

1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 SPECIFIC LANGUAGE OF PROPOSED REGULATIONS
3 **PLAYING BOOKS**
4 CGCC-GCA-2016-01-R
5

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

10 CHAPTER 1. GENERAL PROVISIONS.

11 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

12
13 **§ 12003. General Requirements.**

14 (a) All books, accounts, financial records, and documents required by the Commission or the
15 Bureau must~~shall~~ be in English.

16 (b) All records required by the Commission or Bureau must~~shall~~ be maintained for a
17 minimum of five years, unless otherwise specified, in a secure location on the premises of the
18 gambling establishment or at the main offices of the TPPPS company or gambling business, as
19 applicable. Records may be maintained at another facility within California when approved in
20 advance by the Bureau. Any change in an approved location must~~shall~~ be reported to the Bureau
21 by written notice mailed or delivered within five business days after establishing or changing a
22 storage location. The location will~~shall~~ be deemed approved if not disapproved by the Bureau
23 within 30 calendar days of receipt of the written notice.

24 (c) Each licensee must~~shall~~ ~~provide the~~ allow Bureau representatives to inspect, copy, or
25 audit all requested documents, papers, books, and other records ~~with copies of any records~~
26 required by the Act or this division within the time period specified in the request. The
27 inspection may include all hardware, associated equipment, and systems that support the
28 operation of the licensed activities. If the records are maintained in other than hardcopy form,
29 the licensee must~~shall~~ provide a printed copy pursuant to this section upon request.
30

Additions shown in underline; Deletions shown in ~~strikeout~~
Double underline and ~~double-strikeout~~ denote modified text

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1 (d) Records may be kept, stored, and submitted in a permanent form or media unless
2 otherwise specified.

3 Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19853 and 19984, Business and Professions Code.
4 Reference: Sections 19826, 19827, 19841, 19857, 19866 and 19984, Business and Professions Code.
5
6

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

9 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

10 **§ 12200. Definitions.**

11 (a) Except as otherwise provided in Section 12002 and in subsection (b) of this regulation,
12 the definitions in Business and Professions Code section 19805 ~~shall~~governs the construction of
13 this chapter.

14 (b) As used in this chapter:

15 (1) “Additional Badge” means a badge provided pursuant to Section 12200.6, which
16 authorizes an individual registrant or licensee to be simultaneously employed by more than one
17 primary owner.

18 * * * *

19 (12) “License” means a license issued by the Commission pursuant to Article 3 of this
20 chapter.

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

- 23 1. Primary owner,
- 24 2. Owner,
- 25 3. Supervisor, and
- 26 4. Player.

27 (B) All “other employees” (as defined in this section) ~~of the primary owner who are present~~
28 ~~in the gambling establishment during the provision of proposition player services under the~~
29 ~~primary owner's proposition player contract shall be licensed as “other employee” and must ~~shall~~~~
30 be required to submit an application and be approved or denied based upon the same criteria that
31 apply to a player.

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

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

6 * * * *

7 (15) "Other employee" means an individual either employed or hired by a primary owner
8 including a subcontractor or independent contractor who is present in the gambling establishment
9 during the provision of proposition player services under the primary owner's proposition player
10 contract, who is not authorized to provide proposition player services. "Other employee" does
11 not include any owner, any supervisor, or any officer or director of a primary owner that is a
12 corporation. An individual registered or licensed, as an "other employee" may not function as a
13 player unless and until that individual applies for and obtains registration or licensure as a player.

14 * * * *

15 ~~(17) "Playing Book" means a record documenting each session of play by a third party~~
16 ~~proposition player.~~

17 ~~(18)~~ * * * *

18 ~~(19)~~ * * * *

19 ~~(20)~~ * * * *

20 ~~(21)~~ * * * *

21 ~~(22)~~ * * * *

22 ~~(23)~~ * * * *

23 ~~(24)~~ * * * *

24 ~~(25) "Session of play" as used in Section 12200.13 ("Playing Book") means a continuous~~
25 ~~work shift of third party proposition player services provided by an individual proposition~~
26 ~~player.~~

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

Additions shown in underline; Deletions shown in ~~strikeout~~
Double underline and ~~double strikeout~~ denote modified text

1 **§ 12200.9. Review and Approval of Proposition Player Contracts.**

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

8 * * * *

9 (3) A complete application for contract approval ~~must~~ include all of the following:

10 * * * *

11 ~~(D) A playing book form that specifically addresses all of the requirements of Section~~
12 ~~12200.13.~~

13 ~~(D)~~ * * * *

14 ~~(E)~~ * * * *

15 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
16 19951 and 19984, Business and Professions Code

17
18 **§ 12200.10A. Expedited Review and Approval of Proposition Player Contracts.**

19 (a) In lieu of the procedure specified in Section 12200.9, the Bureau ~~must~~ provide an
20 expedited review process of an application for contract approval if all of the following conditions
21 exist:

22 * * * *

23 (c) The Bureau ~~must~~ complete the expedited review and approval of a contract within
24 five (5) business days of receiving all of the following:

25 * * * *

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

27 ~~(4)~~ * * * *

28 ~~(5)~~ * * * *

29 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
30 19951 and 19984, Business and Professions Code.

31

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Double underline and ~~double-strikeout~~ denote modified text

1 **§ 12200.11. Extension of Proposition Player Contracts.**

2 (a) An application for approval of a contract to continue proposition player services
3 must~~shall~~ include all of the following:

4 * * * *

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

7 (5) * * * *

8 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Sections
9 19951 and 19984, Business and Professions Code.

10

11 ~~**§ 12200.13. Playing Book.**~~

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

21 ~~Note: Authority cited: Sections 19840, 19841 and 19984, Business and Professions Code. Reference: Section~~
22 ~~19984, Business and Professions Code~~

23
24 **~~§ 12200.16. Inspections and Investigations.~~**

25 ~~(a) When requested by a representative of the Bureau, a registrant or licensee shall~~
26 ~~immediately permit the Bureau representative, in accordance with the request, to inspect, copy,~~
27 ~~or audit all requested documents, papers, books, and other records of the registrant or licensee~~
28 ~~related to the provision of proposition player services. If the records are maintained in electronic~~
29 ~~form and the registrant or licensee is requested to do so, the registrant or licensee shall provide a~~
30 ~~printed copy in English pursuant to this section within 24 hours of the request.~~

1 (b) ~~If requested in writing by the Executive Director, the Bureau shall conduct an inspection~~
2 ~~or investigation of a registrant or a licensee. Within 30 days of receipt of the request, the Bureau~~
3 ~~shall advise the Executive Director in writing of the status of the inspection or investigation and~~
4 ~~shall also provide an estimated date on which the inspection or investigation may reasonably be~~
5 ~~expected to be concluded. Upon completion of the inspection or investigation, the Bureau shall~~
6 ~~provide a final written report to the Executive Director.~~

7 (c) ~~Nothing in this chapter precludes Commission staff from carrying out their duties under~~
8 ~~applicable statutes and regulations.~~

9 (d) ~~All records required by this chapter shall be maintained in English, in California, for at~~
10 ~~least five (5) years.~~

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

13
14 **§ 12200.18. Revocation.**

15 The Commission may revoke a registration or license, upon any of the following grounds,
16 after a hearing conducted pursuant to the same procedures applicable to the revocation of a
17 gambling establishment license:

18 (a) The registrant or licensee committed, attempted to commit, or conspired to commit any
19 acts prohibited by the Act or this chapter.

20 * * * *

21 (d) The registrant or licensee failed or refused to comply with the requirements of Section
22 ~~12200.16 (Inspections and Investigations)~~ 12003 ~~(General Requirements).~~

23 ~~Note: Authority cited: Sections 19840, 19941, and 19984, Business and Professions Code. Reference: Section~~
24 ~~19984, Business and Professions Code.~~

25
26 **~~§ 12200.21. Compliance.~~**

27 (a) ~~Registrants and licensees shall comply with game rules approved by the Bureau,~~
28 ~~including but not limited to, the rules regarding player dealer rotation and table wagering. A~~
29 ~~proposition player contract may, concerning any table assigned for play by the contracted~~
30 ~~registrant or licensee, contain a provision precluding players of any other registrant or licensee~~

1 ~~under this chapter or Chapter 2.2 of this division from playing at that table during the periods of~~
2 ~~play assigned by the proposition player contract for the contracted registrant or licensee. The~~
3 ~~house is not precluded from assigning a seat at the table to a registrant or licensee.~~

4 ~~(b) Only an authorized player may possess, direct, or otherwise control currency, chips, or~~
5 ~~other wagering instruments used for play in the performance of a proposition player contract.~~

6 ~~Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code. Reference: Section~~
7 ~~19984, Business and Professions Code.~~

8
9 CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.

10 ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

11 **§ 12220. Definitions.**

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

15 (b) As used in this chapter:

16 (1) “Additional Badge” means a badge provided by the Commission pursuant to Section
17 12220.6 which authorizes an individual registrant or licensee to be simultaneously employed by
18 more than one primary owner.

19 * * * *

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

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

- 23 1. Primary owner,
- 24 2. Owner,
- 25 3. Supervisor, and
- 26 4. Player.

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

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

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

5
6 * * * *

7
8 (16) Other employee” means an individual either employed or hired by a primary owner
9 including a subcontractor or independent contractor who is present in the gambling establishment
10 during the provision of proposition player services under the primary owner’s proposition player
11 contract, who is not authorized to provide proposition player services. “Other employee” does
12 not include any owner, any supervisor, or any officer or director of a primary owner that is a
13 corporation. An individual registered or licensed, as an “other employee” may not function as a
14 player unless and until that individual applies for and obtains registration or licensure as a player.

15
16 * * * *

17
18 ~~(19) “Playing Book” means a record documenting each session of play by an individual~~
19 ~~player.~~

20 ~~(2019)~~ * * * *

21 ~~(2120)~~ * * * *

22 ~~(2221)~~ * * * *

23 ~~(2322)~~ * * * *

24 ~~(2423)~~ * * * *

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

27 ~~(2624)~~ * * * *

28 ~~(2725)~~ * * * *

29 ~~(2826)~~ * * * *

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

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1 Sections 19805 and 19853(a)(3), Business and Professions Code.

2
3 **~~§ 12220.13. Playing Book.~~**

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

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

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

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

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

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

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

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

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

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

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

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

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

30 (3) ~~The form for each session of play shall be time-stamped, dated, and signed under penalty~~

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1 of perjury by the person who prepared it and shall include a declaration in the following form: “I
2 declare under penalty of perjury under the laws of the State of California that the foregoing is
3 true and correct.”

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

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

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

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

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 **§ 12220.16. Inspections and Investigations.**

17 (a) ~~When requested by a representative of the Bureau, a registrant or licensee shall~~
18 ~~immediately permit the Bureau representative, in accordance with the request, to inspect, copy,~~
19 ~~or audit all requested documents, papers, books, and other records of the registrant or licensee~~
20 ~~related to the gambling business. If the records are maintained in electronic form and the~~
21 ~~registrant or licensee is requested to do so, the registrant or licensee shall provide a printed copy~~
22 ~~in English pursuant to this section within 24 hours of the request.~~

23 (b) ~~If requested in writing by the Executive Director, the Bureau shall conduct an inspection~~
24 ~~or investigation of a registrant or a licensee. Within 30 days of receipt of the request, the Bureau~~
25 ~~shall advise the Executive Director in writing of the status of the inspection or investigation and~~
26 ~~shall also provide an estimated date on which the inspection or investigation may reasonably be~~
27 ~~expected to be concluded. Upon completion of the inspection or investigation, the Bureau shall~~
28 ~~provide a final written report to the Executive Director.~~

29 (c) ~~Nothing in this chapter precludes Commission staff from carrying out their duties under~~
30 ~~applicable statutes and regulations.~~

1 ~~(d) All records required by this chapter shall be maintained in English, in California, for at~~
2 ~~least five (5) years.~~

3 ~~Note: Authority cited: Sections 19840, 19841 and 19853(a)(3), Business and Professions Code. Reference: Section~~
4 ~~19853(a)(3), Business and Professions Code.~~

5
6 **§ 12220.18. Revocation.**

7 The Commission may revoke a registration or license, upon any of the following grounds,
8 after a hearing conducted pursuant to the same procedures applicable to the revocation of a
9 gambling establishment license:

10 (a) The registrant or licensee committed, attempted to commit, or conspired to commit any
11 acts prohibited by the Act or this chapter.

12 * * * *

13 (d) The registrant or licensee failed or refused to comply with the requirements of Section
14 ~~12220.16 (Inspections and Investigations)~~ 12003 (General Requirements).

15 * * * *

16 Note: Authority cited: Sections 19840, 19941, and 19984, Business and Professions Code. Reference: Section
17 19984, Business and Professions Code.

18
19 ~~§ 12220.21. Compliance.~~

20 ~~(a) Registrants and licensees shall comply with game rules approved by the Bureau, including~~
21 ~~but not limited to the rules regarding player-dealer rotation and table wagering.~~

22 ~~(b) Only an authorized player may possess, direct, or otherwise control currency, chips, or~~
23 ~~other wagering instruments used for play in the operation of the gambling business.~~

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

26
27 CHAPTER 3. CONDITIONS OF OPERATION FOR PROVIDERS OF PROPOSITION PLAYER SERVICES AND
28 GAMBLING BUSINESSES.

29 ARTICLE 1. GENERAL PROVISIONS

30 § 12250. Definitions.

31 (a) Except as otherwise provided in subsection (b), the definitions in Business and

1 Professions Code section 19805, and Sections 12002, 12200, and 12220 of this division, ~~shall~~
2 govern the construction of this chapter.

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

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

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

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

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

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

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

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

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

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

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

23 (7) “Information technology technician” or “IT technician” means any person who is
24 responsible for and has the system permissions necessary to access an electronic playing book
25 system database, including but not limited to the software coding, data storage functions, all
26 critical components of system functioning, and the receipt of system alerts in accordance with
27 paragraph (5) of subsection (a) of Section 12263.

28 (8) “Ink” means a pigmented liquid or paste used especially for writing or printing. For
29 purposes of this chapter, ink also includes printer toner powder or other means of placing an
30 indelible mark onto paper.

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1 (9) “Permissions” means the assigned level of system access rights of an individual to view
2 or make changes to the content of a system.

3 (10) “Playing Book” means a record documenting each session of play by a third-party
4 proposition player or by a gambling business individual player.

5 (11) “Primary database” or “database” means a collection and storage of all electronic
6 playing book system information.

7 (12) “Session of play” as used in Section 12260 means the time period when a TPPPS
8 company or gambling business operates a player at a gaming table before the gaming table
9 closes; however, provided that in no event may a time period be longer than 24 consecutive
10 hours ~~a continuous work shift performed by an individual proposition player at a specific gaming~~
11 ~~table.~~

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

14 (14) “System” means a group of interdependent components that interact regularly to
15 perform a task.

16 (15) “Terminal” means computer hardware that is used to enter data into or display
17 information from a system.

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

20 21 ARTICLE 2. PLAYING BOOKS

22 § 12260. General Provisions.

23 (a) Nothing in this article ~~shall~~ prohibits a licensee from using more stringent standards, or
24 from having other applications or programs accessible from a terminal with access to the playing
25 book system. Programs performing processes other than playing book functions may be a
26 separate application, but any program with access to the electronic playing book database must
27 be approved by the Bureau. The licensee is responsible to ensure that there is no data leakage or
28 data contamination between the playing book database and an unauthorized source.

29 (b) The primary owner of a TPPPS company or gambling business is ~~shall be~~ responsible for
30 assuring that its players maintain accurate, complete, legible, and up-to-date playing books in

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1 conformity with regulations of the Commission for all sessions of play. A playing book
2 must~~shall~~ be established and maintained in either hardcopy or electronic form.

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

5 (d) Hardcopy playing book records must~~shall~~ be recorded in ink, and stored in accordance
6 with Section 12003.

7 (e) Electronic playing book records must~~shall~~ be electronically maintained in accordance
8 with the database and backup requirements of Section 12263.

9 (f) The primary owner of a TPPPS company or gambling business must~~shall~~ develop written
10 procedures, acceptable to the Bureau, for limiting access to the electronic playing book system,
11 database, and equipment; controlling passwords and segregating access within systems; dictating
12 the complexity and expiration of passwords; and, achieving unalterable logs of user access and
13 security incidents.

14 (g) A playing book form may use any method of data entry acceptable to the Bureau,
15 including, but not limited to, fillable spaces, pre-filled spaces, drop-down menus, or check-
16 boxes, as applicable. Each form in a playing book must~~shall~~ include, but is not ~~be~~-limited to, all
17 of the following information:

18 (1) Sequential numbers including a unique identifier for the specific gambling establishment.
19 For hardcopy playing books, any unused form must~~shall~~ be voided and maintained in the playing
20 book;~~;~~

21 (2) The name of the gambling establishment where play occurred;~~;~~

22 (3) The date and time of commencement of ~~the~~~~each~~ session of play;~~;~~

23 (4) ~~The~~ ~~b~~eginning and ending balances of the session of play and for each player that
24 operated during the session of play;~~;~~

25 (5) Win and loss balances;~~;~~

26 (6) An itemization of all fills and credits for each session of play;~~;~~

27 (7) The printed full name and badge number of ~~each~~~~the~~ player, including owners and
28 supervisors, when acting as players;~~;~~

29 (8) The table number assigned by the gambling enterprise;~~;~~

30 (9) The specific Bureau identification number of the Bureau-approved controlled game

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1 played;

2 (10) The name of the TPPPS company or gambling business;

3 (11) The date and time of completion for the ~~each~~ session of play;

4 (12) The signature of the player whose activity has ~~is~~ ~~been~~ ~~ing~~ recorded; and, the signature of
5 a supervisor. Each signature must ~~shall~~ include a declaration regarding that player's activities in
6 the following form: "I declare under penalty of perjury under the laws of the State of California
7 that the foregoing is true and correct."; and, ~~If a supervisor is not present to sign, the funds shall~~
8 ~~be deposited into a TPPPS company bank account within the gambling establishment; and, a~~
9 ~~cage receipt shall be obtained and substituted for that signature. The receipt shall be kept in~~
10 ~~accordance with Section 12003.~~

11 ~~(A) For playing book devices, a signature shall consist of any method that is supported by the~~
12 ~~electronic playing book system and approved by the Bureau. This may include, but is not limited~~
13 ~~to, a signature signed onto a touch screen, the activation of a mandatory checkbox, or the use of~~
14 ~~one or more secured authentications, or any combination thereof. Examples of authentication~~
15 ~~include, but are not limited to, unique username, password, pin, fob/badge recognition, security~~
16 ~~image, caption verification, security question, Quick Response (QR) coding, biometrical~~
17 ~~verification, or facial recognition, or any combination thereof.~~

18 ~~(B) For electronic playing books, the version of the playing book form to be signed by the~~
19 ~~player whose activity is being recorded must be in the same format as the printed version of the~~
20 ~~approved playing book form and visible as one document on the playing book device. If screen~~
21 ~~size is a constraint, scrolling across or up and down to view different areas of the form is~~
22 ~~permitted.~~

23 (13) A place for a cage receipt to be either physically or electronically attached (as
24 appropriate to the playing book type).

25 (h) If a supervisor is not present to sign, the funds must be deposited into a TPPPS company
26 player's bank within the gambling establishment; and, a cage receipt must be obtained and
27 substituted for that signature.

28 (i) For electronic playing books, the version of the playing book form to be signed by the
29 player whose activity is being recorded must be in the same format as the printed version of the
30 approved playing book form and visible as one document on the playing book device. If screen

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1 size is a constraint, scrolling across or up and down to view different areas of the form is
2 permitted.

3 (j)~~(h)~~ All IT technicians employed by or contracting with a licensee ~~must~~ ~~shall~~ be registered
4 or licensed as “other employees” pursuant to Chapter 2.1 or 2.2, if applicable, regardless if they
5 are present in the gambling establishment or not. This requirement ~~shall also apply~~ to any
6 subcontractor, independent contractor, or employee thereof who is authorized to perform IT
7 technician duties as defined in paragraph (7) of subsection (b) of Section 12250.

8 (k)~~(i)~~ Any incident notification requirements ~~in this Chapter~~ as found in section 12290(c)
9 must be submitted to the Bureau with the following information:

10 (1) Name of TPPPS company or gambling business.

11 (2) Location(s) of incident to include, but is not limited to, the table number or server
12 location, if applicable.

13 (3) Date of the incident.

14 (4) Date of discovery of incident.

15 (5) Name of person reporting the incident.

16 (6) Description of incident and impact to the electronic playing book system or device.

17 (7) Description of data compromised.

18 (8) Resolution or plan to resolve the reported incident.

19 (9) Licensee name, phone number, and email address.

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

22
23 **§ 12261. Review of Playing Book Forms.**

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

26 (b) To request the review of a new or amended playing book, the form Application for
27 Approval of Playing Book Form or Electronic Playing Book System, BGC-APP 036 (Rev.
28 02/16), attached in Appendix A to this chapter, must be completed and submitted to the Bureau
29 along with the following:

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

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1 (2) Those using hardcopy playing books must~~shall~~ submit a sample playing book form that
2 complies with Section 12260. Those using an electronic playing book system must~~shall~~ submit
3 all required information that complies with Sections 12260 and 12262.

4 (3) If the request is to amend an existing approved playing book form, a brief description of
5 any changes made to the previously approved form must~~shall~~ be included.

6 (c) The Bureau must~~shall~~ notify the applicant in writing that an application or a resubmitted
7 application for an initial or amended playing book form is complete and accepted for filing; or, is
8 deficient and what is necessary to correct any deficiencies within 10 working days after the
9 receipt of the application. The Bureau must~~shall~~ review and approve or disapprove an initial or
10 amended playing book form within 30 calendar days of receiving a completed application.
11 Written notices regarding this review must~~shall~~ be sent to the primary owner or the designated
12 agent.

13 (d) If a change is non-substantive, for example, the addition of a Bureau-approved controlled
14 game, or a change in formatting, font, spacing, or other cosmetic change, the primary owner
15 must~~shall~~ submit a notice and copy of the revised form to the Bureau to update the Bureau's
16 records. This notice will~~shall~~ be deemed accepted unless otherwise advised by the Bureau
17 within 30 calendar days of receiving the notice. The Bureau may determine the change is
18 substantive and require the primary owner to request approval pursuant to subsection (b).

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

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

24 **§ 12262. Electronic Playing Book Device Requirements.**

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

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

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

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

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

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

4 (2) The device ~~must~~ ~~shall~~ have anti-virus, firewall, and unauthorized software installation
5 protection.

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

7 (1) All access, activities, and entries into the playing book device ~~must~~ ~~shall~~ be time, date and
8 user identification stamped.

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

11 (3) Have manual synchronization capabilities.

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

14 (5) The ability to accept signatures. A signature consists of any method that is supported by
15 the electronic playing book system and approved by the Bureau. This may include, but is not
16 limited to, a signature signed onto a touch-screen, the activation of a mandatory checkbox, or the
17 use of one or more secured authentications, or any combination thereof. Examples of
18 authentication include, but are not limited to, unique username, password, pin, fob/badge
19 recognition, security image, caption verification, security question, Quick Response (QR)
20 coding, biometrical verification, or facial recognition, or any combination thereof.

21 (d) In case of a playing book device failure, printed copies of the approved electronic playing
22 book form must be available for use until the device is repaired or replaced. Any information
23 recorded manually ~~must~~ ~~shall~~ be later entered into the database with a notation that the
24 information was originally recorded manually and the reason therefore.

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

27
28 **§ 12263. Electronic Playing Book Database Requirements.**

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

30 (1) All access, activities and data entries ~~must~~ ~~shall~~ be date, time, user identification, and

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1 terminal identification stamped and logged.

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

4 (3) The database must ~~shall~~ have anti-virus, firewall, and unauthorized software installation
5 protection.

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

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

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

13 (1) All users require a minimum of two methods of authentication at login, including but not
14 limited to the options in paragraph (5) of subsection (c) of Section 12262 ~~paragraph (12)(A) of~~
15 ~~subsection (g) of Section 12260.~~ The database must only allow active authentications to access
16 the device. After three failed attempts by a user to access the system, the database must log the
17 failed attempts and must not permit access under that user's authentications until the login
18 account has been reset.

19 (2) An IT technician ~~shall~~ requires a minimum of three methods of authentication for login to
20 access the database, including but not limited to the options in paragraph (5) of subsection (c) of
21 Section 12262 ~~paragraph (12) of subsection (g) of Section 12260.~~ The database must only allow
22 IT technicians with active authentications to access the database. If an IT technician has three
23 failed attempts and is denied access to the database, the database must log the failed attempts,
24 notify the primary owner, and not permit access under that individual authentication until reset
25 by another person with IT technician permissions.

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

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

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1 accessing the system at all times.

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

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

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

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

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

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

13 (d) A backup of the system and database ~~must~~shall be performed daily and documentation
14 maintained in a physically secured location in accordance with paragraph (2) of subsection (f) for
15 five years.

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

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

19 (1) The location of the database ~~must~~shall be in California and disclosed to the Bureau in
20 accordance with Section 12003; and,

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

24 (g) If access to the database must be made by a non-licensed party, an IT technician
25 ~~must~~shall monitor and be responsible for this access at all times.

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

28
29 **§ 12264. Review of Electronic Playing Book Systems.**

30 (a) Each electronic playing book system requires prior review and approval by the Bureau.

1 To request review of the electronic playing book system, the form Application for Approval of
2 Playing Book Form or Electronic Playing Book System, BGC-APP 036 (Rev. 02/16), referenced
3 in subsection (b) of Section 12261, must be completed and submitted to the Bureau along with
4 the following:

5 (1) An application processing fee of \$1200 per system.

6 (2) Printed playing book form, screen-shots or pictures of the form as it appears on the
7 device, a copy of the current certification of the electronic playing book system, and a
8 description of how a signature will be indicated, as specified in paragraph (5) of subsection (c) of
9 Section 12262~~subsection (g) (12) of Section 12260.~~

10 (3) Certification from an independent gaming test laboratory that the electronic playing book
11 system, including the software, the database, and a playing book device prototype, meets the
12 requirements of this article. The certification ~~must~~ shall identify which technical test standard
13 was used.

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

18 (5) A written summary of the design and operation of the system, and at least one of the
19 following:

20 (A) A video of the system in operation to include how the system meets the technical
21 requirements of Sections 12262 and 12263; or,

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

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

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

28 (b) The Bureau ~~must~~ shall notify the applicant in writing that a request or resubmitted request
29 for 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

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1 request. The Bureau ~~must~~^{shall} review and approve or disapprove an initial or amended playing
2 book system within 120 calendar days of receiving a completed request. The Bureau ~~must~~^{shall}
3 send written notices to the primary owner or the primary owner's designated agent.

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

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

9 (2) Any update to software or system components developed by the licensee or an employee
10 of the licensee requires notification to the Bureau within five ~~(5)~~ business days of the update.

11 That notice ~~must~~^{shall} include a description of the update and its necessity.

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

14 15 Article 3. (Reserved)

16 17 Article 4. Security and Use of Player's Banks

18 § 12285. General Provisions.

19 ~~(a) TPPPS and Gambling Business registrants and licensees must develop written procedures~~
20 ~~acceptable to the Bureau which establish a dollar threshold for notification to the primary owner~~
21 ~~of any significant loss incurred in a single controlled game immediately upon the determination~~
22 ~~of the loss. The written procedures must include a provision that requires immediate notification~~
23 ~~to the Bureau once notification has been made to the primary owner.~~

24 (a) Any written procedures required pursuant to this Chapter must be submitted to the Bureau
25 for their review and approval. This includes any amendments made to the written procedures
26 after initial approval.

27 (b) The written procedures must be established and implemented in accordance with the
28 applicable provisions of this chapter on or before [the first day of the first full month six months
29 following the effective date of this section].

30 Note: Authority cited: Sections 19841(h) and 19984(b), Business and Professions Code. Reference: Section
31 19826, 19920, and 19984 Business and Professions Code.

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1
2 **§ 12287. Loss Notification.**

3 (a) A licensed or registered TPPPS company and gambling business must develop written
4 procedures which:

5 (1) Establish a dollar threshold for notification to the primary owner of any significant loss
6 incurred in a single controlled game immediately upon the determination of the loss.

7 (2) Includes a provision that requires notification to the Bureau’s Criminal Intelligence Unit
8 24 hours after notification has been made to the primary owner.

9 Note: Authority cited: Sections 19841(h) and 19984(b), Business and Professions Code. Reference: Section
10 19826, 19920, and 19984 Business and Professions Code.

11
12 Article 5. Compliance

13 **§ 12290. Compliance.**

14 (a) The TPPPS and Gambling Business primary owner ~~must~~~~shall~~ comply with game rules
15 approved by the Bureau, including but not limited to the rules regarding player-dealer rotation
16 and table wagering.

17 (b) Only an authorized TPPPS and Gambling Business player may possess, direct, or
18 otherwise control currency, chips, or other wagering instruments used for play in the operation of
19 the gambling business.

20 (c) The licensee ~~must~~~~shall~~ notify the Bureau within five ~~(5)~~ calendar days of the following
21 incidents:

22 (1) A ~~n~~ electronic playing book device, system, or database failure that prevents it from
23 functioning as initially approved.

24 (2) Impermissible use or access to the electronic playing book device system.

25 (3) Failure of ~~t~~The electronic playing book database to ~~cannot~~ synchronize information from
26 the electronic playing book device for a period longer than 24 hours.

27 (d) A proposition player contract may, concerning any table assigned for play by the
28 contracted registrant or licensee, contain a provision precluding players of any other registrant or
29 licensee under this chapter or Chapter 2.2 of this division from playing at that table during the
30 periods of play assigned by the proposition player contract for the contracted registrant or

1 [licensee.](#)

2 [\(e\) The house is not precluded from assigning a seat at the table to a registrant or licensee.](#)

3 [Note: Authority cited: Sections 19840, 19841, 19853\(a\)\(3\), and 19984, Business and Professions Code. Reference:](#)
4 [Section 19853\(a\)\(3\), Business and Professions Code.](#)

5
6 Chapter 10. Discipline, Hearings, and Decisions.

7 **§ 12560. Disciplinary Guidelines for Third-Party Providers of Proposition Player Services**
8 **Licensees or Registrants.**

9 * * * *

10 (b) A license or registration granted by the Commission for an owner of a third-party
11 provider of proposition player services, as that term is used in California Code of Regulations,
12 Title 4, Section 12200, ~~must~~[shall](#) be subject to a minimum discipline of suspension of five days
13 from either specified gambling establishments or all gambling establishments, as the
14 circumstances and factors in mitigation or aggravation apply, and a maximum discipline of
15 revocation, which may be stayed on terms and conditions and any monetary penalty as described
16 in [paragraph \(7\) of subsection \(d\) of](#) Section 12554 ~~(d)(7)~~ of this chapter, if the Commission
17 finds that:

18 * * * *

19 (20) The owner has violated the provisions regarding playing books listed in California Code
20 of Regulations, Title 4, Section [12250](#)~~12200.13~~,

21
22 * * * *

23
24 (c) A supervisor, player, or other employee, as those terms are used in California Code of
25 Regulations, Title 4, Section 12200, ~~must~~[shall](#) be subject to a minimum monetary penalty of
26 \$100 and/or a suspension of three days and a maximum penalty of revocation if the Commission
27 finds that:

28 (1) The supervisor, player, or other employee has violated or is out of compliance with
29 conditions, limitations, or orders or directives imposed by the Commission, either as part of an
30 initial grant of license or registration, renewal of such, or pursuant to disciplinary action,

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(10) The supervisor, player, or other employee has failed to comply with California Code of Regulations, Title 4, Section 12290~~12200.21~~.

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

§ 12562. Disciplinary Guidelines for Gambling Business Licensees or Registrants.

* * * *

(c) A supervisor, player, or other employee, as those terms are used in California Code of Regulations, Title 4, Section 12220, must~~shall~~ be subject to a minimum monetary penalty of \$100 and/or a suspension of three days and a maximum penalty of revocation if the Commission finds that:

(1) The supervisor, player, or other employee has violated or is out of compliance with conditions, limitations, or orders or directives imposed by the Commission, either as part of an initial grant of license or registration, renewal of such, or pursuant to disciplinary action,

* * * *

(10) The supervisor, player, or other employee has failed to comply with California Code of Regulations, Title 4, Section 12290~~12220.21~~.

* * * *

Note: Authority cited: Sections 19825, 19840, 19841 and 19930, Business and Professions Code. Reference: Sections 19853(a)(3) and 19930, Business and Professions Code.

///

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"/> 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. 02/16)
Page 1 of 2

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 12290 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 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 (\$75) COMPLETE SECTIONS 2, 3, 7 & 8		<input type="checkbox"/> ELECTRONIC PLAYING BOOK SYSTEM (\$1200) 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 §12260(i) + 2234(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 (HARD COPY PLAYING BOOK FORM-\$75) (ELECTRONIC PLAYING BOOK SYSTEM- \$1200)

FOR HARD COPY PLAYING BOOK FORM:

SAMPLE PLAYING BOOK FORM

FOR ELECTRONIC PLAYING BOOK 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.