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DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION..... 6

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1 CALIFORNIA GAMBLING CONTROL COMMISSION
2 SPECIFIC LANGUAGE OF PROPOSED REGULATIONS
3 LICENSING
4 CGCC-GCA-2019-0X-R
5

6 Title 4. Business Regulations.
7 Division 18. California Gambling Control Commission.
8
9

10 CHAPTER 1. GENERAL PROVISIONS.
11

12 ARTICLE 1. DEFINITIONS AND GENERAL PROCEDURES.
13

14 § 12002. General Definitions.

15 Unless otherwise specified, the definitions in Business and Professions Code section
16 19805, supplemented by the definitions found in Chapter 10 of Title 9 of Part 1 of the
17 Penal Code (commencing with section 330), ~~shall~~ govern the construction of this
18 division. As used in this division:

19 (a) “Administrative Procedure Act Hearing” or “APA Hearing” means an evidentiary
20 hearing which is conducted pursuant to the requirements of Chapter 5 (commencing with
21 section 11500) of Part 1 of Division 3 of Title 2 of the Government Code, and section
22 1000 et seq. of Title 1 of the California Code of Regulations. An APA hearing includes
23 those evidentiary hearings which proceed pursuant to Business and Professions Code
24 sections 19825 and 19930, as well as under Chapter 10 of this division.

25 (b) “Advisor of the Commission” means~~shall be~~ all employees of the Commission
26 except those designated as an advocate of the Commission.

27 (c) “Advocate of the Commission” means~~shall be~~ any employee so designated
28 pursuant to subsection (a) of Section 12056.

29 (d) “BCII” means the Bureau of Criminal Identification and Information in the
30 California Department of Justice.

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1 (e) “Bureau” means the Bureau of Gambling Control in the California Department of
2 Justice, acting as “the department” as provided in section 19810 of the Business and
3 Professions Code.

4 (f) “Bureau report” means a final determination, as defined in Business and
5 Professions Code section 19869 as “final action by the department,” by the Chief of the
6 Bureau regarding his or her recommendation to the Commission on any application.

7 (g) “Cardroom business license” means a license issued to a gambling enterprise as
8 defined in Business and Professions Code section 19805, subdivision (m), or owner
9 licensee as defined in Business and Professions Code section 19805, subdivision (ad),
10 and is the holder of the license certificate pursuant to Business and Professions Code
11 section 19851, as applicable.

12 (h) “Cardroom endorsee license” means a license issued to any person required to be
13 licensed pursuant to Business and Professions Code sections 19852 or 19853 and is
14 required to be endorsed on the license certificate pursuant to Business and Professions
15 Code section 19851, subdivision (b).

16 (i) “Cardroom license” means a gambling license and a gambling enterprise
17 employee license.

18 (j)(g) “California games” means a controlled games that feature a ~~rotating~~-player-
19 dealer position, as described in Penal Code section 330.11.

20 (k)(h) “Commission” means the California Gambling Control Commission.

21 (l)(i) “Conviction” means a plea or verdict of guilty or a plea of nolo contendere,
22 irrespective of a subsequent order of expungement under the provisions of Penal Code
23 section 1203.4, 1203.4a, or 1203.45, or a certificate of rehabilitation under the provisions
24 of Penal Code section 4852.13. A plea of guilty entered pursuant to Penal Code section
25 1000.1 does not constitute a conviction for purposes of Business and Professions Code
26 section 19859, subdivisions (c) or (d) unless a judgment of guilty is entered pursuant to
27 Penal Code section 1000.3.

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1 (m)(+) “Deadly weapon” means any weapon, the possession or concealed carrying of
2 which is prohibited by Penal Code section 16430.

3 (n)(+) “Dealer's bank” means any and all monies a dealer has on deposit with the
4 cardroom business licensee~~gambling enterprise~~ or is assigned from the cage bank for chip
5 trays.

6 (o) “Designated Agent” means a person appointed by an applicant, licensee, or holder
7 of a work permit to serve as their representative.

8 (p)(+) “Drop” means any and all player collection fees received from patrons or
9 TPPPS business licensees~~companies~~ by a cardroom business licensee~~gambling enterprise~~
10 to play in controlled games, not including tournament fees, jackpot collections, or
11 payments under a TPPPS contracts ~~for third-party proposition player services.~~

12 (q) “Employee license” means a gambling enterprise employee license and a TPPPS
13 employee license.

14 (r)(+) “Employee of the Commission” means the staff employed by the Commission
15 including the Executive Director and all staff under the direction of the Executive
16 Director.

17 (s)(+) “Executive Director” means the executive officer of the Commission, as
18 provided in Business and Professions Code section 19816 or his or her designee. If the
19 Executive Director position is vacant, the “Executive Director” means the officer or
20 employee who is~~shall be~~ so designated by the Commission.

21 (t)(+) “Fiscal year” means the annual period used by a licensee for financial reporting
22 purposes.

23

~~(p) “Gambling business” means a person that is registered or licensed in accordance~~
24 ~~with Chapter 2.2 of this division. “Gambling business” does not include the provision of~~
25 ~~proposition player services.~~

26 (u) “Gambling business license” means a gambling license and TPPPS owner license.

27 (v)(+) “Gambling Control Act” or “Act” or “GCA” means Chapter 5 (commencing
28 with section 19800) of Division 8 of the Business and Professions Code.

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 (w) “Gambling enterprise employee license” mean a license issued to any person as
2 provided in Business and Professions Code section 19805, subdivision (n), who does not
3 hold a local work permit; and, for the purposes of this division also includes a key
4 employee license and a Commission work permit.

5 (x) “Gambling license” means the same as provided in Business and Professions
6 Code section 19805, subdivision (p), and for the purposes of the division, includes a
7 cardroom business license and a cardroom endorsee license.

8 (y) “Gaming activity” has the same meaning as defined in Title 11, CCR, Section
9 2010, subsection (f).

10 (z)(+) “GCA hearing” means an evidentiary hearing referred to as “the meeting”
11 pursuant to Business and Professions Code sections 19870 and 19871.

12 (aa) “Initial license” means the same as provided in Business and Professions Code
13 section 19805; and, for the purposes of this division also includes initial cardroom
14 business license, initial cardroom endorsee license, initial cardroom license, initial
15 Commission work permit, initial employee license, initial gambling business license,
16 initial gambling enterprise employee license, initial gambling license, initial key
17 employee license, initial TPPPS business license, initial TPPPS employee license, initial
18 TPPPS endorsee license, initial TPPPS license, initial TPPPS other employee license,
19 initial TPPPS owner license, initial TPPPS player license, initial TPPPS supervisor
20 license.

21 (ab)(+) “Interim license” means a license issued by the Commission for some interim
22 period which includes an interim renewal license issued pursuant to Section 12035, and
23 an interim gambling business license issued pursuant to Article 4 of Chapter 2~~Section~~
24 ~~12349, and an interim key employee license issued pursuant to Section 12354.~~

25 (ac)(+) “Jackpot” means a gaming activity where the prize is awarded based on
26 specified criteria occurring in the play of a controlled game.

27 (ad) “Key Employee License” means the same as provided in Business and
28 Professions Code sections 19805, subdivision (x).

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1 (ae)(+) “Licensee” means any person who is licensed ~~or registered~~, or endorsed on a
2 license ~~or registration~~, by the Commission pursuant to the Act or any regulation adopted
3 pursuant to the Act.

4 (af)(+) “Member of the Commission” means an individual appointed to the
5 Commission by the Governor pursuant to Business and Professions Code sections 19811
6 and 19812, and does not include an employee of the Commission.

7 (ag)(+) “Player's bank” means any and all monies a patron or a TPPPS business
8 license~~company~~ has on deposit with the gambling enterprise.

9 (ah)(+) “Registrant” means a person having a valid registration issued by the
10 Commission.

11 (ai) “Renewal license” means the same as provided in Business and Professions Code
12 section 19805; and, for the purposes of this division also includes renewal cardroom
13 business license, renewal cardroom endorsee license, renewal cardroom license, renewal
14 Commission work permit, renewal employee license, renewal gambling business license,
15 renewal gambling enterprise employee license, renewal gambling license, renewal key
16 employee license, renewal TPPPS business license, renewal TPPPS employee license,
17 renewal TPPPS endorsee license, renewal TPPPS license, renewal TPPPS other
18 employee license, renewal TPPPS owner license, renewal TPPPS player license, renewal
19 TPPPS supervisor license.

20 (aj)(+) “Surrender” means to voluntarily give up all legal rights and interests in a
21 license, permit, registration, finding of suitability, or approval.

22 (ak)(+) “Temporary license” means a preliminary license or Commission work
23 permit~~issued by the Commission~~ and, for the purposes of this division also includes
24 temporary cardroom business license, temporary cardroom endorsee license, temporary
25 cardroom license, temporary Commission work permit, temporary employee license,
26 temporary gambling business license, temporary gambling enterprise employee license,
27 temporary gambling license, temporary key employee license, temporary TPPPS business
28 license, temporary TPPPS employee license, temporary TPPPS endorsee license,

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 temporary TPPPS license, temporary TPPPS other employee license, temporary TPPPS
2 owner license, temporary TPPPS player license, temporary TPPPS supervisor license,
3 prior to action on an initial license application, with appropriate conditions, limitations or
4 restrictions determined on a case-by-case basis.

5 ~~(al)(aa)~~ “Third-party ~~providers of~~ proposition player services” or “TPPPS” ~~or~~
6 ~~“TPPPS company”~~ means services provided to a cardroom business licensee under any
7 written agreement between a cardroom business licensee and a business organization that
8 engages the services of employees, independent contractors, or both, and includes the
9 play as a participant in any California game. This also includes the services of any
10 supervisors or other employees to facilitate the provision of services. ~~a person that is~~
11 ~~licensed or registered in accordance with Chapter 2.1 of this division.~~

12 (am) “TPPPS business license” means a license issued to a sole proprietor,
13 corporation, partnership, limited liability company, or other business entity that provides
14 or has submitted an application to the Bureau to provide third-party proposition player
15 services in a gambling establishment.

16 (an) “TPPPS contract” means a written contract, the terms of which have been
17 reviewed and approved by the Bureau, between a cardroom business licensee and a
18 TPPPS business licensee acting as an independent contractor for the provision of third-
19 party proposition player services in the gambling establishment.

20 (ao) “TPPPS employee license” means a TPPPS supervisor license, a TPPPS player
21 license, and a TPPPS other employee license.

22 (ap) “TPPPS endorsee license” includes a license issued to any of the following:

23 (1) Any person specified in Business and Professions Code section 19852,
24 subdivisions (a) through (g) in relation to a TPPPS company;

25 (2) Each person who receives, or is to receive, any percentage share of the revenue
26 earned by the owner from third party proposition player services;

27 (3) Any employee, agent, guardian, personal representative, lender, or holder of
28 indebtedness of the owner who, in the judgment of the commission, has the power to

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1 exercise a significant influence over the TPPPS owner or third-party proposition player
2 services, and;

3 (4) Any TPPPS funding source.

4 (aq) “TPPPS funding source” means any person, or their successor in interest, that
5 provides financing to any TPPPS owner licensee, for use by a TPPPS business licensee in
6 which the person is not licensed including but not limited to loans, advances, or any other
7 thing of value including without limitation credit and chips. TPPPS funding source does
8 not include any federally or state chartered lending institution or any of the following
9 entities that in the aggregate owns at least \$100,000,000 in securities, loans, or other
10 investment instruments of issuers that are not affiliated with the entity:

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

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

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

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

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

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

26 (7) Any entity whose equity owners each meet the criteria of this subsection.

27 (ar) “TPPPS license” means a TPPPS owner license and TPPPS employee license.

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1 (as) “TPPPS other employee license” means a license issued to any natural person
2 employed or hired by a TPPPS business licensee, including a subcontractor or
3 independent contractor, whose duties include being at a gambling establishment, but who
4 is not authorized to participate in the play of a controlled game, or direct or otherwise
5 control currency, chips, or other wagering instruments used for play of a controlled game
6 or in the performance of a TPPPS contract. TPPPS other employee license does not
7 include any TPPPS business license, any TPPPS supervisor license, or any officer or
8 director of a TPPPS business licensee that is a corporation.

9 (at) “TPPPS owner license” means a TPPPS business license and a TPPPS endorsee
10 license.”

11 (au) “TPPPS player license” means a license issued to any natural person other than a
12 TPPPS owner or a TPPPS supervisor who provides third-party proposition player
13 services in a controlled game.

14 (av) “TPPPS supervisor license” means a license issued to any natural person
15 employed in a supervisory capacity by a TPPPS business licensee, or who has any
16 supervisory responsibilities identified in a job duty statement or otherwise empowered
17 to make discretionary decisions that regulate TPPPS operations, including, without
18 limitation, the authority to, on behalf of the TPPPS business licensee, to authorize or
19 approve the distribution of currency, chips, or other wagering instruments to players
20 engaged in the provision of third-party proposition player services in a gambling
21 establishment.

22 (aw) “Work permit” means the same as provided in Business and Professions Code
23 section 19805, subdivision (ak), and for the purposes of this division includes the
24 following:

25 (1) “Local work permit” means a work permit issued by a city, county, or city and
26 county pursuant to subparagraph (A) of paragraph (1) of subdivision (a) of Business and
27 Professions Code section 19912.

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1 (2) “Commission work permit” means a work permit issued by the Commission
2 pursuant to subparagraph (B) of paragraph (1) of subdivision (a) of Business and
3 Professions Code section 19912.

4 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19853~~(a)(3)~~, 19854, and
5 19869, Business and Professions Code; and Section 7, Government Code. Reference: Sections
6 7.5, 19800, 19805, 19811, and 19816, ~~and 19951,~~ Business and Professions Code.
7

8 **§ 12003. General Requirements.**

9 ...

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

19 (c) Each gambling business licensee must allow Bureau representatives to inspect,
20 copy, or audit all requested documents, papers, books, and other records required by the
21 Act or this division within the time period specified in the request. The inspection may
22 include all hardware, associated equipment, and systems that support the operation of the
23 licensed activities. If the records are maintained in other than hardcopy form, the licensee
24 must provide a printed copy pursuant to this section upon request.

25 ...

26 Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19853 and 19984, Business and
27 Professions Code. Reference: Sections 19826, 19827, 19841, 19857, 19866 and 19984, Business
28 and Professions Code.
29

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§ 12004. Notification of Contact Information Change.

A ~~registrant or~~ licensee or holder of a work permit will~~shall~~ report to the Bureau any change of contact information, whether residence address, address of record or mailing address, phone number or any other contact information, within ten days of that change on a form entitled “Notice of Contact Information Change,” CGCC-032 (Rev. ~~XX06/192~~), which is attached in Appendix A to this Chapter. This section does not apply to the physical relocation of a gambling establishment.

Note: Authority cited: Sections 19811, 19823, 19824, 19853(a)(3), 19864 and 19984, Business and Professions Code. Reference: Sections 19850 and 19852, Business and Professions Code.

§ 12005. Prohibited Player-Dealer Participation.

(a) The following participation in a California game is prohibited without an approved TPPPS contract:

(1) Hiring or engaging the services of an employee or independent contractor to provide services that include the play as a participant in any California game;

(2) Financing, including but not limited to providing loans, advances, or any other thing of value, to any individual or business for the purpose of the activity identified in paragraph (1); and,

(3) Participating in the play of a California game as an employee or independent contractor.

(b) Any Commission license or other approval may be subject to revocation or discipline for a violation of this section. Any application to the Commission for a license or other approval may be subject to denial for a violation of this section.

Note: Authority cited: Sections 19811, 19841(o), and 19984, Business and Professions Code. Reference: Sections 19801, 19841(o), 19853, 19920, 19943 and 19984(b), Business and Professions Code.

§ 12006. Service of Notices, Orders, and Communications.

(a) When service of any notice or other written communication is specifically required to be made pursuant to this section, service ~~must~~~~shall~~ be made by certified mail, addressed to the residence address, address of record or mailing address of the applicant,

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1 licensee, holder of a work permit, or designated agent, as last reported to the
2 Commission.

3 (b) Service ~~shall be~~is effective upon mailing of the notice or communication.

4 Note: Authority cited: Sections 19811, 19824 and 19840, Business and Professions Code.
5 Reference: Sections 19811, 19824 and 19840, Business and Professions Code
6

7 ~~§ 12008. Registration and License Application Fees.~~

8

9 **§ 12014. Subpoenas.**

10 (a) The issuance and enforcement of a subpoena or subpoena duces tecum in any
11 adjudicative proceeding held pursuant to the Act for which a notice of hearing has been
12 issued ~~will~~shall be in accordance with Article 11 (commencing with section 11450.05)
13 and Article 12 (commencing with section 11455.10), respectively, of Chapter 4.5 of Part
14 1 of Division 3 of Title 2 of the Government Code. The issuance of a subpoena or
15 subpoena duces tecum may be on the form entitled "Subpoena." CGCC-~~XX~~Sub-001
16 (New ~~XX~~02/193), which is attached in Appendix A to this chapter, or in a manner that
17 otherwise complies with Article 11 of Chapter 4.5 of Part 1 of Division 3 of Title 2 of the
18 Government Code. All subpoenas and subpoenas duces tecum ~~must~~shall be served at
19 least 30 days prior to the date specified for commencement of the hearing in the notice of
20 hearing, or the date specified in the subpoena for the appearance of a witness or the
21 production of records.

22 (b) Any motion made pursuant to subdivision (a) of section 11450.30 of the
23 Government Code ~~must~~shall be filed with the presiding officer no later than 15 days prior
24 to the date specified for appearance or for the production of records. The party bringing
25 the motion ~~must~~shall serve copies of the motion on all parties and persons who are
26 required by law to receive notice of the subpoena. Any response to the motion ~~must~~shall
27 be filed with the presiding officer and served no later than 5 days before the motion is
28 scheduled to be heard. Upon a timely motion of a party or a witness, after notice to the
29 parties and an opportunity to be heard, upon a showing of good cause, the presiding

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1 officer may order the quashing of a subpoena or subpoena duces tecum entirely, may
2 modify it, or may direct compliance with it upon other terms and conditions.

3 (c) ...

4 Note: Authority cited: Section 19811, 19823(a), 19824(h), 19840 and 19841, Business and
5 Professions Code; and section 11450.05(b), Government Code. Reference: Sections 19840, 19870
6 and 19871, Business and Professions Code; sections 1985, 1985.1, 1985.2, 1985.3 and 1985.4,
7 Code of Civil Procedure; sections 1560 and 1561, Evidence Code; and sections 11450.05,
8 11450.20, 11450.30, 11450.50 and 11455.10, Government Code.
9

10 § 12015. Withdrawal of Applications.

11 ...

12 (g) If a request for withdrawal of an application for an initial license is made to the
13 Bureau and the Commission grants the request, any temporary or interim license issued to
14 the applicant will be cancelled by the Executive Director.

15 Note: Authority cited: Sections 19801, 19811, 19823, 19824, 19840, 19841, 19869, 19893, and
16 19951, Business and Professions Code. Reference: Sections 19859, 19867, 19869, 19880, 19881,
17 19890, 19891, 19912, 19951, and 19984, Business and Professions Code.
18

19 § 12017. Abandonment of Applications.

20 ...

21 (f) If an application is deemed abandoned, any temporary or interim license issued to
22 the applicant will be cancelled by the Executive Director. If the abandonment was
23 pursuant to subsection (a) of Section 12017, the Bureau must provide notification to the
24 Commission at the conclusion of the 30 calendar day notice period if no response has
25 been received from the applicant.

26 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19893, and 19951, Business
27 and Professions Code. Reference: Sections 19859, 19867, 19869, 19880, 19881, 19890, 19891,
28 and 19951, Business and Professions Code.
29

30 § 12035. Issuance of Interim Renewal Licenses.

31 (a) The Commission will~~shall~~ issue an interim renewal license to an applicant for
32 renewal of a license when:
33

...
33

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1 (b) The following conditions ~~shall~~ apply to all interim renewal licenses issued under
2 subsection (a):

3 (1) An interim renewal license will~~shall~~ be issued with the same conditions,
4 limitations, or restrictions, if any, that existed for the previous license, except for any
5 condition that by Commission decision has been determined to be satisfied and no longer
6 applicable. This paragraph does not preclude the Commission from applying additional
7 conditions through a separate GCA hearing or with the consent of the applicant.

8 (2) An interim renewal license will~~shall~~ be valid for a period of two years from the
9 date the previous license expires, or until a decision is final under Section 12066,
10 whichever is earlier, and is not subject to renewal. The Commission may issue additional
11 interim renewal licenses if the hearing process has not been, or will not be, concluded by
12 the expiration date of the current interim renewal license.

13 (3) The holder of an interim renewal license will~~shall~~ pay all applicable annual fees
14 associated with that license.

15 (4) The issue date of the most recently granted interim renewal license will~~shall~~ serve
16 as the issue date for any initial or renewal~~regular~~ license granted thereafter.

17 ...

18 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19893 and 19951, Business
19 and Professions Code. Reference: Sections 19859, 19867, 19869, 19876, 19880, 19881, 19890,
20 19891 and 19951, Business and Professions Code.

22 § 12040. Mandatory and Discretionary Grounds for Denial

23 (a) An application for an initial or renewal license:

24 (1) Will be denied if the Commission makes a finding that the applicant has not
25 satisfied the requirements of Business and Professions Code section 19857; or,

26 (2) Will be denied if the Commission finds that any of the provisions of Business and
27 Professions Code section 19859 apply to the applicant.

28 (3) May be denied if the Commission finds the applicant has violated any law or
29 ordinance with respect to campaign finance disclosure or contribution limitations
30 pursuant to subdivision (a) of Business and Professions Code section 19982.

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1 (b) An application for a gambling license:

2 (1) Will be denied if the Commission finds that Business and Professions Code
3 section 19858 is applicable.

4 (2) Will be denied if the Commission finds that the applicable local gambling
5 ordinance does not conform to the requirements of Business and Professions Code
6 section 19860.

7 (3) May be denied if the Commission finds that the applicant meets any of the criteria
8 for license denial set forth in subdivision (a) of Business and Professions Code section
9 19862.

10 (c) An application for a TPPPS license:

11 (1) May be denied if the Commission finds the applicant has violated one or more of
12 the contract criteria set forth in paragraphs (5), (11), or (20) of subsection (b) of Section
13 12270 or paragraphs (1) and (3) of subsection (c) of Section 12270.

14 (2) May be denied if the Commission finds the applicant has failed to comply with
15 one or more of the contract criteria set forth in paragraphs (8), (9), (15), (16), (17), (18)
16 and (21) of subsection (b) of Section 12270, or in paragraph (2) of subsection (c) or
17 subsection (e) of Section 12270.

18 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19982 and 19984,
19 Business and Professions Code. Reference: Sections 19811, 19850, 19854(b), 19857, 19858,
20 19859, 19860, 19861, 19862, 19911, 19912, 19914, 19982 and 19984, Business and Professions
21 Code.

23 **ARTICLE 2. PROCEDURES FOR HEARINGS AND MEETINGS ON APPLICATIONS.**

25 **§ 12052. Commission Meetings; General Procedures; Scope; Rescheduling of** 26 **Meeting.**

27 ...

28 (c) An applicant for any license, permit, finding of suitability, renewal, or other
29 approval ~~will~~shall be given notice of the meeting at which the application is scheduled to
30 be heard. Notice ~~will~~shall be given pursuant to Section 12006.

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1 (1) If the application is scheduled at a non-evidentiary hearing meeting, the notice
2 ~~will~~shall be provided at least 10 calendar days prior to the meeting date and ~~will~~shall
3 inform the applicant of the following:

4 ...

5 (2) If the application is to be scheduled at an evidentiary hearing, pursuant to
6 subsections (a) or (b) of Section 12060, the notice of hearing ~~will~~shall inform the
7 applicant of the following:

8 (A) The date, time, and location of the evidentiary hearing at which the application is
9 scheduled to be heard;

10 (B) The date, time, and location of the pre-hearing conference, pursuant to paragraph
11 (1) of subsection (f) of Section 12060;

12 ...

13 (E) That a Notice of Defense, CGCC-~~XX~~ND-002 (New ~~XX~~04/194), which is
14 attached in Appendix A to this chapter, will be included unless already provided by
15 Commission staff or the Bureau.

16 ...

17 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions
18 Code. Reference: Sections 19816, 19823, 19824, 19856, 19870, 19871, 19876 and 19930,
19 Business and Professions Code.

21 **§ 12054. Consideration at Regular Commission Meeting.**

22 (a) ...

23 ...

24 (2) Elect to hold an evidentiary hearing in accordance with Section 12056 and, when
25 for a renewal application, issue an interim renewal license pursuant to Section 12035.

26 The Commission ~~will~~shall identify those issues for which it requires additional
27 information or consideration related to the applicant's suitability.

28 ...

29 (7) If the Bureau has filed an accusatory pleading with the Commission pursuant to
30 Business and Professions Code section 19930 prior to Commission action on a renewal

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1 application, the Commission ~~will~~shall issue an interim renewal license pursuant to
2 Section 12035.

3 (b) If the Commission approves or denies a request for withdrawal pursuant to
4 paragraph (5) of subsection (a) or makes a finding of abandonment pursuant to paragraph
5 (6) of subsection (a), that decision is final when issued, unless the Commission specifies
6 otherwise. An applicant ~~will~~shall not have a right to an evidentiary hearing pursuant to
7 Section 12056.

8 Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions
9 Code. Reference: Sections 19816, 19823, 19824, 19869, 19870, 19871 and 19876, Business and
10 Professions Code.
11

12 **§ 12056. Evidentiary Hearings.**

13 ...

14 (d) An APA or GCA hearing is sufficient to meet the hearing requirement of
15 Business and Professions Code section 19914.

16 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19840, and 19841, Business and
17 Professions Code. Reference: Sections 19816, 19823, 19824, 19825, 19868, 19870, 19871, ~~and~~
18 19876, and 19914, Business and Professions Code; Section 11512, Government Code.
19

20 ARTICLE 3. DESIGNATED AGENT.

21 § 12080. Requirements.

22 (a) An applicant, licensee, or holder of a Commission work permit may designate a
23 natural person(s) to serve as their designated agent(s) pursuant to Title 11, Cal. Code
24 Regs., Section 2030, using the Appointment of Designated Agent, CGCC – 0XX (New
25 XX/19), which is attached in Appendix A to this chapter.
26

27 (b) A natural person(s) must be authorized as the applicant’s, licensee’s, or holder of
28 a Commission work permit’s designated agent before representing the applicant, licensee,
29 or holder of a Commission work permit before the Commission.

30 (c) A designated agent must provide the following, if applicable:

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1 (1) The designated agent’s California State Bar number indicating a current license in
2 good standing; or,

3 (2) The designated agent’s California Board of Accountancy number indicating a
4 current license in good standing.

5 (d) If a designated agent has not provided documentation pursuant to subsection (c),
6 the person may still serve on behalf of the applicant, licensee, or holder of a Commission
7 work permit, provided however that the Commission may require licensure if the
8 Commission determines that the designated agent has the power to exercise a significant
9 influence, consistent with paragraph (6) of subdivision (a) of Business and Professions
10 Code section 19853.

11 (e) If the designated agent provided a license number pursuant to subsection (c), then
12 the designated agent must provide written notification to the Bureau within 5 business
13 days of any change in the licensee’s standing or any disciplinary action.

14 Note: Authority cited: Sections 19823, 19824, 19826, 19840, 19841, 19853, and 19984, Business
15 and Professions Code. Reference: Sections 19841, 19853 and 19984, Business and Professions
16 Code.

18 **§ 12082. Standards of Representation.**

19 (a) A designated agent is expected to act in accordance with the scope of authority
20 given to them by the applicant, licensee, or holder of a Commission work permit until:

21 (1) The applicant, licensee, or holder of a Commission work permit provides the
22 Bureau with a superseding designation; or,

23 (2) The designated agent provides the applicant, licensee, or holder of a Commission
24 work permit with a notification of withdrawal as designated agent with a copy
25 simultaneously sent to the Bureau.

26 (b) Failing to act in accordance with the scope of authority provided for in their
27 designation by the applicant, licensee, or holder of a Commission work permit can be
28 used against the designated agent by the Commission or Bureau when considering
29 disapproval of the designated agent and by the Commission in any approval or

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1 disciplinary proceeding regarding any license, registration, permit, or other approval
2 issued to the designated agent.

3 - - -

4 Option 1

5 (c) The designated agent may not pay the Bureau any sum on behalf of an applicant,
6 licensee, or holder of a Commission work permit. This does not prevent the designated
7 agent from submitting payment on behalf of an applicant, licensee, or holder of a
8 Commission work permit when that payment comes directly from the applicant, licensee,
9 or holder of a Commission work permit for which the payment is for.

10 Option 2

11 (c) If a designated agent provides payment to the Bureau on behalf of an applicant for
12 or licensee of a gambling business license, the applicant for or licensee of a gambling
13 business license must provide reimbursement to the designated agent. Documentation
14 showing that the applicant for or licensee of a gambling business license provided
15 reimbursement must be provided to the Bureau within 60 calendar days of payment being
16 submitted or prior to the applicant appearing before the Commission at any public
17 meeting, whichever occurs first.

18 - - -

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

22 **§ 12084. Designated Agent Disqualification.**

23 (a) The Commission retains the right to refrain from interacting with an applicant
24 through the designated agent at any time, including but not limited to where the
25 designated agent fails to act accordance with the scope of authority provided for in their
26 designation or where other issues arise which make the use of the designated agent less
27 efficient than interacting directly with the applicant.

28 Note: Authority cited: Sections 19826, 19840, 19841, and 19984, Business and Professions
29 Code. Reference: Sections 19841, and 19984, Business and Professions Code.

30 Additions shown in underline; deletions shown in ~~strikeout~~.

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CHAPTER 2. LICENSES AND WORK PERMITS.

ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.

§ 12100. Definitions.

Note: this section is currently a placeholder and does not contain any definitions

~~(a) Except as otherwise provided in~~ In addition to sSection 12002 and in subsection (b) of this section, the ~~following~~ definitions in Business and Professions Code section 19805 govern the construction of ~~the regulations contained in this C~~chapter.

~~(b) “Temporary Work Permit” means a work permit issued pursuant to this article to a prospective gambling enterprise employee in accordance with Business and Professions Code section 19824, subdivision (f), valid for a period not to exceed 120 days from the date of issuance.~~

~~(a) “Regular Work Permit” or “Work Permit” means a work permit issued pursuant to Business and Professions Code section 19912 for a period of no more than two years.~~

Note: Authority cited: Sections 19811, 19823, 19824, 19840, and 19841 ~~and 19912~~, Business and Professions Code. Reference: Sections 10, 19800, 19805, 19811, ~~19816, and 19912~~ 19854 and 19951(b)(2), Business and Professions Code.

~~§ 12101. Forms.~~

§ 12102. General Provisions.

(a) An initial or renewal license referenced in this chapter will be valid for a period of two years.

(b) No applicant can receive a TPPPS business license if that applicant holds a cardroom business license. No applicant can receive a cardroom business license if that applicant holds a TPPPS business license.

(c) A gambling licensee may also perform the functions of a key employee or holder of a Commission work permit at a gambling establishment to which they are licensed, and a key employee licensee may also perform the functions of the holder of a Commission work permit.

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1 (d) A TPPPS owner licensee may also perform the functions of a TPPPS supervisor
2 licensee or TPPPS player licensee, and a TPPPS supervisor licenses may also perform the
3 functions of a TPPPS player licensee.

4 (e) A license or work permit, including any temporary or interim license, may not be
5 transferred to another person.

6 (f) Once issued, an employee licensee may work within the scope of their license for
7 any cardroom business licensee or TPPPS business licensee, as appropriate, pursuant to
8 the notification requirements of Section 12110.

9 ---

10 Option A

11 (g) Any individual who is not an employee of a cardroom business licensee or TPPPS
12 business licensee operating in any position that would otherwise require licensure must
13 apply for and be approved for an employee license consistent with the licensing
14 requirements of an employee. This would include, but not be limited to players,
15 surveillance personnel, casino cage personnel, compliance personnel, dealers, floor
16 persons, game attendants, chip runners, internal security, internal accounting, persons
17 with the authority to make decisions on behalf of a cardroom business licensee or TPPPS
18 business licensee, and persons providing supervision of any licensee or holder of a work
19 permit employed by a cardroom business licensee or TPPPS business licensee.

20 Option B

21 (g) Any individual who is not an employee of a cardroom business licensee or TPPPS
22 business licensee operating in any position that would otherwise require licensure must
23 apply for and be approved for an employee license consistent with the licensing
24 requirements of an employee. This would include, but not be limited to players,
25 surveillance personnel, casino cage personnel, compliance personnel, dealers, floor
26 persons, game attendants, chip runners, internal security, internal accounting, persons
27 with the authority to make decisions on behalf of a cardroom business licensee or TPPPS
28 business licensee, and persons providing supervision of any licensee or holder of a work

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1 permit employed by a cardroom business licensee or TPPPS business licensee, and any
2 person authorized to provide direction to any licensee or holder of a work permit,
3 including, for example, receiving reports or determining schedules regardless of whether
4 their job duties include a requirement to physically enter a gambling establishment.

5 Option C

6 (g) Any individual who is not an employee of a cardroom business licensee or TPPPS
7 business licensee operating in any position that would otherwise require licensure must
8 apply for and be approved for an employee license consistent with the licensing
9 requirements of an employee. This would include, but not be limited to players,
10 surveillance personnel, casino cage personnel, compliance personnel, dealers, floor
11 persons, game attendants, chip runners, internal security, internal accounting, persons
12 with the authority to make decisions on behalf of a cardroom business licensee or TPPPS
13 business licensee, and persons providing supervision of any licensee or holder of a work
14 permit employed by a cardroom business licensee or TPPPS business licensee, any
15 person authorized to provide direction to any licensee or holder of a work permit,
16 including, for example, receiving reports or determining schedules regardless of whether
17 their job duties include a requirement to physically enter a gambling establishment, and
18 any director, officer, general partner, managing member, or person with the authority,
19 whether or not exercised, to direct the actions of any licensee or holder of a work permit.

20 ---

21 Note: Authority cited: Sections 19811(b), 19823, 19824, 19840, 19841, 19850, 19851, 19852,
22 19853, 19876(a), and 19984, Business and Professions Code. Reference: Sections 19850, 19851,
23 19855, 19873, 19876(a), 19881, 19891, and 19984, Business and Professions Code.

24 § 12104200.1. **TPPPS Certificate.**

25 (a) The Commission ~~shall~~ issue a ~~registration or~~ license certificate, ~~as applicable,~~ to
26 each approved TPPPS business licensee~~primary owner.~~

27 (b) The Commission will~~shall~~ endorse upon each certificate the names of all other
28 owners affiliated with the TPPPS business licensee~~primary owner.~~

29 Additions shown in underline; deletions shown in ~~strikeout~~.

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1 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code.
2 Reference: Section 19855 and 19984, Business and Professions Code.

3

4 **§ 12106353. Badges~~License Content; License Display and Presentation.~~**

5 (a) Each initial, renewal, temporary, or interim employee license or TPPPS owner
6 license issued by the Commission to a natural person will be accompanied by a badge.
7 Additionally, any gambling licensee who has duties in the gambling establishment will
8 have a badge issued to them. A ~~badge~~key employee license issued by the Commission
9 will~~shall~~ contain all of the following on ~~its~~the front ~~of the license~~:

- 10 (1) A photograph of the ~~holder~~licensee;
- 11 (2) The first name of the ~~holder~~licensee;
- 12 (3) The license or Commission work permit number; ~~and~~
- 13 (4) The expiration date of the license or Commission work permit; ~~and,~~
- 14 (5) The type of initial, renewal, temporary, or interim license or Commission work
15 permit the badge is being issued for.

16 (b) A ~~badge~~key employee license issued by the Commission will~~shall~~ contain the full
17 name of the ~~holder~~licensee on ~~its~~the back ~~reverse side of the licensee~~.

18 (c) When required to be worn, a Commission issued badge must be worn ~~A key~~
19 ~~employee must wear~~ by the person to whom it was issued in a prominently visible and
20 conspicuous manner; ~~their key employee license~~

21 (d)(1) A key employee licensee or holder of a Commission work permit or, must
22 wear their badge at all times while on duty in the gambling establishment; ~~;~~

23 (2) A gambling licensee must wear their badge at all times while on duty in the
24 gambling establishment if performing the duties of either a key employee licensee or
25 holder of a work permit, and if not must maintain the badge on their person; and,

26 - - -

27 Option Y

28 (3) The holder of a TPPPS license must wear their badge whenever present in any
29 gambling establishment, including when not on duty.

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1 Option Z

2 (3) The holder of a TPPPS license must wear their badge whenever present in any
3 gambling establishment which has an approved TPPPS contract with a TPPPS business
4 licensee that is owned by or employs the licensee, including when not on duty.

5 - - -

6 (e)~~(d)~~ A licensee or holder of a Commission work permit~~A key employee license~~
7 must~~shall be~~ presented their badge upon request, without delay or interference, to the
8 employee's ~~gambling enterprise~~ employer or supervisor, a representative of the
9 Commission or Bureau, or anyone requesting to verify that the ~~key employee has a valid~~
10 license or Commission work permit is valid.

11 (f)~~(e)~~ A badge~~must~~~~key employee license shall~~ not be altered in any manner nor
12 may~~shall~~ the content ~~of~~~~contained on~~ the badge~~license~~ be obstructed from view.

13 (g)~~(f)~~ A badge~~key employee license~~ that has expired or is determined to be invalid,
14 pursuant to any applicable provision of the Act or this division, ~~shall~~~~can~~ not be used to
15 gain employment or perform any duties which require a valid license or work permit
16 badge~~key employee license~~. Any expired or invalid Commission issued badge~~license~~
17 must~~shall~~ be surrendered to the ~~Commission or Bureau~~~~upon request~~ within 30 calendar
18 days unless requested sooner.

19 Note: Authority cited: Sections 19811, 19823, 19824, 19826, 19827, 19840, 19841, 19850,
20 19851, 19852, 19853 ~~and~~ 19854, 19876 and 19984, Business and Professions Code. Reference:
21 Sections 19850, 19851, 19854, 19855, ~~and~~ 19864, 19876, 19912, 19914 and 19984, Business and
22 Professions Code.

23

24 § 12108. Replacement of a Badge.

25 (a) The Bureau will provide a replacement badge to a licensee if all of the following
26 conditions are met:

27 (1) The requestor has a current valid initial, renewal, temporary, or interim license or
28 Commission work permit.

29 (2) A completed Badge Replacement Request, CGCC – 0XX (New XX/19) is
30 submitted.

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1 (b) The Bureau must notify a requestor in writing within five business days of receipt
2 of a request, if a request or resubmitted request is deficient and identify what specific
3 additional information is required.

4 (c) A replacement badge will be provided within 10 business days after the request
5 has been deemed complete.

6 (d) A replacement badge provided pursuant to this section will only be valid until the
7 expiration date of the current license or Commission work permit.

8 (e) Upon the receipt of a replacement badge, the previous badge becomes invalid and
9 may not be used thereafter.

10 Note: Authority cited: Sections 19811, 19823, 19824, 19826, 19827, 19840, 19841, 19854,
11 19912, and 19984, Business and Professions Code. Reference: 19801, 19824, 19826, 19854, and
12 19984, Business and Professions Code.

14 **§ 1211~~30~~. Change in Employment Status—~~Work Permit Transfer.~~**

15 (a) Notification to the Bureau is required if:

16 (1) The holder of either of the following has changed employment to a different
17 gambling establishment or TPPPS business licensee, with the same employee license
18 type: ~~regular work permit may apply for a new work permit for a different place of~~
19 ~~employment in accordance with this article.~~

20 (A) The holder of a key employee license or or TPPPS employee license, or a
21 temporary or interim license of any of the preceding licenses; or,

22 (B) A Commission work permit or temporary Commission work permit holder and
23 the holder seeks to change his or her place of employment between gambling
24 establishments where the Act requires the Commission issue a work permit.

25 (2) The holder of a key employee license or TPPPS employee license, or a
26 temporary license of any of the preceding licenses is no longer employed in any position
27 requiring the license.

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

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1 ~~(1) The applicant has applied for a~~ work permit or license holder must provide
2 notification transfer to the Bureau within 10 business days of starting the new
3 employment by completing ~~at the Bureau's transfer of work permit application form~~
4 Notification of Employment Change, BGC CGCC – 0XX22 (New XX/19), which is
5 attached in Appendix A to this chapter.

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

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

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

11 ~~(C) A nonrefundable \$ 25.00 fee payable to the Bureau~~

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

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

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

24 ~~(5) The Bureau is not aware of any cause for revocation of the work permit.~~

25 ~~(c) Notification of employment change does not change the effective period of a~~
26 license or work permit, or a temporary license. ~~A work permit issued pursuant to this~~
27 ~~section shall be valid during the unexpired term of the previously issued work permit.~~

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1 ~~(d) Upon the providing of a regular work permit pursuant to this section for the~~
2 ~~applicant's new place of employment, the regular work permit for the previous employer~~
3 ~~shall become void and shall not be used thereafter.~~

4 Note: Authority cited: Sections 19811, 19823, 19824, 19826, 19827, 19840, 19841, 19854, and
5 19912 and 19984, Business and Professions Code. Reference: Sections 10, ~~19801, 19816,~~
6 19824(f), 19826, 19850, 19851, 19854, 19855, 19864, and ~~19912(d) and 19984~~, Business and
7 Professions Code.

9 **ARTICLE 2. INITIAL AND RENEWAL LICENSES AND ~~REGULAR~~ WORK PERMITS.**

10 ~~§ 12104. Term of Work Permit.~~

11 ~~§ 12105. Mandatory and Discretionary Grounds for Denial of a Work Permit.~~

12 ~~§ 12134.2. Initial Gambling License Applications; Required Forms; Processing~~ 13 ~~Times.~~

14 ~~Any person applying for Commission approval must submit the following to the~~
15 ~~Bureau gambling license shall, as appropriate, complete the following forms, which are~~
16 ~~hereby incorporated by reference:~~

17 ~~(a) A completed Application for Employee License, CGCC – 0XX (New XX/19) or~~
18 ~~Application for Gambling Business License, CGCC – 0XX (New XX/19), which are~~
19 ~~attached in Appendix A to this chapter Application for State Gambling License, BGC-030~~
20 ~~(Rev. 04/13).~~

21 ~~(b) Any applicable completed supplemental information forms, all of which are~~
22 ~~attached in Appendix A to this chapter:~~

23 ~~(1) Business Entity: Supplemental Information, CGCC – 0XX (New XX/19).~~

24 ~~(2) Individual Owner/Principal: Supplemental Information, CGCC – 0XX (New~~
25 ~~XX/19).~~

26 ~~(3) Key Employee or TPPPS Supervisor: Supplemental Information, CGCC – 0XX~~
27 ~~(New XX/19).~~

28 ~~(4) Trust: Supplemental Information, CGCC – 0XX (New XX/19).~~

29 Additions shown in underline; deletions shown in ~~strikeout~~.

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- 1 (5) Commission Work Permit, TPPPS Player, or TPPPS Other Employee:
2 Supplemental Information, CGCC – 0XX (New XX/19).
- 3 (6) Supplemental Information: Schedules, CGCC – 0XX (New XX/19).
- 4 ~~(2) Gambling Establishment Owner Applicant Individual Supplemental Background~~
5 ~~Investigation Information, BGC APP 015A (Rev. 07/17).~~
- 6 ~~(3) Gambling Establishment Owner Entity Supplemental Information for State~~
7 ~~Gambling License, BGC APP 015B (Rev. 07/17).~~
- 8 ~~(4) Gambling Establishment Supplemental Information for State Gambling License,~~
9 ~~BGC APP 015C (Rev. 07/17).~~
- 10 (7)(5) Cardroom Applicant's Spouseal Information Supplemental Background
11 Information for State Gambling License, BGC APP CGCC – 0XX009A (Rev.
12 0XX7/1917).
- 13 ~~(6) Trust Supplemental Background Investigation Information, BGC APP 143 (Rev.~~
14 ~~05/08).~~
- 15 ~~(7) Declaration of Full Disclosure, BGC APP 005 (Rev. 11/07).~~
- 16 ~~(8) Authorization to Release Information, BGC APP 006 (Rev. 07/17).~~
- 17 ~~(9) Applicant's Declaration, Acknowledgment and Agreement (Community Property~~
18 ~~Interest), BGC APP 011 (Rev. 11/07).~~
- 19 ~~(10) Applicant's Declaration, Acknowledgment and Agreement (Sole and Separate~~
20 ~~Property), BGC APP 012 (Rev. 11/07).~~
- 21 ~~(11) Spouse's Declaration, Acknowledgment and Agreement (Community Property~~
22 ~~Interest), BGC APP 013 (Rev. 11/07).~~
- 23 ~~(12) Spouse's Declaration, Acknowledgment and Agreement (Sole and Separate~~
24 ~~Property), BGC APP 014 (Rev. 11/07).~~
- 25 ~~(13) Appointment of Designated Agent, BGC APP 008 (Rev. 07/17).~~
- 26 ~~(14) Key Employee Report, BGC LIC 101 (Rev. 07/17).~~
- 27 ~~(15) Instructions to Applicant's Spouse, BGC APP 010 (Rev. 07/17).~~
- 28 ~~(16) Notice to Applicants, BGC APP 001 (Rev. 11/07).~~

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 ~~(17) Request for Live Scan Service (California Department of Justice Form BCII~~
2 ~~8016, (Rev. 03/07)).~~

3 (8)~~(18)~~ Request for Copy of Personal Income Tax or Fiduciary Return, FTB-3516C1
4 (Rev. 02/09~~03~~ side 1-PIT).

5 (9)~~(19)~~ Request for Copy of Corporation, Exempt Organization, Partnership, or
6 Limited Liability Company Return, FTB-3516C1 (Rev. 11/06~~08~~ side 2-CORP).

7 ~~(20) Request for Transcript of Tax Return IRS 4506-T, (Rev. 01/08).~~

8 (c) An Authorization to Release Information, CGCC – 0XX (Rev. 04/08), which is
9 attached in Appendix A to this chapter.

10 (d) One of the following:

11 (1) If a resident of the State of California, a Request for Live Scan Service
12 [California Department of Justice Form, BCII 8016 (Rev. 05/12)]; or,

13 (2) If not a resident of the State of California, two copies of the Applicant Fingerprint
14 Card, FD-258.

15 (e) Appointment of Designated Agent, CGCC – 0XX (New XX/19).

16 ~~(b) Except as provided in subsection (c), initial gambling license applications~~
17 ~~submitted pursuant to this chapter shall be processed within the following timeframes:~~

18 ~~(1) The maximum time within which the Bureau shall notify the applicant in writing~~
19 ~~that an application or a resubmitted application is complete and accepted for initial~~
20 ~~processing, or that an application or a resubmitted application is deficient and identifying~~
21 ~~what specific additional information is required, is 20 days after receipt of the~~
22 ~~application. For the purposes of this section, “application” means the Application for~~
23 ~~State Gambling License, BGC-030, as referred to in paragraph (1) subsection (a) of this~~
24 ~~section.~~

25 ~~(2) The Bureau shall review the supplemental information submitted for~~
26 ~~completeness and notify the applicant of any deficiencies in the supplemental~~
27 ~~information, or that the supplemental information is complete, within 30 days of the date~~
28 ~~that the application and supplemental information are received by the Bureau.~~

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 ~~Notwithstanding this subsection, subsequent to acceptance of the supplemental~~
2 ~~information as complete, the Bureau may, pursuant to Business and Professions Code~~
3 ~~section 19866, require the applicant to submit additional information.~~

4 (3) ~~Pursuant to Business and Professions Code section 19868, the Bureau shall, to the~~
5 ~~extent practicable, submit its recommendation to the Commission within 180 days after~~
6 ~~the date the Bureau is in receipt of the complete application and the completed~~
7 ~~supplemental information pursuant to paragraph (1) of this subsection. If the Bureau has~~
8 ~~not concluded its investigation within 180 days, then it shall inform the applicant and the~~
9 ~~Commission in writing of the status of the investigation and an estimated date on which~~
10 ~~the investigation may reasonably be expected to be concluded.~~

11 (e) ~~The processing times specified in subsection (a) may be exceeded in any of the~~
12 ~~following instances:~~

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

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

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

18 Note: Authority cited: Sections 19811, 19824, 19840, ~~and~~ 19841, 19850, 19912 and 19984,
19 Business and Professions Code. Reference: Sections 19811, 19841, 19850, 19951, 19852, 19855,
20 ~~19856, 19857~~, 19864, 19865, 19866, 19867, 19868, 19880(d), ~~19881~~, 19883, 19890(e), 19893,
21 19912, 19951, ~~and~~ 19982 and 19984, Business and Professions Code.

22 23 § 1211345. Renewal Gambling License Applications Renewals; Required 24 Forms Processing Times.

25 (a) An applicant must file a complete application for a renewal of a gambling license
26 or Commission work permit ~~shall be timely filed by the owner licensee~~ with the Bureau
27 no later than 120 calendar days prior to the expiration of the current license or
28 Commission work permit. To be considered timely, the complete application for renewal
29 must be received by the Bureau no later than the date due or, if delivered by mail, be
30 postmarked no later than the date due.

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1 (b) If ~~at~~ the complete application for a renewal gambling license is filed less than 110
2 days prior to the expiration date of the current license, the application of the cardroom
3 business licensee~~owner-licensee~~ and each cardroom endorsee licensee~~individual~~
4 ~~application~~ required pursuant to subsection ~~(d)(b) shall~~ will be determined to be untimely
5 ~~and be deemed~~ delinquent.

6 (c) For the purposes of this section, a “complete application” ~~must~~shall consist of all
7 of the following ~~for the owner licensee and each person whose name is required to be~~
8 ~~endorsed upon the license of the owner licensee, as specified in subsection (b):~~

9 (1) A completed ~~and executed~~ Application for Employee License, CGCC – 0XX
10 (New XX/19) or Application for Gambling Business License, CGCC – 0XX (New
11 XX/19)~~Application for State Gambling License, BGC 030~~, as referred to in paragraph (1)
12 of subsection (a) of Section 1211~~34~~2;

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

15 (2)(3) Any applicable investigation deposit specified in Title 11, CCR, Section 2037.
16 However, if, after a review of an application for renewal ~~of a gambling license~~, the
17 Bureau determines that further investigation is needed, the applicant ~~must~~shall submit an
18 additional sum of money that, in the judgment of the Chief of the Bureau, will be
19 adequate to pay the anticipated investigation and processing costs, in accordance with
20 Business and Professions Code section 19867.

21 (3) A two by two inch color passport-style photograph taken no more than 30
22 calendar days before submission of the application if the application is for a natural
23 person.

24 (4) One of the following:

25 (A) If a resident of the State of California, a Request for Live Scan Service
26 [California Department of Justice Form, BCII 8016 (Rev. 05/12)]; or,

27 (B) If not a resident of the State of California, two Applicant Fingerprint Cards, FD-
28 258.

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1 (5) If the application is an Application for Gambling Business License, CGCC – 0XX
2 (New XX/19), then a completed copy of the Spousal Information, CGCC – 0XX (New
3 XX/19).

4 (d)(b) Each person whose ~~name~~ is required to be hold a cardroom endorsee license or
5 TPPPS endorsee license~~endorsed upon the license of a particular gambling enterprise~~
6 must~~shall~~ complete and execute a separate application for renewal of that person's
7 license. All applications for renewal of ~~the~~ endorsed licensees' ~~gambling licenses for a~~
8 ~~particular gambling enterprise~~ must~~shall~~ be submitted to the Bureau together with the
9 cardroom business license or TPPPS business license~~owner licensee's~~ application in a
10 single package, as provided in subsections (a) through (c), inclusive.

11 ~~(e) Except as provided in subsection (d), renewal gambling license applications~~
12 ~~submitted pursuant to subsections (a) and (b) of this section shall be processed within the~~
13 ~~following timeframes:~~

14 ~~(1) The maximum time within which the Bureau shall notify the applicant in writing~~
15 ~~that an application or a resubmitted application is complete and accepted for initial~~
16 ~~processing, or that an application or a resubmitted application is deficient and identifying~~
17 ~~what specific additional information is required, is 10 days after receipt of the~~
18 ~~application.~~

19 ~~(2) Bureau shall submit its written report concerning the renewal application, which~~
20 ~~may include a recommendation pursuant to Business and Professions Code section~~
21 ~~19826, subdivision (a), to the Commission no later than 45 days prior to the expiration of~~
22 ~~the current license.~~

23 ~~(d) The processing times specified in subsection (e) may be exceeded in any of the~~
24 ~~following instances:~~

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

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

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

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

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

11 ~~(f) If a licensee has not submitted a complete renewal application, including all~~
12 ~~required fees and deposits, within 10 days after the expiration date of the current license,~~
13 ~~the license shall be deemed abandoned.~~

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

16 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19851, 19854, and
17 19951 and 19984, Business and Professions Code. Reference: Sections 19811, 19823, 19824,
18 19826, 19841, 19850, 19851, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866, 19867,
19 19868, 19876, 19912, ~~and~~ 19951, and 19984, Business and Professions Code.

20 21 § 12116. Processing Timelines for Applications.

22 (a) Initial and renewal license and work permit applications submitted pursuant to
23 this chapter will be processed within the following timeframes:

24 (1) The Bureau will notify the applicant in writing within ten business days after the
25 receipt of an application that the application or a resubmitted application is complete and
26 accepted for initial processing, or that an application or a resubmitted application is
27 deficient and identifying what specific additional information is required. For the
28 purposes of this section, “complete application” means complete applicable form(s)
29 required pursuant to Section 12112 or Section 12114, as appropriate.

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1 (2) The Bureau will review any submitted supplemental information form(s) and
2 notify the applicant of any deficiencies, or deem the supplemental information form(s)
3 complete. Notwithstanding this subsection, subsequent to acceptance of the supplemental
4 information as complete, the Bureau may, pursuant to Business and Professions Code
5 section 19866, require the applicant to submit additional information.

6 (b) The Bureau will submit its Bureau report concerning the application to the
7 Commission:

8 (1) For an initial application, as specified in Business and Professions Code section
9 19868; or,

10 (2) For a renewal application, no later than 45 calendar days prior to the expiration of
11 the current license.

12 (c) If the Bureau and the Commission cannot complete their review and approval of a
13 renewal application prior to the expiration of the existing license or Commission work
14 permit due to the late submittal of the renewal application, the license or Commission
15 work permit will expire, unless the license or work permit has been extended or an
16 interim license has been issued. If the license or Commission work permit expires:

17 (1) A cardroom business licensee must cease all gambling operations upon expiration
18 of the license and gambling operations may not resume until a valid license has been
19 issued by the Commission;

20 (2) A TPPPS business licensee must cease all participation in any controlled game
21 upon expiration of the license and participation may not resume until a valid license has
22 been issued by the Commission; and,

23 (3) An individual is unable to serve in any capacity that requires licensure or a
24 Commission work permit and may not resume until a valid license or Commission work
25 permit has been issued.

26 (d) If a complete renewal application, including all required fees and deposits, has not
27 been submitted within 10 calendar days after the expiration date of the current cardroom

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1 business license, the cardroom business license will be deemed abandoned and will be
2 subject to the provisions of subsection (b) of Section 12142.

3 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19850, 19851, 19854,
4 19912, 19951, and 19984, Business and Professions Code. Reference: Sections 19811, 19823,
5 19824, 19826, 19841, 19850, 19951, 19852, 19854, 19855, 19856, 19857, 19864, 19865, 19866,
6 19867, 19868, 19876, 19880(d), 19883, 19890(e), 19893, 19912, 19951, 19982, and 19984,
7 Business and Professions Code.
8

9 **§ 12118. Objection to Local Work Permits.**

10 (a) Commission denial of an application for any reason set forth in Section 12040
11 constitutes grounds for Bureau objection to the issuance of a local work permit by a city,
12 county, or city and county pursuant to Business and Professions Code section 19912.

13 (b) An individual, whose local work permit has been denied by the city, county, or
14 city and county based upon Bureau objection, may submit, a written request to the
15 Executive Director for an evidentiary hearing to consider the Bureau's objection.

16 (c) The Executive Director may elect to hold a GCA hearing, pursuant to subsection
17 (a) of Section 12060 with the following modifications:

18 (1) The complainant will always be the Bureau.

19 (2) In place of the Bureau report, the Bureau will have the burden to establish that its
20 basis for objection was reasonable.

21 (3) Subsection (i) of Section 12060 does not apply. Instead, the burden of proof will
22 be on the Bureau.

23 (d) The Commission may revoke a Commission work permit or require a local
24 jurisdiction to revoke a local work permit in accordance with Section 19914. The hearing
25 under Business and Professions Code section 19914 will be any evidentiary hearing
26 conducted by either the Commission or by any other governmental agency. Any
27 evidentiary hearing conducted by another governmental agency does not require
28 Commission or Bureau participation and need not be pursuant to Business and
29 Professions Code section 19914, but must make a finding that the holder of the work
30 permit has done at least one of the items provided in subdivision (a) of Business and
31 Professions Code section 19914.

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19912, and 19914, Business
2 and Professions Code. Reference: Sections 19811, 19816, 19824, 19912, and 19914, Business
3 and Professions Code.
4

5 **§ 12120. Findings of Suitability Associated with a Tribal Compact**

6 Applications for findings of suitability received pursuant to Tribal-State gaming
7 compact section 6.5.6 and comparable sections of new or amended compacts for Tribal
8 gaming employees in key employee positions, Tribal gaming resource suppliers and
9 financial sources, will be processed as initial or renewal licenses consistent with Section
10 12040. As identified by the Tribes' licensing requirements under Tribal-State gaming
11 compact section 6.4.7(iv) and comparable sections of newer or amended compacts, the
12 Commission will not require an application for a finding of suitability from shareholders
13 of a gaming resource supplier or financial source who own ten percent or less of a
14 corporation.

15 Note: Authority cited: Sections 19823, 19824, 19840, and 19841, Business and Professions
16 Code. Reference: Section 19841, Business and Professions Code; and Section 12012.25,
17 Government Code.
18

19 **ARTICLE 3. TEMPORARY LICENSES AND WORK PERMITS.**

21 ~~**§ 12120. Temporary Work Permits.**~~

23 **§ 12122. General Provisions.**

24 (a) A temporary license will be associated with an application for an initial license.

25 (b) A temporary license issued in accordance with this article does not create a
26 property right in its holder.

27 (c) A temporary license will be valid for a period as follows:

28 (1)(A) For a temporary Commission work permit, the effective period will be no
29 more than 120 calendar days.

30 (B) If the Commission work permit is not issued within the effective period of the
31 temporary Commission work permit, a new temporary Commission work permit will be
32 issued with no additional fee.

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1 (2) For a temporary license, excluding temporary Commission work permits, the
2 effective period will be no more than two years.

3 (d) Upon issuance or denial of a license or Commission work permit by the
4 Commission, the temporary license will become void and cannot be used thereafter.

5 (e) The denial of an application for a temporary license or the cancellation of a
6 temporary license will not suspend the processing and review of the initial application.

7 (f) An applicant does not have any right to an evidentiary hearing pursuant to Section
8 12056 for a cancelled or conditioned temporary license.

9 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, and 19912, Business and
10 Professions Code. Reference: Sections 10, 19801(j), 19811, 19910, and 19912, Business and
11 Professions Code.
12

13 ~~§ 12124. Effect of Denial or Cancellation of Temporary Work Permit.~~

14 ~~§ 12124. Criteria for the Issuance of Temporary Work Permit.~~ 15 § 12124. Criteria for the Issuance of Temporary Employee Licenses Work 16 Permit.

17 (a) The Executive Director ~~will~~ shall issue a temporary employee license ~~work permit~~

18 if all of the following requirements are met:

19 (1)(a) The applicant ~~form, BGC-021, has applied for a temporary work permit by~~
20 ~~completing the Bureau's work permit application requesting issuance of a temporary~~
21 ~~work permit by checking~~ selected the appropriate temporary request box on the
22 application form, and has ~~submitted~~ ing with the applicable ~~application~~ a nonrefundable
23 temporary ~~work permit fees~~ s as specified in paragraph (2) of subsection (c) of Section
24 ~~12008, in addition to the regular work permit fee; specified in paragraph (1) of subsection~~
25 ~~(c) of Section 12008.~~

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

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

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

Additions shown in underline; deletions shown in ~~strikeout~~.

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

5 ~~(4) A Request for Live Scan Service (California Department of Justice Form BCH~~
6 ~~8016) confirming that the applicant has submitted his or her fingerprints to the BCH for~~
7 ~~an automated background check and response.~~

8 ~~(2)(e)~~ Neither the application in its entirety nor the results of the investigation of the
9 applicant reported by the Bureau to the Commission up until the date of issuance of the
10 temporary license~~work permit~~ discloses any ~~of the following:~~ mandatory grounds for
11 disqualification specified under Section 12040;

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

13 ~~(3)(2)~~ The applicant has not, within the 10-year period immediately preceding the
14 submission of the application, been convicted of any of the following offenses, not
15 including convictions which have been expunged or dismissed as provided by law:

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

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

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

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

23 ~~(E) A misdemeanor involving dishonesty or moral turpitude.~~

24 ~~(4)(3)~~ The applicant has not had an application ~~for a gambling license or work permit~~
25 ~~denied~~ or a license, permit, registration, or finding of suitability revoked by the
26 Commission.

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

28 (5) The applicant is not otherwise disqualified under the Act, Commission

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1 regulations, or other provisions of law from holding any license or Commission work
2 permit.

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

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

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

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

14 (7) The applicant has not had a previous application, within a 1-year period
15 immediately preceding the submission of a request for a temporary employee license,
16 deemed abandoned by the Commission pursuant to subsection (c) of Section 12017 and
17 the abandoned application had an associated Bureau report that included a
18 recommendation of denial.

19 (b)(1) For applicants requesting a temporary key employee license or TPPPS
20 supervisor license, the Bureau will provide a recommendation to the Commission within
21 15 business days following the filing of a complete application if the applicant currently
22 holds a valid Commission work permit, TPPPS player license, or TPPPS other employee
23 license; or,

24 (2) For applicants requesting a temporary employee license where the applicant does
25 not currently hold a valid Commission work permit, TPPPS player license, or TPPPS
26 other employee license, the Bureau will provide a recommendation to the Commission
27 within 15 business days following the Bureau's receipt of the results of a Request for
28 Live Scan Service or two Applicant Fingerprint Cards, FD-258, as appropriate.

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 ~~(f) The applicant is not ineligible under Business and Professions Code section~~
2 ~~19859, subdivision (b), (c), (f), or (g), the terms of which are incorporated by reference~~
3 ~~and hereby expressly made applicable to applications for temporary work permits.~~

4 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, ~~and~~19912, ~~and~~ 19984,
5 Business and Professions Code. Reference: Sections 19805(x), 19811, 19816, 19823, 19824(f),
6 19850, 19855, 19856, 19857, 19859, 19866, 19870, and19912, ~~and~~ 19984, Business and
7 Professions Code.

9 ~~§ 12126. Processing Times for Temporary Work Permit.~~

11 § 12126. Temporary Gambling Business License.

12 (a) The Commission will not issue a temporary gambling business license to an
13 applicant if the Commission finds any of the following:

14 (1) The application in its entirety, or the results of the investigation of the application
15 reported by the Bureau to the Commission disclosed any mandatory grounds for
16 disqualification specified in Section 12040;

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

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

21 (B) A misdemeanor involving gambling or gambling-related activities prohibited by
22 Chapter 9 (commencing with section 319) and Chapter 10 (commencing with section
23 330) of Title 9 of Part 1 of the Penal Code.

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

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

27 (3) The applicant is disqualified under the Act, Commission regulations, or other
28 provisions of law from holding a license or work permit; or,

29 (4) The applicant does not hold any required business license, permit, or other
30 approval.

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1 (b) The Bureau will recommend to the Commission that a temporary gambling
2 business license be granted or denied. The Bureau will, at a minimum include in its
3 recommendation to the Commission the following information:

4 (1) Any information from the Bureau’s review related to items identified under
5 subsection (a);

6 (2) A brief history of the gambling establishment or TPPPS business license to
7 include any past and current ownership;

8 (3) A copy of any lease agreement;

9 (4) Any articles of incorporation, articles of organization, certificate of limited
10 partnership, partnership agreement, statement of partnership authority, or operating
11 agreement associated with the application;

12 (5) The Bureau’s review of the transaction document associated with the application;

13 (6) A cursory financial review of the applicant’s source of funds for any associated
14 purchase agreement;

15 (7) Copies of the applicant’s application and supplemental information; and,

16 (8) Any areas of concern of an applicant as it relates to possible violations of law or
17 regulations associated with existing licenses to include, but not limited to, past or current
18 accusation or other disciplinary action as well as any license conditions, restrictions, or
19 limitations imposed by the Bureau or Commission.

20 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19883, and 19984, Business
21 and Professions Code. Reference: Sections 19811, 19823, 19824(f), 19850, 19855, 19856,
22 19857, 19859, 19866, 19883, and 19984, Business and Professions Code.

23
24 **§ 12128. Cancellation or Conditioning of Temporary Licenses~~Work Permit~~.**

25 (a) Any temporary license~~work permit~~ issued in accordance with this article will~~shall~~
26 ~~be subject to summary cancellation pursuant to subsections (b) and (c) of this section.~~

27 ~~(b) A temporary work permit shall be~~ cancelled or conditioned, as provided in
28 subsection (a) and (b),, if~~by the Executive Director~~ at any time, ~~if~~ any of the following
29 apply~~ies~~:

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1 (1) The Commission determines that it has received reliable information that the
2 holder of the temporary ~~license~~work permit is ineligible under paragraphs (2) or (3)
3 subsection ~~(a)~~(e) of Section 121~~224~~, has failed to reveal any fact material to the holder's
4 qualification for a temporary ~~license~~work permit, or has supplied information to the
5 Bureau or Commission that is untrue or misleading as to a material fact pertaining to the
6 criteria for issuance of a temporary ~~license~~work permit.

7 ~~(2) Pursuant to Business and Professions Code section 19826, the Bureau~~
8 ~~recommends denial of a regular work permit to the applicant.~~

9 ~~(3)~~The applicant's ~~initial license~~regular work permit application is referred by a vote
10 of the Commission ~~to~~for an evidentiary hearing ~~pursuant to Business and Professions~~
11 ~~Code section 19825~~, and the Commission directs the Executive Director to cancel ~~or~~
12 condition the temporary ~~license~~work permit.

13 (3) The temporary license is for a temporary TPPPS license, and the applicant:

14 (A) Buys or sells chips other than to or from the cardroom business licensee, except
15 for exchanging with a patron one denomination of chips for chips of another
16 denomination.

17 (B) Lends money or chips to gambling establishment patrons, except for exchanging
18 with a patron one denomination of chips for chips of another denomination.

19 (C) Makes a wager that was not specifically authorized by the Bureau approved game
20 rules.

21 (D) Provided proposition player services at a gambling establishment without a
22 Bureau-approved contract on and after April 30, 2004.

23 (4) The temporary license is for a TPPPS owner license or a TPPPS supervisor
24 license and the applicant:

25 (A) Knowingly permitted one or more of the TPPPS owner licensee's, employed
26 TPPPS supervisor licensees, or TPPPS players to commit any act described in paragraph
27 (3).

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1 (B) Knew, or failed to implement reasonable oversight procedures that would have
2 apprised the TPPPS business licensee, that one or more employees was in violation of the
3 Act or Commission regulations, and failed or refused to take action to prevent the
4 recurrence of the violation or violations.

5 ~~(4) The Executive Director receives from the applicant a request to withdraw his or~~
6 ~~her application for a regular work permit.~~

7 (b)(e) If any of the circumstances set forth in subsection (a)(b) applies, and the
8 temporary license is a temporary employee license, then the license must be summarily
9 cancelled and the Executive Director ~~or his or her designee will~~ shall immediately do all
10 of the following:

11 (1) Notify the temporary ~~licensee~~ work permit holder, the cardroom business
12 licensee ~~gambling establishment~~ or TPPPS business licensee that the temporary license
13 holder is currently associated with, the local law enforcement agency, and the Bureau, in
14 writing, of the cancellation of the temporary ~~license~~ work permit and the grounds thereof.

15 (2) Require ~~the holder of the license for the~~ cardroom business licensee ~~gambling~~
16 ~~establishment, the TPPPS business licensee or any applicable~~ its hiring authority to
17 terminate, immediately, any employment of the holder covered by the cancelled
18 temporary ~~license~~ work permit.

19 (3) Notify the temporary ~~licensee~~ work permit holder that he or she is required to
20 surrender their ~~ir badge~~ temporary work permit to the Bureau ~~Commission~~ not more than ten
21 calendar days following the date that the notice of cancellation was mailed or ~~as~~ such
22 greater time as specified ~~is authorized~~ by the Executive Director in the notice.

23 (c) If any of the circumstances set forth in subsection (a) applies, and the temporary
24 license is a temporary gambling business license, then the following conditions will
25 immediately be applied to the temporary license:

26 (1) The holder of the temporary license must be barred from participation, in any
27 way, in the conduct of the business including attendance at any meeting or
28 communication related to the conduct of the business.

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1 (2) Any proceeds derived from the operation of the business that would otherwise be
2 payable to the holder of the temporary license must be held in an escrow account and not
3 disbursed until the license application has received Commission approval. This
4 paragraph does not prevent the payment of any taxes, operating expenses, preexisting
5 obligations, preexisting dependent support or any other distribution of proceeds that is
6 approved by the Commission.

7 (3) The Commission, in its sole discretion and on an individual case-by-case basis,
8 may impose any additional conditions necessary to address particular factual situations
9 regarding temporary licenses.

10 (d) An applicant does not have any right to an evidentiary hearing pursuant to Section
11 12056 for a cancelled or conditioned temporary license.

12 Note: Authority cited: Sections 19811, 19816, 19823, 19824, 19840, ~~and~~ 19841, 19883 and
13 19984, Business and Professions Code. Reference: Sections 10, 19801, 19805(x), 19816,
14 19824(f) and 19850, 19855, 19856, 19857, 19859, 19866, 19870, 19883, 19912(a) and (d), and
15 19984, Business and Professions Code.

16
17 **§ ~~12201~~130. TPPPS Registration.**

18 (a) For the purposes of this section:

19 (1) “TPPPS registrant” means a person having a valid TPPPS registration.

20 (2) “TPPPS registration” means a registration for an owner or employee of a provider
21 of third-party proposition player services that was issued by the Commission prior to the
22 effective date of this regulation.

23 ~~(b)(a) On and after March 31, 2004, in addition to the requirements of Section~~
24 ~~12200.9(a)(1), no person may provide proposition player services or obtain a badge, as~~
25 ~~required by Section 12200.3, without a current valid registration issued by the~~
26 ~~Commission.~~ TPPPS registrations approved by the Commission prior to the effective
27 date of this regulation will remain in effect until the conclusion of their term of approval.
28 No request for the renewal of a TPPPS registration will be accepted by the Bureau after
29 [the first of the month of the sixth month following the effective date of these regulations].

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1 ~~(c)(b)~~ Renewal TPPPS Registration will be issued for a period of one ~~(1)~~-year ~~to~~
2 ~~owners and supervisors, and for a period of two (2) years to players and other employees.~~

3 ~~(d)(e)~~ A TPPPS Registration follows all conditions of a temporary license provided
4 in subsections (a), (b), paragraphs (3) and (4) of subsection (c), and subsections (d) and
5 (e) of Section 12122~~under this article or its predecessor does not create any vested right~~
6 ~~to licensing under Article 3 of this chapter or any successor provision.~~

7 ~~(e)(d)~~ If a TPPPS registrant~~primary owner~~ is a corporation, partnership, limited
8 liability company, or other business entity, each owner, and individual having a
9 relationship to that entity specified in Business and Professions Code section 19852,
10 subdivisions (a) through (i), inclusive, must individually request~~apply for~~ and obtain
11 registration as an owner listed on the business entity's registration certificate. ~~No~~
12 ~~business entity or sole proprietor can be registered under this chapter that is also licensed~~
13 ~~under the Act to operate a gambling establishment.~~

14 ~~(f)(e)~~ If the request~~application~~ is for ~~registration as~~ a TPPPS supervisor or TPPPS
15 player registration, the provider of third-party proposition player services ~~primary owner~~
16 that will employ the TPPPS registrant~~applicant~~ must be currently registered or licensed to
17 provide third-party proposition player services under this chapter.

18 ~~(g)(f)~~ To request renewal, a TPPPS registrant must submit to the Bureau, no later
19 than 120 calendar days prior to the expiration of the current TPPPS registration, a letter
20 requesting renewal, a copy of Appointment of Designated Agent, CGCC – 0XX (New
21 XX/19) and a processing fee of \$500~~Registration is non-transferable.~~

22 (h) The Bureau will notify the TPPPS registrant in writing within 20 working days of
23 receiving the renewal request, that the request or resubmitted request is complete and
24 accepted for filing, or that the request or resubmitted request is deficient. If a request for
25 a TPPPS registration is incomplete, the Bureau will request in writing any information
26 needed in order to complete the request. The TPPPS registrant will be permitted 30
27 calendar days in which to furnish the information. If the TPPPS registrant fails to

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1 respond to the request, the Bureau will be deemed abandoned and no further action will
2 be taken on it.

3 (i) Upon determination that a request for renewal of TPPPS registration is complete,
4 the request will be processed by the Bureau within 60 calendar days and the Executive
5 Director will either issue the TPPPS registration and badge applied for or will notify the
6 TPPPS registrant of denial and the grounds therefore under Section 12040.

7 (j) TPPPS registrants that have been summoned for licensure by the Bureau will be
8 automatically converted to temporary licenses at the expiration of the current TPPPS
9 registration.

10 (k) Except as provided for in this section, any person holding a TPPPS registration is
11 subject to requirements of an equivalent license (example, a TPPPS player registrant is
12 subject to all requirements of a TPPPS player license).

13 (l) This Section will be automatically repealed on [the first of the month two years
14 from the effective date of this regulation].

15 Note: Authority cited: Sections 19811, 19823, 19825, 19826, 19840, 19841, and 19984, Business
16 and Professions Code. Reference: Sections 19816 and 19951(a), Business and Professions Code.

17
18 **ARTICLE 4. INTERIM GAMBLING BUSINESS LICENSE~~CHANGE IN PLACE OF~~**
19 **~~EMPLOYMENT—WORK PERMIT TRANSFERS.~~**

20
21 **~~§ 12132. Processing Times for Application to Change Place of Employment.~~**

22
23 **~~§ 12132~~49. Definitions~~Interim Licenses for Continued Operation Following~~**
24 **~~Qualifying Events; Criteria; Processing Time; Conditions.~~**

25 (a) Except as otherwise provided in Section 12002, subsection (b) of Section 12100
26 and in subsection (b) of this section, the definitions in Business and Professions Code
27 section 19805 must govern the construction of this article.~~For the purposes of this~~
28 ~~section, the following definitions apply:~~

29 (b) As used in this chapter:

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 (1) “Applicant” means a new owner or individual in control of an ownership interest
2 of a cardroom business licensee~~gambling enterprise~~ or TPPPS business
3 licensee~~individual in control of an ownership interest~~, who submits an~~makes~~ application
4 to the Bureau for an interim gambling business license pursuant to Section
5 12136~~subsection (e)~~.

6 (2) “Interim gambling business license” means a license issued by the Commission
7 which permits the interim operation of a cardroom business licensee~~gambling enterprise~~
8 or TPPPS business licensee following a qualifying event, during which time the Bureau
9 processes and the Commission considers an application for a regular ~~gambling~~-license
10 from a new owner.

11 (3) “New owner” means an individual who is a trustee (other than a trustee in
12 bankruptcy), beneficiary, successor in interest, or security interest holder who becomes
13 an owner of, or obtains an ownership interest in a cardroom business licensee~~gambling~~
14 ~~enterprise~~ or TPPPS business licensee as a result of a qualifying event.

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

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1 (5) “Regular ~~gambling~~-license” means an initial gambling license or initial TPPPS
2 owner license, as appropriate, issued by the Commission pursuant to Section 1211~~342~~.

3 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853, ~~and~~
4 19870, and 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s),
5 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), and 19984, Business and Professions
6 Code.
7

8 § 12134. General Provisions.

9 (a)~~(b)~~ Subject to the provisions of the Act, this division and Title 11, Division 3, of
10 the California Code of Regulations, a cardroom business licensee~~gambling enterprise~~
11 may continue gambling operations or a TPPPS business license may continue to provide
12 third-party proposition player services following a qualifying event only if an owner or a
13 licensed person affiliated with the cardroom business licensee~~gambling enterprise~~ or
14 TPPPS business licensee has control of the gambling operations or the provision of third-
15 party proposition player services, as applicable, the Commission is notified of the
16 qualifying event within 10 calendar days of that event, and the new owner, or individual
17 in control of the ownership interest, submits a request for an interim gambling business
18 license to the Bureau as provided in Section 12136~~subsection (e)~~. Gambling operations
19 or the provision of third-party proposition player services, as applicable, must~~shall~~ be
20 immediately terminated if the Commission denies an applicant’s request for an interim
21 gambling business license, or approves an applicant’s request to withdraw that
22 application, and no other person has applied for or been granted an interim or regular
23 ~~gambling~~-license for that cardroom business licensee~~gambling enterprise~~ or TPPPS
24 business licensee.

25 (b)~~(e)~~ If, as a result of a qualifying event, a new owner intends to sell his or her
26 interest in the cardroom business licensee~~gambling enterprise~~ or TPPPS business
27 licensee without someone~~first~~ obtaining an interim or regular gambling business license,
28 he or she must~~shall~~ provide written notification to the Bureau of that intent within 30
29 calendar days of that qualifying event.

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1 (c)(h) If, during the term of an interim gambling business license, the
2 Bureau Executive Director determines obtains information indicating that the holder of
3 that license may be disqualified for any of the reasons set forth in Business and
4 Professions Code section 19859, or may have violated one or more of the conditions
5 under which the interim gambling business license was issued, the Bureau Executive
6 Director must ~~shall~~ notify ~~prepare~~ the Commission and the holder of the interim license ~~and~~
7 ~~serve on the license holder an order to show cause as to why the interim gambling license~~
8 ~~should not be cancelled.~~ The matter will be ~~holder of the interim gambling license shall~~
9 ~~be given 30 days to respond in writing. After receipt of the license holder's response, or~~
10 ~~if the license holder fails to respond within the specified time, the matter shall be~~ set for
11 Commission consideration at a non-evidentiary hearing meeting, which may be no sooner
12 than 45 calendar days after the Bureau's notice ~~d-Commission meeting.~~ The Bureau will
13 present the information related to its notice at the non-evidentiary hearing meeting. The
14 interim license holder may address the Commission by way of an oral or written
15 statement, or both, at the Commission meeting. ~~If~~ The Commission may ~~acts~~ to cancel
16 the interim gambling business license, ~~the license holder may request an evidentiary~~
17 ~~hearing, in writing, either at that meeting or within 10 calendar days following that~~
18 ~~meeting. Any evidentiary hearing shall be conducted in accordance with the applicable~~
19 ~~provisions of subsection (b) of Section 12050 of this division.~~

20 (d)(i) This section does ~~shall~~ not preclude the Commission from issuing temporary
21 licenses pursuant to Business and Professions Code section 19824, subdivision (f).

22 (e) Neither an applicant for an interim gambling business license nor the holder of an
23 interim gambling business license has the right to an evidentiary hearing in the event the
24 applicant is approved with conditions, denied or cancelled.

25 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853, and
26 19870, and 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s),
27 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), and 19984, Business and Professions
28 Code.

29

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§ 12136. Applications and Required Forms.

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

(1)(A) ~~A complete. All forms, fees, and deposits for a regular gambling license~~ application for a gambling business license pursuant to ~~required by~~ Sections ~~12341,~~ 121342, ~~and Title 11, CCR, Section 2037;~~

(2)(B) A signed written request for an interim gambling business license that describes the qualifying event and identifies the key employee licensee or TPPPS supervisor licensee, as appropriate, ~~person~~ who will control and oversee gambling operations or the provision of third-party proposition player services; and,

(3)(C) A copy of any document that evidences the succession to the owner-~~licensee's~~ interest in the cardroom business licensee ~~gambling enterprise or TPPPS business license,~~ which may include, as applicable, any of the following:

(A) ~~1-~~ In the case of the death of an owner-~~licensee~~, a copy of the death certificate; ~~or~~

(B) ~~2-~~ In the case of the incapacity of an owner-~~licensee~~, a copy of any document that evidences the owner-~~licensee's~~ incapacity and the appointment of a conservator; or,

(C) ~~3-~~ In the case of insolvency, foreclosure or receivership of a cardroom business license ~~gambling enterprise or TPPPS business license,~~ a copy of any pertinent agreement, note, mortgage, lease, deed of trust, and any document, notice or order that evidences the insolvency, foreclosure or receivership.

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

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1 (c) A signed written request for a renewal interim gambling business license may be
2 submitted 60 calendar days prior to the expiration of the interim gambling business
3 license if the Bureau has not yet submitted to the Commission its Bureau report for the
4 initial gambling business licenses and no temporary gambling license has been issued.

5 (d) If the required items of paragraph (a) are not submitted within the time period for
6 submission, the cardroom business licensee must immediately cease all gambling
7 operations or the TPPPS business licensee must immediately cease the provision of
8 proposition player services.

9 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853, ~~and~~
10 19870, and 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s),
11 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), and 19984, Business and Professions
12 Code.
13

14 § 12138. Criteria.

15 (a)~~(d)~~ A request for an interim gambling business license will~~shall~~ be ancillary to and
16 concurrent with an application for a regular ~~gambling~~-license. The application for a
17 regular ~~gambling~~-license will~~shall~~ be processed in accordance with Section 1211342.

18 The request for an interim gambling business license will~~shall~~ be processed as follows:

19 (1) The maximum time within which the Bureau may~~shall~~ notify the applicant in
20 writing that a request for an interim gambling business license is complete and accepted
21 for filing, or that a request is deficient and identifying what specific additional
22 information is required, is 10 calendar days after receipt of the request. If additional
23 information is required, the Bureau will~~shall~~ allow the applicant 10 calendar days to
24 submit the additional information. If the requested information is not supplied within 10
25 calendar days, the request for an interim gambling business license will~~shall~~ be
26 considered abandoned and no further action will~~shall~~ be taken on the request. A
27 cardroom business licensee~~gambling enterprise~~ or TPPPS business licensee must~~shall~~
28 immediately terminate gambling operations or the provision of third-party proposition
29 player services if a request for an interim gambling business license is abandoned by the
30 applicant and no other person has applied for or been granted an interim, temporary or

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1 regular ~~gambling~~ license for that cardroom business licensee~~gambling enterprise or~~
2 TPPPS business licensee.

3 (2) Once the Bureau determines that a request for an interim gambling business
4 license is complete, the matter will~~shall~~ be set for consideration at a noticed Commission
5 meeting. The Bureau will provide their review to the Commission no later than 40
6 calendar days after receipt of the request. Pursuant to the provisions of the Act and this
7 division, the Commission will~~shall~~ grant or deny the request for an interim gambling
8 business license within 60 calendar days after receipt of the request. A request for an
9 interim gambling business license will~~shall~~ be denied by the Commission if the applicant
10 is disqualified for any reason set forth in section 19859 of the Business and Professions
11 Code.

12 (b)~~(e)~~ All of the following criteria will~~shall~~ apply to a request for an interim
13 gambling business licensee:

14 (1) In the event a regular ~~gambling~~ license is issued to an applicant prior to action by
15 the Commission on any related request for an interim gambling business license, the
16 request for an interim gambling business license will~~shall~~ be ~~abandoned~~~~deemed~~
17 ~~withdrawn and no further action shall be taken on that request~~.

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

22 (2)~~(3)~~ Denial of a request for an interim gambling business license, or cancellation of
23 an interim gambling business license, will~~shall~~ not suspend or otherwise affect the
24 processing and review of the related application for a regular ~~gambling~~ license.

25 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853, ~~and~~
26 19870, ~~and~~ 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s),
27 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), ~~and~~ 19984, Business and Professions
28 Code.

29

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§ 12140. Conditions.

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

(a) Upon issuance or denial of a regular ~~gambling~~ license, any related interim gambling business license ~~will~~shall become invalid.

(b) The term of an interim gambling business license ~~will~~shall be determined by the Commission and ~~will~~shall be based in part on the time necessary to process and consider the application for a regular ~~gambling~~ license, but in no event will the term be longer than two years. The Commission may issue a renewal interim gambling business license if the application process has not been, or will not be, concluded by the expiration date of the interim gambling business license.

(c) Issuance of an interim gambling business license does not prejudice or obligate the Commission to grant a regular ~~gambling~~ license. Issuance of a regular gambling business license is subject to the results of a complete background investigation by the Bureau, the conduct of the applicant during the term of the interim gambling business license, and final approval of the Commission pursuant to Sections 1211~~34~~2 and ~~120~~3406.

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

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

(f) The holder of the interim gambling business license must maintain a key employee licensee or TPPPS supervisor licensee who will control and oversee gambling operations or the provision of third-party proposition player services at all times. The holder of an interim gambling business license ~~must~~shall provide the Bureau with the name of any newly-appointed key employee licensee or TPPPS supervisor licensee appointed pursuant to paragraph (2) of subsection (a) of Section 12136 within 30

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1 calendar-days following the appointment of that key employee licensee or TPPPS
2 supervisor licensee. Within 30 calendar-days of its occurrence, the holder of an interim
3 gambling business license ~~must~~shall also provide the Bureau with the name of any person
4 who provides any service or property to the cardroom business licensee~~gambling~~
5 ~~enterprise~~ or TPPPS business licensee under any arrangement whereby the person
6 receives payment based on the earnings, profits or receipts of the cardroom business
7 licensee~~gambling enterprise~~ or TPPPS business licensee.

8 (g)~~(7)~~ The holder of an interim gambling business license ~~must~~shall pay all
9 applicable annual fees associated with the licensee~~a regular gambling license~~.

10 (h)~~(8)~~ The holder of an interim gambling business license ~~must~~shall comply with the
11 provisions of the Act, this division and Title 11, Division 3, of the California Code of
12 Regulations.

13 (i)~~(9)~~ During the term of an interim gambling business license, any proceeds derived
14 from the operation of the gambling enterprise that would otherwise be payable to a new
15 owner ~~must~~shall be held in an escrow account and not disbursed until the disposition of
16 ownership interest has been resolved and received Commission approval and all
17 gambling business licensees~~owners of the gambling enterprise~~ have been approved by the
18 Commission for a regular ~~gambling~~-license pursuant to Section 12134~~2~~. This paragraph
19 ~~does~~shall not prevent the payment of any taxes, operating expenses, preexisting
20 obligations, preexisting depend~~e~~ant support or any other distribution of proceeds that is
21 approved by the Commission.

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

25 Note: Authority cited: Sections 19811, 19823, 19824, 19825, 19826, 19840, 19841, 19853, ~~and~~
26 19870, ~~and~~ 19984, Business and Professions Code. Reference: Sections 19816, 19824, 19841(s),
27 19850, 19851, 19855, 19857, 19859, 19869, ~~and~~ 19870(b), ~~and~~ 19984, Business and Professions
28 Code.

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ARTICLE 5. SURRENDER OR ABANDONMENT OF GAMBLING LICENSE~~Replacement Work Permit Badges.~~

~~§ 12140. Replacement Work Permit Badges.~~

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

§ ~~12142~~³⁴⁷. Cardroom Business License~~State Gambling License~~; Surrender; Abandonment.

(a) An cardroom business owner~~owner~~-licensee may propose to surrender their cardroom business~~a state gambling~~ license at any time prior to expiration. In order to propose the surrender of a cardroom business license, the cardroom business owner~~owner~~-licensee must submit a written request to the Commission, with a copy to the Bureau. A proposed surrender ~~will~~^{shall} be agendized for consideration at the next available Commission meeting. Each proposed surrender ~~will~~^{shall} be considered on its merits by the Commission. A proposed surrender is not effective unless and until the surrender is accepted by the Commission. A proposed surrender may be rejected if the Commission determines that acceptance would not be in the public interest, for example, if the cardroom business owner~~owner~~ licensee is currently under investigation or if disciplinary action has been initiated.

(b) A cardroom business~~state gambling~~ license that has been surrendered or abandoned after the effective date of this section is subject to the following:

(1) The license cannot be reactivated, reinstated, reissued, or renewed.

(2) The cardroom business licensee~~gambling enterprise~~ associated with that cardroom business license is no longer eligible to conduct any gambling operation under that license.

(3) Business and Professions Code section 19963 precludes that gambling establishment~~cardroom~~ from being reopened in that jurisdiction or in any other jurisdiction.

Note: Authority cited: Sections 19811, 19824, 19840, and 19841, Business and Professions Code. Reference: Sections 19823, 19851, 19876, 19877, and 19963, Business and Professions Code.

Additions shown in underline; deletions shown in ~~strikeout~~.

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§ ~~121348~~4. Cardroom Business License~~State Gambling Licenses~~: **Prior Surrender or Abandonment.**

(a) A cardroom business ~~state gambling~~ license that was valid as of December 31, 1999, or that was issued pursuant to an application on file with the department prior to September 1, 2000, and that was surrendered or expired without being renewed prior to the effective date of this section, will~~shall~~ be eligible for reinstatement in accordance with the following guidelines:

(1) The applicant seeking to reinstate the license must be the last holder of the license that he or she is seeking to reinstate.

(2) The applicant must~~shall~~ notify the Commission, in writing, within 30 calendar days of the effective date of this section of the intent to apply for reinstatement of the license.

(3) The applicant must~~shall~~ submit a complete application~~all applicable forms~~ for an initial cardroom business license~~application required~~ pursuant to Section ~~1211342~~4, ~~all fees and deposits required for an initial application required by Section 12341 and Title 11, California Code of Regulations, Section 2037~~, and all documentation required by subsection (b) within 12 months of the effective date of this section.

(b) The following documentation is~~shall be~~ required of any applicant applying to reinstate a cardroom business ~~state gambling~~ license under this section:

(1) A copy of the last license issued by the state, or other documentation satisfactory to the Commission, authorizing the applicant to operate the gambling establishment, which may include either a provisional license or a cardroom business ~~state gambling~~ license. For a corporation or partnership, the applicant must also demonstrate that it is the same entity as was previously licensed to operate the gambling establishment.

(2) A written document addressing the circumstances under which the previous license was surrendered, abandoned, or allowed to expire without being renewed, as well as the applicant’s prior efforts, if any, to have the license renewed.

(3) A copy of the current applicable local gambling ordinance.

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1 (4) An opinion from the chief legal officer of the local jurisdiction, dated no earlier
2 than the effective date of this section, certifying that the reopening of the gambling
3 establishment is authorized by and consistent with the local gambling ordinance.

4 (5) A copy of a formal resolution or other evidence satisfactory to the Commission,
5 adopted by the applicable city council, board of supervisors, or other local governing
6 authority, dated no earlier than the effective date of this section, which clearly states a
7 willingness to issue a local license to the applicant, contingent upon issuance of a state
8 license.

9 (6) A statement signed by the chief law enforcement officer of the local jurisdiction,
10 dated no earlier than the effective date of this section, confirming that he or she supports
11 the reopening of the gambling establishment.

12 (7) An economic feasibility study that demonstrates to the satisfaction of the
13 Commission that the proposed gambling establishment will be economically viable, and
14 that the owners have sufficient resources to make the gambling establishment successful
15 and to fully comply with all requirements of the local ordinance, the Act, applicable state
16 regulations, and all local, state, and federal tax laws.

17 (c) In making the determination to grant or deny a request to reactivate a license
18 pursuant to this section, the Commission must~~shall~~ consider, but is not limited to
19 considering, the following:

20 (1) Generally, whether issuance of the license is inimical to public health, safety, or
21 welfare, and whether issuance of the license will undermine public trust that the gambling
22 operations with respect to which the license would be issued are free from criminal and
23 dishonest elements and would be conducted honestly.

24 (2) The circumstances under which the previous license was surrendered, abandoned,
25 or allowed to expire without being renewed. Among other things, the Commission may
26 consider, in its discretion, any or all of the following:

27 (A) The presence or absence of any extenuating circumstances.

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1 (B) Information which indicates an attempt to avoid adverse action arising from
2 potential misconduct as a licensee.

3 (C) A voluntary decision to relinquish the prior license.

4 (D) The applicant's prior efforts, if any, to have the license reissued or reactivated.

5 (3) In the case of a corporation or partnership, changes in the legal status or
6 composition of the licensed entity

7 (4) The potential impact a reopened gambling establishment may have on the
8 incidence of problem gambling.

9 (5) The potential impact on the local economy, including revenues to the local
10 jurisdiction and the number of jobs that may be created.

11 (6) The economic impact on cardrooms located within a 20 statute mile radius.

12 (d) The gambling establishment to be reopened must be located in the same local
13 jurisdiction in which it was previously licensed.

14 (e) No temporary licenses may~~shall~~ be issued to any applicant under this section.

15 (f) A cardroom business~~gambling~~ license meeting the qualifications of subsection (a)
16 must~~shall~~ be considered abandoned if the time limits imposed by paragraphs (2) and (3)
17 of subsection (a) are not met. An abandoned license will~~shall~~ be subject to the provisions
18 of subsection (b) of Section 12142~~347~~.

19 Note: Authority cited: Sections 19800, 19811, 19824, 19840, 19841, and 19963, Business and
20 Professions Code. Reference: Sections 19811, 19823, 19824, 19851, 19856, 19860, 19862,
21 19864, 19865, 19873, 19876, 19960, and 19963, Business and Professions Code.

22

23 ~~Chapter 2.1. Third-Party PROVIDERS OF Proposition Player Services:~~

24 ~~REGISTRATION; LICENSING.~~

25 ~~ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.~~

26

27 ~~§ 12200. Definitions.~~

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

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 (b) ~~As used in this chapter:~~

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

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

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

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

15 (5) ~~[RESERVED]~~

16 (6) ~~[RESERVED]~~

17 (7) ~~[RESERVED]~~

18 (8) ~~[RESERVED]~~

19 (9) ~~[RESERVED]~~

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

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

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

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

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

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

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

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

16 ~~(11) [RESERVED]~~

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

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

21 ~~1. Primary owner;~~

22 ~~2. Owner;~~

23 ~~3. Supervisor, and~~

24 ~~4. Player.~~

25 ~~(B) All “other employees” (as defined in this section) must be required to submit an~~
26 ~~application and be approved or denied 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~~
2 ~~player, and the holder of a supervisor’s license may also perform the functions of a~~
3 ~~player.~~

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

7 ~~(13) “Licensee” means a person having a valid license.~~

8 ~~(14) “Organization chart” means a chart that identifies the names and titles of all~~
9 ~~owners, as defined in Section 12200, supervisors, and any persons having significant~~
10 ~~influence over the operation of the entity or provision of proposition player services; the~~
11 ~~percentage of ownership, if any, held by each identified individual or entity; the reporting~~
12 ~~relationship for each identified individual or entity; and the job title and number of~~
13 ~~persons in each of the job titles that report to each individual or entity identified on the~~
14 ~~organization chart.~~

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

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

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

27 ~~(B) Any individual specified in Business and Professions Code section 19852,~~
28 ~~subdivisions (a) through (i), and~~

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1 ~~(C) Any funding source.~~

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

4 ~~(18) “Proposition player” or “player” means an individual other than an owner or a~~
5 ~~supervisor who provides third party proposition player services in a controlled game.~~

6 ~~(19) “Proposition player contract” or “contract” means a written contract, the terms~~
7 ~~of which have been reviewed and approved by the Bureau, between the holder of a state~~
8 ~~gambling license and a primary owner acting as an independent contractor for the~~
9 ~~provision of third party proposition player services in the gambling establishment.~~

10 ~~(20) “Rebate” means a partial return by an authorized proposition player of chips or~~
11 ~~money to a patron who has lost the chips or money to the authorized player through play~~
12 ~~in a controlled game at a gambling establishment.~~

13 ~~(21) “Registrant” means a person having a valid registration.~~

14 ~~(22) “Registration” means a registration issued by the Commission pursuant to this~~
15 ~~chapter.~~

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

18 ~~(B) All other employees of the primary owner who are present in the gambling~~
19 ~~establishment during the provision of proposition player services under the primary~~
20 ~~owner’s proposition player contract shall be registered as “other employee” and shall be~~
21 ~~required to submit an application, which application shall be approved or denied based~~
22 ~~upon the same criteria that apply to a player.~~

23 ~~(C) A primary owner and an owner may also perform the functions of a supervisor or~~
24 ~~player, and the holder of a supervisor’s registration may also perform the functions of a~~
25 ~~player. No registrant, other than an owner, supervisor, or player, may possess, direct, or~~
26 ~~otherwise control currency, chips, or other wagering instruments used for play in the~~
27 ~~performance of a proposition player contract.~~

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1 ~~(23) “Reinstatement Badge” means a badge provided to a player, a supervisor, or an~~
2 ~~“other employee” pursuant to Section 12200.6 which authorizes an individual registrant~~
3 ~~or licensee who has ceased to be employed by a primary owner to return to work for that~~
4 ~~primary owner.~~

5 ~~(24) “Supervisor” means an individual who, in addition to any supervisory~~
6 ~~responsibilities, has authority, on behalf of the primary owner, to provide or direct the~~
7 ~~distribution of currency, chips, or other wagering instruments to proposition players~~
8 ~~engaged in the provision of third party proposition player services in a gambling~~
9 ~~establishment.~~

10 ~~(25) “Supplemental information package” means all of the documentation and~~
11 ~~deposits required by each of the following forms, which are hereby incorporated by~~
12 ~~reference, to be submitted to the Bureau in response to a summons issued by the Bureau~~
13 ~~pursuant to Section 12205.1:~~

14 ~~(A) Owners, as defined in Section 12200, that are a natural person shall complete the~~
15 ~~form Level III Supplemental Information Individual (BGC APP 034A (Rev. 07/17)) for~~
16 ~~a level III investigation.~~

17 ~~(B) Owners, as defined in Section 12200, that are not a natural person shall complete~~
18 ~~the form Level III Supplemental Information Business (BGC APP 034B (Rev. 07/17))~~
19 ~~for a level III investigation.~~

20 ~~(C) Supervisors, as defined in Section 12200, shall complete the form Level II~~
21 ~~Supplemental Information (BGC APP 033 (Rev. 07/17)) for a level II investigation.~~

22 ~~(D) Other employees and players, as defined in Section 12200, shall complete the~~
23 ~~form Level I Supplemental Information (BGC APP 032 (Rev. 07/17)) for a level I~~
24 ~~investigation.~~

25 ~~(26) “Third party proposition player services” or “proposition player services” means~~
26 ~~services provided in and to the house under any written, oral, or implied agreement with~~
27 ~~the house, which services include play as a participant in any controlled game that has a~~
28 ~~rotating player dealer position as permitted by Penal Code section 330.11. “Proposition~~

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1 player services” also includes the services of any supervisors, as specified in paragraph
2 ~~(26) of this subsection.~~

3 ~~(27) “TPP” means “third party proposition.” This abbreviation is used in Section~~
4 ~~12200.3 and in prescribing titles to be used on registrant and licensee badges, for~~
5 ~~example, “TPP Player Registrant.”~~

6 ~~(28) “Transfer Badge” means a badge provided pursuant Section 12200.6 which~~
7 ~~authorizes an individual registrant or licensee to work for a subsequent primary owner~~
8 ~~after having ceased to work for an initial primary owner.~~

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

11 ~~§ 12200.3. Badge.~~

12 ~~§ 12200.5. Replacement of Badge.~~

13 ~~§ 12200.6. Transfer or Reinstatement of Player Registration or License;~~ 14 ~~Issuance of Additional Badge.~~

15 ~~§ 12200.10C. Submission of Contract or Amendment to Commission.~~

16 ~~(a) As soon as is practicable after determining that any application for approval of a~~
17 ~~proposition player contract or amendment is complete and that the contract or amendment~~
18 ~~appears to qualify for approval, but in no event more than 75 days from receipt of the~~
19 ~~application package, the Bureau shall submit the contract or amendment to the Executive~~
20 ~~Director for review and comment. The Executive Director shall provide the Bureau with~~
21 ~~comments, if any, within 15 days of receipt of the contract or amendment. This~~
22 ~~paragraph does not apply to expedited approval under Section 12200.10A.~~

23 ~~(b) A copy of the Bureau’s notice of approval or disapproval of a proposition player~~
24 ~~contract or amendment thereto shall be sent to the Commission.~~

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

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1 ~~§ 12200.14. Organization Chart and Employee Report.~~
2

3 ~~§ 12200.18. Revocation.~~
4

~~ARTICLE 2. REGISTRATION.~~

6
7 ~~§ 12202. Application for Registration.~~
8

9 ~~§ 12203. Processing of Applications for Initial Registration.~~
10

11 ~~§ 12203A. Processing of Applications for Renewal of Registration.~~
12

13 ~~§ 12203.1. Temporary Player Registration.~~
14

15 ~~§ 12203.2. Temporary Player Registration: Application; Criteria.~~
16

17 ~~§ 12203.3. Processing Times for Temporary Player Registration.~~
18

19 ~~§ 12203.5. Cancellation of Temporary Registration.~~
20

21 ~~§ 12204. Ineligibility for Registration.~~
22

23 ~~§ 12205. Cancellation of Regular Registration.~~
24

25 ~~§ 12205.1. Transition to Licensing.~~
26

~~ARTICLE 3. LICENSING.~~

27
28
29 ~~§ 12218. Request to Convert Registration to License.~~
30

31 ~~§ 12218.1. Subsequent Registrants.~~
32

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1 ~~§ 12218.7. Processing Times—Request to Convert Registration to License.~~

3 ~~§ 12218.8. License Renewals.~~

5 ~~§ 12218.9. Processing of Applications for Renewal License.~~

7 ~~§ 12218.11. Ineligibility for Licensing.~~

9 ~~§ 12218.13. Term of License.~~

11 ~~CHAPTER 2.2. GAMBLING BUSINESSES: REGISTRATION; LICENSING.~~

12 Note: The entire chapter is proposed to be repealed. Due to its size (30+ pages),
13 it has not been included in this document.

15 CHAPTER 3. CONDITIONS OF OPERATION FOR TPPPS BUSINESSES~~Providers of~~ 16 ~~Proposition Player Services AND GAMBLING BUSINESSES.~~

18 ARTICLE 1. GENERAL PROVISIONS.

20 § 12250. Definitions.

21 (a) Except as otherwise provided in Section 12002 and in subsection (b) of this
22 section, the definitions in Business and Professions Code section 19805, ~~and Sections~~
23 ~~12002, 12200, and 12220 of this division~~, must governs the construction of this chapter.

24 (b) ...

25 ...

26 (2) “Authorized player” means an individual associated with a particular TPPPS
27 business license who is authorized to play in a controlled game on behalf of the TPPPS
28 business license. All TPPPS supervisor licensees and TPPPS player licensees must be
29 authorized players. A TPPPS owner licensee, if a natural person, may be an authorized
30 player.

31 (3)(2) ...

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 ~~(4)~~(3) ...

2 ~~(5)~~(4) ...

3 ~~(6)~~(5) ...

4 ~~(7)~~(6) ...

5 ~~(8)~~(7) ...

6 ~~(9)~~(8) ...

7 ~~(10)~~(9) ...

8 ~~(11)~~(10) “Playing Book” means a record documenting each session of play by a

9 TPPPS~~third party proposition~~ player licensee~~or by a gambling business individual~~
10 ~~player~~.

11 ~~(12)~~(11) ...

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

15 ~~(14)~~(12) “Session of play” as used in Section 12260 means the time period when a
16 TPPPS business licensee~~company or gambling business~~ operates a TPPPS player licensee
17 at a gaming table before the gaming table closes; however, provided that in no event may
18 a time period be longer than 24 consecutive hours.

19 ~~(15)~~(13) ...

20 ~~(16)~~(14) ...

21 ~~(17)~~(15) ...

22 Note: Authority cited: Sections 19840, 19841, 19853, and 19984, Business and Professions
23 Code. Reference: Sections 19805, 19841, 19853, and 19984, Business and Professions Code.
24

25 § ~~1225~~1220.20. TPPPS Annual Fee.

26 (a) No later than September 1 of each year, each TPPPS business licensee~~registered~~
27 ~~or licensed primary owner~~ must~~shall~~ submit to the Bureau the annual fee set forth in
28 subsection ~~(b)~~(e) of this section, based on the total number of TPPPS endorsee licensees
29 and TPPPS employee licensees~~registrations or licenses~~ affiliated with the TPPPS
30 business licensee~~primary owner~~ on the immediately preceding August 1. ~~The payment~~

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1 due September 1 of each year shall be based on the total number of registrations or
2 licenses affiliated with the primary owner on August 1 that same year.

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

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

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

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

17 (3) ~~Beginning September 1, 2006, and thereafter, e~~Each TPPPS business
18 licensee primary owner must shall pay the annual sum of two thousand eight hundred
19 dollars (\$2800) for each TPPPS endorsee licensee and each TPPPS employee licensee~~per~~
20 ~~registrant or licensee, less any applicable credit that may apply from paragraph (1) of this~~
21 ~~subsection.~~

22 (c)(d)(1) The annual fee ~~for each registered primary owner~~ may be paid in
23 installments. The TPPPS business licensee primary owner must submit a written request
24 to the Bureau to make installment payments prior to August 1 of that same year. Upon
25 approval by the Bureau, installment payments ~~submitted prior to licensure~~ must shall be
26 made as follows: one-third of the annual fee to be submitted no later than September 1,
27 one-third no later than December 1, and the balance no later than March 1.

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1 ~~(2) The annual fee for each licensed primary owner may be paid in installments. The~~
2 ~~primary owner must submit a written request to the Bureau to make installment payments~~
3 ~~120 days prior to the expiration of the license. Upon approval by the Bureau, installment~~
4 ~~payments submitted after conversion to licensure shall be made as follows: one third of~~
5 ~~the annual fee to be submitted prior to issuance of the license, one third to be submitted~~
6 ~~three months thereafter, and one third to be submitted six (6) months thereafter.~~

7 ~~(d)(e)~~ Refunds ~~will~~shall not be available in the event of a subsequent decrease in the
8 number of TPPPS endorsee licensees or TPPPS employee licensees~~registrants or~~
9 ~~licensees~~ upon which the annual fee payment was based.

10 ~~(e)(f)~~(1) Following assessment of the annual fee, if the TPPPS business
11 ~~license~~primary owner increases the number of its TPPPS endorsee licensees and TPPPS
12 ~~employee licensees~~registrants or licensees above the number upon which the annual fee
13 assessment was based, the TPPPS business license~~primary owner~~ ~~must~~shall submit to the
14 Bureau ~~both the required application fee for the additional registrants or licensees, and~~
15 the additional per player annual fee set forth in subsection (b) within 30 calendar days of
16 employment or transfer of ownership.~~(e) of this section. No new badges shall be issued~~
17 ~~until the Bureau has received all fees required by this subsection.~~

18 (2) Upon the first issuance of a TPPPS business license, be it either a temporary
19 TPPPS business license or an initial TPPPS business license, the TPPPS business
20 licensee must~~shall~~ submit to the Bureau the annual fee appropriate for its TPPPS
21 endorsee licensees and any TPPPS employee licensees. The TPPPS certificate will~~shall~~
22 not be issued until the Bureau has received the annual fees or is approved for installment
23 payments.

24 (3)~~(2)~~ Annual fees due under this subsection ~~will~~shall be prorated on a monthly basis.

25 (4)~~(3)~~ Annual fees due under this subsection may be paid in installments, on the
26 conditions that the installment payment request is submitted in writing, that one-third of
27 the fees are paid upon submission of the installment request~~with the application for~~
28 ~~additional registrants or licensees~~, and that two subsequent equal payments are paid at

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1 reasonable intervals prior to expiration of the applicable term, subject to the approval of
2 the Bureau.

3 ~~(f)(g)~~ Any~~No~~ renewal application for the TPPPS business license will~~shall not~~ be
4 approved by the Commission until any delinquent annual fees have been paid in full.

5 ~~(g)(h)~~ No application for a contract ~~extension may~~shall be approved by the Bureau
6 until any delinquent annual fees have been paid in full.

7 Note: Authority cited: Sections 19823, 19824, 19826, 19840, 19841, and 19984, Business and
8 Professions Code. Reference: Sections 19841 and 19984, Business and Professions Code.

9 10 § 1225400.17. **Emergency Orders.**

11 TPPPS licensees~~Registrants and licensees under this chapter will~~shall be subject to
12 emergency orders under Business and Professions Code section 19931.

13 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code.
14 Reference: Sections 19931 and 19984, Business and Professions Code.

15 16 § 1225600.15. **Transfers and Sales.**

17 (a) If any ~~registered or licensed~~TPPPS owner licensee wishes to sell in whole or in
18 part any ownership interest to any ~~unregistered or~~ unlicensed person, the TPPPS owner
19 licensee must first notify the Commission in writing to request approval of the
20 transaction. The transferee must apply for and be approved as a TPPPS owner~~registrant~~
21 ~~or~~ licensee. Evidence of the transferor's agreement to transfer the interest and, if
22 applicable, the proposed articles of incorporation, must~~shall~~ accompany the application
23 for ~~registration or~~ licensing.

24 (b) The effective date of the sale must~~shall~~ be at least 90 calendar days after receipt
25 of the application for a TPPPS owner~~registration or~~ license, or such other shorter time
26 period as will~~shall~~ be set by the Executive Director with the agreement of the applicant.

27 (c) Evidence of the final execution of a transfer or sale of an interest to a ~~registered or~~
28 licensed person must~~shall~~ be submitted in writing to the Commission within ~~ten (10)~~
29 calendar-days of the final transaction.

30 (d) The TPPPS business licensee must notify the Bureau in writing within ten
31 calendar-days of any change to its ownership structure.

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

4 ARTICLE 2. PLAYING BOOKS

6 § 12260. General Provisions.

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

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

19 (c) The information in a playing book record must be transferred to the TPPPS
20 business licensee ~~primary owner~~, or a TPPPS supervisor licensee designated by the
21 TPPPS business licensee ~~primary owner~~, at the end of each session of play.

22 ...

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

28 (g) ...

29 ...

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1 (4) The beginning and ending balances of the session of play and for each authorized
2 player that operated during the session of play;

3 ...

4 (7) The printed full name and badge number of each authorized player, including
5 TPPPS owners ~~licensees~~ and TPPPS supervisors ~~licensees~~, when acting as TPPPS players
6 ~~licensees~~;

7 (8) The table number assigned by the cardroom business licensee ~~gambling enterprise~~;

8 ...

9 (10) The name of the TPPPS business licensee ~~company or gambling business~~;

10 ...

11 (12) The signature of the authorized player whose activity has been recorded and the
12 signature of a TPPPS supervisor licensee. Each signature must include a declaration
13 regarding that authorized player’s activities in the following form: “I declare under
14 penalty of perjury under the laws of the State of California that the foregoing is true and
15 correct.”; and,

16 ...

17 (h) If a TPPPS supervisor licensee is not present to sign, the funds must be deposited
18 into a TPPPS business licensee ~~company~~ player’s bank within the gambling
19 establishment; and, a cage receipt must be obtained and substituted for that signature.

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

25 (j) All IT technicians employed by or contracting with a TPPPS business licensee
26 must be registered or licensed as “TPPPS other employees” pursuant to Chapter 2.1 ~~or~~
27 ~~2.2, as applicable~~, regardless if they are present in the gambling establishment or not.
28 This requirement applies to any subcontractor, independent contractor, or employee

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1 thereof who is authorized to perform IT technician duties as defined in paragraph (7) of
2 subsection (b) of Section 12250.

3 (k) ...

4 (1) Name of the TPPPS business licensee~~company or gambling business~~.

5 ...

6 (9) TPPPS Llicensee name, phone number, and email address.

7 ...

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

10

11 § 12261. Review of Playing Book Forms.

12 ...

13 (c) The Bureau must notify the applicant in writing that an application or a
14 resubmitted application for an initial or amended hardcopy playing book form is
15 complete and accepted for filing; or, is deficient and what is necessary to correct any
16 deficiencies within 10 working days after the receipt of the application. The Bureau must
17 review and approve or disapprove an initial or amended playing book form within 30
18 calendar days of receiving a completed application. Written notices regarding this review
19 must be sent to the TPPPS business licensee~~primary owner~~ or the designated agent.

20 (d) If a change is non-substantive, for example, the addition of a Bureau-approved
21 controlled game, or a change in formatting, font, spacing, or other cosmetic change, the
22 TPPPS business licensee~~primary owner~~ must submit a notice and copy of the revised
23 form to the Bureau to update the Bureau's records. This notice will be deemed accepted
24 unless otherwise notified in writing by the Bureau within 30 calendar days of receiving
25 the notice. The Bureau may determine the change is substantive and require the TPPPS
26 business licensee~~primary owner~~ to request approval pursuant to subsection (b).

27 (e) An approved playing book form may be used at any gambling establishment
28 where the TPPPS business licensee~~company or gambling business~~ operates.

29 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code.
30 Reference: Sections 19826, 19841, and 19984, Business and Professions Code.

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§ 12263. Electronic Playing Book Database Requirements.

(a) ...

...

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

(b) ...

...

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

...

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

§ 12264. Review and Certification of Electronic Playing Book Systems.

(a) Each electronic playing book system requires prior review and approval by the Bureau. To request review of the electronic playing book system, the form Application for Playing Book Approval, CGCC-XXBGC-APP-036 (~~New XX/19~~Rev. 1/18), referenced in subsection (b) of Section 12261, must be completed and submitted to the Bureau along with the following:

...

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

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ARTICLE 3. TPPPS Contracts~~(Reserved)~~

§ ~~12200.70.~~ TPPPS Proposition Player Contract Criteria.

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

(b) Each TPPPS~~proposition player~~ contract will specifically require all of the following to be separately set forth at the beginning of the contract in the following order:

...

(2) The effective dates of the TPPPS contract; expiration date ~~must~~shall be the last day of the month.

...

(5) That no more than one ~~owner, supervisor, or~~ authorized player from each TPPPS business licensee~~provider of proposition player service~~ ~~may~~shall simultaneously play at a table.

...

(7) A detailed description of the location, applicable security measures, and purpose of any currency, chips, or other wagering instruments that will be stored, maintained, or kept within the gambling establishment by or on behalf of the TPPPS business licensee~~primary owner~~.

(8) That proposition player services ~~must~~shall be provided in the gambling establishment only in compliance with laws and regulations pertaining to controlled gambling.

(9) That proposition player services may be provided only by authorized players with current ~~registration or~~ licensing under this chapter.

(10) That the TPPPS business licensee~~primary owner~~ ~~must~~shall provide the cardroom business licensee~~gambling establishment~~ with a copy of its ~~registration or~~ TPPPS license certificate, and that the cardroom business licensee~~gambling establishment~~ ~~must~~shall

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1 maintain the TPPPS certificate on file, together with a copy of the TPPPS~~proposition~~
2 ~~player~~ contract applying to that establishment.

3 (11) That an authorized player~~registrant or licensee~~ may not provide proposition
4 player services in a gambling establishment where he or she~~for which the registrant~~ holds
5 a state-gambling license, or is operating with a gambling enterprise employee license~~key~~
6 ~~employee license, or work permit.~~

7 (12) That collection fees charged by the cardroom business licensee~~house~~ for
8 participation in any controlled game must~~shall~~ be the same as those charged to other
9 participants assuming the player dealer position during the play of the game.

10 (13) Any agreement between the TPPPS business licensee~~primary owner~~ and the
11 cardroom business licensee~~house~~ for TPPPS business licensees~~owners~~ or TPPPS
12 supervisors licensees to inspect or receive a copy of surveillance recordings of tables at
13 which proposition player services are provided under the TPPPS contract during the
14 times the services are provided, as necessary for business purposes.

15 (14) A full disclosure of any financial arrangements entered into during the term of
16 the TPPPS contract for any purpose between the cardroom business licensee~~house~~ and
17 any ~~registrant or~~ licensee covered by the TPPPS~~proposition player~~ contract. If there is no
18 financial consideration that passes under the TPPPS contract, a statement to that effect
19 must~~shall~~ be included.

20 (15) That any legal dispute between the TPPPS business licensee~~primary owner~~ and
21 the cardroom business licensee~~house~~, including any exclusion of a ~~registered or~~ licensed
22 TPPPS licensee~~owner, player, or supervisor~~ covered by the contract with the cardroom
23 business licensee~~house~~ must~~shall~~ be reported in writing within ten ~~(10)~~-calendar days by
24 the TPPPS business licensee~~primary owner~~ and the cardroom business licensee~~house~~ to
25 both the Commission and the Bureau.

26 (16) That the TPPPS business licensee~~primary owner~~ and the cardroom business
27 licensee~~house~~ must~~shall~~ report in writing within ten ~~(10)~~-calendar days to both the
28 Commission and the Bureau the identity of any temporary TPPPS licensee~~registrant~~

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1 whose activities are covered by the TPPPS~~proposition player~~ contract and who is arrested
2 in the gambling establishment by a peace officer, who is removed from the gambling
3 establishment by a peace officer or the cardroom business licensee~~house~~, or who is
4 involved in a patron dispute regarding his or her activities in the gambling establishment
5 that is the subject of a report to a peace officer and that results in removal of one or more
6 individuals.

7 (17) That any cheating reported to the cardroom business licensee~~house~~ by a
8 ~~registrant or~~ licensee must~~shall~~ be reported in writing within five (~~5~~) days of the incident
9 by the TPPPS business licensee~~primary owner~~ and the cardroom business licensee~~house~~
10 to the Commission and Bureau.

11 (18) That the criteria for granting any rebates by authorized~~proposition~~ players to
12 patrons be fully disclosed in the TPPPS contract; and that neither the cardroom business
13 licensee~~house~~ nor any gambling enterprise employee licensee~~employee of the house~~
14 may~~shall~~ have any role in rebates. If there are no criteria for granting rebates, a statement
15 to that effect must~~shall~~ be included.

16 (19) That any tipping arrangements must~~shall~~ be specified in the TPPPS contract and
17 that percentage tips may~~shall~~ not be given. If there are no tipping arrangements, a
18 statement to that effect must~~shall~~ be included.

19 (20) That the TPPPS business licensee~~primary owner~~ may reimburse the cardroom
20 business licensee~~house~~ in specified amounts for equipment such as surveillance cameras
21 and monitors, or cards, shuffling machines, and dice. Neither the TPPPS business
22 licensee~~primary owner~~ nor its gambling enterprise employee licensees~~employees~~
23 may~~shall~~ purchase, lease, or control such equipment. If there is no arrangement to
24 reimburse the cardroom business licensee~~house~~ for equipment, a statement to that effect
25 must~~shall~~ be included.

26 (21) That the contract is a complete expression of all agreements and financial
27 arrangements between the parties; that any addition to or modification of the contract,
28 including any supplementary written or oral agreements, must be approved in advance by

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1 the Bureau pursuant to Section 1227600.10B (~~Review and Approval of Amendments to~~
2 ~~Proposition Player Contracts~~) before the addition or modification takes effect.

3 (c)(1) Except as expressly authorized by this subsection, a ~~TPPPS proposition player~~
4 contract ~~may shall~~ not include any provision authorizing payment to or receipt by the
5 ~~cardroom business licensee~~house, or a designee thereof, of any share of the profits or
6 revenues of ~~the TPPPS business licensee~~a registrant or a licensee. Any payments made
7 by a ~~registrant or~~ licensee to the ~~cardroom business licensee~~house for a purpose
8 determined by agreement with the ~~cardroom business licensee~~house ~~must shall~~ be
9 specifically authorized by the ~~TPPPS proposition player~~ contract. All payments ~~must shall~~
10 be specified in the ~~TPPPS~~ contract. The ~~TPPPS~~ contract ~~must shall~~ identify the total
11 charge for each of the following categories: services, facilities, and advertising. In
12 addition, the ~~TPPPS~~ contract ~~must shall~~ include a detailed list, excluding specific costs, of
13 the items provided or received in each of these categories.

14 (2) In no event may a ~~TPPPS proposition player~~ contract provide for any payment
15 based on a percentage or fraction of the ~~TPPPS business~~ ~~registrant's or~~ licensee's gross
16 profits or wagers made or the number of players. All payments ~~must shall~~ be fixed and
17 ~~may shall~~ only be made for services and facilities requested by, and provided to, the
18 ~~cardroom business~~registrant or licensee, and for a reasonable share of the cost of
19 advertising with respect to gaming at the gambling establishment in which the ~~TPPPS~~
20 ~~business licensee~~registered or licensed owner participates.

21 (3) No contract provision ~~may shall~~ authorize any payments for services or facilities
22 that are substantially disproportionate to the value of the services or facilities provided.
23 No ~~TPPPS~~ contract ~~may shall~~ include any charge, direct or indirect, for the value of an
24 exclusive right to conduct proposition play within all or a portion of the ~~cardroom~~
25 ~~business licensee~~gambling establishment. No payment other than the collection fee for
26 play, ~~may shall~~ be required for play at any table, including, without limitation, reservation
27 of a seat.

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1 (d) The TPPPS~~proposition player~~ contract ~~may~~shall not contain any provision that
2 limits contact with officials or employees of the Commission or Bureau. The
3 TPPPS~~proposition player~~ contract ~~must~~shall prohibit an TPPPS owner licensee ~~and~~ the
4 cardroom business licensee~~house~~ from retaliating against any ~~registrant or~~ licensee on
5 account of contact with an official or employee of the Commission or Bureau or any
6 other public official or agency.

7 (e) A TPPPS~~proposition player~~ contract ~~must~~shall be consistent with the provisions
8 of Business and Professions Code section 19984, subdivision (a), prohibiting a gambling
9 establishment or the cardroom business licensee~~house~~ from having any interest, whether
10 direct or indirect, in funds wagered, lost, or won. No TPPPS~~proposition player~~ contract
11 ~~may~~shall be approved that would permit the cardroom business licensee~~house~~ to bank
12 any game in the gambling establishment.

13 (f) Each TPPPS~~proposition player~~ contract approved by the Bureau ~~must~~shall contain
14 a provision authorizing the Commission, after a noticed meeting~~receiving the findings~~
15 ~~and recommendation of the Bureau~~, to terminate the TPPPS contract for any material
16 violation of any term required by this section.

17 (g) A TPPPS ~~company~~primary owner may contract with more than one cardroom
18 business licensee~~gambling establishment~~ at the same time; a cardroom business
19 licensee~~gambling establishment~~ may contract with more than one TPPPS business
20 licensee~~primary owner~~ at the same time. This subsection is not intended to prohibit a
21 TPPPS contract in which a cardroom business licensee~~gambling establishment~~ and a
22 TPPPS business licensee~~primary owner~~ agree that one TPPPS business licensee~~primary~~
23 ~~owner~~ will~~shall~~ be the exclusive provider of proposition player services to that cardroom
24 business licensee~~gambling establishment~~.

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

28 § 1227200.9. Review and Approval of TPPPS~~Proposition Player~~ Contracts.

29 (a)(1) Proposition player services must not be provided except pursuant to a written
30 TPPPS~~proposition player~~ contract approved in advance by the Bureau. Provision of

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1 proposition player services by any person subject to ~~registration or~~ licensing under this
2 chapter, or engagement of proposition player services by the holder of a ~~state~~-gambling
3 license, without a TPPPS contract as required by this section is a violation of this section.

4 The Bureau must approve a TPPPS~~proposition-player~~ contract only if all the following
5 requirements have been satisfied:

6 (A) The TPPPS contract is consistent with this regulation and the Act.

7 (B) The TPPPS contract does not provide for controlled gambling that will be
8 conducted in a manner that is inimical to the public health, safety, or welfare.

9 (C) The TPPPS contract will not create or enhance the dangers of unsuitable, unfair,
10 or illegal practices, methods, or activities in the conduct of controlled gambling or in the
11 carrying on of the business and related financial arrangements.

12 (D) The TPPPS contract will not undermine public trust that the controlled gambling
13 operations covered by the TPPPS contract will be conducted honestly, by reason of the
14 existence or perception of any collusive arrangement between any party to the TPPPS
15 contract and the holder of a ~~state~~-gambling license, or otherwise.

16 ~~(2) Prior to December 7, 2003, each primary owner providing proposition player~~
17 ~~services at a gambling establishment on the date that these regulations originally became~~
18 ~~effective (November 6, 2003) shall submit an Application for Contract Approval Provider~~
19 ~~of Proposition Player Services (BGC-APP-030 (Rev. 07/17)), which is hereby.~~

20 ~~(2)~~⁽³⁾ A complete application for TPPPS contract approval must include all of the
21 following:

22 (A) A completed Application for Contract Approval to Provide Proposition Player
23 Services, CGCC – 0XX (New XX/19) ~~(BGC-APP-030)~~ referenced in paragraph (2).

24 (B) A completed Appointment of Designated Agent, CGCC – 0XX (New XX/19) ~~for~~
25 ~~Owners and Proposition Players (BGC-APP-031 (Rev. 07/17)), which is hereby~~
26 ~~incorporated by reference.~~

27 (C) An executed copy of the TPPPS contract that specifically addresses all of the
28 requirements of Section 122~~70~~⁰⁰.7.

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1 ...

2 (E) The deposit as required by Title 11, California Code of Regulations, Section
3 2037. The Bureau may require an additional sum to be deposited to pay the final costs of
4 the review and approval or disapproval of the TPPPS contract. Any money received as a
5 deposit in excess of the costs incurred in the review and approval or disapproval of the
6 TPPPS contract will be refunded and an itemized accounting will be provided to the
7 TPPPS business licensee~~primary owner~~, or TPPPS business licensee~~primary owner~~'s
8 designee.

9 (3)~~(4)~~ The Bureau must~~shall~~ notify the applicant, in writing, within ten working days
10 of receiving the application that the application or resubmitted application is complete or
11 incomplete. If an application is incomplete, the Bureau must~~shall~~ request, in writing, any
12 information, fees, or documentation needed to complete the application. Unless extended
13 by the Bureau for further investigation up to 90 days or with the consent of the applicant,
14 review and approval or disapproval of a TPPPS~~proposition player~~ contract must~~shall~~ be
15 completed within 90 days of receiving a completed application and notice thereof
16 must~~shall~~ be sent via United States mail to the applicant or the applicant's designee
17 within ten ~~(10)~~ days of the Bureau's decision. Notice of disapproval of the TPPPS
18 contract or amendments must~~shall~~ specify the cause.

19 (b) An executed copy of the currently effective TPPPS contract, and all
20 amendment(s) thereto, and a copy of all Bureau notices that approved the TPPPS contract
21 and any amendment must~~shall~~ be maintained at the gambling establishment and
22 must~~shall~~ be provided for review or copying upon request by any representative of the
23 Commission or Bureau.

24 (c) The term of any TPPPS~~proposition player~~ contract may~~shall~~ not exceed two years
25 and may~~shall~~ not be extended or renewed without the prior approval of the Bureau. No
26 amendment changing any of the TPPPS contract terms referred to in Section 1227000.7,
27 other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective
28 during the term of a TPPPS~~proposition player~~ contract without the prior written approval

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1 of the Bureau. If any amendment is made to a TPPPS~~proposition player~~ contract term
2 specified in paragraphs (3), (4), or (6) of subsection (b) of Section 122700-7, both
3 parties to the TPPPS contract ~~must~~shall notify the Commission and Bureau in writing of
4 the amendment within ten days of the execution thereof by the parties to the TPPPS
5 contract.

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

9 **§ 1227400-10A. Expedited Review and Approval of TPPPS ~~Proposition Player~~ 10 ~~Contracts~~.**

11 (a) In lieu of the procedure specified in Section 1227200-9, the Bureau must provide
12 an expedited review process of an application for TPPPS contract approval if all of the
13 following conditions exist:

14 (1) Proposition player services were provided in the gambling establishment at any
15 time during the 60 days preceding the application pursuant to a TPPPS contract that was
16 previously approved by the Bureau and that has been terminated in whole or in part.

17 (2) The proposed TPPPS contract is between the cardroom business licensee~~house~~
18 and a different TPPPS business licensee~~primary owner~~ than the previous TPPPS contract
19 under which proposition player services were provided in the gambling establishment.

20 (3) The terms of the proposed TPPPS contract are substantially identical to the
21 TPPPS contract previously approved by the Bureau under which proposition player
22 services were provided in the gambling establishment at any time during the 60 days
23 preceding the application.

24 (b) If an application for TPPPS contract approval is submitted as an expedited TPPPS
25 contract request and the Bureau determines that it does not meet the criteria, the TPPPS
26 business licensee~~primary owner~~ or designee and the cardroom business licensee~~house~~
27 ~~must~~shall be notified within three ~~(3)~~ business days of the Bureau's decision. Any
28 TPPPS contract that is not processed through the expedited review and approval process
29 ~~must~~shall be treated as a new TPPPS contract request and reviewed and approved or
30 disapproved as otherwise provided by subdivision (a) of Section 1227200-9 ~~(a)~~.

Additions shown in underline; deletions shown in ~~strikeout~~. *DRAFT*

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

3 (1) A completed Application for Contract Approval to Provide Proposition Player
4 Services, CGCC – 0XX (New XX/19) (BGC-APP-030), referenced paragraph (2) of
5 subsection (a) of Section 122700.9.

6 (2) A completed Appointment of Designated Agent, CGCC – 0XX (New XX/19) for
7 ~~Owners and Proposition Players (BGC-APP-031 (Rev. 11/07))~~, referenced in Section
8 ~~12200.9~~.

9 (3) An executed copy of the TPPPS contract that specifically addresses all the
10 requirements of Section 122700.7.

11 ...

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

15 § 1227600.10B. Review and Approval of Amendments to TPPPS~~Proposition~~ 16 ~~Player~~ Contracts.

17 (a) Requests to review and approve an amendment to a TPPPS~~proposition player~~
18 contract ~~must~~shall be submitted with an application for approval [~~(see Section 1227~~200.9

19 (a)(3)(A)] along with an executed copy of the TPPPS contract, a five hundred dollar
20 (\$500) nonrefundable application fee, and a deposit as required by Title 11, California
21 Code of Regulations, Section 2037. The Bureau may require an additional sum to be
22 deposited to pay the final costs of the review and approval or disapproval of the
23 amendment. Any money received as a deposit in excess of the costs incurred in the
24 review and approval or disapproval of the amendment ~~must~~shall be refunded and an
25 itemized accounting ~~must~~shall be provided to the TPPPS business licensee~~primary owner~~
26 or the TPPPS business licensee~~primary owner~~'s designee.

27 (b) No amendment changing any of the TPPPS contract terms referred to in Section
28 122700.7, other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become
29 effective during the term of a TPPPS~~proposition player~~ contract without the prior written
30 approval of the Bureau. If any amendment is made to a TPPPS~~proposition player~~

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1 contract term specified in paragraphs (3), (4), or (6) of subsection (b) of Section
2 122700-7, both parties to the TPPPS contract ~~must~~shall notify the ~~Commission and~~
3 Bureau in writing of the amendment within ~~ten~~(10) days of the execution thereof by the
4 parties to the TPPPS contract.

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

6 Reference: Sections 19951 and 19984, Business and Professions Code.

7

8 § 1227800-11. Extension of TPPPS~~Proposition Player~~ Contracts.

9 (a) An application for approval of a contract to continue proposition player services
10 must include all of the following:

11 (1) A completed Application for Contract Approval to Provide Proposition Player
12 Services, CGCC – 0XX (New XX/19) (BGC-APP-030), referenced in paragraph (2) of
13 subsection (a) of Section 1227200-9.

14 ...

15 (3) An executed copy of the TPPPS contract.

16 (4) A deposit in such amount as, in the judgment of the Chief of the Bureau, will be
17 sufficient to pay the anticipated processing costs. The Bureau may require an additional
18 sum to be deposited to pay the final costs of the review and approval or disapproval of
19 the TPPPS contract. Any money received as a deposit in excess of the costs incurred in
20 the review and approval or disapproval of the TPPPS contract will be refunded and an
21 itemized accounting will be provided to the TPPPS business licensee~~primary owner~~, or
22 TPPPS business licensee~~primary owner~~'s designee.

23 (b) The application ~~must~~shall be submitted to the Bureau no later than 90 days prior
24 to the date that the current TPPPS contract is scheduled to expire.

25 (c) As soon as is practicable after determining that any application for approval of a
26 TPPPS~~proposition player~~ contract extension is complete and that the TPPPS contract
27 extension appears to qualify for approval, but in no event more than 75 days from receipt
28 of the application, the Bureau ~~must~~shall submit the TPPPS contract extension to the
29 Commission for review and comment. The Commission ~~may~~shall provide the Bureau
30 with comments, if any, within 15 days of receipt of the TPPPS contract extension.

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

ARTICLE 4. SECURITY AND USE OF PLAYER'S BANKS

§ 12287. Loss Notification.

7 (a) A ~~licensed or registered~~ TPPPS business licensee~~company and gambling business~~
8 must develop written procedures which:

9 (1) Establish a dollar threshold for notification to the TPPPS business
10 licensee~~primary owner~~ of any significant loss incurred in a single controlled game
11 immediately upon the determination of the loss.

12 (2) Includes a provision that requires notification to the Bureau's Criminal
13 Intelligence Unit 24 hours after notification has been made to the TPPPS business
14 licensee~~primary owner~~.

15 Note: Authority cited: Sections 19840, 19841, and 19984, Business and Professions Code.
16 Reference: Section 19826, 19841, 19920, and 19984, Business and Professions Code.

ARTICLE 5. COMPLIANCE

§ 12290. Compliance.

21 (a) A TPPPS~~registrant or licensee~~ ~~under Chapter 2.1 or Chapter 2~~ must comply with
22 game rules approved by the Bureau, including but not limited to the rules regarding
23 player-dealer rotation and table wagering.

24 (b) Only an authorized player ~~for a TPPPS and Gambling Business, as applicable,~~
25 may possess, direct, or otherwise control currency, chips, or other wagering instruments
26 used for play in the performance of a TPPPS contract~~operation of the gambling business~~.

27 (c) The cardroom business licensee must notify the Bureau within five calendar days
28 of the following incidents:

29 ...

30 (d) A TPPPS~~proposition player~~ contract may, concerning any table assigned for play
31 by the contracted TPPPS business licensee~~registrant or licensee~~, contain a provision
32 precluding players of any other TPPPS business licensee~~registrant or licensee under~~

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1 ~~Chapters 2.1 or Chapter 2.2 of this division~~ from playing at that table during the periods
2 of play assigned by the TPPPS contract~~proposition player contract~~ for the contracted
3 TPPPS business licensee~~registrant or licensee~~.

4 (e) The cardroom business licensee~~house~~ is not precluded from assigning a seat at the
5 table to a TPPPS business licensee~~registrant or licensee~~.

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

9 CHAPTER 4. GAMBLING EQUIPMENT MANUFACTURERS OR DISTRIBUTORS.

10 § 12301. Registration of Manufacturers or Distributors. 11

12 ...
13 (b) ...

14 ...
15 (10)(A) Except as provided in subparagraph (B) of this paragraph, for class A
16 registration, a nonrefundable application fee as specified in paragraph (1) of subsection
17 ~~(c)(f)~~ of Section 12309008 must~~shall~~ be submitted with the application for initial
18 registration, and annually thereafter with each application for renewal at least 30~~thirty~~
19 calendar days prior to the anniversary date of initial registration. For class B registration,
20 no fee will~~shall~~ be required for initial registration or renewal. Applications for renewal
21 of class B registration must~~shall~~ be submitted annually at least 30~~thirty~~ calendar days
22 prior to the anniversary date of initial registration.

23 (B) The nonrefundable annual application fee for a manufacturer or distributor
24 applying for class A registration that sells, leases, inspects, tests, repairs, refurbishes, or
25 stores only slot machines or devices that are "antique slot machines" within the meaning
26 of Penal Code section 330.7 must~~shall~~ be as specified in paragraph (2) of subsection
27 ~~(c)(f)~~ of Section 12309008, provided that this subparagraph does not apply to a person
28 that is otherwise a manufacturer or distributor or who is an antique collector exempt from
29 registration under Section 12301.1.

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1 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19951(a), Business and
2 Professions Code. Reference: Sections 19805(b), 19841(r) and 19951(a), Business and
3 Professions Code; Section 2015.5, Code of Civil Procedure; Section 330.8, Penal Code; and
4 Chapter 24 (commencing with Section 1171) of Title 15 of the United States Code.
5

6 **§ 12309. Forms; Fees.**

7 (a) Applications for registration under Section 12301(b) ~~must~~shall be submitted on
8 the Application for Registration of Manufacturers or Distributors of Gambling Equipment
9 BGC-25 (Rev. 07/17), which is hereby attached in Appendix A to this chapter.

10 (b) Quarterly Report, BGC-40 (Rev. 04/13), which is hereby attached in Appendix A
11 to this chapter, may but need not be used for submission of reports required by Section
12 12303.

13 (c) For a gambling equipment manufacturer or distributor registration, the fee is as
14 follows:

15 (1) For an initial and renewal registration as a Class A equipment manufacturer or
16 distributor, the fee is \$500.

17 (2) For an initial and renewal registration as an “antique collector,” within the
18 meaning of paragraph (1) of subsection (b) of Section 12300 and subparagraph (B) of
19 paragraph (10) of subsection (b) of Section 12301, the fee is \$40.

20 (3) For a Class B equipment manufacturer or distributor registration, no fee is
21 required.

22 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19864, Business and
23 Professions Code. Reference: Sections 19841(r) and 19951(a), Business and Professions Code;
24 Section 2015.5, Code of Civil Procedure; Section 330.8, Penal Code; Chapter 24 (commencing
25 with Section 1171) of Title 15 of the United States Code.
26

27 **CHAPTER 5. ACCOUNTING AND TRANSACTION APPROVALS.**

28 **ARTICLE 1. ACCOUNTING AND FINANCIAL REPORTING.**

29 **§ 12311. Definitions.**

30 ...

31
32 (b) As used in this chapter:

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1 (1) “Group I licensee” means a cardroom business licensee or TPPPS business
2 licensee with a reported gross revenue of \$10 million or more for the preceding fiscal
3 year.

4 (2) “Group II licensee” means a cardroom business licensee or TPPPS business
5 licensee with a reported gross revenue of \$2 million or more but less than \$10 million for
6 the preceding fiscal year.

7 (3) “Group III licensee” means a cardroom business licensee or TPPPS business
8 licensee with a reported gross revenue of \$500,000 or more but less than \$2 million for
9 the preceding fiscal year.

10 (4) “Group IV licensee” means a cardroom business licensee or TPPPS business
11 licensee with a reported gross revenue of less than \$500,000 for the preceding fiscal year.

12 (5) “Jackpot administrative fee” means a fee to cover all expenses incurred by the
13 cardroom business licensee for administering a jackpot.

14 (6) “Licensee” means cardroom business ~~“owner licensee”~~ or TPPPS business
15 licensee, as appropriate as defined in Business and Professions Code section 19805(ad)
16 ~~and, for the purposes of this chapter, the holder of a third-party provider of proposition~~
17 ~~player services or gambling business license or registration.~~

18 Note: Authority cited: Sections 19811, 19824, 19840, 19841, and 19984, Business and
19 Professions Code. Reference: Sections 19805, 19840, 19841, 19853, and 19984, Business and
20 Professions Code.

21

22 § 12312. Record Retention and Maintenance; General Provisions.

23 Each licensee must~~shall~~:

24 ...

25 (c) Maintain accounting records identifying the following, as applicable:

26 (1) Revenues, expenses, assets, liabilities, and equity for the cardroom business
27 licensee~~gambling enterprise, or~~ TPPPS business license~~company or gambling business.~~

28 ...

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

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1 (4) Records, separated by gaming activity, of all jackpot monies contributed by the
2 cardroom business license~~gambling enterprise~~, jackpot monies collected from patrons,
3 and monies withdrawn for either jackpot administrative fees or payment to patrons.

4 (d) Maintain a uniform chart of accounts and accounting classifications in order to
5 ensure consistency, comparability, and effective disclosure of financial information. The
6 chart of accounts ~~must~~shall provide the classifications necessary to prepare a complete set
7 of financial statements including, but not limited to, a statement of financial position
8 (balance sheet), a detailed statement of operations (income statement or profit and loss
9 statement), a statement of changes in equity, a statement of cash flow, and other
10 statements appropriate for the particular licensee. A chart of accounts ~~must~~shall be
11 submitted with an initial license ~~or Registration~~ application for review and approval by
12 the Bureau.

13 ...

14 Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19853, and 19984, Business and
15 Professions Code. Reference: Sections 19826, 19841, 19857, and 19984, Business and
16 Professions Code.

18 § 12313. Financial Statements and Reporting Requirements.

19 (a) Each licensee ~~must~~shall prepare financial statements covering all financial
20 activities of that cardroom business license~~TPPPS company, gambling business, or the~~
21 TPPPS business license~~gambling enterprise~~, as applicable, for each fiscal year, in
22 accordance with generally accepted accounting principles, unless otherwise provided in
23 this section. If a gambling enterprise (or a person or entity that has an interest, control, or
24 common control with the licensee) owns or operates lodging, food, beverage, or any other
25 non-gambling operation at the gambling establishment, the financial statements must
26 reflect the results of the gambling operation separately from those non-gambling
27 operations.

28 (1) A Group I licensee ~~must~~shall engage an independent accountant licensed by the
29 California Board of Accountancy to audit the Group I licensee's annual financial
30 statements in accordance with generally accepted auditing standards.

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1 (2) A Group II licensee must~~shall~~ engage an independent accountant licensed by the
2 California Board of Accountancy to, at a minimum, review the Group II licensee's annual
3 financial statements in accordance with standards for accounting and review services or
4 with currently applicable professional accounting standards. The Group II licensee may
5 elect to engage an independent accountant licensed by the California Board of
6 Accountancy to audit the annual financial statements in accordance with generally
7 accepted auditing standards.

8 (3) A Group III licensee must~~shall~~ prepare financial statements including, at a
9 minimum, a statement of financial position, a statement of income or statement of
10 operations, and disclosure in the form of notes to the financial statements. If the Group
11 III licensee is unable to produce the financial statements, it must~~shall~~ engage an
12 independent accountant licensed by the California Board of Accountancy to perform a
13 compilation of the Group III licensee's annual financial statements in accordance with
14 standards for accounting and review services or with currently applicable professional
15 accounting standards, including full disclosure in the form of notes to the financial
16 statements. The Group III licensee may elect to engage an independent accountant
17 licensed by the California Board of Accountancy to compile or perform a review of the
18 Group III licensee's annual financial statements in accordance with standards for
19 accounting and review services, or to audit the annual financial statements in accordance
20 with generally accepted auditing standards.

21 (4)(A) A Group IV licensee must~~shall~~ prepare financial statements that include, at a
22 minimum, a statement of financial position and a statement of income or statement of
23 operations. If the Group IV licensee is unable to produce the financial statements, it
24 must~~shall~~ do one of the following:

25 1. Engage an independent accountant licensed by the California Board of
26 Accountancy to perform a compilation of the Group IV licensee's annual financial
27 statements in accordance with standards for accounting and review services or with
28 currently applicable professional accounting standards. Management may elect not to

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1 provide footnote disclosures as would otherwise be required by generally accepted
2 accounting principles.

3 2. Submit to the Bureau, no later than 120 calendar days following the end of the year
4 covered by the federal income tax return, copies of the Group IV licensee's complete,
5 signed, and duly filed federal income tax return for the tax year in lieu of the financial
6 statements as otherwise required under this section.

7 (B) The Group IV licensee may elect to engage an independent accountant licensed
8 by the California Board of Accountancy to compile or review the Group IV licensee's
9 financial statements in accordance with standards for accounting and review services, or
10 to audit the financial statements in accordance with generally accepted auditing
11 standards.

12 (b) The Bureau may require a Group II, III, or IV licensee to engage an independent
13 accountant licensed by the California Board of Accountancy to compile or review the
14 licensee's financial statements in accordance with standards for accounting and review
15 services, or to audit the financial statements in accordance with generally accepted
16 auditing standards, if there are concerns about the licensee's operation or financial
17 reporting, including but not limited to:

18 ...

19 (c) Unless otherwise provided in this section, a licensee ~~must~~shall submit copies of
20 the annual financial statements, with the independent auditor's or accountant's report
21 issued to meet the requirements under this section, to the Bureau and the Commission no
22 later than 120 calendar days following the end of the fiscal year covered by the financial
23 statements. If a management letter is issued, a copy of the management letter must also
24 be submitted to the Bureau, including the licensee's reply to the management letter, if
25 any.

26 (d) The Bureau or Commission may request additional information and documents
27 from either the licensee or the licensee's independent accountant, regarding the annual
28 financial statements or the services performed by the accountant.

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1 (e) The Bureau or Commission may require the licensee to engage an independent
2 accountant licensed by the California Board of Accountancy to perform a fraud audit in
3 the event that fraud or illegal acts are suspected by the Bureau or Commission.

4 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19853, and 19984, Business
5 and Professions Code. Reference: Sections 19841, 19857, and 19984, Business and Professions
6 Code.
7

8 **§ 12315. Records and Reports of Monetary Instrument Transactions for** 9 **Cardroom Business Licensees~~Gambling Enterprises~~.**

10 (a) A cardroom business licensee~~gambling enterprise~~ is required to file a report of
11 each transaction involving currency in excess of \$10,000, in accordance with section
12 14162(b) of the Penal Code.

13 (b) A cardroom business licensee~~gambling enterprise~~, regardless of gross revenue,
14 ~~must~~shall make and keep on file at the gambling establishment a report of each
15 transaction in currency, in accordance with sections 5313 and 5314 of Title 31 of the
16 United States Code and with Chapter X of Title 31 of the Code of Federal Regulations,
17 and any successor provisions. These reports ~~must~~shall be available for inspection at any
18 time as requested by the Bureau.

19 (c) Nothing in this section ~~will~~shall be deemed to waive or to suspend the
20 requirement that a cardroom business licensee~~gambling enterprise~~ make and keep a
21 record and file a report of any transaction otherwise required by the Bureau or the
22 Commission.

23 Note: Authority cited: Sections 19811, 19824 and 19841, Business and Professions Code.
24 Reference: Section 19841, Business and Professions Code.
25

26 **§ 12316. Unclaimed or Abandoned Property.**

27 (a) A cardroom business licensee~~gambling enterprise~~ ~~must~~shall establish written
28 policies and procedures which comply with California's Unclaimed Property Law (Code
29 Civ. Proc., section 1500 et seq.), regarding unclaimed chips, cash, and cash equivalents
30 left at a gaming table or in any player's bank deemed inactive by the terms of the
31 cardroom business licensee~~gambling enterprise~~'s policies and procedures, un-deposited

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1 checks issued by the cardroom business licensee~~gambling enterprise~~ to a patron, and un-
2 deposited checks drawn on a cardroom business licensee~~gambling enterprise~~'s account.

3 (b) Records of the date and amount of any unclaimed property sent or reported to the
4 State Controller ~~must~~shall be kept by the cardroom business licensee.

5 Note: Authority cited: Sections 19811, 19840, 19841 and 19920, Business and Professions Code.
6 Reference: Sections 19801 and 19841, Business and Professions Code; and Title 10, Chapter 7
7 (Commencing with section 1500), Code of Civil Procedure.
8

~~CHAPTER 6. GAMBLING LICENSES AND APPROVALS FOR GAMBLING~~

~~ESTABLISHMENTS AND OWNERS; PORTABLE PERSONAL KEY EMPLOYEE LICENSES.~~

~~ARTICLE 1. DEFINITIONS AND GENERAL PROVISIONS.~~

~~§ 12335. Definitions.~~

~~ARTICLE 2. GAMBLING LICENSES.~~

~~§ 12340. Gambling Licenses.~~

~~§ 12341. Fee for Initial State Gambling License.~~

~~§ 12346. Mandatory and Discretionary Grounds for Denial of Application for a Gambling License.~~

~~ARTICLE 3. PORTABLE PERSONAL KEY EMPLOYEE LICENSE~~

~~§ 12350. Initial Licenses; Required Forms; Processing Times.~~

~~§ 12351. License Renewals; Required Forms; Processing Times.~~

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1 ~~§ 12352. Employment Status Notification; Replacement License; Required~~
2 ~~Forms; Processing Times.~~

4 ~~§ 12354. Interim Key Employee Licenses; Processing Times.~~

6 ~~§ 12355. Mandatory and Discretionary Grounds for Denial of Application for a~~
7 ~~Key Employee License.~~

9 CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS.

10 ARTICLE 1. GENERAL PROVISIONS.

12 §12360. Chapter Definitions.

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

16 (b) As used in this chapter:

17 ~~(1)(a)~~ ...

18 ~~(2)(b)~~ ...

19 ~~(3)(e)~~ “Confidential document” means any document or record, whether maintained
20 in writing or electronically, concerning any entity, individual, or group of individuals that
21 contains any private financial or personal information directly obtained from or provided
22 by the subject (e.g., credit and check cashing information, exclusion lists, Title 31
23 reports, etc.), or documents that are otherwise protected under any other provision of law,
24 and includes documents and information the public disclosure of which may jeopardize
25 the safety and security of patrons, employees, and their property, the assets of the
26 cardroom business license~~gambling enterprise~~, or the integrity of gambling operations.

27 ~~(4)(d)~~ ...

28 ~~(5)(e)~~ ...

29 ~~(f) “Gaming activity” has the same meaning as defined in Title 11, CCR,~~
30 ~~Section 2010, subsection (f).~~

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1 ~~(6)(g)~~ “House rules” means a set of written policies and procedures, established by a
2 cardroom business licensee~~gambling enterprise~~, which set general parameters under
3 which that cardroom business licensee~~gambling enterprise~~ operates the play of controlled
4 games.

5 ~~(h) “Licensee” means “owner licensee” as defined in Business and Professions Code~~
6 ~~section 19805, subdivision (ad).~~

7 ~~(7)(i)~~ ...

8 ~~(8)(i)~~ ...

9 Note: Authority cited: Sections 19811, 19824, 19840, 19841 and 19924, Business and Professions
10 Code. Reference: Sections 19805, 19841, 19860 and 19924, Business and Professions Code.
11

12 § 12362. Statewide Involuntary Exclusion List.

13 (a) A cardroom business licensee may remove a person from the gambling
14 establishment pursuant to Business and Professions Code section 19801, subdivision (j),
15 or Business and Professions Code section 19845. A cardroom business licensee~~gambling~~
16 ~~establishment~~ may also have an internal removal list to bar certain individuals from
17 entering the specific gambling establishment only.

18 (b) A licensee or government official (such as law enforcement, or agents of the
19 California Horse Racing Board, Bureau, or Commission) (“requestor”) may submit, on
20 form CGCC-~~XX~~12362 (Rev. ~~XX/1905-11~~) “Request for Statewide Involuntary Exclusion
21 of an Individual,” which is attached in Appendix A to this chapter, a request to exclude
22 an individual from all California gambling establishments based upon the reasons listed
23 in Business and Professions Code section 19844 or 19845, subdivision (a)(7). Such
24 request will~~shall~~ have the protections afforded under Business and Professions Code
25 section 19846, subdivision (a).

26 (c) Removal of an individual from a specific gambling establishment, as described in
27 subsection (a) above, or statewide exclusion, pursuant to the request described in
28 subsection (b) above, may~~shall~~ not be based upon the sex, race, color, religion, ancestry,
29 national origin, marital status, sexual orientation, medical condition, or disability of the
30 individual, with the exception that a problem or pathological gambler may be excluded

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1 pursuant to Article 6 of these regulations (commencing with section 12460) or
2 involuntarily excluded pursuant to this section.

3 (d) Upon receipt of a request by a licensee or governmental official for statewide
4 involuntary exclusion of an individual, the Executive Director will~~shall~~ review the reason
5 for exclusion. If there appears to be good cause to place an individual on the statewide
6 involuntary exclusion list, the Executive Director will~~shall~~ ~~issue~~cause a notice of
7 exclusion ~~to issue~~ to the individual. Such notice will~~shall~~ state the grounds for exclusion
8 and may be served by personal service, by certified mail at the last known address of the
9 individual, or by publication daily for 1 week in a newspaper of general circulation in the
10 vicinity of the requestor. The exclusion will~~shall~~ be effective upon perfection of notice
11 and will~~shall~~ remain in effect until the individual is removed from the list by Commission
12 decision.

13 (e) An individual may contest the Commission's notice of exclusion by requesting a
14 hearing from the Commission. Such hearing may be pursuant to Business and Professions
15 Code section 19871 or pursuant to Government Code section 11500 et seq., as
16 determined by the Executive Director. Such hearing will~~shall~~ occur within 60 days of the
17 request for hearing, unless the time of the hearing is changed by agreement of the
18 Commission and the individual requesting the hearing.

19 (f) If the individual fails to appear at the time and place set for hearing, and the
20 individual does not contact the Commission within 24 hours to give good cause why the
21 hearing should be reset, a default decision will ~~be~~~~shall~~ issued affirming the exclusion.

22 ...

23 (h) The standard of proof will~~shall~~ be preponderance of the evidence that the
24 individual poses a threat either to the public, gambling enterprise employees licensees, or
25 the gambling industry, or should be excluded pursuant to Business and Professions Code
26 section 19844 or 19845, subdivision (a)(7). The burden of proof will~~shall~~ be on the
27 Commission staff. Evidence of exclusion or discipline by another gaming jurisdiction

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1 based upon the factors described in Business and Professions Code section 19844 or
2 19845, subdivision (a)(7) may be introduced.

3 (i) The final decision in the matter will~~shall~~ be in writing, will~~shall~~ state any term-
4 length for the exclusion if other than lifetime, will~~shall~~ be sent by certified mail or
5 personal service to the individual and the governmental agency or licensee~~gambling~~
6 ~~establishment~~ which requested the individual be placed on the statewide involuntary
7 exclusion list, and will~~shall~~ be effective immediately.

8 (j) If the individual requested a hearing after the Commission's notice of exclusion
9 and was given a final decision in the matter that affirmed the exclusion, that individual
10 ~~shall~~ cannot petition the Commission to be removed from the statewide involuntary
11 exclusion list for a minimum of one year after the date of the final decision.

12 (k) Petitions to be removed from the statewide involuntary exclusion list must~~shall~~ be
13 in writing, directed to the Executive Director, and sent to the Commission at 2399
14 Gateway Oaks Drive, Suite 220, Sacramento, CA 95833. Petitioners should clearly state
15 the circumstances of the ejection or exclusion, any new evidence which is material and
16 necessary, including evidence that circumstances have changed since placement on the
17 statewide involuntary exclusion list, and why they do not pose a threat to the public,
18 gambling enterprise employees licensees, the gambling industry, or should otherwise not
19 be excluded pursuant to Business and Professions Code section 19844 or 19845,
20 subdivision (a)(7). This statement must~~shall~~ be signed under penalty of perjury under the
21 laws of the State of California. The Executive Director may summarily deny the petition
22 without prejudice due to lack of compliance with this subsection. If not summarily
23 denied, the Executive Director will~~shall~~ provide notice and opportunity to comment to
24 the requestor. After review of the requestor's comments, the Executive Director, may
25 notify the Bureau to remove the individual from the statewide involuntary exclusion list,
26 or may set the matter for hearing pursuant to Business and Professions Code section
27 19871 or pursuant to Government Code section 11500 et seq., as determined by the
28 Executive Director.

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1 (l) The Executive Director may order an individual removed from the list after
2 verified information is received that the individual is deceased and ~~will~~so notify the
3 Bureau.

4 (m) If the Commission determines that an individual should be removed from the
5 statewide involuntary exclusion list, the Commission's decision ~~will~~include an order
6 removing the individual's name from the list, and ~~will~~so notify the Bureau. The
7 Bureau ~~will~~amend the exclusion database and send notification to all gambling
8 establishments and to the requestor.

9 (n) Judicial review of the Commission's decision ~~will~~be in accordance with
10 Code of Civil Procedure, section 1094.5.

11 (o) The statewide involuntary exclusion list ~~will~~be maintained by the Bureau,
12 sent or made available to all gambling establishments, and may be shared with law
13 enforcement personnel of any jurisdiction.

14 (p) Cardroom business ~~L~~icensees ~~must~~implement policies and procedures
15 designed to thwart excluded persons, as noticed by the Bureau, from entering the
16 gambling establishment, ejection or removal procedures of any patrons once recognized
17 as being a known excluded person, and notification to the Bureau of any incidents of
18 attempted entry, entry, or removals of known excluded persons. This regulation does not
19 require a licensee's policies and procedures to include patrons providing proof of
20 identification before entering the gambling establishment. This regulation does not
21 require the gambling establishment to use physical force in ejecting or removing an
22 excluded person.

23 ...

24 (r) This regulation does not create any right or cause of action against a cardroom
25 business licensee~~gambling establishment~~, government official (such as law enforcement,
26 or agents of the California Horse Racing Board, Bureau, or Commission) by an excluded
27 person or abrogate the existing statutory privileges and immunities of a licensee or

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1 requestor, or limit or expand the provisions of Business and Professions Code section
2 19846.

3 Note: Authority cited: Sections 19840 and 19844, Business and Professions Code. Reference:
4 Sections 19801(j), 19801(m), 19844, 19845, 19846 and 19940, Business and Professions Code.
5

6 § 12364. Relocation of Gambling Establishment.

7 (a) For purposes of this section:

8 ...

9 (b) An cardroom business ~~owner~~-licensee must~~shall~~ notify the Bureau of a planned
10 relocation of a gambling establishment at least 90 days in advance of the intended
11 commencement of gambling operations at the new location on the form ~~entitled~~ "Notice
12 of Relocation,"² CGCC-~~XX050~~ (Rev. ~~New XX06/1912~~), which is attached in Appendix A
13 to this Chapter. A draft floor plan of the proposed gambling establishment depicting, at a
14 minimum, the location of the main cage, the count room, the surveillance room, and the
15 gaming area(s) must~~shall~~ accompany the notice to the Bureau.

16 (1) If the new location is more than 1,000 feet from any boundary line of its
17 governing local jurisdiction, the cardroom business ~~owner~~-licensee must~~shall~~ submit to
18 the Bureau all of the following information and documents, of which the information and
19 documents specified in subparagraphs (A) through (C), inclusive, are to be submitted no
20 later than 30 days prior to the Bureau's site visit conducted pursuant to subsection (d):

21 (A) A copy of the licensee's fully executed rental or lease agreement for, or evidence
22 of the licensee's ownership of, the proposed new location.

23 (B) A copy of the cardroom business licensee's fire safety and evacuation plan for the
24 proposed new location, prepared in compliance with Section 12370.

25 (C) A copy of the cardroom business licensee's security and surveillance plan for the
26 proposed new location, prepared in compliance with Section 12372.

27 (D) Documentary evidence of the issuance to the cardroom business licensee of all
28 required approvals, licenses and permits by any applicable local jurisdictional entity
29 concerning the new location; e.g., business licenses, occupancy permits, conditional use
30 permits, zoning variances, local gaming licenses, etc. These documents, if available,

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1 ~~must~~shall be submitted at the same time as the documents specified in subparagraphs (A)
2 through (C), inclusive, or, if not available, ~~must~~shall be submitted upon availability and
3 prior to the commencement of gambling operations.

4 (E) Documentary evidence of the issuance to the cardroom business licensee of all
5 required approvals, licenses and permits, other than those specifically relating to
6 gambling operations, by any applicable state or federal agency concerning the new
7 location; e.g., liquor licenses, check cashing permits, etc. These documents are not
8 required to be submitted prior to the commencement of gambling operations or the
9 Bureau's site visit pursuant to subsection (d), but must be submitted to the Bureau prior to
10 the commencement of the associated activity.

11 (2)(A) If the new location is 1,000 feet or less from any boundary line of its
12 governing local jurisdiction, the cardroom business ~~owner~~-licensee ~~must~~shall, in addition
13 to the documentation required by paragraph (1), and prior to the commencement of
14 gambling operations, submit documentation from the appropriate agency or department
15 in the neighboring jurisdiction confirming that the agency or department has no objection
16 to the planned location of the gambling establishment.

17 (B) As an alternative to obtaining advance confirmation, the cardroom business
18 licensee may submit to the appropriate agency or department in the neighboring
19 jurisdiction, a copy of its Notice of Relocation concurrent with the submission to the
20 Bureau. The cardroom business licensee ~~must~~shall provide the Bureau with proof of
21 submission of the notice to the neighboring jurisdiction. The copy of the notice submitted
22 to a neighboring jurisdiction ~~must~~shall be accompanied by a written statement from the
23 cardroom business licensee which, at a minimum, ~~must~~shall include the following
24 information:

25 ...

26 (c)(1) If ~~an~~ cardroom business ~~owner~~-licensee does not provide documentation from
27 a neighboring jurisdiction as provided in subparagraph (A) of paragraph (2) of subsection
28 (b), and the Bureau receives objections to the relocation from a neighboring jurisdiction,

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1 the cardroom business licensee~~gambling establishment~~ may~~shall~~ not be relocated without
2 Commission review. The Bureau must~~shall~~ forward the relocation notice to the
3 Commission within 10 days of receipt by the Bureau of objections from any neighboring
4 jurisdiction for placement on a Commission agenda for consideration. The Commission
5 will~~shall~~ notify the objecting neighboring jurisdiction, the Bureau, and the licensee of the
6 time and place of the Commission hearing at least 10 days prior to the hearing in order
7 for all parties to have the opportunity to attend and be heard.

8 (2) If an cardroom business ~~owner~~-licensee obtains documentation from a
9 neighboring jurisdiction as provided in paragraph (2) of subsection (b), or if the Bureau
10 does not receive timely objections to the relocation from a neighboring jurisdiction, no
11 Commission review will~~shall~~ be required and the Bureau may proceed as if paragraph (2)
12 of subsection (b) did not apply.

13 (d)(1) The Bureau must~~shall~~ schedule and conduct a site visit prior to the intended
14 commencement of gambling operations as indicated in subsection (b). A written report of
15 the findings of the site visit must~~shall~~ be provided to the Commission, as well as any
16 follow-up reports. The Bureau's site visit report must~~shall~~ include determinations
17 regarding compliance with, at a minimum, the following internal control requirements of
18 Article 3 of Chapter 7:

19 ...

20 (2) If the Bureau notes any deficiency in compliance with laws or regulations,
21 including, but not limited to, a deficiency in the internal controls listed in paragraph (1), it
22 will~~shall~~ issue a notice to the cardroom business ~~owner~~-licensee to correct the deficiency.
23 The notice must~~shall~~ describe each deficiency and specify a reasonable time in which the
24 deficiency is to be corrected. The commencement of gambling operations will~~shall~~ not be
25 delayed unless the deficiency prevents substantial compliance with laws or regulations
26 and materially threatens public safety or the integrity of the gambling operation, and the
27 deficiency cannot be corrected or mitigated within a reasonable time. Failure to correct or

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1 otherwise mitigate the deficiency may be considered during the license renewal process
2 and may result in disciplinary action under Chapter 10 of this division.

3 ...

4 (f) If any gambling operations are conducted in violation of subsection (e), the
5 cardroom business ~~owner~~-licensee and each cardroom endorsed ~~licensee~~~~owner~~ ~~will~~~~shall~~
6 be subject to disciplinary action under Chapter 10 of this division. For the purposes of
7 this subsection, each day or portion thereof, whether consecutive or not, during which
8 any gambling operations are conducted in violation of subsection (e) ~~will~~~~shall~~ constitute a
9 separate violation.

10 (g) Failure to timely provide notice to the Bureau as required by subsection (b)
11 ~~will~~~~shall~~ constitute a ground for disciplinary action under Chapter 10 of this division.

12 Note: Authority cited: Section 19811, 19823, 19824, 19840, 19841, 19853(a)(3), 19860, 19862
13 and 19864, Business and Professions Code. Reference: Sections 19811, 19824, 19826, 19860,
14 19862 and 19868, Business and Professions Code.

15

16 § 12368~~57~~. Cardroom Business License Annual Fee.

17 (a) The current year's annual fee required by Business and Professions Code section
18 19951, ~~subdivision (b), paragraph (2), subparagraph (B)~~ ~~will~~~~shall~~ be based on the criteria
19 in paragraph (1) or (2) of this subsection, whichever is ~~greater~~~~applicable~~, The current
20 year's annual fee ~~and~~ ~~will~~~~shall~~ be due and payable to the Bureau ~~annually~~ by the
21 cardroom business licensee~~gambling enterprise~~ no later than 120 calendar days following
22 the end of the cardroom business licensee~~gambling enterprise~~'s preceding fiscal year,
23 ~~unless an installment payment plan is approved pursuant to subsection (b).~~ ~~To be~~
24 ~~considered timely, the annual fee must be received by the Bureau no later than the date~~
25 ~~due or, if delivered by mail, be postmarked no later than the date due.~~

26 (1) The annual fee specified in subdivision (c) of section 19951 ~~will~~~~shall~~ be based on
27 the number of permanent tables authorized by the cardroom business license at the close
28 of the cardroom business licensee~~gambling enterprise~~'s preceding fiscal year.

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1 (2) The annual fee specified in subdivision (d) of section 19951 ~~will~~shall be based on
2 the cardroom business licensee~~gambling enterprise~~'s gross revenues for the preceding
3 fiscal year.

4 (b)(1) The cardroom business licensee may submit an installment payment written
5 request no later than the end of the cardroom business licensee's preceding fiscal year.

6 (2) The Bureau must approve or deny the request within 30 calendar days of receipt.

7 (3) If approved, the annual fee must be paid as follows:

8 (A) A payment of one-third, rounded up to the nearest whole dollar, due 120 calendar
9 days following the end of the cardroom business licensee's preceding fiscal year.

10 (B) A payment of one-third, rounded up to the nearest whole dollar, due 180 calendar
11 days following the end of the cardroom business licensee's preceding fiscal year.

12 (C) A payment of the balance due 240 calendar days following the end of the
13 cardroom business licensee's preceding fiscal year.

14 (c)(b) Each cardroom business ~~owner~~-licensee ~~must~~shall submit, with their whole
15 payment, or first installment payment, of the annual fee specified in this section, a
16 completed Cardroom Business License~~Gambling Establishment~~: Annual Fee Calculation,
17 form ~~BGCCGCC – XX10~~ (Rev. ~~XX10/197~~), which is hereby attached in Appendix A to
18 this chapter.

19 (d) To be considered timely, the annual fee must be received by the Bureau no later
20 than the date due or, if delivered by mail, be postmarked no later than the date due.

21 (e)(e) If the full amount, or any installment payment, of the annual fee has not been
22 received by the Bureau within 90 calendar-days after the payment due date, and the
23 cardroom business~~gambling~~ license has been deemed surrendered pursuant to Business
24 and Professions Code section 19955, the license ~~will~~shall be subject to the provisions of
25 subsection (b) of Section 12~~142~~347 of Article 2.

26 Note: Authority cited: Sections 19811(b), 19823, 19824, 19840, 19841, 19876(a), 19951, and
27 19955, Business and Professions Code. Reference: Sections 19841, 19876(a), 19951, 19954, and
28 19955, Business and Professions Code.

29

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1 § ~~12369220.23~~. **Prohibited Player-Dealer Participation; Exclusion.**

2 ~~(a)~~ In order to promote the purposes of the Act to provide for effective regulation of
3 gambling enterprises, owner_ licensees ~~of gambling establishments~~ must ~~shall~~ notify the
4 Commission and Bureau of, and may exclude from the gambling establishment, any
5 person(s) that the cardroom business ~~owner~~-licensee reasonably believes is conducting
6 prohibited player-dealer participation, pursuant to Section 12005.a ~~a gambling business~~
7 within the gambling establishment ~~without having been registered or licensed under this~~
8 ~~chapter~~. An cardroom business ~~owner~~-licensee acting under this section must ~~shall~~ notify
9 the Commission and Bureau in writing of any such ~~unregistered or unlicensed~~ person(s)
10 and of any such exclusion, including the identity of the excluded individuals and entity if
11 known, within ten ~~(10)~~ business days following the exclusion. Upon receiving such
12 notice ~~of an unregistered or unlicensed person~~, the Commission will ~~shall~~ notify the
13 person(s) in writing of the ~~registration and~~ license requirement of ~~this e~~Chapter 2 and
14 may ~~shall~~ notify some or all cardroom business ~~owner~~-licensees of the name of the
15 ~~unregistered or~~ unlicensed person(s), if known, and may condition any subsequent
16 ~~registration or~~ license of the person with ~~under this chapter or Chapter 2.1 of this division~~
17 ~~upon~~ a 60 to 90 day suspension of ~~registration or~~ licensure or require the payment of a
18 civil penalty under Business and Professions Code section 19930, subdivision (c), or
19 both.

20 ~~(b) An owner licensee of a gambling establishment may exclude any registered or~~
21 ~~licensed gambling business and shall notify the Commission and Bureau in writing within~~
22 ~~five (5) days following the exclusion.~~

23 Note: Authority cited: Sections 19840, 19841, and 19853(a)(3), Business and Professions Code.
24 Reference: Sections 19853(a)(3) and 19930, Business and Professions Code
25

26 **ARTICLE 2. EMERGENCY PREPAREDNESS, SECURITY AND SURVEILLANCE**
27 **PLANS.**

28
29 § 12370. **Emergency Planning and Preparedness.**

30 ...

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1 (b) Each applicant for a cardroom business ~~as an owner~~-licensee under Chapter 26 of
2 this Division ~~must~~shall submit to the Bureau one copy of a current fire safety and
3 evacuation plan, pursuant to this section, together with those application documents
4 required by Section 121342.

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

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

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

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

27 (2) If the responsible local authority does not provide reviews, the cardroom business
28 licensee ~~must~~shall send the fire safety and evacuation plan to the State Fire Marshal, and

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1 ~~must~~shall send to the Bureau documentation showing that the State Fire Marshal has
2 approved the fire safety and evacuation plan.

3 (f) Failure by a cardroom business licensee to develop and implement a fire safety
4 and evacuation plan, conduct emergency evacuation drills or conduct employee training
5 on the content of its fire safety and evacuation plan pursuant to this section, constitutes an
6 unsuitable method of operation and also may result in denial of an application for license
7 renewal, pursuant to Section 1214~~3~~48, or in the suspension or revocation of its existing
8 license, pursuant to Chapter 10 of this division.

9 ...

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

14 **§ 12372. Security and Surveillance Plan.**

15 ...

16 (c)(1) Each security and surveillance plan ~~must~~shall identify and comply with all
17 state and local requirements and ~~must~~shall implement all applicable provisions of Article
18 3 of this chapter. Each cardroom business licensee ~~must~~shall submit, pursuant to
19 paragraph (2), (3) or (4), as an attachment to its security and surveillance plan, copies of
20 identified, applicable local ordinances and any locally-issued certificate of compliance
21 with those ordinances.

22 (2) Each applicant for a cardroom business ~~as an owner~~ licensee under Chapter 26 of
23 this Division ~~must~~shall submit to the Bureau one copy of a current security and
24 surveillance plan, pursuant to this section, together with those application documents
25 required by Section 1211~~3~~42.

26 (3) Each cardroom business licensee ~~must~~shall submit to the Bureau one copy of its
27 current security and surveillance plan with the first biennial license renewal application
28 that is submitted eighteen months after the effective date of this section, and with every
29 second renewal application submitted thereafter.

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1 (4) If a cardroom business licensee's security and surveillance plan is revised as a
2 result of the addition of permanent tables, or as a result of any change to the physical
3 premises which alters the locations or configurations of any restricted areas of the
4 gambling establishment, or which alters or affects any security or surveillance
5 capabilities or procedures, the cardroom business licensee ~~must~~~~shall~~ submit one copy of
6 its revised security and surveillance plan with the first biennial license renewal
7 application submitted immediately following any revision to its security and surveillance
8 plan, and, paragraph (3) notwithstanding, with every second renewal application
9 submitted thereafter.

10 (5) If the responsible local authority provides reviews of security or surveillance
11 plans, the cardroom business licensee ~~must~~~~shall~~ send documentation of the areas
12 reviewed by the responsible local authority and whether or not the responsible local
13 authority approved those areas of the security and surveillance plan under the responsible
14 local authority's jurisdiction.

15 (d) The Bureau ~~will~~~~shall~~ review the cardroom business licensee's security and
16 surveillance plan, including those provisions under the responsible local authority's
17 jurisdiction, whether reviewed by the local authority or not, and those provisions not
18 under the responsible local authority's jurisdiction. If the Bureau determines that the
19 cardroom business licensee's security and surveillance plan does not address the elements
20 set forth in this section, then the Bureau may issue a determination identifying the
21 deficiencies and specifying a time certain within which those deficiencies ~~must~~~~shall~~ be
22 cured.

23 (e)(1) Each cardroom business licensee ~~must~~~~shall~~, at least annually, provide for a
24 review of the requirements of the security and surveillance plan with those employees
25 that have been assigned duties under the plan, ensuring that each employee has a general
26 understanding of the provisions of the plan applicable to his or her position and
27 understands his or her specific duties under the plan. This annual review ~~must~~~~shall~~ be

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1 documented, including a signature from each employee indicating that they have
2 participated in the review and a signature from the person who provided the review.

3 (2) When a new employee begins work, the cardroom business licensee, or the
4 cardroom business licensee's designate, ~~must~~shall review the requirements of the security
5 and surveillance plan with the new employee, ensuring that each new employee has a
6 general understanding of the provisions of the plan applicable to his or her position and
7 understands his or her specific duties under the plan. This initial review ~~must~~shall be
8 documented as provided in paragraph (1).

9 (f) Failure by a cardroom business licensee to develop and implement a security and
10 surveillance plan, or to cure a deficiency identified pursuant to subsection (d), constitutes
11 an unsuitable method of operation and also may result in denial of an application for
12 license renewal pursuant to Section 1214~~348~~, or in the suspension or revocation of its
13 existing license pursuant to Chapter 10 of this division.

14 ...

15 Note: Authority cited: Sections 19811, 19824, 19840, 19841, and 19924, Business and
16 Professions Code. Reference: Sections 19841, 19860, 19920, and 19924, Business and
17 Professions Code.

18

19 **ARTICLE 3. MINIMUM INTERNAL CONTROL STANDARDS (MICS) FOR Cardroom** 20 **Business Licensees ~~GAMBLING ESTABLISHMENTS.~~**

21

22 **§ 12380. Minimum Internal Control Standards; General Terms, Conditions,** 23 **Definitions.**

24 (a) “Minimum Internal Control Standards,” or “MICS,” are the minimum
25 requirements to operate a gambling establishment as set forth in this chapter, and include,
26 but are not limited to, administration controls, and controls requiring segregation of
27 duties. A cardroom business licensee must meet or exceed these requirements in
28 controlling their gambling operation.

29 ...

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1 (c) Failure by a cardroom business licensee to comply with the requirements of this
2 article constitutes an unsuitable method of operation and is a ground for disciplinary
3 action.

4 (d) For purposes of this article:

5 (1) “Tier I licensee,” means an cardroom business~~owner~~ licensee authorized to
6 operate one to five tables.

7 (2) “Tier II licensee,” means an cardroom business~~owner~~ licensee authorized to
8 operate six to ten tables.

9 (3) “Tier III licensee,” means an cardroom business~~owner~~ licensee authorized to
10 operate eleven to thirty tables.

11 (4) “Tier IV licensee,” means an cardroom business~~owner~~ licensee authorized to
12 operate thirty-one to sixty tables.

13 (5) “Tier V licensee,” means an cardroom business~~owner~~ licensee authorized to
14 operate sixty-one or more tables.

15 (6) Absent specific reference to a particular tier, any requirement of any regulation in
16 this article ~~will~~shall be deemed to be applicable to all cardroom business licensees.

17 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code.

18 Reference: Sections 19840, 19841, 19922 and 19924, Business and Professions Code.

20 § 12381. Policies and Procedures.

21 (a) All cardroom business licensees ~~must~~shall have written policies and procedures
22 that meet or exceed the MICS contained in this article.

23 (b) A cardroom business licensee's policies and procedures ~~must~~shall be
24 communicated to employees through new employee orientations and periodic training
25 sessions.

26 (c) Adherence to the policies and procedures established to comply with this article
27 ~~will~~shall be required.

28 (d) On request, copies of a cardroom business licensee's policies and procedures
29 ~~must~~shall be provided, within a reasonable time specified, for the Commission and/or
30 Bureau to review.

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1 (e) Unless otherwise specified in this chapter, all forms, books, records, logs, lists
2 and any and all other original source or duplicate documentation required to be
3 maintained by a cardroom business licensee pursuant to this chapter ~~must~~ shall be:

4 ...

5 (f) In addition to the requirements of subsection (a) through and including (e),
6 cardroom business licensees in Tiers II through and including V ~~must~~ shall assign the
7 overall responsibility for establishing, periodically reviewing, monitoring, and testing for
8 compliance with their MICS policies and procedures to a specific cardroom
9 ~~endorsee~~ owner licensee or key employee licensee and ~~must~~ shall document the
10 assignment in the cardroom business licensee's policies and procedures. Tests for
11 compliance with MICS policies and procedures ~~must~~ shall be performed at least annually,
12 and may be performed by a cardroom business licensee's staff, other than the person or
13 persons who normally perform the duties being tested, or by agents or outside consultants
14 (e.g., a certified public accountant) for the cardroom business licensee. The results of the
15 tests, and a detailed record of the efforts to correct any noncompliance found as a result
16 of the tests, ~~must~~ shall be documented and the documentation retained by the cardroom
17 business licensee.

18 ~~(g) Licensees shall establish and implement policies and procedures in accordance~~
19 ~~with the applicable provisions of this section no later than April 1, 2010.~~

20 Note: Authority cited: Sections 19827, 19840, 19841 and 19924, Business and Professions Code.
21 Reference: Sections 19827, 19841, 19922 and 19924, Business and Professions Code.
22

23 **§ 12384. Drop and Drop Collection.**

24 (a) The policies and procedures for all Tiers ~~must~~ shall meet or exceed the following
25 standards for the drop and collection of the drop for non-electronic gambling tables:

26 (1) Drop collection fees ~~must~~ shall be deposited into a secure container, known as a
27 “drop box,” that ~~must~~ shall be securely attached to the gambling table. A drop box
28 ~~must~~ shall be constructed and controlled in a manner to provide for the security of its
29 contents.

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1 (2) If a jackpot or any other player-funded gaming activity is offered, jackpot
2 collections ~~must~~ be deposited into a separate drop box, or otherwise segregated, and
3 accounted for separately.

4 (3) Drop boxes ~~must~~ have all of the following:

5 ...

6 (B) A separate lock securing the drop box to the gambling table. This lock ~~must~~
7 be keyed differently from the lock securing the contents of the drop box.

8 (C) An individual identifier that corresponds to the gambling table to which the drop
9 box is attached and the shift, if applicable, for which it is used, and that can be
10 documented when the box is removed from the table. Visible drop box identifiers
11 ~~must~~ be imprinted or impressed on the box and capable of being seen and read in
12 video surveillance recordings, either while attached to the table or when removed from
13 the table and immediately displayed to a surveillance camera. If a bar code or an
14 equivalent system is used, in addition to the imprinted or impressed identifiers, it
15 ~~must~~ have the capability to identify each drop box by shift and table, the person or
16 persons performing the collection, and the date and time of the collection.

17 (D) An opening through which chips collected for fees ~~must~~ be inserted.

18 ...

19 (5) A drop box, when removed from a gambling table, whether in use or not,
20 ~~must~~ be afforded security sufficient to protect the drop box and its contents and
21 ~~must~~ be stored in a secure area while awaiting the count.

22 ...

23 (7) The cardroom business licensee ~~must~~ establish and schedule the time(s) for
24 the collection of drop boxes and ~~must~~ ensure that the entire drop collection process is
25 recorded by video surveillance. Except as otherwise provided in subsection (c), the drop
26 box collection may be performed more frequently or less frequently than the time(s)
27 scheduled by the cardroom business licensee when circumstances warrant a reasonable
28 deviation from the established schedule.

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1 (8) The drop collection must~~shall~~ be performed by at least one licensed or permitted
2 individual.

3 (b) In addition to the requirements of subsection (a), the policies and procedures for
4 Tiers III through and including V must~~shall~~ include the following standards for drop
5 collection:

6 (1) All drop boxes, whether in use or not, must~~shall~~ be removed from the gambling
7 table as provided in subsection (a) by at least one employee of the gambling
8 establishment who holds a valid cardroom license ~~or work permit~~, accompanied by at
9 least one member of the security department or its equivalent. The employee of the
10 gambling establishment may~~shall~~ not be a member of the security department or its
11 equivalent.

12 (2) Notwithstanding the provisions of paragraph (1) of this subsection, or any other
13 provision of this article related to the designation of employees to perform the drop
14 collection, a Tier III licensee that does not directly employ security personnel may have
15 the drop collection performed by at least two employees of the gambling establishment
16 who hold a valid cardroom license ~~or work permit~~ and who are each assigned to a
17 different department.

18 (3) The names of the individuals performing the drop collection must~~shall~~ be
19 documented either by software or in writing and, when documented in writing, those
20 individuals who performed the collection must~~shall~~ legibly print their names and sign the
21 documentation.

22 ...

23 (c) In addition to the requirements of subsections (a) and (b), the policies and
24 procedures for Tiers IV and V must~~shall~~ include standards for drop collection that
25 provide for the designation of at least one employee of the gambling establishment who
26 holds a valid cardroom license ~~or work permit~~ to video monitor the drop box collection
27 process and that the entire drop collection process be continuously recorded by video
28 surveillance.

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1 ~~(d) Licensees shall establish and implement the applicable standards for drop~~
2 ~~collection specified in subsections (a) through and including (c) no later than April 1,~~
3 ~~2010.~~

4 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code.
5 Reference: Sections 19841, 19922 and 19924, Business and Professions Code.
6

7 § 12385. Count; Count Room Functions.

8 (a) The policies and procedures for all Tiers ~~must~~shall meet or exceed the following
9 standards for count room functions:

10 (1) The cardroom business licensee ~~must~~shall ensure that the contents of drop boxes
11 are counted and recorded in a manner and in a location within the licensed gambling
12 establishment that ensures the appropriate security and proper accounting of all gambling
13 chips.

14 (2) The cardroom business licensee ~~must~~shall designate an individual or individuals,
15 each holding a valid cardroom gambling license ~~or work permit~~, who ~~must~~shall be
16 responsible for performing the drop count. The opening, counting and recording of the
17 contents of a drop box ~~must~~shall be performed in the presence of and by the designated
18 individual(s).

19 (3)(A) Drop box counts ~~must~~shall be permanently recorded, in ink or another form
20 approved by the cardroom business~~owner~~ licensee, on a daily count sheet or the
21 equivalent, which documents all of the following information, as applicable:

22 ...

23 (B) Corrections to the information initially recorded for the drop count prior to the
24 completion and signing of a hard copy daily count sheet ~~are~~shall be permitted.
25 Corrections ~~must~~shall be made by drawing a single line through the error and writing the
26 correct figures above the original figures or by another method approved by the Bureau.
27 The designated individual making the correction ~~must~~shall write his or her initials and the
28 date, in ink, immediately next to the correct figures. The correction, in a hard copy of a
29 daily count sheet, of errors discovered subsequent to the completion and signing by the

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1 designated individual(s) ~~will~~shall require the completion of a revised or amended count
2 sheet, which ~~must~~shall be maintained with the original count sheet.

3 (4) The entire count process, beginning with the opening of the first drop box and
4 continuing through completion of the count sheet, ~~must~~shall be continuously recorded by
5 video surveillance.

6 (5) The contents of a drop box ~~may~~shall not be mixed or commingled with the
7 contents of any other drop box prior to the counting and recording of its contents.

8 (6) A drop box ~~must~~shall be emptied in a manner that will identify and record the box
9 identification, as specified in Section 12384, subsection (a), paragraph (3), subparagraph
10 (C), and paragraph (4), and so that video surveillance recording will document that all
11 contents are removed from the drop box for the count.

12 (b)(1) In addition to the requirements of subsection (a), the policies and procedures
13 for Tiers II through and including V ~~must~~shall include standards for count room functions
14 that require the use and maintenance of a secured area known as the count room for the
15 counting of gambling chips, which ~~must~~shall:

16 ...

17 (2) If the count room is used to store chips, cash, drop boxes or any other items or
18 materials that are directly associated with the count, the interior of the room and all of its
19 contents ~~must~~shall be under constant recorded video surveillance.

20 (c) In addition to the requirements of subsection (a) and (b), the policies and
21 procedures for Tiers III through and including V ~~must~~shall include the following
22 standards for count room functions:

23 (1) The number of individuals designated by the cardroom business licensee,
24 pursuant to paragraph (2) of subsection (a), to perform the drop count ~~shall~~cannot be less
25 than two individuals, or one individual using an automated chip counting machine that
26 counts, sorts and racks the chips, and records the count electronically on the cardroom
27 business licensee's computer system.

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1 (2) The designated individuals performing the count ~~must~~shall be attired so as to
2 reduce their ability to conceal chips on their person; for example, by wearing, over their
3 regular clothing, smocks or other clothing with no pockets.

4 (3) At the conclusion of the count, a cage or vault cashier or at least the equivalent
5 ~~must~~shall count the chips received and verify the accuracy of the count and count sheets.

6 (4) Count sheets verified pursuant to paragraph (3) above ~~must~~shall, immediately
7 following verification, be remitted to the accounting department or its equivalent, or
8 deposited in a locked box, located in a secure area of the gambling establishment, the
9 contents of which are accessible only by the accounting department or its equivalent.
10 Count sheets ~~must~~shall be maintained and controlled by the accounting department or its
11 equivalent.

12 (d) In addition to the requirements of subsections (a) through and including (c), the
13 policies and procedures for Tiers IV and V ~~must~~shall include the following standards for
14 count room functions:

15 (1) The count room ~~must~~shall be a fully enclosed room that is separate and apart from
16 all other rooms in the gambling establishment and is equipped with an alarm system or
17 device connected to all entrances to the count room which causes a signaling to the
18 surveillance unit or its equivalent, whenever any door to the count room is opened.

19 (2) Immediately prior to the commencement of the count, one of the designated
20 individuals ~~must~~shall notify the surveillance unit, or its equivalent, that the count is about
21 to begin. At least one employee of the gambling establishment who holds a valid
22 cardroom license ~~or work permit~~ ~~must~~shall be designated to video monitor the count
23 process and the entire count process ~~must~~shall be continuously recorded by video
24 surveillance.

25 (3) Immediately prior to the opening of a drop box, the door to the count room
26 ~~must~~shall be secured. Except as otherwise authorized by the cardroom business licensee's
27 policies and procedures, no person ~~may~~shall be permitted to enter or leave the count

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1 room, except during a normal work break or in an emergency, until the entire counting,
2 recording, and verification process is completed.

3 (e) In addition to the requirements of subsections (a) through and including (d), the
4 policies and procedures for Tier V ~~must~~shall include standards for count room functions
5 that require the drop count to be performed by not less than three individuals designated
6 by the cardroom business licensee pursuant to paragraph (2) of subsection (a), or two
7 individuals using an automated chip counting machine that counts, sorts and racks the
8 chips, and records the count electronically on the licensee's computer system.

9 ~~(f) Licensees shall establish and implement the applicable standards for count and~~
10 ~~count room functions specified in subsections (a) through and including (e) no later than~~
11 ~~April 1, 2010.~~

12 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code.
13 Reference: Sections 19841, 19922 and 19924, Business and Professions Code.

14

15 **§ 12386. Cage Operation and Functions.**

16 (a) The policies and procedures for all tiers ~~must~~shall meet or exceed the following
17 standards for cages:

18 (1) The cardroom business licensee ~~must~~shall maintain within the gambling
19 establishment at least one separate and secure area at a fixed location that is designated as
20 a cage. A cage ~~must~~shall be located, designed, constructed and operated to provide
21 convenience for patron transactions while maintaining appropriate security and
22 accountability for all monetary transactions occurring at the cage and all cage contents.

23 (2) The cardroom business licensee ~~must~~shall assign at least one gambling enterprise
24 employee to process monetary transactions at a cage. The titles, classifications, or
25 positions of all employees assigned to process monetary transactions at a cage ~~must~~shall
26 be listed on the gambling enterprise's organizational chart. The assigned employees'
27 duties may include any or all of the following:

28 ...

29 (E) Check cashing and extensions of credit for patrons, as permitted by the cardroom
30 business licensee's policies and procedures.

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1 ...

2 (3) Routine access and entry into a cage, or an area designated as a cage pursuant to
3 paragraph (1) of this subsection, must~~shall~~ be limited to on-duty cage personnel assigned
4 pursuant to paragraph (2) of this subsection. Other employees of the gambling enterprise
5 who hold a valid cardroom license~~gambling license, key employee license, or work~~
6 ~~permit~~ may be granted access to a cage or cage area for the purpose of performing their
7 duties.

8 (4) A log must~~shall~~ be maintained, either in writing or electronically, to document
9 entry into a cage by any person not authorized access pursuant to paragraphs (2) and (3)
10 of this subsection. The log must contain the person's name, title, date of entry, and time
11 entering and exiting; or provide substantially equivalent information through an
12 automated access control system. Any automated access control system must provide a
13 secure, tamperproof means of recording and maintaining entry and exit information.

14 (5)(A) Cage and cashiers' banks must~~shall~~ be reconciled after each shift by the
15 incoming and outgoing assigned cage employees. If an imprest is used, each outgoing
16 cage employee responsible for an imprest must~~shall~~ balance his or her imprest to the
17 imprest amount. The recordable cage transactions and reconciliations must~~shall~~ be posted
18 and reconciled to the general ledger at least monthly.

19 (B) The reconciliation of each cage and cashiers' bank must~~shall~~ be documented on a
20 cage accountability form that must~~shall~~ include, at a minimum, all of the following, as
21 applicable:

22 ...

23 (6) The purchase or redemption of gambling chips by a patron may only occur at a
24 cage or from an authorized cardroom licensee~~gambling enterprise employee~~ on the
25 gambling floor. Cardroom Licensees may~~shall~~ not permit TPPPS licensees~~proposition~~
26 ~~player services providers~~ to purchase or redeem gambling chips for cash or cash
27 equivalents from a patron or to sell gambling chips to a patron. For the purposes of this

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1 article, the sale, purchase or redemption of gambling chips may~~shall~~ not include the
2 exchange of a chip or chips of one total value for a chip or chips of an equal total value.

3 (7) If a cardroom business licensee operates more than one cage at any time during
4 any shift, all cages, irrespective of their designations (e.g., main cage, satellite cage,
5 auxiliary cage, supplementary cage, secondary cage, back up cage, support cage, etc.),
6 will~~shall~~ be subject to and comply with all provisions of this article applicable to the
7 operation and functions of cages for the cardroom business licensee's tier.

8 (b) In addition to the requirements of subsection (a), the policies and procedures for
9 Tiers III through and including V must~~shall~~ require that the cage and cashiers' banks
10 reconciliations specified in paragraph (5) of subsection (a) be posted and reconciled to
11 the general ledger by someone other than an assigned cage employee or cage supervisor.

12 (c) In addition to the requirements of subsections (a) and (b), the policies and
13 procedures for Tiers IV and V must~~shall~~ include the following standards for a cage:

14 (1) A cage must~~shall~~ be a secure enclosed structure with at least one cashier window
15 through which items such as gambling chips, cash, checks, and documents may be passed
16 to serve patrons and cardroom licensees~~gambling enterprise employees~~. The design and
17 construction of a cage must~~shall~~ include:

18 ...

19 (C) Access through a secured door or doors, which must~~shall~~ be under constant
20 recorded video surveillance in accordance with the applicable provisions of Section
21 12396.

22 (2) In addition to the information specified in paragraph (5) of subsection (a), the
23 cage accountability form referenced therein must~~shall~~ include an itemization of the
24 following:

25 ...

26 (3) The cardroom business licensee must~~shall~~ maintain a record, either in writing or
27 electronically, of the names or classifications of all persons assigned pursuant to
28 paragraph (2) of subsection (a) as being authorized to access or enter a cage, which

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1 record ~~must~~shall specify those persons who possess the combination or the keys or who
2 control the mechanism to open the devices securing the entrance to a cage, and those who
3 possess the ability to operate the alarm system. The record ~~must~~shall be updated each
4 time an assignment is added or deleted.

5 (d) In addition to the requirements of subsections (a), (b) and (c), the policies and
6 procedures for Tier V ~~must~~shall include standards for a cage that require monitored and
7 recorded video surveillance of the interior of the cage and all of its contents, and the
8 exterior of all access doors in accordance with the applicable provisions of Section
9 12396.

10 ~~(e) Licensees shall establish and implement the applicable standards for cage~~
11 ~~functions specified in subsections (a) through and including (d) no later than April 1,~~
12 ~~2010.~~

13 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code.
14 Reference: Sections 19841, 19922 and 19924, Business and Professions Code.
15

16 § 12387. Security and use of Floor Banks; Security of Gambling Equipment and 17 Confidential Documents.

18 (a) The policies and procedures for all tiers ~~must~~shall meet or exceed the following
19 standards for the security of floor banks:

20 (1) When kept, held, or stored in any public area of the gambling establishment, a
21 floor bank ~~must~~shall be secured in a receptacle, drawer, or compartment with a locking
22 mechanism securing the contents. The receptacle, drawer, or compartment ~~must~~shall
23 remain locked at all times, except when being accessed by assigned cardroom
24 ~~licensees gambling enterprise employees~~ in the performance of their duties. If a keyed
25 lock or locking mechanism is used, the key ~~may~~shall not be left in the lock when the
26 drawer or compartment is not being accessed. All keys, combinations, and access codes
27 ~~must~~shall be subject to the applicable key security and control provisions of Section
28 12395.

29 (2) The lock or locking mechanism of each receptacle containing a floor bank,
30 ~~must~~shall be keyed differently from the lock or locking mechanism of any other

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1 receptacle, drawer, or compartment of any furnishing, fixture, cabinet, appurtenance, or
2 device (hereafter cabinet) in the gambling establishment, except in the following
3 circumstances:

4 (A) When a single assigned gambling enterprise employee licensee requires access to
5 multiple receptacles in the performance of his or her duties; that access is limited solely
6 to that employee during his or her assigned shift; and each of the receptacles contains a
7 floor bank, those receptacles may have a key, combination, or access code in common
8 with each other.

9 (B) Gambling licensees~~Managers~~ and key employee supervisors licensees whose
10 duties include the supervision or oversight of gambling enterprise employee
11 licensees~~employees~~ who utilize and have access to floor banks in the performance of
12 their assigned duties, may have a master or duplicate key that will open some or all of the
13 locking mechanisms for the receptacles containing a floor bank to which any of their
14 subordinate employees have access.

15 (3) Any cabinet having a drawer, compartment, or receptacle containing or intended
16 to contain a floor bank must~~shall~~ be located so that it is clearly visible for security and
17 surveillance purposes. The cabinet must~~shall~~ be kept under continuous recorded video
18 surveillance, in accordance with the applicable provisions of Section 12396. The camera
19 coverage must~~shall~~ be adequate to enable monitoring and recording of the contents of any
20 drawer when open, to the extent reasonably possible, and of all activities involving the
21 floor bank. If a mobile cabinet is used, it must~~shall~~ be kept at a fixed secure location
22 under continuous recorded video surveillance when not being actively used on the
23 gambling floor.

24 (4) No gambling equipment, documents, supplies, or other materials that are not
25 directly related to a floor bank may~~shall~~ be commingled with or kept in the same
26 receptacle with a floor bank. Neither the cabinet nor any other drawer, compartment, or
27 receptacle therein, may~~shall~~ be used to hold, store, keep, or safeguard any personal
28 property or possession of any gambling enterprise employee licensee, patron, or any other

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1 person, nor any equipment, documents, supplies, or other materials that are not directly
2 related to the conduct of gambling operations.

3 (5) Each floor bank ~~must~~shall be individually balanced not less than daily and the
4 imprest amount verified. Any shortages or overages ~~must~~shall be documented in an
5 exception report and included in the appropriate cage bank reconciliation.

6 (6) The cardroom business licensee ~~must~~shall establish a maximum imprest amount
7 that may be assigned to each floor bank based on a reasonable estimate of the amount
8 necessary for the activities associated with the bank during any shift. The maximum
9 imprest amount that may be assigned to a floor bank in a mobile cabinet ~~may~~shall not
10 exceed \$30,000 at any time.

11 (7) The cardroom business licensee's policies and procedures ~~must~~shall include
12 specific provisions governing the sale or distribution of gambling chips and the
13 disbursement of cash to patrons from a floor bank by the assigned gambling enterprise
14 employee licensee. The redemption of chips by a patron from a floor bank ~~may~~shall not
15 exceed a total of \$500, except when that floor bank is being temporarily operated as a
16 cage and all applicable provisions of Section 12386 are complied with. No chip
17 redemptions may be transacted at any time from a floor bank in a mobile cabinet.

18 (b) The policies and procedures for all tiers ~~must~~shall meet or exceed the following
19 standards for the security of gambling equipment and confidential documents:

20 (1)(A) When kept, held, or stored in any public area of the gambling establishment,
21 gambling equipment not actively being used ~~must~~shall be secured in a receptacle, drawer,
22 or compartment, with a locking mechanism securing the contents. The locking
23 mechanism ~~must~~shall remain locked at all times, except when being accessed by an
24 authorized gambling enterprise employee licensee in the performance of his or her duties.
25 If a keyed lock or locking mechanism is used, the key ~~may~~shall not be left in the lock
26 when the receptacle is not being accessed. All keys, combinations, and access codes
27 ~~must~~shall be subject to the applicable key security and control provisions of Section

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1 12395. This subparagraph ~~may~~shall not apply to any gambling equipment that cannot be
2 secured in a receptacle, drawer, or compartment when not in use due to its size.

3 (B) When kept, held, or stored in any public area of the gambling establishment,
4 confidential documents ~~must~~shall be secured in a receptacle, drawer, or compartment, as
5 specified in subparagraph (A), except when in use or when maintained electronically.
6 Confidential documents, when in use or maintained electronically, ~~must~~shall be kept out
7 of public view, to the extent reasonably possible.

8 (2) The lock or locking mechanism of each receptacle containing any gambling
9 equipment or confidential documents, ~~must~~shall be keyed differently from the lock or
10 locking mechanism of any other receptacle, drawer, or compartment of any cabinet in the
11 gambling establishment, except in the following circumstances:

12 (A) When a single assigned gambling enterprise employee licensee requires access to
13 multiple receptacles in the performance of his or her duties; that access is limited solely
14 to that employee during his or her assigned shift; and each of the receptacles contains
15 either gambling equipment or confidential documents, those receptacles may have a key,
16 combination, or access code in common with each other.

17 (B) Gambling licensees~~Managers~~ and key employee supervisors licensees whose
18 duties include the supervision or oversight of employees who utilize and have access to
19 gambling equipment or confidential documents in the performance of their assigned
20 duties, may have a master or duplicate key that will open some or all of the locking
21 mechanisms for the receptacles to which any of their subordinate employees have access.

22 (3) Any cabinet having a drawer, compartment, or receptacle containing gambling
23 equipment or confidential documents ~~must~~shall be located so that it is clearly visible for
24 security and surveillance purposes. The cabinet ~~must~~shall be kept under continuous
25 recorded video surveillance, in accordance with the applicable provisions of Section
26 12396.

27 (4) No gambling equipment or confidential documents ~~will~~shall be commingled with
28 or kept in the same drawer or compartment with a floor bank, or commingled with or

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1 kept in the same drawer or compartment with any personal property or possession of any
2 gambling enterprise employee licensee, patron, or any other person.

3 (5) The cardroom business licensee's policies and procedures ~~must~~shall include
4 specific provisions governing the storage, distribution, and tracking of gambling
5 equipment kept, held, or stored on or near the gaming floor or in any other public area of
6 the gambling establishment.

7 (c) If a cardroom business licensee provides to any ~~third party provider of~~
8 ~~proposition player services (TPPPS)~~ business licensee~~company~~ or its employees access to
9 or the use of any cabinet, or any receptacle, drawer, or compartment in any cabinet
10 described in subsection (a) or (b), that access or use ~~must~~shall be exclusive to that TPPPS
11 business licensee~~company~~ and its employees, and that cabinet ~~may~~shall not be used by
12 the cardroom business licensee for any purpose.

13 ~~(d) Licensees shall establish and implement the standards specified in this section no~~
14 ~~later than April 1, 2015.~~

15 Note: Authority cited: Sections 19840, 19841, and 19924, Business and Professions Code.
16 Reference: Sections 19841, 19922, and 19924, Business and Professions Code.
17

18 § 12388. Extension of Credit, Check Cashing, and Automatic Teller Machines 19 (ATMS).

20 (a) A cardroom business licensee may extend credit to a patron if, prior to extending
21 credit to the patron, the cardroom business licensee determines that an extension of credit
22 is not prohibited by any statute, law, regulation, or local ordinance. ~~A licensee shall not~~
23 ~~extend credit to an owner, supervisor, player or other employee of a gambling business~~
24 ~~(as defined in Title 4 CCR Section 12220) that is occupying a player dealer position in~~
25 ~~any game at any gambling establishment owned by the licensee.~~ A cardroom business
26 licensee ~~may~~shall not extend credit to an TPPPS licensee ~~owner, supervisor, player or~~
27 ~~other employee of a third party provider of proposition player services (as defined in~~
28 ~~Title 4 CCR Section 12200)~~ that is a party to a contract with the TPPPS owner licensee to
29 provide third-party proposition player services ~~in a game with a player dealer position in~~
30 ~~any gambling establishment owned by the licensee.~~ A cardroom business licensee may

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1 not extend credit to an employee of the licensee to act as a “house prop player” or “public
2 relations player” in any controlled game. In addition to complying with all laws
3 regarding the issuance of credit, a cardroom business licensee that extends credit to a
4 patron ~~must~~shall address, in written policies and procedures and credit application
5 form(s), the following requirements for the extension and collection of credit:

6 ...

7 (3) ...

8 (A) Receipt of patron information on a credit application form which includes the
9 patron's name and signature, current address, telephone number, social security number,
10 bank and/or trade references, employment information and income information, which
11 ~~must~~shall be verified and used to form an assessment of the patron's financial situation,
12 collateral circumstances and credit worthiness.

13 ...

14 (4) An gambling licensee~~owner~~ or designated key employee licensee other than a
15 dealer must approve any credit application.

16 ...

17 (6) Notify the patron of the issuance or denial of credit. The notification for issuing
18 credit ~~must~~shall include the date of issuance, terms of repayment, and interest charges, if
19 applicable. If a patron is denied credit, and the denial is based, in whole or part, on any
20 information contained in a consumer credit report, the cardroom business licensee
21 ~~must~~shall comply with Civil Code section 1785.20.

22 (7) If a patron is approved for credit pursuant to subparagraph (B) of paragraph (3), a
23 copy of the patron's consumer credit report obtained by the cardroom business licensee
24 ~~must~~shall be kept on file with the cardroom for as long as that patron's credit account is
25 open.

26 (8) Written or electronic records ~~must~~shall be maintained on each attempt to collect
27 on delinquent credit accounts.

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1 (9) For each patron issued credit, the cardroom business licensee ~~must~~shall maintain
2 a record of the patron's credit limit, payment schedule, outstanding credit balance, and
3 the patron's signature on a credit agreement.

4 (b) For each patron that is issued credit for the first time, the following information
5 ~~must~~shall be collected and maintained:

6 ...

7 (c) If payment upon an extension of credit is delinquent for more than 90 days, as
8 determined by the original credit agreement, the person to whom credit was extended
9 ~~must~~shall be prohibited from obtaining additional credit until the amount owed is paid in
10 full.

11 (d) No cardroom business licensee~~gambling enterprise~~ ~~may~~shall cash any check if
12 cashing such a check is prohibited by any statute, regulation, or ordinance. No gambling
13 enterprise employee licensee ~~will~~shall be permitted to cash any check drawn against any
14 federal, state, county, or other government fund, including, but not limited to, social
15 security, unemployment insurance, disability payments, or public assistance payments, as
16 outlined in Business and Professions Code section 19841, subdivision (q), unless the
17 check is for wages or payment for goods or services.

18 (e) A cardroom business licensee who does not deposit a patron's check within three
19 banking days after receipt ~~will~~shall be considered to have extended credit to that patron.

20 (f)(1) A cardroom business licensee ~~will~~shall not allow a patron to replace, redeem,
21 reclaim or repurchase a personal check with a subsequent personal check, unless that
22 patron has been approved for an extension of credit as provided in this Article and the
23 amount of the check or checks to be replaced is within the patron's approved credit limit.

24 (2) A subsequent personal check used by a patron to replace a previous personal
25 check may not be replaced with another personal check at any time after receipt by the
26 cardroom business licensee.

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1 (3) Paragraph (1) of this subsection ~~does~~shall not apply to a personal check that has
2 not been deposited by a cardroom business licensee within three banking days after a
3 receipt, or to a dishonored check.

4 (g) A cardroom business licensee that cashes checks for a patron ~~must~~shall address,
5 in written policies and procedures, the following requirements for the cashing of checks:

6 (1) Prior to cashing a check for a patron, the designated employee ~~must~~shall
7 determine that:

8 (A) The cardroom business licensee's records do not contain information reflecting
9 that the patron presenting the check has signed a self-exclusion form or self-restricted
10 access to check cashing for the time period of the exclusion or restriction,

11 ...

12 (C) Cashing such check conforms to the cardroom business licensee's approval
13 process,

14 ...

15 (2) If personal checks, cashier's checks, or payroll checks are cashed, the cardroom
16 business licensee or designated employee ~~must~~shall examine and, if the patron is not
17 approved for credit or check cashing, record an unexpired government-issued form of
18 identification evidencing residence and bearing a photograph of the patron, such as a
19 driver's license or passport. If the patron's identification information is already on file
20 with the cardroom business licensee, then retrieval and examination of this identification
21 file by the cardroom business licensee or designated employee ~~will~~shall satisfy the
22 provisions of this paragraph.

23 (3) Records of all returned checks ~~must~~shall be maintained by the gambling
24 establishment and ~~must~~shall include, at a minimum, the following:

25 ...

26 (4) If a check is dishonored, the person who proffered the check ~~must~~shall be
27 prohibited from cashing additional checks until the amount owed is paid in full, but may

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1 replace a dishonored check in accordance with the policies of the licensed gambling
2 establishment.

3 (5) The cardroom business licensee ~~must~~shall include written procedures for the
4 collection of checks dishonored for non-sufficient funds (NSF), including a point in time
5 that the NSF check will be written off as a bad debt.

6 (h) If a cardroom business licensee that cashes checks for a patron charges a check-
7 cashing fee, the cardroom business licensee ~~must~~shall obtain and maintain an unexpired
8 California Department of Justice Check Cashing Permit pursuant to Civil Code section
9 1789.37.

10 ...

11 (j) A licensed gambling establishment ~~may~~shall not have an ATM (automatic teller
12 machine or cash- or voucher-dispensing machine) accessible by an individual while
13 physically seated at a gaming table, unless otherwise required under the Americans with
14 Disabilities Act.

15 (k) ATMs ~~must~~shall be configured to reject Electronic Benefit Transfer cards (EBTs)
16 issued by the State of California or by any city, county, or city and county therein.

17 Note: Authority cited: Sections 19811, 19823, 19840, 19841(g), 19841(o), 19841(q), 19901,
18 19905, and 19920, Business and Professions Code. Reference: Sections 19801, 19841(g),
19 19841(o), 19841(q), 19901, 19905, and 19920, Business and Professions Code.

21 **§ 12391. Gambling Floor Operation.**

22 (a) The policies and procedures for all Tiers ~~must~~shall meet or exceed the following
23 standards for gambling floor operation:

24 (1) Except as provided in Business and Professions Code sections 19844, 19845,
25 19861 and 19921, all areas of the gambling establishment in which controlled games and
26 gaming activity are being conducted ~~must~~shall be open to the public.

27 (2) No cardroom licensee ~~or employee of a gambling enterprise may~~shall, as a
28 consequence of an employee's refusal to play a controlled game, coerce that employee, or
29 take or threaten to take any action adversely affecting the terms and conditions of
30 employment for that employee. Notwithstanding the forgoing, where an employee's

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1 duties or scope of employment includes the play of controlled games, a [cardroom](#)
2 licensee ~~or employee~~ may take action adversely affecting the terms and conditions of
3 employment against that employee for his or her refusal to play a controlled game. This
4 paragraph does not create any new civil liability.

5 (3) A [cardroom business](#) licensee ~~may~~[shall](#) not have in any room or combination of
6 rooms where controlled games or gaming activities are being conducted, more gaming
7 tables than the total number of tables the [cardroom business](#) licensee is authorized to
8 operate, unless all excess gaming tables are covered or prominently labeled as being non-
9 operational and are under continuous recorded video surveillance, in accordance with
10 paragraph (1), subsection (a) of Section 12396.

11 (4) The sale or redemption of chips ~~must~~[shall](#) be transacted only by those designated
12 gambling enterprise employees [licensees](#) who have received the training required by
13 section 1021.210 (revised as of July 1, 2011) of Chapter X of Title 31 of the Code of
14 Federal Regulations. A [cardroom business](#) licensee ~~must~~[shall](#) have policies and
15 procedures in place to ensure compliance with Section 12315.

16 (b) In addition to the requirements of subsection (a), the policies and procedures for
17 Tiers III through and including V ~~must~~[shall](#) include standards for gambling floor
18 operations that provide for, Title 11, CCR, Section 2050 notwithstanding, at least one
19 [gambling](#) licensee or key employee [license](#) to be on the premises at all times that the
20 gambling establishment is open to the public to supervise the gambling operation and
21 ensure immediate compliance with the Act and these regulations.

22 ~~(e) Licensees shall establish and implement the applicable standards for gambling~~
23 ~~floor operations specified in subsections (a) and (b) no later than May 1, 2013.~~

24 Note: Authority cited: Sections 19801(l), 19811, 19840, 19841, 19861 and 19920, Business and
25 Professions Code. Reference: Sections 19801(a), 19801(g), 19801(h), 19801(j), 19801(l), 19823,
26 19841, 19861, 19914(a)(2), 19920 and 19924, Business and Professions Code.
27

28 § 12392. House Rules.

29 The policies and procedures for all Tiers ~~must~~[shall](#) meet or exceed the following
30 standards for house rules:

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1 (a) A cardroom business licensee ~~must~~shall adopt and implement general house rules,
2 written, at a minimum, in English, which promote the fair and honest play of all
3 controlled games and gaming activity, and which at a minimum:

4 ...

5 (3) Where applicable during the play of any controlled game or gaming activity,
6 ~~must~~shall address the following:

7 ...

8 (b) A cardroom business licensee's house rules ~~must~~shall be in addition to, and
9 ~~may~~shall not conflict with, the game rules approved by the Bureau for any controlled
10 game or gaming activity.

11 (c) A cardroom business licensee's house rules must be readily available and
12 provided upon request to patrons and the Bureau.

13 ~~(d) Licensees shall establish and implement the applicable standards for house rules~~
14 ~~specified in subsections (a) and (b) no later than May 1, 2013.~~

15 Note: Authority cited: Sections 19801(l), 19811, 19840, 19841 and 19920, Business and
16 Professions Code. Reference: Sections 19801(g), 19801(h), 19823, 19841 and 19920, Business
17 and Professions Code.

18

19 **§ 12395. Security.**

20 (a) The policies and procedures for all Tiers ~~must~~shall meet or exceed the following
21 standards for security:

22 (1) Access to restricted areas of the gambling establishment, including but not limited
23 to cages, count rooms, vaults, security offices and surveillance rooms, ~~must~~shall be
24 limited to authorized personnel in the performance of their duties and ~~must~~shall be
25 closely controlled.

26 (2) For the purpose of video surveillance recordings, gambling establishments
27 ~~must~~shall provide adequate lighting of all public areas, entrances and exits, and for all
28 adjoining parking areas owned, operated or otherwise controlled by the cardroom
29 business licensee for use by its patrons.

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1 (3) Cardroom business ~~L~~icensees must~~shall~~ file an incident report with the Bureau's
2 Criminal Intelligence Unit within five business days of either of the following:

3 (A) Any gambling licensee~~owner~~ or key employee licensee contacting a local law
4 enforcement agency, pursuant to the provisions of the licensee's security plan, regarding
5 any reasonably suspected violation of the Act, this division, Division 3 of Title 11 of the
6 California Code of Regulations, any statute set forth in sections 330 through 337z of the
7 Penal Code that pertains to gambling, section 1916-3(b) of the Civil Code (loan-
8 sharking), chapter 1 (commencing with section 11000) of division 10 of the Health and
9 Safety Code (illegal possession or distribution of controlled substances), section 4022 of
10 the Business & Professions Code (illegal possession or distribution of dangerous drugs),
11 or any violation of the following Penal Code sections: 186.10 (money laundering), 211
12 (robbery), 245 (assault with deadly weapon), 266h (pimping), 266i (pandering), 459
13 (burglary), 470 (forgery), 476 (fraud), 487 (grand theft), 488 (petty theft), 503
14 (embezzlement), 518 (extortion), 641.3 (commercial bribery), 648 (counterfeit currency),
15 653.22 (loiter for prostitution), 653.23 (pimping), or 647(b) (prostitution).

16 (B) Any gambling licensee~~owner~~ or key employee licensee obtaining knowledge or
17 notice of any reasonably suspected violation listed in subparagraph (A).

18 (4) An incident report must~~shall~~ include, when available and applicable, the
19 following information:

20 ...

21 (5) Cardroom business ~~L~~icensees must~~shall~~ maintain a list of all mechanical keys or
22 electronic card keys to the locking devices used to secure the gambling establishment,
23 restricted areas of the gambling establishment, or any fixtures, appurtenances and
24 equipment used in the gambling operation, the names of all gambling establishment
25 employees licensees who have been issued, possess or have access to any of those keys,
26 and the location where un-issued keys are stored. If any coded mechanical or electronic
27 locking devices are used, the list must~~shall~~ include all access codes and combinations, as
28 applicable, and the names of all gambling establishment employees licensees who

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1 possess any code or combination, or who control the mechanism to open any of the locks.

2 The cardroom business licensee may maintain a master list or separate departmental lists.

3 Each list must~~shall~~ be:

4 ...

5 (b) In addition to the requirements of subsection (a), the policies and procedures for
6 Tiers III through and including V must~~shall~~ meet or exceed the following standards for
7 security:

8 (1) Except as otherwise provided, cardroom business licensees must~~shall~~ install and
9 maintain a minimum of at least one secure key control box for the storage and
10 safeguarding of all un-issued gambling-related keys and access code cards associated
11 with the gambling establishment; e.g., keys to the gambling establishment, cage, count
12 room or other restricted areas of the gambling establishment, and any fixtures,
13 appurtenances and equipment used in the gambling operation, including but not limited to
14 gambling tables and drop boxes. This paragraph does not apply to an individual cardroom
15 business licensee, who does not employ, except in unforeseeable exigencies, more than
16 one person or any person except members of his or her immediate family. For the
17 purposes of this paragraph, “immediate family member” means spouse, child, stepchild,
18 brother, stepbrother, sister, stepsister, mother, stepmother, father, or stepfather.

19 (2) All key control boxes must~~shall~~ meet or exceed the following requirements:

20 (A) The key control box must~~shall~~ have a minimum of one keyed locking
21 mechanism. A coded key lock or a mechanical or electronic combination lock is
22 acceptable.

23 (B) The key control box must~~shall~~ be securely attached to a permanent structure
24 within the gambling establishment. The hardware used to attach the box may~~shall~~ not be
25 visible or accessible externally.

26 (C) All keys, stored within a key control box must~~shall~~ be easily identifiable and
27 individually labeled.

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1 (D) Access to a key control box ~~must~~shall be limited to the cardroom
2 licensees~~licensed gambling establishment owners, key employees, or other employees~~
3 designated by the cardroom business licensee~~owner of the gambling establishment~~.

4 (3) Cardroom business ~~L~~licensees ~~must~~shall maintain a key control log for each key
5 control box maintained pursuant to paragraph (1). The key control log ~~must~~shall
6 document the issuance and return of all gambling-related keys used to control access by
7 gambling establishment employees licensees to restricted areas of the gambling
8 establishment, or any fixtures, appurtenances and equipment, associated with the
9 department or operation.

10 (4) During any period of time, between one-half hour before or after sunset and one-
11 half hour before or after sunrise, in which the gambling establishment is open for
12 business or patrons are present on the premises, cardroom business licensees ~~must~~shall
13 have at least one uniformed security officer on duty, who ~~must~~shall periodically patrol
14 the exterior of the gambling establishment, including all adjoining and adjacent parking
15 areas owned, operated or otherwise controlled by the cardroom business licensee for use
16 by its patrons. Any security officer, whether an employee, agent or contractor of the
17 cardroom business licensee, who is a gambling enterprise employee as defined in
18 subdivision (m) of section 19805 of the Business and Professions Code, ~~will~~shall be
19 required to hold a work permit pursuant to paragraph (1) of subdivision (a) of section
20 19912 of the Business and Professions Code, and Chapter 2 of this division. Any contract
21 security officer whose scope of employment is limited to performance of his or her duties
22 exclusively outside the cardroom business licensee's gambling establishment ~~will~~shall not
23 be required to hold a Commission work permit ~~under these regulations~~.

24 (c) In addition to the requirements of subsections (a) and (b), the policies and
25 procedures for Tiers IV and V ~~must~~shall meet or exceed the following standards for
26 security:

27 (1) Cardroom business ~~L~~licensees ~~must~~shall install and maintain a backup generator
28 that is sufficient, during power outages, to provide for the operation of lighting systems,

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1 information systems, and surveillance and recording systems for a time necessary to
2 protect the safety and security of patrons and employees, patrons' property, and the
3 cardroom business licensee's assets and property while gambling operations are
4 terminated and patrons exit the premises.

5 (2) Any gambling establishment that elects to continue gambling operations during a
6 power outage ~~must~~ shall install and maintain a backup generator that is sufficient to
7 provide for the full and continued operation of all lighting systems, all information
8 systems, and all surveillance and recording systems.

9 (d) In addition to the requirements of subsections (a), (b) and (c), the policies and
10 procedures for Tier IV ~~must~~ shall include standards for security that require at least two
11 uniformed security officers, as specified in paragraph (4) of subsection (b), to be on duty
12 during all hours of operation, one of which ~~must~~ shall periodically patrol the exterior of
13 the gambling establishment, including all adjoining and adjacent parking areas owned,
14 operated or otherwise controlled by the licensee for use by its patrons.

15 (e) In addition to the requirements of subsections (a), (b), (c) and (d), the policies and
16 procedures for Tier V ~~must~~ shall include standards for security that require at least two
17 uniformed security officers, as specified in paragraph (4) of subsection (b), to be on duty
18 during all hours of operation, one of which ~~must~~ shall continuously patrol the exterior of
19 the gambling establishment, including all adjoining and adjacent parking areas owned,
20 operated or otherwise controlled by the licensee for use by its patrons.

21 ~~(f) Licensees shall establish and implement the applicable standards for security~~
22 ~~specified in subsections (a) through and including (e) no later than December 1, 2011.~~

23 Note: Authority cited: Sections 19801(g), 19826(b), 19840, 19841, 19856(c), 19857 and 19924,
24 Business and Professions Code. Reference: Sections 19841, 19856(c), 19857, 19912, 19922 and
25 19924, Business and Professions Code.
26

27 **§ 12396. Surveillance.**

28 (a) The policies and procedures for all Tiers ~~must~~ shall meet or exceed the following
29 standards for surveillance:

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1 (1) Licensees must~~shall~~ install and maintain, on site in their gambling establishment,
2 a surveillance system, with video recording and closed circuit television (CCTV)
3 monitoring capabilities, to record critical activities related to the licensees' gambling
4 operations. The surveillance system must~~shall~~ record with reasonable coverage and
5 clarity, at a minimum, the gambling operation, the payment of player drop fees, the
6 collection of drop boxes, the drop count processes, cage and cashier activities, gambling
7 equipment storage areas, except for furniture storage areas, and the interior of gambling
8 establishment entrances and exits. The video recording equipment must~~shall~~ include date
9 and time generators which must~~shall~~ display the current date and time of recorded events
10 on videotape or digital recordings. The displayed date and time must~~shall~~ not
11 significantly obstruct the view of recorded images. The surveillance system may have
12 remote, off-site access capabilities, but only ancillary to any on-site systems required by
13 this section.

14 (2) All surveillance recordings must~~shall~~ be made in real time mode, or at a speed
15 sufficient to capture and record with reasonable completeness the actions of all
16 individuals being observed, except that any recordings of the gambling establishment
17 parking areas, and the gambling establishment entrances and exits may be recorded in
18 time-lapse mode, at a minimum speed of 15 frames per second.

19 (3) All video surveillance cameras must~~shall~~ be installed in a manner that prevents
20 them from being intentionally obstructed, tampered with or disabled by patrons or
21 employees, to the extent reasonably possible. All recording and monitoring equipment
22 must~~shall~~ be located in secure rooms or areas of the gambling establishment so that
23 access is controlled.

24 (4) The surveillance system operation must~~shall~~ be checked daily to ensure that all
25 surveillance equipment is functioning properly and reasonable efforts must~~shall~~ be made
26 to repair malfunctioning surveillance equipment within 72 hours of the discovery of the
27 malfunctions.

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1 (5) If a digital video recording (DVR) system is utilized, the system must~~shall~~ meet
2 the following standards:

3 (A) The DVR system must~~shall~~ have a failure notification system that, at a minimum,
4 provides a visual notification of any failure in the surveillance system or the DVR media
5 storage system.

6 (B) The DVR system must~~shall~~ have a media storage system that is configured so
7 that a failure of any single component will not result in the loss of any data from the
8 media storage system.

9 (C) The DVR system must~~shall~~ have the capability to reproduce or copy all or any
10 portion of the stored data from the media storage system to a digital video disk (DVD).

11 (D) A single DVR system may~~shall~~ not have more than 8 cameras required by the
12 standards of this section, unless the DVR system has an appropriate backup system to
13 ensure that there is no loss of data in the event of a failure of the primary DVR system or
14 any single component of that system.

15 (6) Videotapes or other recording media must~~shall~~ be marked or coded to denote the
16 activity recorded.

17 (7)(A) Unless otherwise requested by the Bureau, all recordings must~~shall~~ be retained
18 for a minimum of seven complete days of operation, except that recordings that are
19 determined by the Bureau or a law enforcement agency to be of evidentiary value
20 must~~shall~~ be retained for a period specified in writing by the determining agency.
21 Recordings of any criminal offense subject to reporting pursuant to paragraph (3) of
22 subsection (a) of Section 12395 must~~shall~~ be retained indefinitely, or until the Bureau
23 authorizes their disposal.

24 (B) Subsection (f) notwithstanding, the seven day retention period specified in
25 subparagraph (A) must~~shall~~ be increased to 14 days no later than June 1, 2013.

26 (8) For the purpose of enforcing the provisions of the Act, this division, or Division 3
27 of Title 11 of the California Code of Regulations, Bureau staff, with the approval of the
28 chief, may, at any time during the gambling establishment's actual hours of operation,

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1 demand immediate access to the surveillance room and any area of the gambling
2 establishment where surveillance equipment is installed or maintained or where
3 surveillance video recordings are stored, and such access ~~must~~ shall be provided by the
4 cardroom business licensee or the cardroom business licensee's authorized representative.
5 The Bureau may, pursuant to subparagraph (D) of paragraph (1) of subdivision (a) of
6 section 19827 of the Business and Professions Code, take custody of and remove from
7 the gambling establishment the original of any video recording, or a copy of any digital
8 recording, required to be made and maintained pursuant to the Act or this division. Any
9 surveillance video recording that is in the custody of the Bureau pursuant to this
10 paragraph may be disclosed by the Bureau only when necessary to administer or enforce
11 the provisions of the Act, this division, or Division 3 of Title 11 of the California Code of
12 Regulations or when necessary to comply with a court order. Upon reasonable request of
13 the cardroom business licensee or the cardroom business licensee's authorized
14 representative, a copy of the recordings ~~must~~ shall be made and left on the premises if
15 copying equipment is available to enable Bureau staff to make copies. If copying
16 equipment is not available to Bureau staff, upon reasonable request of the cardroom
17 business licensee or the cardroom business licensee's authorized representative, a copy of
18 the recordings will be provided to the cardroom business licensee at the cardroom
19 business licensee's expense, unless the Bureau expressly waives its costs of providing the
20 copies.

21 (9) Cardroom business ~~L~~ licensees ~~must~~ shall prominently display in a place and
22 manner conspicuous to all patrons entering and exiting the gambling establishment, a
23 sign containing the following statement printed in bold lettering of sufficient size to be
24 visible and readable: "All Public Areas, Entrances and Exits of This Establishment are
25 Subject to Surveillance and Video Recording." The lettering and background ~~must~~ shall
26 be of contrasting colors, and the sign ~~must~~ shall comply in all respects with applicable
27 signage requirements, if any, of the local jurisdiction.

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1 (b) In addition to the requirements of subsection (a), the policies and procedures for
2 Tiers II through and including V ~~must~~shall meet or exceed the following standards for
3 surveillance:

4 (1) The surveillance system ~~must~~shall, at a minimum, record both the interior and the
5 exterior of gambling establishment entrances and exits.

6 (2) The surveillance system ~~must~~shall have a sufficient number of cameras dedicated
7 to gambling tables to be capable of viewing and recording, with reasonable coverage and
8 clarity, patrons, dealers, wagers, cards, and game outcome at each table. For the purposes
9 of this paragraph, an overhead view of patrons and dealers is acceptable. This paragraph
10 ~~does~~shall not apply to demonstration or instructional tables, when cash or prizes are not
11 being wagered, won or lost.

12 (3) The surveillance system ~~must~~shall include an audio recording of, at a minimum,
13 any areas of the gambling establishment that are used for vault or count room functions.

14 (c) In addition to the requirements of subsections (a) and (b), the policies and
15 procedures for Tiers III through and including V ~~must~~shall include standards for
16 surveillance that require the surveillance system to include coverage and recording of all
17 adjoining parking areas owned, operated or otherwise controlled by the cardroom
18 business licensee for use by its patrons.

19 (d) In addition to the requirements of subsections (a), (b) and (c), the policies and
20 procedures for Tier IV ~~must~~shall include a requirement that, during all hours of
21 operation, a gambling ~~licensee~~establishment owner or key employee licensee be on duty
22 who has the ability to access live video from surveillance cameras and previous
23 surveillance video recordings.

24 (e) In addition to the requirements of subsections (a), (b), (c) and (d), the policies and
25 procedures for Tier V ~~must~~shall meet or exceed the following standards for surveillance:

26 (1) Cardroom business ~~L~~icensees ~~must~~shall establish a surveillance unit separate and
27 apart from the security department. The head of the surveillance unit and all surveillance

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1 unit personnel ~~must~~shall be independent of the security department and have no other
2 gambling-related duties.

3 (2) Cardroom business ~~L~~icensees ~~must~~shall establish and maintain a separate
4 surveillance room that meets or exceeds the following requirements:

5 (A) The surveillance room ~~must~~shall have controlled access through a secured door
6 or doors, which ~~must~~shall be under constant recorded video surveillance.

7 (B) No entrance or exit door of a surveillance room ~~must~~shall be readily observable
8 or accessible from the gambling operation area.

9 (3) Routine access and entry into the surveillance room ~~must~~shall be limited to on-
10 duty employees of the surveillance unit assigned to monitor gambling operations.

11 Gambling licensees~~Owners~~, Key employee licensees~~managers~~ and other holders of a
12 work permit~~employees of the gambling establishment who hold a valid gambling license~~
13 ~~or work permit~~ may be granted access to the surveillance room for the purpose of
14 performing their duties. Other persons may be granted limited access to the surveillance
15 room for educational, investigative or maintenance purposes, if accompanied at all times
16 by a surveillance unit employee.

17 (4) At least one surveillance employee ~~must~~shall be present in the surveillance room
18 and actively monitoring the gambling operations, via the surveillance room equipment,
19 during all hours of operation, except that the surveillance room may be unattended for no
20 more than a total of one hour during any shift or eight-hour period to allow for required
21 meal and rest breaks for staff. No controlled gambling may take place when a
22 surveillance employee is not present and on duty in the gambling establishment, whether
23 on a break or not.

24 (5) Count room surveillance ~~must~~shall include closed circuit television (CCTV)
25 monitoring and video recording.

26 (6) Cardroom business ~~L~~icensees ~~must~~shall maintain a record of all surveillance
27 activity in the surveillance room, by surveillance period or shift, in a surveillance activity

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1 log. The surveillance activity log entries must~~shall~~ be made by on-duty surveillance
2 personnel and must~~shall~~ include, at a minimum, the following:

3 ...

4 ~~(f) Licensees shall establish and implement the applicable standards for surveillance~~
5 ~~specified in subsections (a) through and including (e) no later than December 1, 2011.~~

6 Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code.
7 Reference: Sections 19827, 19841, 19922 and 19924, Business and Professions Code.

8

9 **ARTICLE 96. PROGRAM FOR RESPONSIBLE GAMBLING.**

10

11 **§ 12460. Article Definitions.**

12 For purposes of this Article:

13 (a) “Self-Exclusion” means voluntary agreement to be excluded from all gambling
14 establishments and all controlled games or gaming activities or privileges. A list of self-
15 excluded persons will~~shall~~ be maintained by the Bureau and will~~shall~~ not be open to
16 public inspection.

17 (b) “Self-Restriction” means a voluntary agreement with a single gambling enterprise
18 that is irrevocable for a specified term to:

19 ...

20 (2) Be restricted from the play of a particular controlled game or gaming activity, if
21 the cardroom business licensee~~gambling enterprise~~ determines that such segregation is
22 feasible;

23 ...

24 (4) Be restricted from all direct marketing or promotional activities conducted by or
25 on behalf of the particular cardroom business licensee~~gambling enterprise~~ where any of
26 the patron's information for direct marketing matches the information on the exclusion.

27 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions
28 Code Reference: Section 19845, Business and Professions Code.

29

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§ 12461. Posting Referral Information.

(a) Each cardroom business licensee ~~must~~shall post or provide, at patron gambling entrances or exits, and in conspicuous places in or near gambling areas and any areas where cash or credit are available to patrons, accessible written materials concerning the nature and symptoms of problem gambling and the toll-free telephone number approved by the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently “1-800-GAMBLER.”

(b) Any website operated by or on behalf of any cardroom business licensee~~gambling enterprise, or~~ TPPPS business licensee~~or gambling business~~ ~~must~~shall contain a responsible gambling message and a link to the Office of Problem Gambling (or its successors) that provides information and referral services for problem gamblers, currently “<http://www.problemgambling.ca.gov>.”

(c) Advertising material produced by or on behalf of any cardroom business licensee~~gambling enterprise, or~~ TPPPS business licensee~~or gambling business~~ ~~must~~shall contain a responsible gambling message and ~~must~~shall refer to the telephone number listed in subsection (a) above or the website listed in subsection (b) above, or both. This provision applies to any advertisement that will be distributed by television, radio, outdoor display, flyer, mail or digitally. This provision does not apply to:

...

Note: Authority cited: Sections 19811, 19840, 19841(o), and 19920, Business and Professions Code. Reference: Sections 19801 and 19920, Business and Professions Code; and Sections 4369.2 and 4369.4, Welfare and Institutions Code.

§ 12462. Training Requirements.

(a) Each cardroom business licensee ~~must~~shall have procedures for providing new employee orientations and annual training concerning problem gambling for all employees who directly interact with gambling patrons in gambling areas. A cardroom business licensee may develop an internal training program, may use a third-party training program, or may use a training program developed and provided by the Office of Problem Gambling.

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1 (b)(1) New employee orientations must~~shall~~ be completed within 60 days of the
2 issuance of a cardroom license ~~or work permit~~, or the employee's start date, whichever is
3 later.

4 ...

5 (3) Each cardroom business licensee must~~shall~~ designate a person(s) responsible for
6 maintaining the program, coordinating training, and documenting employee completion.
7 The program must~~shall~~ be reviewed at least once a year to ensure that the information
8 provided is current. Records of employee completion documentation must~~shall~~ be
9 maintained in accordance with Section 12003, and must~~shall~~ include the date of the
10 training, the topics covered, the name of the employee receiving the training and the
11 name of the employee responsible for coordinating training. Training records may
12 include, but need not be limited to, sign-in sheets and training certificates.

13 (c) At a minimum, the following employee groups must~~shall~~ have training, as
14 specified:

15 (1) Gambling enterprise employee licensees~~Employees, and supervisors of~~
16 ~~employees~~, whose duties include interacting with gambling patrons in gambling areas,
17 but do not have duties related to the operation of the games, such as food and beverage
18 providers, must~~shall~~ receive training concerning the nature and symptoms of problem
19 gambling behavior.

20 (2) Gambling enterprise employee licensees~~Employees, and supervisors of~~
21 ~~employees~~, whose duties include interacting with gambling patrons in gambling areas and
22 who have duties related to the operation of a controlled game must~~shall~~ receive the
23 training specified in paragraph (1) and training on how to assist patrons in obtaining
24 information about problem gambling programs.

25 (3) Key employees licensees must~~shall~~ receive the training specified in paragraph (2),
26 and must~~shall~~ receive information on the self-restriction and self-exclusion programs,
27 information about any treatment options and prevention programs offered by the State
28 Department of Public Health, Office of Problem Gambling, and may receive information

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1 about any problem gambling programs or services available in and around the location of
2 the gambling establishment.

3 (d) This section must~~shall~~ not be construed to require employees to identify problem
4 gamblers.

5 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions
6 Code. Reference: Sections 19801 and 19920, Business and Professions Code; and Sections 4369.2
7 and 4369.4, Welfare and Institutions Code.
8

9 § 12463. Self-Restriction Program.

10 (a) Cardroom business ~~l~~icensees must~~shall~~ implement a program that allows patrons
11 to self-limit their access to the gambling establishment entirely, or to the issuance of
12 credit, check cashing, or marketing by that cardroom business licensee. That program
13 must~~shall~~ contain, at a minimum, the following:

14 ...

15 (2) The development of written forms allowing patrons to participate in the program,
16 which may include use of a form entitled Self-Restriction Request, form CGCC-~~XX~~036
17 (Rev. ~~XX~~02/19~~5~~), attached in Appendix A to this chapter;

18 ...

19 (4) Policies and procedures that allow a patron to be restricted from certain controlled
20 games or gaming activities within the gambling establishment, if the cardroom business
21 licensee determines that the segregation of games is feasible, or from the gambling
22 establishment completely during the term of restriction, with the exception of access for
23 the sole purpose of carrying out the duties of employment, including:

24 ...

25 (B) Maintenance of records of any incidents of removal where law enforcement is
26 called to remove a person from the premises. The records must~~shall~~ be accessible by
27 Bureau staff or law enforcement personnel pursuant to an investigation; and,

28 ...

29 (6) Policies and procedures that allow a patron to restrict his or her inclusion on
30 customer lists maintained by the cardroom business licensee for direct mail marketing,

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1 telephone marketing, and other direct marketing regarding gaming opportunities or
2 promotions at the gambling establishment during the term of restriction.

3 (b) This section does not mandate that a cardroom business licensee provide the
4 services of a notary public for persons who wish to complete a Self-Restriction Request
5 form.

6 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions
7 Code. Reference: Sections 19801, 19920 and 19954, Business and Professions Code; and Section
8 4369.4, Welfare and Institutions Code.
9

10 § 12464. Self-Exclusion Program.

11 (a) Cardroom business ~~L~~licensees ~~must~~~~shall~~ implement a program that allows patrons
12 to exclude themselves from gambling establishments using a form entitled Self-Exclusion
13 Request, form CGCC-~~XX037~~ (Rev. ~~XX07/197~~), attached in Appendix A to this chapter.
14 That program ~~must~~~~shall~~ contain, at a minimum, the following:

15 ...

16 (6) Policies and procedures for removal of a patron from customer lists maintained by
17 the cardroom business licensee for direct mail marketing, telephone marketing, and other
18 direct marketing or marketing opportunities regarding gaming opportunities or
19 promotions at the gambling establishment;

20 (7) Policies and procedures for removal of a patron from check-cashing, or credit
21 services offered by the cardroom business licensee; and,

22 ...

23 (b) This section does not mandate that a cardroom business licensee provide the
24 services of a notary public for persons who wish to complete the Self-Exclusion Request
25 form.

26 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions
27 Code. Reference: Sections 19801, 19920 and 19954, Business and Professions Code; and Section
28 4369.4, Welfare and Institutions Code.
29

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§ 12465. Removal from the List of Self-Excluded Persons.

(a) For any lifetime self-exclusion term, a request for removal from the list of self-excluded persons may be submitted to the Bureau at any time after one year from the effective date of the original self-exclusion request. A request for removal ~~must~~ be submitted using the form Self-Exclusion Removal Request, CGCC-~~XX~~038 (Rev. ~~XX~~07/197), attached in Appendix A to this chapter. The Bureau ~~will~~ remove the excluded person from the list of self-excluded persons on the first business day of the second whole month after the request was postmarked.

(b) For any self-exclusion term, other than lifetime, the excluded person ~~must~~ be automatically removed from the list of self-excluded persons upon the conclusion of the requested term.

(c) Upon removal, the Bureau ~~must~~ send a notice to the person as confirmation of the removal from the self-exclusion list.

Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions Code. Reference: Sections 19801, 19920 and 19954, Business and Professions Code; and Section 4369.4, Welfare and Institutions Code.

§ 12466. Responsible Gambling Program Review.

(a)(1) The Bureau may require that any cardroom business licensee provide to the Bureau copies of the cardroom business licensee's policies and procedures constituting its Program for Responsible Gambling, which ~~must~~ address all of the requirements of this article. If the Bureau makes a determination that the cardroom business licensee's program does not adequately address the standards as set forth in this article, then the Bureau may issue a notice identifying the deficiencies and specifying a time certain within which those deficiencies ~~must~~ be cured.

(2) Commission staff or Office of Problem Gambling staff may request that any cardroom business licensee make available or submit any of the elements of its program described in this article to the requesting party for review.

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1 (b) Failure by a cardroom business licensee to establish the programs set forth in this
2 article, or to cure a deficiency identified pursuant to paragraph (1) of subsection (a),
3 ~~will~~shall constitute a ground for disciplinary action under Chapter 10 of this division.

4 ...

5 Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions
6 Code. Reference: Sections 19801 and 19920, Business and Professions Code; and Section 4369.4,
7 Welfare and Institutions Code.

9 ARTICLE 10. GAMING TABLES.

10 11 **§ 12470~~358~~³⁵⁸. Request for Additional Temporary Tables for Tournaments or 12 Special Events.**

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

18 (1) A completed and signed application form entitled Gambling Establishment:
19 Gaming Tables, CGCC – 0XX (New XX/19)~~Request for a Certificate to Operate~~
20 ~~Additional Tables on a Temporary Basis BGC 024 (Rev. 10/17)~~, which is attached in
21 Appendix A to this chapter.

22 ...

23 (3) ~~Fees for~~The temporary~~additional~~ tables fee, as calculated pursuant~~according~~ to
24 ~~the form in paragraph (1) of this~~ subsection (f).

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

27 ...

28 (3) The gambling establishment's cardroom business ~~state gambling~~ license is
29 suspended or contains conditions precluding the approval of a temporary increase in the
30 number of tables.

31 ...

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

5 (e) The Bureau will~~shall~~ complete its review of the application and submit its
6 findings to the Commission within 25 days of receipt of the application. The
7 Commission will~~shall~~ either approve or deny the request within 10 days of receiving the
8 Bureau's findings and notify the applicant, in writing, of its decision. The Commission
9 may delegate the authority to deny the requested temporary increase or to issue a license
10 certificate approving the requested temporary increase in the number of tables to any
11 employee of the Commission.

12 (f) The temporary table fee is determined as follows:

13 (1) Add the current number of authorized tables licensed by the Commission to
14 operate to the number of additional temporary tables being requested.

15 (2) Multiply the value determined in paragraph (1) by the appropriate value:

16 (A) If the value of paragraph (1) is between one to five, inclusive, \$300;

17 (B) If the value of paragraph (1) is between six to eight, inclusive, \$550;

18 (C) If the value of paragraph (1) is between nine to fourteen, inclusive, \$1,300;

19 (D) If the value of paragraph (1) is between fifteen to twenty-five, inclusive, \$2,700;

20 (E) If the value of paragraph (1) is between twenty-six to seventy, inclusive, \$4,000;

21 or,

22 (F) If the value of paragraph (1) is seventy-one or more, \$4,700,

23 (3) Subtract the value determined in paragraph (2) by the most recent payed annual
24 fee pursuant to Section 12162.

25 (4) Divide the value determined in paragraph (3) by 365 and multiple by 2 to
26 determine the daily table fee for the event.

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1 (5) Multiply the daily table fee for the event determined in paragraph (4) by the total
2 number of calendar days of the event. Any partial calendar-days should be counted as a
3 full day. Round this value up to the nearest whole number.

4 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841(a)-(c) and (p), 19864,
5 19950(b), and 19952, Business and Professions Code. Reference: Section 19951, Business and
6 Professions Code.
7

8 § 12472359. Request for Additional Permanent Tables.

9 (a) The cardroom business~~owner~~ licensee of a gambling establishment may apply to
10 operate additional tables on a permanent basis by submitting the following to the Bureau:

11 (1) A completed and signed application form entitled Gambling Establishment:
12 Gaming Tables, CGCC – 0XX (New XX/19)~~Application for Additional Authorized~~
13 ~~Permanent Tables, BGC – 027 (Rev. 07/17)~~, referenced in paragraph (1) of subsection (a)
14 of Section 12164~~which is attached in Appendix A to this chapter.~~

15 ...

16 (b) The Commission may~~shall~~ not grant the application if any of the following are
17 disclosed by the application or the results of the investigation of the applicant by the
18 Bureau:

19 ...

20 (3) The gambling establishment's cardroom business ~~state gambling~~ license is
21 suspended or is subject to conditions precluding the approval of an increase in the
22 number of tables.

23 ...

24 (c) A request by an applicant to withdraw the application will~~shall~~ result in the
25 application being considered abandoned and unused deposit amounts returned, with no
26 further action to be taken by the Commission.

27 (d) The Bureau will~~shall~~ complete its review of the application and submit its
28 findings to the Commission within 25 calendar-days of receipt of the application.
29 Commission staff will~~shall~~ then set the request on the Commission agenda within 90
30 calendar-days of receiving the Bureau's findings and advise the applicant of the agenda

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1 date and any required annual fees due. If the request for additional permanent tables is
2 approved, the applicant must pay the required annual fees due before placing the
3 additional tables in operation.

4 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19864, 19950(b), and
5 19951, Business and Professions Code. Reference: Section 19951, Business and Professions
6 Code.
7

8 § 12474. Reduction in Permanent Tables

9 (a) The cardroom business licensee of a gambling establishment may apply to reduce
10 the number of tables operating on a permanent basis by submitting a completed and
11 signed application form entitled Gambling Establishment: Gaming Tables, CGCC – 0XX
12 (New XX/19), referenced in paragraph (1) of subsection (a) of Section 12164.

13 (b) The request will be effective upon submittal.

14 (c) The Bureau will notify the Commission in writing within 10 calendar days of the
15 receipt of the application. A new cardroom business license will be issued within 5
16 calendar days of notification from the Bureau.

17 (d) Any decrease in permanent tables does not provide for any refund of fees already
18 paid.

19 Note: Authority Cited: Sections 19811, 19824, 19826, 19840, 19841, and 19864, Business and
20 Professions Code. Reference: Sections 19816 and 19951, Business and Professions Code.
21

22 **CHAPTER 10. DISCIPLINE, HEARINGS, AND DECISIONS.**

23 24 **§ 12550. Purpose and Scope.**

25 ...

26 (d) Nothing in this chapter will~~shall~~ be construed to prevent the Commission from:

27 ...

28 Note: Authority: Sections 19840, 19841 and 19930, Business and Professions Code. Reference:
29 Sections 19823, 19912, 19913, 19914, 19920, 19922, 19930, 19931 and 19984, Business and
30 Professions Code.
31

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1 **§ 12554. Formal Hearing Process.**

2 (a) Upon the filing with the Commission of an accusation by the Bureau
3 recommending revocation, suspension, or other discipline of a holder of a license,
4 ~~R~~egistration, permit, finding of suitability, or approval, the Commission will~~shall~~
5 proceed under Chapter 5 (commencing with section 11500) of Part 1 of Division 3 of
6 Title 2 of the Government Code. Discipline will~~shall~~ be in accordance with the
7 guidelines of this chapter, summarized for convenience only in CGCC-12554 (New
8 09/06), Summary Chart of Disciplinary Guidelines, attached as Appendix A to this
9 chapter.

10 ...

11 (c) The Administrative Law Judge and Commission will~~shall~~ base their decisions on
12 written findings of fact, including findings concerning any relevant aggravating or
13 mitigating factors. Findings of fact will~~shall~~ be based upon a preponderance of the
14 evidence standard. The “preponderance of the evidence standard” is such evidence as
15 when considered and compared with that opposed to it, has more convincing force, and
16 produces a belief in the mind of the fact-finder that what is sought to be proved is more
17 likely true than not true.

18 (d) Upon a finding of a violation of the Act, any regulations adopted pursuant thereto,
19 any law related to gambling or gambling establishments, violation of a previously
20 imposed disciplinary or license condition, or laws whose violation is materially related to
21 suitability for a license, ~~R~~egistration, permit, or approval, the Commission may do any
22 one or more of the following:

23 (1) Revoke the license, ~~R~~egistration, permit, finding of suitability, or approval;

24 (2) Suspend the license, ~~R~~egistration, or permit;

25 (3) Order the licensing authority of a city, county, or city and county to revoke a local
26 work permit, pursuant to Business and Professions Code section 19914, subdivision (a),

27 ...

28 (6) Stay, in whole or in part, the imposition of a revocation or suspension against the
29 holder of a license, ~~R~~egistration, work permit, finding of suitability, or approval, or

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1 (7) ...

2 (A) If the respondent is an gambling owner licensee ~~of a gambling establishment~~, the
3 monetary penalty will~~shall~~ be equivalent of fifty percent of the average daily gross
4 gaming revenue, but not less than \$300, for the number of days for which the suspension
5 is stayed.

6 ~~(B) [RESERVED]~~

7 ~~(B)(C)~~ ...

8 ~~(C)(D)~~ If the respondent is an TPPPS owner licensee ~~owner of a third party provider~~
9 ~~of proposition player services~~ and the violation involved a fraudulent, expired, borrowed,
10 or stolen badge, or involved a non-registered or non-licensed employee of the TPPPS
11 owner licensee, the monetary penalty will~~shall~~ be the sum of \$500 plus the total of \$300
12 multiplied by the maximum number of tables for which proposition player services have
13 been contracted at the gambling establishment where the violation was charged, which
14 sum will~~shall~~ be multiplied by the number of calendar-days for which the suspension is
15 stayed.

16 ~~(E) If the respondent is an owner of a gambling business, the monetary penalty shall~~
17 ~~be \$1500 per day for the number of days for which the suspension is stayed.~~

18 ~~(D)(F)~~ If the respondent is a key employee licensee ~~of a gambling establishment or a~~
19 ~~supervisor of a gambling business or~~ TPPPS supervisor licensee ~~third party provider of~~
20 ~~proposition player services~~, the monetary penalty will~~shall~~ be \$100 per day for the
21 number of calendar-days for which the suspension is stayed.

22 ~~(E)(G)~~ If the respondent is a holder of a work permit, a TPPPS player licensee or
23 TPPPS other employee licensee ~~of a gambling business or third party provider of~~
24 ~~proposition player services~~, or a person not otherwise described above, the monetary
25 penalty will~~shall~~ be \$50 per day for the number of calendar-days for which the
26 suspension is stayed.

27 (e) If a person's cardroom business ~~state gambling~~ license ~~for a gambling~~
28 ~~establishment~~ is revoked by the Commission pursuant to this chapter, the Commission

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1 may stay such revocation for a reasonable period of time to allow such person to sell or
2 divest himself or herself of such person's ownership interest in the gambling
3 establishment, provided that after the date on which the revocation is stayed by the
4 Commission, such person will~~shall~~ not be entitled to, realize, or receive any profits,
5 distributions, or payments that might directly or indirectly be due to such person or which
6 arise out of, are attributable to, or are derived from controlled gambling.

7 (f) If an TPPPS owner licensee~~of a third party provider of proposition player services~~
8 ~~or gambling business~~ has his or her ~~owner's~~ TPPPS owner license ~~or registration~~ revoked
9 by the Commission pursuant to this chapter, the Commission may stay such revocation
10 for a reasonable period of time to allow such person to sell or divest himself or herself of
11 such person's ownership interest in the TPPPS business license~~third party provider of~~
12 ~~proposition player services or gambling business~~, provided that after the date on which
13 the revocation is stayed by the Commission, such person will~~shall~~ not be entitled to,
14 realize, or receive any profits, distributions, or payments that might directly or indirectly
15 be due to such person or which arise out of, are attributable to, or are derived from the
16 provision of proposition player services.

17 (g) For decisions concerning a cardroom business licensee~~gambling establishment~~,
18 findings must~~shall~~ be made regarding the number of tables in operation at the
19 establishment and the annual gross gaming revenue of the establishment

20 (h) For decisions concerning TPPPS owner licensee~~an owner of a third party~~
21 ~~provider of proposition player services~~, findings must~~shall~~ be made regarding the
22 maximum number of tables for which proposition player services have been contracted at
23 the gambling establishment where the violation was charged.

24 ...

25 (j) For multiple violations, or for suspensions imposed by other jurisdictions based on
26 the same violations, the decision must~~shall~~ state whether any Commission-imposed
27 suspensions must~~shall~~ run consecutively or concurrently.

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1 (k) Where a violation arises from a practice that is repeated many times an hour or
2 day in the conduct of controlled games, each instance of the practice ~~will~~shall not be
3 charged as a separate violation; however, the frequency and duration of the practice
4 ~~will~~shall be treated as aggravating or mitigating factors.

5 Note: Authority: Sections 19824, 19825, 19840, 19841₂ and 19930, Business and Professions
6 Code. Reference: Sections 19879, 19930₂ and 19984, Business and Professions Code; Section
7 11045, Government Code; and Section 10335, Public Contract Code.
8

9 **§ 12556. Factors in Mitigation or Aggravation of Penalty.**

10 Factors in mitigation may reduce a minimum penalty of suspension listed in this
11 chapter, either in number of days suspended and/or in the proposal to stay a suspension
12 for a period of probation and the payment of any monetary penalty. Factors in
13 aggravation may increase a penalty or be taken into consideration in determining whether
14 or not to allow a suspension to be stayed upon payment of a monetary penalty. If
15 presented by complainant or respondent, the Commission ~~will~~shall consider the following
16 factors in mitigation or aggravation of the penalty imposed:

17 ...

18 (k) The extent to which ~~an~~ cardroom business~~owner~~ licensee, ~~or~~ key employee
19 ~~licensee of a gambling establishment~~, TPPPS owner licensee, or TPPPS supervisor
20 ~~licensee of a third party provider of proposition player services, or owner or supervisor of~~
21 ~~a gambling business~~ exercised due diligence in management or supervision.

22 (l) If the violation was caused by an employee licensee or independent contractor of a
23 gambling business licensee~~third party provider of proposition player services or~~
24 ~~gambling business~~, the extent to which the gambling business~~owner~~ licensee, ~~or licensee,~~
25 ~~or registrant~~ knew or should have known of the employee licensee's or independent
26 contractor's improper conduct; the level of authority of the employee licensee or
27 independent contractor involved and the extent to which the employee licensee or
28 independent contractor acted within the scope of his or her authority in committing the
29 violation.

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1 (m) If the violation was caused by a gambling business licensee~~third party provider~~
2 ~~of proposition player services or gambling business~~, the extent to which the gambling
3 business licensee~~owner licensee or gambling establishment~~ knew or should have known
4 of the improper conduct.

5 ~~(n) If the violation was caused by an independent contractor of a gambling business,~~
6 ~~the extent to which the gambling business owner licensee, licensee, or registrant knew or~~
7 ~~should have known of the independent contractor's improper conduct; the level of~~
8 ~~authority of the independent contractor involved and the extent to which the independent~~
9 ~~contractor acted within the scope of his or her authority in committing the violation.~~

10 ~~(n)(e)~~ If the violation was caused or committed by a TPPPS licensee~~third party~~, the
11 extent to which the cardroom business licensee~~owner licensee, or TPPPS owner licensee,~~
12 ~~or registrant~~ knew or should have known of the TPPPS licensee~~third party~~'s improper
13 conduct.

14 ~~(o)(p)~~ ...

15 Note: Authority: Sections 19825, 19840, and 19930, Business and Professions Code. Reference:
16 Sections 19825, 19920, 19930, and 19984, Business and Professions Code.
17

18 § 12558. Disciplinary Guidelines for Holders of Work Permits.

19 Pursuant to Business and Professions Code, section 19914, the holder of a
20 Commission work permit ~~will~~shall be subject to a minimum penalty of a three-day
21 suspension, which may be stayed on terms and conditions and any monetary penalty as
22 described in Section 12554(d)(7) of this chapter, up to a maximum penalty of revocation
23 by the Commission if the Commission finds that the holder:

24 ...

25 (c) Violated or is in violation of any condition, limitation, or directive previously
26 imposed on the work permit.

27 ...

28 Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code.
29 Reference: Section 19824, 19878, 19912, 19914, 19920 and 19930, Business and Professions
30 Code.
31

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

(a) If the Commission finds that an TPPPS owner licensee ~~of a third party provider of proposition player services, as that term is used in California Code of Regulations, Title 4, Section 12200~~, is out of compliance with any mandatory duty specified in or imposed by the Act or any Commission or Bureau regulation, which is not otherwise listed in these disciplinary guidelines, the penalty ~~will~~shall be one day of suspension of proposition player services from either a specified cardroom business licensee ~~gambling establishments~~ or all cardroom business licensee ~~gambling establishments~~, as the circumstances and factors in mitigation or aggravation apply and which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554 ~~(d)(7)~~ of this chapter.

(b) A TPPPS owner licensee ~~or registration granted by the Commission for an owner of a third party provider of proposition player services, as that term is used in California Code of Regulations, Title 4, Section 12200~~, will be subject to a minimum discipline of suspension of five calendar days from either a specified gambling cardroom business licensee ~~establishments~~ or all gambling cardroom business licensees ~~establishments~~, as the circumstances and factors in mitigation or aggravation apply, and a maximum discipline of revocation, which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554 of this chapter, if the Commission finds that:

(1) The TPPPS owner licensee has violated or is out of compliance with any conditions, limitations, orders, or directives imposed by the Commission, either as part of an initial ~~grant of license or registration~~, renewal license ~~of such~~, or pursuant to disciplinary action~~;~~;

(2) The TPPPS owner licensee has been found, by any administrative tribunal or court, to have violated or be in violation of any law involving or relating to gambling~~;~~;

(3) The TPPPS owner licensee has intentionally misrepresented a material fact on an application or supplemental application for licensure ~~or registration~~~~;~~;

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1 (4) The TPPPS owner licensee has engaged in any dishonest, fraudulent, or deceptive
2 activities in connection with controlled gambling or the provision of proposition player
3 services;

4 (5) The TPPPS owner licensee has violated any law or ordinance with respect to
5 campaign finance disclosure or contribution limitations, pursuant to Business and
6 Professions Code, section 19982;

7 (6) The TPPPS owner licensee has violated California Code of Regulations, Title 4,
8 regarding annual fees for third-party ~~providers of~~ proposition player services;

9 (7) The TPPPS owner licensee has provided proposition player services in violation
10 of California Code of Regulations, Title 4, Section 1227000.7, subsection (b)(9) or
11 (b)(11);

12 (8) The TPPPS owner licensee has failed to fully disclose financial arrangements in
13 violation of California Code of Regulations, Title 4, Section 1227000.7, subsection
14 (b)(14);

15 (9) The TPPPS business licensee~~primary owner~~ has failed to report cheating, in
16 violation of California Code of Regulations, Title 4, Section 1227000.7, subsection
17 (b)(17);

18 (10) The TPPPS owner licensee has purchased, leased, or controlled equipment in
19 violation of California Code of Regulations, Title 4, Section 1227000.7, subsection
20 (b)(20);

21 (11) The TPPPS owner licensee has failed to have the TPPPS~~proposition player~~
22 contract approved, in violation of California Code of Regulations, Title 4, Section
23 1227000.7, subsection (b)(21), or Section 1227200.9;

24 (12) The TPPPS owner licensee has authorized or provided payment to or receipt by
25 the cardroom business licensee~~gambling establishments~~, in violation of California Code
26 of Regulations, Title 4, Section 1227000.7, subsection (c);

27 (13) The TPPPS owner licensee has been cheating, or has induced or instructed
28 another to cheat, pursuant to Penal Code, sections 337t, 337u, 337v, 337w, or 337y;

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1 (14) The TPPPS owner licensee has committed extortion (as that term is defined in
2 Chapter 7 of Title 13 of Part 1 of the Penal Code, commencing with section 518);

3 (15) The TPPPS owner licensee has committed loan-sharking [~~as that term is used in~~
4 Civil Code section 1916-3, subdivision (b)];

5 (16) The TPPPS owner licensee has conducted or negotiated illegal sales of
6 controlled substances (as that term is used in Chapter 1 (commencing with section 11000)
7 of Division 10 of the Health and Safety Code) or dangerous drugs (as that term is used in
8 Business and Professions Code, section 4022);

9 (17) The TPPPS owner licensee has committed bribery (as that term is used in Penal
10 Code section 67 or 67.5);

11 (18) The TPPPS owner licensee has committed money laundering (as that term is
12 used in Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section
13 186.9);

14 (19) The TPPPS owner licensee has granted rebates to patrons without full
15 disclosure, in violation of California Code of Regulations, Title 4, Section 1227000.7,
16 subsection (b)(18);

17 (20) The TPPPS owner licensee has violated the provisions regarding playing books
18 listed in California Code of Regulations, Title 4, Section 12250;

19 ~~(21) The owner has committed any of the acts listed in California Code of~~
20 ~~Regulations, Title 4, Section 12200.18, subsections (a), (b), (d), (e), (f), (i), (j), (l), (m), or~~
21 ~~(n), or~~ The TPPPS owner licensee committed, attempted to commit, or conspired to
22 commit any act prohibited by the Act or this chapter;

23 (22) The TPPPS owner licensee failed or refused to comply with the requirements of
24 Section 12200.16;

25 (23) The TPPPS owner licensee concealed or refused to disclose any material fact in
26 any inquiry by the Bureau or the Commission;

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1 (24) The TPPPS owner licensee bought or sold chips other than to or from the
2 cardroom business licensee, except for exchanging with a patron, chips of one
3 denomination for chips of another denomination;

4 (25) The TPPPS owner licensee lent money or chips to a patron;

5 (26) The TPPPS owner licensee knowingly permitted one or more of the TPPPS
6 owner licensee's TPPPS employee licensees to commit any act described in paragraph (9)
7 of subsection (c) or paragraphs (9) to (17), inclusive, of subsection (d);

8 (27) The TPPPS owner licensee knew, or failed to implement reasonable oversight
9 procedures that would have apprised the TPPPS owner licensee, that one or more of the
10 TPPPS owner licensee's TPPPS employee licensees was in violation of one or more
11 provision the Act or regulation and failed or refused to take action to prevent the
12 recurrence of the violation or violations;

13 (28) The TPPPS owner licensee provided proposition player services to a gambling
14 enterprise without a Bureau-approved contract on and after April 30, 2004; or,

15 (29)(22) The TPPPS owner licensee is providing prohibited player-dealer services
16 as a gambling business without first obtaining a gambling business registration or license,
17 in violation of California Code of Regulations, Title 4, Section 12220 et seq.

18 (c) A TPPPS supervisor, player, or other employee licensee, as those terms are used
19 in California Code of Regulations, Title 4, Section 12200, will be subject to a minimum
20 monetary penalty of \$100 and/or a suspension of three calendar-days and a maximum
21 penalty of revocation if the Commission finds that:

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

26 (2) The TPPPS supervisor, player, or other employee licensee has engaged in any
27 dishonest, fraudulent, or deceptive activities in connection with controlled gambling or
28 the provision of proposition player services;

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1 (3) The ~~TPPPS supervisor, player, or other~~ employee licensee has committed any act
2 punishable as a crime, not otherwise listed in these disciplinary guidelines, which
3 substantially relates to the duties and qualifications of the licensee ~~or registrant~~, or which
4 occurred in a cardroom business license ~~gambling establishment~~ or the associated adjacent
5 property; ~~or~~

6 (4) The ~~TPPPS supervisor, player, or other~~ employee licensee has engaged in any
7 conduct on the premises of the gambling establishment or in connection with controlled
8 gambling or the provision of proposition player services which is inimical to the health,
9 welfare, or safety of the general public; ~~;~~

10 (5) The ~~TPPPS supervisor, player, or other~~ employee licensee has either failed to
11 wear a badge, worn a badge which was covered, worn a false or altered badge ~~or a badge~~
12 ~~issued for a different gambling establishment~~, worn another person's badge, or worn an
13 expired badge; ~~;~~

14 (6) The ~~TPPPS supervisor, player, or other~~ employee licensee has engaged in fighting
15 or has intentionally provoked a patron or employee ~~of~~ at a cardroom business
16 licensee ~~gambling establishments;~~ ~~;~~

17 (7) The ~~TPPPS supervisor, player, or other~~ employee licensee has maliciously or
18 willfully destroyed or damaged the property of ~~a~~ the cardroom business licensee ~~gambling~~
19 ~~establishments~~, employee licensee, or patron; ~~;~~

20 (8) The ~~TPPPS supervisor, player, or other~~ employee licensee has accepted tips,
21 gratuities, complimentaries, or gifts from a cardroom licensee ~~gambling establishments~~
22 ~~staff~~ or cardroom businesses licensee's patrons; ~~;~~

23 (9) ~~The supervisor, player, or other employee has committed any of the acts listed in~~
24 ~~California Code of Regulations, Title 4, Section 12220.18, subsection (a), or~~ The TPPPS
25 employee cardroom-committed, attempted to commit, or conspired to commit any act
26 prohibited by the Act or this chapter; or,

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

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1 (d) A TPPPS supervisor, player, or other employee licensee, ~~as those terms are used~~
2 ~~in California Code of Regulations, Title 4, Section 12200~~, will be subject to a minimum
3 monetary penalty of \$300 and/or a suspension of five calendar-days and a maximum
4 penalty of revocation if the Commission finds that:

5 (1) The TPPPS supervisor, player, or other employee licensee has intentionally
6 misrepresented a material fact on an application, ~~request to convert~~, or supplemental
7 application for licensure, ~~registration~~, or approval;

8 (2) The TPPPS supervisor, player, or other employee licensee has been cheating,
9 pursuant to Penal Code, section 337x;

10 (3) The TPPPS supervisor, player, or other employee licensee has committed
11 extortion (as that term is defined in Chapter 7 of Title 13 of Part 1 of the Penal Code,
12 commencing with section 518);

13 (4) The TPPPS supervisor, player, or other employee licensee has committed loan-
14 sharking (as that term is used in Civil Code section 1916-3, subdivision (b));

15 (5) The TPPPS supervisor, player, or other employee licensee has conducted or
16 negotiated illegal sales of controlled substances (as that term is used in Chapter 1
17 (commencing with section 11000) of Division 10 of the Health and Safety Code) or
18 dangerous drugs (as that term is used in Business and Professions Code, section 4022);

19 (6) The TPPPS supervisor, player, or other employee licensee has committed bribery
20 (as that term is used in Penal Code section 67 or 67.5);

21 (7) The TPPPS supervisor, player, or other employee licensee has committed money
22 laundering (as that term is used in Chapter 10 of Title 7 of Part 1 of the Penal Code,
23 commencing with section 186.9);

24 (8) The TPPPS supervisor, player, or other employee licensee has granted rebates to
25 patrons without full disclosure, in violation of California Code of Regulations, Title 4,
26 Section 1227000-7, subsection (b)(18); ~~or~~

27 ~~(9) The supervisor, player, or other employee has committed any of the acts listed in~~
28 ~~California Code of Regulations, Title 4, Section 12200.18, subsections (b), (c), (d), (f);~~

Additions shown in underline; deletions shown in ~~strikeout~~.

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1 ~~(g), (h), (i), (j), or (k).~~ The TPPPS employee licensee intentionally misrepresented a
2 material fact on an application or supplemental application for licensure

3 (10) The TPPPS employee licensee engaged in any dishonest, fraudulent, or unfairly
4 deceptive activity in connection with controlled gambling, including any violation of
5 laws related to cheating;

6 (11) The TPPPS employee licensee failed or refused to comply with the requirements
7 of Section 12200.16;

8 (12) The TPPPS employee licensee concealed or refused to disclose any material fact
9 in any inquiry by the Bureau or the Commission;

10 (13) The TPPPS employee licensee committed, attempted to commit, or conspired to
11 commit an act of embezzlement or larceny;

12 (14) The TPPPS employee licensee has been lawfully excluded from being present
13 upon the premises of any licensed gambling establishment for any reason relating to
14 cheating or any violation of the Act;

15 (15) The TPPPS employee licensee bought or sold chips other than to or from the
16 house, except for exchanging with a patron, chips of one denomination for chips of
17 another denomination;

18 (16) The TPPPS employee licensee lent money or chips to a gambling enterprise
19 patron; or,

20 (17) The TPPPS employee licensee made a wager that was not specifically
21 authorized by the game rules as approved by the Bureau.

22 (e) A TPPPS licensee ~~or registration granted by the Commission for an owner of a~~
23 ~~third-party provider of proposition player services, or for a supervisor, player, or other~~
24 ~~employee, as those terms are used in California Code of Regulations, Title 4, Section~~
25 ~~12200, will~~ shall be subject to revocation if the Commission finds that:

26 (1) The TPPPS licensee ~~owner, supervisor, player, or other employee~~ has been
27 convicted of a felony or a crime of moral turpitude that would disqualify the holder from
28 licensure; ~~;~~ or,

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1 (2) The TPPPS owner, supervisor, player, or other employee licensee no longer meets
2 any criterion for eligibility, pursuant to ~~California Code of Regulations, Title 4, Sections~~
3 12040~~12204 or 12218.11~~.

4 Note: Authority: Sections 19825, 19840, 19841, 19930, and 19984, Business and Professions
5 Code. Reference: Sections 19824 and 19930, Business and Professions Code.
6

7 ~~§ 12562. Disciplinary Guidelines for Gambling Business Licensees Or~~ 8 ~~Registrants.~~

10 **§ 12564. Disciplinary Guidelines for Manufacturers or Distributors.**

11 A registration granted by the Commission for a manufacturer or distributor of
12 gambling equipment will~~shall~~ be subject to suspension or revocation by the Commission
13 if the Commission finds that the registrant has violated California Code of Regulations,
14 Title 4, Section 12303, subsection (b).

15 Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code.
16 Reference: Section 19930, Business and Professions Code.
17

18 **§ 12566. Disciplinary Guidelines for Gambling Licenses~~Establishments~~.**

19 (a) If the Commission finds that a cardroom business licensee~~gambling establishment~~
20 is out of compliance with any mandatory duty specified in or imposed by the Act or any
21 Commission or Bureau regulation, or any local ordinance which directly affects the
22 public health, safety, or welfare, which is not otherwise listed in these disciplinary
23 guidelines, pursuant to Business and Professions Code section 19922, the penalty
24 will~~shall~~ be one day of suspension, stayed upon the payment of a penalty, within the
25 guidelines of Business and Professions Code, sections 19930, subdivision (c), and 19943,
26 subdivision (b), as follows:

27 (1) If the cardroom business licensee~~establishment~~ has five tables or less and has an
28 annual gross gaming revenue up to and including \$10,000, the penalty will~~shall~~ be
29 between \$50 and \$100, based upon the factors in mitigation and aggravation.

30 (2) If the cardroom business licensee~~establishment~~ has ten tables or less or has an
31 annual gross gaming revenue over \$10,000, up to and including \$200,000, the penalty

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 will~~shall~~ be between \$100 and \$2000, based upon the factors in mitigation and
2 aggravation.

3 (3) If the cardroom business licensee~~establishment~~ has an annual gross gaming
4 revenue over \$200,000, the penalty will~~shall~~ be between \$250 and \$5,000, based upon
5 the factors in mitigation and aggravation.

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

14 ...

15 ~~(3) [RESERVED]~~

16 ~~(4) [RESERVED]~~

17 ~~(3)~~~~(5)~~ Violated Business and Professions Code, section 19878 (contract with,
18 employment of, services provided by person(s) with denied, suspended, or revoked
19 license~~-or registration~~),

20 ~~(4)~~~~(6)~~ ...

21 ~~(7) [RESERVED]~~

22 ~~(5)~~~~(8)~~ ...

23 ~~(6)~~~~(9)~~ ...

24 ~~(7)~~~~(10)~~ ...

25 ~~(8)~~~~(11)~~ ...

26 ~~(9)~~~~(12)~~ Violated California Code of Regulations, Title 11, Section 2050, subsection
27 (a) (failure to maintain gambling~~owner~~ licensee or key employee licensee on premises),

28 ~~(10)~~~~(13)~~ ...

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 ~~(11)~~(14) ...

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

7 (1) Violated or is out of compliance with conditions, limitations, or orders or
8 directives imposed by the Commission, either as part of an initial ~~grant of license or~~
9 ~~Registration~~, renewal license of such, or pursuant to disciplinary action,

10 ...

11 (3) Intentionally misrepresented a material fact on an application or supplemental
12 application for licensure ~~or Registration~~,

13 ...

14 (5) Failed to report to the Bureau the operation of a business organization
15 ~~unregistered gambling businesses participating in a California game~~ when the owners or
16 management of the establishment knew or should have known that ~~at these gambling~~
17 ~~businesses~~ organization was~~ere~~ operating in the establishment in violation of Section
18 12005~~, and has been disciplined by the Commission for such a violation previously~~,

19 ...

20 (7) Violated Business and Professions Code, section 19878 (contract with,
21 employment of, services provided by person(s) with denied, suspended, or revoked
22 license or ~~R~~registration), and has been disciplined by the Commission for such a violation
23 previously,

24 ...

25 (9) Violated Business and Professions Code, section 19921 (failure to exclude
26 persons under 21 from access to gambling areas), and has been disciplined by the
27 Commission for such a violation previously, or violated Business and Professions Code,
28 section 19941 (failure to prohibit persons under 21 from gambling, loitering, being

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 employed in gambling areas, or using fraudulent identification to gamble, loiter, or be
2 employed), unless the cardroom business licensee provides the defense described in
3 Business and Professions Code, section 19941, subdivision (c), or unless the cardroom
4 business licensee shows that the cardroom business licensee has reasonably relied on
5 picture identification which appears to be government issued, including determining that
6 the identification looks real, there are no obvious alterations, the photograph and
7 description reasonably match the person, and the person reasonably looks age 21 or over.
8 ...

9 (15) Violated California Code of Regulations, Title 11, Section 2050, subsection (a)
10 (failure to maintain gambling~~owner~~ licensee or key employee licensee on premises), and
11 has been disciplined by the Commission for such a violation previously,
12 ...

13 Note: Authority: Sections 19825, 19840, 19841, and 19930, Business and Professions Code.
14 Reference: Sections 19823, 19824, 19850, 19851, 19853, 19854, 19855, 19875, 19878, 19883,
15 19901, 19912, 19920, 19921, 19922, 19923, 19924, 19930, 19941, 19942, and 19982, Business
16 and Professions Code; and Department of Alcoholic Beverage Control v. Alcoholic Beverage
17 Control Appeals Board (2004), 118 Cal. App. 4th 1429, 1444-1445.
18

19 § 12568. Disciplinary Guidelines for Holders of Licenses, Findings of Suitability, 20 or Approvals.

21 (a) A license for an individual or any finding of suitability or approval granted by the
22 Commission, other than a work permit, and ~~an~~ cardroom endorsee~~owner~~ licensee who~~for~~
23 ~~a gambling establishment if the owner licensee~~ has committed a separate violation from
24 ~~any violations committed by the~~ cardroom business licensee~~gambling establishment~~
25 will~~shall~~ be subject to a minimum discipline of suspension for one day of normal
26 business operation and a maximum discipline of revocation, which may be stayed on
27 terms and conditions and any monetary penalty as described in Section 12554(d)(7) of
28 this chapter, if the Commission finds that the holder has:

29 (1) Violated or is out of compliance with conditions, limitations, or orders or
30 directives imposed by the Commission, either as part of an initial ~~grant of~~ license or
31 registration, renewal of such, or pursuant to disciplinary action,

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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1 ...

2 (b) A license, finding of suitability, or approval granted by the Commission, other
3 than a work permit, and an cardroom endorsee~~owner~~ licensee who~~for a gambling~~
4 ~~establishment if the owner licensee~~ has committed a separate violation from any
5 ~~violations committed by the cardroom business licensee~~gambling establishment will~~shall~~
6 be subject to a minimum discipline of suspension for five days of normal scheduled work
7 and a maximum discipline of revocation, which may be stayed on terms and conditions
8 and any monetary penalty as described in Section 12554(d)(7) of this chapter, if the
9 Commission finds that the holder has:

10 (1) Intentionally misrepresented a material fact on an application or supplemental
11 application for licensure or registration,

12 ...

13 (8) As an gambling~~owner~~ licensee, not taken reasonable steps to prevent the crimes
14 listed in subsection (b), paragraphs (5) through and including (7), from occurring at the
15 gambling establishment, when the owner licensee knew or should have known that these
16 crimes were being committed,

17 ...

18 (c) A ~~state~~ gambling licensee, finding of suitability, or approval granted by the
19 Commission, other than a work permit, and an cardroom endorsee~~owner~~ licensee who~~for~~
20 ~~a gambling establishment if the owner licensee~~ has committed a separate violation from
21 ~~any violations committed by the cardroom business licensee~~gambling establishment
22 must~~shall~~ be subject to revocation by the Commission on any of the following grounds:

23 ...

24 Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code.
25 Reference: Sections 19823, 19824, 19827, 19857, 19858, 19859, 19860, 19863, 19878, 19880,
26 19922, 19923, 19924, 19930, 19942 and 19944, Business and Professions Code.

27

28 CHAPTER 11. CONFLICTS OF INTEREST.

29

Additions shown in underline; deletions shown in ~~strikeout~~. **DRAFT**

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Appendix B

...

DISCLOSURE CATEGORY 2 – Any officer, employee, or consultant in this category ~~must~~shall disclose investments, business positions, and sources of income including gifts, loans and travel payments, from any manufacturer or distributor of gambling equipment; manufacturer or distributor of card-minding devices; manufacturer or distributor of remote caller bingo equipment or supplies; holder of a finding of suitability issued pursuant to a tribal-state compact; Indian tribe; cardroom licensee or holder of a state gambling license, holder of a key employee license, holder of a work permit, TPPPS licensee~~holder of a third-party provider of proposition player services license; holder of a third-party provider of proposition player services registration; holder of a gambling business license; holder of a gambling business registration; including any applicant for such; applicant for a state gambling license; applicant for a key employee license; applicant for a work permit; applicant for licensure as a third-party provider of proposition player services; applicant for registration as a third-party provider of proposition player services; applicant for licensure as a gambling business; applicant for registration as a gambling business;~~ applicant for registration as a manufacturer or distributor of gambling equipment; applicant for licensure as manufacturer or distributor of card-minding devices; applicant for licensure as manufacturer or distributor of remote caller bingo equipment or supplies; applicant for a finding of suitability under a tribal-state compact; or applicant for any other license, permit or approval provided for in the Gambling Control Act or the Remote Caller Bingo Act, any or any tribal-state compact. Any person in this category ~~must~~shall also disclose any interest in real property in the State of California.

...

///

///

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Forms

Repeal the following forms

| | |
|----------------------|---------------------------|
| BGC-021 (Rev. 07/17) | BGC-540 (Rev. 04/13) |
| BGC-022 (Rev. 07/17) | BGC-541 (Rev. 04/13) |
| BGC-023 (Rev. 07/17) | BGC-APP 001 (Rev. 11/07) |
| BGC-024 (Rev. 04/13) | BGC-APP 005 (Rev. 11/07) |
| BGC-026 (Rev. 07/17) | BGC-APP 006 (Rev. 07/17) |
| BGC-027 (Rev. 07/17) | BGC-APP 008 (Rev 07/17) |
| BGC-028 (Rev. 06/13) | BGC-APP 009A (Rev. 07/17) |
| BGC-030 (Rev. 04/13) | BGC-APP 010 (Rev. 07/17) |
| BGC-031 (Rev. 04/13) | BGC-APP 011 (Rev 11/07) |
| BGC-033 (Rev. 04/13) | BGC-APP 012 (Rev 11/07) |
| BGC-034 (Rev. 04/13) | BGC-APP 013 (Rev 11/07) |
| BGC-035 (Rev. 07/17) | BGC-APP 014 (Rev 11/07) |
| BGC-433 (Rev. 04/13) | BGC-APP 015A (Rev. 07/17) |
| BGC-434 (Rev. 04/13) | BGC-APP 015B (Rev. 07/17) |
| BGC-435 (Rev. 04/13) | BGC-APP 015C (Rev. 07/17) |
| BGC-436 (Rev. 07/17) | BGC-APP 016A (Rev. 08/09) |
| BGC-438 (Rev. 04/13) | BGC-APP 030 (Rev. 07/17) |
| BGC-439 (Rev. 07/17) | BGC-APP 031 (Rev 07/17) |
| BGC-440 (Rev. 04/13) | BGC-APP 032 (Rev. 07/17) |
| BGC-441 (Rev. 04/13) | BGC-APP 033 (Rev. 07/17) |
| BGC-533 (Rev. 04/13) | BGC-APP 034A (Rev. 07/17) |
| BGC-534 (Rev. 04/13) | BGC-APP 034B (Rev. 07/17) |
| BGC-535 (Rev. 04/13) | BGC-APP 036 (New 10/17) |
| BGC-536 (Rev. 07/17) | BGC-APP 143 (New 07/17) |
| BGC-538 (Rev. 04/13) | BGC-LIC 101 (Rev. 07/17) |
| BGC-539 (Rev. 07/17) | |

Modify the following forms

BCII 8016 (Rev. 03/07) now (Rev. 05/12)
CGCC 032 (Rev. 06/12) now (Rev. **XX**/19)
CGCC-036 (Rev. 02/15) now (Rev. **XX**/19)
CGCC-037 (Rev. 07/17) now (Rev. **XX**/19)
CGCC-038 (Rev. 07/17) now (Rev. **XX**/19)
CGCC-050 (Rev. 06/12) now (Rev. **XX**/19)
CGCC-12362 (Rev. 05/11) now (Rev. **XX**/19)
CGCC-Sub 001 (New 02/13) now (Rev. **XX**/19)
CGCC-ND-002 (New 01/14) now (Rev. **XX**/19)

CHAPTER 1: APPENDIX A

Notice of Contact Information Change

CGCC – 032 (Rev. XX/19)

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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) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

To notify the Bureau of Gambling Control (Bureau) of a change in contact information (as required in Title 4, CCR, Section 12004), complete this form. To notify the Bureau of the physical relocation of a gambling establishment, please use form CGCC-0XX (New XX/19).

Please note: To change your name you must submit a Badge Replacement Request

Type or print (in ink) all required information on this form.

| SECTION 1: INFORMATION | |
|--|--|
| NAME OF LICENSE HOLDER | LICENSE/PERMIT NUMBER |
| TYPE OF LICENSE/PERMIT | |
| <input type="checkbox"/> Cardroom Business Licensee | <input type="checkbox"/> Cardroom Endorsee Licensee |
| <input type="checkbox"/> TPPPS Business Licensee | <input type="checkbox"/> TPPPS Endorsee Licensee |
| <input type="checkbox"/> Manufacturer or Distributor | <input type="checkbox"/> Designated Agent |
| <input type="checkbox"/> Key Employee Licensee | <input type="checkbox"/> Commission Work Permit |
| <input type="checkbox"/> TPPPS Supervisor Licensee | <input type="checkbox"/> TPPPS Player or TPPPS Other Employee Licensee |
| <input type="checkbox"/> Other: _____ | |

| SECTION 2: CHANGE IN CONTACT INFORMATION | | |
|--|---|--|
| Check each appropriate box and fill out all information as applicable. | | |
| <input type="checkbox"/> NEW MAILING ADDRESS: | | |
| <input type="checkbox"/> NEW HOME PHONE NUMBER: | <input type="checkbox"/> NEW MOBILE PHONE NUMBER: | <input type="checkbox"/> NEW FAX NUMBER: |
| <input type="checkbox"/> NEW EMAIL ADDRESS: | | |

| SECTION 3: DECLARATION | | |
|---|-----------|-------------------|
| I declare under penalty of perjury under the laws of the State of California that the foregoing information, and all information submitted with this form, is true, correct, and complete, and that I am authorized to submit this information to the Bureau. | | |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) |

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

- A) Business Entity:
 - 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.
- B) Individual/Supervisor/Key Employee/Other Employee: By the applicant.

Subpoena

CGCC – XX (Rev. XX/19)

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**BEFORE THE
CALIFORNIA GAMBLING CONTROL COMMISSION**

In the Matter of:

CGCC No.

SUBPOENA: *Requesting Testimony* **SUBPOENA DUCES TECUM:** *Requesting the Production of Records or Things*

| | |
|---|---|
| THE PEOPLE OF THE STATE OF CALIFORNIA SEND GREETINGS TO: | <i>(name and address of person being subpoenaed)</i> |
| 1. At the request of: <input type="checkbox"/> Bureau of Gambling Control <input type="checkbox"/> <input type="checkbox"/> Applicant <input type="checkbox"/> Presiding Officer <input type="checkbox"/> Other <i>(party name)</i> _____ | <i>(name, address and telephone number of contact person)</i> |

2. You are hereby commanded, business and excuses being set aside, to appear as a witness on:

(date) _____, **at** *(time)* _____, **and then and there to testify at:**

| | |
|--------------------------|--|
| <input type="checkbox"/> | 3. You are not required to appear in person if you produce the records described in the accompanying affidavit and a completed declaration of custodian of records in compliance with Evidence Code sections 1560, 1561, 1562, and 1271. (1) Place a copy of the records in an envelope (or other wrapper). Enclose your original declaration with the records. Seal them. (2) Attach a copy of this subpoena to the envelope or write on the envelope the case name and number, your name and date, time, and place from item 2 (the box above). (3) Place this first envelope in an outer envelope, seal it, and mail it to the Hearings Coordinator at the address in item 2. (4) Mail a copy of your declaration to the attorney or party shown in item 1. |
| <input type="checkbox"/> | 4. You are not required to appear in person if you produce the records described in the accompanying affidavit and a completed declaration of custodian of records in compliance with Evidence Code section 1561. By _____ <i>(date)</i> , send the records to: NOTE: <i>This manner of production may not satisfy the requirements of Evidence Code section 1561 for admission at hearing.</i> |
| <input type="checkbox"/> | 5. You are ordered to appear in person and to produce the records described in the accompanying affidavit. The personal appearance of the custodian or other qualified witness and the production of the original records is required by this subpoena. The procedure authorized by subdivision (b) of section 1560, and sections 1561 and 1562 of the Evidence Code will not be deemed sufficient compliance by this subpoena. |

- 6. Disobedience to this subpoena will be punished as contempt of court in the manner prescribed by law.
- 7. **Witness Fees:** Upon service of this subpoena, you are entitled to witness fees and mileage actually traveled both ways, as provided by law, if you so request. You may request them before your scheduled appearance from the person named in item 1. *See Government Code sections 11450.05, 11450.50, 68092.5-68093, and 68096.1-68097.10.*
- 8. **IF YOU HAVE ANY QUESTIONS ABOUT WITNESS FEES OR THE TIME OR DATE YOU ARE TO APPEAR, OR TO BE CERTAIN THAT YOUR PRESENCE IS REQUIRED ON THE DATE AND TIME SPECIFIED ABOVE, CONTACT THE PERSON REQUESTING THIS SUBPOENA, LISTED IN ITEM 1 ABOVE, BEFORE THE DATE LISTED IN ITEM 2 ABOVE.**

(Date Issued) _____ (Signature of Authorizing Official) _____

(Printed Name) _____

Attorney for Bureau of Gambling Control
 Attorney for Applicant
 Presiding Officer

DECLARATION FOR SUBPOENA DUCES TECUM

(Any party issuing a subpoena for production of books and/or records must complete this section.)

The undersigned states that the books, papers, documents and/or other things named below and requested by this subpoena are material to the proper presentation of this case, and good cause exists for their production by reason of the following facts:

(Use additional pages, if necessary, and attach them to this subpoena.)

Executed _____, 20____, at _____, California.

I declare under penalty of perjury that the foregoing is true and correct.

(Signature of Declarant)

METHOD OF DELIVERY of this subpoena:

- Personal Service - In accordance with Code of Civil Procedure sections 1987 and 1988, delivery was effected by showing the original and delivering a true copy thereof personally to:
- Messenger Service - In accordance with Government Code section 11450.20, an acknowledgement of the receipt of this subpoena was obtained by the sender after it was delivered by messenger to:
- Certified Mail, Return Receipt Requested - I sent a true copy of this subpoena via certified mail, return receipt requested to: *(name and address of person)*

at the hour of _____ m., on _____, 20_____.

City of _____, State of _____.

(Signature of Declarant)

Notice of Defense

CGCC – XX (Rev. XX/19)

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NOTE: This form has not been added to this package yet due to extensive changes proposed in another package that has almost completed its regulatory process. It will be added at that time. The only changes that may be included will be non-substantive, formatting changes.

Appointment of Designated Agent

CGCC – 0XX (New XX/19)
 Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

An applicant may designate a person(s) to serve as his/her agent(s) in addressing matters with the Bureau of Gambling Control (Bureau) and California Gambling Control Commission (Commission). The designation must specify any limit of authority of the agent(s). The Bureau retains the right to exercise its discretion to disapprove, in whole or in part, such designation(s). The Bureau Chief has the authority to require a designated agent to be appointed, if it is determined that such a need exists [Title 11, Cal. Code Regs., Section 2030(a) and (b)]. If not designating a person to serve as your agent, write “N/A” in sections two and three and complete the bottom portion of this form. If designating more than one individual submit one form for each designated agent. All information must be typed or printed legibly in blue or black ink. **This designation supersedes any previous appointment for this Designated Agent.** This designation will remain in effect until such time as the Bureau receives written notification of withdrawal of an appointment and/or a revised Appointment of Designated Agent for this designated agent.

Any designation does not infringe, limit, or waive any form of confidentiality or privacy

| SECTION 1: APPLICANT INFORMATION | | | |
|--|--|--|---|
| TYPE OF LICENSE | | | |
| <input type="checkbox"/> GAMBLING BUSINESS LICENSEE (BUSINESS) | <input type="checkbox"/> GAMBLING BUSINESS LICENSEE (INDIVIDUAL) | <input type="checkbox"/> KEY EMPLOYEE OR TPPPS SUPERVISOR LICENSEE | <input type="checkbox"/> WORK PERMIT, TPPPS PLAYER OR TPPPS OTHER EMPLOYEE LICENSEE |
| <input type="checkbox"/> GAMING RESOURCE SUPPLIER | <input type="checkbox"/> TRIBAL KEY | <input type="checkbox"/> OTHER _____ | |
| NAME OF LICENSEE/APPLICANT | | | |
| TYPE OF ASSOCIATED BUSINESS | | | |
| <input type="checkbox"/> CARDROOM BUSINESS LICENSEE | <input type="checkbox"/> TRIBAL GAMING RESOURCE SUPPLIER/FINANCIAL SOURCE (VENDOR) | <input type="checkbox"/> TPPPS BUSINESS LICENSE | |
| NAME OF ASSOCIATED BUSINESS | | | |

| SECTION 2: DESIGNATED AGENT INFORMATION | | | | |
|---|----------------------------|--|-----------------------------------|---|
| If no designated agent is being appointed, skip this section. | | | | |
| NAME OF DESIGNATED AGENT | | RELATIONSHIP TO APPLICANT | | |
| | | <input type="checkbox"/> OWNER | <input type="checkbox"/> EMPLOYEE | <input type="checkbox"/> ATTORNEY |
| | | <input type="checkbox"/> CERTIFIED PUBLIC ACCOUNTANT | | <input type="checkbox"/> OTHER _____ |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | | | |
| PRIMARY TELEPHONE NUMBER | ALTERNATE TELEPHONE NUMBER | FAX NUMBER | EMAIL ADDRESS | COMMISSION LICENSE NUMBER(S), IF APPLICABLE |
| | | | | |

| | | | | | | | | | | | |
|--|---|---|---------|--|---------|--|---------|---|---------|--|--|
| IS THE DESIGNATED AGENT'S SCOPE OF AUTHORITY INCLUDE REPRESENTATION IN ALL MATTERS ON YOUR BEHALF WITH THE BUREAU OR COMMISSION? IF NO, SPECIFY THE LIMITED SCOPE OF AUTHORITY OF THE DESIGNATED AGENT BELOW. UN-INITIALED AREAS WILL MEAN AUTHORITY HAS NOT BEEN GRANTED. | <input type="checkbox"/> YES <input type="checkbox"/> NO | | | | | | | | | | |
| <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">THE DESIGNATED AGENT IS APPOINTED TO ASSIST IN THE PREPARATION OF FORMS, APPLICATIONS AND OTHER PAPERWORK FOR SUBMITTAL TO THE BUREAU AND COMMISSION.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE TO THE BUREAU ON MY BEHALF.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE WITH COMMISSION STAFF ON MY BEHALF.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">THE DESIGNATED AGENT IS APPOINTED TO REPRESENT ME BEFORE THE COMMISSION AT A NON-EVIDENTIARY HEARING MEETING.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">THE DESIGNATED AGENT IS ADDITIONALLY APPOINTED TO: _____</td> </tr> </table> | INITIAL | THE DESIGNATED AGENT IS APPOINTED TO ASSIST IN THE PREPARATION OF FORMS, APPLICATIONS AND OTHER PAPERWORK FOR SUBMITTAL TO THE BUREAU AND COMMISSION. | INITIAL | THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE TO THE BUREAU ON MY BEHALF. | INITIAL | THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE WITH COMMISSION STAFF ON MY BEHALF. | INITIAL | THE DESIGNATED AGENT IS APPOINTED TO REPRESENT ME BEFORE THE COMMISSION AT A NON-EVIDENTIARY HEARING MEETING. | INITIAL | THE DESIGNATED AGENT IS ADDITIONALLY APPOINTED TO: _____ | |
| INITIAL | THE DESIGNATED AGENT IS APPOINTED TO ASSIST IN THE PREPARATION OF FORMS, APPLICATIONS AND OTHER PAPERWORK FOR SUBMITTAL TO THE BUREAU AND COMMISSION. | | | | | | | | | | |
| INITIAL | THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE TO THE BUREAU ON MY BEHALF. | | | | | | | | | | |
| INITIAL | THE DESIGNATED AGENT IS APPOINTED TO COMMUNICATE WITH COMMISSION STAFF ON MY BEHALF. | | | | | | | | | | |
| INITIAL | THE DESIGNATED AGENT IS APPOINTED TO REPRESENT ME BEFORE THE COMMISSION AT A NON-EVIDENTIARY HEARING MEETING. | | | | | | | | | | |
| INITIAL | THE DESIGNATED AGENT IS ADDITIONALLY APPOINTED TO: _____ | | | | | | | | | | |

| SECTION 3: DESIGNATED AGENT ACKNOWLEDGMENT | | | | | |
|---|--|--|---------|---|--|
| If no designated agent is being appointed, skip this section. | | | | | |
| THE DESIGNATED AGENT MUST COMPLETE THIS SECTION: | IF APPLICABLE, PROVIDE A VALID LICENSE NUMBER ISSUED BY EITHER THE COMMISSION, CALIFORNIA STATE BAR OR CALIFORNIA BOARD OF ACCOUNTANCY | | | | |
| <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%; border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">I UNDERSTAND THAT I AM EXPECTED TO ACT IN ACCORDANCE WITH THE SCOPE OF AUTHORITY PROVIDED BY THIS DESIGNATION UNTIL SUCH TIME AS THE DESIGNATION IS SUPERSEDED OR I PROVIDE NOTIFICATION OF WITHDRAWAL TO THE DESIGNATOR AND THE BUREAU.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">INITIAL</td> <td style="padding-left: 10px;">I UNDERSTAND THAT FAILURE TO ACT WITHIN THE SCOPE OF THE AUTHORITY PROVIDED FOR ME IN THIS DESIGNATION MAY BE USED AS JUSTIFICATION FOR REVOKING MY DESIGNATION AND ABILITY TO SERVE AS A DESIGNATED AGENT.</td> </tr> </table> | INITIAL | I UNDERSTAND THAT I AM EXPECTED TO ACT IN ACCORDANCE WITH THE SCOPE OF AUTHORITY PROVIDED BY THIS DESIGNATION UNTIL SUCH TIME AS THE DESIGNATION IS SUPERSEDED OR I PROVIDE NOTIFICATION OF WITHDRAWAL TO THE DESIGNATOR AND THE BUREAU. | INITIAL | I UNDERSTAND THAT FAILURE TO ACT WITHIN THE SCOPE OF THE AUTHORITY PROVIDED FOR ME IN THIS DESIGNATION MAY BE USED AS JUSTIFICATION FOR REVOKING MY DESIGNATION AND ABILITY TO SERVE AS A DESIGNATED AGENT. | |
| INITIAL | I UNDERSTAND THAT I AM EXPECTED TO ACT IN ACCORDANCE WITH THE SCOPE OF AUTHORITY PROVIDED BY THIS DESIGNATION UNTIL SUCH TIME AS THE DESIGNATION IS SUPERSEDED OR I PROVIDE NOTIFICATION OF WITHDRAWAL TO THE DESIGNATOR AND THE BUREAU. | | | | |
| INITIAL | I UNDERSTAND THAT FAILURE TO ACT WITHIN THE SCOPE OF THE AUTHORITY PROVIDED FOR ME IN THIS DESIGNATION MAY BE USED AS JUSTIFICATION FOR REVOKING MY DESIGNATION AND ABILITY TO SERVE AS A DESIGNATED AGENT. | | | | |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) | | | |

| SECTION 4: SIGNATURE OF APPLICANT | | | |
|-----------------------------------|-----------|----------|-------------------|
| PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |

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

A) Business Entity:

- 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.

B) Individual/Supervisor/Key Employee/Other Employee: By the applicant.

CHAPTER 2: APPENDIX A

Badge Replacement Request

CGCC – 0XX (New XX/19)
Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

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 and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant. **A replacement badge fee of \$25 is required for all license types.**

| SECTION 1: PERSONAL INFORMATION | | |
|---|---------------|----------------|
| FULL NAME: LAST | FIRST | MIDDLE |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | EMAIL ADDRESS | LICENSE NUMBER |

| SECTION 2: REPLACEMENT INFORMATION | | | |
|---|--|---|--|
| A) LICENSE TYPE | | | |
| <input type="checkbox"/> Cardroom Endorsee Licensee (natural person only) | <input type="checkbox"/> Key Employee Licensee | <input type="checkbox"/> Commission Work Permit | |
| <input type="checkbox"/> TPPPS Endorsee Licensee (natural person only) | <input type="checkbox"/> TPPPS Supervisor Licensee | <input type="checkbox"/> TPPPS Player Licensee | <input type="checkbox"/> TPPPS Other Employee Licensee |
| B) PURPOSE OF REQUEST | | | |
| BADGE WAS: | | | |
| <input type="checkbox"/> LOST | <input type="checkbox"/> STOLEN | <input type="checkbox"/> DAMAGED | |
| <input type="checkbox"/> CHANGE OF NAME: | | | |
| PREVIOUS NAME: _____ | | | |
| NEW NAME: _____ | | | |
| <ul style="list-style-type: none"> • COPY OF MARRIAGE CERTIFICATE. • COPY OF COURT DOCUMENT AUTHORIZING LEGAL NAME CHANGE. • CLEAR COPY OF DRIVER'S LICENSE. | | | |

| SECTION 3: DECLARATION | | |
|--|-----------|-------------------|
| I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____. | | |
| | | City and State |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) |

This form must be signed by the badge recipient.

Notification of Employment Change

CGCC – 0XX (New XX/19)

Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



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 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

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 and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| SECTION 1: PERSONAL INFORMATION | | |
|---|---------------|----------------|
| FULL NAME: LAST | FIRST | MIDDLE |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | EMAIL ADDRESS | LICENSE NUMBER |

| SECTION 2: STATUS INFORMATION | |
|--|---|
| A) LICENSE TYPE | |
| <input type="checkbox"/> Key Employee License | <input type="checkbox"/> Commission Work Permit |
| <input type="checkbox"/> TPPPS Supervisor License | <input type="checkbox"/> TPPPS Player License |
| | <input type="checkbox"/> TPPPS Other Employee License |
| B) EMPLOYMENT CHANGE INFORMATION | |
| 1) PLEASE MARK THE APPROPRIATE BOX BELOW REGARDING YOUR CURRENT EMPLOYMENT STATUS: | |
| <input type="checkbox"/> | I AM NOT WORKING IN A POSITION THAT REQUIRES THE INDICATED LICENSE OR COMMISSION WORK PERMIT. |
| PLEASE PROVIDE AN EXPLANATION: | |

| AS I AM NO LONGER WORKING IN A POSITION THAT REQUIRES THE INDICATED LICENSE OR COMMISSION WORK PERMIT, I WISH TO WITHDRAW ANY INITIAL OR RENEWAL APPLICATION? | | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
|---|-----------------------------------|------------------------------|-----------------------------|
| <input type="checkbox"/> | I AM NO LONGER EMPLOYED AT: | _____ | ; and, as of: _____ |
| | Have accepted employment at: | _____ | as a: _____ |
| <input type="checkbox"/> | I AM CURRENTLY EMPLOYED AT: | _____ | ; and, as of: _____ |
| | Have also accepted employment at: | _____ | as a: _____ |

Application for Employee License

CGCC – 0XX (New XX/19)

Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide information for individuals required to apply as an Employee License.

All responses must be truthful and complete. All responses are subject to verification and will be used to determine suitability under gambling laws and regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee. The burden of proving his/her qualifications to receive a Employee License is on the applicant.

An applicant may be subject to administrative action for failing to provide all information, documentation and assurances as required by the Act or requested by the California Gambling Control Commission or the Bureau of Gambling Control (Bureau), or failing to reveal any material facts, or providing misleading or untrue information as to a material fact.

An applicant accepts any risks of adverse action, financial loss, or public notice which may result from any action taken with respect to an application. By filing an application, an applicant expressly waives any claim for damages as a result of any action taken with respect to that application.

An applicant may request an application be withdrawn pursuant to Section 12015.

It is the responsibility of each applicant to obtain copies of, and be familiar with, the laws and regulations governing the applicant's Employee License. As an applicant, it is your responsibility to ensure that you thoroughly understand the questions in this application. If you do not understand the questions, it is your responsibility to obtain appropriate, competent assistance in order to fully and accurately complete the application.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with "N/A" (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Applicant's Full Name

Name of Employer

Date of Photograph

**Affix a passport quality
 photography taken
 within the last 30
 calendar days here**

**PLEASE PRINT NAME
 ON BACK OF
 PHOTOGRAPH**

| SECTION 1: PERSONAL INFORMATION | | |
|---------------------------------|-------|--------|
| FULL NAME: LAST | FIRST | MIDDLE |

| SECTION 2: APPLICATION |
|------------------------|
|------------------------|

| A) TYPE OF APPLICATION (CHECK APPROPRIATE BOX) |
|--|
|--|

| | |
|---|---|
| <input type="checkbox"/> KEY EMPLOYEE LICENSE | <input type="checkbox"/> TPPPS SUPERVISOR LICENSE |
| <input type="checkbox"/> COMMISSION WORK PERMIT | <input type="checkbox"/> TPPPS PLAYER LICENSE |
| | <input type="checkbox"/> TPPPS OTHER EMPLOYEE LICENSE |

| B) SELECT IF THIS IS AN APPLICATION FOR AN INITIAL OR RENEWAL LICENSE (CHECK APPROPRIATE BOX) |
|---|
|---|

| | |
|--|---|
| <input type="checkbox"/> INITIAL APPLICATION | <input type="checkbox"/> INITIAL APPLICATION WITH REQUEST FOR TEMPORARY LICENSE Include additional temporary license fee of \$25. |
| <ul style="list-style-type: none"> <u>Key Employee License</u> or <u>TPPPS Supervisor License</u>, an application fee of \$750 <u>TPPPS Player License</u> or <u>TPPPS Other Employee License</u>, an application fee of \$500 <u>Commission Work Permit</u>, an application fee of \$250 | |

NOTE: INITIAL APPLICANTS DO NOT COMPLETE SECTION 3.

| | |
|---|--|
| <input type="checkbox"/> RENEWAL APPLICATION | <ul style="list-style-type: none"> <u>Key Employee License</u> or <u>TPPPS Supervisor License</u>, an application fee of \$750 <u>TPPPS Player License</u> or <u>TPPPS Other Employee License</u>, an application fee of \$500 <u>Commission Work Permit</u>, an application fee of \$250 |
|---|--|

| C) JOB INFORMATION |
|--------------------|
|--------------------|

| |
|-----------------|
| JOB TITLE |
| JOB DESCRIPTION |

| SECTION 3: RENEWAL INFORMATION |
|--------------------------------|
|--------------------------------|

Complete this section only for a renewal application. If you answer "YES" to any of the questions below, please provide a detailed explanation for each item marked "YES" on a separate sheet of paper and attach to the application.

| | |
|--|--|
| 1. Have you been a party to any civil litigation since last filing a license or Commission work permit application? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 2. Have you been named in any administrative action affecting any license certification since last filing a license or Commission work permit application? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 3. Have you been convicted of any crime (misdemeanor or felony) since last filing a license or Commission work permit application? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 4. Have you acquired or increased your financial interest in a business that conducts lawful gambling outside the State since last filing a license or Commission work permit application? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 5. Have you entered into any new agreements? If yes, attach a list of agreements including the amount and all contracting parties. | <input type="checkbox"/> YES <input type="checkbox"/> NO |

SECTION 4: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (a), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

COMPLETED REQUEST FOR LIVE SCAN SERVICE (BCII 0816).

AUTHORIZATION TO RELEASE INFORMATION (CGCC - 0XX) - **PROVIDE ORIGINAL.**

INITIAL APPLICANTS MUST ALSO ATTACH A COMPLETED SUPPLEMENTAL BACKGROUND INFORMATION FORM, AS INDICATED BELOW:
Key Employee License and TPPPS Supervisor License: Key Employee or **TPPPS** Supervisor Supplemental Information, CGCC - 0XX (New XX/19).
Commission Work Permit, TPPPS Player License or TPPPS Other Employee License: Commission Work Permit, **TPPPS** Player, or **TPPPS** Other Employee Supplemental Information, CGCC - 0XX (New XX/19).

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

PRINTED NAME

SIGNATURE

DATE (MM/DD/YYYY)

This form must be signed by the applicant or licensee.

Application for Gambling Business License

CGCC – 0XX (New XX/19)

Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide information for individuals required to apply as a Gambling Business License as defined by the Gambling Control Act (Act) and/or implementing administrative regulations, as applicable.

All responses must be truthful and complete. All responses are subject to verification and will be used to determine suitability under gambling laws and regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee. The burden of proving his/her qualifications to receive a license is on the applicant.

An applicant may be subject to administrative action for failing to provide all information, documentation and assurances as required by the Act or requested by the California Gambling Control Commission or the Bureau of Gambling Control (Bureau), or failing to reveal any material facts, or providing misleading or untrue information as to a material fact.

An applicant accepts any risks of adverse action, financial loss, or public notice which may result from any action taken with respect to an application. By filing an application, an applicant expressly waives any claim for damages as a result of any action taken with respect to that application.

An applicant may request an application be withdrawn pursuant to Section 12015.

It is the responsibility of each applicant to obtain copies of, and be familiar with, the laws and regulations governing the applicant's license. As an applicant, it is your responsibility to ensure that you thoroughly understand the questions in this application. If you do not understand the questions, it is your responsibility to obtain appropriate, competent assistance in order to fully and accurately complete the application.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with "N/A" (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

 Applicant's Full Name

 Name of Employer

 Date of Photograph

**Affix a passport quality
 photography taken
 within the last 30
 calendar days here**

**PLEASE PRINT NAME
 ON BACK OF
 PHOTOGRAPH**

SECTION 1: APPLICATION

A) TYPE OF APPLICATION (CHECK APPROPRIATE BOX)

| | |
|---|--|
| <input type="checkbox"/> CARDROOM BUSINESS LICENSEE The sole proprietor, corporation, partnership, trust, or business entity that operates a gambling establishment | <input type="checkbox"/> TPPPS BUSINESS LICENSEE The sole proprietor, corporation, partnership, trust, or other business entity that proposes to provide third-party proposition services as an independent contractor in a gambling establishment. |
| <input type="checkbox"/> CARDROOM ENDORSEE LICENSEE An endorsed licensee is any other type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source. | <input type="checkbox"/> TPPPS ENDORSEE LICENSEE An owner is any other type not covered above, such as: an officer in a corporation, a limited partner in a partnership, any person who receives any percentage share of the revenues earned, or any funding source. |

B) SELECT IF THIS IS AN APPLICATION FOR AN INITIAL OR RENEWAL LICENSE (CHECK APPROPRIATE BOX)

| | |
|--|---|
| <input type="checkbox"/> INITIAL APPLICATION \$1000 Application Fee <ul style="list-style-type: none"> • <u>Cardroom business licensee</u>, an amount determined by the schedule in subdivision (c) of Business and Profession Code section 19951 unless the application is due to a change in the ownership structure of a currently licensed gambling establishment | <input type="checkbox"/> INITIAL APPLICATION WITH REQUEST FOR TEMPORARY LICENSE Include additional temporary license fee of \$25. |
|--|---|

NOTE: INITIAL APPLICANTS DO NOT COMPLETE SECTION 2.

| | |
|---|---|
| <input type="checkbox"/> RENEWAL APPLICATION \$1000 Application Fee <ul style="list-style-type: none"> • <u>Cardroom business licensee</u> or <u>Cardroom endorsee licensee</u>, a delinquency fee of \$1000, if applicable • <u>Cardroom business licensee</u>, a background investigation deposit required in Title 11, Cal. Code Regs., Section 2037 | <input type="checkbox"/> BADGE REQUIRED \$25 Application Fee |
|---|---|

C) INFORMATION FOR ASSOCIATED GAMBLING ENTERPRISE OR TPPPS COMPANY

| | | |
|---|----------------------------|------------|
| ENTITY NAME | | |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | ALTERNATE TELEPHONE NUMBER | FAX NUMBER |

SECTION 2: RENEWAL INFORMATION

Complete this section only for a renewal application. If you answer "YES" to any of the questions below, please provide a detailed explanation for each item marked "YES" on a separate sheet of paper and attach to the application.

| | |
|---|--|
| CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE | |
| 1. Have there been any changes affecting ownership or controlling interest in this gambling enterprise since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 2. Have there been any changes affecting ownership or controlling interest in any entity that is endorsed upon the license since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 3. Has there been any newly acquired or increase to any financial interest in a business that conducts lawful gambling outside the State since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| CARDROOM BUSINESS LICENSE | |
| 4. Has there been any change to the terms (financial or otherwise) of the gambling establishment's lease or a change of landlord since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| CARDROOM BUSINESS LICENSE, CARDROOM ENDORSEE LICENSEE OR TPPPS BUSINESS LICENSE, TPPPS ENDORSEE LICENSEE | |
| 5. Have you been a party to any civil litigation since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 6. Have you been named in any administrative action affecting any license certification since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 7. Have you been convicted of any crime (misdemeanor or felony) since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 8. Have you acquired or increased your financial interest in a business that conducts lawful gambling outside the State since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 9. Have you transferred any ownership interest to any individual or into a Trust since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 10. Do you have a financial interest in the cannabis industry? If yes, answer question 11. | <input type="checkbox"/> YES <input type="checkbox"/> No |
| 11. If the answer to Question 10 was yes, do you currently have or are do you intend to acquire a license or permit in the cannabis industry | <input type="checkbox"/> YES <input type="checkbox"/> No |
| TRUST | |
| 12. Has there been any amendment to any trust documents or any changes to a beneficiary, trustee, or trust asset since last filing a license application? | <input type="checkbox"/> YES <input type="checkbox"/> No |

SECTION 3: CARDROOM BUSINESS LICENSE OPERATIONS

Complete this section only for an owner licensee.

| | | | | | | | | |
|--------------------------|--|--------|--------|---------|-----------|----------|--------|----------|
| <input type="checkbox"/> | GAMING HOURS 24 HOURS/365 OR: | SUNDAY | MONDAY | TUESDAY | WEDNESDAY | THURSDAY | FRIDAY | SATURDAY |
| | OPENING TIME | | | | | | | |
| | CLOSING TIME | | | | | | | |
| <input type="checkbox"/> | BUSINESS OFFICE HOURS SAME AS GAMING HOURS OR: | SUNDAY | MONDAY | TUESDAY | WEDNESDAY | THURSDAY | FRIDAY | SATURDAY |
| | OPENING TIME | | | | | | | |
| | CLOSING TIME | | | | | | | |

NUMBER OF PERMANENT TABLES OPERATING OR TO BE OPERATED IN THE GAMBLING ESTABLISHMENT

NAME OF PROPOSED GAMES

INDICATE ENDORSED OWNERS

Identify all individual officers (President, Secretary, Treasurer, and Chief Financial Officer), directors, shareholders, partners, members, etc. of the entity. For Trusts, identify the Trustor and any Trustees. For officers and directors of corporations with no ownership interest, enter 0% in the ownership column. If a section does not apply, write "N/A" (not applicable). If additional space is needed, please use separate sheets of paper.

| Entity / Individual's Name | Title | Ownership / Membership Interest Percentage | Compensation Arrangement (salary, hourly wage, incentives, bonuses, etc.) |
|----------------------------|-------|--|---|
| | | % | |
| | | % | |
| | | % | |
| | | % | |
| | | % | |

SECTION 4: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (a), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- COMPLETED REQUEST FOR LIVE SCAN SERVICE (BCII 0816).
- AUTHORIZATION TO RELEASE INFORMATION (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- NOTE: INITIAL APPLICANTS MUST ALSO ATTACH A COMPLETED SUPPLEMENTAL BACKGROUND INFORMATION FORM, AS INDICATED BELOW:
Cardroom business licensee or TPPPS business licensee: Business Entity Supplemental, CGCC – 0XX (New XX/19) in addition to any other form required below.
Individual Applicants: Individual Owner/Principal Supplemental Information, CGCC – 0XX (New XX/19).
Entity Applicants: Business Entity Supplemental Information, CGCC – 0XX (New XX/19).
*Trust Applicants: Trust Supplemental Information, CGCC – 0XX (New XX/19).
 *Contingent beneficiaries do not need to submit an application if benefits are contingent upon a specific future event or circumstance.

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

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

PRINTED NAME

SIGNATURE

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.*

Business Entity: Supplemental Information

CGCC – 0XX (New XX/19)
 Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-17003

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide additional information for business entities required to be licensed by the California Gambling Control Commission (Commission). A business entity includes, but is not limited to, a corporation, limited liability company, partnership, sole proprietorship, joint venture, TPPPS entity and gambling enterprise entity.

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Gambling Control Act and Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the person completing this form on behalf of the business.

_____ Business Entity Name

_____ Name of Gambling Establishment or TPPPS Company Business is Associated With

| TYPE OF OWNER BUSINESS (CHECK APPROPRIATE BOX): | | |
|--|---|--|
| <input type="checkbox"/> TPPPS BUSINESS LICENSE | <input type="checkbox"/> TPPPS ENDORSEE LICENSE (ENTITY) | <input type="checkbox"/> TPPPS FUNDING SOURCE (ENTITY) |
| <input type="checkbox"/> CARDROOM BUSINESS LICENSE | <input type="checkbox"/> CARDROOM ENDORSEE LICENSE (ENTITY) | |

| SECTION 1: ENTITY STRUCTURE | | |
|--|--|---|
| <input type="checkbox"/> General Partnership | <input type="checkbox"/> Corporation: | <input type="checkbox"/> Trust: |
| <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> Publicly Traded | <input type="checkbox"/> Revocable |
| <input type="checkbox"/> Joint Venture | <input type="checkbox"/> Private: | <input type="checkbox"/> Irrevocable |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Sub-Chapter S | <input type="checkbox"/> Sole Proprietor: |
| <input type="checkbox"/> Other: _____ | <input type="checkbox"/> Sub-Chapter C | |

| SECTION 2: BUSINESS ENTITY INFORMATION | | | |
|---|------------|--|--|
| NAME OF APPLICANT (CORPORATION, LIMITED LIABILITY COMPANY, PARTNERSHIP, ETC.) | | NAME USED FOR BUSINESS (IF DIFFERENT FROM APPLICANT) | |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | | |
| PHYSICAL OFFICE ADDRESS (IF DIFFERENT THAN ABOVE) (STREET, CITY, STATE, ZIP CODE) | | | |
| ADDRESS WHERE BUSINESS RECORDS ARE MAINTAINED (STREET, CITY, STATE, ZIP CODE) | | | |
| TELEPHONE NUMBER | FAX NUMBER | FEDERAL TAX ID NUMBER | STATE TAX ID NUMBER |
| EMAIL ADDRESS (IF APPLICABLE) | | WEBSITE ADDRESS (IF APPLICABLE) | |
| FEIN NUMBER | | TAX ID NUMBER | |
| A) HAS THIS BUSINESS ENTITY EVER OPERATED USING A FICTITIOUS BUSINESS NAME, ASSUMED BUSINESS NAME, TRADE NAME, OR OTHER DOING BUSINESS AS, IN ANY JURISDICTION (INCLUDING INTERNATIONAL JURISDICTIONS)? <small>IF YES, PROVIDE THE FOLLOWING DETAILS.</small> | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) BUSINESS NAME | | STATE/PROVINCE, COUNTRY | |
| 2) BUSINESS NAME | | STATE/PROVINCE, COUNTRY | |
| B) DOES THIS BUSINESS ENTITY HAVE PARENT COMPANIES, SUBSIDIARIES, OR AFFILIATES? <small>IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH ORGANIZATION CHART.</small> | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) BUSINESS NAME | | STATE/PROVINCE, COUNTRY | PARENT, SUBSIDIARY, OR AFFILIATE |
| 2) BUSINESS NAME | | STATE/PROVINCE, COUNTRY | PARENT, SUBSIDIARY, OR AFFILIATE |
| C) ARE THERE ANY EMPLOYEES WHO PARTICIPATE IN PROFIT SHARING PLANS OR TO WHOM BONUSES ARE PAID BASED ON CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE REVENUE? <small>IF YES, PROVIDE THE FOLLOWING DETAILS. IN ADDITION, EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS AN "OWNER."</small> | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF EMPLOYEE (LAST, FIRST, MIDDLE) | | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| BONUS/PROFIT SHARING | | COMPENSATION ARRANGEMENT | |
| 2) NAME OF EMPLOYEE (LAST, FIRST, MIDDLE) | | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| BONUS/PROFIT SHARING | | COMPENSATION ARRANGEMENT | |

SECTION 3: LICENSING INFORMATION

A) HAS THE BUSINESS ENTITY EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY **RELATED TO GAMING IN ANY JURISDICTION?**
 IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL, STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE COMMISSION, TO WHICH THIS BUSINESS HAS APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING).
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

Yes No

| | | | |
|---|---------------------|---|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|---|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

| | | | |
|---|---------------------|---|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|---|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

| | | | |
|---|---------------------|---|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|---|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

B) HAS THIS BUSINESS ENTITY BEEN DISCIPLINED, FINED, ETC. BY A GAMING REGULATORY AGENCY (LOCAL, STATE, TRIBAL, OR INTERNATIONAL)?
 IF YES, PROVIDE THE FOLLOWING DETAILS.
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

Yes No

| | | | |
|----------------|--------------------------------------|--|--|
| ISSUING AGENCY | DATE OF FINAL ACTION (MM/DD/YYYY) | ACTION TAKEN (SUSPENDED, REVOKED, ETC.) | CITY, COUNTY, STATE/PROVINCE, COUNTRY |
|----------------|--------------------------------------|--|--|

BRIEFLY EXPLAIN THE CIRCUMSTANCES AND INCLUDE ANY AMOUNTS PAID.

| | | | | |
|---|--------------------------------|--|----------------|--|
| C) HAS THE BUSINESS ENTITY EVER HELD OR APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY <u>NOT</u> RELATED TO GAMING? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | | |
| 1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY | |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | | |
| 2) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY | |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | | |
| 3) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY | |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | | |
| D) IS THIS BUSINESS ENTITY INCORPORATED, REGISTERED, OR LICENSED TO DO BUSINESS IN ANY OTHER STATE OR COUNTRY? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) STATE/PROVINCE, COUNTRY | REGISTRATION OR LICENSE NUMBER | VALID FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | | |
| 2) STATE/PROVINCE, COUNTRY | REGISTRATION OR LICENSE NUMBER | VALID FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | | |
| 3) STATE/PROVINCE, COUNTRY | REGISTRATION OR LICENSE NUMBER | VALID FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | | |
| 4) STATE/PROVINCE, COUNTRY | REGISTRATION OR LICENSE NUMBER | VALID FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | | |

SECTION 4: PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION

A) HAS THIS BUSINESS ENTITY BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?
IF YES, PROVIDE THE FOLLOWING DETAILS. YES NO
IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | |
|--|------------------|-------------|
| 1) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

| | | |
|--|------------------|-------------|
| 2) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

| | | |
|--|------------------|-------------|
| 3) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

B) HAS THIS BUSINESS ENTITY EVER BEEN FOUND IN VIOLATION OF THE U.S. FOREIGN CORRUPT PRACTICES ACT OR THE EQUIVALENT IN ANOTHER COUNTRY?
IF YES, PROVIDE THE FOLLOWING DETAILS. YES NO
IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | |
|-------------------|---------|-----------------|
| DATE (MM/DD/YYYY) | COUNTRY | PROVIDE DETAILS |
|-------------------|---------|-----------------|

SECTION 5: PAYMENTS EXCEEDING \$100,000

DOES THIS BUSINESS ENTITY MAKE PAYMENTS TO PERSONS IN A CALENDAR YEAR EXCEEDING \$100,000 IN CONNECTION WITH GAMING ACTIVITY? (THIS EXCLUDES EMPLOYEES, SHAREHOLDER OR MEMBER DISTRIBUTIONS OR PAYMENTS TO DIRECTORS OR OFFICERS OF THIS BUSINESS ENTITY)
IF YES, PROVIDE THE FOLLOWING DETAILS. YES NO

| | | | |
|------------------|--|--------------------|---------------|
| 1) NAME OF PAYEE | ADDRESS OF PAYEE (STREET, CITY, STATE, ZIP CODE) | REASON FOR PAYMENT | ANNUAL AMOUNT |
| 2) NAME OF PAYEE | ADDRESS OF PAYEE (STREET, CITY, STATE, ZIP CODE) | REASON FOR PAYMENT | ANNUAL AMOUNT |
| 3) NAME OF PAYEE | ADDRESS OF PAYEE (STREET, CITY, STATE, ZIP CODE) | REASON FOR PAYMENT | ANNUAL AMOUNT |

SECTION 6: FINANCIAL INFORMATION

A) HAS ANY INTEREST IN THIS BUSINESS ENTITY BEEN ASSIGNED, PLEDGED, OR HYPOTHECATED TO ANY INDIVIDUAL OR OTHER ENTITY OR HAS ANY AGREEMENT BEEN ENTERED INTO WHEREBY ANY INTEREST IS TO BE ASSIGNED, PLEDGED OR SOLD EITHER IN WHOLE OR IN PART?

YES NO

BRIEFLY EXPLAIN THE CIRCUMSTANCES AND PROVIDE THE AMOUNTS.

**B) HAS THIS BUSINESS ENTITY FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS?
IF YES, PROVIDE A COPY OF THE BANKRUPTCY PETITION/ORDER AND THE FOLLOWING DETAILS.**

YES NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

DATE FILED
(MM/DD/YYYY)

CASE NUMBER (IF
KNOWN)

FEDERAL DISTRICT COURT WHERE
FILED

DATE OF DISCHARGE
(MM/DD/YYYY)

AMOUNT OF DISCHARGE, IF
APPLICABLE

BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDING THE NATURE OF THE DEBT.

C) HAS THIS BUSINESS HAD A REORGANIZATION WITHIN THE LAST THREE YEARS?

YES NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

BRIEFLY EXPLAIN THE CIRCUMSTANCES.

D) HAS THIS BUSINESS ENTITY BEEN AUDITED BY ANY TAXING AUTHORITY WITHIN THE LAST 10 YEARS?

YES NO

IF YES, PROVIDE DETAILS AND DATES BELOW.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

AGENCY
(STATE/FEDERAL/FOREIGN)

DATE AUDIT COMMENCED
(MM/DD/YYYY)

TAX YEAR AUDITED
(MM/DD/YYYY)

EXPLAIN FINDINGS

E) HAS ANY JUDGMENT OR LIEN BEEN FILED AGAINST THE BUSINESS ENTITY WITHIN THE LAST 10 YEARS?

YES NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

JUDGMENT
 LIEN

DATE FILED
(MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT
OR LIEN

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS
FILED AGAINST

EXPLAIN THE REASON FOR THE JUDGMENT/LIEN. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF JUDGMENT/LIEN IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE JUDGMENT/LIEN.

JUDGMENT
 LIEN

DATE FILED
(MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT
OR LIEN

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS
FILED AGAINST

EXPLAIN THE REASON FOR THE JUDGMENT/LIEN. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF JUDGMENT/LIEN IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE JUDGMENT/LIEN.

| | | | |
|---|---|---|--|
| F) HAS THE BUSINESS ENTITY HAD ANY ASSETS REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTIBLE (CHARGE-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) | |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| 2) NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) | |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| G) HAS THIS BUSINESS ENTITY EVER HELD A FINANCIAL INTEREST (INCLUDING STOCK) IN A GAMING VENTURE, INCLUDING, BUT NOT LIMITED, TO A GAMBLING ESTABLISHMENT (CARDROOM), CARD GAME, GAMBLING EQUIPMENT, RACE TRACK, RACE HORSE/DOG, LOTTERY, CASINO, BOOKMAKING OPERATION, PARI-MUTUEL OPERATION, OR BINGO PARLOR? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF BUSINESS | LOCATION OF BUSINESS (CITY, STATE) | DATE INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| INTEREST/TYPE OF VENTURE | NAME OF PARTNERS | PERCENTAGE OF OWNERSHIP | |
| 2) NAME OF BUSINESS | LOCATION OF BUSINESS (CITY, STATE) | DATE INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| INTEREST/TYPE OF VENTURE | NAME OF PARTNERS | PERCENTAGE OF OWNERSHIP | |
| H) DOES THIS BUSINESS ENTITY OWN, CONTROL, OR MANAGE ANY ASSETS OUTSIDE THE U.S., OR HAVE ANY LIABILITIES OUTSIDE OF THE U.S.? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) | |
| 2) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) | |
| I) DOES THIS BUSINESS ENTITY CONTROL, MANAGE, OR HOLD ANY ASSETS OR LIABILITIES FOR ANOTHER INDIVIDUAL OR ENTITY? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| NAME OF PERSON | RELATIONSHIP | PURPOSE | |
| J) IS THIS BUSINESS ENTITY, OR ANY INTEREST IN THIS BUSINESS, HELD BY A TRUST (ESTATE PLANNING OR OTHER)? IF YES, YOU MUST ALSO COMPLETE AND SUBMIT THE APPROPRIATE APPLICATION AND A TRUST SUPPLEMENTAL BACKGROUND INVESTIGATION INFORMATION FORM (CGCC-0XX). | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| NAME OF TRUST | | | |

| | | | |
|---|-------------|---|--|
| K) DOES THIS BUSINESS ENTITY HAVE ANY PLANS TO SELL, MERGE, OR ACQUIRE NEW BUSINESSES IN THE NEXT 24 MONTHS? IF YES, PROVIDE DETAILS AND DATES BELOW. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| | | | |
| L) DOES THIS BUSINESS ENTITY HAVE ANY AGREEMENTS OR CONTRACTS WITH ANY PARTY, OTHER THAN A BUREAU-APPROVED TPPPS CONTRACT? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |
| 2) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |
| 3) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |
| 4) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |
| 5) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |

SECTION 7: BUILDING/LAND INFORMATION

A) PROVIDE THE FOLLOWING INFORMATION REGARDING THE BUILDING/LAND ON WHICH THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE IS LOCATED (OFFICE SPACE).

| | | |
|---|--|----------------------------------|
| NAME OF PROPERTY OWNER | NAME OF LEASING AGENT/LANDLORD, IF DIFFERENT | TELEPHONE NUMBER |
| ADDRESS (STREET, CITY, STATE, ZIP CODE) | EMAIL ADDRESS | MONTHLY RENT/LEASE PAYMENT \$ |
| IDENTIFY THE METHODOLOGY USED TO DETERMINE THE RENT/LEASE PAYMENT | | |

B) IS ANY PORTION OF THE RENT/LEASE PAYMENT BASED ON THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE REVENUE?
 EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION FOR AN ENDORSED LICENSE. YES NO

C) DO ANY OWNERS OR EMPLOYEES OF THE OWNERS OF THE BUILDING/LAND UPON WHICH THIS GAMBLING ESTABLISHMENT RESIDES, HAVE A FINANCIAL INTEREST IN THIS CARDROOM BUSINESS LICENSE?
 IF YES, PROVIDE DETAILS BELOW. EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE CARDROOM BUSINESS LICENSE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS A CARDROOM ENDORSED LICENSE. YES NO

| | | |
|---|---|------------------|
| 1) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | TELEPHONE NUMBER |
| EMAIL ADDRESS | DESCRIPTION OF THEIR FINANCIAL INTEREST IN THIS GAMBLING ENTERPRISE | |
| 2) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | TELEPHONE NUMBER |
| EMAIL ADDRESS | DESCRIPTION OF THEIR FINANCIAL INTEREST IN THIS GAMBLING ENTERPRISE | |
| 3) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | TELEPHONE NUMBER |
| EMAIL ADDRESS | DESCRIPTION OF THEIR FINANCIAL INTEREST IN THIS GAMBLING ENTERPRISE | |
| 4) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | TELEPHONE NUMBER |
| EMAIL ADDRESS | DESCRIPTION OF THEIR FINANCIAL INTEREST IN THIS GAMBLING ENTERPRISE | |

SECTION 8: CARDROOM BUSINESS LICENSEE OPERATING INFORMATION

To be completed only for a cardroom business license.

A) PROVIDE THE TOTAL VALUE OF THE CHIPS OUTSTANDING AT ANY GIVEN TIME AT THIS GAMBLING ESTABLISHMENT.
 THE CALIFORNIA CODE OF REGULATIONS REQUIRES GAMBLING ESTABLISHMENTS TO MAINTAIN A SEPARATE SPECIFICALLY DESIGNATED, INSURED ACCOUNT WITH A LICENSED FINANCIAL INSTITUTION IN ANY AMOUNT NOT LESS THAN THE TOTAL VALUE OF THE CHIPS IN USE IN THIS GAMBLING ESTABLISHMENT. ATTACH A COPY OF THE MOST RECENT STATEMENT ON THIS ACCOUNT.

| | | |
|---|---|-----------------------|
| AMOUNT OF CHIPS IN USE AT THIS GAMBLING ESTABLISHMENT \$ | FINANCIAL INSTITUTION WHERE ACCOUNT IS MAINTAINED | CURRENT BALANCE \$ |
|---|---|-----------------------|

B) DOES THIS CARDROOM BUSINESS LICENSEE OFFER PLAYERS' BANKS?
 THE CALIFORNIA CODE OF REGULATIONS REQUIRES GAMBLING ESTABLISHMENTS TO MAINTAIN A SEPARATE SPECIFICALLY DESIGNATED, INSURED ACCOUNT WITH A LICENSED FINANCIAL INSTITUTION IN ANY AMOUNT NOT LESS THAN THE TOTAL VALUE OF THE MONIES THAT PATRONS HAVE ON DEPOSIT WITH THE GAMBLING ESTABLISHMENT. ATTACH A COPY OF THE MOST RECENT STATEMENT ON THIS ACCOUNT. YES NO

| | | |
|--|---|-----------------------|
| AMOUNT OF MONEY RECORDS SHOW AS BEING DEPOSITED BY PLAYERS \$ | FINANCIAL INSTITUTION WHERE ACCOUNT IS MAINTAINED | CURRENT BALANCE \$ |
|--|---|-----------------------|

| | | |
|--|---|--|
| <p>C) ARE THERE ANY GAME INVENTORS WHO HAVE A FINANCIAL INTEREST IN THIS CARDROOM BUSINESS LICENSE? (I.E. RECEIVING COMPENSATION THAT IS BASED ON CARDROOM REVENUE, ETC.) IF YES, PROVIDE THE FOLLOWING DETAILS. EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE CARDROOM BUSINESS LICENSE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION AS A CARDROOM ENDORSEE LICENSE.</p> | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| COMPENSATION ARRANGEMENT/PERCENTAGE OF REVENUE | GAME INVENTED/BEING PLAYED | |
| 2) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| COMPENSATION ARRANGEMENT/PERCENTAGE OF REVENUE | GAME INVENTED/BEING PLAYED | |
| 3) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE) | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| COMPENSATION ARRANGEMENT/PERCENTAGE OF REVENUE | GAME INVENTED/BEING PLAYED | |

SECTION 9: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037.
- APPOINTMENT OF DESIGNATED AGENT (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- IF CORPORATION: CURRENT ARTICLES OF INCORPORATION, STATEMENT OF INFORMATION, AND BYLAWS.
- IF LIMITED LIABILITY COMPANY (LLC): CURRENT ARTICLES OF ORGANIZATION, OPERATING AGREEMENT, AND STATEMENT OF INFORMATION.
- IF LIMITED PARTNERSHIP: CERTIFICATE OF LIMITED PARTNERSHIP, PARTNERSHIP AGREEMENT, AND OPERATING AGREEMENT.
- IF PARTNERSHIP: PARTNERSHIP AGREEMENT AND STATEMENT OF PARTNERSHIP AUTHORITY IF ONE WAS FILED.
- ORGANIZATIONAL CHART – SHOWS NAMES OF SUPERVISORS, JOB TITLES, NUMBER OF EMPLOYEES REPORTING TO SUPERVISORS AND LINES OF ACCOUNTABILITY.
- BUSINESS OWNERSHIP ORGANIZATIONAL CHART – SHOW ENTITY’S OWNERSHIP HIERARCHY CONSISTENT WITH BUSINESS AND PROFESSIONS CODE SECTION 19852, IF APPLICABLE.
- FICTITIOUS BUSINESS NAME FILING.
- MANAGEMENT COMPANY/CONSULTANT AGREEMENT, IF APPLICABLE.
- ANY ACTIVE STATE OR LOCAL LICENSE, PERMIT, OR REGISTRATION.
- LOAN DOCUMENTATION RELATING TO THE PURCHASE OF THE GAMBLING ENTERPRISE/TPPPS COMPANY, IF APPLICABLE.
- FEDERAL AND STATE BUSINESS TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS.
- INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) – **PROVIDE ORIGINAL.**
- PROVIDE A COPY OF ANY TAXING AUTHORITY AUDIT RESULTS/FINDINGS.
- CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR EACH BUSINESS.
- MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS.
- MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS.
- BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE).
- SCHEDULES A THROUGH K FROM SUPPLEMENTAL INFORMATION: SCHEDULES (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- CURRENT COPY OF BUSINESS LICENSE/TAX CERTIFICATE.
- CURRENT CONDITIONAL USE PERMIT, IF APPLICABLE.
- ALL CURRENT LEASE/RENTAL AGREEMENTS OR PURCHASE DOCUMENTS.

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

The following documents pertain only to a Gambling Enterprise (owner entity)

- STATEMENT FOR CHIPS IN USE ACCOUNT (MOST RECENT).
- STATEMENT FOR PLAYERS’ BANK ACCOUNT (MOST RECENT).
- CARDROOM SECURITY PLAN/CARDROOM FLOOR AND GAMBLING TABLE LAYOUT (BUSINESS AND PROFESSIONS CODE §19924).
- EMERGENCY PREPAREDNESS AND EVACUATION PLAN (CAL. CODE REGS, TITLE 4, §12370).
- RULES FOR ALL GAMES AND GAMING ACTIVITIES, INCLUDING A DESCRIPTION OF THE EVENT THAT DETERMINES THE WINNER OF THE GAME OR GAMING ACTIVITY, WAGERING CONVENTIONS, AND THE FEE COLLECTION AND ASSESSMENT METHODS (CAL CODE REGS. TITLE 11, §2071).

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

SECTION 10: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

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.*
- *By an authorized trustor or trustee, if requestor/licensee is a trust.*

**Individual Owner/Principal:
Supplemental Information**

CGCC – 0XX (New XX/19)

Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:

BUREAU OF GAMBLING CONTROL

P.O. Box 168024

Sacramento, CA 95816-8024

(916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide supplemental information for individuals required to apply as an “owner,” defined by the Gambling Control Act (Act) and/or the California Code of Regulations, as applicable. This supplemental form must be completed by each natural person who is a sole proprietor, an individual with an ownership interest in partnership, a shareholder, a member, an officer, a director, a trustee, a current beneficiary, a funding source, and any other individual required to be licensed as an “owner” by the California Gambling Control Commission (Commission).

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Act and Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Applicant’s Full Name

Title/Capacity

Name of Cardroom Business License/TPPPS Business License

Associated Owner Entity, if Applicable

TYPE OF OWNER APPLICANT (CHECK APPROPRIATE BOX):

TPPPS BUSINESS LICENSEE

CARDROOM BUSINESS LICENSEE

| SECTION 1: PERSONAL INFORMATION | | | | | |
|--|--|---|--|--|---|
| FULL NAME: LAST | | FIRST | | MIDDLE | |
| ALIAS(ES), NICKNAME, MAIDEN NAME, FORMALLY KNOWN AS, OR OTHER NAME CHANGE | | | | | |
| CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | | | | |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | | | | |
| PRIMARY TELEPHONE NUMBER | | ALTERNATE TELEPHONE NUMBER | | EMAIL ADDRESS | |
| HEIGHT | | WEIGHT | | HAIR COLOR | |
| EYE COLOR | | GENDER | | DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | |
| STATE | | EXPIRATION DATE (MM/DD/YYYY) | | | |
| A) ARE YOU A U.S. CITIZEN? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | BIRTH PLACE (CITY, STATE/PROVINCE, COUNTRY) |
| | | | | | DATE OF BIRTH (MM/DD/YYYY) |
| IF BORN OUTSIDE THE U.S., IDENTIFY YOUR ELIGIBILITY TO WORK IN THE U.S. AND PROVIDE SUPPORTING DOCUMENTATION | | | | | |
| <input type="checkbox"/> RESIDENT ALIEN | | <input type="checkbox"/> NATURALIZED CITIZEN | | <input type="checkbox"/> EMPLOYMENT AUTHORIZED | |
| | | | | <input type="checkbox"/> OTHER: _____ | |
| IF RESIDENT ALIEN OR NATURALIZED CITIZEN, PROVIDE A-NUMBER | | | | SOCIAL SECURITY NUMBER | |
| B) DO YOU HAVE DUAL CITIZENSHIP? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | IF YES, LIST COUNTRIES |
| C) DO YOU HAVE A PASSPORT? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | IF YES, IDENTIFY ALL COUNTRIES THAT HAVE ISSUED YOU A PASSPORT IN THE LAST 10 YEARS |
| D) RELATIONSHIP TO CARDROOM BUSINESS LICENSEE OR TPPPS BUSINESS LICENSEE | | | | | |
| LIST ALL THAT APPLY. | | | | | |
| <input type="checkbox"/> Sole Proprietor | | <input type="checkbox"/> Officer | | <input type="checkbox"/> Trustor | |
| <input type="checkbox"/> Financial Interest Holder | | <input type="checkbox"/> General Partner | | <input type="checkbox"/> Director | |
| <input type="checkbox"/> Trustee | | <input type="checkbox"/> Limited Partner | | <input type="checkbox"/> Landlord | |
| <input type="checkbox"/> TPPPS Funding Source | | <input type="checkbox"/> Shareholder | | <input type="checkbox"/> LLC Member | |
| <input type="checkbox"/> Current Beneficiary | | <input type="checkbox"/> Contingent Beneficiary | | <input type="checkbox"/> Other: _____ | |
| <input type="checkbox"/> Community Property Interest | | | | | |

| SECTION 2: FAMILY/COHABITANT INFORMATION | | | |
|---|--|--|--|
| <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> REGISTERED DOMESTIC PARTNER <input type="checkbox"/> DIVORCED <input type="checkbox"/> WIDOWED <input type="checkbox"/> SEPARATED | | | |
| A) CURRENT SPOUSE/REGISTERED DOMESTIC PARTNER | | | |
| FULL NAME: LAST | | FIRST | |
| MIDDLE | | MAIDEN | |
| DATE OF BIRTH (MM/DD/YYYY) | | DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | |
| RESIDENCE (IF DIFFERENT FROM APPLICANT) (STREET, CITY, STATE, ZIP CODE) | | | |

| B) FORMER SPOUSE/REGISTERED DOMESTIC PARTNER | | | | |
|---|--|---------------------------------------|--------------------------------|--|
| 1) FULL NAME: LAST | | FIRST | MIDDLE | MAIDEN |
| DATE OF BIRTH (MM/DD/YYYY) | DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | | DATE OF DIVORCE (MM/DD/YYYY) | STATE IN WHICH DIVORCE WAS FILED |
| C) DO YOU HAVE ANY IMMEDIATE FAMILY MEMBERS, COHABITANTS, OR ROOMMATES WHO CURRENTLY HAVE A FINANCIAL INTEREST IN, OR ARE EMPLOYED BY, A GAMING RELATED BUSINESS? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1) FULL NAME: LAST | | FIRST | MI | MAIDEN |
| NAME OF BUSINESS | | PERCENTAGE OWNED AND/OR POSITION HELD | | |
| 2) FULL NAME: LAST | | FIRST | MI | MAIDEN |
| NAME OF BUSINESS | | PERCENTAGE OWNED AND/OR POSITION HELD | | |
| D) CHILDREN AND DEPENDENTS PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING BIRTH, ADOPTED, FOSTER, AND STEP-CHILDREN) AND DEPENDENTS. | | | | <input type="checkbox"/> N/A |
| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH | RESIDENCE ADDRESS | | RELATIONSHIP |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| E) CO-HABITANTS AND ROOMMATES PROVIDE THE FOLLOWING INFORMATION FOR ANY PERSONS 18 YEARS OF AGE OR OLDER (NOT DISCLOSED ABOVE) WITH WHOM YOU RESIDE. | | | | <input type="checkbox"/> N/A |
| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH | EMPLOYER/OCCUPATION | EMPLOYER ADDRESS AND TELEPHONE | RELATIONSHIP |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| F) PARENTS AND STEP-PARENTS PROVIDE THE FOLLOWING INFORMATION FOR YOUR PARENTS AND STEP-PARENTS. IF RETIRED, LIST LAST OCCUPATION, OR IF DECEASED, PROVIDE DATE OF DEATH AND LIST LAST ADDRESS AND OCCUPATION. | | | | |
| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH OR DEATH | RESIDENCE ADDRESS | | RELATIONSHIP |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| G) SIBLINGS PROVIDE THE FOLLOWING INFORMATION FOR YOUR BROTHERS, SISTERS, STEP-BROTHERS, AND STEP-SISTERS. IF RETIRED, LIST LAST OCCUPATION, OR IF DECEASED, PROVIDE DATE OF DEATH AND LIST LAST ADDRESS AND OCCUPATION. | | | | <input type="checkbox"/> N/A |
|--|------------------------|-------------------|--------------|------------------------------|
| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH OR DEATH | RESIDENCE ADDRESS | RELATIONSHIP | OCCUPATION |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

| SECTION 3: MILITARY EXPERIENCE | | |
|---|--|--|
| A) HAVE YOU EVER SERVED IN THE U.S. ARMED FORCES? IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH A COPY OF YOUR "UNDELETED" MILITARY FORM DD-214 (I.E., A COMPLETE COPY OF THE FORM WITH NO INFORMATION BLACKED OUT). IF THE MILITARY SERVICE HAS ENDED AND A DD-214 HAS BEEN PREVIOUSLY PROVIDED TO THE BUREAU AS PART OF ANOTHER APPLICATION, ONE NEED NOT BE PROVIDED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| BRANCH OF SERVICE | DATES OF SERVICE FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| RANK AT SEPARATION | SOCIAL SECURITY NUMBER/SERVICE NUMBER | |
| TYPE OF DISCHARGE: <input type="checkbox"/> ENTRY LEVEL <input type="checkbox"/> HONORABLE <input type="checkbox"/> GENERAL <input type="checkbox"/> OTHER THAN HONORABLE <input type="checkbox"/> BAD CONDUCT <input type="checkbox"/> DISHONORABLE <input type="checkbox"/> OTHER _____ | | |
| B) HAVE YOU EVER BEEN CONVICTED IN A COURT-MARTIAL? IF YES, PROVIDE THE FOLLOWING DETAILS. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| DATE (MM/DD/YYYY) | FINAL CHARGE | COURT LOCATION (CITY, STATE) |
| EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS | | |

| SECTION 4: CRIMINAL CONVICTIONS / PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION | | |
|--|------------------|--|
| A) HAVE YOU <u>EVER</u> BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY? DISCLOSE ANY CONVICTIONS DISMISSED UNDER PENAL CODE SECTION 1203.4, 1203A, OR 1203.45 AND CONVICTIONS REDUCED OR EXPUNGED, <u>UNLESS</u> THE RECORDS HAVE BEEN SEALED PURSUANT TO A COURT ORDER. INFRACTIONS NEED NOT BE PROVIDED, BUT IT IS THE APPLICANT'S RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND IF YOU ARE NOT CERTAIN, YOU SHOULD DISCLOSE. IF YOU REQUIRE ADDITIONAL SPACE FOR EITHER THE NUMBER OF CONVICTIONS OR TO EXPLAIN THE FACTUAL CIRCUMSTANCES, PLEASE ATTACH ANOTHER PAGE TO THIS FORM. IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH INCIDENT. PLEASE NOTE: SOME TRAFFIC VIOLATIONS ARE CONSIDERED MISDEMEANORS OR FELONIES. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
| IDENTIFY CRIMINAL CONVICTIONS. | | |
| EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION. | | |

| | | |
|--|------------------|------------------------------|
| 2) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
|--|------------------|------------------------------|

IDENTIFY CRIMINAL CONVICTIONS.

EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION.

| | |
|--|--|
| B) HAVE YOU EVER BEEN REMOVED FROM OR PROHIBITED FROM ENTERING THE PREMISES OF ANY GAMING OR PARI-MUTUEL WAGERING ESTABLISHMENT? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | |
|--|--|
| C) HAVE YOU EVER ENGAGED IN BOOKMAKING OR OTHER ILLEGAL GAMBLING ACTIVITIES? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | |
|--|--|
| D) HAVE YOU EVER BEEN FOUND IN VIOLATION OF ANY CAMPAIGN LAWS? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | |
|--|--|
| E) HAVE YOU EVER BEEN FOUND IN VIOLATION OF THE U.S. FOREIGN CORRUPT PRACTICES ACT OR EQUIVALENT IN ANOTHER COUNTRY? | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

| | |
|---|--|
| F) HAVE YOU, AS AN INDIVIDUAL OR IN CONNECTION WITH ANY BUSINESS ENTITY, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|---|--|

| | | |
|--|------------------|-------------|
| 1) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

| | | |
|--|------------------|-------------|
| 2) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

SECTION 5: RESIDENCES

A) LIST ALL RESIDENCES DURING THE LAST 10 YEARS (MOST RECENT FIRST, INCLUDING YOUR CURRENT RESIDENCE). PROVIDE COMPLETE ADDRESSES AND MARKERS SUCH AS STREET, DRIVE, ETC., AND UNIT OR APARTMENT NUMBER. DO NOT USE P.O. BOXES.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | |
|--|-------|-------------------------|----------|--|
| 1) CURRENT ADDRESS (NUMBER/STREET/APT) | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |

| | | | | |
|---------------------------------------|-------|-------------------------|-------------------|--|
| 2) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |

| | | | | |
|---------------------------------------|-------|-------------------------|----------------------|--|
| 3) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |
| 4) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |

SECTION 6: EXPERIENCE AND EMPLOYMENT

BEGINNING WITH YOUR CURRENT EMPLOYMENT, LIST YOUR WORK HISTORY AND PERIODS OF UNEMPLOYMENT DURING THE PAST 10 YEARS. LIST ALL JOBS, INCLUDING PART-TIME, TEMPORARY, AND SELF-EMPLOYMENT (CONSULTING, INDEPENDENT CONTRACTOR, ETC.). FOR UNEMPLOYED PERIODS, IN THE JOB TITLE/DUTIES SECTION, EXPLAIN HOW YOU SUPPORTED YOURSELF.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | |
|---|-------|------------------|--|----------------------|
| 1) CURRENT EMPLOYER | | | | FROM (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| 2) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | |
| 3) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | |

| | | | | |
|---|-------|------------------|--|-----------------|
| 4) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | |

SECTION 7: LICENSING INFORMATION

| | | | |
|--|--|--|--|
| <p>A) HAVE YOU EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY RELATED TO GAMING IN ANY JURISDICTION? IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE CALIFORNIA GAMBLING CONTROL COMMISSION, TO WHICH YOU HAVE APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING). IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.</p> | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|--|--|

| | | | |
|--|---------------------|--|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|--|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|--|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | |
|--|--|
| <p>B) HAVE YOU EVER BEEN DISCIPLINED, FINED, ETC. BY A GAMING REGULATORY AGENCY (LOCAL, STATE, TRIBAL, OR INTERNATIONAL)? IF YES, PROVIDE THE FOLLOWING DETAILS.</p> <p><small>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.</small></p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | | | |
|----------------|-----------------------------------|---|---------------------------------------|
| ISSUING AGENCY | DATE OF FINAL ACTION (MM/DD/YYYY) | ACTION TAKEN (SUSPENDED, REVOKED, ETC.) | CITY, COUNTY, STATE/PROVINCE, COUNTRY |
|----------------|-----------------------------------|---|---------------------------------------|

BRIEFLY EXPLAIN THE CIRCUMSTANCES AND INCLUDE ANY AMOUNTS PAID.

| | |
|--|--|
| <p>C) HAVE YOU EVER HELD OR APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY <u>NOT</u> RELATED TO GAMING? IF YES, PROVIDE THE FOLLOWING DETAILS.</p> <p><small>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.</small></p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | | | |
|---|---------------------|--|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|--|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

| | | | |
|---|---------------------|--|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|--|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

| | | | |
|---|---------------------|--|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
|---|---------------------|--|----------------|

| | |
|---------------------------------------|--|
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) |
|---------------------------------------|--|

IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES.

SECTION 8: BUSINESS INTEREST – GAMING RELATED

| | |
|--|--|
| <p>A) WILL YOU HAVE ANY INVOLVEMENT IN THE OPERATION OF THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE IDENTIFIED ON PAGE ONE? IF YES, EXPLAIN BELOW.</p> <p><small>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.</small></p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | |
|---|--|
| <p>B) HAS YOUR INTEREST IN THE GAMBLING ENTERPRISE/BUSINESS ENTITY BEEN ASSIGNED, PLEDGED, OR HYPOTHECATED TO ANY PERSON, FIRM, OR CORPORATION, OR HAS ANY AGREEMENT BEEN ENTERED INTO WHEREBY YOUR INTEREST IS TO BE ASSIGNED, PLEDGED, OR SOLD EITHER IN WHOLE OR IN PART? IF YES, EXPLAIN BELOW.</p> | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|---|--|

| | | | |
|--|---|---|--|
| C) OTHER THAN THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE IDENTIFIED ON PAGE ONE, HAVE YOU HELD A FINANCIAL INTEREST IN ANY GAMING RELATED VENTURE OR BUSINESS ENTITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER. | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | |
| 1) NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 2) NAME OF BUSINESS ENTITY | | | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 3) NAME OF BUSINESS ENTITY | | | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 4) NAME OF BUSINESS ENTITY | | | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

| | | | |
|--|---|---|--|
| SECTION 9: BUSINESS INTEREST – NON-GAMING RELATED | | | |
| A) HAVE YOU HELD A FINANCIAL INTEREST IN ANY NON-GAMING RELATED BUSINESS ENTITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER. | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | |
| 1) NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 2) NAME OF BUSINESS ENTITY | | | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

| | | | |
|---|---|-----------------------------|---|
| 3) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 4) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 5) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 6) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

SECTION 10: PERSONAL FINANCIAL HISTORY

A) HAVE YOU FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS?
 IF YES, PROVIDE A COPY OF THE BANKRUPTCY PETITION/ORDER AND THE FOLLOWING DETAILS.
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

Yes No

| | | | | |
|-------------------------|------------------------|------------------------------------|--------------------------------|------------------------------------|
| DATE FILED (MM/DD/YYYY) | CASE NUMBER (IF KNOWN) | FEDERAL DISTRICT COURT WHERE FILED | DATE OF DISCHARGE (MM/DD/YYYY) | AMOUNT OF DISCHARGE, IF APPLICABLE |
|-------------------------|------------------------|------------------------------------|--------------------------------|------------------------------------|

BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDING THE NATURE OF THE DEBT.

B) HAVE YOU HAD ANY JUDGMENT OR LIEN FILED AGAINST YOU OR HAD YOUR WAGES GARNISHED WITHIN THE LAST 10 YEARS?
 IF YES, PROVIDE THE FOLLOWING DETAILS.
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

Yes No

| | | | |
|--|-------------------------|---|--|
| <input type="checkbox"/> JUDGMENT <input type="checkbox"/> GARNISHMENT | DATE FILED (MM/DD/YYYY) | NAME OF PERSON/ENTITY THAT FILED THE ACTION | NAME OF PERSON ENTITY ACTION WAS FILED AGAINST |
| <input type="checkbox"/> LIEN | | | |

EXPLAIN THE REASON FOR THE ACTION. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF ACTION IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE ACTION.

| | | | |
|--|-------------------------|---|--|
| <input type="checkbox"/> JUDGMENT <input type="checkbox"/> GARNISHMENT | DATE FILED (MM/DD/YYYY) | NAME OF PERSON/ENTITY THAT FILED THE ACTION | NAME OF PERSON ENTITY ACTION WAS FILED AGAINST |
| <input type="checkbox"/> LIEN | | | |

EXPLAIN THE REASON FOR THE ACTION. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF ACTION IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE ACTION.

| | | | |
|--|-----------------------------------|---|--|
| C) HAVE YOU BEEN AUDITED BY ANY TAX AUTHORITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| AGENCY (STATE/FEDERAL/FOREIGN) | DATE AUDIT COMMENCED (MM/DD/YYYY) | TAX YEAR AUDITED (MM/DD/YYYY) | EXPLAIN FINDINGS |
| D) HAVE YOU HAD ANY ASSETS REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTIBLE (CHARGE-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF CREDITOR | | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| 2) NAME OF CREDITOR | | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| 3) NAME OF CREDITOR | | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| E) HAVE YOU BEEN A PARTY TO A FORECLOSURE WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| ADDRESS OF FORECLOSED PROPERTY (STREET, CITY, STATE, ZIP CODE) | DATE OF FORECLOSURE (MM/DD/YYYY) | NAME OF LENDER | |
| EXPLAIN THE CIRCUMSTANCES THAT LEAD TO THE FORECLOSURE | | | |
| F) DO YOU OWN, CONTROL, OR MANAGE ANY ASSETS OUTSIDE THE U.S., OR HAVE ANY LIABILITIES OUTSIDE OF THE U.S.? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) | |
| 2) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) | |

| | | | | |
|---|--------------|---|--------------------------|--|
| G) DO YOU CONTROL, MANAGE OR HOLD ANY ASSETS OR LIABILITIES FOR ANOTHER INDIVIDUAL OR ENTITY? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAME OF PERSON/ENTITY | RELATIONSHIP | PURPOSE | DESCRIBE ASSET/LIABILITY | |
| 2) NAME OF PERSON/ENTITY | RELATIONSHIP | PURPOSE | DESCRIBE ASSET/LIABILITY | |
| H) IS YOUR INTEREST IN THIS GAMBLING ENTERPRISE/BUSINESS HELD BY A TRUST (ESTATE PLANNING OR OTHER)? IF YES, YOU MUST ALSO COMPLETE AND SUBMIT A TRUST SUPPLEMENTAL BACKGROUND INVESTIGATION INFORMATION FORM (CGCC – 0XX) AND THE APPROPRIATE APPLICATION. | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| NAME OF TRUST | | | | |
| I) DO YOU HAVE ANY AGREEMENTS OR CONTRACTS WITH ANY PARTY, OTHER THAN THE BUREAU-APPROVED TPPPS CONTRACT? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | | |
| TYPE OF AGREEMENT | AMOUNT PAID | | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | | |
| 2) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | | |
| TYPE OF AGREEMENT | AMOUNT PAID | | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | | |
| 3) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | | |
| TYPE OF AGREEMENT | AMOUNT PAID | | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | | |
| 4) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | | |
| TYPE OF AGREEMENT | AMOUNT PAID | | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | | |

SECTION 11: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037.
- APPOINTMENT OF DESIGNATED AGENT (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), IF APPLICABLE.
- RESIDENT ALIEN CARD, EMPLOYMENT AUTHORIZATION CARD (FRONT AND BACK COPY), OR CERTIFICATE OF NATURALIZATION, IF APPLICABLE.
- ALL ACTIVE BADGES, PERMITS, ETC. ISSUED BY A CALIFORNIA CITY OR COUNTY (FRONT AND BACK COPY).
- MANAGEMENT COMPANY/CONSULTANT AGREEMENT RELATING TO THE GAMING RELATED BUSINESS, IF APPLICABLE.
- FEDERAL AND STATE INDIVIDUAL AND BUSINESS TAX RETURNS. INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS.
- INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T). **PROVIDE ORIGINAL.**
- CURRENT BALANCE SHEET AND INCOME STATEMENT FOR YOURSELF AND ALL OF YOUR BUSINESSES FOR THE MOST RECENT CALENDAR YEAR.
- MONTHLY BANK STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 18 MONTHS.
- MONTHLY/QUARTERLY INVESTMENT ACCOUNT STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 18 MONTHS.
- SCHEDULES A THROUGH J FROM SUPPLEMENTAL INFORMATION: SCHEDULES (CGCC – 0XX) – **PROVIDE ORIGINAL.**

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

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

SECTION 12: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

| | | |
|--------------|----------------|-------------------|
| | City and State | |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) |

This form must be signed by the applicant or licensee.

**Key Employee or TPPPS Supervisor:
Supplemental Information**

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |

CGCC – 0XX (New XX/19)

Page X of X



MAIL COMPLETED FORM AND DEPOSIT TO:

BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide supplemental information for individuals required to apply for a key employee of a cardroom business licensee, or supervisor of a TPPPS business licensee as defined by the Gambling Control Act (Act) and/or implementing administrative regulations, as applicable.

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Act and California Gambling Control Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with "N/A" (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Applicant's Full Name

Name of Employer

TYPE OF APPLICANT (CHECK APPROPRIATE BOX):

TPPPS SUPERVISOR LICENSE

KEY EMPLOYEE LICENSE

| SECTION 1: PERSONAL INFORMATION | | | | | | |
|--|--|--|--|--|---|------------------------------|
| FULL NAME: LAST | | FIRST | | MIDDLE | | |
| ALIAS(ES), NICKNAME, MAIDEN NAME, OR OTHER NAME CHANGE | | | | | | |
| CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | | | | | |
| PRIMARY TELEPHONE NUMBER | | ALTERNATE TELEPHONE NUMBER | | EMAIL ADDRESS | | |
| HEIGHT | | WEIGHT | | HAIR COLOR | | |
| GENDER | | DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | | | STATE | EXPIRATION DATE (MM/DD/YYYY) |
| A) ARE YOU A U.S. CITIZEN? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | BIRTH PLACE (CITY, STATE/PROVINCE, COUNTRY) | |
| DATE OF BIRTH (MM/DD/YYYY) | | | | | | |
| IF BORN OUTSIDE THE U.S., IDENTIFY YOUR ELIGIBILITY TO WORK IN THE U.S. AND PROVIDE SUPPORTING DOCUMENTATION | | | | | | |
| <input type="checkbox"/> RESIDENT ALIEN | | <input type="checkbox"/> NATURALIZED CITIZEN | | <input type="checkbox"/> EMPLOYMENT AUTHORIZED | | |
| <input type="checkbox"/> OTHER: _____ | | | | | | |
| IF RESIDENT ALIEN OR NATURALIZED CITIZEN, PROVIDE A-NUMBER | | | | SOCIAL SECURITY NUMBER | | |
| B) DO YOU HAVE DUAL CITIZENSHIP? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | IF YES, LIST COUNTRIES | |
| C) DO YOU HAVE A PASSPORT? | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | | IF YES, IDENTIFY ALL COUNTRIES THAT HAVE ISSUED YOU A PASSPORT IN THE LAST 10 YEARS | |

| SECTION 2: FAMILY/COHABITANT INFORMATION | | | | | |
|---|----------------------------------|--|--|---|-----------------------------------|
| <input type="checkbox"/> SINGLE | <input type="checkbox"/> MARRIED | <input type="checkbox"/> REGISTERED DOMESTIC PARTNER | | <input type="checkbox"/> SEPARATED | <input type="checkbox"/> DIVORCED |
| <input type="checkbox"/> WIDOWED | | | | | |
| A) CURRENT SPOUSE/REGISTERED DOMESTIC PARTNER | | | | | |
| FULL NAME: LAST | | FIRST | | MIDDLE | |
| DATE OF BIRTH (MM/DD/YYYY) | | MAIDEN | | | |
| DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | | | | RESIDENCE (IF DIFFERENT FROM APPLICANT) (STREET, CITY, STATE, ZIP CODE) | |
| B) FORMER SPOUSE/REGISTERED DOMESTIC PARTNER | | | | | |
| 1) FULL NAME: LAST | | FIRST | | MIDDLE | |
| DATE OF BIRTH (MM/DD/YYYY) | | DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | | DATE OF DIVORCE (MM/DD/YYYY) | STATE IN WHICH DIVORCE WAS FILED |
| | | | | | |

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| C) DO YOU HAVE ANY IMMEDIATE FAMILY MEMBERS, COHABITANTS, OR ROOMMATES WHO CURRENTLY HAVE A FINANCIAL INTEREST IN, OR ARE EMPLOYED BY, A GAMING RELATED BUSINESS? IF YES, PROVIDE THE FOLLOWING DETAILS. | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | | | | |
|--------------------|-------|---------------------------------------|--------|--------------|
| 1) FULL NAME: LAST | FIRST | MI | MAIDEN | RELATIONSHIP |
| NAME OF BUSINESS | | PERCENTAGE OWNED AND/OR POSITION HELD | | |

| | | | | |
|--------------------|-------|---------------------------------------|--------|--------------|
| 2) FULL NAME: LAST | FIRST | MI | MAIDEN | RELATIONSHIP |
| NAME OF BUSINESS | | PERCENTAGE OWNED AND/OR POSITION HELD | | |

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| D) CHILDREN AND DEPENDENTS PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING BIRTH, ADOPTED, FOSTER, AND STEP-CHILDREN) AND DEPENDENTS. | <input type="checkbox"/> N/A |
|--|------------------------------|

| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH | RESIDENCE ADDRESS | RELATIONSHIP | OCCUPATION |
|------------------------------------|---------------|-------------------|--------------|------------|
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| E) CO-HABITANTS AND ROOMMATES PROVIDE THE FOLLOWING INFORMATION FOR ANY PERSONS 18 YEARS OF AGE OR OLDER (NOT DISCLOSED ABOVE) WITH WHOM YOU RESIDE. | <input type="checkbox"/> N/A |
|--|------------------------------|

| NAME (LAST, FIRST, MIDDLE, MAIDEN) | DATE OF BIRTH | EMPLOYER/OCCUPATION | EMPLOYER ADDRESS AND TELEPHONE | RELATIONSHIP |
|------------------------------------|---------------|---------------------|--------------------------------|--------------|
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SECTION 3: MILITARY EXPERIENCE

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|---|--|
| A) HAVE YOU EVER SERVED IN THE U.S. ARMED FORCES? IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH A COPY OF YOUR "UNDELETED" MILITARY FORM DD-214 (I.E., A COMPLETE COPY OF THE FORM WITH NO INFORMATION BLACKED OUT). IF THE MILITARY SERVICE HAS ENDED AND A DD-214 HAS BEEN PREVIOUSLY PROVIDED TO THE BUREAU AS PART OF ANOTHER APPLICATION, ONE NEED NOT BE PROVIDED. | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|---|--|

| | |
|--|--|
| BRANCH OF SERVICE | DATES OF SERVICE FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| RANK AT SEPARATION | SOCIAL SECURITY NUMBER/SERVICE NUMBER |
| TYPE OF DISCHARGE: <input type="checkbox"/> ENTRY LEVEL <input type="checkbox"/> GENERAL <input type="checkbox"/> HONORABLE <input type="checkbox"/> OTHER THAN HONORABLE <input type="checkbox"/> BAD CONDUCT <input type="checkbox"/> DISHONORABLE <input type="checkbox"/> OTHER _____ | |

| | |
|--|--|
| B) HAVE YOU EVER BEEN CONVICTED IN A COURT-MARTIAL? IF YES, PROVIDE THE FOLLOWING DETAILS. | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|

| | | |
|--|--------------|------------------------------|
| DATE (MM/DD/YYYY) | FINAL CHARGE | COURT LOCATION (CITY, STATE) |
| EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS | | |

SECTION 4: CRIMINAL CONVICTIONS / PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION

A) HAVE YOU EVER BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY? DISCLOSE ANY CONVICTIONS DISMISSED UNDER PENAL CODE SECTION 1203.4, 1203A, OR 1203.45 AND CONVICTIONS REDUCED OR EXPUNGED, UNLESS THE RECORDS HAVE BEEN SEALED PURSUANT TO A COURT ORDER.

INFRACTIONS NEED NOT BE PROVIDED, BUT IT IS **THE APPLICANT'S RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND IF YOU ARE NOT CERTAIN, YOU SHOULD DISCLOSE.** IF YOU REQUIRE ADDITIONAL SPACE FOR EITHER THE NUMBER OF CONVICTIONS OR TO EXPLAIN THE FACTUAL CIRCUMSTANCES, PLEASE ATTACH ANOTHER PAGE TO THIS FORM.

YES NO

IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH INCIDENT.
PLEASE NOTE: SOME TRAFFIC VIOLATIONS ARE CONSIDERED MISDEMEANORS OR FELONIES.
IF THIS APPLICANT CURRENTLY HOLDS A KEY EMPLOYEE LICENSE, OR TPPPS SUPERVISOR LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | |
|--|------------------|------------------------------|
| 1) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
|--|------------------|------------------------------|

IDENTIFY CRIMINAL CONVICTIONS.

EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION.

| | | |
|--|------------------|------------------------------|
| 2) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
|--|------------------|------------------------------|

IDENTIFY CRIMINAL CONVICTIONS.

EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION.

B) HAVE YOU EVER BEEN REMOVED FROM OR PROHIBITED FROM ENTERING THE PREMISES OF ANY GAMING OR PARI-MUTUEL WAGERING ESTABLISHMENT?

YES NO

C) HAVE YOU EVER ENGAGED IN BOOKMAKING OR OTHER ILLEGAL GAMBLING ACTIVITIES?

YES NO

D) HAVE YOU EVER BEEN FOUND IN VIOLATION OF ANY CAMPAIGN LAWS?

YES NO

E) ARE YOU CURRENTLY ON PROBATION?

YES NO

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

F) HAVE YOU, AS AN INDIVIDUAL OR IN CONNECTION WITH ANY BUSINESS ENTITY, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?

IF YES, PROVIDE THE FOLLOWING DETAILS.
IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, COMMISSION WORK PERMIT, KEY EMPLOYEE LICENSE, OR TPPPS SUPERVISOR, PLAYER OR OTHER EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

YES NO

| | | |
|--|------------------|-------------|
| 1) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

| | | |
|--|------------------|-------------|
| 2) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
|--|------------------|-------------|

| | | |
|------------------------------|-------------------------------|-------------------|
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
|------------------------------|-------------------------------|-------------------|

BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION

SECTION 5: RESIDENCES

A) LIST ALL RESIDENCES DURING THE LAST 10 YEARS (MOST RECENT FIRST, INCLUDING YOUR CURRENT RESIDENCE). PROVIDE COMPLETE ADDRESSES AND MARKERS SUCH AS STREET, DRIVE, ETC., AND UNIT OR APARTMENT NUMBER. DO NOT USE P.O. BOXES.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, COMMISSION WORK PERMIT, KEY EMPLOYEE LICENSE, OR TPPPS SUPERVISOR, PLAYER OR OTHER EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | | |
|--|-------|-------------------------|-------------------|--|-------------------|
| 1) CURRENT ADDRESS (NUMBER/STREET/APT) | | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT | |
| 2) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) | |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT | |
| 3) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) | |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT | |
| 4) FORMER ADDRESS (NUMBER/STREET/APT) | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) | |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT | |

SECTION 6: EXPERIENCE AND EMPLOYMENT

A) BEGINNING WITH YOUR CURRENT EMPLOYMENT, LIST YOUR WORK HISTORY AND PERIODS OF UNEMPLOYMENT DURING THE PAST 10 YEARS. LIST ALL JOBS, INCLUDING PART-TIME, TEMPORARY, AND SELF-EMPLOYMENT (CONSULTING, INDEPENDENT CONTRACTOR, ETC.) FOR UNEMPLOYED PERIODS, IN THE JOB TITLE/DUTIES, EXPLAIN HOW YOU SUPPORTED YOURSELF.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, COMMISSION WORK PERMIT, KEY EMPLOYEE LICENSE, OR TPPPS SUPERVISOR, PLAYER OR OTHER EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | | |
|---|-------|------------------|-------------------|--|--|
| 1) CURRENT EMPLOYER | | | | | FROM (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | SUPERVISOR | | |
| CITY | STATE | ZIP | CONTACT NUMBER | | EXT |
| B) DO YOU HAVE AN EMPLOYMENT AGREEMENT WITH YOUR CURRENT EMPLOYER? IF YES, PROVIDE A COPY. IF NOT SUBMIT A COPY OF YOUR CURRENT DUTY STATEMENT/JOB DESCRIPTION | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 2) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) | |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | SUPERVISOR | | |
| CITY | STATE | ZIP | CONTACT NUMBER | | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | | |

| | | | | |
|---|-------|------------------|--|-----------------|
| 3) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | |

| | | | | |
|---|-------|------------------|--|-----------------|
| 4) NAME OF PRIOR EMPLOYER | | | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| JOB TITLE/DUTIES | | MONTHLY EARNINGS | GAMING RELATED? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| ADDRESS | | | SUPERVISOR | |
| CITY | STATE | ZIP | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | |

SECTION 7: LICENSING INFORMATION

A) FOR THE LAST 10 YEARS OF EMPLOYMENT WITHIN THE GAMBLING INDUSTRY, PROVIDE THE FOLLOWING INFORMATION REGARDING YOUR WORK LOCATIONS IN THE STATE OF CALIFORNIA.
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | |
|-----------------------------------|------|----------------------|-----------------|
| 1) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| 2) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| 3) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |

B) HAVE YOU EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY RELATED TO GAMING IN ANY JURISDICTION?
 IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE COMMISSION, TO WHICH YOU HAVE APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING). Yes No
 IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | |
|--|---------------------|--|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|---|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|---|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

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| C) HAVE YOU EVER BEEN DISCIPLINED, FINED, ETC. BY A GAMING REGULATORY AGENCY (LOCAL, STATE, TRIBAL, OR INTERNATIONAL)? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|--|--|

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|---|--------------------------------------|--|--|
| ISSUING AGENCY | DATE OF FINAL ACTION (MM/DD/YYYY) | ACTION TAKEN (SUSPENDED, REVOKED, ETC.) | CITY, COUNTY, STATE/PROVINCE, COUNTRY |
| BRIEFLY EXPLAIN THE CIRCUMSTANCES AND INCLUDE ANY AMOUNTS PAID. | | | |

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| D) HAVE YOU EVER HELD OR APPLIED FOR A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY <u>NOT</u> RELATED TO GAMING? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|--|--|

| | | | |
|--|---------------------|---|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|---|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|---|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

SECTION 8: BUSINESS INTEREST – GAMING RELATED

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| <p>HAVE YOU HELD A FINANCIAL INTEREST IN ANY GAMING RELATED VENTURE OR BUSINESS ENTITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER.</p> <p>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.</p> | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

SECTION 9: BUSINESS INTEREST – NON-GAMING RELATED

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|--|---|--|--|
| <p>HAVE YOU HELD A FINANCIAL INTEREST IN ANY NON-GAMING RELATED BUSINESS ENTITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER.</p> <p>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.</p> | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 1) NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED WITH FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| YOUR CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

SECTION 10: PERSONAL FINANCIAL HISTORY

| | | | | |
|--|---------------------------|---------------------------------------|-----------------------------------|--|
| <p>A) HAVE YOU FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE A COPY OF THE BANKRUPTCY PETITION/ORDER AND THE FOLLOWING DETAILS.</p> <p>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.</p> | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| DATE FILED (MM/DD/YYYY) | CASE NUMBER (IF KNOWN) | FEDERAL DISTRICT COURT WHERE FILED | DATE OF DISCHARGE (MM/DD/YYYY) | AMOUNT OF DISCHARGE, IF APPLICABLE |
| BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDING THE NATURE OF THE DEBT. | | | | |

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| B) HAVE YOU HAD A JUDGMENT OR LIEN FILED AGAINST YOU OR HAD YOUR WAGES GARNISHED WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|

| | | | |
|---|-------------------------|---|--|
| <input type="checkbox"/> JUDGMENT <input type="checkbox"/> GARNISHMENT <input type="checkbox"/> LIEN | DATE FILED (MM/DD/YYYY) | NAME OF PERSON/ENTITY THAT FILED THE ACTION | NAME OF PERSON/ENTITY THE JUDGMENT OR LIEN WAS FILED AGAINST |
|---|-------------------------|---|--|

EXPLAIN THE REASON FOR THE ACTION. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF ACTION IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE ACTION.

| | | | |
|---|-------------------------|---|--|
| <input type="checkbox"/> JUDGMENT <input type="checkbox"/> GARNISHMENT <input type="checkbox"/> LIEN | DATE FILED (MM/DD/YYYY) | NAME OF PERSON/ENTITY THAT FILED THE ACTION | NAME OF PERSON/ENTITY THE JUDGMENT OR LIEN WAS FILED AGAINST |
|---|-------------------------|---|--|

EXPLAIN THE REASON FOR THE ACTION. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF ACTION IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE ACTION.

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| C) HAVE YOU BEEN AUDITED BY ANY TAX AUTHORITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|---|--|

| | | | |
|--------------------------------|-----------------------------------|-------------------------------|------------------|
| AGENCY (STATE/FEDERAL/FOREIGN) | DATE AUDIT COMMENCED (MM/DD/YYYY) | TAX YEAR AUDITED (MM/DD/YYYY) | EXPLAIN FINDINGS |
|--------------------------------|-----------------------------------|-------------------------------|------------------|

| | |
|--|--|
| D) HAVE YOU HAD ANY ASSETS REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTIBLE (CHARGE-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|--|

| | | |
|---------------------|---|-----------------------------|
| 1) NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
|---------------------|---|-----------------------------|

EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S).

| | | |
|---------------------|---|-----------------------------|
| 2) NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
|---------------------|---|-----------------------------|

EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S).

| | | |
|---------------------|---|-----------------------------|
| 3) NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) |
|---------------------|---|-----------------------------|

EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S).

| | | |
|---|--|--|
| E) HAVE YOU BEEN A PARTY TO A FORECLOSURE WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|---|--|--|

| | | |
|--|----------------------------------|----------------|
| ADDRESS OF FORECLOSED PROPERTY (STREET, CITY, STATE, ZIP CODE) | DATE OF FORECLOSURE (MM/DD/YYYY) | NAME OF LENDER |
|--|----------------------------------|----------------|

EXPLAIN THE CIRCUMSTANCES THAT LEAD TO THE FORECLOSURE

| | | |
|--|--|--|
| F) DO YOU OWN, CONTROL, OR MANAGE ANY ASSETS OUTSIDE THE U.S., OR HAVE ANY LIABILITIES OUTSIDE OF THE U.S.? IF YES, PROVIDE THE FOLLOWING DETAILS. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|--|

| | | |
|-----------------------------------|----------------------------|--|
| 1) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) |
|-----------------------------------|----------------------------|--|

| | | |
|-----------------------------------|----------------------------|--|
| 2) DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) |
|-----------------------------------|----------------------------|--|

| | | |
|--|--|--|
| G) DO YOU CONTROL, MANAGE OR HOLD ANY ASSETS OR LIABILITIES FOR ANOTHER INDIVIDUAL OR ENTITY? IF YES, PROVIDE THE FOLLOWING DETAILS. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|--|

| | | |
|----------------|--------------|---------|
| NAME OF PERSON | RELATIONSHIP | PURPOSE |
|----------------|--------------|---------|

DESCRIBE ASSET/LIABILITY

| | | |
|--|--|--|
| H) DO YOU HAVE ANY AGREEMENTS OR CONTRACTS (NOT DISCLOSED ABOVE OR IN SCHEDULES A THROUGH K) WITH ANY PARTY, OTHER THAN THE BUREAU-APPROVED THIRD-PARTY PROVIDER OF PROPOSITION PLAYER SERVICES CONTRACT? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, COMMISSION WORK PERMIT, KEY EMPLOYEE LICENSE, OR TPPPS SUPERVISOR, PLAYER OR OTHER EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
|--|--|--|

| | | |
|---|---|--------------------------|
| 1) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT |
| TERMS OF THE AGREEMENT | | |

| | | |
|---|---|--------------------------|
| 2) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | NAMES OF THE OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT |
| TERMS OF THE AGREEMENT | | |

SECTION 11: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037.
- APPOINTMENT OF DESIGNATED AGENT (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), IF APPLICABLE.
- RESIDENT ALIEN CARD, EMPLOYMENT AUTHORIZATION CARD (FRONT AND BACK COPY), OR CERTIFICATE OF NATURALIZATION, IF APPLICABLE.
- ALL ACTIVE BADGES, PERMITS, ETC. ISSUED BY A CALIFORNIA CITY OR COUNTY (FRONT AND BACK COPY).
- EMPLOYMENT AGREEMENT OR DUTY STATEMENT FOR THE POSITION FOR WHICH YOU ARE APPLYING.
- PERSONAL LOAN AGREEMENTS, IF APPLICABLE.
- FEDERAL AND STATE INDIVIDUAL AND BUSINESS TAX RETURNS. INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS.
- INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T). **PROVIDE ORIGINAL.**
- MONTHLY BANK STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS.
- MONTHLY/QUARTERLY INVESTMENT ACCOUNT STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS.
- BANKRUPTCY COURT PETITION AND ORDER.
- SCHEDULES A THROUGH J FROM FORM SUPPLEMENTAL INFORMATION: SCHEDULES (CGCC – 0XX) – **PROVIDE ORIGINAL.**

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

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

SECTION 12: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

| | | |
|--------------|----------------|-------------------|
| | City and State | |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) |

This form must be signed by the applicant or licensee.

Trust: Supplemental Information

CGCC – 0XX (New XX/19)

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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) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide supplemental information for Trusts required to be licensed under the Gambling Control Act (Act).

A **current beneficiary** of the trust must also be licensed if the beneficiary receives a distribution or income from a Trust which holds the assets of a business or person that requires licensure. [Business and Professions Code sections 19850, 19852(e) and 19852(h)].

A **trustor, or contingent or future beneficiary or trustee** is not required to be licensed unless specifically directed by the California Gambling Control Commission (Commission). The contingent or future beneficiary or trustee may elect to submit an application in advance of the mandatory requirement.

Each **trustor, trustee or beneficiary** who seeks licensure must complete and submit the following forms:

- Application for Gambling Business License (CGCC – 0XX).
- Individual Owner/Principal: Supplemental Information (CGCC – 0XX)

If the trustee is also the trustor and/or beneficiary, only one application package needs to be submitted. In this situation, the applicant will indicate in Section 1 of the Individual Owner/Principal: Supplemental Information (CGCC – 0XX) that the applicant is applying in multiple capacities.

All responses must be **truthful and complete**. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Act and Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Applicant’s Full Name

Name of Cardroom Business License/TPPPS Business License

Associated Owner Entity, if Applicable

TYPE OF OWNER APPLICANT (CHECK APPROPRIATE BOX):

TPPPS ENDORSEE LICENSEE

CARDROOM ENDORSEE LICENSEE

| SECTION 1: TRUST INFORMATION | | |
|--|--|--------------------------------|
| TRUST NAME | | |
| TYPE OF TRUST <input type="checkbox"/> REVOCABLE <input type="checkbox"/> IRREVOCABLE | ORIGINAL DATE OF TRUST (MM/DD/YYYY) | AMENDMENT DATE(S) (MM/DD/YYYY) |
| RELATIONSHIP OF TRUST TO GAMBLING BUSINESS LICENSEE <input type="checkbox"/> SHAREHOLDER <input type="checkbox"/> MEMBER <input type="checkbox"/> PARTNER <input type="checkbox"/> OTHER: _____ | | |
| DESCRIBE THE PURPOSE OF THE TRUST | | |

| SECTION 2: TRUST STRUCTURE | | |
|---|---|---|
| A) LIST EACH TRUSTOR, TRUSTEE, AND BENEFICIARY. IF AN INDIVIDUAL/ENTITY HAS MULTIPLE DESIGNATIONS, LIST ALL. IF THE DESIGNATION IS CONTINGENT ON A FUTURE EVENT (E.G., DEATH, AGE, ETC.), MARK YES AND EXPLAIN THE CONTINGENCIES IN THE SPACE PROVIDED. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER. | | |
| 1) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | | DESIGNATION(S) (TRUSTOR, TRUSTEE, AND/OR BENEFICIARY) |
| CONTINGENT <input type="checkbox"/> YES <input type="checkbox"/> NO | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| IDENTIFY THE CONTINGENT EVENT(S) | | |
| 2) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | | DESIGNATION(S) (TRUSTOR, TRUSTEE, AND/OR BENEFICIARY) |
| CONTINGENT <input type="checkbox"/> YES <input type="checkbox"/> NO | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| IDENTIFY THE CONTINGENT EVENT(S) | | |
| 3) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | | DESIGNATION(S) (TRUSTOR, TRUSTEE, AND/OR BENEFICIARY) |
| CONTINGENT <input type="checkbox"/> YES <input type="checkbox"/> NO | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| IDENTIFY THE CONTINGENT EVENT(S) | | |
| 4) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | | DESIGNATION(S) (TRUSTOR, TRUSTEE, AND/OR BENEFICIARY) |
| CONTINGENT <input type="checkbox"/> YES <input type="checkbox"/> NO | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| IDENTIFY THE CONTINGENT EVENT(S) | | |
| 5) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | | DESIGNATION(S) (TRUSTOR, TRUSTEE, AND/OR BENEFICIARY) |
| CONTINGENT <input type="checkbox"/> YES <input type="checkbox"/> NO | ADDRESS (STREET, CITY, STATE, ZIP CODE) | |
| IDENTIFY THE CONTINGENT EVENT(S) | | |

SECTION 3: TRUST AUTHORITY**A) LIST EACH PERSON THAT HAS AUTHORITY OVER THE TRUST ASSETS AND/OR AUTHORITY OVER TRUST DISBURSEMENTS.**

| | | |
|---|--|--|
| 1) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | AUTHORITY OVER TRUST INVESTMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO | SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 2) INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY NAME | AUTHORITY OVER TRUST INVESTMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO | SIGNATURE AUTHORITY OVER TRUST DISBURSEMENTS <input type="checkbox"/> YES <input type="checkbox"/> NO |

SECTION 4: PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION**A) HAS THE TRUST, AS AN ENTITY OR IN CONNECTION WITH ANY OTHER BUSINESS ENTITY, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?**

IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER.

 YES NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | |
|---|-------------------------------|-------------------|
| 1) APPROXIMATE DATE FILED (MM/DD/YYYY) | PARTIES INVOLVED | CASE NUMBER |
| COURT LOCATION (CITY, STATE) | DISPOSITION DATE (MM/DD/YYYY) | FINAL DISPOSITION |
| BRIEFLY EXPLAIN GENERAL SUBJECT OF LITIGATION | | |

SECTION 5: BUSINESS INTEREST – GAMING RELATED**A) OTHER THAN THE GAMING RELATED ENTITY IDENTIFIED ABOVE IN SECTION ONE, HAS THE TRUST HELD A FINANCIAL INTEREST IN ANY GAMING RELATED VENTURE OR BUSINESS ENTITY WITHIN THE LAST 10 YEARS?**

IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER.

 YES NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | |
|---|---|--|
| 1) NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | PRIMARY PURPOSE OF BUSINESS | |
| CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | |
| 2) NAME OF BUSINESS ENTITY | BUSINESS TELEPHONE NUMBER | DATES INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | PRIMARY PURPOSE OF BUSINESS | |
| CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | |

SECTION 6: BUSINESS INTEREST – NON-GAMING RELATED**A) HAS THE TRUST HELD A FINANCIAL INTEREST IN ANY NON-GAMING RELATED BUSINESS ENTITY WITHIN THE LAST 10 YEARS?**

IF YES, PROVIDE THE FOLLOWING DETAILS. IF NECESSARY, ATTACH A SEPARATE SHEET OF PAPER.

 Yes No

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | |
|---|---|-----------------------------|--|
| 1) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |
| 2) NAME OF BUSINESS ENTITY | | BUSINESS TELEPHONE NUMBER | DATES INVOLVED FROM (MM/DD/YYYY) TO (MM/DD/YYYY) |
| BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | PRIMARY PURPOSE OF BUSINESS | |
| CAPACITY/TITLE | INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED | | |

SECTION 7: FINANCIAL HISTORY**A) PROVIDE THE FOLLOWING INFORMATION FOR THE PERSON THAT PREPARES AND FILES THE TRUST'S FINANCIAL STATEMENTS AND TAX FORMS, IF APPLICABLE.**

| | | |
|---|-----------------------------|--|
| NAME (LAST, FIRST MIDDLE) | COMPANY NAME, IF APPLICABLE | IS THIS PERSON AN INDEPENDENT CERTIFIED PUBLIC ACCOUNTANT? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| DESCRIBE DUTIES (E.G., BOOKKEEPING, PREPARATION OF AUDITED FINANCIAL STATEMENTS, INVESTMENT MANAGER, ETC.) | | |
| B) DOES THE TRUST HAVE A TAX ID NUMBER? IF YES, PROVIDE THE TAX ID NUMBER. IF REPORTED THROUGH ANOTHER INDIVIDUAL OR ENTITY'S TAXES, PROVIDE THE INFORMATION BELOW. | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| NAME OF INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY UNDER WHICH TAXES ARE FILED | | TRUST TAX ID NUMBER |
| MAILING ADDRESS OF INDIVIDUAL (STREET, CITY, STATE, ZIP CODE) | | RELATIONSHIP TO THE TRUST (E.G. TRUSTOR) |

C) HAS THE TRUST FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS?

IF YES, PROVIDE THE FOLLOWING DETAILS.

 Yes No

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | |
|---|-----------------------------------|------------------------------------|--------------------------------|--|
| DATE FILED (MM/DD/YYYY) | CASE NUMBER (IF KNOWN) | FEDERAL DISTRICT COURT WHERE FILED | DATE OF DISCHARGE (MM/DD/YYYY) | AMOUNT OF DISCHARGE, IF APPLICABLE |
| BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDING THE NATURE OF THE DEBT. | | | | |
| D) HAS THIS TRUST BEEN AUDITED BY ANY TAX AUTHORITY WITHIN THE LAST 10 YEARS? IF YES, PROVIDE A COPY OF THE BANKRUPTCY PETITION/ORDER AND THE FOLLOWING DETAILS. | | | | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | | |
| AGENCY (STATE/FEDERAL/FOREIGN) | DATE AUDIT COMMENCED (MM/DD/YYYY) | TAX YEAR AUDITED (MM/DD/YYYY) | EXPLAIN FINDINGS | |

| | | | |
|---|---|---|--|
| E) HAS THE TRUST HAD A JUDGMENT OR LIEN FILED AGAINST IT WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| <input type="checkbox"/> JUDGMENT <input type="checkbox"/> LIEN | DATE FILED (MM/DD/YYYY) | NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN | NAME OF PERSON/ENTITY ACTION WAS FILED AGAINST |
| EXPLAIN THE REASON FOR THE ACTION. IF SATISFIED, PROVIDE A COPY OF THE RELEASE. IF THE ACTION IS NOT SATISFIED, AND YOU ARE MAKING PAYMENTS, ATTACH A COPY OF THE PAYMENT PLAN/AGREEMENT PROVIDED BY THE COURT OR CREDITOR. IF YOU ARE NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO SATISFY THE ACTION. | | | |
| F) HAS THE TRUST HAD ANY ASSETS REPOSSESSED OR HAD AN UNPAID DEBT/LOAN TURNED OVER TO A COLLECTION AGENCY OR DEEMED UNCOLLECTIBLE (CHARGE-OFF) FOR ANY REASON WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| NAME OF CREDITOR | ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF) | DATE OF ACTION (MM/DD/YYYY) | |
| EXPLAIN THE REASON FOR THIS ACTION. ATTACH A COPY OF THE PAYMENT PLAN OR OTHER DOCUMENT SHOWING HOW THE DEBT WILL BE SATISFIED. IF THE TRUST IS NOT MAKING PAYMENTS, EXPLAIN HOW YOU PLAN TO REPAY THE DEBT(S). | | | |
| G) HAS THE TRUST BEEN A PARTY TO A FORECLOSURE WITHIN THE LAST 10 YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM WAS SUBMITTED AND LICENSURE GRANTED. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| ADDRESS OF FORECLOSED PROPERTY | DATE OF FORECLOSURE (MM/DD/YYYY) | NAME OF LENDER | BALANCE OWED |
| BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE FORECLOSURE. | | | |
| H) DOES THIS TRUST OWN, CONTROL, OR MANAGE ANY ASSETS OUTSIDE THE U.S., OR HAVE ANY LIABILITIES OUTSIDE OF THE U.S.? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| DESCRIPTION OF ASSET/LIABILITY | DATE ACQUIRED (MM/DD/YYYY) | LOCATION (CITY, STATE/PROVINCE, COUNTRY) | |
| I) DOES THE ENTITY HAVE ANY AGREEMENTS OR CONTRACTS WITH ANY PARTY? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) NAMES OF THE PARTIES TO THE AGREEMENT/CONTRACT | | NAMES OF OWNERS AND EXECUTIVES OF THE OTHER PARTY | |
| TYPE OF AGREEMENT | AMOUNT PAID | FREQUENCY OF THE PAYMENT | |
| TERMS OF THE AGREEMENT | | | |

SECTION 8: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037.
- APPOINTMENT OF DESIGNATED AGENT (CGCC – 0XX) – **PROVIDE ORIGINAL.**
- TRUST DOCUMENT AND ALL AMENDMENTS, INCLUDING ITEMIZED LIST OF ALL ASSETS HELD IN THE TRUST – **PROVIDE SIGNED COPIES.**
- SUMMARY (IN APPROXIMATELY TWO PAGES) OF THE TERMS OF THE TRUST (INCLUDING ANY AMENDMENTS), INCLUDING CONTINGENCIES, IF ANY, THAT IMPACT THE STATUS OF INTERESTS IN THE TRUST AND/OR TRUST DISTRIBUTIONS.
- IF THE TRUST FILES SEPARATE TAX RETURNS, PROVIDE FEDERAL AND STATE TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS.
- INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) FOR THE TRUST, IF APPLICABLE – **PROVIDE ORIGINAL.**
- CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR THE TRUST AND ALL BUSINESS OWNED BY THE TRUST.
- MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS.
- MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS.
- SCHEDULES A THROUGH K FROM FORM SUPPLEMENTAL INFORMATION: SCHEDULES (CGCC – 0XX) – **PROVIDE ORIGINAL.**

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

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

SECTION 9: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

| | | | | |
|--------------|-----------|----------------|----------|-------------------|
| PRINTED NAME | SIGNATURE | City and State | CAPACITY | DATE (MM/DD/YYYY) |
|--------------|-----------|----------------|----------|-------------------|

This form must be signed an authorized trustor or trustee.

**Commission Work Permit, TPPPS Player, or TPPPS Other Employee:
Supplemental Information**

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |

CGCC – 0XX (New XX/19)
Page X of X



MAIL COMPLETED FORM AND DEPOSIT TO:
BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide supplemental information for individuals required to apply as an employee (Commission work permittee) of a gambling enterprise, or player or other employee of a TPPPS company as defined by the Gambling Control Act (Act) and/or implementing administrative regulations, as applicable.

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Act and California Gambling Control Commission (Commission) regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Applicant’s Full Name

Name of Employer

TYPE OF APPLICANT (CHECK APPROPRIATE BOX):

TPPPS PLAYER LICENSE

TPPPS OTHER EMPLOYEE LICENSE

COMMISSION WORK PERMIT

| SECTION 1: PERSONAL INFORMATION | | | | |
|---|---|--|---|------------------------------|
| FULL NAME: LAST | | FIRST | MIDDLE | |
| ALIAS(ES), NICKNAME, MAIDEN NAME, OR OTHER NAME CHANGE | | | | |
| CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | | | |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | | | |
| PRIMARY TELEPHONE NUMBER | ALTERNATE TELEPHONE NUMBER | EMAIL ADDRESS | | |
| HEIGHT | WEIGHT | HAIR COLOR | EYE COLOR | |
| GENDER | DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | | STATE | EXPIRATION DATE (MM/DD/YYYY) |
| A) ARE YOU A U.S. CITIZEN? | | <input type="checkbox"/> YES <input type="checkbox"/> NO | BIRTH PLACE (CITY, STATE/PROVINCE, COUNTRY) | DATE OF BIRTH (MM/DD/YYYY) |
| IF BORN OUTSIDE THE U.S., IDENTIFY YOUR ELIGIBILITY TO WORK IN THE U.S. AND PROVIDE SUPPORTING DOCUMENTATION | | | | |
| <input type="checkbox"/> RESIDENT ALIEN <input type="checkbox"/> NATURALIZED CITIZEN <input type="checkbox"/> EMPLOYMENT AUTHORIZED <input type="checkbox"/> OTHER: _____ | | | | |
| IF RESIDENT ALIEN OR NATURALIZED CITIZEN, PROVIDE A-NUMBER | | | SOCIAL SECURITY NUMBER | |

| SECTION 2: FAMILY/COHABITANT INFORMATION | | | | |
|---|--|-------|--|----------------------------------|
| <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> REGISTERED DOMESTIC PARTNER <input type="checkbox"/> SEPARATED <input type="checkbox"/> DIVORCED <input type="checkbox"/> WIDOWED | | | | |
| A) CURRENT SPOUSE/REGISTERED DOMESTIC PARTNER | | | | |
| FULL NAME: LAST | | FIRST | MIDDLE | MAIDEN |
| DATE OF BIRTH (MM/DD/YYYY) | | | DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | |
| RESIDENCE (IF DIFFERENT FROM APPLICANT) (STREET, CITY, STATE, ZIP CODE) | | | | |
| B) FORMER SPOUSE/REGISTERED DOMESTIC PARTNER | | | | |
| 1) FULL NAME: LAST | | FIRST | MIDDLE | MAIDEN |
| DATE OF BIRTH (MM/DD/YYYY) | DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY) | | DATE OF DIVORCE (MM/DD/YYYY) | STATE IN WHICH DIVORCE WAS FILED |

| | | | | | |
|--|-------|----|---------------------------------------|--------------|--|
| C) DO YOU HAVE ANY IMMEDIATE FAMILY MEMBERS, COHABITANTS, OR ROOMMATES WHO CURRENTLY HAVE A FINANCIAL INTEREST IN, OR ARE EMPLOYED BY, A GAMING RELATED BUSINESS? IF YES, PROVIDE THE FOLLOWING DETAILS. | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) FULL NAME: LAST | FIRST | MI | MAIDEN | RELATIONSHIP | |
| NAME OF BUSINESS | | | PERCENTAGE OWNED AND/OR POSITION HELD | | |
| 2) FULL NAME: LAST | FIRST | MI | MAIDEN | RELATIONSHIP | |
| NAME OF BUSINESS | | | PERCENTAGE OWNED AND/OR POSITION HELD | | |

| | | |
|---|--|--|
| SECTION 3: MILITARY EXPERIENCE | | |
| A) HAVE YOU EVER SERVED IN THE U.S. ARMED FORCES? IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH A COPY OF YOUR "UNDELETED" MILITARY FORM DD-214 (I.E., A COMPLETE COPY OF THE FORM WITH NO INFORMATION BLACKED OUT). IF THE MILITARY SERVICE HAS ENDED AND A DD-214 HAS BEEN PREVIOUSLY PROVIDED TO THE BUREAU AS PART OF ANOTHER APPLICATION, ONE NEED NOT BE PROVIDED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| BRANCH OF SERVICE | DATES OF SERVICE FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | |
| RANK AT SEPARATION | SOCIAL SECURITY NUMBER/SERVICE NUMBER | |
| TYPE OF DISCHARGE: <input type="checkbox"/> ENTRY LEVEL <input type="checkbox"/> HONORABLE <input type="checkbox"/> GENERAL <input type="checkbox"/> OTHER THAN HONORABLE <input type="checkbox"/> BAD CONDUCT <input type="checkbox"/> DISHONORABLE <input type="checkbox"/> OTHER _____ | | |
| B) HAVE YOU EVER BEEN CONVICTED IN A COURT-MARTIAL? IF YES, PROVIDE THE FOLLOWING DETAILS. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| DATE (MM/DD/YYYY) | FINAL CHARGE | COURT LOCATION (CITY, STATE) |
| EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS | | |

| | | |
|--|------------------|--|
| SECTION 4: CRIMINAL CONVICTIONS | | |
| A) HAVE YOU <u>EVER</u> BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY? DISCLOSE ANY CONVICTIONS DISMISSED UNDER PENAL CODE SECTION 1203.4, 1203A, OR 1203.45 AND CONVICTIONS REDUCED OR EXPUNGED, UNLESS THE RECORDS HAVE BEEN SEALED PURSUANT TO A COURT ORDER. INFRACTIONS NEED NOT BE PROVIDED, BUT IT IS THE APPLICANT'S RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND IF YOU ARE NOT CERTAIN, YOU SHOULD DISCLOSE. IF YOU REQUIRE ADDITIONAL SPACE FOR EITHER THE NUMBER OF CONVICTIONS OR TO EXPLAIN THE FACTUAL CIRCUMSTANCES, PLEASE ATTACH ANOTHER PAGE TO THIS FORM. IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH INCIDENT. PLEASE NOTE: SOME TRAFFIC VIOLATIONS ARE CONSIDERED MISDEMEANORS OR FELONIES. IF THIS APPLICANT CURRENTLY HOLDS A VALID COMMISSION WORK PERMIT, OR PLAYER OR OTHER EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED. | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| 1) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
| IDENTIFY CRIMINAL CONVICTIONS. | | |
| EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION. | | |

| | | |
|--|------------------|--|
| 2) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY) | ARRESTING AGENCY | COURT LOCATION (CITY, STATE) |
| IDENTIFY CRIMINAL CONVICTIONS. | | |
| EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION. | | |
| B) HAVE YOU EVER BEEN REMOVED FROM OR PROHIBITED FROM ENTERING THE PREMISES OF ANY GAMING OR PARI-MUTUEL WAGERING ESTABLISHMENT? | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| C) HAVE YOU EVER ENGAGED IN BOOKMAKING OR OTHER ILLEGAL GAMBLING ACTIVITIES? | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| D) ARE YOU CURRENTLY ON PROBATION? | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS. | | |

SECTION 5: RESIDENCES

A) LIST ALL RESIDENCES DURING THE LAST 10 YEARS (MOST RECENT FIRST, INCLUDING YOUR CURRENT RESIDENCE). PROVIDE COMPLETE ADDRESSES AND MARKERS SUCH AS STREET, DRIVE, ETC., AND UNIT OR APARTMENT NUMBER. DO NOT USE P.O. BOXES.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | |
|--|-------|-------------------------|----------|--|
| 1) CURRENT ADDRESS (NUMBER/STREET/APT) | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |
| 2) FORMER ADDRESS (NUMBER/STREET/APT) | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |
| 3) FORMER ADDRESS (NUMBER/STREET/APT) | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |
| 4) FORMER ADDRESS (NUMBER/STREET/APT) | | | | FROM (MM/DD/YYYY) |
| CITY | STATE | COUNTRY IF OUTSIDE U.S. | ZIP CODE | <input type="checkbox"/> OWN <input type="checkbox"/> RENT |

SECTION 6: EXPERIENCE AND EMPLOYMENT

A) BEGINNING WITH YOUR CURRENT EMPLOYMENT, LIST YOUR WORK HISTORY AND PERIODS OF UNEMPLOYMENT DURING THE PAST TEN YEARS. LIST ALL JOBS, INCLUDING PART-TIME, TEMPORARY, AND SELF-EMPLOYMENT (CONSULTING, INDEPENDENT CONTRACTOR, ETC.). FOR UNEMPLOYED PERIODS, IN THE DUTIES/ASSIGNMENTS SECTION EXPLAIN HOW YOU SUPPORTED YOURSELF.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | | | | |
|---|--|-------|------------------|--|--|-----|
| 1) CURRENT EMPLOYER | | | | | FROM (MM/DD/YYYY) | |
| JOB TITLE/DUTIES | | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | | | SUPERVISOR | |
| CITY | | STATE | ZIP | | CONTACT NUMBER | EXT |
| 2) NAME OF PRIOR EMPLOYER | | | | | FROM (MM/DD/YYYY) | |
| JOB TITLE/DUTIES | | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | | | SUPERVISOR | |
| CITY | | STATE | ZIP | | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | | | |
| 3) NAME OF PRIOR EMPLOYER | | | | | FROM (MM/DD/YYYY) | |
| JOB TITLE/DUTIES | | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | | | SUPERVISOR | |
| CITY | | STATE | ZIP | | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | | | |
| 4) NAME OF PRIOR EMPLOYER | | | | | FROM (MM/DD/YYYY) | |
| JOB TITLE/DUTIES | | | MONTHLY EARNINGS | | GAMING RELATED? <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| ADDRESS | | | | | SUPERVISOR | |
| CITY | | STATE | ZIP | | CONTACT NUMBER | EXT |
| REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES. | | | | | | |

SECTION 7: LICENSING INFORMATION

A) FOR THE LAST TEN YEARS OF EMPLOYMENT WITHIN THE GAMBLING INDUSTRY, PROVIDE THE FOLLOWING INFORMATION REGARDING YOUR WORK LOCATIONS IN THE STATE OF CALIFORNIA.

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | |
|-----------------------------------|------|-------------------|-----------------|
| 1) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| 2) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| 3) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |
| 4) NAME OF GAMBLING ESTABLISHMENT | CITY | FROM (MM/DD/YYYY) | TO (MM/DD/YYYY) |

B) HAVE YOU EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY RELATED TO GAMING IN ANY JURISDICTION?

IF YES, LIST BELOW ANY LICENSING OR REGULATORY AGENCY (TRIBAL STATE, LOCAL, OR INTERNATIONAL), INCLUDING THE COMMISSION, TO WHICH YOU HAVE APPLIED (INCLUDE ANY APPLICATIONS THAT WERE APPROVED, SURRENDERED, WITHDRAWN, DENIED, AND/OR ARE PENDING).

Yes No

IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.

| | | | |
|--|---------------------|--|----------------|
| 1) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|--|----------------|
| 2) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|--|---------------------|--|----------------|
| 3) LICENSE/PERMIT/CERTIFICATION/ REGISTRATION NUMBER | TYPE OF APPLICATION | DATES HELD FROM (MM/DD/YYYY) TO (MM/DD/YYYY) | ISSUING AGENCY |
| CITY, COUNTY, STATE/PROVINCE, COUNTRY | | ACTION TAKEN (ISSUED, DENIED, SUSPENDED, PENDING, WITHDRAWN, REVOKED, OTHER) | |
| IF DENIED, SUSPENDED, WITHDRAWN, REVOKED, OR CONDITIONED, BRIEFLY EXPLAIN THE CIRCUMSTANCES. | | | |

| | | | |
|---|-----------------------------------|---|--|
| <p>C) HAVE YOU EVER BEEN DISCIPLINED, FINED, ETC. BY A GAMING REGULATORY AGENCY (LOCAL, STATE, TRIBAL, OR INTERNATIONAL)? IF YES, PROVIDE THE FOLLOWING DETAILS.</p> <p>IF THIS APPLICANT CURRENTLY HOLDS A VALID GAMBLING BUSINESS LICENSE OR EMPLOYEE LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME A SUPPLEMENTAL FORM WAS SUBMITTED AND LICENSURE GRANTED.</p> | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| ISSUING AGENCY | DATE OF FINAL ACTION (MM/DD/YYYY) | ACTION TAKEN (SUSPENDED, REVOKED, ETC.) | CITY, COUNTY, STATE/PROVINCE, COUNTRY |
| BRIEFLY EXPLAIN THE CIRCUMSTANCES AND INCLUDE ANY AMOUNTS PAID. | | | |

| |
|---|
| SECTION 8: ADDITIONAL REQUIRED ITEMS |
| <p>THE FOLLOWING ITEMS MUST BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF YOUR APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.</p> <p>MARK THE BOX NEXT TO EACH ATTACHED ITEM.</p> |
| <input type="checkbox"/> APPOINTMENT OF DESIGNATED AGENT (CGCC – 0XX) – PROVIDE ORIGINAL. |
| <input type="checkbox"/> MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), IF APPLICABLE. |
| <input type="checkbox"/> RESIDENT ALIEN CARD, EMPLOYMENT AUTHORIZATION CARD (FRONT AND BACK COPY), OR CERTIFICATE OF NATURALIZATION, IF APPLICABLE. |
| <input type="checkbox"/> ALL ACTIVE BADGES, PERMITS, ETC. ISSUED BY A CALIFORNIA CITY OR COUNTY (FRONT AND BACK COPY). |
| <input type="checkbox"/> EMPLOYMENT AGREEMENT OR DUTY STATEMENT FOR THE POSITION FOR WHICH YOU ARE APPLYING. |
| ADDITIONAL DOCUMENTATION MAY BE REQUIRED BY THE BUREAU OF GAMBLING CONTROL. |

Pursuant to Business and Professions Code section 19867, the applicant is responsible for all costs incurred by the Bureau related to the background investigation. At the conclusion of the investigation, the applicant will receive an itemized accounting of all such costs. Monies received in excess of the actual costs incurred will be refunded. A license will not be issued until the required deposits and fees are received.

| | | |
|--|-----------|-------------------|
| SECTION 9: DECLARATION | | |
| I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____ <div style="text-align: center; font-size: small;">City and State</div> | | |
| PRINTED NAME | SIGNATURE | DATE (MM/DD/YYYY) |

This form must be signed by the applicant or licensee.

**Supplemental Information:
Schedules**

CGCC – 0XX (New XX/19)
Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide additional information for applicants required to be licensed by the California Gambling Control Commission (Commission).

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Gambling Control Act and Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with "N/A" (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| TYPE OF APPLICANT (CHECK APPROPRIATE BOX): | |
|--|---|
| <input type="checkbox"/> TPPPS OWNER LICENSE | <input type="checkbox"/> TPPPS SUPERVISOR LICENSE |
| <input type="checkbox"/> GAMBLING LICENSE | <input type="checkbox"/> KEY EMPLOYEE LICENSE |

SCHEDULE A – ASSETS

Cash

List all cash and identify its location (e.g., financial institutions [foreign and domestic], safe deposit boxes, house/office, etc.).

| NAME AND ADDRESS OF ENTITY/LOCATION WHERE THE FUNDS ARE HELD | TYPE OF ACCOUNT | LAST 6 DIGITS OF ACCOUNT NUMBER | DATE OPENED | NAME OF PERSONS WHO HAVE SIGNATURE AUTHORITY ON ACCOUNT | YEAR END BALANCE* | CURRENT BALANCE** |
|--|-----------------|---------------------------------|-------------|---|-------------------|-------------------|
| | | | | | | |
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| | | | | | | |
| | | | | | | |
| | | | | TOTAL | | |

*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

| | | | |
|--------------------------|-----------|----------|-------------------|
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
|--------------------------|-----------|----------|-------------------|

SCHEDULE C – ASSETS
Accounts and Notes Receivable

List all loans, accounts, and notes receivable (monies owed to the business entity). Please submit copies of agreements for any loans/accounts/notes receivable

| NAME OF DEBTOR | DATE ACQUIRED | MATURITY DATE (NOTES RECEIVABLE) | PAYMENT AMOUNT | PAYMENT PERIOD (E.G., WEEKLY, MONTHLY, ETC.) | INTEREST RATE | ORIGINAL AMOUNT | YEAR END BALANCE* | CURRENT BALANCE** |
|----------------|---------------|----------------------------------|----------------|--|---------------|-----------------|-------------------|-------------------|
| | | | | | | | | |
| | | | | | | | | |
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| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| TOTAL | | | | | | | | |

*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed

Signature of Preparer: _____

Date: _____

| | | | |
|--|-----------|----------|-------------------------------|
| I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____. | | | |
| | | | <small>City and State</small> |
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
| | | | |

SCHEDULE D – ASSETS

Business Investments

List any business investments in which any direct, indirect, or vested interest is held, along with the names of all individuals or entities that have a direct, indirect, or vested interest. This should include, but not be limited to, sole proprietorships (SP), joint ventures (JV), partnerships (P), limited liability companies (LLC), and corporations (Inc.).

| ENTITY NAME | TYPE OF ENTITY | NUMBER OF SHARES OR UNITS | NAME IN WHICH HELD | PERCENTAGE OF OWNERSHIP | DATE OF INITIAL PURCHASE/INVESTMENT | TOTAL PURCHASE PRICE/INVESTMENT | YEAR END MARKET VALUE* | CURRENT INVESTMENT AMOUNT** |
|--|----------------|---------------------------|--------------------|-------------------------|-------------------------------------|---------------------------------|------------------------|-----------------------------|
| | | | | | | | | |
| IDENTIFY THE SOURCE OF MONIES FOR THE INITIAL AND SUBSEQUENT INVESTMENTS (INCLUDE DATES AND SPECIFIC AMOUNTS OF SUBSEQUENT INVESTMENTS). IN LOANS, PROVIDE COPIES OF AGREEMENTS. IF SAVINGS, IDENTIFY SOURCE (E.G. BUSINESS REVENUE, ETC.) | | | | | | | | |
| | | | | | | | | |
| IDENTIFY THE SOURCE OF MONIES FOR THE INITIAL AND SUBSEQUENT INVESTMENTS (INCLUDE DATES AND SPECIFIC AMOUNTS OF SUBSEQUENT INVESTMENTS). IN LOANS, PROVIDE COPIES OF AGREEMENTS. IF SAVINGS, IDENTIFY SOURCE (E.G. BUSINESS REVENUE, ETC.) | | | | | | | | |
| | | | | | | | | |
| IDENTIFY THE SOURCE OF MONIES FOR THE INITIAL AND SUBSEQUENT INVESTMENTS (INCLUDE DATES AND SPECIFIC AMOUNTS OF SUBSEQUENT INVESTMENTS). IN LOANS, PROVIDE COPIES OF AGREEMENTS. IF SAVINGS, IDENTIFY SOURCE (E.G. BUSINESS REVENUE, ETC.) | | | | | | | | |
| | | | | TOTAL | | | | |

*Market value as of the most recent calendar year: December 31, 20____.

**Market Value as of the date schedule is signed

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

| | | | |
|--------------------------|-----------|----------|-------------------|
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
|--------------------------|-----------|----------|-------------------|

SCHEDULE E – ASSETS

Real Estate

List any direct or indirect interest held in real property by the business entity.

| ADDRESS OR PARCEL NUMBER AND LOCATION | TYPE OF PROPERTY (RESIDENTIAL, COMMERCIAL, OR LAND) | PERCENTAGE OF OWNERSHIP | DATE OF PURCHASE | CURRENT INCOME (RENT/LEASE) | DOWN PAYMENT | PURCHASE PRICE | CURRENT INVESTMENT AMOUNT** |
|---|---|-------------------------|------------------|-----------------------------|--------------|----------------|-----------------------------|
| | | | | | | | |
| IDENTIFY THE SOURCE OF FUNDS FOR THE DOWN PAYMENT. IN ADDITION, IDENTIFY IF THE CURRENT INCOME IS PER MONTH, PER YEAR, ETC. | | | | | | | |
| | | | | | | | |
| IDENTIFY THE SOURCE OF FUNDS FOR THE DOWN PAYMENT. IN ADDITION, IDENTIFY IF THE CURRENT INCOME IS PER MONTH, PER YEAR, ETC. | | | | | | | |
| | | | | | | | |
| IDENTIFY THE SOURCE OF FUNDS FOR THE DOWN PAYMENT. IN ADDITION, IDENTIFY IF THE CURRENT INCOME IS PER MONTH, PER YEAR, ETC. | | | | | | | |
| | | | | | | | |
| IDENTIFY THE SOURCE OF FUNDS FOR THE DOWN PAYMENT. IN ADDITION, IDENTIFY IF THE CURRENT INCOME IS PER MONTH, PER YEAR, ETC. | | | | | | | |
| | | | | | | | |
| | | | | TOTAL | | | |

*Book or Market Value as of the most recent calendar year: December 31, 20____.

For residential real estate include use market value
 For commercial real estate a book value is acceptable

Signature of Preparer: _____

Date: _____

| | | | |
|--|-----------|----------|-------------------|
| I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____. | | | |
| <small>City and State</small> | | | |
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
| | | | |

SCHEDULE G – LIABILITIES

Accounts Payable

List all accounts payable (e.g., revolving accounts, credit cards for all open accounts [with or without a balance], leases, lines of credit).

| NAME OF CREDITOR | LAST 6 DIGITS OF ACCOUNT NUMBER | COLLATERAL (IF APPLICABLE) | DATE INCURRED | PAYMENT AMOUNT | PAYMENT PERIOD (E.G. WEEKLY, MONTHLY, ETC.) | YEAR END BALANCE* | CURRENT BALANCE** |
|------------------|---------------------------------|----------------------------|---------------|----------------|---|-------------------|-------------------|
| | | | | | | | |
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| | | | | | | | |
| | | | | | | | |
| TOTAL | | | | | | | |

*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

| | | | |
|--------------------------|-----------|----------|-------------------|
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
|--------------------------|-----------|----------|-------------------|

SCHEDULE H – LIABILITIES

Taxes Payable

List all unpaid and estimated taxes.

| TAXING AUTHORITY E.G., FRANCHISE TAX BOARD, INTERNAL REVENUE SERVICE, ETC.) | RELATED TAX PERIOD | PAYMENT AMOUNT | PAYMENT PERIOD (E.G. WEEKLY, MONTHLY, ETC.) | ORIGINAL AMOUNT | FINES, PENALTIES, AND INTEREST | YEAR END BALANCE* | CURRENT BALANCE** |
|---|-----------------------|----------------|---|-----------------|-----------------------------------|-------------------|----------------------|
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*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed.

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

APPLICANT'S PRINTED NAME

SIGNATURE

CAPACITY

DATE (MM/DD/YYYY)

SCHEDULE I – LIABILITIES

Notes Payable

List all loans and notes payable (monies owed by the business entity. Please submit copies of loan agreements for any loans not obtained from a financial institution.

| NAME OF CREDITOR | LAST 6 DIGITS OF ACCOUNT NUMBER | COLLATERAL (IF APPLICABLE) | DATE INCURRED | MATURITY DATE | PAYMENT AMOUNT | PAYMENT PERIOD (E.G., WEEKLY, MONTHLY, ETC.) | INTEREST RATE | ORIGINAL NOTE AMOUNT | YEAR END BALANCE* | CURRENT BALANCE** |
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*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

APPLICANT'S PRINTED NAME

SIGNATURE

CAPACITY

DATE (MM/DD/YYYY)

SCHEDULE J – LIABILITIES

Mortgages Payable

List all mortgages on real estate.

| NAME OF CREDITOR | LAST 6 DIGITS OF ACCOUNT NUMBER | ADDRESS OR PARCEL NUMBER AND LOCATION OF REAL ESTATE | DATE INCURRED | PAYMENT AMOUNT | PAYMENT PERIOD (E.G., WEEKLY, MONTHLY, ETC.) | ORIGINAL NOTE AMOUNT | YEAR END BALANCE* | CURRENT BALANCE** |
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| TOTAL | | | | | | | | |

*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

| | | | |
|--------------------------|-----------|----------|-------------------|
| APPLICANT'S PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
| | | | |

SCHEDULE K – LIABILITIES

Contingent and Other Liabilities

List all other indebtedness or liability (e.g., guarantor of loans, co-signer on a loan, pending litigation, liens, etc.).

| NAME OF CREDITOR | LAST 6 DIGITS OF ACCOUNT NUMBER | COLLATERAL (IF APPLICABLE) | DATE INCURRED | PAYMENT AMOUNT | PAYMENT PERIOD (E.G., WEEKLY, MONTHLY, ETC.) | DESCRIPTION OF LIABILITY | ORIGINAL AMOUNT | YEAR END BALANCE* | CURRENT BALANCE** |
|------------------|---------------------------------|----------------------------|---------------|----------------|--|--------------------------|-----------------|-------------------|-------------------|
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*Balance as of the most recent calendar year: December 31, 20____.

**Balance as of the date schedule is signed.

Signature of Preparer: _____

Date: _____

I declare under penalty of perjury under the laws of the State of California that I have personally reviewed and/or completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

APPLICANT'S PRINTED NAME

SIGNATURE

CAPACITY

DATE (MM/DD/YYYY)

Spousal Information

CGCC – 0XX (New XX/19)

Page X of X

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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) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is used to provide information for spouses of individuals required to apply as an owner of a gambling business as defined by the Gambling Control Act (Act) and/or implementing administrative regulations, as applicable.

All responses must be truthful and complete. All responses are subject to verification and will be used to determine suitability under gambling laws and regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

An applicant may be subject to administrative action for failing to provide all information, documentation and assurances as required by the Act or requested by the California Gambling Control Commission or the Bureau of Gambling Control, or failing to reveal any material facts, or providing misleading or untrue information as to a material fact.

An applicant accepts any risks of adverse action, financial loss, or public notice which may result from any action taken with respect to an application. By filing an application, an applicant expressly waives any claim for damages as a result of any action taken with respect to that application.

It is the responsibility of each applicant to obtain copies of, and be familiar with, the laws and regulations governing the applicant's license. As an applicant, it is your responsibility to ensure that you thoroughly understand the questions in this application. If you do not understand the questions, it is your responsibility to obtain appropriate, competent assistance in order to fully and accurately complete the application.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with "N/A" (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

Please note that if the Spouse is undergoing licensure as an owner or an endorsed owner of a gambling business then this form does not need to be completed.

Name of Applicant's Spouse

Name of Applicant

Name of Gambling Business

| SECTION 1: PERSONAL INFORMATION | | |
|---|---------------|--------|
| SPOUSE'S FULL NAME: LAST | FIRST | MIDDLE |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | EMAIL ADDRESS | |
| APPLICANT'S FULL NAME: LAST | FIRST | MIDDLE |

| SECTION 2: RELATIONSHIP OF SPOUSE TO BUSINESS |
|--|
| Check all boxes that appropriately describe the spouse's relationship to the gambling business. |
| <input type="checkbox"/> 1) THE GAMBLING BUSINESS OR OWNERSHIP INTEREST IN THE GAMBLING BUSINESS IS COMMUNITY PROPERTY OF THE APPLICANT AND SPOUSE. |
| <input type="checkbox"/> 2) THE SPOUSE IS INVOLVED, DIRECTLY OR INDIRECTLY, WITH ANY MANAGEMENT DECISIONS, OF ANY NATURE, REGARDING THE OPERATION OF THE GAMBLING BUSINESS. |
| <input type="checkbox"/> 3) THE SPOUSE HAS DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE GAMBLING BUSINESS. |
| <input type="checkbox"/> 4) THE SPOUSE IS ENGAGED IN ANY CONDUCT AS PART OF THE GAMBLING ENTERPRISE OR TPPPS COMPANY FOR WHICH LICENSURE COULD BE REQUIRED PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19850, 19851, 19853, 19854 OR 19912. |
| NOTE: IF ANY OF THE ABOVE ITEMS ARE SELECTED, THE SPOUSE IS REQUIRED TO SUBMIT A COMPLETE APPLICATION AS AN ENDORSED OWNER (GAMBLING BUSINESS). |
| <input type="checkbox"/> 5) THE GAMBLING BUSINESS IS THE SOLE AND SEPARATE PROPERTY OF THE APPLICANT. |
| NOTE: IF ITEM 5) IS SELECTED BUT ITEMS 2) THROUGH 4) ARE NOT SELECTED, COMPLETE SECTION 3. |

| SECTION 3: SOLE AND SEPARATE PROPERTY | | | | | | | | | | | | | | | | | | | | | | | | |
|---|-----------|--|---|--------|-----------|--|--------|-----------|--|--------|-----------|---|--------|-----------|--|--------|-----------|--|--------|-----------|--|--------|-----------|---|
| To be completed only if it has been indicated that the gambling business is the sole and separate property of the applicant under Section 2 and items 2) through 4) are not selected. Both the applicant and the spouse are required to read, understand, and initial agreement to the following items: | | | | | | | | | | | | | | | | | | | | | | | | |
| <table style="width:100%; border: none;"> <tr> <td style="width: 15%; border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="width: 15%; border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">I ACCEPT THAT THE APPLICANT BEARS THE BURDEN OF ESTABLISHING THE INTEREST IN THE GAMBLING BUSINESS IS THE SOLE AND SEPARATE PROPERTY OF THE APPLICANT AND THAT EACH AND EVERY STATEMENT IN THIS SECTION IS TRUE. THAT INCLUDED AS PART OF THIS DECLARATION IS DOCUMENTATION OF A LEGAL NATURE SUFFICIENT TO SUBSTANTIATE THE DECLARATION.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">THAT INCLUDED AS PART OF THIS DECLARATION IS DOCUMENTATION SUFFICIENT TO SUBSTANTIATE THIS DECLARATION UNDER SECTION 4. I HAVE READ THIS DOCUMENTATION AND DETERMINED THIS INFORMATION IS ACCURATE EITHER BASED ON THE ADVICE OF LEGAL COUNSEL, OR MY OWN ACCORD AFTER HAVING BEEN AFFORDED THE OPPORTUNITY TO SEEK THE ADVICE OF COUNSEL BUT WAIVED THAT OPPORTUNITY.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">THE SPOUSE WILL NOT BE INVOLVED, DIRECTLY OR INDIRECTLY, WITH ANY MANAGEMENT DECISIONS, OF ANY NATURE, REGARDING THE OPERATION OF THE GAMBLING BUSINESS.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">THE SPOUSE WILL HAVE NO DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE GAMBLING BUSINESS.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">THE SPOUSE WILL NOT BE ENGAGED IN ANY CONDUCT AS PART OF THE GAMBLING BUSINESS FOR WHICH LICENSURE COULD BE REQUIRED PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19850, 19851, 19853, 19854 OR 19912 OR COMMISSION REGULATIONS.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">IN THE EVENT OF THE SPOUSE INHERITING, RECEIVING A GIFT, OR OTHERWISE OBTAINING ANY OWNERSHIP INTEREST IN THE GAMBLING BUSINESS, THE SPOUSE WILL BE REQUIRED TO UNDERGO LICENSURE PRIOR TO RECEIVING ANY OWNERSHIP INTEREST OR REVENUES FROM THE BUSINESS.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">ANY INVOLVEMENT BY THE SPOUSE IN ANY ACTIVITY OR CONDUCT FOR WHICH A FINDING OF SUITABILITY, A PERMIT, OR A LICENSE IS, OR MAY BE, REQUIRED PURSUANT TO THE GAMBLING CONTROL ACT WITHOUT FIRST OBTAINING ANY REQUIRED FINDING OF SUITABILITY, PERMIT OR LICENSE MAY BE MAY BE USED AS GROUNDS FOR A DENIAL, OR SUBSEQUENT REVOCATION OF THE APPLICANT'S LICENSE.</td> </tr> <tr> <td style="border-bottom: 1px solid black; text-align: center;">Spouse</td> <td style="border-bottom: 1px solid black; text-align: center;">Applicant</td> <td style="padding-left: 20px;">THAT IF ANY STATEMENT IN THIS DECLARATION OF SOLE AND SEPARATE PROPERTY IS FALSE, AND THAT FACT MAY BE USED AS GROUNDS FOR A DENIAL, OR SUBSEQUENT REVOCATION OF THE APPLICANT'S LICENSE.</td> </tr> </table> | Spouse | Applicant | I ACCEPT THAT THE APPLICANT BEARS THE BURDEN OF ESTABLISHING THE INTEREST IN THE GAMBLING BUSINESS IS THE SOLE AND SEPARATE PROPERTY OF THE APPLICANT AND THAT EACH AND EVERY STATEMENT IN THIS SECTION IS TRUE. 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| Spouse | Applicant | THE SPOUSE WILL NOT BE INVOLVED, DIRECTLY OR INDIRECTLY, WITH ANY MANAGEMENT DECISIONS, OF ANY NATURE, REGARDING THE OPERATION OF THE GAMBLING BUSINESS. | | | | | | | | | | | | | | | | | | | | | | |
| Spouse | Applicant | THE SPOUSE WILL HAVE NO DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE GAMBLING BUSINESS. | | | | | | | | | | | | | | | | | | | | | | |
| Spouse | Applicant | THE SPOUSE WILL NOT BE ENGAGED IN ANY CONDUCT AS PART OF THE GAMBLING BUSINESS FOR WHICH LICENSURE COULD BE REQUIRED PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19850, 19851, 19853, 19854 OR 19912 OR COMMISSION REGULATIONS. | | | | | | | | | | | | | | | | | | | | | | |
| Spouse | Applicant | IN THE EVENT OF THE SPOUSE INHERITING, RECEIVING A GIFT, OR OTHERWISE OBTAINING ANY OWNERSHIP INTEREST IN THE GAMBLING BUSINESS, THE SPOUSE WILL BE REQUIRED TO UNDERGO LICENSURE PRIOR TO RECEIVING ANY OWNERSHIP INTEREST OR REVENUES FROM THE BUSINESS. | | | | | | | | | | | | | | | | | | | | | | |
| Spouse | Applicant | ANY INVOLVEMENT BY THE SPOUSE IN ANY ACTIVITY OR CONDUCT FOR WHICH A FINDING OF SUITABILITY, A PERMIT, OR A LICENSE IS, OR MAY BE, REQUIRED PURSUANT TO THE GAMBLING CONTROL ACT WITHOUT FIRST OBTAINING ANY REQUIRED FINDING OF SUITABILITY, PERMIT OR LICENSE MAY BE MAY BE USED AS GROUNDS FOR A DENIAL, OR SUBSEQUENT REVOCATION OF THE APPLICANT'S LICENSE. | | | | | | | | | | | | | | | | | | | | | | |
| Spouse | Applicant | THAT IF ANY STATEMENT IN THIS DECLARATION OF SOLE AND SEPARATE PROPERTY IS FALSE, AND THAT FACT MAY BE USED AS GROUNDS FOR A DENIAL, OR SUBSEQUENT REVOCATION OF THE APPLICANT'S LICENSE. | | | | | | | | | | | | | | | | | | | | | | |

SECTION 4: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT AND/OR SPOUSE, AS APPLICABLE, WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF THE APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

ONE OF THE FOLLOWING:

- IF A RESIDENT OF THE STATE OF CALIFORNIA, A REQUEST FOR LIVE SCAN SERVICE [CALIFORNIA DEPARTMENT OF JUSTICE FORM, BCII 8016 (REV. 05/12)]; OR,
- IF NOT A RESIDENT OF THE STATE OF CALIFORNIA, TWO APPLICANT FINGERPRINT CARDS, FD-258.
- ANY PRENUPTIAL, POST NUPTIAL, OR DOMESTIC PARTNERSHIP AGREEMENT WHICH CONFIRMS THE CHARACTERIZATION OF THE APPLICANT’S INTEREST IN THE GAMBLING BUSINESS AS SOLE AND SEPARATE PROPERTY AND COMPLIES WITH FAMILY CODE SECTION 1615.
- ANY DOCUMENTATION THAT REFLECTS THE APPLICANT’S ACQUISITION OF THE INTEREST IN THE GAMBLING BUSINESS AS SOLE AND SEPARATE PROPERTY THROUGH GIFT OR INHERITANCE.
- ANY DOCUMENTATION THAT DEMONSTRABLY SHOWS THE ACQUISITION OF THE GAMBLING BUSINESS INTEREST TRACED TO SOLE AND SEPARATE PROPERTY OR FUNDS OF APPLICANT.
- ANY COURT ORDERS CONCERNING THE OWNERSHIP CHARACTERIZATION OF THE GAMBLING BUSINESS INTEREST AS SOLE AND SEPARATE PROPERTY.

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

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

| | | |
|------------------|-----------------------|-------------------|
| APPLICANT’S NAME | APPLICANT’S SIGNATURE | DATE (MM/DD/YYYY) |
| SPOUSE’S NAME | SPOUSE’S SIGNATURE | DATE (MM/DD/YYYY) |

Authorization to Release Information

CGCC – 0XX (Rev. XX/19)
Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

1. I have applied for a license, registration, permit, or other approval under the California Gambling Control Act (Act), California Business and Professions Code sections 19800 et seq. I understand that under the Act, the Department of Justice, Bureau of Gambling Control (Bureau) is responsible for investigating applicants for licenses, registrations, permits and approvals and reporting its findings to the California Gambling Control Commission (Commission), which acts on these applications. I understand that I am seeking the granting of a privilege and acknowledge that the burden of proving my qualifications for a favorable determination is at all times on me, the applicant. Under the circumstances specified in Business and Professions Code section 19828, "any communication or publication from, or concerning, an applicant, licensee, or registrant, in oral, written, or any other form, is absolutely privileged and so will not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action."
2. I understand that by signing this authorization I am permitting the release of all records pertaining to me, including but not limited to financial (such as records from financial institutions, tax and credit agencies), employment, military, court, criminal, and other licensing records. Records from financial institutions include bank statements and account information such as number of accounts and account balances. Records from tax agencies include, for example, copies of federal tax returns.
3. I hereby authorize and request all persons, entities, and government agencies to which this Authorization is presented, having information contained in, relating to, or concerning any of the records enumerated in paragraph 2, above, to furnish such information to a representative of the Bureau.
4. I hereby authorize and request all persons, entities, and government agencies to which this Authorization is presented, having documents contained in, relating to, or concerning any of the records enumerated in paragraph 2, above, to permit a representative of the Bureau to review any copy such documents.
5. I hereby authorize a reproduction of this request to be treated for all intents and purposes as valid as the original.

Executed at _____ on the _____ day of _____, 20____.
 City, State

This release form will be valid for 24 months from the date of the execution.

 Applicant's Signature

 Print Name

| | | |
|---|---------------|-----------------------|
| Signature of Bureau Representative presenting this request. | | |
| _____ Signature | _____ Date | _____ Printed Name |



REQUEST FOR LIVE SCAN SERVICE

Applicant Submission

ORI (Code assigned by DOJ) _____ Authorized Applicant Type _____

Type of License/Certification/Permit OR Working Title (Maximum 30 characters - if assigned by DOJ, use exact title assigned) _____

Contributing Agency Information:

Agency Authorized to Receive Criminal Record Information _____ Mail Code (five-digit code assigned by DOJ) _____

Street Address or P.O. Box _____ Contact Name (mandatory for all school submissions) _____

City _____ State _____ ZIP Code _____ Contact Telephone Number _____

Applicant Information:

Last Name _____ First Name _____ Middle Initial _____ Suffix _____

Other Name (AKA or Alias) Last _____ First _____ Suffix _____

Date of Birth _____ Sex Male Female _____ Driver's License Number _____

Height _____ Weight _____ Eye Color _____ Hair Color _____ Billing Number _____

Place of Birth (State or Country) _____ Social Security Number _____ Misc. Number _____

Home Address Street Address or P.O. Box _____ City _____ State _____ ZIP Code _____

Your Number: _____ Level of Service: DOJ FBI
OCA Number (Agency Identifying Number)

If re-submission, list original ATI number: _____ Original ATI Number _____
 (Must provide proof of rejection)

Employer (Additional response for agencies specified by statute):

Employer Name _____ Mail Code (five digit code assigned by DOJ) _____

Street Address or P.O. Box _____

City _____ State _____ ZIP Code _____ Telephone Number (optional) _____

Live Scan Transaction Completed By:

Name of Operator _____ Date _____

Transmitting Agency _____ LSID _____ ATI Number _____ Amount Collected/Billed _____

ORIGINAL - Live Scan Operator

SECOND COPY - Applicant

THIRD COPY (if needed) - Requesting Agency

CHAPTER 3: APPENDIX A

Application for Playing Book Approval

CGCC – 0XX (Rev. XX/19)
Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

COMMERCIAL/EXPRESS DELIVERIES ONLY
 BUREAU OF GAMBLING CONTROL
 ATTN: THIRD-PARTY PROVIDER UNIT
 2450 Del Paso Road, Suite 100
 Sacramento, CA 95834

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)

HARD COPY PLAYING BOOK FORM (\$75)
 COMPLETE SECTIONS 2, 3, 7 & 8

ELECTRONIC PLAYING BOOK SYSTEM (\$1200)
 COMPLETE SECTIONS 2, 3, 4, 5, 7 & 8

SECTION 2: TYPE OF APPROVAL REQUESTED

INITIAL

AMENDMENT

IN ADDITION TO THE SECTIONS IDENTIFIED ABOVE, COMPLETE SECTION 6

SECTION 3: TPPPS BUSINESS LICENSEE INFORMATION (check one box)

FULL NAME OF TPPPS BUSINESS LICENSEE (BUSINESS ENTITY OR SOLE PROPRIETOR)

LICENSE NUMBER

SECTION 4: INFORMATION TECHNOLOGY TECHNICIAN CONTACT INFORMATION

(Must be licensed pursuant to CCR §12260(j))

LAST NAME

FIRST NAME

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

(FOR AMENDMENTS ONLY)

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:

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

PRINTED PLAYING BOOK FORM

CERTIFICATION FROM AN INDEPENDENT GAMING TESTING LABORATORY

CHART OF SYSTEM ACCESS

WRITTEN SUMMARY OF THE DESIGN AND OPERATION OF THE SYSTEM

AT LEAST ONE OF THE FOLLOWING:

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.*
- *By an authorized trustor or trustee, if requestor/licensee is a trust.*

Application for Contract Approval to Provide Proposition Player Services

CGCC – 0XX (Rev. XX/19)
Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
BUREAU OF GAMBLING CONTROL
P.O. Box 168024
Sacramento, CA 95816-8024
(916) 830-1700

COMMERCIAL/EXPRESS DELIVERIES ONLY
BUREAU OF GAMBLING CONTROL
ATTN: THIRD-PARTY PROVIDER UNIT
2450 Del Paso Road, Suite 100
Sacramento, CA 95834

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

If a question does not apply to you, indicate with “N/A.” Failure to provide the requested information may result in the abandonment or denial of this application. Any corrections, changes, or other alterations must be initialed and dated by the Signatory.

The TPPPS Business Licensee is responsible for all costs incurred by the Bureau while conducting the review. At the conclusion of the review, the signatory will receive an itemized accounting of all costs. Deposits received in excess of the actual costs incurred will be refunded to the applicant. A notice of contract approval will not be issued until all fees have been received.

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

| SECTION 1: APPLICATION | | |
|---|--|------------------------------------|
| A) INDICATE THE TYPE OF CONTRACT APPROVAL REQUEST (CHECK APPROPRIATE BOX) | | |
| <input type="checkbox"/> NEW | <input type="checkbox"/> EXPEDITED NEW | <input type="checkbox"/> AMENDMENT |
| B) TPPPS BUSINESS LICENSEE INFORMATION | | |
| BUSINESS ENTITY NAME (IF APPLICABLE) | | |
| FULL NAME(IF APPLICABLE): LAST | FIRST | MIDDLE |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | |
| TELEPHONE NUMBER | FAX NUMBER | EMAIL ADDRESS |

| SECTION 2: GAMBLING ESTABLISHMENT INFORMATION | | |
|---|------------|---------------|
| BUSINESS ENTITY NAME | | |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | |
| TELEPHONE NUMBER | FAX NUMBER | EMAIL ADDRESS |

SECTION 3: 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.

FOR A NEW CONTRACT OR THE EXTENSION OF AN EXISTING CONTRACT:

- A COMPLETED APPOINTMENT OF DESIGNATED AGENT
- EXECUTED COPY OF THE CONTRACT
- NON-REFUNDABLE \$1,000 APPLICATION FEE
- DEPOSIT AS REQUIRED BY TITLE 11, CCR SECTION 2037

FOR AN EXPEDITED REVIEW OF NEW CONTRACT (IN ADDITION TO THOSE ITEMS REQUIRED OF NEW CONTRACTS):

- EXPEDITED REVIEW PROCESSING FEE OF \$150

FOR AN AMENDED CONTRACT:

- A COMPLETED APPOINTMENT OF DESIGNATED AGENT
- EXECUTED COPY OF THE AMENDED CONTRACT
- NON-REFUNDABLE \$500 AMENDMENT APPLICATION FEE
- DEPOSIT AS REQUIRED BY TITLE 11, CCR SECTION 2037

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

SECTION 4: 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 licensee is a corporation, LLC, or joint venture.*
 - *By an authorized partner, if licensee is a general partnership or limited partnership.*
 - *By the owner, if licensee is a sole proprietor.*
 - *By an authorized trustor or trustee, if licensee is a trust.*

CHAPTER 7: APPENDIX A

Request for Statewide Involuntary Exclusion of an Individual

CGCC – 12362 (New XX/19)

Page X of X

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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) 830-1700

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 additional space is needed, please note response on a separate sheet of paper and attach to the form. **NOTE: THIS IS NOT A VOLUNTARY SELF-RESTRICTION OR SELF-EXCLUSION FORM.**

| SECTION 1: PERSONAL INFORMATION | | |
|---|-----------------|---------------|
| FULL NAME: LAST | FIRST | MIDDLE |
| ALIAS(ES), NICKNAME, MAIDEN NAME, OR OTHER NAME CHANGE | | |
| CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | BUSINESS NUMBER | EMAIL ADDRESS |
| GAMES MOST OFTEN PLAYED | | |

| SECTION 2: PHOTO AND VISUAL DESCRIPTION | | | |
|---|--|----------------|------------------------------|
| HEIGHT | WEIGHT | HAIR COLOR | EYE COLOR |
| DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | | STATE | EXPIRATION DATE (MM/DD/YYYY) |
| AFFIX A RECENT PASSPORT QUALITY PHOTOGRAPH HERE SHOWING HEAD AND SHOULDERS OF PERSON TO BE EXCLUDED | DATE OF BIRTH | RACE/ETHNICITY | GENDER |
| | DISTINGUISHING MARKS (SUCH AS VISIBLE SCARS OR TATTOOS – DESCRIBE MARK & LOCATION) | | |
| TYPE OF VEHICLE NORMALLY DRIVEN | | LICENSE PLATE | |

SECTION 3: AFFIRMATION BY CARDROOM BUSINESS LICENSEE, KEY EMPLOYEE LICENSEE, OR BY GOVERNMENT EMPLOYEE

NOTE: This form is not for voluntary self-restriction or self-exclusions. This form is not to be completed by patrons.

THE FACTS AND REASONS WHY THE INDIVIDUAL SHOULD BE EXCLUDED ARE AS FOLLOWS:

SECTION 4: DECLARATION

The information provided above is true and accurate to the best of my knowledge and the individual described above should be excluded because he or she poses a threat to the public, gambling enterprise employees, or the gambling industry.

SIGNATURE

DATE (MM/DD/YYYY)

PRINTED NAME

TITLE

GAMBLING ESTABLISHMENT, FACILITY NAME, OR GOVERNMENTAL ENTITY

Notice of Relocation

CGCC – 050 (New XX/19)

Page X of X

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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) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is for notifying the Bureau of Gambling Control (Bureau) of a change in the physical location of a gambling establishment. This form must be submitted at least 90 days prior to the commencement of gambling operations at the new location of the gambling establishment. Failure to do so may result in disciplinary action.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| SECTION 1: INFORMATION | |
|---|--|
| NAME OF CARDROOM BUSINESS LICENSEE | LICENSE NUMBER |
| NAME OF GAMBLING ESTABLISHMENT | |
| CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE) | |
| CURRENT PRIMARY TELEPHONE NUMBER | CURRENT FAX NUMBER |
| NEW RESIDENCE (STREET, CITY, STATE, ZIP CODE) | |
| NEW PRIMARY TELEPHONE NUMBER | NEW FAX NUMBER |
| LOCAL JURISDICTION | DATE OF COMMENCEMENT OF OPERATIONS IN NEW LOCATION |
| THE NEW ADDRESS OF THE GAMBLING ESTABLISHMENT: | |
| <input type="checkbox"/> IS NOT WITHIN 1000 FEET OF THE BOUNDARY LINE OF THE LOCAL JURISDICTION (COMPLETE SECTIONS 2 AND 3) | |
| <input type="checkbox"/> IS WITHIN 1000 FEET OF THE BOUNDARY LINE OF THE LOCAL JURISDICTION (COMPLETE SECTIONS 2, 3, AND 4) | |

| SECTION 2: REQUIRED DOCUMENTATION |
|---|
| <p>A. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU WITH THIS FORM:</p> <p><input type="checkbox"/> A DRAFT FLOOR PLAN OF THE PROPOSED GAMBLING ESTABLISHMENT DEPICTING AT A MINIMUM, THE LOCATION OF THE MAIN CAGE, THE COUNT ROOM, THE SURVEILLANCE ROOM, AND THE GAMING AREA(S).</p> <p>B. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU 30 DAYS PRIOR THE BUREAU’S SITE VISIT:</p> <p><input type="checkbox"/> THE FULLY EXECUTED LEASE AGREEMENT OR EVIDENCE OF THE GAMBLING BUSINESS LICENSEE’S OWNERSHIP OF THE BUILDING.</p> <p><input type="checkbox"/> A COPY OF THE GAMBLING BUSINESS LICENSEE’S FIRE SAFETY AND EVACUATION PLAN FOR THE NEW LOCATION, IN COMPLIANCE WITH CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTION 12370.</p> <p><input type="checkbox"/> A COPY OF THE GAMBLING BUSINESS LICENSEE’S SECURITY AND SURVEILLANCE PLAN FOR THE NEW LOCATION, IN COMPLIANCE WITH CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTION 12372.</p> <p>C. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU WITH THE INFORMATION IN ITEM B, IF AVAILABLE, OR UPON AVAILABILITY AND PRIOR TO THE COMMENCEMENT OF GAMBLING OPERATIONS:</p> <p><input type="checkbox"/> ALL REQUIRED APPROVALS, LICENSES, AND PERMITS BY ANY APPLICABLE LOCAL JURISDICTIONAL ENTITY (E.G. LOCAL BUSINESS LICENSE, CONDITIONAL USE PERMITS, LOCAL GAMING LICENSES, OCCUPANCY PERMITS, ZONING VARIANCES, ETC.).</p> <p>D. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU PRIOR TO THE COMMENCEMENT OF THE RELATED ACTIVITY:</p> <p><input type="checkbox"/> ANY REQUIRED APPROVALS, LICENSES, AND PERMITS BY ANY APPLICABLE STATE OR FEDERAL AGENCY (E.G., LIQUOR LICENSES, CHECK CASHING PERMITS, ETC.).</p> |

SECTION 3: NEIGHBORING JURISDICTION DOCUMENTATION

- I HAVE ATTACHED DOCUMENTATION FROM THE NEIGHBORING JURISDICTION PURSUANT TO SECTION 12364(B)(2)(A).
- THE APPROPRIATE INDIVIDUAL HAS SIGNED BELOW CONFIRMING NO OBJECTIONS TO THE PROPOSED LOCATION PURSUANT TO SECTION 12364(B)(2)(A).
- A NOTICE HAS BEEN PROVIDED TO THE NEIGHBORING JURISDICTION PURSUANT TO SECTION 12364(B)(2)(B). A COPY OF THE NOTICE AND PROOF OF RECEIPT TO THE NEIGHBORING JURISDICTION IS ATTACHED TO THIS APPLICATION.
- THE RELOCATION IS EXEMPT PURSUANT TO SECTION 12364(B)(2)(C).

| | | | |
|--------------|-----------|----------|-------------------|
| PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
|--------------|-----------|----------|-------------------|

IF THE NEW LOCATION IS WITHIN 1000 FEET OF MULTIPLE BOUNDARY LINES, ADDITIONAL COPIES OF THIS PAGE MAY BE ATTACHED FOR EACH ADDITIONAL NEIGHBORING JURISDICTION.

SECTION 4: ADDITIONAL REQUIRED ITEMS

THE FOLLOWING ITEMS **MUST** BE SUBMITTED, AS APPLICABLE, WITH THIS COMPLETED FORM. PROVIDE COPIES OF DOCUMENTS UNLESS OTHERWISE STATED. ONLY DOCUMENTS THAT ARE DATED AND SIGNED BY THE APPLICANT AND/OR SPOUSE, AS APPLICABLE, WILL BE ACCEPTED. FAILURE TO PROVIDE REQUIRED ITEMS MAY RESULT IN DENIAL OF THE APPLICATION. PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTION 19868, SUBDIVISION (A), THE APPLICATION PACKAGE WILL NOT BE DEEMED COMPLETE UNTIL ALL REQUIRED FORMS, DOCUMENTATION, AND FEES HAVE BEEN RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- ANY DOCUMENTS REQUIRED BY SECTION 2
- ANY DOCUMENTS REQUIRED BY SECTION 3
- PRIOR TO CONDUCTING ITS SITE VISIT PURSUANT TO SECTION 12364(D), THE BUREAU WILL REQUEST PAYMENT OF A DEPOSIT OF \$600 AS PROVIDED IN TITLE 11, CCR, SECTION 2037(A)(1)(J).

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

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

| | | | |
|--------------|-----------|----------|-------------------|
| PRINTED NAME | SIGNATURE | CAPACITY | DATE (MM/DD/YYYY) |
|--------------|-----------|----------|-------------------|

- This form must be signed by the appropriate person identified below:*
- By an authorized officer, if licensee is a corporation, LLC, or joint venture.
 - By an authorized partner, if licensee is a general partnership or limited partnership.
 - By the owner, if licensee is a sole proprietor.
 - By an authorized trustor or trustee, if licensee is a trust.

Cardroom Business License: Annual Fee Calculation

CGCC – 0XX (New XX/19)
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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) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

This form is for determining the amount of annual fees paid to the Bureau of Gambling Control. The fee schedules are based on the gross revenues of the owner licensee and the number of authorized tables at the close of the gambling enterprise’s previous fiscal year.

All responses must be truthful and complete. All responses and supplemental documentation are subject to verification and will be used to determine suitability under the Gambling Control Act and California Gambling Control Commission regulations. Any misrepresentation or failure to disclose required information or documentation may constitute cause for denial of the application or discipline of the licensee.

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| SECTION 1: GAMBLING ESTABLISHMENT INFORMATION | | | |
|---|---------------|------------|----------------|
| ENTITY NAME | | | LICENSE NUMBER |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | | |
| PRIMARY TELEPHONE NUMBER | EMAIL ADDRESS | FAX NUMBER | |

| SECTION 2: GAMBLING ACTIVITIES/REVENUE | |
|--|--|
| List the games offered and the gross revenue attributed to each game for the cardroom’s prior fiscal year. | |
| FISCAL YEAR REPORTING: | _____ / _____ - _____ (mm) (yy) (mm) (yy) |
| A. POKER STYLE GAMES | REVENUE |
| 1) | \$ |
| 2) | \$ |
| 3) | \$ |
| 4) | \$ |
| B. CALIFORNIA GAMES | REVENUE |
| 1) | \$ |
| 2) | \$ |
| 3) | \$ |
| 4) | \$ |

Gambling Establishment: Annual Fee Calculation

| | |
|---|----------------------------|
| C. OTHER GAMES | REVENUE |
| 1) | \$ |
| 2) | \$ |
| 3) | \$ |
| 4) | \$ |
| D. TOURNAMENT TYPES | REVENUE (ENTRY FEE) |
| 1) POKER STYLE TOURNAMENTS | \$ |
| 2) CALIFORNIA GAME TOURNAMENTS | \$ |
| E. TOTAL ANNUAL INTEREST RECEIVED FROM THE ISSUANCE OF CREDIT: | \$ |
| TOTAL REVENUES LISTED ABOVE (A+B+C+D+E) | \$ |

SECTION 3: ANNUAL FEE SCHEDULES

Check the appropriate box based on the Total Revenues indicated in Section 1 and follow the instructions to determine the appropriate fee per authorized table.

ANNUAL GROSS REVENUES ARE LESS THAN \$200,000. REFER TO TABLE 1 TO DETERMINE THE APPROPRIATE FEE PER AUTHORIZED TABLE.

ANNUAL GROSS REVENUES ARE \$200,000 OR MORE. TO DETERMINE THE APPROPRIATE FEE PER AUTHORIZED TABLE:

1. REFER TO THE CARDROOM'S NUMBER OF AUTHORIZED TABLES RANGE IN TABLE 1 AND THE CORRESPONDING FEE
2. REFER TO THE CARDROOM'S GROSS REVENUES RANGE IN TABLE 2 AND THE CORRESPONDING FEE.
3. THE FEE PER TABLE WILL BE THE GREATER OF THE TWO AMOUNTS.

TABLE 1

| NUMBER OF AUTHORIZED TABLES | 1-5 | 6-8 | 9-14 | 15-25 | 26-70 | 71 OR MORE |
|-----------------------------|-------|-------|--------|--------|--------|------------|
| FEE PER TABLE | \$300 | \$550 | \$1300 | \$2700 | \$4000 | \$4700 |

¹ BASED ON THE NUMBER OF AUTHORIZED TABLES AT THE CLOSE OF THE LICENSEE'S PRECEDING FISCAL YEAR.

TABLE 2

| GROSS REVENUES | \$200,000 - \$499,999 | \$500,000 - \$1,999,999 | \$2,000,000 - \$9,999,999 | \$10,000,000 - \$29,999,999 | \$30,000,000 OR MORE |
|----------------|-----------------------|-------------------------|---------------------------|-----------------------------|----------------------|
| FEE PER TABLE | \$550 | \$1300 | \$2700 | \$4000 | \$4700 |

ANNUAL FEE CALCULATION

| | |
|---|-----------|
| FEE PER TABLE: | \$ |
| MULTIPLY BY THE CARDROOM'S NUMBER OF AUTHORIZED TABLES: | X |
| TOTAL ANNUAL FEE TO BE SUBMITTED | \$ |

SECTION 4: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

PRINTED NAME _____ SIGNATURE _____ City and State _____ 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.
- By an authorized trustor or trustee, if requestor/licensee is a trust.

Self-Exclusion Request

CGCC – 0XX (New XX/19)

Page X of X



State of California
 California Gambling Control Commission
 2399 Gateway Oaks Drive, Suite 220
 Sacramento, CA 95833-4231
 (916) 263-0700; Fax: (916) 263-0452
www.cgcc.ca.gov

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

RESTRICTION FOR _____ (Name of cardroom or participating gambling facility)

Disclaimer: This request only pertains to the above gambling establishment and does not apply statewide.

| SECTION 1: PERSONAL INFORMATION | | |
|---|-----------------|---------------|
| FULL NAME: LAST | FIRST | MIDDLE |
| ALIAS(ES), NICKNAME, MAIDEN NAME, OR OTHER NAME CHANGE | | |
| RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | BUSINESS NUMBER | EMAIL ADDRESS |
| GAMES MOST OFTEN PLAYED | | |

| SECTION 2: RESTRICTION REQUEST | |
|--|---|
| Initial Requested Term: | <input type="checkbox"/> ONE YEAR <input type="checkbox"/> LIFETIME |
| <input type="checkbox"/> Restrict me from any MARKETING or PROMOTIONAL information | |
| <input type="checkbox"/> Restrict me from this GAME or GAMING ACTIVITY _____ | |
| <input type="checkbox"/> Restrict me from any CHECK-CASHING privileges; or, limit as follows: _____ | |
| <input type="checkbox"/> Restrict me from any CREDIT ; or, limit as follows: _____ | |
| TOTAL RESTRICTION (restrict me from all of the above) | |

| SECTION 3: PHOTO AND VISUAL DESCRIPTION | | | |
|---|--|----------------|------------------------------|
| HEIGHT | WEIGHT | HAIR COLOR | EYE COLOR |
| DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER | | STATE | EXPIRATION DATE (MM/DD/YYYY) |
| AFFIX A RECENT PASSPORT QUALITY PHOTOGRAPH HERE SHOWING HEAD AND SHOULDERS OF PERSON TO BE EXCLUDED | DATE OF BIRTH | RACE/ETHNICITY | GENDER |
| | DISTINGUISHING MARKS (SUCH AS VISIBLE SCARS OR TATTOOS – DESCRIBE MARK & LOCATION) | | |
| TYPE OF VEHICLE NORMALLY DRIVEN | | LICENSE PLATE | |

I understand English or have had an interpreter read and explain this form to me in _____.

(Language)

I understand that the ultimate responsibility to limit my access to the Gambling Establishment or participating gambling facility or gaming services in the State of California remains mine alone.

I voluntarily seek to restrict myself as indicated in Section 2.

I understand that disclosure of certain information is necessary to effect my request for self-restriction. Disclosure may also occur, if needed, for the conduct of an official investigation; or, if ordered by a court of competent jurisdiction.

I will not seek to hold the cardroom business licensee or participating gambling facility liable in any way should I enter the Gambling Establishment or participating gambling facility or use any of the services or privileges therein despite this restriction request; and, I agree to indemnify the State of California, the California Gambling Control Commission, the Bureau of Gambling Control and the Office of Problem Gambling for any liability relating to this request. Specifically, I for myself, my heirs, executors, administrators, successors, and assigns, hereby release and forever discharge the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling, the cardroom business licensee, participating gambling facility, their agents, employees, officers, and Directors and those with whom they may lawfully share information regarding this restriction (collectively, the "Released Parties") from any and all claims in law or equity that I now have, or may have in the future, against all or any of the Released Parties arising out of, or by reason of, the performance or non-performance of this self-restriction request, or any matter relating thereto. I further agree, in consideration for the Released Parties' efforts to implement my restriction, to indemnify and hold harmless the Released Parties to the fullest extent permitted by law for any and all liabilities, judgments, damages, and expenses of any kind, including reasonable attorneys' fees, resulting from or in connection with the performance or non-performance of the self-restriction requested herein.

If I Choose Total Restriction

I agree that I will not attempt to enter or use any of the services or privileges of the indicated Gambling Establishment or participating gambling facility during the period checked in Section 2.

(INITIAL HERE)

I acknowledge and understand that should I attempt to enter the indicated Gambling Establishment or participating gambling facility or use the services of the cardroom business licensee or participating gambling facility during the term of restriction, once identified, I will be escorted from the Gambling Establishment or participating gambling facility.

(INITIAL HERE)

I agree that any unredeemed jackpots or prizes I may have accrued will be forfeited and remitted by the cardroom business licensee or participating gambling facility for deposit into the Gambling Addiction Program Fund for problem gambling prevention and treatment services through the State Department of Public Health, Office of Problem Gambling.

(INITIAL HERE)

This self-restriction request is irrevocable during the time period checked in Section 2

(INITIAL HERE)

SECTION 4: DECLARATION

I declare that all information submitted on or with this self-restriction form is true, correct, and complete.

PRINTED NAME SIGNATURE DATE (MM/DD/YYYY)

Form with two columns: NOTARIZATION and WITNESS BY KEY EMPLOYEE. Includes fields for date, signature, and notary public seal.

SECTION 4: DECLARATION

 (INITIAL HERE) I voluntarily seek to exclude myself as specified in Section 2 of this form.

 (INITIAL HERE) I agree that I will not attempt to enter or use any of the services or privileges of a California Gambling Establishment or participating gambling facility during the period specified in Section 2.

 (INITIAL HERE) I acknowledge and understand that should I attempt to enter any Gambling Establishment or participating gambling facility or use the services of any cardroom business licensee or participating gambling facility during the Term of Exclusion, once identified, I will be escorted from the Gambling Establishment or participating gambling facility.

 (INITIAL HERE) I agree that any unredeemed jackpots or prizes I may have accrued will be forfeited and remitted by the cardroom business licensee or participating gambling facility for deposit into the Gambling Addiction Program Fund for problem gambling prevention and treatment services through the State Department of Public Health, Office of Problem Gambling.

 (INITIAL HERE) I understand that the ultimate responsibility to limit my access to California gambling establishments or participating gambling facilities or gaming services in the State of California remains mine alone.

 (INITIAL HERE) I understand that disclosure of certain information is necessary to effect my request for self-exclusion.

 (INITIAL HERE) I understand that my information will be added to a statewide exclusion database. Disclosure may also occur, if needed, for the conduct of an official investigation; or, if ordered by a court of competent jurisdiction.

 (INITIAL HERE) I understand that this self-exclusion request is irrevocable during the time period checked. Removal from a lifetime request will require the submission of a Self-Exclusion Removal Request form CGCC-XX (New XX/19).

I will not seek to hold the cardroom business licensee or participating gambling facility liable in any way should I enter a gambling establishment or participating gambling facility or use any of the services or privileges therein despite this exclusion request; and, I agree to indemnify the State of California, the California Gambling Control Commission, the Bureau of Gambling Control, and the Office of Problem Gambling for any liability relating to this request. Specifically, I for myself, my heirs, executors, administrators, successors, and assigns, hereby release and forever discharge the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling, the cardroom business licensee or participating gambling facility, their agents, employees, officers, and Directors and those with whom they may lawfully share information regarding this exclusion (collectively, the "Released Parties") from any and all claims in law or equity that I now have, or may have in the future, against all or any of the Released Parties arising out of, or by reason of, the performance or non-performance of this self-exclusion request, or any matter relating thereto. I further agree, in consideration for the Released Parties' efforts to implement my exclusion, to indemnify and hold harmless the Released Parties to the fullest extent permitted by law for any and all liabilities, judgments, damages, and expenses of any kind, including reasonable attorneys' fees, resulting from or in connection with the performance or non-performance of the self-exclusion requested herein.

I declare that all information submitted on or with this self-restriction form is true, correct, and complete.

PRINTED NAME _____ SIGNATURE _____ DATE (MM/DD/YYYY) _____

| NOTARIZATION | OR | WITNESS BY KEY EMPLOYEE |
|--|----|--|
| Subscribed and sworn to (or affirmed) before me this _____ day of _____, 20_____, By _____, | | As a Key Employee of _____, I affirm that on _____ day of _____, 20_____, I witnessed _____ <small>(individual's name)</small> |
| <input type="checkbox"/> Personally known to me OR <input type="checkbox"/> Proved to me on the basis of satisfactory evidence to be the person who appeared before me. | | complete this form at that this person is: <input type="checkbox"/> Personally known to me OR <input type="checkbox"/> Proved to me on the basis of satisfactory evidence to be the person who appeared before me. |
| NOTARY PUBLIC SEAL: Signature of Notary Public _____ My Commission expires on: _____ | | Signature of Key Employee _____ Printed Name _____ |

Self-Exclusion Removal Request

CGCC – 0XX (New XX/19)
 Page X of X

| |
|-----------------|
| BUREAU USE ONLY |
| BGC ID# _____ |



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

PLEASE READ THE FOLLOWING INFORMATION CAREFULLY BEFORE YOU COMPLETE THIS FORM

All information must be typed or printed legibly in blue or black ink. Any questions that do not apply should be indicated with “N/A” (Not Applicable). If the space available is insufficient, attach a separate sheet of paper and precede each answer with the applicable section and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| SECTION 1: PERSONAL INFORMATION | | |
|---|-----------------|---------------|
| FULL NAME: LAST | FIRST | MIDDLE |
| ALIAS(ES), NICKNAME, MAIDEN NAME, OR OTHER NAME CHANGE | | |
| RESIDENCE (STREET, CITY, STATE, ZIP CODE) | | |
| MAILING ADDRESS (IF DIFFERENT THAN CURRENT RESIDENCE) (STREET, CITY, STATE, ZIP CODE) | | |
| PRIMARY TELEPHONE NUMBER | BUSINESS NUMBER | EMAIL ADDRESS |

| SECTION 2: RESTRICTION REQUEST |
|------------------------------------|
| Effective date of exclusion: _____ |

| SECTION 3: DECLARATION | |
|---|--|
| _____ (INITIAL HERE) | I voluntarily seek to remove myself from the list of self-excluded persons. |
| _____ (INITIAL HERE) | I understand that a cardroom business licensee is not required to allow me re-admittance for the purpose of gambling, at their sole discretion. |
| _____ (INITIAL HERE) | I understand that my removal from the list of self-excluded persons will not be effective until I have received an acknowledgement from the Department of Justice, Bureau of Gambling Control. |
| I agree to indemnify the State of California, the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling and any gambling enterprise for any liability relating to this request. | |
| Specifically, I for myself, my heirs, executors, administrators, successors, and assigns, hereby release and forever discharge the California Gambling Control Commission, the Bureau of Gambling Control, the Office of Problem Gambling, the cardroom business licensee or participating gambling facility, their agents, employees, officers, and Directors from any and all claims in law or equity that I now have, or may have in the future, against all or any of the Released Parties arising out of, or by reason of, the actions (or gambling losses) that may occur upon my return to a gambling establishment. | |
| I declare that all information submitted on or with this self-restriction form is true, correct, and complete. | |
| PRINTED NAME | SIGNATURE |
| | DATE (MM/DD/YYYY) |

Cardroom Business License: Gaming Tables

CGCC – 0XX (New XX/19)
 Page X of X



MAIL COMPLETED FORM AND DEPOSIT TO:
 BUREAU OF GAMBLING CONTROL
 P.O. Box 168024
 Sacramento, CA 95816-8024
 (916) 830-1700

| |
|--|
| California Gambling Control Commission |
| BUREAU USE ONLY |
| BGC ID# _____ |

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 and question number. Any corrections, changes, or other alterations must be initialed and dated by the applicant.

| SECTION 1: CARDROOM BUSINESS LICENSEE INFORMATION | | | |
|---|---------------|------------|----------------|
| ENTITY NAME | | | LICENSE NUMBER |
| MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE) | | | |
| PRIMARY TELEPHONE NUMBER | EMAIL ADDRESS | FAX NUMBER | |

| SECTION 2: REQUEST | | |
|--|---|---|
| Select one and submit any additional required items. | | |
| <input type="checkbox"/> New Permanent Tables Application fee pursuant to Section 12166 Review Deposit* | <input type="checkbox"/> Temporary Tables Application fee pursuant to Section 12164 Temporary table fee pursuant to Section 12164 Review Deposit* | <input type="checkbox"/> Reduce Permanent Tables |
| *Deposit amount identified in the California Code of Regulations (Cal. Code Regs., title 11, § 2037). | | |

| SECTION 3: TABLE INFORMATION | |
|--|--|
| Current number of Authorized Permanent Tables: | |
| Requested Change or Temporary Tables | |
| Total Number of Tables Proposed | |

| SECTION 4: REQUEST FOR TEMPORARY TABLES |
|--|
| To be completed only if the request is for temporary tables. |
| PROPOSED DATE(S) AND TIME(S) OF THE EVENT (IF THE NUMBER OF TABLES VARY ON MULTIPLE DATES, ATTACH A LIST BY DATE) |
| NAME OF THE EVENT(S) |
| LOCATION OF THE EVENT(S) WITHIN THE GAMBLING ESTABLISHMENT |
| APPROVED GAMES OR GAMING ACTIVITIES TO BE OFFERED DURING THE EVENT (INDICATE IF ANY ARE STILL PENDING BUREAU APPROVAL) |

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that I have personally completed this form and know that the contents thereof, and that information contained herein, including all corrections, changes and other alterations, are true, accurate, and complete, and that this declaration is executed by me at _____.

| PRINTED NAME | SIGNATURE | City and State | 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.*
- *By an authorized trustor or trustee, if requestor/licensee is a trust.*