

1 CALIFORNIA CODE OF REGULATIONS
2 TITLE 4. BUSINESS REGULATIONS.
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4 DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.
5 (AMENDED REGULATIONS EFFECTIVE JANUARY 16, 2018)
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7 CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS

8 ARTICLE 3. MINIMUM INTERNAL CONTROLS (MICS) FOR GAMBLING ESTABLISHMENTS
9

10 § 12386. Cage Operation and Functions.

11 (a) The policies and procedures for all tiers shall meet or exceed the following standards for
12 cages:

13 ...

14 (2) The licensee shall assign at least one gambling enterprise employee to process monetary
15 transactions at a cage. The titles, classifications, or positions of all employees assigned to process
16 monetary transactions at a cage shall be listed on the gambling enterprise's organizational chart.
17 The assigned employees' duties may include any or all of the following:

18 ...

19 (G) Recording patron information that is necessary for compliance with the requirements of
20 sections 5313 and 5314 of Title 31 of the United States Code, applicable regulations in Chapter
21 X (effective as of July 1, 2011) of Title 31 of the Code of Federal Regulations and any successor
22 provisions, and subsection (a) of Section 12315.

23 ...

24 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code. Reference: Sections
25 19841, 19922 and 19924, Business and Professions Code.
26

27 § 12391. Gambling Floor Operation.

28 (a) The policies and procedures for all Tiers shall meet or exceed the following standards for
29 gambling floor operation:

30 ...

31 (4) The sale or redemption of chips shall be transacted only by those designated gambling
32 enterprise employees who have received the training required by section 1021.210 (revised as of
33 July 1, 2011) of Chapter X of Title 31 of the Code of Federal Regulations. A licensee shall have
34 policies and procedures in place to ensure compliance with Section 12315.

35 ...

36 Note: Authority cited: Sections 19801(l), 19811, 19840, 19841, 19861 and 19920, Business and Professions Code.
37 Reference: Sections 19801(a), 19801(g), 19801(h), 19801(j), 19801(l), 19823, 19841, 19861, 19914(a)(2), 19920
38 and 19924, Business and Professions Code.
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CHAPTER 10. DISCIPLINE, HEARINGS, AND DECISIONS

§ 12566. Disciplinary Guidelines for Gambling Establishments.

...

(b) A state gambling license for a gambling establishment granted by the Commission shall be subject to a minimum discipline of suspension for one day of normal business operation and a maximum discipline of suspension for 30 days of normal business operation, which may be stayed on terms and conditions and upon a monetary penalty of twenty-five percent of the average daily gross gaming revenue, not more than \$10,000, but not less than \$300, if the Commission finds that the establishment has violated any of the following but has not been disciplined by the Commission for such a violation previously:

...

(10) Provided false or incomplete financial data, in violation of Sections 12312, 12313, 12315, and 12316, regarding accounting and financial reporting,

(11) Refused to allow Bureau or Commission inspection of records or information required to be maintained pursuant to Sections 12312, 12313, 12315, and 12316, regarding accounting and financial reporting,

...

(c) A state gambling license for a gambling establishment granted by the Commission shall be subject to a minimum discipline of suspension for five days of normal business operation and a maximum discipline of revocation, which may be stayed on terms and conditions and any monetary penalty as described in Section 12554(d)(7) of this chapter, if the Commission finds that the establishment has:

...

(13) Provided false or intentionally incomplete financial data, in violation of Sections 12312, 12313, 12315, and 12316, regarding accounting and financial reporting, and has been disciplined by the Commission for such a violation previously,

(14) Refused to allow Bureau or Commission inspection of records or information required to be maintained pursuant to Sections 12312, 12313, 12315, and 12316, regarding accounting and financial reporting, and has been disciplined by the Commission for such a violation previously,

...

Note: Authority cited: Sections 19825, 19840, 19841 and 19930, Business and Professions Code. Reference: Sections 19823, 19824, 19850, 19851, 19853, 19854, 19855, 19875, 19878, 19883, 19901, 19912, 19920, 19921, 19922, 19923, 19924, 19930, 19941, 19942 and 19982, Business and Professions Code; and Department of Alcoholic Beverage Control v. Alcoholic Beverage Control Appeals Board (2004), 118 Cal. App. 4th 1429, 1444-1445.

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