation or financial reporting, including but not limited to:

- 12 (A) Inadequate internal control procedures;
- 13 (B) Insufficient financial disclosure;
- 14 (C) Material misstatement in financial reporting;
- 15 (D) Inadequate maintenance of financial data; or
- 16 (E) Irregularities noted during an investigation.

17 (4)(A) A Group III licensee with a gross revenue of less than \$500,000 per year shall prepare  
18 financial statements that include, at a minimum, a statement of financial position and a statement  
19 of income or statement of operations. If the licensee is unable to produce the financial  
20 statements, it shall do one of the following:

21 1. Engage an independent accountant licensed by the California Board of Accountancy to  
22 perform a compilation of the licensee's annual financial statements in accordance with standards  
23 for accounting and review services or with currently applicable professional accounting  
24 standards and management may elect not to provide footnote disclosures as would otherwise be  
25 required by generally accepted accounting principles.

26 2. Submit to the Bureau ~~and Commission~~ no later than 120 calendar days following the end  
27 of the year covered by the federal income tax return, copies of the licensee's complete signed and  
28 duly filed federal income tax return for the tax year in lieu of the financial statements as  
29 otherwise required under this section.

30 (B) The Bureau or Commission may require the licensee, or the licensee may elect, to engage  
31 an independent accountant licensed by the California Board of Accountancy to compile or

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1 review the licensee's financial statements in accordance with standards for accounting and review  
2 services, or to audit the financial statements in accordance with generally accepted auditing  
3 standards, if there are concerns about the licensee's operation or financial reporting, including but  
4 not limited to:

- 5 1. Inadequate internal control procedures;
- 6 2. Insufficient financial disclosure;
- 7 3. Material misstatement in financial reporting;
- 8 4. Inadequate maintenance of financial data; or
- 9 5. Irregularities noted during an investigation.

10 (b) Unless otherwise provided in this section, a licensee shall submit copies of the annual  
11 financial statements, with the independent auditor's or accountant's report issued to meet the  
12 requirements under this section, to the Bureau ~~and Commission~~ no later than 120 calendar days  
13 following the end of the fiscal year covered by the financial statements. If a management letter  
14 is issued, a copy of the management letter must also be submitted to the Bureau ~~and~~  
15 ~~Commission~~, including the licensee's reply to the management letter, if any.

16 (c) The Bureau or Commission may request additional information and documents from  
17 either the licensee or the licensee's independent accountant, regarding the annual financial  
18 statements or the services performed by the accountant.

19 (d) The Bureau or Commission may require the licensee to engage an independent  
20 accountant licensed by the California Board of Accountancy to perform a fraud audit in the event  
21 that fraud or illegal acts are suspected.

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

24

25 **§ 12404. Records and Reports of Monetary Transactions.**

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

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

32 (c) A gambling enterprise, regardless of gross revenue, shall make and keep on file at the

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1 gambling establishment a report of each transaction in currency in excess of \$10,000. These  
2 reports shall be available for inspection at any time as requested by the Bureau ~~or the~~  
3 ~~Commission~~. These reports shall include, but not be limited to:

- 4 (1) Patron's name
- 5 (2) Patron's address
- 6 (3) Patron's identification
- 7 (4) Amount of transaction
- 8 (5) Type of transaction
- 9 (6) Date of transaction.

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

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

15

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

17 **§ 12464. Self-Exclusion Program.**

18 (a) Licensees shall implement, by July 1, 2007, a program that allows patrons to self-exclude  
19 themselves from gambling establishments using a form entitled Self-Exclusion Form, CGCC-  
20 037 (Rev. 12/11) attached in Appendix A to this chapter. That program shall contain, at a  
21 minimum, the following:

22 (1) Policies and procedures for providing Self-Exclusion forms and for sending any  
23 completed Self-Exclusion forms to the Bureau;

24 (2) Policies and procedures for maintaining and updating a list of self-excluded persons,  
25 wherein the confidentiality of the list is protected pursuant to Section 12466 and only agents or  
26 employees have access, unless needed by Bureau staff or law enforcement pursuant to an  
27 investigation or in assisting in a Problem Gambling program by an entity approved by the  
28 Commission;

29 (3) Policies and procedures designed to thwart self-excluded patrons, as noticed by the  
30 ~~Commission or~~ Bureau, from entering the gambling area during the term of exclusion, with the  
31 exception of access for the sole purpose of carrying out the duties of employment, including  
32 removal procedures for patrons who attempt entry after requesting to be excluded and

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1 notification to the Bureau of any incidents of removals, where the police and/or security are  
2 called to remove a person from the premises;

3 (4) Policies and procedures for the forfeiture of any money or prizes won or any losses  
4 recovered by an excluded person and the remittance of such for deposit into the Gambling  
5 Addiction Program Fund for problem gambling prevention and treatment services through the  
6 Department of Alcohol and Drug Programs, Office of Problem and Pathological Gambling;

7 (5) Policies and procedures for removal of a patron from customer lists maintained by the  
8 licensee for direct mail marketing, telephone marketing, and other direct marketing regarding  
9 gaming opportunities or promotions at the gambling establishment;

10 (6) Policies and procedures for removal of a patron from check-cashing, credit, or marketing  
11 opportunities by the gambling establishment.

12 (b) This section does not mandate that a gambling establishment provide the services of a  
13 notary public for persons who wish to complete the Self-Exclusion form.

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

17

18

## **CHAPTER 8. BINGO.**

19

### **ARTICLE 1. BINGO EQUIPMENT, DEVICES AND SUPPLIES.**

#### **§ 12480. Definitions.**

21 (a) Except as otherwise provided in Section 12002 and subsection (b) of this regulation, the  
22 definitions in Business and Professions Code section 19805 and Penal Code sections 326.3 and  
23 326.5(p), shall govern the construction of this chapter.

24 (b) As used in this chapter:

25 (1) "Administrative duties" include activities relating to coordinating all aspects of remote  
26 caller bingo games including, but not limited to, planning, organizing, and scheduling with  
27 sponsoring and cosponsoring organizations.

28 (2) "Automatic daubing" or "auto daub" means the input or recording, by any means or in  
29 any manner, of any number or symbol announced by a live caller in the play of any bingo game,  
30 into a card-minding device without manual action of the player.

31 (3) "Bingo equipment" includes, but is not limited to, any card-minding device; Point of Sale  
32 system for card-minding devices; all network and telecommunications equipment used to

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1 communicate from the calling station to card-minding devices; the calling station and all related  
2 equipment; the main flashboard and all related equipment, the balls, the verifier, and the game  
3 pacer used in the playing of remote caller bingo games.

4 (4) “Bingo supplies” include, but are not limited to, any bingo paper or cards, daubers, and  
5 related supplies used in the playing of remote caller bingo games.

6 (5) “Caller” means an individual who is present at a host game site and who announces the  
7 numbers or symbols from randomly drawn plastic balls.

8 (6) “Check” means a negotiable instrument drawn against deposited funds, to pay a specified  
9 amount of money to a specific person upon demand.

10 (7) “Distributor” means any person that directly or indirectly distributes; supplies; vends;  
11 leases; or otherwise provides card-minding devices for use in this state; including the supplying,  
12 repairing, and servicing if authorized by the manufacturer, whether from a location within this  
13 state or from a location outside this state.

14 (8) “Employee” means an individual who is paid a reasonable fee for the performance of  
15 duties related to the conduct of remote caller bingo games in any of the following categories:

- 16 (A) Administrative;
- 17 (B) Financial;
- 18 (C) Managerial;
- 19 (D) Security; or
- 20 (E) Technical.

21 (9) “Fiduciary” means an individual who is designated in writing by an authorized  
22 organization to manage the finances of the organization's remote caller bingo operation for the  
23 benefit of the organization rather than the benefit of the designated individual, exercising the  
24 highest level of good faith, loyalty, and diligence.

25 (10) “Financial duties” include, but are not limited to, cashiering, maintaining accounts  
26 payable and receivable, payroll processing, and maintenance of financial accounting books and  
27 records, on behalf of an organization or a vendor.

28 (11) “Game” is defined as beginning when the first ball or number symbol is called and ends  
29 when all succeeding balls or number symbols are returned to the cage or blower and the machine  
30 has been cleared. A game may have two or more parts with different winning patterns for each  
31 part.

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1 (12) “Game pacer” means an electrical or electronic device that is set to a predetermined  
2 interval establishing the timing of bingo calls. The game pacer may be a separate device or may  
3 be incorporated into the bingo calling station.

4 (13) “Host site” means the location at which the live bingo game is conducted and the  
5 transmission of the remote caller bingo game originates.

6 (14) “Interim approval” means:

7 (A) Approval by the ~~Commission~~ Bureau of a card-minding device for use in the play of any  
8 bingo game based on a certification from the manufacturer, pursuant to Section 12486, that the  
9 device complies in all respects with the provisions of Penal Code section 326.5, subdivision (p),  
10 paragraphs (1) and (2), including the requirement that the device be both portable and hand-held.

11 (B) Approval by the Commission, pursuant to Section 12488, of any bingo or remote caller  
12 bingo equipment or supplies used in the play and transmission of any remote caller bingo game.

13 (15) “Interim license” means a license issued by the Commission pursuant to Section 12492  
14 or Section 12500 that allows the following:

15 (A) A fiduciary, site manager, or caller of an authorized organization or a vendor to conduct  
16 remote caller bingo games; or

17 (B) An owner-licensee of a manufacturing, distributing, or vending business to provide  
18 remote caller bingo equipment, supplies, and services or card-minding devices in this state.

19 (16) “Managerial duties” include providing assistance to the site manager, and may include,  
20 but are not limited to, the oversight and supervision of the employees, members, and patrons at a  
21 remote caller bingo game site.

22 (17) “Manufacturer” means any person that directly or indirectly does one or a combination  
23 of the following:

24 (A) Manufactures, distributes, supplies, vends, leases, or otherwise provides bingo equipment  
25 or supplies used in a remote caller bingo game.

26 (B) Manufactures, distributes, supplies, vends, leases, or otherwise provides card-minding  
27 devices, including the assembly, production, programming, or modification of card-minding  
28 devices, in this state or for use in this state.

29 (C) Performs any of the functions listed in subparagraphs (A) or (B) in a location outside of  
30 this state, with respect to remote caller bingo equipment and supplies or card-minding devices  
31 intended for operation in this state.

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1 (18) “Member” means an individual who ~~that~~ belongs to an authorized organization and  
2 assists with the conduct of remote caller bingo games.

3 (19) “Modification” means a change or alteration in card-minding device software that  
4 affects the manner or mode of play of the device.

5 (20) “Net receipts” means the total revenue from all activities connected with participation in  
6 a game of remote caller bingo after costs and expenses are deducted.

7 (21) “Nonrecurring capital acquisition” means any money, property, or equipment acquired  
8 in a single transaction.

9 (22) “Organization” or “Authorized Organization,” means an organization that is exempt  
10 from the payment of the bank and corporation tax by Section 23701a, 23701b, 23701d, 23701e,  
11 23701f, 23701g, 23701k, 23701l, or 23701w of the Revenue and Taxation Code; a mobile home  
12 park association; a senior citizens organization; or a charitable organization affiliated with a  
13 school district.

14 (23) “Owner” means an individual, corporation, limited liability company, partnership, trust,  
15 joint venture, association, or any other entity that has 10 percent or more interest in or has the  
16 power to exercise significant influence over a manufacturing, distributing, or vending business  
17 and is endorsed on the license certificate issued to the owner-licensee.

18 (24) “Owner-licensee” means an individual, corporation, limited liability company,  
19 partnership, trust, joint venture, association, or any other owner of a manufacturing, distributing,  
20 or vending business that holds an interim or regular license issued by the Commission.

21 (25) “Point of sale system” means a financial interface software system used to track  
22 transactions involving card-minding devices and customer accounts.

23 (26) “Profit” means the gross receipts collected from one or more bingo games, less  
24 reasonable sums necessarily and actually expended for prizes, licensing fees, overhead costs, and  
25 other allowable expenses.

26 (27) “Progressive prize” means any prize that increases or accumulates as consecutive remote  
27 caller bingo games are played.

28 (28) “Recognized organization” means an organization recognized by the Commission  
29 pursuant to Section 12505.

30 (29) “Record” includes, but is not limited to, ledgers and accounts relating to inventory,  
31 proceeds, expenditures, and the distribution of all profits derived from remote caller bingo

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1 games.

2 (30) “Regular approval” means:

3 (A) Approval by the ~~Commission~~ Bureau of a card-minding device for use in the play of any  
4 bingo game based on a finding that the device complies in all respects with the provisions of  
5 Penal Code section 326.5, subdivision (p), paragraphs (1) and (2), including the requirement that  
6 the device be both portable and hand-held, and any specific additional criteria established by the  
7 Commission in regulation;

8 (B) Approval by the Commission of any bingo or remote caller bingo equipment or supplies  
9 used in the play and transmission of any remote caller bingo game based on a finding that the  
10 equipment and supplies comply in all respects with any specific standards and testing procedures  
11 for the approval of equipment or supplies established by the Commission in regulation.

12 (31) “Regular license” means a license issued by the Commission pursuant to the provisions  
13 of Section 12500, section 326.3(q)(1) of the Penal Code, and any specific additional licensing  
14 criteria established by the Commission in regulation.

15 (32) “Remote caller bingo equipment” includes, in addition to the equipment specified in  
16 paragraph (3), all network, video, audio and telecommunications equipment used for the purpose  
17 of transmitting the play of a bingo game from a host site to one or more satellite sites.

18 (33) “Satellite site” means the location at which the transmission of the live bingo game from  
19 a host site is received.

20 (34) “Security duties” include, but are not limited to, physically safeguarding the authorized  
21 organization's patrons, staff, assets, and property, including the site's surrounding area and  
22 parking facility.

23 (35) “Site” means the property owned or leased by the licensee, or property whose use is  
24 donated to the licensee and which property is used by such licensee for performance of the  
25 charitable purpose for which the organization is organized.

26 (36) “Site manager” means an individual who is physically present at a remoter caller bingo  
27 game site and is the primary person responsible for the game conduct, staff, and patrons present  
28 at the site and obtaining the declared winner's identifying information and mailing address.

29 (37) “Sponsor” means an authorized organization conducting remote caller bingo games,  
30 which has met the requirements of section 326.3(b)(1) of the Penal Code.

31 (38) “Technical duties” include, but are not limited to, providing expertise related to the

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1 maintenance, repair and operation of remote caller bingo equipment.

2 (39) "Vendor" means, for purposes of section 326.3 of the Penal Code, a person that directly  
3 or indirectly provides equipment, supplies, or services to an authorized organization for use in  
4 remote caller bingo games, including management companies that have a written agreement with  
5 an organization to assist with or conduct remote caller bingo games.

6 (40) "Volunteer" means a member of an organization that assists with the conduct of remote  
7 caller bingo games and is not compensated for the performance of their duties and does not  
8 benefit financially from the conduct of remote caller bingo games.

9 (41) "Work permit" means a card, certificate, or permit issued by the Commission pursuant  
10 to Section 12503 or by a county, city, or city and county, that authorizes the holder to be  
11 employed by a vendor or organization to conduct remote caller bingo games in the following  
12 categories:

13 (A) Administrative;

14 (B) Financial;

15 (C) Managerial;

16 (D) Security; or

17 (E) Technical.

18 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3 and  
19 326.5, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3  
20 and 326.5, Penal Code.

21 **ARTICLE 3. MANUFACTURERS, DISTRIBUTORS, AND VENDORS OF BINGO EQUIPMENT, DEVICES,**  
22 **SUPPLIES AND SERVICES.**

23 **§ 12492. Interim Licenses; Initial and Renewal; Conditions.**

24 (a) An interim approval process is established to further the legislative intent of avoiding  
25 disruption of fundraising efforts by nonprofit organizations as expressed in Business and  
26 Professions Code section 19850.6.

27 (b) No person may manufacture, distribute, or provide remote caller bingo equipment,  
28 supplies, or services or card-minding devices in this state unless they have a valid interim license  
29 issued by the Commission pursuant to this article.

30 (c) Any manufacturer or distributor of card-minding devices or any vendor providing remote  
31 caller bingo equipment, supplies, or services in this state on or after April 24, 2009, shall apply  
32 for an interim license, pursuant to this article, within 30 days of the effective date of this section.

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1 (d) Any person applying for an initial interim license as the owner-licensee, as defined in  
2 subsection (b) of section 12480, of the manufacturer, distributor, or vendor business shall submit  
3 the following to the Bureau:

4 (1) Application for Interim License for Manufacturers, Distributors, and Vendors of Bingo  
5 Equipment, Devices, Supplies, and Services, ~~CGCC-610 (Rev. 03/10)~~ BGC-610 (Rev. 04/13),  
6 which is attached in Appendix B.

7 (2) A non-refundable application fee of \$500.00.

8 (3) If the applicant is an individual residing in the state of California, a completed Request  
9 for Live Scan Service, California Department of Justice Form BCII 8016, confirming that the  
10 applicant has submitted his or her fingerprints to the BCII for an automated criminal history  
11 check and response.

12 (4) If the applicant is an individual residing outside the state of California, two FBI  
13 Fingerprint cards.

14 (e) Any person applying for an initial interim license as an owner, as defined in subsection  
15 (b) of section 12480, of a manufacturing, distributing, or vending business shall submit the  
16 following to the Bureau:

17 (1) Application for Interim License for Manufacturers, Distributors, and Vendors of Bingo  
18 Equipment, Devices, Supplies, and Services, ~~CGCC-610 (Rev. 03/10)~~ BGC-610, referred to in  
19 paragraph (1) of subsection (d).

20 (2) A non-refundable application fee of \$500.00.

21 (3) If the applicant is an individual residing in the state of California, a completed Request  
22 for Live Scan Service, California Department of Justice Form BCII 8016, confirming that the  
23 applicant has submitted his or her fingerprints to the BCII for an automated criminal history  
24 check and response.

25 (4) If the applicant is an individual residing outside the state of California, two FBI  
26 Fingerprint cards.

27 (f) Interim license approvals pursuant to this article, are subject to the following conditions:

28 (1) An interim license shall be valid for one year from the date it is issued by the  
29 Commission and may be renewed if regulations specifying the criteria for a regular license have  
30 not been adopted.

31 (2) Upon adoption of regulations specifying the criteria for a regular license, the Commission

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1 will notify the holder of the interim license of the requirement to submit a regular application  
2 package within 30 days of the effective date of the regulations. If a response has not been  
3 received within 30 days, the interim license will not be eligible for renewal.

4 (3) An interim license does not obligate the Commission to issue a regular license nor does it  
5 create a vested right in the holder to either a renewal of the interim license or to the granting of a  
6 subsequent regular license.

7 (4) Issuance of an interim license has no bearing on the question of whether the holder will  
8 qualify for issuance of any Commission permit, registration, or license. The interim license will  
9 be cancelled in the event that the Commission subsequently determines the applicant does not  
10 qualify for a regular license.

11 (5) If, during the term of an interim license, it is determined that the holder is disqualified  
12 pursuant to Section 12493, the Executive Director shall prepare an order to show cause why that  
13 interim license should not be cancelled. The holder of the interim license shall be given at least  
14 30 days, but not more than 90 days, to respond in writing. After receipt of the holder's response,  
15 or if the holder fails to respond in the time specified, the matter shall be set for consideration at a  
16 noticed Commission meeting. The holder may address the Commission by way of an oral  
17 statement at the Commission meeting, and may request an evidentiary hearing, either in writing  
18 not less than ten days prior to the meeting or at the meeting itself, ~~may request an evidentiary~~  
19 ~~hearing~~. Any evidentiary hearing shall be conducted in accordance with applicable provisions of  
20 subsection (b) of Section 12050 of this division.

21 (g) Any person applying for a renewal interim license as the owner-licensee of the  
22 manufacturing, distributing, or vending business shall submit the following to the Bureau no  
23 later than 90 days prior to the expiration of that license:

24 (1) Application for Interim License for Manufacturers, Distributors, and Vendors of Bingo  
25 Equipment, Devices, Supplies, and Services, ~~CGCC-610 (Rev. 03/10)~~ BGC-610, referred to in  
26 paragraph (1) of subsection (d).

27 (2) A non-refundable application fee of \$500.00.

28 (h) Any person applying for a renewal interim license as an owner of the manufacturing,  
29 distributing, or vending business shall submit the following to the Bureau no later than 90 days  
30 prior to the expiration of that license:

31 (1) Application for Interim License for Manufacturers, Distributors, and Vendors of Bingo

1 Equipment, Devices, Supplies, and Services, ~~CGCC 610 (Rev. 03/10)~~ BGC-610, referred to in  
2 paragraph (1) of subsection (d).

3 (2) A non-refundable application fee of \$500.00.

4 (i) Each application for an initial or renewal interim license shall be reviewed and, if found to  
5 be complete and correct, shall be set for consideration at a noticed Commission meeting. If the  
6 application does not satisfy the requirements of this article, the applicant shall be provided a  
7 written list of the deficiencies.

8 (j) A renewal interim license shall be valid for one year from the date of approval of the  
9 renewal application or from the expiration of the prior interim license, whichever is later.

10 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3 and  
11 326.5, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3  
12 and 326.5, Penal Code.

13

14 **§ 12496. Change of Business Location.**

15 A manufacturer, distributor, or vendor shall advise the ~~Commission~~ Bureau in writing of any  
16 new California business locations, or any terminations of existing business locations, within 15  
17 days following the change.

18 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3, 326.4 and  
19 326.5, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3  
20 and 326.5, Penal Code.

21

22 **ARTICLE 4. REMOTE CALLER BINGO INTERIM LICENSES AND INTERIM WORK PERMITS.**

23 **§ 12500. Interim Licenses; Initial and Renewal; Conditions.**

24 (a) An interim approval process is established to further the legislative intent of avoiding  
25 disruption of fundraising efforts by nonprofit organizations as expressed in Business and  
26 Professions Code section 19850.6. A person may hold one of each license type simultaneously  
27 but shall not perform in the capacity of more than one during the same remote caller bingo game  
28 or session.

29 (b) No person may perform in the capacity of a fiduciary, site manager, or caller for the  
30 purposes of conducting remote caller bingo games unless that person has a valid interim license  
31 issued by the Commission pursuant to this article. A person may hold one of each license type  
32 simultaneously but shall not perform in the capacity of more than one during the same remote  
33 caller bingo game or session.

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1 (c) Any fiduciary, site manager, or caller applying for an initial interim license shall submit  
2 the following to the Bureau:

3 (1) Application for Interim License for Remote Caller Bingo, ~~CGCC-620 (Rev. 03/10)~~ BGC-  
4 620 (Rev. 04/13), which is attached in Appendix C.

5 (2) A non-refundable application fee of \$50.00.

6 (3) Completed Request for Live Scan Service, California Department of Justice Form BCII  
7 8016, confirming that the applicant has submitted his or her fingerprints to the BCII for an  
8 automated criminal history check and response.

9 (d) Interim license approvals are subject to the following conditions:

10 (1) An interim license shall be valid for one year from the date it is issued by the  
11 Commission and may be renewed if regulations specifying the criteria for a regular license have  
12 not been adopted.

13 (2) Upon adoption of regulations specifying the criteria for a regular license, the Commission  
14 will notify the holder of the interim license of the requirement to submit a regular application  
15 package within 30 days of the effective date of the regulations. If a response has not been  
16 received within 30 days, the interim license will not be eligible for renewal.

17 (3) An interim license does not obligate the Commission to issue a regular license nor does it  
18 create a vested right in the holder to either a renewal of the interim license or to the granting of a  
19 subsequent regular license.

20 (4) Issuance of an interim license has no bearing on the question of whether the holder will  
21 qualify for issuance of any Commission permit, registration, or license. The interim license will  
22 be cancelled in the event that the Commission subsequently determines that the applicant does  
23 not qualify for a regular license.

24 (5) If, during the term of an interim license, it is determined that the holder is disqualified  
25 pursuant to Section 12501, the Executive Director shall prepare an order to show cause why that  
26 interim license should not be cancelled. The holder of the interim license shall be given at least  
27 30 days, but not more than 90 days, to respond in writing. After receipt of the holder's response,  
28 or if the holder fails to respond in the time specified, the matter shall be set for consideration at a  
29 noticed Commission meeting. The holder may address the Commission by way of an oral  
30 statement at the Commission meeting, and may request an evidentiary hearing, either in writing  
31 not less than ten days prior to the meeting or at the meeting itself, ~~may request an evidentiary~~

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1 ~~hearing~~. Any evidentiary hearing shall be conducted in accordance with applicable provisions of  
2 subsection (b) of Section 12050 of this division.

3 (e) Any fiduciary, site manager, or caller applying for a renewal interim license shall submit  
4 the following to the Bureau no later than 90 days prior to expiration of that license:

5 (1) Application for Interim License for Remote Caller Bingo, ~~CGCC-620 (Rev. 03/10)~~ BGC-  
6 620, referred to in paragraph (1) of subsection (c).

7 (2) A non-refundable application fee of \$50.00.

8 (f) Each application for an initial or renewal interim license shall be reviewed and, if found to  
9 be complete and correct, shall be set for consideration at a noticed Commission meeting. If the  
10 application does not satisfy the requirements of this article, the applicant shall be provided a  
11 written list of deficiencies.

12 (g) A renewal interim license shall be valid for one year from the date of approval of the  
13 renewal application or from the expiration of the prior interim license, whichever is later.

14 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal  
15 Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal Code.

16 **§ 12503. Interim Work Permits; Initial and Renewal; Conditions.**

17 (a) No person may act in the capacity of an employee, as defined in subsection (b) of section  
18 12480, without a current interim work permit issued by the Commission pursuant to this article  
19 or by a city, county, or city and county.

20 (b) Any employee applying for a remote caller bingo interim work permit shall submit the  
21 following to the Bureau:

22 (1) Application for Interim Work Permit for Remote Caller Bingo, ~~CGCC-622 (Rev. 03/10)~~  
23 BGC-622 (Rev. 04/13), which is attached in Appendix C.

24 (2) A non-refundable application fee of \$50.00.

25 (3) A completed Request for Live Scan Service, California Department of Justice Form BCII  
26 8016 confirming that the applicant has submitted his or her fingerprints to the BCII for an  
27 automated criminal history check and response.

28 (c) An interim work permit is subject to the following conditions:

29 (1) An interim work permit shall be valid for one year from the date it is issued by the  
30 Commission and may be renewed if regulations specifying the criteria for a regular work permit  
31 have not been adopted.

32 (2) Upon adoption of regulations specifying the criteria for a regular work permit, the

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1 Commission will notify the holder of the interim work permit of the requirement to submit a  
2 regular application package within 30 days of the effective date of the regulations. If a response  
3 has not been received within 30 days, the interim work permit will not be eligible for renewal.

4 (3) An interim work permit does not obligate the Commission to issue a regular work permit  
5 nor does it create a vested right in the holder to either a renewal of the interim work permit or the  
6 granting of a subsequent regular work permit.

7 (4) Issuance of an interim work permit has no bearing on the question of whether the holder  
8 will qualify for issuance of any Commission permit, registration, or license. The interim work  
9 permit will be cancelled in the event that the Commission subsequently determines that the  
10 applicant does not qualify for issuance for any Commission permit, registration, or license.

11 (5) If, during the term of an interim work permit, it is determined that the holder is  
12 disqualified pursuant to Section 12504, the Executive Director shall prepare an order to show  
13 cause why that interim work permit should not be cancelled. The holder of the interim work  
14 permit shall be given at least 30 days, but not more than 90 days, to respond in writing. After  
15 receipt of the holder's response, or if the holder fails to respond in the time specified, the matter  
16 shall be set for consideration at a noticed Commission meeting. The holder may address the  
17 Commission by way of an oral statement at the Commission meeting, and may request an  
18 evidentiary hearing, either in writing not less than ten days prior to the meeting or at the meeting  
19 itself, ~~may request an evidentiary hearing~~. Any evidentiary hearing shall be conducted in  
20 accordance with applicable provisions of subsection (b) of Section 12050 of this division.

21 (d) Any employee applying for renewal of a remote caller bingo interim work permit shall  
22 submit ~~to the Commission~~ the following to the Bureau no later than 90 days prior to expiration of  
23 the work permit:

24 (1) Application for Interim Work Permit for Remote Caller Bingo, ~~CGCC-622 (Rev. 03/10)~~  
25 BGC-622, referred to in paragraph (1) of subsection (b).

26 (2) A non-refundable application fee of \$50.00.

27 (e) Each application for an initial or renewal interim work permit shall be reviewed and, if  
28 found to be complete and correct, shall be set for consideration at a noticed Commission  
29 meeting. If the application does not satisfy the requirements of this article, the applicant shall be  
30 provided a written list of the deficiencies.

31 (f) A renewal interim work permit shall be valid for up to one year from the date of approval

1 of the renewal application or from the expiration of the prior interim work permit, whichever is  
2 later.

3 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal  
4 Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal Code.

5

6 **§ 12505. Recognition of Organizations Conducting Remote Caller Bingo Games.**

7 (a) No organization may conduct remote caller bingo games in this state unless it has been  
8 recognized by the Commission pursuant to this article.

9 (b) Any organization requesting recognition by the Commission shall:

10 (1) Meet the requirements specified in section 326.3(b)(1-5) of the Penal Code.

11 (2) Submit to the Bureau a Statement of Eligibility to Conduct Remote Caller Bingo, ~~CGCC-~~  
12 ~~618 (New 03/09)~~ BGC-618 (Rev. 04/13), which is attached in Appendix C to this Chapter.

13 (3) Submit a non-refundable processing fee of \$50.00.

14 (c) Any organization recognized by the Commission shall annually submit the following to  
15 the Bureau within 120 calendar days after the close of the organization's fiscal year:

16 (1) Statement of Eligibility to Conduct Remote Caller Bingo, ~~CGCC 618 (New 03/09)~~ BGC-  
17 618, referred to in paragraph (2) of subsection (b), specifying any changes in the information  
18 included in the organization's last statement of eligibility filed with the ~~Commission~~ Bureau.

19 (2) A non-refundable processing fee of \$25.00.

20 (d) Each statement received pursuant to this section shall be reviewed and, if found to be  
21 complete and correct, shall be set for consideration at a noticed Commission meeting. If the  
22 statement does not satisfy the requirements of this article, the applicant shall be provided a  
23 written list of the deficiencies. The Commission reserves the right to refuse recognition to any  
24 organization that does not meet the requirements specified in subsection (b).

25 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3 and  
26 326.5, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3  
27 and 326.5, Penal Code.

28

29 **ARTICLE 5. REMOTE CALLER BINGO REQUIREMENTS; STANDARDS OF PLAY.**

30 **§ 12508. Remote Caller Bingo Requirements.**

31 (a) An organization conducting remote caller bingo shall have been recognized by the  
32 Commission pursuant to Section 12505.

33 (b) Any vendor providing remote caller bingo services must have a valid interim license

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1 issued pursuant to Section 12492.

2 (c) Organizations and vendors shall retain records in connection with their remote caller  
3 bingo games for a period of five (5) years. Records shall be maintained in California, written in  
4 English and must include the following:

5 (1) Full and accurate records of the income received and expenses disbursed in connection  
6 with the operation, conduct, promotion, supervision, and any other related activity of remote  
7 caller bingo games. Such records shall be maintained in accordance with generally accepted  
8 principles of accounting.

9 (2) Full and accurate records of the names and license or permit numbers, if applicable, of all  
10 organization members, including any volunteers, and any employees conducting or providing  
11 remote caller bingo services.

12 (d) The records kept by organizations and vendors, pursuant to paragraph (1) of subsection  
13 (c), shall be audited by an independent California certified public accountant at least annually,  
14 and copies of the audit reports shall be provided to the ~~Commission~~ Bureau within 120 days after  
15 the close of the organization's and vendor's fiscal years.

16 (e) In addition to the requirements of subsections (c) and (d), the following requirements  
17 shall apply to organizations that conduct remote caller bingo:

18 (1) The operation of remote caller bingo may not be the primary purpose for which the  
19 organization is ~~organized~~ formed.

20 (2) The receipts of the game shall be used only for charitable purposes. The organization  
21 conducting the game shall determine the disbursement of the net receipts of the game.

22 (3) Organizations authorized to conduct remote caller bingo shall provide copies of the  
23 records pertaining to those games to the ~~Commission~~ Bureau within 30 days after the end of each  
24 calendar quarter. A loan reimbursement payment, as prescribed by paragraph (2) of subdivision  
25 (d) of section 326.4 of the Penal Code, for reimbursement of the loan from the Indian Gaming  
26 Special Distribution Fund to the Charity Bingo Mitigation Fund shall ~~accompany~~ be submitted to  
27 the Commission concurrent with the submission of records, as specified in this paragraph, the  
28 amount of which shall be based on the gross revenues from all remote caller bingo games  
29 conducted during the calendar quarter for which the records are submitted.

30 (f) An organization authorized to conduct remote caller bingo games shall provide the  
31 Commission with at least 30 days advance written notice of its intent to conduct those games.

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1 The notice shall include all of the following:

2 (1) The legal name of the organization and the address of record of the agent upon who legal  
3 notice may be served.

4 (2) The locations of the caller and remote players, whether the property is owned by the  
5 organization or donated, and if donated, by whom.

6 (3) The name of the licensed caller and site manager.

7 (4) The names of administrative, managerial, technical, financial, and security personnel  
8 employed.

9 (5) The name of the vendor and any person or entity maintaining the equipment used to  
10 operate and transmit the game.

11 (6) The name of the person designated as having a fiduciary responsibility for the game.

12 (7) The license numbers of all persons who are required to be licensed.

13 (8) A copy of the local ordinance for each city, county or city and county in which the game  
14 will be played.

15 Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal  
16 Code. Reference: Sections 326.3(b), 326.3(j)(4), 326.3(s) and 326.3(w), Penal Code.

17

18

**CHAPTER 11. CONFLICTS OF INTEREST.**

19 **§ 12591. Separation from Commission Employment; Prohibited Activities; Designation of**  
20 **Commission Employees.**

21 (a) Pursuant to Business and Professions Code, section 19981, subdivision (a), designated  
22 Commission employees shall not, for a period of 3 years following separation from employment,  
23 engage in specified activities for compensation. The designated Commission employees subject  
24 to the provisions of subdivision (a) of section 19981 include, without regard for their duties and  
25 responsibilities:

26 (1) All Deputy Directors.

27 (2) The Chief Counsel.

28 (3) All Staff Counsels.

29 (b) In addition to those Commission employees designated in subsection (a), the designated  
30 Commission employees subject to the provisions of subdivision (a) of section 19981 include the  
31 following if their duties and responsibilities involve activities related to administrative actions, or  
32 any action or proceeding related to the issuance, conditioning or revocation of any permit,

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1 license, or approval, where that employee makes recommendations or decisions affecting the  
2 outcome:

3 (1) ~~Supervising Management Auditor.~~ Staff Services Manager III.

4 ~~(2) Staff Management Auditor.~~

5 ~~(3) Staff Services Management Auditor.~~

6 ~~(4)~~ Staff Services Manager II.

7 ~~(5)~~ Staff Services Manager I.

8 ~~(6) Associate Information System Analyst.~~

9 ~~(7)~~ Associate Management Auditor.

10 ~~(8)~~ Associate Governmental Program Analyst.

11 ~~(9)~~ Staff Services Analyst.

12 ~~(10)~~ Any employee whose classification is not listed and whose duties and responsibilities  
13 involve activities related to administrative actions, or any action or proceeding related to the  
14 issuance, conditioning or revocation of any permit, license, or approval, where that employee  
15 makes recommendations or decisions affecting the outcome.

16 Note: Authority cited: Sections 19840, 19841 and 19981, Business and Professions Code. Reference: Section  
17 19981, Business and Professions Code.

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# **CALIFORNIA CODE OF REGULATIONS**

TITLE 4. BUSINESS REGULATIONS.

DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.

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

### **APPENDIX A**

- Request for a Certificate to Operate Additional Tables on a Temporary Basis, BGC-024 (Rev. 04/13)
- Application for Additional Authorized Permanent Tables, BGC-027 (Rev. 04/13)
- Application for Gambling Establishment Key Employee License, BGC-031 (Rev. 04/13)
- Notification of Change in Key Employee Employment Status, BGC-033 (Rev. 04/13)
- Request for Replacement Key Employee License, BGC-034 (Rev. 04/13)
- Application for Interim Key Employee License, BGC-035 (Rev. 04/13)



State Of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4231~~  
 (916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## REQUEST FOR A CERTIFICATE TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS

### CGCCBGC-024 (Rev. 054/113)

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification.

**PLEASE SEND COMPLETED APPLICATIONS TO:** ~~CGCC at: 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4231~~  
[Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024](#)

Attach a payment (payable to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~), for the total amount of the following fees and deposit:

A non-refundable \$500 application fee

Temporary tables fees (see reverse for instructions)

A \$400 review deposit, pursuant to Cal. Code of Regulations, **Title 11, Section 2037**

### SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Name of Gambling Establishment:

Business Address:

Street	City	State	Zip Code

Business Telephone Number:

Business Facsimile Number (if applicable):

### SECTION 2: EVENT INFORMATION

A) Number of Presently Authorized Permanent Tables:	
B) Number of Requested Additional Temporary Tables for the Event:	
C) Total Number of Proposed Tables during the date listed in this request: (Total Amount of A and B)	
D) Amount of table fees included with this request: <i>(Refer to instructions for additional information.)</i>	
E) Proposed Date(s) and Time(s) of the Event <i>(If the number of tables vary on multiple dates, attach a list by date):</i>	
F) Name of the Event:	
G) Location of the Event within the Gambling Establishment:	
H) Approved Games or Gaming Activities to be offered during this Event: <i>(If Bureau approval is pending, please so state.)</i>	

### SECTION 3: DECLARATION

I request the issuance of a Certificate to Operate Additional Tables on a Temporary Basis at the above-named gambling establishment. I understand that the establishment identified above will not be allowed to legally operate more than the number of tables for which a fee is being paid.

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Signature of Owner Licensee: \_\_\_\_\_

Print Name:

Date:

Designated Contact for this Application

Telephone Number:

# REQUEST FOR A CERTIFICATE TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS

---

## SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Provide the legal name of the entity and any alternative names for the same business entity. You must notify the [Commission Bureau](#) of any name, address or telephone number changes. Your information is used to provide proper identification of your file, to contact you, and/or to determine your eligibility. Personal information contained in this application may be disclosed to the public in accordance with the Gambling Control Act (Business and Professions Code section 19821(b)).

---

## SECTION 2: EVENT INFORMATION

Indicate the number of tables that the gambling establishment currently has and the number it is requesting to operate on a temporary basis. Also provide the total number of tables that the gambling establishment wishes to operate and all relevant event information. Note: All requests are subject to compliance with local ordinances and state gambling laws.

### INSTRUCTIONS FOR CALCULATING THE AMOUNT OF TABLE FEES TO OPERATE ADDITIONAL TABLES ON A TEMPORARY BASIS

Determine the amount of the required fee that must be included with this request by completing the following steps and using the table below:

Number of Tables	Per Table Fee	Number of Tables	Per Table Fee
One to Five	\$300	Fifteen to Twenty-five	\$2,700
Six to Eight	\$550	Twenty-six to Seventy	\$4,000
Nine to Fourteen	\$1,300	Seventy-one or more	\$4,700

1. Add the current number of authorized tables licensed by the Commission to operate to the number of special event tables.
2. Multiply the total number of tables by the per table fee indicated in the above table.
3. From this total, subtract the basic table fees previously assessed for the current year.
4. Divide this figure by 365. This establishes the additional daily table fee for the event.
5. Multiply this total by the number of event days (fractions or portions of a day are considered a full day) and round your result up to the nearest whole number.
6. Multiply this number by two. This final figure is the table fee for the tournament or special event.

**EXAMPLE:** Gambling establishment "A" proposes to operate an additional 3 tables during a 5-day tournament. Establishment "A" is licensed/certified by the Commission for 24 tables and has been previously assessed a fee of \$64,800 (24 tables x \$2,700 per table = \$64,800)

1. Add the current number of tables and the additional number of tournament tables (24 current + 3 additional = 27 total)
2. Multiply this amount by the per table fee shown above (27 total # tables x \$4,000 per table = \$108,000).
3. From this amount, subtract the previously assessed fee for the year (\$108,000 - \$64,800 previously assessed fee = \$43,200).
4. Divide this amount by 365 ( $\$43,200 \div 365 = \$118.36$ ).
5. Multiply this amount by the number of days of the tournament ( $\$118.36 \times 5 \text{ days} = \$591.80$ ) and round this number up to the nearest whole number (\$592).
6. Multiply this amount by two ( $\$592 \times 2 = \$1184$ ). The final fee for Establishment "A" to operate the additional tables for its tournament would be \$1184.

---

## SECTION 3: DECLARATION

Sign and date the application under penalty of perjury. An application must be signed and dated to be considered complete. The designated contact person for this application must also be included, if applicable.



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
 (916) ~~263-0700~~ [227-3584](tel:227-3584); Fax: (916) ~~263-0452~~ [227-2308](tel:227-2308)  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## APPLICATION FOR ADDITIONAL AUTHORIZED PERMANENT TABLES

### GGCCBGC-027 (Rev. 054/113)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification.

**PLEASE SEND COMPLETED APPLICATIONS TO:** ~~CGCC at: 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4234~~  
[Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024](#)

Attach a payment (payable to the ~~California~~ [Bureau of Gambling Control-Commission](#)), for the total amount of the following fee and deposit:

A non-refundable \$500 application fee

A \$400 review deposit, pursuant to Cal. Code of Regulations, Title 11, Section 2037

### SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Name of Gambling Establishment:

Business Address:

Street

City

State

Zip Code

Mailing Address (if different than Business Address):

Street

City

State

Zip Code

Business Telephone Number:

Business Facsimile Number (if applicable):

### SECTION 2: TABLE INFORMATION

A)	Number of Presently Authorized Permanent Tables:	
B)	Number of Requested Additional Permanent Tables:	
C)	Total Number of Proposed Tables: (Total Amount of A and B)	

### SECTION 3: DECLARATION

I request approval to operate additional permanent tables, described in Section 2, at the gambling establishment described in Section 1.

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Signature of Owner Licensee: \_\_\_\_\_

Print Name:

Date:

Designated Contact for this Application

Telephone Number:

## APPLICATION FOR ADDITIONAL AUTHORIZED PERMANENT TABLES

Retain a photocopy of the complete application packet for your permanent records.

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

The applicant is responsible for providing the appropriate information needed to determine eligibility for additional authorized permanent tables. If a question is not applicable, indicate with "N/A." If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application.

Items required for the application to be considered complete:

- Application for Additional Authorized Permanent Tables (~~EGCC~~BGC-027 (Rev. 054/143))
- A non-refundable \$500 application fee
- A \$400 Bureau review deposit, pursuant to California Code of Regulations, Title 11, Section 2037

---

### SECTION 1: GAMBLING ESTABLISHMENT INFORMATION

Provide the legal name of the entity and any alternative names for the same business entity. You must notify the ~~Commission~~ Bureau of any name, address or telephone number changes. Your information is used to provide proper identification of your file, to contact you, and/or to determine your eligibility. Personal information contained in the *Additional Authorized Permanent Tables form*, ~~EGCC~~BGC-027, may be disclosed to the public in accordance with the Gambling Control Act (Business and Professions Code section 19821(b)).

---

### SECTION 2: TABLE INFORMATION

Indicate the number of tables that the gambling establishment currently has and the number it is requesting.

Also provide the total number of tables that the gambling establishment wishes to operate.

Please note that all requests are subject to compliance with local ordinances and state gambling laws.

---

### SECTION 3: DECLARATION

Sign and date the application under penalty of perjury. An application must be signed and dated to be considered complete. The designated contact person for this application must also be included, if applicable.



State of California  
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## APPLICATION FOR GAMBLING ESTABLISHMENT KEY EMPLOYEE LICENSE

~~CGCC-031~~ [BGC-031](#) (Rev. ~~06/12~~ [06/123](#))

Pursuant to Business and Professions Code section 19854 of the Gambling Control Act, every key employee shall apply for and obtain a key employee license issued by the California Gambling Control Commission. A key employee license entitles the holder to work as a key employee in any key employee position at any gambling establishment.

### Instructions:

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

You must provide truthful information in all your responses in this application. All information provided and all answers to questions will be subject to verification. Any misrepresentation or failure to disclose information required on this application may constitute sufficient cause for denial or revocation.

Send the completed application package with required fees/deposits (listed below) to: ~~California~~ [Bureau of Gambling Control](#) ~~Commission, 2399 Gateway Oaks Drive, Suite 220~~ [P.O. Box 168024](#), Sacramento, CA ~~95833-4234~~ [95816-8024](#). Please make all checks payable to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~.

Applicant's Last Name	First Name	Middle Initial
Gambling Establishment (Cardroom) Name <input type="checkbox"/> Not currently employed by a gambling establishment		
<b>Please check one box indicating if you are applying for an <i>initial</i> or <i>renewal</i> license.</b>		
<input type="checkbox"/> <b>INITIAL</b> <b>Application Fee:</b> \$ 750 Non-refundable <b>Background Deposit:</b> \$2,400 <p style="text-align: center;"><i>The unused portion of any background deposit will be refunded.</i></p> <p><b><u>Attach the following to the application:</u></b></p> <ul style="list-style-type: none"> <li>✓ A completed <i>Key Employee Supplemental Background Investigation Information, BGC-APP. 016A (Rev. 08/09)</i> form.</li> <li>✓ One 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this application.</li> </ul>		
<input type="checkbox"/> <b>RENEWAL</b> <span style="float: right;"><b>License Number:</b> _____</span> <b>Application Fee:</b> \$ 750 Non-refundable <b>Background Deposit:</b> No background deposit is required at time of application submission; however, you may be required to submit a background deposit upon notification by the Bureau of Gambling Control. <p style="text-align: center;"><i>The unused portion of any background deposit will be refunded.</i></p> <p><b><u>Attach the following to the application:</u></b></p> <ul style="list-style-type: none"> <li>✓ One 2 X 2 inch color passport-style photograph taken no more than 30 days before submission to the <del>Commission</del> <a href="#">Bureau</a>.</li> </ul>		

Application for Gambling Establishment Key Employee License

<b>SECTION 1 – APPLICANT INFORMATION</b>			
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See below for note)		Apt. / Unit Number	
City	County	State	Zip Code
*Mailing Address, if different than above			
Contact Numbers			<input type="checkbox"/> Cell
Home: (      )	Work: (      )	Ext:      Other:	<input type="checkbox"/> Fax
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See below for note)	
<b>SECTION 2 – JOB TITLE / DESCRIPTION</b>			
Job Title			
Description of Job Duties			
<b>SECTION 3 - RENEWAL INFORMATION</b>			
Complete this section only if renewing your key employee license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
1. Have you been a party to any civil litigation since you last filed an application for a Key Employee License?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a Key Employee License application?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
3. Have you been named in any administrative action affecting any license certification since you last filed an application for a Key Employee License?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
4. Have you been convicted of any crime (misdemeanor or felony) since you last filed an application for a Key Employee License?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>SECTION 4 – AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION</b>			
Complete this section <i>only</i> if you choose to designate someone to represent you concerning your application or other matters regarding licensure.			
Last Name	First Name	Middle Initial	
Relationship to Applicant: <input type="checkbox"/> Attorney <input type="checkbox"/> Other: _____		Business Name, if applicable	
Mailing Address			
Telephone Number (      )	Fax Number (      )	E-mail Address (if any)	
<b>SECTION 5 –DECLARATION / SIGNATURE</b>			
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>			
Signature of Applicant in Full (no initials)			Date
<p>* You must provide your residence address to the <del>Commission Bureau</del>. Unless a separate mailing address is provided, the <del>Commission Bureau</del> will mail all correspondence to your residence address. Your residence address will not be displayed on the <del>Commission's Bureau's</del> website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p> <p>Effective July 1, 2012, the <a href="#">California Gambling Control Commission</a> is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of <a href="#">the</a> top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).</p>			



## NOTIFICATION OF CHANGE IN KEY EMPLOYEE EMPLOYMENT STATUS

CGCCBGC-033 (Rev. 064/123)

Pursuant to Business and Professions Code section 19854, a key employee license entitles the holder to work as a key employee in any key employee position at any gambling establishment. The submission of the information below to the ~~California~~ Bureau of Gambling Control ~~Commission~~ is required pursuant to Title 4 of the California Code of Regulations Section 12352.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned. Send the completed request to: ~~California~~ Bureau of Gambling Control ~~Commission~~, ~~2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234~~ 95816-8024.

SECTION 1 – LICENSEE INFORMATION		
Licensee's Last Name	First Name	Middle Initial
Residence Address		License Number
Mailing Address (If different than above)		
SECTION 2 – EMPLOYMENT STATUS INFORMATION		
<p><b>1) Please mark the appropriate box below regarding your <i>current</i> employment status.</b></p> <p><input type="checkbox"/> I am not working as a key employee at this time.</p> <p><input type="checkbox"/> On _____ I accepted employment by _____.</p> <p style="margin-left: 40px;">Date <span style="margin-left: 150px;">Name of Gambling Establishment</span></p> <p><input type="checkbox"/> I am also currently employed by _____.</p> <p style="margin-left: 100px;">Name(s) of Gambling Establishment(s)</p> <p><b>Description of Job Duties</b> (For employment at new Gambling Establishment)</p> <p>_____</p>		
<p><b>2) Please mark the appropriate box below regarding your <i>prior</i> employment status.</b></p> <p><input type="checkbox"/> My employment with _____ terminated on: _____.</p> <p style="margin-left: 100px;">Name of Gambling Establishment <span style="margin-left: 150px;">Date</span></p> <p><input type="checkbox"/> I have not been working as a key employee since last submitting a notification.</p>		
SECTION 3 – DECLARATION / SIGNATURE		
<p><i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i></p>		
Signature of Key Employee	Job Title	Date
<p><b>To be completed by the current gambling enterprise employer representative (if applicable).</b></p> <p><i>I declare that the above key employee has been offered a position under my employ and I have authorized his/her employment application.</i></p>		
Signature of Employer Representative	Printed Name	
Title	Date	



## REQUEST FOR REPLACEMENT KEY EMPLOYEE LICENSE

CGCCBGC-034 (New Rev. 08/09/13)

Pursuant to Business and Professions Code section 19854, every key employee shall apply for and obtain a key employee license. A request for a replacement key employee license shall be made to the ~~California~~ Bureau of Gambling Control ~~Commission~~ (Commission Bureau) when a key employee license has been lost, stolen, damaged, or as needed to reflect a change of name. Upon submitting the information below, the ~~Commission~~ Bureau will issue a replacement key employee license.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned.

Send the completed application to: ~~California~~ Bureau of Gambling Control ~~Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024~~, Sacramento, CA ~~95833-4234~~ 95816-8024 and attach the following:

- ✓ Non-refundable application fee of \$25.00
- ✓ 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this request.

SECTION 1 – LICENSEE INFORMATION								
Licensee's Last Name	First Name	Middle Initial						
Residence Address		License Number						
Mailing Address (If different than above)								
SECTION 2 – REPLACEMENT INFORMATION								
<p>I hereby request a replacement license because:</p> <p><input type="checkbox"/> My license was lost, stolen, or destroyed.</p> <p><input type="checkbox"/> I did not receive my license in the mail.</p> <p><input type="checkbox"/> My name has changed.</p> <p>In order to process your request due to a name change you must include a copy of one of the following documents with this form that reflects your change of name:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Marriage Certificate</td> <td style="width: 50%;"><input type="checkbox"/> Final Dissolution Decree</td> </tr> <tr> <td><input type="checkbox"/> Certified Court Order</td> <td><input type="checkbox"/> Notarized Statement Attesting to the Fact of the Name Change</td> </tr> <tr> <td><input type="checkbox"/> Naturalization Certificate</td> <td><input type="checkbox"/> Other (explain): _____</td> </tr> </table> <p><input type="checkbox"/> Other (explain): _____</p>			<input type="checkbox"/> Marriage Certificate	<input type="checkbox"/> Final Dissolution Decree	<input type="checkbox"/> Certified Court Order	<input type="checkbox"/> Notarized Statement Attesting to the Fact of the Name Change	<input type="checkbox"/> Naturalization Certificate	<input type="checkbox"/> Other (explain): _____
<input type="checkbox"/> Marriage Certificate	<input type="checkbox"/> Final Dissolution Decree							
<input type="checkbox"/> Certified Court Order	<input type="checkbox"/> Notarized Statement Attesting to the Fact of the Name Change							
<input type="checkbox"/> Naturalization Certificate	<input type="checkbox"/> Other (explain): _____							
SECTION 3 – DECLARATION / SIGNATURE								
<p><i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i></p> <p>Signature of Licensee _____ Date _____</p>								



## APPLICATION FOR INTERIM KEY EMPLOYEE LICENSE

CGCC/BGC-035 (Rev. 06/12)

An individual, if holding a valid work permit for any gambling establishment, may immediately begin to work as an interim key employee provided that the individual meets the requirements and conditions pursuant to Title 4 of the California Code of Regulations Section 12354. The information below is required to be submitted to the ~~California~~ Bureau of Gambling Control ~~Commission~~ within 10 days of assuming key employee duties.

Instructions: Type or print legibly, in ink, all information requested on this application. Applications not fully and accurately completed will be returned.

Send the completed application to: ~~California~~ Bureau of Gambling Control ~~Commission~~, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024 and attach the following:

- ✓ Non-refundable application fee of \$25.00.
- ✓ A copy of the applicant's valid work permit for any gambling establishment.
- ✓ A 2 X 2 inch color passport-style photograph taken no more than 30 days prior to the date of this application.

SECTION 1 – APPLICANT INFORMATION		
Applicant's Last Name	First Name	Middle Initial
Residence Address		
Mailing Address (If different than above)		
Phone Number (optional)	Social Security Number*	
SECTION 2 – EMPLOYER INFORMATION		
Name of Gambling Establishment		
Job Title	Date Key Employee Duties Were Assumed	
Description of Duties		
SECTION 3 – DECLARATION / SIGNATURE		
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>		
Signature of Applicant	Date	
<b>To be completed by the gambling enterprise employer representative.</b>		
<i>I declare that the above applicant has been offered a key employee position under my employ and I have authorized his/her assumption of the key employee duties listed above.</i>		
Signature of Employer Representative	Title	
Printed Name	Date	

\* Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.

# **CALIFORNIA CODE OF REGULATIONS**

TITLE 4. BUSINESS REGULATIONS.

DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.

## **CHAPTER 8. BINGO.**

### **APPENDIX B**

- Interim License for Manufacturers, Distributors, and Vendors of Bingo Equipment, Devices, Supplies, and Services, BGC-610 (Rev. 04/13)



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
(916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cggc.ca.gov](#)

## APPLICATION FOR INTERIM LICENSE FOR MANUFACTURERS, DISTRIBUTORS, AND VENDORS OF BINGO EQUIPMENT, DEVICES, SUPPLIES AND SERVICES

~~CGCC~~[BGC](#)-610 (Rev. ~~034~~/[103](#))

Pursuant to Penal Code sections 326.3 and 326.5, the California Gambling Control Commission (Commission) shall license manufacturers and distributors of card-minding devices and any vendor providing bingo supplies, equipment, or services used in the playing of remote caller bingo games. California Code of Regulations, Title 4, Section 12492 allows for the issuance of an interim license in order to avoid disruption to fundraising efforts by nonprofit organizations. In order to apply for an interim license, an application is required to be submitted by the "owner-licensee" and every "owner" (individual or entity) that has a 10 percent or greater interest in or significant influence over, the business.

### 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 will be subject to verification. Any misrepresentation or failure to disclose information may constitute sufficient cause for denial or revocation of your license.

Send the completed application package with required fees (listed below) to: ~~California Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234~~ [95816-8024](#). Please make all checks payable to the ~~California Bureau of Gambling Control Commission~~.

SECTION 1 – INTERIM LICENSE TYPE AND FEE	
Please check the appropriate boxes below indicating whether you are applying for an <i>initial</i> or <i>renewal</i> interim license, the type of interim license you are applying for, and submit the corresponding application fee.	
Name of Business	Name of Applicant (Individual or Entity)
<input type="checkbox"/> <b>Initial Interim License: \$500.00</b> (non-refundable fee, per application)	
<input type="checkbox"/> <b>Renewal Interim License: \$500.00</b> (non-refundable fee, per application)	
<i>Indicate the interim license type you are applying for:</i>	
<input type="checkbox"/> <b>Manufacturer of:</b> <i>(Check one)</i>	
<input type="checkbox"/> Card-Minding Devices	
<input type="checkbox"/> Remote Caller Bingo Equipment or Supplies	
<input type="checkbox"/> <b>Distributor of Card-Minding Devices</b>	
<input type="checkbox"/> <b>Vendor of:</b> <i>(Check all that apply)</i>	
<input type="checkbox"/> Remote Caller Bingo Equipment or Supplies	
<input type="checkbox"/> Remote Caller Bingo Services	

## SECTION 2 – TYPE OF OWNER APPLICATION

Check one box indicating the type of owner application. Submit the application with the required fee and forms/information listed below with your *initial* or *renewal* application.

**Business Entity (Owner-licensee):** (The owner of the business for which the interim license is to be issued, which may include any of the entity types listed in section 3b.)

- ✓ Complete all sections except section 4.
- ✓ Attach the following to the application:
  - Current Organization Chart
  - Copy of organizing documents (i.e., Articles of Incorporation, Articles of Organization, Partnership Agreement, etc.)
  - Listing of any gaming licenses

**Note:** Sole Proprietors must complete all sections of the application. If you are applying for an initial interim license fingerprints must also be submitted. See instructions under “Individual Owner Applicant” below.

**Individual Owner Applicant:** (Any owner of the business entity that is to be endorsed on the owner-licensee’s certificate, which may include any of the individual owner titles listed in section 4a.)

- ✓ Complete sections 4, 5, and 6 only.
- ✓ Submit fingerprints – **Initial Application Only**
  - If residing within the state of California, follow the steps below:
    - 1) Locate and call a Live Scan provider. Determine if an appointment is required. Take the Request for Live Scan Service [form](#), BCL 8016-~~form~~, to a Live Scan provider.
    - 2) The provider will process the fingerprints via Live Scan. Note: Applicants are not required to pay the processing fee associated with the processing and transmitting of fingerprints as these fees will be billed directly to the requesting agency.
    - 3) Attach a copy of the Request for Live Scan Service form to this application confirming that fingerprints have been submitted.
  - If residing outside of California, two FBI fingerprint cards may be obtained from the Commission and taken to any law enforcement agency for fingerprinting.

**Entity Owner Applicant:** (An owner of the business entity that is endorsed on the owner-licensee’s certificate, which may include any of the entity types listed in section 3b.)

- ✓ Complete sections 3, 5, and 6 only.
- ✓ Attach the following to the application:
  - Current Organization Chart
  - Copy of organizing documents (i.e. Articles of Incorporation, Articles of Organization, Partnership Agreement, etc.)

## SECTION 3a – BUSINESS ENTITY INFORMATION

If the business has more than one location, attach a list of all California business locations.

Name of Business

Principal Place of Business Address

Mailing Address (If different than business address)

Telephone Number

(     )

Fax Number

(     )

Website address (if any)

Federal Employer Identification Number (if any)

Social Security Number (If no FEIN)

What fiscal year does the business use?

- Calendar year (January – December)       Other: From: \_\_\_\_\_ To: \_\_\_\_\_

**SECTION 3b – ENTITY STRUCTURE**

Attach a current organization chart for the entity indicating names and job titles.

Check the appropriate box below:

Sole Proprietor

General Partnership

Limited Partnership

Joint Venture

Limited Liability Company

Corporation:

Publicly Traded

Private:

Sub-Chapter S

Sub-Chapter C

Trust:

Revocable

Irrevocable

Other: \_\_\_\_\_

Provide the following information regarding the business. Include all shareholders with a greater than 10% in ownership. For members of a Limited Liability Company, list membership interest in the ownership column. For partners, indicate whether general or limited partner after their name. For officers, directors, and principal management employees that have no ownership, enter 0% in the ownership column. If additional space is needed, use a separate sheet of paper.

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

**SECTION 3c – GENERAL INFORMATION: BUSINESS ENTITY**

If you answer "yes" to any of the questions below, provide an explanation on a separate sheet of paper. If this is an application for *renewal*, you are only required to provide information not previously disclosed.

- |  |  |
|--|--|
| 1. Has the business been licensed with any tribal, county, city, state, federal or international gaming agency?<br>If yes, attach a listing of the gaming agency name, issue date, and expiration date.  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. Has the business applied for a permit, license, finding of suitability, certificate, registration, or authorization related to bingo in any jurisdiction that was withdrawn or denied?<br>If yes, attach a listing of the agency name and an explanation. | <input type="checkbox"/> Yes <input type="checkbox"/> No |

**SECTION 4a – INDIVIDUAL APPLICANT INFORMATION**

Please indicate your association with the business: (Check all that apply)

Sole Proprietor

Officer

Board of Directors Member

Trustor

General Partner

Director

LLC Member

Trustee

Limited Partner

Shareholder

General Manager

Current Beneficiary

Other: \_\_\_\_\_

**SECTION 4a – INDIVIDUAL APPLICANT INFORMATION (Continued)**

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)		
*Address of Record – Number/Street		Apt. / Unit Number
City	County	State
		Zip Code
		Country
Residence Address, if different than above		E-mail Address:
Contact Numbers		
Home: (    )	Work: (    )	Cell: (    )
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number

**SECTION 4b – GENERAL INFORMATION: INDIVIDUAL APPLICANT**

If you answer “yes” to any of the questions below, provide an explanation on a separate sheet of paper. If this is an application for renewal, you are only required to provide information not previously disclosed.

<p>1. Have you ever been convicted of any crime (misdemeanor or felony), including convictions which you pled “no contest” or “nolo contendere?”</p> <p style="margin-left: 20px;">If yes, provide the following information for each conviction:</p> <p style="margin-left: 40px;">Date of conviction Crime convicted of Court location (city and state) Penalty received</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>2. Have you been issued a gaming license, certificate, permit, registration, finding of suitability, etc. by any tribal, county, city, state, federal, or international agency?</p> <p style="margin-left: 20px;">If yes, attach a listing of the gaming agency name, issue date, and expiration date.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>3. Have you applied for a license, certificate, permit, registration, finding of suitability, authorization, etc. related to bingo in any jurisdiction that was withdrawn or denied?</p> <p style="margin-left: 20px;">If yes, attach a listing of the agency name and an explanation.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**SECTION 5 – AUTHORIZED REPRESENTATIVE INFORMATION**

Business entity applicants must assign an authorized representative to represent the business concerning this application and other matters regarding licensure. Individual applicants may designate another individual or themselves.

Last Name	First Name	Middle Initial
Relationship to Applicant (Entity or Individual): <input type="checkbox"/> Owner <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Self <input type="checkbox"/> Other: _____		
Business Name (if applicable)		
Mailing Address		
E-mail Address		
Telephone Number (    )	Cell Phone Number (    )	Fax Number (    )

## SECTION 6 – CERTIFICATION / SIGNATURE

If applying as a business entity, the highest ranking officer must sign on behalf of the entity. An applicant applying as an individual must sign on his or her behalf. If applying as a trust, the trustee must sign on behalf of the trust.

*I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know its contents, the information contained herein and in any attachments, is true, accurate, and complete. I also understand that approval of an interim license is subject to the following conditions:*

- (1) An interim license shall be valid for one year from the date it is issued by the Commission and may be renewed if regulations specifying the criteria for a regular license have not been adopted.*
- (2) Upon adoption of regulations specifying the criteria for a regular license, the ~~Commission~~ [Bureau](#) will notify the holder of the interim license of the requirement to submit a regular application package within 30 days of the effective date of the regulations. If a response has not been received within 30 days, the interim license will not be eligible for renewal.*
- (3) An interim license does not obligate the Commission to issue a regular license nor does it create a vested right in the holder to either a renewal of the interim license or to the granting of a subsequent regular license.*
- (4) Issuance of an interim license has no bearing on the question of whether the holder will qualify for issuance of any Commission permit, registration, or license. The interim license will be cancelled in the event that the Commission subsequently determines the applicant does not qualify for a regular license.*
- (5) If, during the term of an interim license, it is determined that the holder is disqualified pursuant to Section 12493, the Executive Director shall prepare an order to show cause why that interim license should not be cancelled. The holder of the interim license shall be given at least 30 days, but not more than 90 days, to respond in writing. After receipt of the holder's response, or if the holder fails to respond in the time specified, the matter shall be set for consideration at a noticed Commission meeting. The holder may address the Commission by way of an oral statement at the Commission meeting, and [may request an evidentiary hearing](#), either in writing not less than ten days prior to the meeting or at the meeting itself, ~~may request an evidentiary hearing~~.*

Signature

Date

\* You must provide your residence address to the ~~Commission~~ [Bureau](#). Unless a separate mailing address is provided, the ~~Commission~~ [Bureau](#) will mail all correspondence to your residence address. Your residence address will not be displayed on the ~~Commission's~~ [Bureau'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.

[Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over \\$100,000 \(Business and Professions Code section 494.5\).](#)

# **CALIFORNIA CODE OF REGULATIONS**

TITLE 4. BUSINESS REGULATIONS.

DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.

## **CHAPTER 8. BINGO.**

### **APPENDIX C**

- Statement of Eligibility to Conduct Remote Caller Bingo, BGC-618 (Rev. 04/13)
- Interim License for Remote Caller Bingo, BGC-620 (Rev. 04/13)
- Interim Work Permit for Remote Caller Bingo, BGC-622 (Rev. 04/13)



## STATEMENT OF ELIGIBILITY TO CONDUCT REMOTE CALLER BINGO

CGCCBGC-618 (New 03/09 Rev. 04/13)

Pursuant to California Code of Regulations, Title 4, sSection 12504 and California Penal Code (PC) section 326.3(b)(1), remote caller bingo games may only be conducted by organizations that meet specific criteria. The California Gambling Control Commission (Commission) regulates remote caller bingo and recognizes organizations that are eligible to conduct remote caller bingo games.

### Instructions:

Type or print legibly, in ink, all information requested on this statement. If a question does not apply, write "N/A" (Not Applicable). Incomplete statements will be returned. You must provide truthful information in all your responses. All answers to questions on this statement and on all supplemental documentation will be subject to verification.

**Send the completed statement package with required fees (listed below) to:** ~~California~~ Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024. Please make all checks payable to the ~~California~~ Bureau of Gambling Control Commission.

SECTION 1 – STATEMENT OF ELIGIBILITY TYPE			
<input type="checkbox"/> <b>Initial Statement: \$50.00</b> (non-refundable fee) Submit the following documents with your completed statement: <ul style="list-style-type: none"> <li>✓ Founding documents (i.e. Articles of Incorporation, bylaws, constitution, articles of association, trust instrument or will and decree of final distribution, or statement describing your operations and charitable purpose.)</li> <li>✓ Copy of Certificate of Determination of Exemption from the Franchise Tax Board.</li> <li>✓ Organization chart or a listing of the names and titles of trustees, directors, and officers</li> </ul>			
<input type="checkbox"/> <b>Annual Statement: \$25.00</b> (non-refundable fee) 1) Have there been any changes to the organization's eligibility since last filing a statement? <input type="checkbox"/> Yes: Complete all sections and attach any amended documents, if applicable. <input type="checkbox"/> No: Complete section 1, 2, and 5 only			
SECTION 2 – ORGANIZATION INFORMATION			
Name of Authorized Organization			
Street Address of Principal Office	City	State	Zip
Mailing Address (if different than street address)	City	State	Zip
Telephone Number (    )	Fax Number (    )	Business Hours	
<i>Provide at least one of the following:</i> Federal Tax Identification Number: _____ Corporate Number: _____ Charitable Trust Number: _____ Organization Number: _____			
What fiscal year does the organization use? <input type="checkbox"/> Calendar year (January – December) <input type="checkbox"/> Other: From: _____ To: _____			





State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
 (916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cggc.ca.gov](#)

## APPLICATION FOR INTERIM LICENSE FOR REMOTE CALLER BINGO

~~CGCC~~[BGC](#)-620 (Rev. ~~034~~/[103](#))

Pursuant to California Code of Regulations, Title 4, Section 12500 and California Penal Code section 326.3(q)(1), the California Gambling Control Commission (Commission) shall regulate remote caller bingo. This includes the licensing of any person who conducts remote caller bingo, including, but not limited to, persons having fiduciary responsibility, site managers, and bingo callers.

### 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 remote caller bingo interim license.

Applicants must submit fingerprints via Live Scan by following the steps listed below.

- 1) Locate and call a Live Scan provider. Determine if an appointment is required and the preferred method of payment (e.g., cash, cashier's check, etc.). Applicants must pay the cost associated with the processing and transmitting of his/her fingerprints directly to the agency providing the service. Fees vary by provider.
- 2) Take the Request for Live Scan Service [form](#), BCII 8016 ~~form~~, to a Live Scan provider. The provider will process the fingerprints via Live Scan.
- 3) After the fingerprints have been taken, attach a copy of the Request for Live Scan Service form to this application confirming that fingerprints have been submitted.

Send the completed application package with required fees (listed below) to: ~~California Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234~~ [95816-8024](#). Please make all checks payable to the ~~California Bureau of Gambling Control Commission~~.

SECTION 1 – REMOTE CALLER BINGO INTERIM LICENSE	
Name of Applicant	Name of Authorized Organization or Vendor
<input type="checkbox"/> <b>Initial Interim License: \$50.00</b> (non-refundable fee, per license type) Attach: Completed Request for Live Scan Service, BCII 8016	
<input type="checkbox"/> <b>Renewal Interim License: \$50.00</b> (non-refundable fee, per license type)	
SECTION 2 – REMOTE CALLER BINGO INTERIM LICENSE TYPE	
<input type="checkbox"/> <b>Fiduciary:</b> Is an individual who is designated in writing by an authorized organization to manage the finances of the organization's remote caller bingo operation for the benefit of the organization rather than the benefit of the designated individual, exercising the highest level of good faith, loyalty, and diligence.	
<input type="checkbox"/> <b>Caller:</b> Is an individual who is present at a host game site and who announces the numbers or symbols from randomly drawn plastic balls.	
<input type="checkbox"/> <b>Site Manager:</b> Is an individual who is physically present at a remote caller bingo game site and is the primary person responsible for the game conduct, staff, and patrons at the site.	

**SECTION 3a – APPLICANT INFORMATION**

Indicate your association with the authorized organization or vendor. (Check all that apply)

- |   |  |                                    |                                       |
|---|--|------------------------------------|---------------------------------------|
| <input type="checkbox"/> Officer            | <input type="checkbox"/> Treasurer       | <input type="checkbox"/> Volunteer | <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Executive Director | <input type="checkbox"/> Director        | <input type="checkbox"/> Employee  |                                       |
| <input type="checkbox"/> President          | <input type="checkbox"/> General Manager | <input type="checkbox"/> Trustor   |                                       |
| <input type="checkbox"/> Vice-President     | <input type="checkbox"/> Member          | <input type="checkbox"/> Trustee   |                                       |

Description of your duties relating to the conduct of remote caller bingo operations:

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	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 <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number
------------------------	---	--------------------------

**SECTION 3b – GENERAL APPLICANT INFORMATION**

If you answer "yes" to any of the questions, provide an explanation on a separate sheet of paper.  
If this is an application for renewal, you are only required to provide information not previously disclosed.

- |   |  |
|---|--|
| <p>1. Have you been issued a gaming license, certificate, permit, etc. by any tribal, county, city, state, federal, or international agency?<br/>If yes, attach a listing of the gaming agency name, issue date and expiration date.</p>  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <p>2. Have you ever been convicted of any crime (misdemeanor or felony), including convictions which you pled "no contest" or "nolo contendere"?<br/>If yes, provide the following information for each conviction:</p> <ul style="list-style-type: none"> <li>a. Date of conviction</li> <li>b. Crime convicted of</li> <li>c. Court location (city and state)</li> <li>d. Penalty received</li> </ul> | <input type="checkbox"/> Yes <input type="checkbox"/> No |

## SECTION 4 – AUTHORIZED REPRESENTATIVE INFORMATION

Complete this section *only* if you choose to designate someone to represent you concerning your application or other matters regarding licensure.

Last Name	First Name	Middle Initial
Relationship to Applicant: <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____		
Business Name, if applicable	E-mail Address (if any)	
Mailing Address		
Telephone Number (      )	Cell Phone Number (if any) (      )	Fax Number (      )

## SECTION 5 – CERTIFICATION / SIGNATURE

*I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know its contents, the information contained herein and in any attachments, is true, accurate, and complete. I also understand that approval of an interim license is subject to the following conditions:*

- (1) An interim license shall be valid for one year from the date it is issued by the Commission and may be renewed if regulations specifying the criteria for a regular license have not been adopted.*
- (2) Upon adoption of regulations specifying the criteria for a regular license, the ~~Commission~~ [Bureau](#) will notify the holder of the interim license of the requirement to submit a regular application package within 30 days of the effective date of the regulations. If a response has not been received within 30 days, the interim license will not be eligible for renewal.*
- (3) An interim license does not obligate the Commission to issue a regular license nor does it create a vested right in the holder to either a renewal of the interim license or to the granting of a subsequent regular license.*
- (4) Issuance of an interim license has no bearing on the question of whether the holder will qualify for issuance of any Commission permit, registration, or license. The interim license will be cancelled in the event that the Commission subsequently determines that the applicant does not qualify for a regular license.*
- (5) If, during the term of an interim license, it is determined that the holder is disqualified pursuant to Section 12501, the Executive Director shall prepare an order to show cause why that interim license should not be cancelled. The holder of the interim license shall be given at least 30 days, but not more than 90 days, to respond in writing. After receipt of the holder's response, or if the holder fails to respond in the time specified, the matter shall be set for consideration at a noticed Commission meeting. The holder may address the Commission by way of an oral statement at the Commission meeting, and [may request an evidentiary hearing](#), either in writing not less than ten days prior to the meeting or at the meeting itself, ~~may request an evidentiary hearing~~.*

Signature	Date
-----------	------

\* You must provide your residence address to the ~~Commission~~ [Bureau](#). Unless a separate mailing address is provided, the ~~Commission~~ [Bureau](#) will mail all correspondence to your residence address. Your residence address will not be displayed on the ~~Commission's~~ [Bureau'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.

[Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over \\$100,000 \(Business and Professions Code section 494.5\).](#)



State of California  
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[www.cggc.ca.gov](http://www.cggc.ca.gov)

## APPLICATION FOR INTERIM WORK PERMIT FOR REMOTE CALLER BINGO

~~CGCC~~BGC-622 (Rev. 034/103)

Pursuant to California Code of Regulations, Title 4, Section 12503 and California Penal Code section 326.3(r) any person who conducts remote caller bingo and is paid a fee for performing any administrative, managerial, technical, financial, or security duties shall apply for, obtain, and maintain a valid interim work permit.

### 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 remote caller bingo interim work permit.

Send the completed application package with required fees (listed below) to: ~~California Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024~~. Please make all checks payable to the ~~California Bureau of Gambling Control Commission~~.

SECTION 1 – REMOTE CALLER BINGO INTERIM WORK PERMIT	
Name of Applicant	Name of Authorized Organization or Vendor
<input type="checkbox"/> <b>Initial Interim Work Permit: \$50.00</b> (non-refundable fee, per application) Fingerprints must be submitted via Live Scan as follows: <ol style="list-style-type: none"> <li>1) Locate and call a Live Scan provider. Determine if an appointment is required and the preferred method of payment (e.g., cash, cashier's check, etc.). Applicants must pay the cost associated with the processing and transmitting of his/her fingerprints directly to the agency providing the service. Fees vary by provider.</li> <li>2) Take the Request for Live Scan Service <a href="#">form</a>, BCII 8016-<del>form</del>, to a Live Scan provider. The provider will process the fingerprints via Live Scan.</li> <li>3) After the fingerprints have been taken, attach a copy of the Request for Live Scan Service form to this application confirming that fingerprints have been submitted.</li> </ol>	
<input type="checkbox"/> <b>Renewal Interim Work Permit: \$50.00</b> (non-refundable fee, per application)	

## SECTION 2 –EMPLOYMENT DUTIES

Indicate your association with the authorized organization or vendor. (Check all that apply)

Employee                       Member                       Other: \_\_\_\_\_

Indicate category of employment duties. (Check all that apply)

Administrative                       Managerial                       Technical  
 Financial                       Security

Provide a brief description of your duties relating to the conduct of remote caller bingo operations:

## SECTION 3a – APPLICANT INFORMATION

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	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 <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number
------------------------	---	--------------------------

## SECTION 3b – GENERAL APPLICANT INFORMATION

If you answer “yes” to any of the questions, provide an explanation on a separate sheet of paper.  
 If this is an application for renewal, you are only required to provide information not previously disclosed.

- |  |  |
|--|--|
| 1. Have you been issued a gaming license, certificate, permit, etc. by any tribal, county, city, state, federal, or international agency?<br>If yes, attach a listing of the gaming agency name, issue date and expiration date  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. Have you ever been convicted of any crime (misdemeanor or felony), including convictions which you pled “no contest” or “nolo contendere?”<br>If yes, provide the following information for each conviction:<br>a. Date of conviction<br>b. Crime convicted of<br>c. Court location (city and state)<br>d. Penalty received | <input type="checkbox"/> Yes <input type="checkbox"/> No |

### SECTION 4 – AUTHORIZED REPRESENTATIVE INFORMATION

Complete this section *only* if you choose to designate someone to represent you concerning your application or other matters regarding licensure.

Last Name		First Name	Middle Initial
Relationship to Applicant: <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____			
Business Name, if applicable		E-mail Address (if any)	
Mailing Address			
Telephone Number (      )	Cell Phone Number (if any) (      )	Fax Number (      )	

### SECTION 5 – CERTIFICATION / SIGNATURE

I certify under penalty of perjury under the laws of the State of California that I have personally completed this form and know its contents, the information contained herein and in any attachments, is true, accurate, and complete. I also understand that approval of an interim work permit is subject to the following conditions:

- (1) An interim work permit shall be valid for one year from the date it is issued by the Commission and may be renewed if regulations specifying the criteria for a regular work permit have not been adopted.
- (2) Upon adoption of regulations specifying the criteria for a regular work permit, the ~~Commission~~ Bureau will notify the holder of the interim work permit of the requirement to submit a regular application package within 30 days of the effective date of the regulations. If a response has not been received within 30 days, the interim work permit will not be eligible for renewal.
- (3) An interim work permit does not obligate the Commission to issue a regular work permit nor does it create a vested right in the holder to either a renewal of the interim work permit or the granting of a subsequent regular work permit.
- (4) Issuance of an interim work permit has no bearing on the question of whether the holder will qualify for issuance of any Commission permit, registration, or license. The interim work permit will be cancelled in the event that the Commission subsequently determines that the applicant does not qualify for a regular work permit.
- (5) If, during the term of an interim work permit, it is determined that the holder is disqualified pursuant to Section 12504, the Executive Director shall prepare an order to show cause why that work permit should not be cancelled. The holder of the interim work permit shall be given at least 30 days, but not more than 90 days, to respond in writing. After receipt of the holder's response, or if the holder fails to respond in the time specified, the matter shall be set for consideration at a noticed Commission meeting. The holder may address the Commission by way of an oral statement at the Commission meeting, and may request an evidentiary hearing, either in writing not less than ten days prior to the meeting or at the meeting itself, ~~may request an evidentiary hearing~~.

Signature	Date
-----------	------

\* You must provide your residence address to the ~~Commission~~ Bureau. Unless a separate mailing address is provided, the ~~Commission~~ Bureau will mail all correspondence to your residence address. Your residence address will not be displayed on the ~~Commission's~~ Bureau'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.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).

# CALIFORNIA CODE OF REGULATIONS

## TITLE 4. BUSINESS REGULATIONS.

### DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.

#### **FORMS INCORPORATED BY REFERENCE**

- Application for Regular and Temporary Work Permit, BGC-021 (Rev. 02/13)
- Application for Transfer of Work Permit, BGC-022 (Rev. 02/13)
- Application for Work Permit Renewal, BGC-023 (Rev. 02/13)
- Application for Registration of Manufacturers or Distributors of Gambling Equipment, BGC-025 (Rev. 02/13)
- Application for Replacement Work Permit Badge, BGC-026 (Rev. 02/13)
- Gambling Establishment Annual Fee Calculation, BGC-028 (Rev. 02/13)
- Application for State Gambling License, BGC-030 (Rev. 02/13)
- Antique Collector Exemption, BGC-039 (Rev. 02/13)
- Quarterly Report, BGC-040 (Rev. 02/13)
- Application for Third-Party Proposition Player Services License for Supervisors, Players or Other Employees, BGC-433 (Rev. 02/13)
- Application for Third Party Proposition Player Services License for Business Entities and Owners , BGC-434 (Rev. 02/13)
- Application for Third Party Proposition Player Services Registration, BGC-435 (Rev. 02/13)
- Third Party Proposition Player Services Registration Supplemental Information, BGC-436 (Rev. 02/13)
- Request for Replacement Third Party Proposition Player Services Badge, BGC-438 (Rev. 02/13)
- Request for an Additional/Transfer/Reinstatement Third Party Proposition Player Services Registration/License, BGC-439 (Rev. 02/13)
- Third Party Proposition Player Services Employee Report, BGC-440 (Rev. 02/13)
- Change in Status Form for a Third Party Proposition Player Services Registration, BGC-441 (Rev. 02/13)
- Application for Gambling Business License for Business Entities and Owners, BGC-533 (Rev. 02/13)
- Application for Gambling Business License for Supervisor, Player or Other Employee, BGC-534 (Rev. 02/13)
- Application for Gambling Business Registration , BGC-535 (Rev. 02/13)
- Gambling Business Registration Supplemental Information, BGC-536 (Rev. 02/13)
- Request for Replacement Gambling Business Badge, BGC-538 (Rev. 02/13)
- Request for an Additional/Transfer/Reinstatement of Gambling Business Registration/License, BGC-539 (Rev. 02/13)
- Gambling Business Employee and Independent Contractor Report, BGC-540 (Rev. 02/13)
- Change in Status Form for a Gambling Business Registration, BGC-541 (Rev. 02/13)



State of California  
**California Gambling Control Commission** [Department of Justice](#)  
**2399 Gateway Oaks Drive, Suite 220** [Bureau of Gambling Control](#)  
**Sacramento, CA 95833-4234**  
**(916)-263-0700 227-3584; Fax: (916)-263-0452 227-2308**  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## APPLICATION FOR INITIAL REGULAR WORK PERMIT/TEMPORARY WORK PERMIT

### CGCCBGC-021 (Rev. 06/123)

Please read the instructions listed on this form. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant. **PLEASE SEND COMPLETED APPLICATIONS TO: [CGCC at 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4234](#) [Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024](#)**

<b>PLEASE TYPE OR PRINT ALL INFORMATION</b>				
<b>PART I – All Applicants</b>	APPLICANT NAME	SOCIAL SECURITY NUMBER**		
	HOME ADDRESS			
	MAILING ADDRESS (IF DIFFERENT THAN HOME ADDRESS)			
	PHONE NUMBER (    )	E-MAIL ADDRESS (optional)	DATE OF BIRTH	
	TITLE AND DESCRIPTION OF JOB DUTIES:			
	Please indicate answers with an X in the appropriate box			
	1. Are you a U.S. citizen?	Yes	No	
	2. Are you a resident alien?	Yes	No	
<b>PART II – Temporary Work Permit Applicants ONLY</b>	Please indicate answer with an X in the appropriate box			
	1. Do you wish to be considered for a temporary work permit?	Yes	No	
	2. Have you included confirmation of Live Scan fingerprints?	Yes	No	
	3. Have you ever been convicted of a felony?	Yes	No	
	4. Within the last ten years, have you been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law?	Yes	No	
	5. Have you ever had a gambling license or work permit denied?	Yes	No	
6. Have you ever had a gambling license or work permit revoked?	Yes	No		
<b>PART III – All Applicants</b>	<b>I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.</b>			
	_____ Signature of Applicant	_____ Date		
	I hereby authorize the <del>California</del> <a href="#">Bureau of Gambling Control</a> <del>Commission</del> , or its representatives, to furnish any information of any nature concerning me to the <del>Department of Justice</del> <a href="#">California Gambling Control Commission</a> and the licensed gambling establishment for which I am seeking employment. This authorization does not supersede or replace the Authorization to Release Information form (BGC-APP-006 (Rev 04/08)) required to be submitted with the application for use by the Bureau of Gambling Control. <u>Both authorizations are required to be part of the application package.</u>			
_____ Signature of Applicant	_____ Date			

<b>PART IV – All Applicants</b>	NAME OF GAMBLING ESTABLISHMENT		
	MAILING ADDRESS		
	PHONE NUMBER ( )	FAX NUMBER (if any) ( )	E-MAIL ADDRESS (if any)
	Signature of Owner/Hiring Authority/Designated Agent	Name and Title (Print)	Date

## INSTRUCTIONS FOR INITIAL REGULAR WORK PERMIT/TEMPORARY WORK PERMIT

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a work permit (~~CGCCBGC-021~~ (Rev. ~~06/12/02/13~~)) shall be ~~made~~ submitted to the California Bureau of Gambling Control ~~Commission (Commission)~~ (Bureau) when the local licensing authority does not have a work permit process in place, or where a work permit is not required by the local licensing authority of a city, county, or city and county.

All individuals applying for a regular work permit must complete and submit the following:

1. Parts I, III & IV of the Initial Regular Work Permit/Temporary Work Permit Application (~~CGCCBGC-021~~ (Rev. ~~06/12/04/13~~)).
2. Work Permit Questionnaire (BGC-LIC-049 (Rev. 11/07))
3. Authorization to Release Information (BGC-APP-006 (Rev. 04/08))
4. A 2X2 inch, passport-style color photograph taken within the last 30 days.
5. A photocopy of your current California Driver's License or California Identification Card.
6. If you have been naturalized, provide a legible photocopy of your Certificate of Naturalization.
7. If you are a resident alien, provide a legible photocopy (front and back) of your resident alien card.
8. A non-refundable \$250.00 application fee. Checks should be made payable to the California Bureau of Gambling Control ~~Commission~~. This application fee is in addition to the fee paid to the Live Scan provider for processing your fingerprints.
9. Fingerprints must be submitted via Live Scan as follows:  
Take the Request for Live Scan Service form, (BCII 8016) ~~form~~, to a live scan provider, whereupon fingerprints will be processed via Live Scan. **Applicants must pay for the cost associated with processing and transmitting of his/her fingerprints via Live Scan directly to the agency providing the Live Scan Service.** Call the Live Scan facility to determine if an appointment for fingerprinting is required and the preferred method of payment (e.g., cash, cashier's check, etc.). After the fingerprints have been taken, return the **second** copy of the Request for Live Scan Service form with the work permit application package to the ~~Commission~~ Bureau.

In addition to the above requirements, all applicants wishing to be considered for the issuance of a temporary work permit must complete and submit the following:

1. Part II of the Initial Regular Work Permit/Temporary Work Permit Application.
2. A second 2X2 inch, passport-style color photograph taken within the last 30 days.
3. A non-refundable \$25.00 application fee made payable to the California Bureau of Gambling Control ~~Commission~~. This fee is in addition to the above noted non-refundable application fee for the regular work permit. The total fee due for a temporary work permit is \$275.00.

**If the applicant does not submit all of the required documents for a temporary or regular work permit, the application is considered incomplete and will be returned to the applicant within 5 days of its receipt. In a cover letter, the California Bureau of Gambling Control will state why the application is incomplete and what documents or information will be required if the application is resubmitted. The application will not be referred ~~to the Bureau~~ for investigation until it is complete and includes all of the required information as stated above.**

\*\* Disclosure of your U.S. social security number (SSN) 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, and 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/ approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of [the](#) top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).

The application for an initial regular work permit/temporary work permit can be mailed to:

~~California Gambling Control Commission  
Licensing Division  
2399 Gateway Oaks Drive, Suite 220  
Sacramento, CA 95833-4234~~

For Regular Mail Delivery:

Bureau of Gambling Control  
P.O. Box 168024  
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control  
4949 Broadway  
Sacramento, CA 95820

If an applicant wishes to withdraw his or her application for a work permit any time prior to final action, a written request must be submitted to the [California Gambling Control Commission](#) (Commission). The request must establish that withdrawal of the application would be consistent with the public interest and the policies of the Gambling Control Act. If an applicant has applied for a temporary work permit and submits a request to withdraw the application for a regular work permit, the application for a temporary work permit shall be deemed abandoned. Application fees are non-refundable should an application be withdrawn at any time after its submittal to the ~~Commission~~ [Bureau](#).

If ~~a valid work permit~~ [the](#) holder [of a valid work permit](#) wishes to obtain a transfer of an existing work permit to another licensed gambling establishment, an Application for Transfer of Work Permit (~~CGCCBGC~~-022 (Rev. ~~05/11~~[04/13](#))) must be completed and submitted to the ~~Commission~~ [Bureau](#). Please refer to the Instructions listed on the Transfer of Work Permit form.

All applications, whether or not a temporary work permit is issued, will be referred ~~to the Bureau of Gambling Control~~ for completion of a background investigation prior to the issuance of a regular work permit. ~~All regular work permits will be subject to approval by the Commission at a scheduled public meeting.~~ The Bureau may request additional forms and documentation necessary to complete the investigative process. Please be aware that any delay in providing requested information to the ~~Commission or the~~ Bureau, may delay the issuance of either a temporary or a regular work permit. [All regular work permits will be subject to approval by the Commission at a scheduled public meeting.](#)

A work permit applicant is seeking the granting of a privilege. The burden of proving qualifications is at all times on the applicant.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the work permit application process may be directed to ~~the Commission at:~~

~~California Gambling Control Commission~~ [Bureau of Gambling Control](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [P.O. Box 168024](#)  
Sacramento, CA ~~95833-4234~~ [95816-8024](#)  
(916) ~~263-0700~~ [227-3584](#); Fax: (916) [227-2308](#)

You may also visit the ~~Commission's~~ [Bureau's](#) website at ~~www.cgcc.ca.gov~~ [www.oag.ca.gov/gambling](#) to view and print forms or instructions and for other helpful resources and information.



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4231~~  
(916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## APPLICATION FOR TRANSFER OF WORK PERMIT ~~CGCC~~[BGC](#)-022 (Rev. 054/113)

Please read the instructions listed on this form. This application is only used for the transfer of valid work permits issued by the California Gambling Control Commission as provided in California Code of Regulations Title 4, Section 12120. Work permits issued by a local jurisdiction licensing authority may not be transferred. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.

PLEASE TYPE OR PRINT ALL INFORMATION			
Part I	APPLICANT NAME	WORK PERMIT NUMBER	
	HOME ADDRESS		
	MAILING ADDRESS (IF DIFFERENT THAN HOME ADDRESS)		
	PHONE NUMBER ( )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
	NAME OF GAMBLING ESTABLISHMENT ON YOUR EXISTING WORK PERMIT		

Part II	I would like to transfer my existing work permit to the following gambling establishment:		
	NAME OF GAMBLING ESTABLISHMENT		
	MAILING ADDRESS		
	PHONE NUMBER ( )	FAX NUMBER (if any) ( )	E-MAIL ADDRESS (if any)
	JOB TITLE AND DESCRIPTION OF DUTIES:		

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.	
_____ Signature of Applicant	_____ Date
I hereby authorize the <del>California</del> <a href="#">Bureau of Gambling Control</a> <del>Commission</del> , or its representatives, to furnish any information of any nature concerning me to the <del>Department of Justice</del> <a href="#">California Gambling Control Commission</a> or the licensed gambling establishment for which I am employed.	
_____ Signature of Applicant	_____ Date

I certify that this applicant has been offered a position under my employ and I have authorized his/her application for transfer of work permit.		
_____ Signature of Owner/Hiring Authority/Designated Agent	_____ Name and Title (print)	_____ Date

## TRANSFER OF WORK PERMIT INSTRUCTIONS

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a transfer of work permit (~~GGCCBGC-022~~ (Rev. 054/143)) shall be made to the ~~California Bureau of Gambling Control~~-~~Commission~~ (~~Commission~~~~Bureau~~) when a work permit holder has obtained his or her work permit from the ~~California Gambling Control~~ Commission (~~Commission~~) because the local licensing authority does not have a work permit process in place, or is not required by the local licensing authority of a city, county, or city and county.

This application is used **only** for the transfer of valid work permits issued by the Commission. Do not use this form if the current employer or the gambling establishment where you want to transfer is required to obtain their work permits from the local licensing authority. All individuals applying to **transfer** a work permit must complete and submit the following:

1. Application for Transfer of Work Permit (~~GGCCBGC-022~~ (Rev. 054/143)) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment.
2. A 2X2, passport-style color photograph taken within the last 30 days.
3. A photocopy of your current California Driver's License or California Identification Card.
4. A photocopy of your current work permit.
5. A non-refundable \$25.00 transfer application fee. Checks should be made payable to the ~~California Bureau of Gambling Control~~-~~Commission~~.

The application for transfer can be mailed to:

~~California Gambling Control Commission~~  
~~Licensing Division~~  
~~2399 Gateway Oaks Drive, Suite 220~~  
~~Sacramento, CA 95833-4231~~

For Regular Mail Delivery:

Bureau of Gambling Control  
P.O. Box 168024  
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control  
4949 Broadway  
Sacramento, CA 95820

By submitting this application, applicants understand that they are seeking the granting of a privilege and acknowledge that the burden of proving their qualifications for a favorable determination is at all times on them.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the process of transferring a work permit may be directed to the ~~Commission~~ ~~Bureau~~ at the above address or by telephone at (916) ~~263-0700~~ 227-3584. You may also find forms and other useful information by accessing the ~~Commission's~~ ~~Bureau's~~ website at: ~~www.cgcc.ca.gov~~ www.oag.ca.gov/gambling.



**APPLICATION FOR WORK PERMIT RENEWAL**  
**CGCCBGC-023 (Rev. 06/12/13)**

Please read the instructions listed on this form. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.

**PLEASE SEND COMPLETED APPLICATIONS TO: ~~CGCC~~ at 2399 Gateway Oaks Drive, Suite 220, Sacramento CA 95833-4234 [Bureau of Gambling Control, P. O. Box 168024, Sacramento, CA 95816-8024](#)**

**PLEASE TYPE OR PRINT ALL INFORMATION**

<b>PART I</b>	APPLICANT NAME		WORK PERMIT NUMBER (optional)		
	HOME ADDRESS		SOCIAL SECURITY NUMBER**		
	MAILING ADDRESS (IF DIFFERENT THAN HOME ADDRESS)				
	PHONE NUMBER ( )	E-MAIL ADDRESS (optional)		DATE OF BIRTH	
	TITLE AND DESCRIPTION OF JOB DUTIES:				
	Please indicate answers with an X in the appropriate box				
	1. Are you a U.S. citizen?		Yes	No	
	2. Are you a resident alien?		Yes	No	
<b>PART II</b>	<b>I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.</b>  _____ Signature of Applicant <span style="float: right;">_____</span> Date				
	<b>I hereby authorize the <del>California</del> <a href="#">Bureau of Gambling Control</a> <del>Commission</del>, or its representatives, to furnish any information of any nature concerning me to the <del>Department of Justice</del> <a href="#">California Gambling Control Commission</a> and the licensed gambling establishment for which I am seeking employment. This authorization does not supersede or replace the Authorization to Release Information form (BGC-APP-006 (Rev. 04/08)) required to be submitted with the application for use by the Bureau of Gambling Control. <u>Both authorizations are required to be part of the application package.</u></b>  _____ Signature of Applicant <span style="float: right;">_____</span> Date				
<b>PART III</b>	NAME OF GAMBLING ESTABLISHMENT				
	MAILING ADDRESS				
	PHONE NUMBER ( )	FAX NUMBER (if any) ( )	E-MAIL ADDRESS (if any)		
	_____		_____		
	Signature of Owner/Hiring Authority/Designated Agent		Name and Title (Print) <span style="float: right;">Date</span>		

# INSTRUCTIONS FOR WORK PERMIT RENEWAL

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. Pursuant to Business and Professions Code Section 19912, a work permit issued by the California Gambling Control Commission (Commission) is valid for two years. An Application for Work Permit Renewal (~~CGCC~~[BGC](#)-023 (Rev. ~~06~~[4](#)/~~12~~[3](#))) must be submitted to the Commission 90 days before the current work permit expires.

The work permit renewal application package must include:

1. Work Permit Renewal Application (~~CGCC~~[BGC](#)-023 (Rev. ~~06~~[4](#)/~~12~~[3](#))) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment of the current employer.
2. Two passport-style color photograph taken within the last 30-days.
3. Work Permit Questionnaire (BGC-LIC-049 (Rev. 11/07)).
4. Authorization to Release Information (BGC-APP-006 (Rev. 04/08)).
5. A photocopy of your current California Driver's License or California Identification Card.
6. If you are a resident alien, provide a legible photocopy (front and back) of your resident alien card.
7. A non-refundable **\$250.00** renewal fee. Checks should be made payable to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~.

The application for renewal of a work permit can be mailed to:

~~California Gambling Control Commission~~  
~~Licensing Division~~  
~~2399 Gateway Oaks Drive, Suite 220~~  
~~Sacramento, CA 95833-4231~~

For Regular Mail Delivery:

Bureau of Gambling Control  
P.O. Box 168024  
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control  
4949 Broadway  
Sacramento, CA 95820

If an applicant wishes to withdraw his or her application for renewal of a work permit anytime prior to final action, a written request must be submitted to the [California Gambling Control Commission](#) (Commission). The request must establish that withdrawal of the application would be consistent with the public interest and the policies of the Gambling Control Act. Application fees are non-refundable should you withdraw your application at any time after its submittal to the ~~Commission Bureau~~.

If a valid work permit holder is currently employed at more than one gambling establishment whose work permits are both required to be obtained from the ~~California Gambling Control~~ Commission, a renewal application must be completed for each gambling establishment, including all required fees.

All applications and questionnaires will be referred ~~to the Bureau of Gambling Control (Bureau)~~ for completion of a background investigation prior to the issuance of a renewed work permit. ~~All work permit renewals will be subject to approval by the Commission at a scheduled public meeting.~~ The Bureau may request additional forms and documentation necessary to complete the investigation process. Please be aware that any delay in providing requested information to the Bureau ~~or the Commission~~, will further delay the issuance of a renewed work permit. All work permit renewals will be subject to approval by the Commission at a scheduled public meeting.

\*\* Disclosure of your U.S. social security number (SSN) 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, and 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).

A work permit applicant is seeking the granting of a privilege. The burden of proving qualifications is at all times on the applicant.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the work permit application process may be directed to ~~the Commission at:~~

~~California Gambling Control Commission~~ [Bureau of Gambling Control](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [P.O. Box 168024](#)  
Sacramento, CA ~~95833-4231~~ [95816-8024](#)  
(916) ~~263-0700~~ [227-3584](#); Fax: (916) [227-2308](#)

You may also visit the ~~Commission's~~ Bureau's website at ~~www.cgcc.ca.gov~~ [www.oag.ca.gov/gambling](http://www.oag.ca.gov/gambling) to view and print forms or instructions and for other helpful resources and information.



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
 (916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## APPLICATION FOR REGISTRATION OF MANUFACTURERS OR DISTRIBUTORS OF GAMBLING EQUIPMENT

**CGCCBGC-025 (Rev. 06/12/13)**

Please read the instructions listed on this form. Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". **PLEASE SEND COMPLETED APPLICATIONS TO:** ~~California Gambling Control Commission at 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4234~~ [Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024](#)

<b>PLEASE TYPE OR PRINT ALL INFORMATION</b>		<input type="checkbox"/> New	<input type="checkbox"/> Renewal
<b>PART I</b>	Registration Type: Check One _____ Class A (include registration fee with application) _____ Class B		
	APPLICANT NAME		PHONE NUMBER ( )
	PRINCIPAL PLACE OF BUSINESS ADDRESS		
	MAILING ADDRESS (IF DIFFERENT THAN BUSINESS ADDRESS)		
	FACSIMILE NUMBER ( )	FEDERAL EMPLOYER IDENTIFICATION NUMBER (if any)	SOCIAL SECURITY NUMBER (if no FEIN)
	ADDITIONAL GAMBLING EQUIPMENT BUSINESS LOCATION(S) WITHIN CALIFORNIA, INCLUDING STORAGE FACILITIES (if any)		
	BUSINESS ACTIVITY STATEMENT WITH REGARDS TO GAMBLING EQUIPMENT (PLEASE MARK EACH BOX THAT APPLIES):		
<input type="checkbox"/> MANUFACTURING (INCLUDING THE ASSEMBLY, PRODUCTION, PROGRAMMING, OR MODIFICATION OF) <input type="checkbox"/> TESTING <input type="checkbox"/> DISTRIBUTING <input type="checkbox"/> REPAIRING <input type="checkbox"/> SELLING <input type="checkbox"/> REFURBISHING <input type="checkbox"/> LEASING <input type="checkbox"/> STORING <input type="checkbox"/> INSPECTING			
<b>PART II</b>	If more space is necessary or more information included with the registration, please indicate with an X in the "Additional Information Attached" box for that section. Please indicate on attached sheet(s) which information section the attachment is intended to supplement.		Additional Information Attached
	1. If applicant is a business entity: name, mailing address, phone number, facsimile number (if any), of chief executive officer, or other person designated by the entity to serve as the entity's representative.		
	2. If principal place of business is located outside of California, enclose copy of current gaming licensure in the jurisdiction in which it is located to manufacture or distribute gambling equipment, or a statement that gaming licensure is not required by the jurisdiction in which it is located.		
	3. Statement of registration with United States government as required by Title 15, United States Code, section 1173 or statement that registration is not required.		
	4. Have you designated an agent for service of process with the California Secretary of State? If so, name of designated agent for service of process:		
	5. Please answer both A and B with either yes or no: A. Do you sell, lease, inspect, test, repair, refurbish, or store only slot machines or devices which are "antique slot machines" within the definition of Penal Code 330.7? B. Are you otherwise a manufacturer or distributor as defined in 4 CCR sec. 12300(b)(7)?		
6. Within my personal knowledge, the foregoing information is accurate and complete.			

<b>PART III</b>	<b>I declare under penalty of perjury under the laws of the State of California that the foregoing is true, and correct.</b>	
	_____ Signature of Applicant's Designated Representative	_____ Date
	_____ Typed or Printed Name of Applicant's Designated Representative	
	_____ Title	

## REGISTRATION OF MANUFACTURERS OR DISTRIBUTORS OF GAMBLING EQUIPMENT INSTRUCTIONS

The regulations contained in Title 4, California Code of Regulations, sections 12300 through 12310 require manufacturers or distributors of gambling equipment to apply for registration with the ~~California Bureau of Gambling Control-Commission~~ [\(Commission or CGCCBureau\)](#).

Section 12300(b)(5) defines "gambling equipment" as follows:

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

Section 12300(b)(7) defines "manufacturer or distributor" as follows:

"any person that manufactures, including the assembly, production, programming, or modification of, distributes, sells, leases, inspects, tests, repairs, refurbishes, or stores gambling equipment in this state or for use in this state. Manufacturer or distributor includes, in addition to in-state manufacturers and distributors, persons performing these functions in a location outside of this state with respect to gambling equipment intended for operation in this state.

The application form requires the following information:

1. Registration type: Indicate Class A or Class B. [Section 12300(b)(2).]
  - a. Class B registration applies to any manufacturer or distributor that has no place of business in the State of California and that does not transport gambling equipment to a destination within the State of California, other than transportation of gambling equipment from an out-of-state location to a tribal gaming facility in this state.
  - b. All other registrations are Class A.
2. Name, address of principal place of business (whether located within or outside California), telephone and facsimile numbers, and mailing address (if different from the address of the principal place of business).
3. Federal Employer Identification Number ("FEIN") or Social Security Number, if no FEIN.  
*If you do not have an "FEIN" number, disclosure of your social security number is mandatory. Section 19841(a) of the Business and Professions Code authorizes collection of your social security number. If you fail to disclose your social security number, your application will not be processed. Your social security number will be used exclusively for identification purposes or for purposes of compliance with any judgment or order for family support in accordance with Section 17520 of the Family Code.*

*Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/ approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of [the](#) top 500 tax delinquencies over \$100,000 (Revenue and Taxation Code section 494.5).*

4. Gambling equipment business location(s) within California, including storage facilities (if applicable).

5. Part I. Business Activity Statement - A description of the types of gambling equipment businesses conducted by the applicant: manufacturing (i.e., assembly, production, programming, or modification), distributing, selling, leasing, inspecting, repairing, or storing. Indicate all categories that apply.
6. If the applicant is a business entity, the name, mailing address, voice telephone number, and facsimile telephone number (if any) of the chief executive officer, or other person designated by the entity to serve as the entity's representative.
7. If the applicant's principal place of business is located outside of this state, provide a copy or other evidence of current gaming licensure in the jurisdiction in which the applicant is located to manufacture or distribute gambling equipment, or submit a statement that gaming licensure is not required by the jurisdiction in which the applicant is located.
8. A copy of the applicant's current registration with the United States Attorney General pursuant to the Gambling Devices Act of 1962 (the Johnson Act), Title 15 United States Code section 1173, if registered. If not registered, include a statement that the applicant is not required to register under the Gambling Devices Act of 1962, Title 15 United States Code section 1173.
9. If an agent for service of process has been designated with the California Secretary of State, indicate the name of that designated agent. [California Corporations Code section 1505.] (An agent for service of process is a person authorized to receive the summons used to initiate a legal action).
10. Signature of the applicant's designated representative. (This individual would be the person designated to represent the entity for the purpose of applying for registration.)
11. Except as noted below, a non-refundable \$500 application fee for Class A registration. A nonrefundable application fee of forty dollars (\$40) shall be submitted by any manufacturer or distributor applying for Class A registration that sells, leases, inspects, tests, repairs, refurbishes, or stores ONLY slot machines or devices which are "antique slot machines" within the meaning of Penal Code section 330.7, provided that this provision does not apply to a person that is otherwise a manufacturer or distributor. (Section 12301(b)(10)(B).)

The information can be *mailed* to:

**California Gambling Control Commission**  
**Licensing Division**  
**2399 Gateway Oaks Drive, Suite 220**  
**Sacramento, CA 95833-4231**

For Regular Mail Delivery:

Bureau of Gambling Control  
P.O. Box 168024  
Sacramento, CA 95816-8024

For Commercial/Personal Delivery:

Bureau of Gambling Control  
4949 Broadway  
Sacramento, CA 95820

~~CGCC~~ The Commission strongly encourages all manufacturers and distributors to read the regulations published in the California Code of Regulations: Title 4, sections 12300 through 12310. The text of the regulations may also be found on the ~~CGCC~~ Commission's website: www.cgcc.ca.gov, under "Laws and Regulations."



State of California  
**California Gambling Control Commission** Department of Justice  
2399 Gateway Oaks Drive, Suite 220 Bureau of Gambling Control  
Sacramento, CA 95833-4231  
 (916)-263-0700 227-3584; Fax: (916)-263-0452 227-2308  
[www.cggc.ca.gov](http://www.cggc.ca.gov)

## APPLICATION FOR REPLACEMENT WORK PERMIT BADGE

### CGGCBGC-026 (Rev. 05/13)

Please read the instructions listed on this form. **This application is only used for the badge replacement of valid work permits issued by the California Gambling Control Commission as provided in California Code of Regulations Title 4, Section 12120.** Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A". Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes, or other substitutions must be initialed and dated by the applicant.

<b>PLEASE TYPE OR PRINT ALL INFORMATION</b>			
<b>Part I</b>	APPLICANT NAME	WORK PERMIT NUMBER	
	HOME ADDRESS		
	MAILING ADDRESS (IF DIFFERENT THAN HOME ADDRESS)		
	PHONE NUMBER (    )	E-MAIL ADDRESS (optional)	DATE OF BIRTH
	NAME OF GAMBLING ESTABLISHMENT ON YOUR EXISTING WORK PERMIT		

<b>Part II</b>	I would like to replace my lost or stolen work permit badge to the following gambling establishment:		
	NAME OF GAMBLING ESTABLISHMENT		
	MAILING ADDRESS		
	PHONE NUMBER (    )	FAX NUMBER (if any) (    )	E-MAIL ADDRESS (if any)
	JOB TITLE AND DESCRIPTION OF DUTIES:		

<b>I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.</b>	
_____ Signature of Applicant	_____ Date
<b><i>I hereby authorize the <del>California Bureau of Gambling Control Commission</del>, or its representatives, to furnish any information of any nature concerning me to the <del>Department of Justice California Gambling Control Commission</del> or the licensed gambling establishment for which I am employed.</i></b>	
_____ Signature of Applicant	_____ Date

I certify that this applicant holds a position under my employ and I have authorized his/her application for work permit badge replacement.		
_____ Signature of Owner/Hiring Authority/Designated Agent	_____ Name and Title (print)	_____ Date

## INSTRUCTIONS FOR APPLICATION FOR REPLACEMENT WORK PERMIT BADGE

The Gambling Control Act requires that all individuals who are employed as gambling enterprise employees hold a valid work permit. An application for a replacement work permit badge (~~CGCCBGC~~-026 (Rev. 054/143)) shall be made to the ~~California Bureau of Gambling Control-Commission~~ (~~CommissionBureau~~) when a work permit holder's badge has been lost or stolen.

This application is used **only** for the replacement of valid work permits issued by the Commission. All individuals applying to replace a work permit badge must complete and submit the following:

1. Application for Replacement Work Permit Badge (~~CGCCBGC~~-026 (Rev. 054/143)) signed by the applicant and by the owner/hiring agent/designated agent of the gambling establishment.
2. A 2X2, passport-style color photograph taken within the last 30 days.
3. A photocopy of your current California Driver's License or California Identification Card.
4. A non-refundable \$25.00 replacement badge application fee. Checks should be made payable to the ~~California Bureau of Gambling Control-Commission~~.

The application for transfer can be mailed to:

~~California Gambling Control Commission  
Licensing Division  
2399 Gateway Oaks Drive, Suite 220  
Sacramento, CA 95833-4231~~

[For Regular Mail Delivery:](#)

[Bureau of Gambling Control](#)  
[P.O. Box 168024](#)  
[Sacramento, CA 95816-8024](#)

[For Commercial/Personal Delivery:](#)

[Bureau of Gambling Control](#)  
[4949 Broadway](#)  
[Sacramento, CA 95820](#)

By submitting this application, applicants understand that they are seeking the granting of a privilege and acknowledge that the burden of proving their qualifications for a favorable determination is at all times on them.

The applicant accepts any risk of adverse public notice, embarrassment, criticism, or other action or financial loss that may result from action with respect to the submitted application.

Any questions regarding the process of replacing a work permit badge may be directed to the ~~Commission Bureau~~ at the above address or by telephone at (916) ~~263-0700~~ [227-3584](tel:9162273584). You may also find forms and other useful information by accessing the ~~Commission's Bureau's~~ website at: [www.egeeoag.ca.gov/gambling](http://www.egeeoag.ca.gov/gambling)



State of California  
~~California Gambling Control Commission~~ Department of Justice  
~~2399 Gateway Oaks Drive, Suite 220~~ Bureau of Gambling Control  
~~Sacramento, CA 95833-4234~~  
(916) ~~263-0700~~ 227-3584; Fax: (916) ~~263-0452~~ 227-2308  
[www.cggc.ca.gov](http://www.cggc.ca.gov)

## Gambling Establishment Annual Fee Calculation

CGGC/BGC-028 (Rev 054/143)

Business and Professions (B&P) Code section 19951 establishes two fee schedules for Gambling Establishment owner-licensees to determine the amount of annual fees to be paid to the ~~Commission~~ Bureau. The fee schedules are based on the gross revenues of the owner-licensee and the number of authorized tables 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 fee to the ~~California Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833-4234~~ P.O. Box 168024, Sacramento, CA 95816-8024.** Please make all checks payable to the ~~California Bureau of Gambling Control Commission.~~

Gambling Establishment (Cardroom) Name: _____	
<b>SECTION 1 – GAMBLING ACTIVITIES/REVENUE</b>	
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)	
<b>A. Poker Style Games</b>	<b>Revenue</b>
1)	\$
2)	\$
3)	\$
4)	\$
<b>B. California Style Games</b>	<b>Revenue</b>
1)	\$
2)	\$
3)	\$
4)	\$
<b>C. Other Games</b>	<b>Revenue</b>
1)	\$
2)	\$
3)	\$
<b>D. Tournament (Name)</b>	<b>Revenue (Entry Fee)</b>
1)	\$
2)	\$

SECTION 1 – GAMBLING ACTIVITIES/REVENUE (Continued)	
<b>E. Total Annual Interest Received from the Issuance of Credit:</b>	<b>\$</b>
<b>TOTAL REVENUES LISTED ABOVE (A+B+C+D+E):</b>	<b>\$</b>
SECTION 2a – 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 <b>Table 1</b> 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: <ol style="list-style-type: none"> <li>1) Refer to the cardroom's Number of Authorized Tables range in <b>Table 1</b> and the corresponding fee.</li> <li>2) Refer to the cardroom's Gross Revenues range in <b>Table 2</b> and the corresponding fee.</li> <li>3) The fee per table will be the greater of the two amounts.</li> </ol>	
<b>Table 1</b>	
Number of Authorized Tables <sup>1</sup>	1 – 5      6 – 8      9 – 14      15 – 25      26 – 70      71 or more
Fee Per Table	\$300      \$550      \$1300      \$2700      \$4000      \$4700
<small><sup>1</sup> Based on the number of authorized tables at the close of the licensee's preceding fiscal year.</small>	
<b>Table 2</b>	
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 FEE CALCULATION	
<b>Fee Per Table (Determined in Section 2a):</b>	<b>\$</b>
<b>Multiply by Cardroom's Number of Authorized Tables:</b>	<b>X</b>
<b>ANNUAL FEE TO BE SUBMITTED:</b>	<b>\$</b>
SECTION 2c – GAMBLING ADDICTION PROGRAM FEE CALCULATION	
<b>Gambling Addiction Fund Fee Per Authorized Table:</b>	<b>\$ 100</b>
<b>Multiply by Cardroom's Number of Authorized Tables:</b>	<b>X</b>
<b>FEE FOR DEPOSIT TO THE GAMBLING ADDICTION PROGRAM FUND:</b>	<b>\$</b>
SECTION 2d – TOTAL ANNUAL FEES DUE	
<b>TOTAL FEES DUE (Total from Section 2b and 2c):</b>	<b>\$</b>
SECTION 3 – DECLARATION / SIGNATURE	
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all attachments, corrections, changes and other alterations, is true, accurate, and complete.</i>	
Name of Individual Completing this form (typed or printed):	Title:
Signature:	Date:



State of California  
**California Gambling Control Commission** [Department of Justice](#)  
 2399 Gateway Oaks Drive, Suite 220 [Bureau of Gambling Control](#)  
 Sacramento, CA 95833-4234  
 (916) 263-0700 [227-3584](#); Fax: (916) 263-0452 [227-2308](#)  
[www.cggc.ca.gov](http://www.cggc.ca.gov)

**APPLICATION FOR STATE GAMBLING LICENSE**  
 CGCC [BGC](#)-030 (Rev. 06/123)

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 Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220 P.O. Box 168024, Sacramento, CA 95833-4234~~ [95816-8024](#). Please make all checks payable to the ~~California Bureau of Gambling Control Commission~~.

Name of Gambling Establishment (Cardroom):	Name of Applicant (Individual or Entity):
<b>Please check one box indicating whether you are applying for an <i>initial</i> or <i>renewal</i> license.</b>	
<input type="checkbox"/> <b><u>INITIAL</u></b> <b>Application Fee:</b> \$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee) <b>Background Deposit:</b> \$ 6600 (Owner-Licensee and Endorsed Licensee) \$ 1100 (Trust,* Trustee, and Trustor) \$ 1500 (Community Property Spouse) <i>Any unused portion of a background deposit will be refunded.</i>	
<b>NOTE: Initial applicants must also attach a completed Supplemental Background Information form, as indicated below:</b> <u>Gambling Establishment (Cardroom):</u> 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> <u>Individual Applicants:</u> Attach a Gambling Establishment Owner Applicant – Individual Supplemental Background Investigation Information, BGC-APP-015A (Rev. 04/08) form <u>Entity Applicants:</u> Attach a Gambling Establishment Owner – Entity Supplemental Information for a State Gambling License, BGC-APP-015B (Rev. 04/08) form <u>*Trust Applicants:</u> Attach a Trust Supplemental Background Investigation Information, BGC-APP-143 (Rev. 05/08) form <small>* Contingent beneficiaries do not need to submit an application if benefits are contingent upon a specific future event or circumstance.</small>	
<input type="checkbox"/> <b><u>RENEWAL</u></b> <b>Application Fee:</b> \$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee) <b>Delinquent Application Fee:</b> \$ 1000 Non-refundable (Owner-Licensee and Endorsed Licensee) <b>Background Deposit:</b> \$ 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 *only* if renewing as a Trust:**

- |  |  |
|--|--|
| 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 ( <i>typed or printed</i> ):	Title:
Signature:	Date:

\* You must provide your residence address to the ~~Commission Bureau~~. Unless a separate mailing address is provided, the ~~Commission Bureau~~ will mail all correspondence to your residence address. Your residence address will not be displayed on the ~~Commission’s Bureau’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.

Effective July 1, 2012, the [California Gambling Control Commission](#) is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board’s or Board of Equalization’s certified list of [the](#) top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).



State of California  
~~California Gambling Control Commission~~ Department of Justice  
~~2399 Gateway Oaks Drive, Suite 220~~ Bureau of Gambling Control  
~~Sacramento, CA 95833-4234~~  
 (916) ~~263-0700~~ 227-3584; Fax: (916) ~~263-0452~~ 227-2308  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## ANTIQUÉ COLLECTOR CLAIM OF EXEMPTION

CGCCBGC-039 (Rev. 05/14)

Type or print legibly in ink an answer for each question. If a question does not apply to you, please indicate with "N/A".  
**PLEASE SEND COMPLETED FORM TO: ~~California~~ Bureau of Gambling Control ~~Commission~~, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95816-8024 95816-8024**

<b>PLEASE TYPE OR PRINT ALL INFORMATION</b>			
ANTIQUÉ COLLECTOR NAME	PHONE NUMBER (   )		
HOME ADDRESS			
MAILING ADDRESS (IF DIFFERENT THAN HOME ADDRESS)			
ADDITIONAL ADDRESSES AT WHICH ANTIQUÉ SLOT MACHINES WILL BE STORED (if any)			
		Yes	No
1. I qualify as an "antique collector" within the meaning of Title 4, California Code of Regulations, Section 12300(b)(1) (quoted below).  "Antique collector" means any individual that sells, exchanges, or otherwise transfers five or fewer antique slot machines, as defined in Penal Code section 330.7, during any calendar year. For purposes of computing the number of antique slot machines transferred during any calendar year, transactions in which a registered manufacturer or distributor acts as an agent or broker on behalf of an antique collector shall not be counted or included. "Antique collector" does not include any individual who is otherwise a manufacturer or distributor within the meaning of Title 4, California Code of Regulations, Section 12300(b)(9).			
2. During the current calendar year, I have not sold or otherwise transferred more than five antique slot machines.			
3. I understand that I must register as a manufacturer or distributor of gambling equipment prior to becoming ineligible for exemption pursuant to Title 4, California Code of Regulations, Section 12300.			
4. I understand that my records and inventory will be subject to inspection by representatives of the Commission or the Bureau during normal business hours.			
5. Within my personal knowledge, the foregoing information is accurate and complete.			
<p><b><i>I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.</i></b></p> <p>_____ Signature of Antique Collector</p> <p style="text-align: right;">_____ Date</p> <p>_____ Typed or Printed Name of Antique Collector</p>			

California Bureau of Gambling Control Commission

Quarterly Report

CGCCBGC-040 (Rev. 04/0813)

For the Quarter Ended: \_\_\_\_\_

Registrant's Name: \_\_\_\_\_

Registrant's License Number: \_\_\_\_\_

A report meeting all requirements set forth in Title 4, California Code of Registrations (CCR) Section 12303 shall be submitted by manufactures and distributors of gambling equipment. This form provides a suggested format for the report. Use of this form for the report is optional. Please type or print legibly. Complete all parts (I to V).

Please submit this form in duplicate with original signatures on both copies within 30 days after the close of each calendar quarter. (Title 4, CCR, Sec. 12303(a))

Part I. Shipments of gambling equipment and essential parts in interstate or foreign commerce received or sent out from and to a location in California (Title 4, CCR, Sec. 12303(a)(1)(A))

If none, state "N/A." Continue on and attach additional sheets if necessary. Number the pages at the bottom of the page.

Table with 9 columns: Name and Address of Sender, Name and Address of Recipient, Date of Shipment, Bill of Lading Number, Manufacturer, Model, Year, Serial Number, Number of Each Unit. Rows numbered 1 to 10.

California ~~Bureau of Gambling Control~~ ~~Commission~~

Quarterly Report

CGCC ~~BGC~~-040 (Rev. 04/08 ~~13~~)

For the Quarter Ended: \_\_\_\_\_

Registrant's Name: \_\_\_\_\_

Registrant's License Number: \_\_\_\_\_

**Part II. Sale, lease, exchange, or other transfer of gambling equipment and essential parts not otherwise reportable under Part I (Title 4, CCR, Sec. 12303(a)(1)(B))**

If none, state "N/A." Continue on and attach additional sheets if necessary. Number the pages at the bottom of the page.

	Name and Address of Seller/Lessor	Name and Address of Buyer/Lessee	Date of Sale/Lease	Date of Shipment / Delivery	Manufacturer	Year	Serial Number	Number of Each Unit
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

California ~~Bureau~~ of Gambling Control ~~Commission~~

Quarterly Report

CGCCBGC-040 (Rev. 04/0813)

For the Quarter Ended: \_\_\_\_\_

Registrant's Name: \_\_\_\_\_

Registrant's License Number: \_\_\_\_\_

**Part III. Shipments of gambling equipment and essential parts received or sent out from a tribal gaming facility (Title 4, CCR, Sec. 12303(a)(1)(D))**

If none, state "N/A." Continue on and attach additional sheets if necessary. Number the pages at the bottom of the page.

	Name and Address of Sender	Name and Address of Recipient	Date of Report Sent to Bureau
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

**California Bureau of Gambling Control Commission**

**Quarterly Report**

CGCCBGC-040 (Rev. 04/0813)

**For the Quarter Ended:** \_\_\_\_\_

**Registrant's Name:** \_\_\_\_\_

**Registrant's License Number:** \_\_\_\_\_

**Part IV. Gambling equipment and essential parts in the possession or custody of the registrant in California (Title 4, CCR, Sec. 12303(a)(1)(E))**

If none, state "N/A." Continue on and attach additional sheets if necessary. Number the pages at the bottom of the page.

	Address of Each Location
A	
B	
C	
D	
E	

	Name and Address of Sender	Name and Address of Recipient	Date of Shipment	Bill of Lading Number	Manufacturer	Model
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

**California ~~Bureau of~~ Gambling Control ~~Commission~~**

**Quarterly Report**

~~CGCC~~BGC-040 (Rev. 04/~~08~~13)

**For the Quarter Ended:** \_\_\_\_\_

**Registrant's Name:** \_\_\_\_\_

**Registrant's License Number:** \_\_\_\_\_

**Part V: Certification**

Within my personal knowledge, the foregoing information is accurate and complete.

\_\_\_\_\_  
Signature of registrant's designated representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Type or print name of registrant's designated representative

\_\_\_\_\_  
Title



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
 (916) ~~263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cgcc.ca.gov](#)

## APPLICATION FOR THIRD-PARTY PROPOSITION PLAYER SERVICES LICENSE FOR BUSINESS ENTITIES AND OWNERS

~~CGCC~~[BGC](#)-433 (Rev. 064/123)

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

**Instructions:**

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

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

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

Send the completed application package with required fee (listed below) to: ~~California~~ [Bureau of Gambling Control](#) ~~Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234~~ [95816-8024](#). Please make all checks payable to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~.

Name of Provider of Third-Party Proposition Player Services (Business)	Name of Applicant (Individual or Entity)
<b>Please check one box indicating whether you are applying for an <i>initial</i> or <i>renewal</i> license.</b>	
<input type="checkbox"/> <b><u>INITIAL</u></b> <b>Application Fee:</b> \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)  <b>Background Deposit:</b> \$11,500 (Owner-Entity) \$6,000 (Owner-Person) \$2,500 (Owner-Trust)  <i>The unused portion of any background deposit will be refunded.</i>  <b>NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.</b>	
<input type="checkbox"/> <b><u>RENEWAL</u></b> <b>Application Fee:</b> \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)  <b>Background Deposit:</b> \$2,000 (Owner-Entity) \$800 (Owner-Person and Owner-Trust)  <i>The unused portion of any background deposit will be refunded.</i>	

**SECTION 1 – TYPE OF APPLICATION (check one box)**

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

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

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

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

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

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

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

**SECTION 2 – PRIMARY OWNER INFORMATION**

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

Primary Owner Name

Street Address

Mailing Address (If different than above)

Telephone Number  
( )

Fax Number  
( )

Website Address (if any)

**SECTION 3a – ENTITY STRUCTURE (check one box)**

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

General Partnership

Limited Partnership

Joint Venture

Limited Liability Company

Other: \_\_\_\_\_

Corporation:

Publicly Traded

Private:

Sub-Chapter S

Sub-Chapter C

Trust:

Revocable

Irrevocable

**SECTION 3b – ENTITY INFORMATION**

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

Entity Name

Street Address

Telephone Number  
( )

Fax Number  
( )

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



SECTION 6- AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: <input type="checkbox"/> Owner <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____		Business Name, if applicable
Mailing Address		
Telephone Number (      )	Fax Number (      )	E-mail Address (if any)
SECTION 7 - DECLARATION / SIGNATURE		
An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.		
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>		
Name of Individual Completing this Application (typed or printed)		Title
Signature		Date
Signature of Designated Agent		Date
<p>* You must provide your residence address to the <a href="#">Commission Bureau</a>. Unless a separate mailing address is provided, the <a href="#">Commission Bureau</a> will mail all correspondence to your residence address. Your residence address will not be displayed on the <del>Commission's</del> <a href="#">Bureau's</a> website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC section 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p> <p>Effective July 1, 2012, the <a href="#">California Gambling Control</a> Commission is required to deny an application and to suspend the license/registration/permit approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of <a href="#">the</a> top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).</p>		

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

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

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

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

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

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

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



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## APPLICATION FOR THIRD-PARTY PROPOSITION PLAYER SERVICES LICENSE FOR SUPERVISOR, PLAYER OR OTHER EMPLOYEE

~~CGCC~~[BGC](#)-434 (Rev. 064/123)

Pursuant to Business and Professions Code section 19984, except as provided in California Code of Regulations, Title 4, Section 12201, no person may perform in the capacity of a supervisor, player or "other employee" in the provision of third-party proposition player services without a license issued by the California Gambling Control Commission (Commission).

Send the completed application package with required fee (listed below) to: ~~California~~ [Bureau of Gambling Control](#) ~~Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024~~. Please make all checks payable to the ~~California~~ [Bureau of](#) Gambling Control ~~Commission~~.

Please submit the following with the **renewal application** only:

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

Applicant's Last Name	First Name	Middle Initial
Name of Provider of Third-Party Proposition Player Services (Business)		License or Registration Number
Job Title	<input type="checkbox"/> Supervisor	<input type="checkbox"/> Player
<input type="checkbox"/> Other Employee		
Description of Job Duties		
<b>Please check one box indicating if you are applying for an <i>initial</i> or <i>renewal</i> license.</b>		
<input type="checkbox"/> <b><u>INITIAL</u></b>		
<b>Application Fee:</b>	\$750 Non-refundable (Supervisor)	
	\$500 Non-refundable (Player and Other Employee)	
<b>Background Deposit:</b>	\$2,500 (Supervisor)	
	No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.	
	<i>The unused portion of any background deposit will be refunded.</i>	
<b>NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.</b>		
<input type="checkbox"/> <b><u>RENEWAL</u></b>		
<b>Application Fee:</b>	\$750 Non-refundable (Supervisor)	
	\$500 Non-refundable (Player and Other Employee)	
<b>Background Deposit:</b>	\$450 (Supervisor)	
	No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.	
	<i>The unused portion of any background deposit will be refunded.</i>	

<b>SECTION 1 – APPLICANT INFORMATION</b>			
Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 3 for note)		Apt. / Unit Number	
City	County	State	Zip Code
*Mailing Address, if different than above (See page 3 for note)			
Contact Numbers			<input type="checkbox"/> Cell
Home: (      )	Work: (      )	Ext:	Other: (      ) <input type="checkbox"/> Fax
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See bottom of page for note)	
<b>SECTION 2 - RENEWAL INFORMATION</b>			
Complete this section only if renewing your third-party proposition player services license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.			
1. Have you been a party to any civil litigation since last filing a third-party proposition player services license application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2. Have you been named in any administrative action affecting any license certification since last filing a third-party proposition player services license application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a third-party proposition player services license application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a third-party proposition player services license application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<b>SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION</b>			
Last Name	First Name	Restrictions, if any:	
Relationship to Applicant: <input type="checkbox"/> Self <input type="checkbox"/> Attorney <input type="checkbox"/> Other: _____		Business Name, if applicable	
Mailing Address			
Telephone Number (      )	Fax Number (      )	E-mail Address (if any)	
<b>SECTION 4 –DECLARATION/SIGNATURE</b>			
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>			
Signature of Applicant in Full			Date
Signature of Designated Agent			Date
* You must provide your residence address to the <a href="#">Commission Bureau</a> . Unless a separate mailing address is provided, the <a href="#">Commission Bureau</a> will mail all correspondence to your residence address. Your residence address will not be displayed on the <a href="#">Commission's Bureau's</a> 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 § 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.			
Effective July 1, 2012, the <a href="#">California Gambling Control</a> Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of <a href="#">the</a> top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).			

## APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES LICENSE INSTRUCTIONS

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

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

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



## APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION

~~CGCC~~BGC-435 (Rev. ~~054/143~~)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICATION (Mark one)

New  Renewal  Temporary

### SECTION 2: REGISTRATION CATEGORY (Mark one)

Owner  Primary Owner  Player  Supervisor  Other Employee

### SECTION 3a: ENTITY TYPE (refer to Section 3a of the instructions for details)

### SECTION 3b: RELATIONSHIP TO PRIMARY OWNER (refer to Section 3b of the instructions for details)

### SECTION 4: APPLICANT INFORMATION

Applicant's Full Legal Name:

First	MI	Last

Other Names:

Applicant's Business Telephone Number:

Applicant's Business Facsimile Number (if applicable):

### SECTION 5: PRIMARY OWNER INFORMATION (if applicable)

Primary Owner's Name:

Primary Owner's Mailing Address:

Street	City	State	Zip Code

Designated Officer's Name:

Designated Officer's Telephone Number:

Designated Officer's E-mail Address:

### SECTION 6: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# APPLICATION FOR THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION INSTRUCTIONS

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

Applications not fully and accurately completed (including all required supporting materials) will be returned to the sender for completion. If the application is returned at any point in the processing, the applicant will need to follow the directions included with it and resubmit it in a timely manner. The applicant is responsible for providing the appropriate information needed to determine eligibility for the issuance of a Third Party Proposition Player Services Registration each time an application is submitted. If a question is not applicable, indicate with "N/A." If additional space is needed, use a separate sheet of paper and precede each response with the applicable section and item. Attach the paper to the back of the application. Do not misstate or omit any material fact(s) as each statement made herein is subject to verification. Any corrections, changes or other alterations must be initialed and dated by the applicant. If any or all information is not provided, the application may be delayed, returned for completion, or denied.

The following is required for an initial registration submission:

- Application for Third Party Proposition Player Services Registration (~~GGCCBGC~~-435, (Rev. 054/143))
- If applying as an individual, Third Party Proposition Player Services Registration Supplemental Information Form (~~CGCCBGC~~-436, (Rev. 054/143))
- If applying as an individual, request for Live Scan Service
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12200
- A non-refundable \$500 application fee (payable to the ~~California~~ Bureau of Gambling Control ~~Commission~~)

The following is required for a renewal registration submission:

- Application for Third Party Proposition Player Services Registration (~~GGCCBGC~~-435, (Rev. 054/143))
- If applying as an individual, Third Party Proposition Player Services Registration Supplemental Information Form (~~CGCCBGC~~-436, (Rev. 054/143))
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations (CCR), section 12200
- A non-refundable \$500 application fee (payable to the ~~California~~ Bureau of Gambling Control ~~Commission~~)

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## SECTION 1: APPLICATION

Indicate whether applying for a new or renewal registration by checking the appropriate box. If this is an initial (new) application, and you wish to be considered for a temporary registration, please check the temporary box in section 1 and submit an additional \$25 fee for the temporary registration. If you elect to apply for a temporary registration in connection with your initial application, then you must include a check covering both the \$500 application fee and the \$25 temporary registration fee, for a total of \$525.

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## SECTION 2: REGISTRATION CATEGORY

Indicate category of registration applying for by checking the appropriate box.

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### SECTION 3a: ENTITY TYPE

If applying for registration as primary owner, indicate the entity type of your business from the selection below:

Sole Proprietor          Corporation          Limited Liability Company (LLC)          Partnership

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**SECTION 3b: RELATIONSHIP TO “PRIMARY OWNER”**

If applying for registration as an owner, indicate your relationship with the “Primary Owner” from the selection below. However, if that relationship is based upon an interest in another owner that is a business entity or trust, identify that other owner and indicate the relationship with that other owner.

Shareholder	LLC Member	General Partner	Corporate Interest Trust
Limited Partner	Joint Venture	Trustee	Trust (specify type)
Director	Beneficiary	Financial Interest	Community Property Interest
Officer	Funding Source	Limited Partnership	Other Interest

If “other interest,” describe the interest in the blank provided in Section 3b.

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**SECTION 4: APPLICANT INFORMATION**

- If applying as an individual, provide your full legal name and any former names (aliases, etc). If applying as a business entity, provide the legal name of the entity and any alternative names for the same business entity. You must notify the Commission of any name, address or telephone number changes.
- Provide business telephone and facsimile number in appropriate areas.

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**SECTION 5: PRIMARY OWNER INFORMATION**

**“Primary Owner” is defined in regulation as a sole proprietor, corporation, partnership, or other business entity that provides or proposes to provide proposition player services as an independent contractor in a gambling establishment.**

- If applying as an individual, in the appropriate box provide the name and mailing address of the primary owner by whom you are employed.
- If you are applying as an owner, in the appropriate box provide the name and mailing address of your third party proposition player service business entity.
- If applying as a business entity, in the boxes provided for designated officer information provide the name, telephone number, and e-mail address of the authorized representative who will serve as the entity’s contact person to the [Bureau of Gambling Control-Commission](#).

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**SECTION 6: DECLARATION**

If applying as an individual, both the applicant and the designated officer of the primary owner must sign the application under penalty of perjury. If applying as a business entity, the chief executive officer or designated officer must sign the application under penalty of perjury. The application must be signed and dated to be considered complete.

**[PLEASE SEND COMPLETED FORM TO: Bureau of Gambling Control, P.O. Box 168024, Sacramento, CA 95816-8024](#)**



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[www.cggc.ca.gov](http://www.cggc.ca.gov)

## THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION SUPPLEMENTAL INFORMATION

CGCCBGC-436 (Rev. 06/12)

Type or print (in ink) all information requested on this supplemental form. If additional space is needed, please note response on a separate sheet of paper and attach to this form.

### SECTION 1: APPLICANT PERSONAL HISTORY INFORMATION

Applicant's Full Legal Name: \_\_\_\_\_ Gender: Male  Female

First	MI	Last
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Applicant's Mailing Address: \_\_\_\_\_

Street	City	State	Zip Code
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Applicant's Telephone Number: \_\_\_\_\_ Applicant's Facsimile Number (if applicable): \_\_\_\_\_

Date of Birth: \_\_\_\_\_ \*Social Security Number: \_\_\_\_\_

Please indicate answers to the following questions by placing an X in the appropriate box.

1. Have you ever been convicted of a felony? Yes  No
  
2. Within the last ten years, have you ever been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law? Yes  No
  
3. Have you ever had a third party proposition player registration, a state gambling license, a key employee license, a work permit, or a finding of suitability revoked? Yes  No
  
4. Have you ever had an application denied for third party proposition player registration or under the Gambling Control Act? Yes  No

### SECTION 2. DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

\* Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.

Effective July 1, 2012, the [California Gambling Control](http://www.cggc.ca.gov) Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of [the](#) top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).



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## REQUEST FOR REPLACEMENT THIRD PARTY PROPOSITION PLAYER SERVICES BADGE

CGCCBGC-438 (Rev. 05/14)

When requesting a replacement badge a registrant/licensee must complete and submit this form to the [California Bureau of Gambling Control-Commission at 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024](#), Sacramento, CA ~~95833-4234~~ [95816-8024](#) accompanied by a \$25.00 check made payable to the [California Bureau of Gambling Control-Commission](#).

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICANT INFORMATION

Applicant's Full Legal Name:

First	MI	Last

Mailing Address:

Applicant's Telephone Number:

(       )

\*Social Security Number: (for identification purposes)

Badge #:

### SECTION 2: REGISTRATION/LICENSE

1. Currently registered or licensed with the Commission: (Mark one)  Registered  Licensed

2. Category: (Mark one)  Owner  Player  Supervisor  Other Employee

3. Badge was: (Mark one)

Lost  Stolen  Damaged

Incorrect due to change of name:

Previous name: \_\_\_\_\_

New Name: \_\_\_\_\_

Before your name will be changed you must submit **one** of the following:

- Copy of marriage certificate.
- Copy of court document authorizing legal name change.
- Clear copy of driver's license **AND** social security card.

### SECTION 3: PRIMARY OWNER INFORMATION

Primary Owner's Name:

I certify that this registrant/licensee has my authorization to request a replacement badge.

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I am the applicant, and that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



State of California  
 California Gambling Control Commission Department of Justice  
 2399 Gateway Oaks Drive, Suite 220 Bureau of Gambling Control  
 Sacramento, CA 95833-4234  
 (916) 263-0700 227-3584; Fax: (916) 263-0452 227-2308  
[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## REQUEST FOR AN ADDITIONAL/TRANSFER/REINSTATEMENT THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION/LICENSE

CGCCBGC-439 (Rev. 05/14)

When requesting either to transfer, reinstate, or acquire an additional badge for a new primary owner, a registrant/licensee must complete and submit this form to the ~~California Bureau of Gambling Control-Commission at 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234~~ [95816-8024](http://95816-8024) accompanied by the following:

- A \$125.00 check made payable to the ~~California Bureau of Gambling Control-Commission~~.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICANT INFORMATION

Type (Check One):  Additional  Transfer  Reinstatement

Category (Check One):  Player  Supervisor  Other

Applicant's Full Legal Name:

First	MI	Last

Mailing Address:

Applicant's Telephone Number:

(       )

\*Social Security Number: (for identification purposes)

Badge #:

### SECTION 2: PRIMARY OWNER INFORMATION

Name of primary owner (employer) you are currently registered/licensed with, transferring or reinstating **from**:

Date of disassociation (applies only to **transfers**):

Name of primary owner (employer) you are transferring **to** or acquiring an additional badge for:

Employment or Re-employment Date:

### SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



State of California

~~California Gambling Control Commission~~ Department of Justice

~~2399 Gateway Oaks Drive, Suite 220~~ Bureau of Gambling Control

~~Sacramento, CA 95833-4234~~

(916) ~~263-0700~~ 227-3584; Fax: (916) ~~263-0452~~ 227-2308

[www.cggc.ca.gov](http://www.cggc.ca.gov)

### THIRD PARTY PROPOSITION PLAYER SERVICES EMPLOYEE REPORT

~~CGCC~~BGC-440 (Rev. 054/143)

Submitted pursuant to California Code of Regulations (CCR), Title 4, section 12200.14

(Type or print clearly in ink.)

1. Name of Primary Owner: \_\_\_\_\_
2. Identify every individual who is, or who has been since the filing of the previous report, employed by the above primary owner as an owner, supervisor, player, or other employee as defined in CCR, Title 4, section 12200. Attach additional sheets as necessary.

Employee Name	Social Security Number	Job Title	Description of job duties, responsibilities and authority.

\_\_\_\_\_  
Signature of Designated Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name/Title

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



State of California  
~~California Gambling Control Commission~~ [Department of Justice](#)  
~~2399 Gateway Oaks Drive, Suite 220~~ [Bureau of Gambling Control](#)  
~~Sacramento, CA 95833-4234~~  
~~(916) 263-0700~~ [227-3584](#); Fax: (916) ~~263-0452~~ [227-2308](#)  
[www.cggc.ca.gov](http://www.cggc.ca.gov)

## CHANGE IN STATUS FORM FOR A THIRD PARTY PROPOSITION PLAYER SERVICES REGISTRATION OR LICENSE

~~CGCC~~[BGC](#)-441 (Rev. 054/143)

When a registrant's or licensee's employment status or affiliation with a primary owner ceases to exist, the registrant/licensee must surrender his or her badge to the primary owner. The primary owner's designated officer must notify the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~ of the change in the registrant's or licensee's status within 10 days of the change by completing and submitting this form and enclosing the badge to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission~~ at ~~2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024~~, Sacramento, CA ~~95833-4234~~ [95816-8024](#).

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

---

### SECTION 1: PRIMARY OWNER INFORMATION

Name of Primary Owner:

---

### SECTION 2: REGISTRATION/LICENSE INFORMATION

Name of Registrant or Licensee:

First

MI

Last

Badge Enclosed?  Yes  No

If NO, reason why \_\_\_\_\_

Registrant's /Licensee's Badge #:

Date of change in status:

---

### SECTION 3: CHANGE OF EMPLOYMENT OR AFFILIATION STATUS INFORMATION

Reason for disassociation with primary owner: (Mark one)

Terminated  Resigned  Affiliation Ceased  Other \_\_\_\_\_

---

### SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Name (Print): \_\_\_\_\_



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## APPLICATION FOR GAMBLING BUSINESS LICENSE FOR BUSINESS ENTITIES AND OWNERS

~~CGCC~~BGC-533 (Rev. 064/123)

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

**Instructions:**

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

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

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

**Send the completed application package with required fee (listed below) to: ~~California Bureau of Gambling Control Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024.~~ Please make all checks payable to the ~~California Bureau of Gambling Control Commission.~~**

Name of Gambling Business (Business)	Name of Applicant (Individual or Entity)
<b>Please check one box indicating whether you are applying for an <i>initial</i> or <i>renewal</i> license.</b>	
<input type="checkbox"/> <b><u>INITIAL</u></b> <b>Application Fee:</b> \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)  <b>Background Deposit:</b> \$11,500 (Owner-Entity) \$6,000 (Owner-Person) \$2,500 (Owner-Trust)  <i>The unused portion of any background deposit will be refunded.</i> <b>NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.</b>	
<input type="checkbox"/> <b><u>RENEWAL</u></b> <b>Application Fee:</b> \$1000 Non-refundable (Primary Owner, Business, Individual, and Trust)  <b>Background Deposit:</b> \$2,000 (Owner-Entity) \$800 (Owner-Person and Owner-Trust)  <i>The unused portion of any background deposit will be refunded.</i>	

**SECTION 1 – TYPE OF APPLICATION (check one box)**

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

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

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

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

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

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

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

**SECTION 2 – PRIMARY OWNER INFORMATION**

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

Primary Owner Name

Street Address

Mailing Address (If different than above)

Telephone Number  
( )

Fax Number  
( )

Website Address (if any)

**SECTION 3a – ENTITY STRUCTURE (check one box)**

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

General Partnership

Limited Partnership

Joint Venture

Limited Liability Company

Other: \_\_\_\_\_

Corporation:

Publicly Traded

Private:

Sub-Chapter S

Sub-Chapter C

Trust:

Revocable

Irrevocable

**SECTION 3b – ENTITY INFORMATION**

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

Entity Name

Street Address

Telephone Number  
( )

Fax Number  
( )

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

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

SECTION 6- AUTHORIZED REPRESENTATIVE / DESIGNATED AGENT INFORMATION		
Last Name	First Name	Restrictions If any:
Relationship to Applicant: <input type="checkbox"/> Owner <input type="checkbox"/> Attorney <input type="checkbox"/> Employee <input type="checkbox"/> Other: _____		Business Name, if applicable
Mailing Address		
Telephone Number (      )	Fax Number (      )	E-mail Address (if any)
SECTION 7 - DECLARATION / SIGNATURE		
An applicant applying as an individual must sign on his or her own behalf. If applying as a business entity or trust, the chief executive officer or designated agent must sign on behalf of the entity.		
<i>I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.</i>		
Name of Individual Completing this Application (typed or printed)		Title
Signature		Date
Signature of Designated Agent		Date
<p>* You must provide your residence address to the Commission. Unless a separate mailing address is provided, the <a href="#">Commission Bureau</a> will mail all correspondence to your residence address. Your residence address will not be displayed on the <a href="#">Commission's Bureau's</a> website and will not be provided to the public as a result of a request pursuant to the Public Records Act (Government Code section 6250 et seq.) or Business and Professions Code section 19821(b).</p> <p>** Disclosure of your U.S. social security number is mandatory. Business and Professions Code section 30 and Public Law 94-455 (42 USC section 405(c)(2)(C)) authorize collection of your social security number. Your social security number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for family support in accordance with Family Code section 17520 or for verification of licensure. If you fail to disclose your social security number, your application will not be processed and you will be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.</p> <p>Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of <a href="#">the</a> top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).</p>		

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

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

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

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

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

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

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



State of California  
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[www.cgcc.ca.gov](http://www.cgcc.ca.gov)

## APPLICATION FOR GAMBLING BUSINESS LICENSE FOR SUPERVISOR, PLAYER OR OTHER EMPLOYEE

~~CGCC~~BGC-534 (Rev. 06/123)

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

**Send the completed application package with required fee (listed below) to:** ~~California~~ [Bureau of Gambling Control](#) ~~Commission, 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024.~~ Please make all checks payable to the ~~California~~ [Bureau of Gambling Control](#) ~~Commission.~~

Please submit the following with the **renewal application** only:

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

Applicant's Last Name		First Name		Middle Initial
Name of Gambling Business(Business)			License or Registration Number	
Job Title	<input type="checkbox"/> Supervisor	<input type="checkbox"/> Player	<input type="checkbox"/> Other Employee	
Description of Job Duties				
<b>Please check one box indicating if you are applying for an <i>initial</i> or <i>renewal</i> license.</b>				
<input type="checkbox"/> <b><u>INITIAL</u></b>				
<b>Application Fee:</b>		\$750 Non-refundable (Supervisor)		
		\$500 Non-refundable (Player and Other Employee)		
<b>Background Deposit:</b>		\$2,500 (Supervisor)		
		No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.		
		<i>The unused portion of any background deposit will be refunded.</i>		
<b>NOTE: The Bureau of Gambling Control (Bureau) will issue a directive to submit a supplemental information package to begin your background investigation. At that time, you will be required to supply the deposit amount indicated above, pursuant to California Code of Regulations, Title 11, Section 2037, and any additional documentation (bank statements, taxes, employment agreements, etc.) required by the Bureau.</b>				
<input type="checkbox"/> <b><u>RENEWAL</u></b>				
<b>Application Fee:</b>		\$750 Non-refundable (Supervisor)		
		\$500 Non-refundable (Player and Other Employee)		
<b>Background Deposit:</b>		\$450 (Supervisor)		
		No background deposit is required at time of application submission for a player or other employee; however, you may be required to submit a background deposit upon notification by the Bureau that an investigation is required.		
		<i>The unused portion of any background deposit will be refunded.</i>		

**SECTION 1 – APPLICANT INFORMATION**

Other names you have used or been known by (aliases, maiden name, nicknames, other name changes, legal or otherwise)			
*Residence Address – Number/Street (See page 3 for note)		Apt. / Unit Number	
City	County	State	Zip Code
*Mailing Address, if different than above (See page 3 for note)			
Contact Numbers			<input type="checkbox"/> Cell
Home: (        )	Work: (        )	Ext:	Other: (        ) <input type="checkbox"/> Fax
Birthdate (mm/dd/yyyy)	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	**Social Security Number (See bottom of page for note)	

**SECTION 2 - RENEWAL INFORMATION**

Complete this section only if renewing your gambling business license. If you answer "Yes" to any of the questions below, please provide an explanation on a separate sheet of paper and attach to the application.

1. Have you been a party to any civil litigation since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have you been named in any administrative action affecting any license certification since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Have you been convicted of any crime (misdemeanor or felony) since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Have you acquired or increased a financial interest in a business that conducts lawful gambling outside the state since last filing a gambling business license application?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**SECTION 3 – AUTHORIZED REPRESENTATIVE/DESIGNATED AGENT INFORMATION**

Last Name	First Name	Restrictions, if any:
Relationship to Applicant: <input type="checkbox"/> Self <input type="checkbox"/> Attorney <input type="checkbox"/> Other: _____		Business Name, if applicable
Mailing Address		
Telephone Number (        )	Fax Number (        )	E-mail Address (if any)

**SECTION 4 –DECLARATION/SIGNATURE**

*I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know the contents thereof, and the information contained herein, including all corrections, changes and other alterations, is true, accurate, and complete.*

Signature of Applicant in Full	Date
Signature of Designated Agent	Date

\* You must provide your residence address to the [Commission Bureau](#). Unless a separate mailing address is provided, the [Commission Bureau](#) will mail all correspondence to your residence address. Your residence address will not be displayed on the [Commission's Bureau'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 § 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.

Effective July 1, 2012, the Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board's of Equalization's certified list of [the top 500 tax delinquencies over \\$100,000](#) (Business and Professions Code section 494.5).

## APPLICATION FOR GAMBLING BUSINESS LICENSE INSTRUCTIONS

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

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

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



## APPLICATION FOR GAMBLING BUSINESS REGISTRATION

CGCCBGC-535 (Rev. 05/13)

Please refer to the instructions when completing the application. Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICATION (Mark one)

New  Renewal  Temporary

### SECTION 2: REGISTRATION CATEGORY (Mark one)

Owner  Primary Owner  Player  Supervisor  Other Employee

### SECTION 3a: ENTITY TYPE (refer to Section 3a of the instructions for details)

### SECTION 3b: RELATIONSHIP TO PRIMARY OWNER (refer to Section 3b of the instructions for details)

### SECTION 4: APPLICANT INFORMATION

Applicant's Full Legal Name:

First	MI	Last
-------	----	------

Other Names:

Applicant's Business Telephone Number:

Applicant's Business Facsimile Number (if applicable):

### SECTION 5: PRIMARY OWNER INFORMATION (if applicable)

Primary Owner's Name:

Primary Owner's Mailing Address:

Street	City	State	Zip Code
--------	------	-------	----------

Designated Officer's Name:

Designated Officer's Telephone Number:

Designated Officer's E-mail Address:

### SECTION 6: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

# APPLICATION FOR GAMBLING BUSINESS REGISTRATION INSTRUCTIONS

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

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

The following is required for an initial registration submission:

- Application for Gambling Business Services Registration (~~CGCCBGC~~-535; (Rev. 054/143))
- If applying as an individual, Gambling Business Registration Supplemental Information Form (~~CGCCBGC~~-536; (Rev. 054/143))
- If applying as an individual, request for Live Scan Service
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12220
- A non-refundable \$500 application fee (payable to the California Gambling Control Commission)

The following is required for a renewal registration submission:

- Application for Gambling Business Registration (~~CGCCBGC~~-535; (Rev. 054/143))
- If applying as an individual, Gambling Business Registration Supplemental Information Form (~~CGCCBGC~~-536; (Rev. 054/143))
- If applying as an individual, two 2x2 inch, passport-style color photographs taken within the last year
- If applying as an individual, photocopy of your current California Driver's License or California Identification Card
- If applying as a "primary owner," a list containing the name and title of each individual associated with the business entity who qualifies as an "owner" under Title 4, California Code of Regulations, section 12220
- A non-refundable \$500 application fee (payable to the California Gambling Control Commission)

## SECTION 1: APPLICATION

Indicate whether applying for a new or renewal registration by checking the appropriate box.

## SECTION 2: REGISTRATION CATEGORY

Indicate category of registration applying for by checking the appropriate box.

## SECTION 3a: ENTITY TYPE

If applying for registration as primary owner, indicate the entity type of your business from the selection below:

Sole Proprietor          Corporation          Limited Liability Company (LLC)          Partnership

## SECTION 3b: RELATIONSHIP TO "PRIMARY OWNER"

If applying for registration as an owner, indicate your relationship with the "Primary Owner" from the selection below. However, if that relationship is based upon an interest in another owner that is a business entity or trust, identify that other owner and indicate the relationship with that other owner.

Shareholder	LLC Member	General Partner	Corporate Interest Trust
Limited Partner	Joint Venture	Trustee	Trust (specify type)
Director	Beneficiary	Financial Interest	Community Property Interest
Officer	Funding Source	Limited Partnership	Other Interest

If "other interest," describe the interest in the blank provided in Section 3b.

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**SECTION 4: APPLICANT INFORMATION**

- If applying as an individual, provide your full legal name and any former names (aliases, etc.). If applying as a business entity, provide the legal name of the entity and any alternative names for the same business entity. You must notify the Commission of any name, address or telephone number changes.
- Provide business telephone and facsimile number in appropriate areas.

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**SECTION 5: PRIMARY OWNER INFORMATION**

**“Primary Owner” is defined in regulation as a sole proprietor, corporation, partnership, or other business entity that conducts or proposes to conduct a gambling business as an independent contractor in a gambling establishment.**

- If applying as an individual, in the appropriate box provide the name and mailing address of the primary owner by whom you are employed.
- If you are applying as an owner, in the appropriate box provide the name and mailing address of your gambling business entity.
- If applying as a business entity, in the boxes provided for designated officer information provide the name, telephone number, and e-mail address of the authorized representative who will serve as the entity’s contact person to the Gambling Control Commission.

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**SECTION 6: DECLARATION**

If applying as an individual, both the applicant and the designated officer of the primary owner must sign the application under penalty of perjury. If applying as a business entity, the chief executive officer or designated officer must sign the application under penalty of perjury. The application must be signed and dated to be considered complete.

**[PLEASE SEND COMPLETED APPLICATION PACKET TO:](#)**

[Bureau of Gambling Control](#)  
[P.O. Box 168024](#)  
[Sacramento, CA 95816-8024](#)



State of California  
 California Gambling Control Commission Department of Justice  
 2399 Gateway Oaks Drive, Suite 220 Bureau of Gambling Control  
 Sacramento, CA 95833-4234  
 (916) 263-0700 227-3584; Fax: (916) 263-0452 227-2308  
[www.cggc.ca.gov](http://www.cggc.ca.gov)

## GAMBLING BUSINESS REGISTRATION SUPPLEMENTAL INFORMATION

CGCCBGC-536 (Rev. 06/12/13)

Type or print (in ink) all information requested on this supplemental form. If additional space is needed, please note response on a separate sheet of paper and attach to this form.

### SECTION 1: APPLICANT PERSONAL HISTORY INFORMATION

Applicant's Full Legal Name: \_\_\_\_\_ Gender: Male  Female

First	MI	Last
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Applicant's Mailing Address: \_\_\_\_\_

Street	City	State	Zip Code
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Applicant's Telephone Number: \_\_\_\_\_ Applicant's Facsimile Number (if applicable): \_\_\_\_\_

Date of Birth: \_\_\_\_\_ \*Social Security Number: \_\_\_\_\_

Please indicate answers to the following questions by placing an X in the appropriate box.

1. Have you ever been convicted of a felony? Yes  No
2. Within the last ten years, have you ever been convicted of a misdemeanor involving a firearm or other deadly weapon, gaming or gaming-related activities, violations of the Gambling Control Act, or dishonesty or moral turpitude, not including convictions that have been expunged or dismissed as provided by law? Yes  No
3. Have you ever had a third party proposition player registration, a state gambling license, a key employee license, a work permit, or a finding of suitability revoked? Yes  No
4. Have you every had an application denied for third party proposition player registration or under the Gambling Control Act? Yes  No

### SECTION 2: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Title: \_\_\_\_\_

\* Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.

Effective July 1, 2012, the California Gambling Control Commission is required to deny an application and to suspend the license/registration/permit/approval of any applicant or licensee who has outstanding state tax obligations and appears on either the Franchise Tax Board's or Board of Equalization's certified list of the top 500 tax delinquencies over \$100,000 (Business and Professions Code section 494.5).



## REQUEST FOR REPLACEMENT GAMBLING BUSINESS BADGE

CGCCBGC-538 (Rev. 054/143)

When requesting a replacement badge a registrant/licensee must complete and submit this form to the California Bureau of Gambling Control Commission at 2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234 95816-8024 accompanied by a \$25.00 check made payable to the California Gambling Control Commission.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICANT INFORMATION

Applicant's Full Legal Name:

First

MI

Last

Mailing Address:

Applicant's Telephone Number:

Social Security Number: (for identification purposes)

Gambling Business Badge #:

### SECTION 2: REGISTRATION/LICENSE

1. Currently registered or licensed with the Commission: (Mark one)

Registered  Licensed

2. Category: (Mark one)

Owner  Player  Supervisor  Other Employee

3. Badge was: (Mark one)

Lost  Stolen  Damaged

Incorrect due to change of name:

Previous name: \_\_\_\_\_

New Name: \_\_\_\_\_

Before your name will be changed you must submit **one** of the following:

- Copy of marriage certificate.
- Copy of court document authorizing legal name change.
- Clear copy of driver's license **AND** social security card.

### SECTION 3: PRIMARY OWNER INFORMATION

Primary Owner's Name:

I certify that this registrant/licensee has my authorization to request a replacement badge.

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I am the applicant, and that the foregoing information, and all information submitted with this form is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



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[www.cggc.ca.gov](http://www.cggc.ca.gov)

## REQUEST FOR AN ADDITIONAL/TRANSFER/REINSTATEMENT OF GAMBLING BUSINESS SERVICES REGISTRATION/LICENSE

GGCCBGC-539 (Rev. 054/143)

When requesting either to transfer, reinstate, or acquire an additional badge for a new primary owner, a registrant/licensee must complete and submit this form to the [California Bureau of Gambling Control-Commission](#) at [2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024, Sacramento, CA 95833-4234](#), [95816-8024](#), accompanied by the following:

- A \$125.00 check made payable to the [California Bureau of Gambling Control-Commission](#).

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: APPLICANT INFORMATION

Type (Check One):  Additional  Transfer  Reinstatement

Category (Check One):  Player  Supervisor  Other

Applicant's Full Legal Name:

--	--	--

First

MI

Last

Mailing Address:

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Applicant's Telephone Number:

\*Social Security Number: (for identification purposes)

(    )	
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Badge #:

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### SECTION 2: PRIMARY OWNER INFORMATION

Name of primary owner (employer) you are currently registered/licensed with, transferring or reinstating **from**:

--

Date of disassociation (applies only to **transfers**):

--

Name of primary owner (employer) you are transferring **to** or acquiring an additional badge for:

--

Employment or Re-employment Date:

--

### SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this application is true, correct, and complete.

Applicant Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



State of California

**California Gambling Control Commission** [Department of Justice](#)

**2399 Gateway Oaks Drive, Suite 220** [Bureau of Gambling Control](#)

**Sacramento, CA 95833-4234**

**(916)-263-0700** [227-3584](#); Fax: (916)-**263-0452** [227-2308](#)

[www.cggc.ca.gov](http://www.cggc.ca.gov)

## GAMBLING BUSINESS EMPLOYEE AND INDEPENDENT CONTRACTOR REPORT

[CGCCBGC](#)-540 (Rev. 054/143)

Submitted pursuant to California Code of Regulations (CCR), Title 4, Section 12220.14

(Type or print clearly in ink.)

1. Name of Primary Owner: \_\_\_\_\_
2. Identify every individual who is, or who has been since the filing of the previous report, employed or independently contracted by the above primary owner as an owner, supervisor, player, or other employee as defined in CCR, Title 4, Section 12220. Attach additional sheets as necessary.

Employee/Independent Contractor Name	Social Security Number	Job Title	Description of job duties, responsibilities and authority.

\_\_\_\_\_  
Signature of Designated Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name/Title

\*Disclosure of your U.S. social security account number is mandatory. Section 30 of the Business and Professions Code, section 17520 of the Family Code, and Public Law 94-455 (42 USC § 405(c)(2)(C)) authorize collection of your social security account number. Your social security account number will be used exclusively for tax enforcement purposes, for purposes of compliance with any judgment or order for child or family support in accordance with section 17520 of the Family Law Code. If you fail to disclose your social security account number, your application will not be processed and you may be reported to the Franchise Tax Board, which may assess a \$100 penalty against you.



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## CHANGE IN STATUS FORM FOR A GAMBLING BUSINESS REGISTRATION OR LICENSE

CGGCBGC-541 (Rev. 054/143)

When a registrant or licensee's employment status or affiliation with a primary owner ceases to exist, the registrant/licensee must surrender his or her badge to the primary owner. The primary owner's designated officer must notify the ~~California~~ Bureau of Gambling Control-~~Commission~~ of the change in the registrant's or licensee's status within 10 days of the change by completing and submitting this form to the ~~California~~ Bureau of Gambling Control-~~Commission~~ at ~~2399 Gateway Oaks Drive, Suite 220, P.O. Box 168024~~, Sacramento, CA ~~95833-4234~~ 95816-8024. Additionally, any badge that is received by a primary owner under these circumstances shall be returned to the Commission within 10 days of receipt.

Type or print (in ink) all information requested on this application form. If additional space is needed, please note response on a separate sheet of paper and attach to the application.

### SECTION 1: PRIMARY OWNER INFORMATION

Name of Primary Owner:

### SECTION 2: REGISTRANT/LICENSEE INFORMATION

Name of Registrant or Licensee:

First

MI

Last

Badge Enclosed?  Yes  No

If NO, reason why \_\_\_\_\_

Gambling Business Badge #:

Date of change in status:



### SECTION 3: CHANGE OF EMPLOYMENT STATUS INFORMATION

Reason for disassociation with primary owner: (Mark one)

Terminated  Resigned  Affiliation Ceased  Other \_\_\_\_\_

### SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form is true, correct, and complete.

Designated Officer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Designated Officer Name (Print): \_\_\_\_\_