

1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 SPECIFIC LANGUAGE OF PROPOSED REGULATIONS
3 **PLAYING BOOKS**
4 CGCC-GCA-2015-02-R
5

6 CALIFORNIA CODE OF REGULATIONS
7 TITLE 4. BUSINESS REGULATIONS.
8 DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.
9

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

12 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

13 **§ 12200. Definitions.**

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

17 (b) As used in this chapter:

18 (1) "Additional Badge" means a badge provided pursuant to Section 12200.6, which
19 authorizes an individual registrant or licensee to be simultaneously employed by more than one
20 primary owner.

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

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

29 (4) "Badge" means a form of identification issued by the Commission identifying a registrant
30 or licensee.

1 (5) [Reserved]

2 (6) [Reserved]

3 (7) [Reserved]

4 (8) [Reserved]

5 (9) [Reserved]

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

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

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

19 (C) Any investment company registered under the federal Investment Company Act of 1940
20 (15 U.S.C. sec. 80a-1 et seq.).

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

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

26 (F) Any securities dealer registered pursuant to the federal Securities Exchange Act of 1934
27 (15 U.S.C. sec. 78a et seq.).

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

30 (11) [Reserved]

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

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

- 5 1. Primary owner,
- 6 2. Owner,
- 7 3. Supervisor, and
- 8 4. Player.

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

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

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

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

20 (14) "Organization chart" means a chart that identifies the names and titles of all owners, as
21 defined in Section 12200, supervisors, and any persons having significant influence over the
22 operation of the entity or provision of proposition player services; the percentage of ownership,
23 if any, held by each identified individual or entity; the reporting relationship for each identified
24 individual or entity; and the job title and number of persons in each of the job titles that report to
25 each individual or entity identified on the organization chart.

26 (15) "Other employee" means an individual employed by a primary owner who is not
27 authorized to provide proposition player services. "Other employee" does not include any
28 owner, any supervisor, or any officer or director of a primary owner that is a corporation. An
29 individual registered or licensed as an "other employee" may not function as a player unless and
30 until that individual applies for and obtains registration or licensure as a player.

1 (16) "Owner" includes all of the following:

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

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

7 (C) Any funding source.

8 (17) "Playing Book" means a record documenting each session of play by a third-party
9 proposition player.

10 (18) "Primary Owner" means the owner specified in subparagraph (A) of paragraph (16) of
11 this subsection.

12 (19) "Proposition player" or "player" means an individual other than an owner or a
13 supervisor who provides third-party proposition player services in a controlled game.

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

18 (21) "Rebate" means a partial return by an authorized proposition player of chips or money
19 to a patron who has lost the chips or money to the authorized player through play in a controlled
20 game at a gambling establishment.

21 (22) "Registrant" means a person having a valid registration.

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

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

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

30 (C) A primary owner and an owner may also perform the functions of a supervisor or player,

1 and the holder of a supervisor's registration may also perform the functions of a player. No
2 registrant, other than an owner, supervisor, or player, may possess, direct, or otherwise control
3 currency, chips, or other wagering instruments used for play in the performance of a proposition
4 player contract.

5 (24) "Reinstatement Badge" means a badge provided to a player, a supervisor, or an "other
6 employee" pursuant to Section 12200.6 which authorizes an individual registrant or licensee who
7 has ceased to be employed by a primary owner to return to work for that primary owner.

8 (25) "Session of play"~~as used in Section 12200.13 ("Playing Book")~~ means a continuous
9 work shift~~of third party proposition player services provided~~ performed by an individual
10 proposition player at a specific gaming table.

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

15 (27) "Supplemental information package" means all of the documentation and deposits
16 required by each of the following forms, which are hereby incorporated by reference, to be
17 submitted to the Bureau in response to a summons issued by the Bureau pursuant to Section
18 12205.1.

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

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

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

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

29 (28) "Third-party proposition player services" or "proposition player services" means
30 services provided in and to the house under any written, oral, or implied agreement with the

1 house, which services include play as a participant in any controlled game that has a rotating
2 player-dealer position as permitted by Penal Code section 330.11. "Proposition player services"
3 also includes the services of any supervisors, as specified in paragraph (26) of this subsection.

4 (29) "TPP" means "third party proposition." This abbreviation is used in Section 12200.3
5 and in prescribing titles to be used on registrant and licensee badges, for example, "TPP Player
6 Registrant."

7 (30) "Transfer Badge" means a badge provided pursuant Section 12200.6 which authorizes
8 an individual registrant or licensee to work for a subsequent primary owner after having ceased
9 to work for an initial primary owner.

10 Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Sections
11 19805 and 19984, Business and Professions Code.

12

13 **§ 12200.7. Proposition Player Contract Criteria.**

14 (a) All proposition player contracts shall be subject to, and superseded by, any changes in the
15 requirements of regulations adopted under Business and Professions Code section 19984 that
16 conflict with or supplement provisions of the proposition player contract.

17 (b) Each proposition player contract shall specifically require all of the following to be
18 separately set forth at the beginning of the contract in the following order:

19 * * * *

20 ~~(13) The form to be used for the playing book record and the initial number that will be used~~
21 ~~for the sequentially numbered forms.~~

22 (1413) * * * *

23 (1514) * * * *

24 (1615) * * * *

25 (1716) * * * *

26 (1817) * * * *

27 (1918) * * * *

28 (2019) * * * *

29 (2120) * * * *

30 (2221) * * * *

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

5 (a)(1) Proposition player services shall not be provided except pursuant to a written
6 proposition player contract approved in advance by the Bureau. Provision of proposition player
7 services by any person subject to registration or licensing under this chapter, or engagement of
8 proposition player services by the holder of a state gambling license, without a contract as
9 required by this section is a violation of this section. The Bureau shall approve a proposition
10 player contract only if all the following requirements have been satisfied:

11 * * * *

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

13 * * * *

14 ~~(D) A playing book form that specifically addresses all of the requirements of Section~~
15 ~~12200.13.~~

16 (E) * * * *

17 (F) * * * *

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

20

21 **§ 12200.10A. Expedited Review and Approval of Proposition Player Contracts.**

22 (a) In lieu of the procedure specified in Section 12200.9, the Bureau shall provide an
23 expedited review process of an application for contract approval if all of the following conditions
24 exist:

25 * * * *

26 (c) The Bureau shall complete the expedited review and approval of a contract within five (5)
27 business days of receiving all of the following:

28 * * * *

29 ~~(4) A playing book form that specifically addresses all the requirements of Section 12200.13.~~

30 (5) * * * *

31 (6) * * * *

Underline denotes added text. ~~Strikeout~~ denotes deleted text.

1 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
2 19951 and 19984, Business and Professions Code.

3
4 **§ 12200.11. Extension of Proposition Player Contracts.**

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

7 * * * *

8 ~~(4) A completed playing book form for three non-consecutive sessions of play that occurred~~
9 ~~during the ten (10) days preceding the submission of the application for contract extension.~~

10 ~~(5)~~

11 * * * *

12 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
13 19951 and 19984, Business and Professions Code.

14
15 **~~§ 12200.13. Playing Book.~~**

16 ~~(a) The primary owner shall be responsible for assuring that its players maintain accurate,~~
17 ~~complete, and up-to-date playing books for all sessions of play worked in conformity with~~
18 ~~regulations of the Commission. The information in the playing book record shall be transferred~~
19 ~~to the primary owner, or a supervisor designated by the primary owner at the end of each session~~
20 ~~of play. The primary owner shall maintain this information in English at a single location in the~~
21 ~~State of California, and shall maintain the original playing book records in the State of~~
22 ~~California, for at least five (5) years. The location or locations where the records of this~~
23 ~~information and the original playing book records are maintained, and any change therein, shall~~
24 ~~be disclosed to the Commission and Bureau by written notice mailed or delivered within five (5)~~
25 ~~business days after establishing or changing such a location.~~

26 ~~(b) The playing book shall be prepared and maintained as follows:~~

27 ~~(1) The playing book form shall be reviewed and approved or disapproved during the review~~
28 ~~of the contract by the Bureau.~~

29 ~~(2) Each form in the playing book shall be recorded in ink and include, but not be limited to,~~
30 ~~the following information:~~

31 ~~(A) Sequential numbers. Any unused form shall be voided and maintained in the playing~~

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- 1 ~~book.~~
- 2 ~~(B) The name of the gambling establishment where play occurred.~~
- 3 ~~(C) The date and approximate time when play occurred.~~
- 4 ~~(D) Beginning and ending balances.~~
- 5 ~~(E) Individual identification of all fills and credits affecting the balance.~~
- 6 ~~(F) The printed full name and badge number of the proposition player, which includes~~
- 7 ~~owners, supervisors, and/or players.~~
- 8 ~~(G) The table number assigned by the gambling establishment.~~
- 9 ~~(H) The specific name of the Bureau approved gaming activity.~~
- 10 ~~(I) The name of the primary owner.~~
- 11 ~~(3) The form for each session of play shall be time stamped, dated, and signed under penalty~~
- 12 ~~of perjury by the person who prepared it and shall include a declaration in the following form: “I~~
- 13 ~~declare under penalty of perjury under the laws of the State of California that the foregoing is~~
- 14 ~~true and correct.”~~

15 ~~(c)(1) To amend a playing book form during a contract period, a Request for Approval of~~

16 ~~Playing Book form (BGC App 036 (Rev. 12/11)), which is hereby incorporated by reference,~~

17 ~~must be completed and submitted to the Bureau for prior approval along with the following to~~

18 ~~constitute a complete request.~~

19 ~~(A) Processing fee of \$75.~~

20 ~~(B) Sample playing book form that complies with this section.~~

21 ~~(2) Review and approval or disapproval of an amended playing book form shall be completed~~

22 ~~within 30 days of receiving a completed request. Written notices shall be sent to the applicant or~~

23 ~~the applicant's designee.~~

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

25 ~~19984, Business and Professions Code~~

26

27 CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.

28 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

29 **§ 12220. Definitions.**

30 (a) Except as otherwise provided in Section 12002 and in subsection (b) of this section, the

31 definitions in Business and Professions Code section 19805 shall govern the construction of this

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1 chapter.

2 (b) As used in this chapter:

3 (1) “Additional Badge” means a badge provided by the Commission pursuant to Section
4 12220.6 which authorizes an individual registrant or licensee to be simultaneously employed by
5 more than one primary owner.

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

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

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

16 (5) [Reserved]

17 (6) [Reserved]

18 (7) [Reserved]

19 (8) [Reserved]

20 (9) [Reserved]

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

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

30 (B) Any company that is organized as an insurance company, the primary and predominant

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1 business activity of which is the writing of insurance or the reinsuring of risks underwritten by
2 insurance companies, and that is subject to supervision by the Insurance Commissioner of
3 California, or a similar official or agency of another state.

4 (C) Any investment company registered under the federal Investment Company Act of 1940
5 (15 U.S.C. sec. 80a-1 et seq.).

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

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

11 (F) Any securities dealer registered pursuant to the federal Securities Exchange Act of 1934
12 (15 U.S.C. sec. 78a et seq.).

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

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

22 (12) [Reserved]

23 (13) “License” means a license issued by the Commission pursuant to Article 3 of this
24 chapter.

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

- 26 1. Primary owner,
- 27 2. Owner,
- 28 3. Supervisor, and
- 29 4. Player.

30 (B) All ~~“other employees”~~ (as defined in this section) of the primary owner who are present

1 in the gambling establishment during the conduct of the gambling business shall be licensed as
2 “other employee” and shall be required to submit an application and be approved or denied based
3 upon the same criteria that apply to a player.

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

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

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

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

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

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

21 (A) A sole proprietor, corporation, partnership, or other business entity that provides or
22 proposes to conduct a gambling business.

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

25 (C) Any funding source.

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

28 (19) “Playing Book” means a record documenting each session of play by an individual
29 player.

30 (20) “Primary Owner” means the owner specified in subparagraph (A) of paragraph (17) of

1 this subsection.

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

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

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

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

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

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

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

21 (25) “Session of play” ~~as used in Section 12220.13 (“Playing Book”)~~ means a continuous
22 work shift performed by a player at a specific gaming table.

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

27 (27) “Supplemental information package” means all of the documentation and deposits
28 required by each of the following forms, which are referenced in paragraph (27) of subsection (b)
29 of Section 12200, to be submitted to the Bureau in response to a summons issued by the Bureau
30 pursuant to Section 12225.1.

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

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

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

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

10 (28) "Transfer Badge" means a badge provided pursuant Section 12220.6 which authorizes
11 an individual registrant or licensee to work as an employee or independent contractor for a
12 subsequent primary owner after having ceased to work for an initial primary owner.

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

15
16 **~~§ 12220.13. Playing Book.~~**

17 ~~(a) The primary owner shall be responsible for assuring that its players maintain accurate,~~
18 ~~complete, and up-to-date playing books for all sessions of play worked in conformity with~~
19 ~~regulations of the Commission. The information in the playing book record shall be transferred~~
20 ~~to the primary owner, or a supervisor designated by the primary owner at the end of each session~~
21 ~~of play. The primary owner shall maintain this information in English at a single location in the~~
22 ~~State of California, and shall maintain the original playing book records in the State of California~~
23 ~~for at least five (5) years. The location or locations where the records of this information and the~~
24 ~~original playing book records are maintained, and any change therein, shall be disclosed to the~~
25 ~~Commission and Bureau by written notice, mailed or delivered within five (5) business days~~
26 ~~after establishing or changing such a location.~~

27 ~~(b) The playing book shall be prepared and maintained as follows:~~

28 ~~(1) The playing book form shall be reviewed and approved or disapproved by the Bureau~~
29 ~~during the review of the primary owner's registration or license application.~~

30 ~~(2) Each form in the playing book shall be recorded in ink and include, but not be limited to,~~
31 ~~the following information:~~

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1 ~~(A) Sequential numbers. Any unused form shall be voided and maintained in the playing~~
2 ~~book.~~

3 ~~(B) The name of the gambling establishment where play occurred.~~

4 ~~(C) The date and approximate time when play occurred.~~

5 ~~(D) Beginning and ending balances.~~

6 ~~(E) Individual identification of all fills and credits affecting the balance.~~

7 ~~(F) The printed full name and badge number of the player, which includes owners,~~
8 ~~supervisors, and/or players.~~

9 ~~(G) The table number assigned by the gambling establishment.~~

10 ~~(H) The specific name of the Bureau approved gaming activity.~~

11 ~~(I) The name of the primary owner.~~

12 ~~(3) The form for each session of play shall be time-stamped, dated, and signed under penalty~~
13 ~~of perjury by the person who prepared it and shall include a declaration in the following form: "I~~
14 ~~declare under penalty of perjury under the laws of the State of California that the foregoing is~~
15 ~~true and correct."~~

16 ~~(c)(1) A Request for Approval of Playing Book form (BGC App 036), referenced in~~
17 ~~paragraph (1) of subsection (c) of Section 12200.13, must be completed and submitted to the~~
18 ~~Bureau for prior approval along with the following to constitute a complete request for initial~~
19 ~~approval or to amend the playing book form:~~

20 ~~(A) Processing fee of \$75.~~

21 ~~(B) Sample playing book form that complies with this section.~~

22 ~~(2) Review and approval or disapproval of an amended playing book form shall be completed~~
23 ~~within 30 days of receiving a completed request. Written notices shall be sent to the applicant or~~
24 ~~the applicant's designee.~~

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

27 28 CHAPTER 3. PLAYING BOOKS.

29 § 12250. Definitions.

30 (a) Except as otherwise provided in subsection (b), the definitions in Business and
31 Professions Code section 19805, and Sections 12002, 12200, and 12220 of this division, shall

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1 govern the construction of this chapter.

2 (b) For the purposes of this chapter, the following definitions apply:

3 (1) “Authentication” means the verification of an individual as being authorized to access a
4 system.

5 (A) “Active authentication” means the identification information of an individual with
6 permission to use or access an electronic playing book system.

7 (B) “Inactive authentication” means the identification information of an individual that no
8 longer has permission to use or access an electronic playing book system.

9 (2) “Backup” means the process of copying files to a physical and removable second medium
10 that is accessible to the Bureau or other law enforcement, including but not limited to disk, tape
11 or flash memory.

12 (3) “Electronic playing book” refers to a collection of digital playing book forms.

13 (4) “Electronic Playing Book Device” or “playing book device” means a terminal used as an
14 electronic playing book.

15 (5) “Hardcopy playing book” means a tangible collection of paper playing book forms.

16 (6) “Independent gaming test laboratory” means a gaming test laboratory that is either:

17 (A) Licensed or registered to test, approve, and certify gambling equipment, systems, and
18 software in any United States jurisdiction, and accredited by a signatory to the International
19 Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement (MRA) or other
20 equivalent laboratory accreditation agreement; or,

21 (B) Operated by a state governmental gaming regulatory agency.

22 (7) “Information technology technician” or “IT technician” means any person who is
23 responsible for and has the system permissions necessary to access an electronic playing book
24 system database, including but not limited to the software coding, data storage functions, all
25 critical components of system functioning, and the receipt of system alerts in accordance with
26 paragraph (8) of subsection (a) of Section 12257.

27 (8) “Permissions” means the assigned level of system access rights of an individual to view
28 or make changes to the content of a system.

29 (9) “Primary database” or “database” means a collection and storage of all electronic playing
30 book system information.

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1 (10) “Synchronization” or “synch” means the process of uploading information from a
2 terminal to a primary database.

3 (11) “System” means a group of interdependent components that interact regularly to
4 perform a task.

5 (12) “Terminal” means computer hardware that is used to enter data into or display
6 information from a system.

7 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
8 Sections 19805, 19841, 19853 and 19984, Business and Professions Code.

9
10 **§ 12251. General Provisions.**

11 (a) Nothing in this chapter shall prohibit a licensee from using more stringent standards, or
12 from having other applications or programs accessible from a terminal with access to the playing
13 book system. Programs performing processes other than playing book functions may be a
14 separate application, but any program with access to the electronic playing book database must
15 be approved by the Bureau. The licensee is responsible to ensure that there is no data leakage or
16 data contamination between the playing book database and an unauthorized source.

17 (b) The primary owner of a TPPPS company or gambling business shall be responsible for
18 assuring that its players maintain accurate, complete, legible, and up-to-date playing books in
19 conformity with regulations of the Commission for all sessions of play. A playing book shall be
20 established and maintained in either hardcopy or electronic form.

21 (c) The information in a playing book record shall be transferred to the primary owner, or a
22 supervisor designated by the primary owner, at the end of each session of play.

23 (d) Hardcopy playing book records shall be recorded in ink, and stored in accordance with
24 Section 12003. Electronic playing book records shall be electronically maintained in accordance
25 with the database and backup requirements of Section 12257.

26 (e) A playing book form may use any method of data entry acceptable to the Bureau,
27 including, but not limited to, fillable spaces, pre-filled spaces, drop-down menus, or check-
28 boxes, as applicable. Each form in a playing book shall include, but not be limited to, all of the
29 following information:

30 (1) Sequential numbers for each gambling enterprise including a unique identifier for the
31 specific gambling enterprise. For hardcopy playing books, any unused form shall be voided and

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- 1 maintained in the playing book.
- 2 (2) The name of the gambling establishment where play occurred.
- 3 (3) The date and time of commencement of each session of play.
- 4 (4) Beginning and ending balances.
- 5 (5) An itemization of all fills and credits for each session of play.
- 6 (6) The printed full name and badge number of the player, including owners and supervisors,
7 when acting as players.
- 8 (7) The table number assigned by the gambling enterprise.
- 9 (8) The specific Bureau identification number of the Bureau-approved controlled game
10 played.
- 11 (9) The name of the primary owner.
- 12 (10) The date and time of completion for each session of play.
- 13 (11) The signature of the player whose activity is being recorded; and, the signature of a
14 supervisor. Each signature shall include a declaration in the following form: "I declare under
15 penalty of perjury under the laws of the State of California that the foregoing is true and correct."
16 If a supervisor is not present to sign, a cage receipt may be obtained and substituted for that
17 signature.
- 18 (A) For playing book devices, a signature shall consist of any method that is supported by the
19 electronic playing book system and approved by the Bureau. This may include, but is not limited
20 to, a signature signed onto a touch-screen, the activation of a mandatory checkbox, or the use of
21 one or more authentications, or any combination thereof. Examples of authentication include,
22 but are not limited to, unique username, password, pin, fob/badge recognition, security image,
23 caption verification, security question, Quick Response (QR) coding, biometrical verification, or
24 facial recognition, or any combination thereof.
- 25 (B) For electronic playing books, the version of the playing book form to be signed by the
26 player whose activity is being recorded must be in the same format as the printed version of the
27 approved playing book form and visible as one document on the playing book device. If screen
28 size is a constraint, scrolling across or up and down to view different areas of the form is
29 permitted.
- 30 (f) The primary owner or designee shall provide the Bureau with information collected from

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1 all playing book records, or copies of playing books, or any other information or records, as
2 provided in subsection (c) of Section 12003.

3 (g) All IT technicians shall be registered or licensed as other employees pursuant to Chapter
4 2.1 or 2.2, as applicable. This requirement shall apply to IT technicians employed by a licensee,
5 as well as any subcontractor, independent contractor, or employee thereof who is authorized to
6 perform IT technician duties as defined in paragraph (7) of subsection (b) of Section 12250.

7 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
8 Sections 19826, 19841, 19853 and 19984, Business and Professions Code.

9
10 **§ 12253. Approval of Playing Book Forms.**

11 (a) The Bureau shall review and approve or disapprove all playing book forms. Only an
12 approved playing book form on record with the Bureau may be used during play.

13 (b) To obtain the approval of a new or amended playing book, the form Application for
14 Approval of Playing Book Form or Electronic Playing Book System, BGC-APP 036 (Rev.
15 06/15), attached in Appendix A to this chapter, must be completed and submitted to the Bureau
16 along with the following:

17 (1) An application processing fee of \$75.

18 (2) Those using hardcopy playing books shall submit a sample playing book form that
19 complies with Section 12251. Those using an electronic playing book system shall submit a
20 printed playing book form, screen-shots or pictures of the form as it appears on the device, a
21 copy of the current certification of the electronic playing book system, and a description of how
22 a signature will be indicated, as specified in subsection (d) of Section 12251.

23 (3) If the approval is for an amended form, a brief description of any changes made to the
24 previously approved form shall be included.

25 (c) The Bureau shall notify the applicant in writing that an application or a resubmitted
26 application for an initial or amended playing book form approval is complete and accepted for
27 filing or is deficient and what is necessary to correct any deficiencies within 10 working days
28 after the receipt of the application. The Bureau shall review and approve or disapprove an initial
29 or amended playing book form within 30 days of receiving a completed application. Written
30 notices shall be sent to the primary owner or the primary owner's designee.

31 (d) If a change is non-substantive, for example, the addition of a Bureau-approved controlled

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1 game, or a change in formatting, font, spacing, or other cosmetic change, the primary owner shall
2 submit a notice and copy of the revised form to the Bureau to update the Bureau's records. This
3 notice shall be deemed accepted unless otherwise advised by the Bureau within 30 days of
4 receiving the notice. The Bureau may determine the change is substantive and require the
5 primary owner to request approval pursuant to subsection (b).

6 (e) An approved playing book form may be used at any gambling establishment where the
7 TPPPS company or gambling business operates.

8 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
9 Sections 19826, 19841, 19853 and 19984, Business and Professions Code.

10
11 **§ 12255. Electronic Playing Book Device Requirements.**

12 (a) Electronic playing book devices must meet the following information storage and
13 retrieval requirements:

14 (1) The capability to retrieve or display information for system integrity and certification
15 confirmation.

16 (2) The playing book form and recorded data shall be exportable as a printable version of the
17 playing form and to a spreadsheet file format.

18 (3) Documentation must be printable from an on-site printer.

19 (b) Electronic playing book devices must meet the following security requirements:

20 (1) Upon login, the date and time of last login by the user must appear and be accepted.

21 (2) The device shall have anti-virus and unauthorized software installation protection.

22 (c) Electronic playing book devices must have the following capabilities and limitations:

23 (1) All access, activities, and entries into the playing book device shall be time, date and user
24 identification stamped.

25 (2) All information entered into the playing book device must be automatically synched to
26 the database in time increments of 60 seconds or less.

27 (3) Have manual synch capabilities.

28 (4) Have the ability to remain functional and save to the playing book device in the event of
29 database connectivity failure. Information must be synchronized upon reconnection.

30 (d) In case of a playing book device failure, printed copies of the approved electronic playing
31 book form must be available for use until the device is repaired or replaced. Any information

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1 recorded manually shall be later entered into the database with a notation that the information
2 was originally recorded manually and the reason therefore.

3 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
4 Sections 19826, 19841, 19853 and 19984, Business and Professions Code.

5
6 **§ 12257. Electronic Playing Book Database Requirements.**

7 (a) The primary database must meet the following security requirements:

8 (1) All access, activities and data entries shall be date, time, user identification, and terminal
9 identification stamped and logged.

10 (2) All communications between the database and any terminal, including the playing book
11 devices, must be encrypted.

12 (3) The database shall have anti-virus and unauthorized software installation protection.

13 (4) The physical database must be surge protected and uninterrupted power supply (UPS)
14 protected.

15 (5) The database must be able to identify and log the date, time, and terminal of any
16 unauthorized access, system error, or connectivity failure and notify a registered or licensed IT
17 technician.

18 (b) The database must control system access through the following authentications,
19 verifications, and permissions:

20 (1) All users require a minimum of two methods of authentication at login, including but not
21 limited to the options in paragraph (11) of subsection (d) of Section 12251. The database must
22 only allow active authentications to access the device. After three failed attempts by a user to
23 access the system, the database must log the failed attempts and must not permit access under
24 that user's authentications until reset by a registered or licensed IT technician.

25 (2) An IT technician shall require a minimum of three methods of authentication for login to
26 access the database, including but not limited to the options in paragraph (11) of subsection (d)
27 of Section 12251. The database must only allow registered or licensed IT technicians with active
28 authentications to access the database. If an IT technician has three failed attempts and is denied
29 access to the database, the database must log the failed attempts, notify the primary owner, and
30 not permit access under that individual authentication until reset by another person with IT
31 technician permissions.

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1 (3) The authentication for any person losing permission to use the system must be made
2 inactive within 24 hours of the loss of permission.

3 (4) The database shall not allow a user to be active on more than one terminal or device at a
4 time without specific permissions as indicated on the chart of system access for the electronic
5 playing book system. The database must be able to identify the terminal and user accessing the
6 system at all times.

7 (c) The primary database must meet the following information storage and retrieval
8 requirements:

9 (1) Data stored in the system cannot be edited, deleted, or replaced. If any necessary changes
10 to the data are made, all original data must be preserved, with a notation or documentation of any
11 edits, deletions, or replacements, and the reasons therefore.

12 (2) The database must have the ability to generate the following information:

13 (A) A system report, including, but not limited to, errors, failed login attempts, and
14 successful logins.

15 (B) A list of all notations that indicate edits, deletions, or replacements of original data.

16 (3) The database must have the capability to retrieve or display system information for
17 system integrity and certification confirmation.

18 (d) A backup of the system and database shall be performed daily and documentation
19 maintained in a physically secured location in accordance with paragraph (2) of subsection (e)
20 for five years.

21 (e) The database must have date and time synchronization for all playing book devices,
22 terminals, and the database, controlled or updated by a network time protocol server.

23 (f) The database must meet the following location requirements:

24 (1) The location of the database shall be in California and disclosed to the Bureau in
25 accordance with Section 12003; and,

26 (2) A backup storage location must be at a site other than where the primary database is
27 located for increased protection. A backup storage location shall be in California and disclosed
28 to the Bureau with consent to entry and administrative inspection by the Bureau.

29 (g) If access to the database must be made by a non-licensed party, a registered or licensed IT
30 technician shall monitor and be responsible for this access at all times.

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1 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
2 Sections 19826, 19841, 19853 and 19984, Business and Professions Code.

3
4 **§ 12259. Approval of Electronic Playing Book Systems.**

5 (a) Each electronic playing book system requires prior approval by the Bureau. To obtain the
6 approval of an electronic playing book system, the form Application for Approval of Playing
7 Book Form or Electronic Playing Book System, BGC-APP 036 (Rev. 06/15), referenced in
8 subsection (b) of Section 12253, must be completed and submitted to the Bureau along with the
9 following:

10 (1) An application processing fee of \$75 per system.

11 (2) Certification from an independent gaming test laboratory that the electronic playing book
12 system, including the software, the database, and a playing book device prototype, meets the
13 requirements of this chapter. The certification shall identify which technical test standard was
14 used, if any. If no technical test standard was used, a statement to that effect must be included in
15 the certification.

16 (3) A chart of system access, providing the position titles, methods of authentication, and the
17 permissions granted for any use of or access to the system. After initial approval, the Bureau
18 shall be notified of any changes in the chart of system access within five business days of the
19 change.

20 (4) A written summary of the design and operation of the system, and at least one of the
21 following:

22 (A) A video of the system in operation; or,

23 (B) A prototype device with written instructions and necessary access to the system; or,

24 (C) A live demonstration of the system in operation at a Bureau office or facility.

25 (5) The name and contact information of a registered or licensed IT technician responsible
26 for the administration of the electronic playing book system, who must be available by phone to
27 answer any questions during the Bureau's normal business hours.

28 (b) The Bureau shall notify the applicant in writing that a request or resubmitted request for
29 an electronic playing book system approval is complete and accepted for filing or is deficient,
30 and what is needed to correct any deficiencies, within 30 working days after the receipt of the
31 request. The Bureau shall review and approve or disapprove an initial or amended playing book

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1 system within 120 days of receiving a completed request. Written notices shall be sent to the
2 primary owner or the primary owner's designee.

3 (c) Security or system replacements or upgrades require certification of continued
4 compliance with the requirements of this chapter by an independent gaming test laboratory and
5 Bureau approval.

6 (1) Security updates of a previously approved version do not require Bureau notification or
7 approval, or certification by an independent gaming test laboratory.

8 (2) Any update to software or system components developed by the licensee or an employee
9 of the licensee requires notification to the Bureau within five business days of the update. That
10 notice shall include a description of the update and its necessity.

11 Note: Authority cited: Sections 19840, 19841, 19853 and 19984, Business and Professions Code. Reference:
12 Sections 19826, 19841, 19853 and 19984, Business and Professions Code.

13
14 Chapter 10. Discipline, Hearings, and Decisions.

15 **§ 12560. Disciplinary Guidelines for Third-Party Providers of Proposition Player Services**
16 **Licensees or Registrants.**

17 * * * *

18 (b) A license or registration granted by the Commission for an owner of a third-party
19 provider of proposition player services, as that term is used in California Code of Regulations,
20 Title 4, Section 12200, shall be subject to a minimum discipline of suspension of five days from
21 either specified gambling establishments or all gambling establishments, as the circumstances
22 and factors in mitigation or aggravation apply, and a maximum discipline of revocation, which
23 may be stayed on terms and conditions and any monetary penalty as described in Section 12554
24 (d)(7) of this chapter, if the Commission finds that:

25 * * * *

26 (20) The owner has violated the provisions regarding playing books listed in California Code
27 of Regulations, Title 4, Section ~~12200.13~~ 12251,

28 * * * *

29 Note: Authority cited: Sections 19825, 19840, 19841, 19930 and 19984, Business and Professions Code.
30 Reference: Sections 19824 and 19930, Business and Professions Code.

31 ///

APPENDIX A

Request for Approval of Playing Book Form

BGC-APP. 036 (Rev. 12/11)



BUREAU OF GAMBLING CONTROL
 P.O. Box 168024 Sacramento, CA 95816-8024
 (916) 227-3584; FAX (916) 227-2308

PLEASE READ THE FOLLOWING PARAGRAPHS CAREFULLY BEFORE YOU COMPLETE THIS FORM

The owner of a Gambling Business (GB) must complete this form to receive Bureau approval of the playing book form prior to operating in any gambling establishment. In addition, the owner of the Third-Party Provider of Proposition Player Services (TP) must complete this form to obtain prior Bureau approval to utilize an amended playing book form in any gambling establishment.

Type or print legibly in blue or black ink an answer to every question. If a question does not apply to you, indicate with "N/A." If the space available is insufficient, use a separate sheet and precede each answer with the applicable item number. Any corrections, changes, or alterations must be initialed and dated. Line One: Use an "X" to identify the type of entity for which the playing book form will be used; and Line Two: Use an "X" to specify the type of enclosed form and to verify the proper fee is enclosed.

Mail To: Bureau of Gambling Control at P.O. Box 168024, Sacramento, CA 95816-8024, or for commercial / personal delivery only, 4949 Broadway, Sacramento, CA 95820.

1.	<input type="checkbox"/> SERVICES (TP)	THIRD-PARTY PROVIDER OF PROPOSITION PLAYER GAMBLING BUSINESS (GB)
2.	<input type="checkbox"/> INITIAL PLAYING BOOK FORM ENCLOSED (GB ONLY) <input type="checkbox"/> AMENDED PLAYING BOOK FORM ENCLOSED (TP or GB)	<input type="checkbox"/> \$75 CHECK OR MONEY ORDER ENCLOSED PAYABLE TO: BUREAU OF GAMBLING CONTROL
3.	NAME OF TP OR GB	
4.	PHYSICAL ADDRESS OF MAIN OFFICE FOR TP OR GB (<i>street, city, state, and zip code</i>)	
5.	TELEPHONE NUMBER (<i>include area code</i>)	E-MAIL ADDRESS
6.	NAME OF DESIGNATED AGENT FOR TP OR GB	
7.	IF APPLICABLE, BRIEFLY EXPLAIN WHAT HAS BEEN AMENDED AND THE REASON FOR THE AMENDMENT	
I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.		
OWNER'S PRINTED NAME	SIGNATURE	DATE

Application for the Approval of Playing Book Form or Electronic Playing Book System

BGC-APP 036 (Rev. 06/15)
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BUREAU USE ONLY
BGC ID# _____



MAIL COMPLETED FORM AND DEPOSIT TO:

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 227-3584

COMMERCIAL/EXPRESS DELIVERIES ONLY

BUREAU OF GAMBLING CONTROL
ATTN: THIRD-PARTY PROVIDER UNIT
4949 Broadway
Sacramento, CA 95820

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

All information must be typed or printed legibly in blue or black ink. If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section number. Please review California Code of Regulations, Title 4, Sections 12250 to 12259 prior to submitting a playing book for approval. Failure to provide the requested information may result in the abandonment or denial of this application.

Enclose a \$75 check or money order made payable to: Bureau of Gambling Control

SECTION 1: TYPE OF FORM SUBMITTED (check one box and submit the additional required items)			
<input type="checkbox"/> HARD COPY PLAYING BOOK FORM COMPLETE SECTIONS 2, 3, 7 & 8		<input type="checkbox"/> ELECTRONIC PLAYING BOOK SYSTEM COMPLETE SECTIONS 2, 3, 4, 5, 7 & 8	
SECTION 2: TYPE OF APPROVAL REQUESTED			
<input type="checkbox"/> INITIAL		<input type="checkbox"/> AMENDMENT IN ADDITION TO THE SECTIONS IDENTIFIED ABOVE, COMPLETE SECTION 6	
SECTION 3: PRIMARY OWNER INFORMATION (check one box)			
<input type="checkbox"/> THIRD-PARTY PROVIDER OF PROPOSITION PLAYER SERVICES		<input type="checkbox"/> GAMBLING BUSINESS	
FULL NAME OF PRIMARY OWNER (BUSINESS ENTITY OR SOLE PROPRIETOR)			REGISTRATION/LICENSE NUMBER
SECTION 4: INFORMATION TECHNOLOGY TECHNICIAN CONTACT INFORMATION <i>(Must be registered or licensed pursuant to CCR §12231(g))</i>			
LAST NAME		FIRST NAME	REGISTRATION/LICENSE NUMBER
MAILING ADDRESS (NUMBER/STREET/SUITE)		CITY	STATE ZIP CODE
TELEPHONE NUMBER	FAX NUMBER	EMAIL ADDRESS	
SECTION 5: DESCRIBE HOW THE SIGNATURE WILL BE INDICATED (FOR ELECTRONIC PLAYING BOOK SYSTEMS ONLY)			
SECTION 6: BRIEFLY EXPLAIN THE REASON FOR THE AMENDMENT AND IDENTIFY THE CHANGES <i>(FOR AMENDMENTS ONLY)</i>			

SECTION 7: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS MUST BE SUBMITTED WITH THIS COMPLETED FORM, AS APPLICABLE. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. FAILURE TO PROVIDE THE REQUESTED INFORMATION MAY RESULT IN THE ABANDONMENT OR DENIAL OF YOUR APPLICATION.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

APPLICATION FEE

FOR HARD COPY PLAYING BOOK FORM:

SAMPLE PLAYING BOOK FORM

FOR ELECTRONIC PLAYING BOOK FORM SYSTEM:

PRINTED PLAYING BOOK FORM

SCREEN SHOTS OR PICTURES OF THE FORM AS IT APPEARS ON THE DEVICE

CERTIFICATION FROM AN INDEPENDENT GAMING TESTING LABORATORY

CHART OF SYSTEM ACCESS

WRITTEN SUMMARY OF THE DESIGN AND OPERATION OF THE SYSTEM

EITHER: A VIDEO OF THE SYSTEM IN OPERATION

A PROTOTYPE DEVICE WITH WRITTEN INSTRUCTIONS AND NECESSARY ACCESS

A LIVE DEMONSTRATION OF THE SYSTEM WILL BE PROVIDED

ADDITIONAL DOCUMENTATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL.

SECTION 8: Signature

PRINTED NAME

SIGNATURE

CAPACITY

DATE (MM/DD/YYYY)

This form must be signed by the appropriate person identified below:

- By an authorized officer, if applicant/licensee is a corporation, LLC, or joint venture.
- By an authorized partner, if applicant/licensee is a general partnership or limited partnership.
- By the owner, if applicant/licensee is a sole proprietor.

PRIVACY NOTICE

THE INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTION 1798.17) AND THE FEDERAL PRIVACY ACT (PUBLIC LAW 93-579) REQUIRE THAT THIS NOTICE BE PROVIDED WHEN COLLECTING PERSONAL INFORMATION FROM INDIVIDUALS. INFORMATION REQUESTED ON THIS FORM IS REQUIRED BY THE STATE OF CALIFORNIA, DEPARTMENT OF JUSTICE, DIVISION OF LAW ENFORCEMENT, BUREAU OF GAMBLING CONTROL (BUREAU), PURSUANT TO CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTIONS 12253 AND 12259. THE BUREAU USES THIS INFORMATION TO REVIEW AND APPROVE A PLAYING BOOK FORM OR SYSTEM.

IN ADDITION, ANY PERSONAL INFORMATION COLLECTED BY STATE AGENCIES IS SUBJECT TO THE LIMITATIONS IN THE INFORMATION PRACTICES ACT AND STATE POLICY. THE INFORMATION YOU PROVIDE MAY ALSO BE DISCLOSED IN THE FOLLOWING CIRCUMSTANCES: 1) TO ANOTHER GOVERNMENT AGENCY AS REQUIRED BY STATE OR FEDERAL LAW; 2) IN RESPONSE TO A COURT OR ADMINISTRATIVE ORDER, A SUBPOENA, OR A SEARCH WARRANT; OR, 3) PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19821(C) THIS FORM IS EXEMPT FROM THE CALIFORNIA PUBLIC RECORDS ACT.

THE DEPARTMENT OF JUSTICE'S GENERAL POLICY IS AVAILABLE AT: <http://oag.ca.gov/privacy-policy>. YOU MAY REVIEW THE RECORDS MAINTAINED BY THE BUREAU THAT CONTAIN YOUR PERSONAL INFORMATION, AS PERMITTED BY THE INFORMATION PRACTICES ACT. FOR QUESTIONS REGARDING THIS NOTICE OR ACCESS TO YOUR RECORDS, YOU MAY CONTACT THE BUREAU AT (916) 227-3584.