

1 **CALIFORNIA CODE OF REGULATIONS**
2 **TITLE 4. BUSINESS REGULATIONS.**
3

4 DIVISION 18. CALIFORNIA GAMBLING CONTROL COMMISSION.
5 (AMENDED REGULATIONS EFFECTIVE JANUARY 1, 2021)
6

7 **CHAPTER 1. GENERAL PROVISIONS.**
8

9 **ARTICLE 1. DEFINITIONS AND GENERAL PROCEDURES.**
10

11 **§ 12002. General Definitions.**

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

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

20 (b) "Advisor of the Commission" means all employees of the Commission except those designated as
21 an advocate of the Commission.

22 (c) "Advocate of the Commission" means any employee so designated pursuant to subsection (a) of
23 Section 12056.

24 (d) "Authorized player" means any natural person associated with a particular TPPPS business
25 license, including a subcontractor or independent contractor, whose duties include the play in a controlled
26 game on behalf of the TPPPS business license. All TPPPS supervisor licensees must be authorized
27 players. A TPPPS worker licensee may be an authorized player. A TPPPS owner type licensee, if a
28 natural person, may be an authorized player.

29 (e) "BCIA" means the Bureau of Criminal Information and Analysis in the California Department of
30 Justice.

31 (f) "Bureau" means the Bureau of Gambling Control in the California Department of Justice, acting
32 as "the department" as provided in section 19810 of the Business and Professions Code.

33 (g) "Bureau report" means a final determination, as defined in Business and Professions Code section
34 19869 as "final action by the department," by the Chief of the Bureau regarding his or her
35 recommendation to the Commission on any application.

1 (h) “California game” means a controlled game that features a player-dealer position, as described in
2 Penal Code section 330.11.

3 (i) “Chief of the Bureau” or “Chief” means the Chief as provided in Business and Professions Code
4 section 19805, subdivision (d), or his or her designee.

5 (j) “Cardroom business license” means a license issued to a gambling enterprise as defined in
6 Business and Professions Code section 19805, subdivision (m), or owner licensee as defined in Business
7 and Professions Code section 19805, subdivision (ad), and is the license certificate held pursuant to
8 Business and Professions Code section 19851, as applicable.

9 (k) “Cardroom employee type license” means a key employee license or a Commission work permit.

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

13 (m) “Cardroom category license” means a cardroom owner type license or a cardroom employee type
14 license.

15 (n) “Cardroom owner type license” means all cardroom business licenses and all cardroom endorsee
16 licenses, and has the same meaning as “gambling license” and “state gambling license” in Business and
17 Professions Code section 19805, subdivision (p).

18 (o) “Commission” means the California Gambling Control Commission.

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

25 (q) “Deadly weapon” means any weapon, the possession or concealed carrying of which is prohibited
26 by Penal Code section 16430.

27 (r) “Dealer's bank” means any and all monies a dealer has on deposit with the cardroom business
28 licensee or is assigned from the cage bank for chip trays.

29 (s) “Designated agent” means a person appointed by an applicant, licensee, or holder of a work permit
30 to serve as their representative.

31 (t) “Drop” means any and all player collection fees received from patrons or TPPPS business
32 licensees by a cardroom business licensee to play in controlled games, not including tournament fees,
33 jackpot collections, or payments under a TPPPS contract.

1 (u) “Employee category license” means a cardroom employee type license or a TPPPS employee type
2 license.

3 (v) “Employee of the Commission” means the staff employed by the Commission including the
4 Executive Director and all staff under the direction of the Executive Director.

5 (w) “Executive Director” means the executive officer of the Commission, as provided in Business and
6 Professions Code section 19816 or his or her designee. If the Executive Director position is vacant, the
7 “Executive Director” means the officer or employee who is designated by the Commission.

8 (x) “Fiscal year” means the annual period used by a licensee for financial reporting purposes.

9 (y) “Gambling Control Act” or “Act” or “GCA” means Chapter 5 (commencing with section 19800)
10 of Division 8 of the Business and Professions Code.

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

13 (aa) “GCA hearing” means an evidentiary hearing referred to as “the meeting” pursuant to Business
14 and Professions Code sections 19870 and 19871.

15 (ab) “Initial license” means the same as provided in Business and Professions Code section 19805;
16 and, for the purposes of this division also includes:

17 (1) The following licenses:

18 (A) Initial cardroom business license;

19 (B) Initial cardroom endorsee license;

20 (C) Initial key employee license;

21 (D) Initial Commission work permit;

22 (E) Initial TPPPS business license;

23 (F) Initial TPPPS endorsee license;

24 (G) Initial TPPPS supervisor license; or,

25 (H) Initial TPPPS worker license.

26 (2) The following license types:

27 (A) Initial cardroom owner type license;

28 (B) Initial cardroom employee type license;

29 (C) Initial TPPPS owner type license; or,

30 (D) Initial TPPPS employee type license.

31 (3) The following license categories:

32 (A) Initial cardroom category license;

33 (B) Initial TPPPS category license;

34 (C) Initial owner category license; or,

(D) Initial employee category license.

(ac) “Interim license” means a license issued by the Commission for some interim period which includes:

(1) An interim renewal license issued pursuant to Section 12035; and,

(2) An interim owner category license issued pursuant to Article 4 of Chapter 2.

(ad) “Interim renewal license” means an interim license issued by the Commission to an applicant for renewal of a license, work permit, or other approval involving a finding of suitability when the applicant’s application is pending consideration at an evidentiary hearing or the licensee or holder of a work permit has a pending accusation.

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

(af) “Key employee license” means the same as provided in Business and Professions Code sections 19805, subdivision (y).

(ag) “Licensee” means any person who is licensed, or endorsed on a license, by the Commission pursuant to the Act or any regulation adopted pursuant to the Act.

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

(ai) “Owner category license” means a cardroom owner type license or TPPPS owner type license.

(aj) “Player’s bank” means any and all monies a patron or a TPPPS business license has on deposit with the cardroom business licensee.

(ak) “Registrant” means a person having a valid registration issued by the Commission.

(al) “Renewal license” means the same as provided in Business and Professions Code section 19805; and, for the purposes of this division also includes:

(1) The following licenses:

(A) Renewal cardroom business license;

(B) Renewal cardroom endorsee license;

(C) Renewal key employee license;

(D) Renewal Commission work permit;

(E) Renewal TPPPS business license;

(F) Renewal TPPPS endorsee license;

(G) Renewal TPPPS supervisor license; or,

(H) Renewal TPPPS worker license.

(2) The following license types:

- 1 (A) Renewal cardroom owner type license;
- 2 (B) Renewal cardroom employee type license;
- 3 (C) Renewal TPPPS owner type license; or,
- 4 (D) Renewal TPPPS employee type license.

5 (3) The following license categories:

- 6 (A) Renewal cardroom category license;
- 7 (B) Renewal TPPPS category license;
- 8 (C) Renewal owner category license; or,
- 9 (D) Renewal employee category license.

10 (am) “Surrender” means to voluntarily give up all legal rights and interests in a license, permit,
11 registration, finding of suitability, or approval.

12 (an) “Temporary license” means a preliminary license or Commission work permit issued to an
13 applicant prior to action on an initial license application, with appropriate conditions, limitations or
14 restrictions determined on a case-by-case basis and, for the purposes of this division also includes:

15 (1) The following licenses:

- 16 (A) Temporary cardroom business license;
- 17 (B) Temporary cardroom endorsee license;
- 18 (C) Temporary key employee license;
- 19 (D) Temporary Commission work permit;
- 20 (E) Temporary TPPPS business license;
- 21 (F) Temporary TPPPS endorsee license;
- 22 (G) Temporary TPPPS supervisor license; or,
- 23 (H) Temporary TPPPS worker license.

24 (2) The following license types:

- 25 (A) Temporary cardroom owner type license;
- 26 (B) Temporary cardroom employee type license;
- 27 (C) Temporary TPPPS owner type license; or,
- 28 (D) Temporary TPPPS employee type license.

29 (3) The following license categories:

- 30 (A) Temporary cardroom category license;
- 31 (B) Temporary TPPPS category license;
- 32 (C) Temporary owner category license; or,
- 33 (D) Temporary employee category license.

1 (ao) “Third-party proposition player services” or “TPPPS” means services provided to a cardroom
2 business licensee under any written agreement between a cardroom business licensee and a business
3 organization that engages the services of employees, independent contractors, or both, and includes the
4 play as a participant in any California game. This also includes the services of any supervisors or other
5 employees to facilitate the provision of services

6 (ap) “TPPPS business license” means a license issued to a sole proprietor, corporation, partnership,
7 limited liability company, or other business entity for the purpose of providing third-party proposition
8 player services in a gambling establishment.

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

13 (ar) “TPPPS employee type license” means a TPPPS supervisor license, or a TPPPS worker license.

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

15 (1) Any person specified in Business and Professions Code section 19852, subdivisions (a) through
16 (g) in relation to a TPPPS business licensee;

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

19 (3) Any employee, agent, guardian, personal representative, lender, or holder of indebtedness of the
20 owner who, in the judgment of the commission, has the power to exercise a significant influence over the
21 TPPPS owner or third-party proposition player services, and;

22 (4) Any TPPPS funding source.

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

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

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

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

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

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

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

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

11 (au) “TPPPS category license” means a TPPPS owner type license and TPPPS employee type license.

12 (av) “TPPPS owner type license” means a TPPPS business license and a TPPPS endorsee license.”

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

20 (ax) “TPPPS worker license” means a license issued to any natural person employed or hired by a
21 TPPPS business licensee, including a subcontractor or independent contractor, whose duties include being
22 at a gambling establishment, but who does not have any supervisory responsibilities identified in a job
23 duty statement or otherwise empowered to make discretionary decisions that regulate TPPPS operations,
24 including, without limitation, the authority to, on behalf of the TPPPS business licensee, to authorize or
25 approve the distribution of currency, chips, or other wagering instruments to players engaged in the
26 provision of third-party proposition player services in a gambling establishment.

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

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

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

33 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19853 and 19854, Business and Professions
34 Code. Reference: Sections 19800, 19805, 19811, 19816, 19853, and 19984, Business and Professions Code.

§ 12003. General Requirements.

...

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

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

...

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

§ 12004. Notification of Contact Information Change.

A licensee or holder of a Commission work permit must 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-CH1-01 (New 05/20), 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) A person cannot hire or finance, including but not limited to providing loans, advances, or any other thing of value, the hiring of employees or independent contractors, or both, whose job duties include the play as a participant in any California game without an approved TPPPS contract.

(b) A person cannot play as a participant in a California game as an employee or independent contractor except as authorized in an approved TPPPS contract.

(c) A person cannot play as a participant in a California game pursuant to any oral or implied agreement with a cardroom business licensee

(d) 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 be made by first class mail, registered mail, or certified mail, addressed to the residence address, address of record, or mailing address of the applicant, licensee, holder of a work permit, or designated agent, as last reported to the Commission.

(b) Notwithstanding subsection (a), notice and other written communication may be provided exclusively via email, to the email address of the applicant, licensee, or designated agent as last reported to the Commission where they provide the Commission written authorization including, for instance in a completed and returned Notice of Defense, CGCC-CH1-03 (New 05/20) received under subparagraph (E) of paragraph (2) of subsection (c) of Section 12052 or at an earlier point from the Commission staff.

(c) Service is effective upon mailing or transmission of the notice or communication.

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

§ 12014. Subpoenas.

(a) The issuance and enforcement of a subpoena or subpoena duces tecum in any adjudicative proceeding held pursuant to the Act for which a notice of hearing has been issued will be in accordance with Article 11 (commencing with section 11450.05) and Article 12 (commencing with section 11455.10), respectively, of Chapter 4.5 of Part 1 of Division 3 of Title 2 of the Government Code. The issuance of a subpoena or subpoena duces tecum may be on the form entitled "Subpoena," CGCC-CH1-02 (New 05/20), which is attached in Appendix A to this chapter, or in a manner that otherwise complies with Article 11 of Chapter 4.5 of Part 1 of Division 3 of Title 2 of the Government Code. All subpoenas and subpoenas duces tecum must be served at least 30 days prior to the date specified for commencement of the hearing in the notice of hearing, or the date specified in the subpoena for the appearance of a witness or the production of records.

(b) Any motion made pursuant to subdivision (a) of section 11450.30 of the Government Code must be filed with the presiding officer no later than 15 days prior to the date specified for appearance or for the production of records. The party bringing the motion must serve copies of the motion on all parties and persons who are required by law to receive notice of the subpoena. Any response to the motion must be filed with the presiding officer and served no later than 5 days before the motion is scheduled to be

1 heard. Upon a timely motion of a party or a witness, after notice to the parties and an opportunity to be
2 heard, upon a showing of good cause, the presiding officer may order the quashing of a subpoena or
3 subpoena duces tecum entirely, may modify it, or may direct compliance with it upon other terms and
4 conditions.

5 (c) ...

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

10
11 **§ 12015. Withdrawal of Applications.**

12 ...

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

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

19
20 **§ 12017. Abandonment of Applications.**

21 ...

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

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

29
30 **§ 12035. Issuance of Interim Renewal Licenses.**

31 ...

32 (d) The issue date of the most recently granted interim renewal license will serve as the issue date for
33 any initial or renewal license, work permit, or other approval granted thereafter.

34 ...

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

38
39 **§ 12040. Mandatory and Discretionary Grounds for Denial**

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

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

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

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

(b) An application for a cardroom owner type license:

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

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

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

(c) An application for a TPPPS category license:

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

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

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

ARTICLE 2. PROCEDURES FOR HEARINGS AND MEETINGS ON APPLICATIONS.

§ 12052. Commission Meetings; General Procedures; Scope; Notice; Rescheduling of Meeting.

...

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

...

(E) That a Notice of Defense, CGCC-CH1-03 (New 05/20), which is attached in Appendix A to this chapter, will be included unless already provided by Commission staff or the Bureau.

...

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

§ 12056. Evidentiary Hearings.

...

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

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

§ 12057. Default Decisions and Uncontested Applications.

(a) When an applicant fails to submit a completed Notice of Defense, CGCC-CH1-03 (New 05/20) according to the timelines on the form, affirmatively waives his, her, or its right to an evidentiary hearing, or he, she, or it fails to appear at an evidentiary hearing, the Commission will, based on the interests of justice and judicial economy:

...

Note: Authority cited: Sections 19811, 19823, 19824, 19840 and 19841, Business and Professions Code. Reference: Sections 19816, 19823, 19824, 19824.5, 19825, 19868, 19870, 19871 and 19876, Business and Professions Code; and Section 11512, Government Code.

ARTICLE 3. DESIGNATED AGENT.

§ 12080. Requirements.

(a) An applicant, licensee, or holder of a Commission work permit may designate a natural person(s) to serve as their designated agent(s) pursuant to Title 11, Cal. Code Regs., Section 2030, using the Appointment of Designated Agent, CGCC-CH1-04 (New 05/20), which is attached in Appendix A to this chapter.

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

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

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

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

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

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

§ 12082. Standards of Representation.

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

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

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

(b) If a designated agent provides payment to the Bureau on behalf of an applicant or licensee of an owner category license for a fee required pursuant to Sections 12252 or 12368, the applicant for or licensee of an owner category license must provide reimbursement to the designated agent.

Documentation showing that the applicant for or licensee of an owner category license provided reimbursement must be provided to the Bureau within 60 calendar days of payment being submitted or prior to the applicant or licensee appearing before the Commission at any public meeting, whichever occurs first.

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

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

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

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

§ 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 cardroom owner type 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.

(d) A TPPPS owner type licensee may also perform the functions of a TPPPS supervisor licensee or TPPPS worker licensee, and a TPPPS supervisor licensee may also perform the functions of a TPPPS worker licensee.

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

(f) Upon issuance of an employee category license, the licensee may work within the scope of their license for any cardroom business licensee or TPPPS business licensee, as appropriate, pursuant to the notification requirements of Section 12110.

(g) Any individual who is not an employee of a cardroom business licensee or TPPPS business licensee but who is operating in any position that would otherwise require licensure under the Gambling Control Act or Commission regulations must apply for and be approved for an employee category license consistent with the licensing requirements of an employee. This would include, but not be limited to players, surveillance personnel, casino cage personnel, compliance personnel, dealers, floor persons, game attendants, chip runners, internal security, internal accounting, persons with the authority to make decisions on behalf of a cardroom business licensee or TPPPS business licensee, and persons providing supervision of any licensee or holder of a work permit employed by a cardroom business licensee or TPPPS business licensee, and any person authorized to provide direction to any licensee or holder of a work permit, including, for example, receiving reports or determining schedules regardless of whether their job duties include a requirement to physically enter a gambling establishment.

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

§ 12104. TPPPS Certificate.

(a) The Commission will issue a license certificate to each approved TPPPS business licensee.

(b) The Commission will endorse upon each certificate the names of all other owners affiliated with the TPPPS business licensee.

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

1 **§ 12106. Badges.**

2 (a) Each initial, renewal, temporary, or interim employee category license or TPPPS owner type
3 license issued by the Commission to a natural person will be accompanied by a badge. Additionally, any
4 cardroom owner type licensee who has duties in the gambling establishment will have a badge issued to
5 them. A badge issued by the Commission will contain all of the following on its front:

6 (1) A photograph of the holder;

7 (2) The first name of the holder;

8 (3) The license or Commission work permit number;

9 (4) The expiration date of the license or Commission work permit; and,

10 (5) The type of initial, renewal, temporary, or interim license or Commission work permit the badge
11 is being issued for.

12 (b) A badge issued by the Commission will contain the full name of the holder on its back.

13 (c) When required to be worn, a Commission issued badge must be worn by the person to whom it
14 was issued in a prominently visible and conspicuous manner.

15 (d)(1) A cardroom employee type licensee must wear their badge at all times while on duty in the
16 gambling establishment and in a location allowing for public view, and if not must maintain the badge
17 within the gambling establishment or on their person;

18 (2) A cardroom owner type licensee must wear their badge at all times while on duty in the gambling
19 establishment and in a location allowing for public view if performing the duties of a cardroom employee
20 type licensee, and if not must maintain the badge within the gambling establishment or on their person;
21 and,

22 (3) A TPPPS category licensee must wear their badge whenever present in any gambling
23 establishment which has an approved TPPPS contract with a TPPPS business licensee that is owned by or
24 employs the licensee, including when not on duty.

25 (e) A licensee or holder of a Commission work permit must present their badge upon request, without
26 delay or interference, to the employee's employer or supervisor, a representative of the Commission or
27 Bureau, or anyone requesting to verify that the license or Commission work permit is valid.

28 (f) A badge must not be altered in any manner nor may the content of the badge be obstructed from
29 view.

30 (g) A badge that has expired or is determined to be invalid, pursuant to any applicable provision of
31 the Act or this division, cannot be used to gain employment or perform any duties which require a valid
32 license or work permit badge. An expired or invalid Commission issued badge must be surrendered to
33 the Bureau within 30 calendar days unless requested sooner.

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

§ 12108. Replacement of a Badge.

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

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

(2) A completed Badge Replacement Request, CGCC-CH2-01 (New 05/20) is submitted.

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

(c) A replacement badge will be provided within 10 business days after the completed request is received.

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

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

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

§ 12110. Change in Employment Status.

(a) An employee category licensee will be eligible to accept employment from a different or additional owner category licensee if:

(1) The new or additional employment requires the same license for which the employee category licensee is currently authorized; and,

(2) The employee category licensee notifies the Bureau within 10 business days of starting the new employment by completing a Notification of Employment Change, CGCC-CH2-02 (New 05/20), which is attached in Appendix A to this chapter.

(b) When an employee category licensee ceases to be employed by a cardroom business licensee or TPPPS business licensee, both the employee category licensee and the cardroom business licensee or TPPPS business licensee must provide notice to the Bureau within 10 business days of the conclusion of employment.

(1) The employee category licensee must provide notification by completing a Notification of Employment Change, CGCC-CH2-02 (New 05/20), referenced in subsection (a). This does not require

an employee category licensee to submit notification twice if a new employment notification is already required.

(2) The cardroom business licensee or TPPPS business licensee must provide notification by completing a Notification of Employee Separation, CGCC-CH2-03 (New 05/20), which is attached in Appendix A to this chapter.

(c) Notification pursuant to this section does not change the effective period of an employee category license.

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

ARTICLE 2. INITIAL AND RENEWAL LICENSES AND WORK PERMITS.

§ 12112. Initial License Applications; Required Forms.

A person applying for Commission approval must submit the following to the Bureau:

(a) A completed Application for Employee Category License, CGCC-CH2-04 (New 05/20) or Application for Owner Category License, CGCC-CH2-05 (New 05/20), which are attached in Appendix A to this chapter.

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

(1) Business Entity: Supplemental Information, CGCC-CH2-06 (New 05/20).

(2) Individual Owner/Principal: Supplemental Information, CGCC-CH2-07 (New 05/20).

(3) Key Employee or TPPPS Supervisor: Supplemental Information, CGCC-CH2-08 (New 05/20).

(4) Trust: Supplemental Information, CGCC-CH2-09 (New 05/20).

(5) Commission Work Permit or TPPPS Worker: Supplemental Information, CGCC-CH2-10 (New 05/20).

(6) Supplemental Information: Schedules, CGCC-CH2-11 (New 05/20).

(7) Spousal Information, CGCC-CH2-12 (New 05/20).

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

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

(c) An Authorization to Release Information, CGCC-CH2-13 (New 05/20), which is attached in Appendix A to this chapter.

(d) One of the following:

(1) If a resident of the State of California, a completed Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including the ATI Number; or,

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

(e) An Appointment of Designated Agent, CGCC-CH1-04 (New 05/20).

Note: Authority cited: Sections 19811, 19824, 19840, 19841, 19850, 19912 and 19984, Business and Professions Code. Reference: Sections 19801, 19811, 19824, 19826, 19841, 19850, 19851, 19852, 19855, 19864, 19865, 19866, 19867, 19868, 19878, 19880(d), 19883, 19890(e), 19893, 19912, 19951, 19982 and 19984, Business and Professions Code.

§ 12114. Renewal License Applications; Required Forms.

(a) An applicant must file a complete application for a renewal license or Commission work permit with the Bureau no later than 120 calendar days prior to the expiration of the current license or Commission work permit. To be considered timely, the complete application for renewal must be received by the Bureau no later than the date due or, if delivered by mail, be postmarked no later than the date due.

(b) If a complete application for a renewal cardroom owner type license is filed less than 110 calendar days prior to the expiration date of the current license, the application of the cardroom business licensee and each cardroom endorsee licensee required pursuant to subsection (d) will be determined to be untimely and delinquent.

(c) For the purposes of this section, a “complete application” must consist of all of the following:

(1) A completed Application for Employee Category License, CGCC-CH2-04 (New 05/20) or Application for Owner Category License, CGCC-CH2-05 (New 05/20), as referred to in paragraph (1) of subsection (a) of Section 12112;

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

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

(4) One of the following:

(A) If a resident of the State of California, a Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including the ATI Number; or,

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

(5) If the application is an Application for Owner Category License, CGCC-CH2-05 (New 05/20), then a completed copy of the Spousal Information, CGCC-CH2-12 (New 05/20).

(d) Each person who is required to hold a cardroom endorsee license or TPPPS endorsee license must complete and execute a separate application for renewal of that person's license. All applications for renewal of a cardroom endorsee license or TPPPS endorsee license must be submitted to the Bureau together with the cardroom business license or TPPPS business license application in a single package, as provided in subsections (a) through (c), inclusive.

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

§ 12116. Processing Timelines for Applications.

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

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

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

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

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

(2) For a renewal application, no later than 45 calendar days prior to the expiration of the current license or Commission work permit.

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

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

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

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

(d) If a complete renewal application, including all required fees and deposits, has not been submitted within 10 calendar days after the expiration date of the current cardroom business license, the cardroom business license will be deemed abandoned and will be subject to the provisions of subsection (b) of Section 12142.

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

§ 12118. Objection to Local Work Permits.

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

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

(c) The Executive Director will schedule a GCA hearing, pursuant to subsection (a) of Section 12060 with the following modifications:

(1) The complainant will always be the Bureau.

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

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

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

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

§ 12120. Findings of Suitability Associated with a Tribal Compact

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

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

ARTICLE 3. TEMPORARY LICENSES AND WORK PERMITS.

§ 12122. General Provisions.

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

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

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

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

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

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

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

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

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

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

§ 12124. Temporary Employee Category Licenses.

(a) The Executive Director will issue a temporary employee category license if all of the following requirements are met:

(1) The applicant selected the appropriate temporary request box on the application form, and has submitted the applicable nonrefundable temporary fees.

(2) Neither the application in its entirety, nor the results of the investigation of the applicant reported by the Bureau to the Commission up until the date of issuance of the temporary license, discloses any of the mandatory grounds for disqualification specified under Section 12040;

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

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

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

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

(D) A misdemeanor involving violations of the Act.

(4) The applicant has not had an application denied or a license, permit, registration, or finding of suitability revoked by the Commission.

(5) The applicant is not otherwise disqualified under the Act, Commission regulations, or other provisions of law from holding any license or Commission work permit.

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

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

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

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

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

§ 12126. Temporary Owner Category License.

(a) The Commission will not issue a temporary owner category license to an applicant if the Commission finds any of the following:

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

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

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

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

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

(D) A misdemeanor involving violations of the Act.

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

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

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

(1) A copy of the transactional document associated with the application;

(2) Any information from the Bureau's review related to items identified under subsection (a);

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

(4) A copy of any lease agreement;

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

(6) The Bureau's review of the transaction document associated with the application;

(7) A cursory financial review of the applicant's source of funds for any associated purchase agreement;

(8) Copies of the applicant's application and supplemental information; and,

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

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

§ 12128. Cancellation or Conditioning of Temporary Licenses.

(a) Any temporary license issued in accordance with this article will be cancelled or conditioned, as provided in subsection (a) and (b), if at any time, any of the following apply:

(1) The Commission determines that it has received reliable information that the holder of the temporary license is ineligible under paragraphs (2) or (3) subsection (a) of Section 12124, has failed to reveal any fact material to the holder's qualification for a temporary license, or has supplied information to the Bureau or Commission that is untrue or misleading as to a material fact pertaining to the criteria for issuance of a temporary license.

(2) The applicant's initial license application is referred by a vote of the Commission to an evidentiary hearing, and the Commission directs the Executive Director to cancel or condition the temporary license.

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

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

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

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

(D) Provided TPPPS at a gambling establishment without a Bureau-approved contract on and after April 30, 2004.

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

1 (A) Knowingly permitted one or more TPPPS category licensee to commit any act described in
2 paragraph (3).

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

6 (b) If any of the circumstances set forth in subsection (a) apply, and the temporary license is a
7 temporary employee category license, then the license must be summarily cancelled and the Executive
8 Director will immediately do all of the following:

9 (1) Notify the temporary licensee, any owner category licensee that the temporary license holder is
10 currently associated with, the local law enforcement agency, and the Bureau, in writing, of the
11 cancellation of the temporary license and the grounds thereof.

12 (2) Require the cardroom business licensee, the TPPPS business licensee or any applicable hiring
13 authority to terminate, immediately, any employment of the holder covered by the cancelled temporary
14 license.

15 (3) Notify the temporary licensee that he or she is required to surrender their badge to the Bureau not
16 more than ten calendar days following the date that the notice of cancellation was mailed or a greater time
17 as specified by the Executive Director in the notice.

18 (c) If any of the circumstances set forth in subsection (a) applies, and the temporary license is a
19 temporary owner category license, then the following conditions will immediately be applied to the
20 temporary license:

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

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

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

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

33 Note: Authority cited: Sections 19811, 19816, 19823, 19824, 19840, 19841, 19883 and 19984, Business and
34 Professions Code. Reference: Sections 10, 19801, 19805(x), 19816, 19824(f) and 19850, 19855, 19856, 19857,
35 19859, 19866, 19870, 19883, 19912(a) and (d), and 19984, Business and Professions Code.

§ 12130. TPPPS Registration.

(a) For the purposes of this section:

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

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

(b) TPPPS registrations approved by the Commission prior to the effective date of this regulation will remain in effect until the conclusion of their term of approval. No request for the renewal of a TPPPS registration will be accepted by the Bureau after July 1, 2021.

(c) Renewal TPPPS registration will be issued for a period of one year.

(d) A TPPPS registration includes all conditions of a temporary license provided in subsections (a), (b), paragraphs (3) and (4) of subsection (c), and subsections (d) and (e) of Section 12122.

(e) If a TPPPS registrant is a corporation, partnership, limited liability company, or other business entity, each owner, and individual having a relationship to that entity specified in Business and Professions Code section 19852, subdivisions (a) through (i), inclusive, must individually request and obtain registration as an owner listed on the business entity’s registration certificate.

(f) If the request is for a TPPPS supervisor or TPPPS worker registration, the provider of third-party proposition player services that will employ the TPPPS registrant must be currently registered or licensed to provide third-party proposition player services under this chapter.

(g) To request renewal, a TPPPS registrant must submit to the Bureau, no later than 120 calendar days prior to the expiration of the current TPPPS registration, a letter requesting renewal and a processing fee of \$500.

(h) The Bureau will notify the TPPPS registrant in writing within 20 working days of receiving the renewal request, that the request or resubmitted request is complete and accepted for filing, or that the request or resubmitted request is deficient. If a request for a TPPPS registration is incomplete, the Bureau will request in writing any information needed in order to complete the request. The TPPPS registrant will be permitted 30 calendar days in which to furnish the information. If the TPPPS registrant fails to respond to the request, the renewal request will be deemed abandoned and no further action will be taken on it.

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

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

(k) Except as provided for in this section, any person holding a TPPPS registration is subject to the requirements of the equivalent license (example, a TPPPS player registrant or TPPPS other employee registrant is subject to all requirements of a TPPPS worker license).

(l) This Section will be automatically repealed on January 1, 2023.

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

ARTICLE 4. INTERIM OWNER CATEGORY LICENSE.

§ 12132. Article Definitions.

(a) Except as otherwise provided in Section 12002, subsection (b) of Section 12100 and in subsection (b) of this section, the definitions in Business and Professions Code section 19805 govern the construction of this article.

(b) As used in this article:

(1) “Applicant” means a new owner or individual in control of an ownership interest of a cardroom business licensee or TPPPS business licensee, who submits an application to the Bureau for an interim owner category license pursuant to Section 12136.

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

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

(4) “Qualifying event” means an event, such as those specified in Business and Professions Code section 19841, subdivision (s), that results in a change in the ownership for sole proprietors or in the control of the ownership interest for non-natural persons of a cardroom business license or TPPPS business licensee and prevents the cardroom business license or TPPPS business licensee from conducting gambling operations or the provision of third-party proposition player services because the new owner or individual(s) in control does not hold a valid license. A qualifying event does not include any planned or negotiated transaction where a current licensee retains the capacity and authority to continue gambling operations or the provision of third-party proposition player services until approval of

the transaction and issuance of any license by the Commission (e.g., a sale, the transfer of shares, incorporation, etc.).

(5) “Regular license” means an initial cardroom owner type license or initial TPPPS owner type license, as appropriate, issued by the Commission pursuant to Section 12112.

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

§ 12134. General Provisions.

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

(b) If, as a result of a qualifying event, a new owner intends to sell his or her interest in the cardroom business licensee or TPPPS business licensee without someone obtaining an interim or regular owner category license, he or she must provide written notification to the Bureau of that intent within 30 calendar days of that qualifying event.

(c) If, during the term of an interim owner category license, the Bureau determines that the holder of that license may be disqualified for any of the reasons set forth in Business and Professions Code section 19859, or may have violated one or more of the conditions under which the interim owner category license was issued, the Bureau must notify the Commission and the holder of the interim license. The matter will be set for Commission consideration at a non-evidentiary hearing meeting, which may be no sooner than 45 calendar days after the Bureau’s notice. The Bureau will present the information related to its notice at the non-evidentiary hearing meeting. The interim license holder may address the Commission by way of an oral or written statement, or both, at the Commission meeting. The Commission may act to cancel the interim owner category license.

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

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

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

§ 12136. Applications and Required Forms.

(a) In order to be considered for an interim owner category 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 complete application for an owner category license pursuant to Section 12112;

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

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

(A) In the case of the death of an owner, a copy of the death certificate;

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

(C) In the case of insolvency, foreclosure or receivership of a cardroom business license 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) The time period for submission specified in subsection (a) 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.

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

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

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

§ 12138. Criteria.

(a) A request for an interim owner category license will be ancillary to and concurrent with an application for a regular license. The application for a regular license will be processed in accordance with Section 12112. The request for an interim owner category license will be processed as follows:

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

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

(b) All of the following criteria will apply to a request for an interim owner category licensee:

(1) In the event a regular license is issued to an applicant prior to action by the Commission on any related request for an interim owner category license, the request for an interim owner category license will be abandoned.

(2) Denial of a request for an interim owner category license, or cancellation of an interim owner category license, will not suspend or otherwise affect the processing and review of the related application for a regular license.

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

§ 12140. Conditions.

All of the following conditions apply to an interim owner category license granted by the Commission:

(a) Upon issuance or denial of a regular license, any related interim owner category license will become invalid.

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

(c) Issuance of an interim owner category license does not prejudice or obligate the Commission to grant a regular license. Issuance of a regular owner category 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 owner category license, and final approval of the Commission pursuant to Sections 12112 and 12040.

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

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

(f) The holder of the interim owner category 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 owner category license must provide the Bureau with the name of any new key employee licensee or TPPPS supervisor licensee appointed pursuant to paragraph (2) of subsection (a) of Section 12136 within 30 calendar-days following the appointment of that key employee licensee or TPPPS supervisor licensee. Within 30 calendar-days of its occurrence, the holder of an interim owner category license must provide the Bureau with the name of any person who provides any service or property to the cardroom business licensee or TPPPS business licensee under any arrangement whereby the person receives payment based on the earnings, profits or receipts of the cardroom business licensee or TPPPS business licensee.

(g) The holder of an interim owner category license must pay all applicable annual fees associated with the license.

(h) The holder of an interim owner category license must comply with the provisions of the Act, this division and Title 11, Division 3, of the California Code of Regulations.

(i) During the term of an interim owner category license, any proceeds derived from the operation of the gambling enterprise that would otherwise be payable to a new owner must be held in an escrow account and not disbursed until the disposition of ownership interest has been resolved and received Commission approval and all owner category licensees have been approved by the Commission for a regular license pursuant to Section 12112. This paragraph does not prevent the payment of any taxes, operating expenses, preexisting obligations, preexisting dependent support or any other distribution of proceeds that is approved by the Commission.

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

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

ARTICLE 5. SURRENDER OR ABANDONMENT OF CARDROOM BUSINESS LICENSE.

§ 12142. Cardroom Business License; Surrender; Abandonment.

(a) A cardroom business licensee may propose to surrender their cardroom business license at any time prior to expiration. In order to propose the surrender of a cardroom business license, the cardroom business licensee must submit a written request to the Commission, with a copy to the Bureau. A proposed surrender will be agendaized for consideration at the next available Commission meeting. Each proposed surrender will 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 licensee is currently under investigation or if disciplinary action has been initiated.

(b) A cardroom business 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 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 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.

§ 12144. Cardroom Business License: Prior Surrender or Abandonment.

(a) A cardroom business 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 January 6, 2011, will 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 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 submit a complete application for an initial cardroom business license pursuant to Section 12112, and all documentation required by subsection (b) within 12 months of the effective date of this section.

(b) The following documentation is required of any applicant applying to reinstate a cardroom business 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 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.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

32 (f) A cardroom business license meeting the qualifications of subsection (a) will be considered
33 abandoned if the time limits imposed by paragraphs (2) and (3) of subsection (a) are not met. An
34 abandoned license will be subject to the provisions of subsection (b) of Section 12142.

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

CHAPTER 3. CONDITIONS OF OPERATION FOR TPPPS BUSINESSES.

ARTICLE 1. GENERAL PROVISIONS.

§ 12250. Definitions.

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

(b) ...

...

(10) "Playing Book" means a record documenting each session of play by an authorized player.

...

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

(13) "Session of play" as used in Section 12260 means the time period when a TPPPS business licensee operates an authorized player at a gaming table before the gaming table closes; however, provided that in no event may a time period be longer than 24 consecutive hours.

(14) ...

(15) ...

(16) ...

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

§ 12252. TPPPS Annual Fee.

(a) No later than September 1 of each year, each TPPPS business licensee must submit to the Bureau the annual fee set forth in subsection (b) of this section, based on the total number of TPPPS endorsee licensees and TPPPS employee type licensees affiliated with the TPPPS business licensee on the immediately preceding August 1.

(b) Each TPPPS business licensee must pay the annual sum of two thousand eight hundred dollars (\$2800) for each TPPPS endorsee licensee and each TPPPS employee type licensee.

(c) The annual fee may be paid in installments. The TPPPS business licensee must submit a written request to the Bureau to make installment payments prior to August 1 of that same year. Upon approval

by the Bureau, installment payments must be made as follows: one-third of the annual fee to be submitted no later than September 1, one-third no later than December 1, and the balance no later than March 1.

(d) Refunds will not be available in the event of a subsequent decrease in the number of TPPPS endorsee licensees or TPPPS employee type licensees upon which the annual fee payment was based.

(e)(1) Following assessment of the annual fee, if the TPPPS business licensee increases the number of its TPPPS endorsee licensees and TPPPS employee type licensees above the number upon which the annual fee assessment was based, the TPPPS business license must submit to the Bureau the additional per player annual fee set forth in subsection (b) within 30 calendar-days of employment or transfer of ownership.

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

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

(4) Annual fees due under this subsection may be paid in installments, on the conditions that the installment payment request is submitted in writing, that one-third of the fees are paid upon submission of the installment request, and that two subsequent equal payments are paid at reasonable intervals prior to expiration of the applicable term, subject to the approval of the Bureau.

(f) Any renewal application for the TPPPS business licensee will not be approved by the Commission until any delinquent annual fees have been paid in full.

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

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

§ 12254. Emergency Orders.

TPPPS category licensees will be subject to emergency orders under Business and Professions Code section 19931.

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

§ 12256. Transfers and Sales.

(a) If any TPPPS owner type licensee wishes to sell in whole or in part any ownership interest to any unlicensed person, the TPPPS owner type licensee must first notify the Commission in writing to request

approval of the transaction. The transferee must apply for and be approved as a TPPPS owner licensee. Evidence of the transferor's agreement to transfer the interest and, if applicable, the proposed articles of incorporation, must accompany the application for licensing.

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

(c) Evidence of the final execution of a transfer or sale of an interest to a licensed person must be submitted in writing to the Commission within ten calendar days of the final transaction.

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

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

ARTICLE 2. PLAYING BOOKS

§ 12260. General Provisions.

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

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

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

...

(f) The TPPPS business licensee must develop written procedures, acceptable to the Bureau, for limiting access to the electronic playing book system, database, and equipment; controlling passwords and segregating access within systems; dictating the complexity and expiration of passwords; and, achieving unalterable logs of user access and security incidents.

(g) ...

...

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

...

(7) The printed full name and badge number of each authorized player, including TPPPS owner licensees and TPPPS worker licensees, when acting as authorized players;

(8) The table number assigned by the cardroom business licensee;

...

(10) The name of the TPPPS business licensee;

...

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

...

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

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

(j) All IT technicians employed by or contracting with a TPPPS business licensee must be licensed as TPPPS workers regardless if they are present in the gambling establishment or not. This requirement applies to any subcontractor, independent contractor, or employee thereof who is authorized to perform IT technician duties as defined in paragraph (7) of subsection (b) of Section 12250.

(k) ...

(1) Name of the TPPPS business licensee.

...

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

...

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

§ 12261. Review of Playing Book Forms.

...

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

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

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

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

§ 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 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, 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-CH3-01 (New 05/20), 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.

ARTICLE 3. TPPPS CONTRACTS

§ 12270. TPPPS Contract Criteria.

(a) All TPPPS 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 contract.

(b) Each TPPPS 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 be the last day of the month.

...

(5) That no more than one authorized player from each TPPPS business licensee may 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.

(8) That proposition player services must 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 licensing under Chapter 2.

(10) That the TPPPS business licensee must provide the cardroom business licensee with a copy of its TPPPS certificate, and that the cardroom business licensee must maintain the TPPPS certificate on file, together with a copy of the TPPPS contract applying to that establishment.

1 (11) That an authorized player may not provide proposition player services in a gambling
2 establishment where he or she holds a cardroom owner type license, or is operating with a cardroom
3 employee type license.

4 (12) That collection fees charged by the cardroom business licensee for participation in any controlled
5 game must be the same as those charged to other participants assuming the player dealer position during
6 the play of the game.

7 (13) Any agreement between the TPPPS business licensee and the cardroom business licensee for
8 TPPPS business licensees or TPPPS supervisors licensees to inspect or receive a copy of surveillance
9 recordings of tables at which proposition player services are provided under the TPPPS contract during
10 the times the services are provided, as necessary for business purposes.

11 (14) A full disclosure of any financial arrangements entered into during the term of the TPPPS
12 contract for any purpose between the cardroom business licensee and any licensee covered by the TPPPS
13 contract. If there is no financial consideration that passes under the TPPPS contract, a statement to that
14 effect must be included.

15 (15) That any legal dispute between the TPPPS business licensee and the cardroom business licensee,
16 including any exclusion of a licensed TPPPS category licensee covered by the contract with the cardroom
17 business licensee must be reported in writing within ten calendar days by the TPPPS business licensee
18 and the cardroom business licensee to both the Commission and the Bureau.

19 (16) That the TPPPS business licensee and the cardroom business licensee must report in writing
20 within ten calendar days to both the Commission and the Bureau the identity of any temporary TPPPS
21 category licensee whose activities are covered by the TPPPS contract and who is arrested in the gambling
22 establishment by a peace officer, who is removed from the gambling establishment by a peace officer or
23 the cardroom business licensee, or who is involved in a patron dispute regarding his or her activities in the
24 gambling establishment that is the subject of a report to a peace officer and that results in removal of one
25 or more individuals.

26 (17) That any cheating reported to the cardroom business licensee by a TPPPS category licensee must
27 be reported in writing within five days of the incident by the TPPPS business licensee and the cardroom
28 business licensee to the Commission and Bureau.

29 (18) That the criteria for granting any rebates by authorized players to patrons be fully disclosed in
30 the TPPPS contract; and that neither the cardroom business licensee nor any cardroom employee type
31 licensee may have any role in rebates. If there are no criteria for granting rebates, a statement to that
32 effect must be included.

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

1 (20) That the TPPPS business licensee may reimburse the cardroom business licensee in specified
2 amounts for equipment such as surveillance cameras and monitors, or cards, shuffling machines, and dice.
3 Neither the TPPPS business licensee nor its cardroom employee type licensees may purchase, lease, or
4 control such equipment. If there is no arrangement to reimburse the cardroom business licensee for
5 equipment, a statement to that effect must be included.

6 (21) That the contract is a complete expression of all agreements and financial arrangements between
7 the parties; that any addition to or modification of the contract, including any supplementary written or
8 oral agreements, must be approved in advance by the Bureau pursuant to Section 12276 before the
9 addition or modification takes effect.

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

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

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

28 (d) The TPPPS contract may not contain any provision that limits contact with officials or employees
29 of the Commission or Bureau. The TPPPS contract must prohibit a TPPPS owner type licensee and the
30 cardroom business licensee from retaliating against any licensee on account of contact with an official or
31 employee of the Commission or Bureau or any other public official or agency.

32 (e) A TPPPS contract must be consistent with the provisions of Business and Professions Code
33 section 19984, subdivision (a), prohibiting a gambling establishment or the cardroom business licensee
34 from having any interest, whether direct or indirect, in funds wagered, lost, or won. No TPPPS contract

may be approved that would permit the cardroom business licensee to bank any game in the gambling establishment.

(f) Each TPPPS contract approved by the Bureau must contain a provision authorizing the Commission, after receiving the findings and recommendation of the Bureau, to terminate the TPPPS contract for any material violation of any term required by this section.

(g) A TPPPS business licensee may contract with more than one cardroom business licensee at the same time; a cardroom business licensee may contract with more than one TPPPS business licensee at the same time. This subsection is not intended to prohibit a TPPPS contract in which a cardroom business licensee and a TPPPS business licensee agree that one TPPPS business licensee will be the exclusive provider of proposition player services to that cardroom business licensee.

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

§ 12272. Review and Approval of TPPPS Contracts.

(a)(1) Proposition player services must not be provided except pursuant to a written TPPPS contract approved in advance by the Bureau. Provision of proposition player services by any person subject to licensing under Chapter 2, or engagement of proposition player services by a cardroom owner type licensee, without a TPPPS contract as required by this section is a violation of this section. The Bureau must approve a TPPPS contract only if all the following requirements have been satisfied:

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

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

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

(D) The TPPPS contract will not undermine public trust that the controlled gambling operations covered by the TPPPS contract will be conducted honestly, by reason of the existence or perception of any collusive arrangement between any party to the TPPPS contract and the cardroom owner type licensee or TPPPS business endorsee licensee or otherwise.

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

(A) A completed Application for Contract Approval to Provide Proposition Player Services, CGCC-CH3-02 (New 05/20) referenced in paragraph (2).

(B) A completed Appointment of Designated Agent, CGCC-CH1-04 (New 05/20).

(C) An executed copy of the TPPPS contract that specifically addresses all of the requirements of Section 12270.

...

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

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

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

(c) The term of any TPPPS contract may not exceed two years and may not be extended or renewed without the prior approval of the Bureau. No amendment changing any of the TPPPS contract terms referred to in Section 12270, other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective during the term of a TPPPS contract without the prior written approval of the Bureau. If any amendment is made to a TPPPS contract term specified in paragraphs (3), (4), or (6) of subsection (b) of Section 12270, both parties to the TPPPS contract must notify the Commission and Bureau in writing of the amendment within ten days of the execution thereof by the parties to the TPPPS contract.

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

§ 12274. Expedited Review and Approval of TPPPS Contracts.

(a) In lieu of the procedure specified in Section 12272, the Bureau must provide an expedited review process of an application for TPPPS contract approval if all of the following conditions exist:

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

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

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

(b) If an application for TPPPS contract approval is submitted as an expedited TPPPS contract request and the Bureau determines that it does not meet the criteria, the TPPPS business licensee or designee and the cardroom business licensee must be notified within three business days of the Bureau's decision. Any TPPPS contract that is not processed through the expedited review and approval process must be treated as a new TPPPS contract request and reviewed and approved or disapproved as otherwise provided by subdivision (a) of Section 12272.

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

(1) A completed Application for Contract Approval to Provide Proposition Player Services, CGCC-CH3-02 (New 05/20), referenced paragraph (2) of subsection (a) of Section 12272.

(2) A completed Appointment of Designated Agent, CGCC-CH1-04 (New 05/20).

(3) An executed copy of the TPPPS contract that specifically addresses all the requirements of Section 12270.

...

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

§ 12276. Review and Approval of Amendments to TPPPS Contracts.

(a) Requests to review and approve an amendment to a TPPPS contract must be submitted with an application for approval [see Section 12272(a)(3)(A)] along with an executed copy of the TPPPS contract, a five hundred dollar (\$500) nonrefundable application fee, and a deposit as required by Title 11, California Code of Regulations, Section 2037. The Bureau may require an additional sum to be deposited to pay the final costs of the review and approval or disapproval of the amendment. Any money received as a deposit in excess of the costs incurred in the review and approval or disapproval of the amendment must be refunded and an itemized accounting must be provided to the TPPPS business licensee or the TPPPS business licensee's designee.

(b) No amendment changing any of the TPPPS contract terms referred to in Section 12270, other than paragraphs (3), (4), and (6) of subsection (b) thereof, may become effective during the term of a TPPPS contract without the prior written approval of the Bureau. If any amendment is made to a TPPPS contract

term specified in paragraphs (3), (4), or (6) of subsection (b) of Section 12270, both parties to the TPPPS contract must notify the Bureau in writing of the amendment within 10 days of the execution thereof by the parties to the TPPPS contract.

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

§ 12278. Extension of TPPPS Contracts.

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

(1) A completed Application for Contract Approval to Provide Proposition Player Services, CGCC-CH3-02 (New 05/20), referenced in paragraph (2) of subsection (a) of Section 12272.

...

(3) An executed copy of the TPPPS contract.

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

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

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

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

ARTICLE 4. SECURITY AND USE OF PLAYER'S BANKS

§ 12287. Loss Notification.

(a) A TPPPS business licensee must develop written procedures which:

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

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

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

ARTICLE 5. COMPLIANCE

§ 12290. Compliance.

(a) A TPPPS licensee must comply with game rules approved by the Bureau, including but not limited to the rules regarding player-dealer rotation and table wagering.

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

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

...

(d) A TPPPS contract may, concerning any table assigned for play by the contracted TPPPS business licensee, contain a provision precluding players of any other TPPPS business licensee from playing at that table during the periods of play assigned by the TPPPS contract for the contracted TPPPS business licensee.

(e) The cardroom business licensee is not precluded from assigning a seat at the table to a TPPPS business licensee.

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

CHAPTER 4. GAMBLING EQUIPMENT MANUFACTURERS OR DISTRIBUTORS.

§ 12301. Registration of Manufacturers or Distributors.

...

(b) ...

...

(10)(A) Except as provided in subparagraph (B) of this paragraph, for class A registration, a nonrefundable application fee as specified in paragraph (1) of subsection (c) of Section 12309 must be submitted with the application for initial registration, and annually thereafter with each application for renewal at least 30 calendar days prior to the anniversary date of initial registration. For class B registration, no fee will be required for initial registration or renewal. Applications for renewal of class B

1 registration must be submitted annually at least 30 calendar days prior to the anniversary date of initial
2 registration.

3 (B) The nonrefundable annual application fee for a manufacturer or distributor applying for class A
4 registration that sells, leases, inspects, tests, repairs, refurbishes, or stores only slot machines or devices
5 that are "antique slot machines" within the meaning of Penal Code section 330.7 will be as specified in
6 paragraph (2) of subsection (c) of Section 12309, provided that this subparagraph does not apply to a
7 person that is otherwise a manufacturer or distributor or who is an antique collector exempt from
8 registration under Section 12301.1.

9 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19951(a), Business and Professions Code.
10 Reference: Sections 19805(b), 19841(r) and 19951(a), Business and Professions Code; Section 2015.5, Code of
11 Civil Procedure; Section 330.8, Penal Code; and Chapter 24 (commencing with Section 1171) of Title 15 of the
12 United States Code.
13

14 **§ 12309. Forms; Fees.**

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

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

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

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

23 (2) For an initial and renewal registration as an "antique collector," within the meaning of paragraph
24 (1) of subsection (b) of Section 12300 and subparagraph (B) of paragraph (10) of subsection (b) of
25 Section 12301, the fee is \$40.

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

27 Note: Authority cited: Sections 19823, 19824, 19840, 19841(r) and 19864, Business and Professions Code.
28 Reference: Sections 19841(r) and 19951(a), Business and Professions Code; Section 2015.5, Code of Civil
29 Procedure; Section 330.8, Penal Code; Chapter 24 (commencing with Section 1171) of Title 15 of the United States
30 Code.
31

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

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

35 **§ 12311. Definitions.**

36 ...

37 (b) As used in this chapter:

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

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

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

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

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

(6) “Licensee” means cardroom business licensee or TPPPS business licensee, as appropriate.

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

§ 12312. Record Retention and Maintenance; General Provisions.

Each licensee must:

...

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

(1) Revenues, expenses, assets, liabilities, and equity for the cardroom business licensee or TPPPS business licensee.

...

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

(4) Records, separated by gaming activity, of all jackpot monies contributed by the cardroom business licensee, jackpot monies collected from patrons, and monies withdrawn for either jackpot administrative fees or payment to patrons.

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

...

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

§ 12313. Financial Statements and Reporting Requirements.

(a) Each licensee must prepare financial statements covering all financial activities of that cardroom business licensee or TPPPS business licensee, as applicable, for each fiscal year, in accordance with generally accepted accounting principles, unless otherwise provided in this section. If a cardroom owner type licensee owns or operates lodging, food, beverage, or any other non-gambling operation at the gambling establishment, the financial statements must reflect the results of the gambling operation separately from those non-gambling operations.

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

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

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

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

1. Engage an independent accountant licensed by the California Board of Accountancy to perform a compilation of the Group IV licensee's annual financial statements in accordance with standards for accounting and review services or with currently applicable professional accounting standards.

1 Management may elect not to provide footnote disclosures as would otherwise be required by generally
2 accepted accounting principles.

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

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

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

16 ...

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

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

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

29 Note: Authority cited: Sections 19811, 19823, 19824, 19840, 19841, 19853, and 19984, Business and Professions
30 Code. Reference: Sections 19841, 19857, and 19984, Business and Professions Code.

31
32 **§ 12315. Records and Reports of Monetary Instrument Transactions for Cardroom Business**
33 **Licensees.**

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

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

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

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

§ 12316. Unclaimed or Abandoned Property.

(a) A cardroom business licensee must establish written policies and procedures which comply with California's Unclaimed Property Law (Code Civ. Proc., section 1500 et seq.), regarding unclaimed chips, cash, and cash equivalents left at a gaming table or in any player's bank deemed inactive by the terms of the cardroom business licensee's policies and procedures, un-deposited checks issued by the cardroom business licensee to a patron, and un-deposited checks drawn on a cardroom business licensee's account.

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

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

CHAPTER 6. [RESERVED]

CHAPTER 7. CONDITIONS OF OPERATION FOR GAMBLING ESTABLISHMENTS.

ARTICLE 1. GENERAL PROVISIONS.

§ 12360. Chapter Definitions.

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

(b) As used in this chapter:

(1) ...

(2) ...

(3) "Confidential document" means any document or record, whether maintained in writing or electronically, concerning any entity, individual, or group of individuals that contains any private financial or personal information directly obtained from or provided by the subject (e.g., credit and check

cashing information, exclusion lists, Title 31 reports, etc.), or documents that are otherwise protected under any other provision of law, and includes documents and information the public disclosure of which may jeopardize the safety and security of patrons, employees, and their property, the assets of the cardroom business licensee, or the integrity of gambling operations.

(4) ...

(5) ...

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

(7) ...

(A) ...

(B) ...

(C) ...

(D) ...

(E) ...

(8) ...

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

§ 12362. Statewide Involuntary Exclusion List.

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

(b) A cardroom business licensee or government official (such as law enforcement, or agents of the California Horse Racing Board, Bureau, or Commission) (“requestor”) may submit, on Request for Statewide Involuntary Exclusion of an Individual, CGCC-CH7-01 (New 05/20), which is attached in Appendix A to this chapter, a request to exclude an individual from all California gambling establishments based upon the reasons listed in Business and Professions Code section 19844 or 19845, subdivision (a)(7). Such request will have the protections afforded under Business and Professions Code section 19846, subdivision (a).

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

1 be excluded pursuant to Article 6 of these regulations (commencing with section 12460) or involuntarily
2 excluded pursuant to this section.

3 (d) Upon receipt of a request by a cardroom business licensee or governmental official for statewide
4 involuntary exclusion of an individual, the Executive Director will review the reason for exclusion. If
5 there appears to be good cause to place an individual on the statewide involuntary exclusion list, the
6 Executive Director will issue a notice of exclusion to the individual. Such notice will state the grounds for
7 exclusion and may be served by personal service, by certified mail at the last known address of the
8 individual, or by publication daily for 1 week in a newspaper of general circulation in the vicinity of the
9 requestor. The exclusion will be effective upon perfection of notice and will remain in effect until the
10 individual is removed from the list by Commission decision.

11 (e) An individual may contest the Commission's notice of exclusion by requesting a hearing from the
12 Commission. Such hearing may be pursuant to Business and Professions Code section 19871 or pursuant
13 to Government Code section 11500 et seq., as determined by the Executive Director. Such hearing will
14 occur within 60 days of the request for hearing, unless the time of the hearing is changed by agreement of
15 the Commission and the individual requesting the hearing.

16 (f) If the individual fails to appear at the time and place set for hearing, and the individual does not
17 contact the Commission within 24 hours to give good cause why the hearing should be reset, a default
18 decision will be issued affirming the exclusion.

19 ...

20 (h) The standard of proof will be preponderance of the evidence that the individual poses a threat
21 either to the public, cardroom employee type licensees, or the gambling industry, or should be excluded
22 pursuant to Business and Professions Code section 19844 or 19845, subdivision (a)(7). The burden of
23 proof will be on the Commission staff. Evidence of exclusion or discipline by another gaming jurisdiction
24 based upon the factors described in Business and Professions Code section 19844 or 19845, subdivision
25 (a)(7) may be introduced.

26 (i) The final decision in the matter will be in writing, will state any term-length for the exclusion if
27 other than lifetime, will be sent by certified mail or personal service to the individual and the
28 governmental agency or cardroom business licensee which requested the individual be placed on the
29 statewide involuntary exclusion list, and will be effective immediately.

30 (j) If the individual requested a hearing after the Commission's notice of exclusion and was given a
31 final decision in the matter that affirmed the exclusion, that individual cannot petition the Commission to
32 be removed from the statewide involuntary exclusion list for a minimum of one year after the date of the
33 final decision.

1 (k) Petitions to be removed from the statewide involuntary exclusion list must be in writing, directed
2 to the Executive Director, and sent to the Commission at 2399 Gateway Oaks Drive, Suite 220,
3 Sacramento, CA 95833. Petitioners should clearly state the circumstances of the ejection or exclusion,
4 any new evidence which is material and necessary, including evidence that circumstances have changed
5 since placement on the statewide involuntary exclusion list, and why they do not pose a threat to the
6 public, cardroom employee type licensees, the gambling industry, or should otherwise not be excluded
7 pursuant to Business and Professions Code section 19844 or 19845, subdivision (a)(7). This statement
8 must be signed under penalty of perjury under the laws of the State of California. The Executive Director
9 may summarily deny the petition without prejudice due to lack of compliance with this subsection. If not
10 summarily denied, the Executive Director will provide notice and opportunity to comment to the
11 requestor. After review of the requestor's comments, the Executive Director, may notify the Bureau to
12 remove the individual from the statewide involuntary exclusion list, or may set the matter for hearing
13 pursuant to Business and Professions Code section 19871 or pursuant to Government Code section 11500
14 et seq., as determined by the Executive Director.

15 (l) The Executive Director may order an individual removed from the list after verified information is
16 received that the individual is deceased and will so notify the Bureau.

17 (m) If the Commission determines that an individual should be removed from the statewide
18 involuntary exclusion list, the Commission's decision will include an order removing the individual's
19 name from the list, and will so notify the Bureau. The Bureau will amend the exclusion database and send
20 notification to all gambling establishments and to the requestor.

21 (n) Judicial review of the Commission's decision will be in accordance with Code of Civil Procedure,
22 section 1094.5.

23 (o) The statewide involuntary exclusion list will be maintained by the Bureau, sent or made available
24 to all gambling establishments, and may be shared with law enforcement personnel of any jurisdiction.

25 (p) Cardroom business licensees must implement policies and procedures designed to thwart excluded
26 persons, as noticed by the Bureau, from entering the gambling establishment, ejection or removal
27 procedures of any patrons once recognized as being a known excluded person, and notification to the
28 Bureau of any incidents of attempted entry, entry, or removals of known excluded persons. This
29 regulation does not require a cardroom business licensee's policies and procedures to include patrons
30 providing proof of identification before entering the gambling establishment. This regulation does not
31 require the gambling establishment to use physical force in ejecting or removing an excluded person.

32 ...

33 (r) This regulation does not create any right or cause of action against a cardroom business licensee,
34 government official (such as law enforcement, or agents of the California Horse Racing Board, Bureau, or

Commission) by an excluded person or abrogate the existing statutory privileges and immunities of a cardroom business licensee or requestor, or limit or expand the provisions of Business and Professions Code section 19846.

Note: Authority cited: Sections 19840 and 19844, Business and Professions Code. Reference: Sections 19801(j), 19801(m), 19844, 19845, 19846 and 19940, Business and Professions Code.

§ 12364. Relocation of Gambling Establishment.

(a) For purposes of this section:

...

(b) A cardroom business licensee must notify the Bureau of a planned relocation of a gambling establishment at least 90 days in advance of the intended commencement of gambling operations at the new location on the form Notice of Relocation, CGCC-CH7-02 (New 05/20), which is attached in Appendix A to this Chapter. 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) must accompany the notice to the Bureau.

(1) If the new location is more than 1,000 feet from any boundary line of its governing local jurisdiction, the cardroom business licensee must submit to the Bureau all of the following information and documents, of which the information and documents specified in subparagraphs (A) through (C), inclusive, are to be submitted no later than 30 days prior to the Bureau's site visit conducted pursuant to subsection (d):

(A) A copy of the cardroom business licensee's fully executed rental or lease agreement for, or evidence of the cardroom business licensee's ownership of, the proposed new location.

(B) A copy of the cardroom business licensee's fire safety and evacuation plan for the proposed new location, prepared in compliance with Section 12370.

(C) A copy of the cardroom business licensee's security and surveillance plan for the proposed new location, prepared in compliance with Section 12372.

(D) Documentary evidence of the issuance to the cardroom business licensee of all required approvals, licenses and permits by any applicable local jurisdictional entity concerning the new location; e.g., business licenses, occupancy permits, conditional use permits, zoning variances, local gaming licenses, etc. These documents, if available, must be submitted at the same time as the documents specified in subparagraphs (A) through (C), inclusive, or, if not available, must be submitted upon availability and prior to the commencement of gambling operations.

(E) Documentary evidence of the issuance to the cardroom business licensee of all required approvals, licenses and permits, other than those specifically relating to gambling operations, by any applicable state or federal agency concerning the new location; e.g., liquor licenses, check cashing

permits, etc. These documents are not required to be submitted prior to the commencement of gambling operations or the Bureau's site visit pursuant to subsection (d), but must be submitted to the Bureau prior to the commencement of the associated activity.

(2)(A) If the new location is 1,000 feet or less from any boundary line of its governing local jurisdiction, the cardroom business licensee must, in addition to the documentation required by paragraph (1), and prior to the commencement of gambling operations, submit documentation from the appropriate agency or department in the neighboring jurisdiction confirming that the agency or department has no objection to the planned location of the gambling establishment.

(B) As an alternative to obtaining advance confirmation, the cardroom business licensee may submit to the appropriate agency or department in the neighboring jurisdiction, a copy of its Notice of Relocation concurrent with the submission to the Bureau. The cardroom business licensee must provide the Bureau with proof of submission of the notice to the neighboring jurisdiction. The copy of the notice submitted to a neighboring jurisdiction must be accompanied by a written statement from the cardroom business licensee which, at a minimum, must include the following information:

...

(c)(1) If a cardroom business licensee does not provide documentation from a neighboring jurisdiction as provided in subparagraph (A) of paragraph (2) of subsection (b), and the Bureau receives objections to the relocation from a neighboring jurisdiction, the cardroom business licensee may not be relocated without Commission review. The Bureau must forward the relocation notice to the Commission within 10 days of receipt by the Bureau of objections from any neighboring jurisdiction for placement on a Commission agenda for consideration. The Commission will notify the objecting neighboring jurisdiction, the Bureau, and the licensee of the time and place of the Commission hearing at least 10 days prior to the hearing in order for all parties to have the opportunity to attend and be heard.

(2) If a cardroom business licensee obtains documentation from a neighboring jurisdiction as provided in paragraph (2) of subsection (b), or if the Bureau does not receive timely objections to the relocation from a neighboring jurisdiction, no Commission review will be required and the Bureau may proceed as if paragraph (2) of subsection (b) did not apply.

(d)(1) The Bureau must schedule and conduct a site visit prior to the intended commencement of gambling operations as indicated in subsection (b). A written report of the findings of the site visit must be provided to the Commission, as well as any follow-up reports. The Bureau's site visit report must include determinations regarding compliance with, at a minimum, the following internal control requirements of Article 3 of Chapter 7:

...

(2) If the Bureau notes any deficiency in compliance with laws or regulations, including, but not limited to, a deficiency in the internal controls listed in paragraph (1), it will issue a notice to the cardroom business licensee to correct the deficiency. The notice must describe each deficiency and specify a reasonable time in which the deficiency is to be corrected. The commencement of gambling operations will not be delayed unless the deficiency prevents substantial compliance with laws or regulations and materially threatens public safety or the integrity of the gambling operation, and the deficiency cannot be corrected or mitigated within a reasonable time. Failure to correct or otherwise mitigate the deficiency may be considered during the license renewal process and may result in disciplinary action under Chapter 10 of this division.

...

(f) If any gambling operations are conducted in violation of subsection (e), the cardroom business licensee and each cardroom endorsee licensee will be subject to disciplinary action under Chapter 10 of this division. For the purposes of this subsection, each day or portion thereof, whether consecutive or not, during which any gambling operations are conducted in violation of subsection (e) will constitute a separate violation.

(g) Failure to timely provide notice to the Bureau as required by subsection (b) will constitute a ground for disciplinary action under Chapter 10 of this division.

Note: Authority cited: Section 19811, 19823, 19824, 19840, 19841, 19853(a)(3), 19860, 19862 and 19864, Business and Professions Code. Reference: Sections 19811, 19824, 19826, 19860, 19862 and 19868, Business and Professions Code.

§ 12368. Cardroom Business License Annual Fee.

(a) The current year's annual fee required by Business and Professions Code section 19951 will be based on the criteria in paragraph (1) or (2) of this subsection, whichever is greater. The current year's annual fee will be due and payable to the Bureau by the cardroom business licensee no later than 120 calendar days following the end of the cardroom business licensee's preceding fiscal year, unless an installment payment plan is approved pursuant to subsection (b).

(1) The annual fee specified in subdivision (c) of section 19951 will be based on the number of permanent tables authorized by the cardroom business license at the close of the cardroom business licensee's preceding fiscal year.

(2) The annual fee specified in subdivision (d) of section 19951 will be based on the cardroom business licensee's gross revenues for the preceding fiscal year.

(b)(1) The cardroom business licensee may submit an installment payment written request no later than the end of the cardroom business licensee's preceding fiscal year.

(2) The Bureau must approve or deny the request within 30 calendar days of receipt.

(3) If approved, the annual fee must be paid as follows:

(A) A payment of one-third, rounded up to the nearest whole dollar, due 120 calendar days following the end of the cardroom business licensee's preceding fiscal year.

(B) A payment of one-third, rounded up to the nearest whole dollar, due 180 calendar days following the end of the cardroom business licensee's preceding fiscal year.

(C) A payment of the balance due 240 calendar days following the end of the cardroom business licensee's preceding fiscal year.

(c) Each cardroom business licensee must submit, with their whole payment, or first installment payment, of the annual fee specified in this section, a completed Cardroom Business License: Annual Fee Calculation, form CGCC-CH7-03 (New 05/20), which is hereby attached in Appendix A to this chapter.

(d) To be considered timely, the annual fee must be received by the Bureau no later than the date due or, if delivered by mail, be postmarked no later than the date due.

(e) If the full amount, or any installment payment, of the annual fee has not been received by the Bureau within 90 calendar-days after the payment due date, and the cardroom business license has been deemed surrendered pursuant to Business and Professions Code section 19955, the license will be subject to the provisions of subsection (b) of Section 12142 of Article 2.

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

§ 12369. Prohibited Player-Dealer Participation; Exclusion.

In order to promote the purposes of the Act to provide for effective regulation of gambling enterprises, owner licensees must notify the Commission and Bureau of, and may exclude from the gambling establishment, any person(s) that the cardroom business licensee reasonably believes is conducting prohibited player-dealer participation, pursuant to Section 12005, within the gambling establishment. A cardroom business licensee acting under this section must notify the Commission and Bureau in writing of any such person(s) and of any such exclusion, including the identity of the excluded individuals and entity if known, within ten business days following the exclusion. Upon receiving such notice, the Commission will notify the person(s) in writing of the license requirement of Chapter 2 and may notify some or all cardroom business licensees of the name of the unlicensed person(s), if known, and may condition any subsequent license of the person with a 60 to 90 day suspension of licensure or require the payment of a civil penalty under Business and Professions Code section 19930, subdivision (c), or both.

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

ARTICLE 2. EMERGENCY PREPAREDNESS, SECURITY AND SURVEILLANCE PLANS.

§ 12370. Emergency Planning and Preparedness.

...

(b) Each applicant for a cardroom business license under Chapter 2 of this Division must submit to the Bureau one copy of a current fire safety and evacuation plan, pursuant to this section, together with those application documents required by Section 12112.

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

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

(e) Each fire safety and evacuation plan submitted to the Bureau pursuant to this Section must include the following documentation, as applicable:

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

(2) If the responsible local authority does not provide reviews, the cardroom business licensee must send the fire safety and evacuation plan to the State Fire Marshal, and must send to the Bureau documentation showing that the State Fire Marshal has approved the fire safety and evacuation plan.

(f) Failure by a cardroom business licensee to develop and implement a fire safety and evacuation plan, conduct emergency evacuation drills or conduct employee training on the content of its fire safety and evacuation plan pursuant to this section, constitutes an unsuitable method of operation and also may result in denial of an application for license renewal, pursuant to Section 12144, or in the suspension or revocation of its existing license, pursuant to Chapter 10 of this division.

...

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

1 **§ 12372. Security and Surveillance Plan.**

2 ...

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

8 (2) Each applicant for a cardroom business license under Chapter 2 of this Division must submit to
9 the Bureau one copy of a current security and surveillance plan, pursuant to this section, together with
10 those application documents required by Section 12112.

11 (3) Each cardroom business licensee must submit to the Bureau one copy of its current security and
12 surveillance plan with the first biennial license renewal application that is submitted eighteen months after
13 the effective date of this section, and with every second renewal application submitted thereafter.

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

21 (5) If the responsible local authority provides reviews of security or surveillance plans, the cardroom
22 business licensee must send documentation of the areas reviewed by the responsible local authority and
23 whether or not the responsible local authority approved those areas of the security and surveillance plan
24 under the responsible local authority's jurisdiction.

25 (d) The Bureau will review the cardroom business licensee's security and surveillance plan, including
26 those provisions under the responsible local authority's jurisdiction, whether reviewed by the local
27 authority or not, and those provisions not under the responsible local authority's jurisdiction. If the
28 Bureau determines that the cardroom business licensee's security and surveillance plan does not address
29 the elements set forth in this section, then the Bureau may issue a determination identifying the
30 deficiencies and specifying a time certain within which those deficiencies must be cured.

31 (e)(1) Each cardroom business licensee must, at least annually, provide for a review of the
32 requirements of the security and surveillance plan with those employees that have been assigned duties
33 under the plan, ensuring that each employee has a general understanding of the provisions of the plan
34 applicable to his or her position and understands his or her specific duties under the plan. This annual

review must be documented, including a signature from each employee indicating that they have participated in the review and a signature from the person who provided the review.

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

(f) Failure by a cardroom business licensee to develop and implement a security and surveillance plan, or to cure a deficiency identified pursuant to subsection (d), constitutes an unsuitable method of operation and also may result in denial of an application for license renewal pursuant to Section 12144, or in the suspension or revocation of its existing license pursuant to Chapter 10 of this division.

...

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

ARTICLE 3. MINIMUM INTERNAL CONTROL STANDARDS (MICS) FOR CARDROOM BUSINESS LICENSEES.

§ 12380. Minimum Internal Control Standards; General Terms, Conditions, Definitions.

(a) "Minimum Internal Control Standards," or "MICS," are the minimum requirements to operate a gambling establishment as set forth in this chapter, and include, but are not limited to, administration controls, and controls requiring segregation of duties. A cardroom business licensee must meet or exceed these requirements in controlling their gambling operation.

...

(c) Failure by a cardroom business licensee to comply with the requirements of this article constitutes an unsuitable method of operation and is a ground for disciplinary action.

(d) For purposes of this article:

(1) "Tier I licensee," means a cardroom business licensee authorized to operate one to five tables.

(2) "Tier II licensee," means a cardroom business licensee authorized to operate six to ten tables.

(3) "Tier III licensee," means a cardroom business licensee authorized to operate eleven to thirty tables.

(4) "Tier IV licensee," means a cardroom business licensee authorized to operate thirty-one to sixty tables.

(5) "Tier V licensee," means a cardroom business licensee authorized to operate sixty-one or more tables.

(6) Absent specific reference to a particular tier, any requirement of any regulation in this article will be deemed to be applicable to all cardroom business licensees.

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

§ 12381. Policies and Procedures.

(a) All cardroom business licensees must have written policies and procedures that meet or exceed the MICS contained in this article.

(b) A cardroom business licensee's policies and procedures must be communicated to employees through new employee orientations and periodic training sessions.

(c) Adherence to the policies and procedures established to comply with this article will be required.

(d) On request, copies of a cardroom business licensee's policies and procedures must be provided, within a reasonable time specified, for the Commission and/or Bureau to review.

(e) Unless otherwise specified in this chapter, all forms, books, records, logs, lists and any and all other original source or duplicate documentation required to be maintained by a cardroom business licensee pursuant to this chapter must be:

...

(f) In addition to the requirements of subsection (a) through and including (e), cardroom business licensees in Tiers II through and including V must assign the overall responsibility for establishing, periodically reviewing, monitoring, and testing for compliance with their MICS policies and procedures to a specific cardroom endorsee licensee or key employee licensee and must document the assignment in the cardroom business licensee's policies and procedures. Tests for compliance with MICS policies and procedures must be performed at least annually, and may be performed by a cardroom business licensee's staff, other than the person or persons who normally perform the duties being tested, or by agents or outside consultants (e.g., a certified public accountant) for the cardroom business licensee. The results of the tests, and a detailed record of the efforts to correct any noncompliance found as a result of the tests, must be documented and the documentation retained by the cardroom business licensee.

Note: Authority cited: Sections 19827, 19840, 19841 and 19924, Business and Professions Code. Reference: Sections 19827, 19841, 19922 and 19924, Business and Professions Code.

§ 12384. Drop and Drop Collection.

(a) The policies and procedures for all Tiers must meet or exceed the following standards for the drop and collection of the drop for non-electronic gambling tables:

(1) Drop collection fees must be deposited into a secure container, known as a "drop box," that must be securely attached to the gambling table. A drop box must be constructed and controlled in a manner to provide for the security of its contents.

1 (2) If a jackpot or any other player-funded gaming activity is offered, jackpot collections must be
2 deposited into a separate drop box, or otherwise segregated, and accounted for separately.

3 (3) Drop boxes must have all of the following:

4 ...

5 (B) A separate lock securing the drop box to the gambling table. This lock must be keyed differently
6 from the lock securing the contents of the drop box.

7 (C) An individual identifier that corresponds to the gambling table to which the drop box is attached
8 and the shift, if applicable, for which it is used, and that can be documented when the box is removed
9 from the table. Visible drop box identifiers must be imprinted or impressed on the box and capable of
10 being seen and read in video surveillance recordings, either while attached to the table or when removed
11 from the table and immediately displayed to a surveillance camera. If a bar code or an equivalent system
12 is used, in addition to the imprinted or impressed identifiers, it must have the capability to identify each
13 drop box by shift and table, the person or persons performing the collection, and the date and time of the
14 collection.

15 (D) An opening through which chips collected for fees must be inserted.

16 ...

17 (5) A drop box, when removed from a gambling table, whether in use or not, must be afforded
18 security sufficient to protect the drop box and its contents and must be stored in a secure area while
19 awaiting the count.

20 ...

21 (7) The cardroom business licensee must establish and schedule the time(s) for the collection of drop
22 boxes and must ensure that the entire drop collection process is recorded by video surveillance. Except as
23 otherwise provided in subsection (c), the drop box collection may be performed more frequently or less
24 frequently than the time(s) scheduled by the cardroom business licensee when circumstances warrant a
25 reasonable deviation from the established schedule.

26 (8) The drop collection must be performed by at least one licensed or permitted individual.

27 (b) In addition to the requirements of subsection (a), the policies and procedures for Tiers III through
28 and including V must include the following standards for drop collection:

29 (1) All drop boxes, whether in use or not, must be removed from the gambling table as provided in
30 subsection (a) by at least one employee of the gambling establishment who holds a valid cardroom
31 category license, accompanied by at least one member of the security department or its equivalent. The
32 employee of the gambling establishment may not be a member of the security department or its
33 equivalent.

(2) Notwithstanding the provisions of paragraph (1) of this subsection, or any other provision of this article related to the designation of employees to perform the drop collection, a Tier III licensee that does not directly employ security personnel may have the drop collection performed by at least two employees of the gambling establishment who hold a valid cardroom category license and who are each assigned to a different department.

(3) The names of the individuals performing the drop collection must be documented either by software or in writing and, when documented in writing, those individuals who performed the collection must legibly print their names and sign the documentation.

...

(c) In addition to the requirements of subsections (a) and (b), the policies and procedures for Tiers IV and V must include standards for drop collection that provide for the designation of at least one employee of the gambling establishment who holds a valid cardroom category license to video monitor the drop box collection process and that the entire drop collection process be continuously recorded by video surveillance.

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

§ 12385. Count; Count Room Functions.

(a) The policies and procedures for all Tiers must meet or exceed the following standards for count room functions:

(1) The cardroom business licensee must ensure that the contents of drop boxes are counted and recorded in a manner and in a location within the licensed gambling establishment that ensures the appropriate security and proper accounting of all gambling chips.

(2) The cardroom business licensee must designate an individual or individuals, each holding a valid cardroom category license, who must be responsible for performing the drop count. The opening, counting and recording of the contents of a drop box must be performed in the presence of and by the designated individual(s).

(3)(A) Drop box counts must be permanently recorded, in ink or another form approved by the cardroom business licensee, on a daily count sheet or the equivalent, which documents all of the following information, as applicable:

...

(B) Corrections to the information initially recorded for the drop count prior to the completion and signing of a hard copy daily count sheet are permitted. Corrections must be made by drawing a single line through the error and writing the correct figures above the original figures or by another method approved by the Bureau. The designated individual making the correction must write his or her initials and the date,

1 in ink, immediately next to the correct figures. The correction, in a hard copy of a daily count sheet, of
2 errors discovered subsequent to the completion and signing by the designated individual(s) will require
3 the completion of a revised or amended count sheet, which must be maintained with the original count
4 sheet.

5 (4) The entire count process, beginning with the opening of the first drop box and continuing through
6 completion of the count sheet, must be continuously recorded by video surveillance.

7 (5) The contents of a drop box may not be mixed or commingled with the contents of any other drop
8 box prior to the counting and recording of its contents.

9 (6) A drop box must be emptied in a manner that will identify and record the box identification, as
10 specified in Section 12384, subsection (a), paragraph (3), subparagraph (C), and paragraph (4), and so that
11 video surveillance recording will document that all 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 for Tiers II
13 through and including V must include standards for count room functions that require the use and
14 maintenance of a secured area known as the count room for the counting of gambling chips, which must:

15 ...

16 (2) If the count room is used to store chips, cash, drop boxes or any other items or materials that are
17 directly associated with the count, the interior of the room and all of its contents must be under constant
18 recorded video surveillance.

19 (c) In addition to the requirements of subsection (a) and (b), the policies and procedures for Tiers III
20 through and including V must include the following standards for count room functions:

21 (1) The number of individuals designated by the cardroom business licensee, pursuant to paragraph
22 (2) of subsection (a), to perform the drop count cannot be less than two individuals, or one individual
23 using an automated chip counting machine that counts, sorts and racks the chips, and records the count
24 electronically on the cardroom business licensee's computer system.

25 (2) The designated individuals performing the count must be attired so as to reduce their ability to
26 conceal chips on their person; for example, by wearing, over their regular clothing, smocks or other
27 clothing with no pockets.

28 (3) At the conclusion of the count, a cage or vault cashier or at least the equivalent must count the
29 chips received and verify the accuracy of the count and count sheets.

30 (4) Count sheets verified pursuant to paragraph (3) above must, immediately following verification,
31 be remitted to the accounting department or its equivalent, or deposited in a locked box, located in a
32 secure area of the gambling establishment, the contents of which are accessible only by the accounting
33 department or its equivalent. Count sheets must be maintained and controlled by the accounting
34 department or its equivalent.

(d) In addition to the requirements of subsections (a) through and including (c), the policies and procedures for Tiers IV and V must include the following standards for count room functions:

(1) The count room must be a fully enclosed room that is separate and apart from all other rooms in the gambling establishment and is equipped with an alarm system or device connected to all entrances to the count room which causes a signaling to the surveillance unit or its equivalent, whenever any door to the count room is opened.

(2) Immediately prior to the commencement of the count, one of the designated individuals must notify the surveillance unit, or its equivalent, that the count is about to begin. At least one employee of the gambling establishment who holds a valid cardroom category license must be designated to video monitor the count process and the entire count process must be continuously recorded by video surveillance.

(3) Immediately prior to the opening of a drop box, the door to the count room must be secured. Except as otherwise authorized by the cardroom business licensee's policies and procedures, no person may be permitted to enter or leave the count room, except during a normal work break or in an emergency, until the entire counting, recording, and verification process is completed.

(e) In addition to the requirements of subsections (a) through and including (d), the policies and procedures for Tier V must include standards for count room functions that require the drop count to be performed by not less than three individuals designated by the cardroom business licensee pursuant to paragraph (2) of subsection (a), or two individuals using an automated chip counting machine that counts, sorts and racks the chips, and records the count electronically on the licensee's computer system.

Note: Authority cited: Sections 19811(b), 19824, 19840, 19841 and 19924, Business and Professions Code.
Reference: Sections 19801, 19823, 19841, 19920, 19922 and 19924, Business and Professions Code.

§ 12386. Cage Operation and Functions.

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

(1) The cardroom business licensee must maintain within the gambling establishment at least one separate and secure area at a fixed location that is designated as a cage. A cage must be located, designed, constructed and operated to provide convenience for patron transactions while maintaining appropriate security and accountability for all monetary transactions occurring at the cage and all cage contents.

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

...

(E) Check cashing and extensions of credit for patrons, as permitted by the cardroom business licensee's policies and procedures.

...

(3) Routine access and entry into a cage, or an area designated as a cage pursuant to paragraph (1) of this subsection, must be limited to on-duty cage personnel assigned pursuant to paragraph (2) of this subsection. Other employees of the gambling enterprise who hold a valid cardroom category license may be granted access to a cage or cage area for the purpose of performing their duties.

(4) A log must be maintained, either in writing or electronically, to document entry into a cage by any person not authorized access pursuant to paragraphs (2) and (3) of this subsection. The log must contain the person's name, title, date of entry, and time entering and exiting; or provide substantially equivalent information through an automated access control system. Any automated access control system must provide a secure, tamperproof means of recording and maintaining entry and exit information.

(5)(A) Cage and cashiers' banks must be reconciled after each shift by the incoming and outgoing assigned cage employees. If an imprest is used, each outgoing cage employee responsible for an imprest must balance his or her imprest to the imprest amount. The recordable cage transactions and reconciliations must be posted and reconciled to the general ledger at least monthly.

(B) The reconciliation of each cage and cashiers' bank must be documented on a cage accountability form that must include, at a minimum, all of the following, as applicable:

...

(6) The purchase or redemption of gambling chips by a patron may only occur at a cage or from an authorized cardroom category licensee on the gambling floor. Cardroom category licensees may not permit TPPPS category licensees to purchase or redeem gambling chips for cash or cash equivalents from a patron or to sell gambling chips to a patron. For the purposes of this article, the sale, purchase or redemption of gambling chips may not include the exchange of a chip or chips of one total value for a chip or chips of an equal total value.

(7) If a cardroom business licensee operates more than one cage at any time during any shift, all cages, irrespective of their designations (e.g., main cage, satellite cage, auxiliary cage, supplementary cage, secondary cage, back up cage, support cage, etc.), will be subject to and comply with all provisions of this article applicable to the operation and functions of cages for the cardroom business licensee's tier.

(b) In addition to the requirements of subsection (a), the policies and procedures for Tiers III through and including V must require that the cage and cashiers' banks reconciliations specified in paragraph (5) of subsection (a) be posted and reconciled to the general ledger by someone other than an assigned cage employee or cage supervisor.

(c) In addition to the requirements of subsections (a) and (b), the policies and procedures for Tiers IV and V must include the following standards for a cage:

(1) A cage must be a secure enclosed structure with at least one cashier window through which items such as gambling chips, cash, checks, and documents may be passed to serve patrons and cardroom category licensees. The design and construction of a cage must include:

...

(C) Access through a secured door or doors, which must be under constant recorded video surveillance in accordance with the applicable provisions of Section 12396.

(2) In addition to the information specified in paragraph (5) of subsection (a), the cage accountability form referenced therein must include an itemization of the following:

...

(3) The cardroom business licensee must maintain a record, either in writing or electronically, of the names or classifications of all persons assigned pursuant to paragraph (2) of subsection (a) as being authorized to access or enter a cage, which record must specify those persons who possess the combination or the keys or who control the mechanism to open the devices securing the entrance to a cage, and those who possess the ability to operate the alarm system. The record must be updated each time an assignment is added or deleted.

(d) In addition to the requirements of subsections (a), (b) and (c), the policies and procedures for Tier V must include standards for a cage that require monitored and recorded video surveillance of the interior of the cage and all of its contents, and the exterior of all access doors in accordance with the applicable provisions of Section 12396.

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

§ 12387. Security and use of Floor Banks; Security of Gambling Equipment and Confidential Documents.

(a) The policies and procedures for all tiers must meet or exceed the following standards for the security of floor banks:

(1) When kept, held, or stored in any public area of the gambling establishment, a floor bank must be secured in a receptacle, drawer, or compartment with a locking mechanism securing the contents. The receptacle, drawer, or compartment must remain locked at all times, except when being accessed by assigned cardroom category licensees in the performance of their duties. If a keyed lock or locking mechanism is used, the key must not be left in the lock when the drawer or compartment is not being accessed. All keys, combinations, and access codes are subject to the applicable key security and control provisions of Section 12395.

(2) The lock or locking mechanism of each receptacle containing a floor bank, must be keyed differently from the lock or locking mechanism of any other receptacle, drawer, or compartment of any

1 furnishing, fixture, cabinet, appurtenance, or device (hereafter cabinet) in the gambling establishment,
2 except in the following circumstances:

3 (A) When a single assigned cardroom employee type licensee requires access to multiple receptacles
4 in the performance of his or her duties; that access is limited solely to that employee during his or her
5 assigned shift; and each of the receptacles contains a floor bank, those receptacles may have a key,
6 combination, or access code in common with each other.

7 (B) Cardroom owner type licensees and key employee supervisor licensees whose duties include the
8 supervision or oversight of cardroom employee type licensees who utilize and have access to floor banks
9 in the performance of their assigned duties, may have a master or duplicate key that will open some or all
10 of the locking mechanisms for the receptacles containing a floor bank to which any of their subordinate
11 employees have access.

12 (3) Any cabinet having a drawer, compartment, or receptacle containing or intended to contain a floor
13 bank must be located so that it is clearly visible for security and surveillance purposes. The cabinet must
14 be kept under continuous recorded video surveillance, in accordance with the applicable provisions of
15 Section 12396. The camera coverage must be adequate to enable monitoring and recording of the
16 contents of any drawer when open, to the extent reasonably possible, and of all activities involving the
17 floor bank. If a mobile cabinet is used, it must be kept at a fixed secure location under continuous
18 recorded video surveillance when not being actively used on the gambling floor.

19 (4) No gambling equipment, documents, supplies, or other materials that are not directly related to a
20 floor bank may be commingled with or kept in the same receptacle with a floor bank. Neither the cabinet
21 nor any other drawer, compartment, or receptacle therein, may be used to hold, store, keep, or safeguard
22 any personal property or possession of any cardroom employee type licensee, patron, or any other person,
23 nor any equipment, documents, supplies, or other materials that are not directly related to the conduct of
24 gambling operations.

25 (5) Each floor bank must be individually balanced not less than daily and the imprest amount verified.
26 Any shortages or overages must be documented in an exception report and included in the appropriate
27 cage bank reconciliation.

28 (6) The cardroom business licensee must establish a maximum imprest amount that may be assigned
29 to each floor bank based on a reasonable estimate of the amount necessary for the activities associated
30 with the bank during any shift. The maximum imprest amount that may be assigned to a floor bank in a
31 mobile cabinet may not exceed \$30,000 at any time.

32 (7) The cardroom business licensee's policies and procedures must include specific provisions
33 governing the sale or distribution of gambling chips and the disbursement of cash to patrons from a floor
34 bank by the assigned cardroom employee type licensee. The redemption of chips by a patron from a floor

1 bank may not exceed a total of \$500, except when that floor bank is being temporarily operated as a cage
2 and all applicable provisions of Section 12386 are complied with. No chip redemptions may be
3 transacted at any time from a floor bank in a mobile cabinet.

4 (b) The policies and procedures for all tiers must meet or exceed the following standards for-the
5 security of gambling equipment and confidential documents:

6 (1)(A) When kept, held, or stored in any public area of the gambling establishment, gambling
7 equipment not actively being used must be secured in a receptacle, drawer, or compartment, with a
8 locking mechanism securing the contents. The locking mechanism must remain locked at all times,
9 except when being accessed by an authorized cardroom employee type licensee in the performance of his
10 or her duties. If a keyed lock or locking mechanism is used, the key may not be left in the lock when the
11 receptacle is not being accessed. All keys, combinations, and access codes must be subject to the
12 applicable key security and control provisions of Section 12395. This subparagraph may not apply to any
13 gambling equipment that cannot be secured in a receptacle, drawer, or compartment when not in use due
14 to its size.

15 (B) When kept, held, or stored in any public area of the gambling establishment, confidential
16 documents must be secured in a receptacle, drawer, or compartment, as specified in subparagraph (A),
17 except when in use or when maintained electronically. Confidential documents, when in use or
18 maintained electronically, must be kept out of public view, to the extent reasonably possible.

19 (2) The lock or locking mechanism of each receptacle containing any gambling equipment or
20 confidential documents, must be keyed differently from the lock or locking mechanism of any other
21 receptacle, drawer, or compartment of any cabinet in the gambling establishment, except in the following
22 circumstances:

23 (A) When a single assigned cardroom employee type licensee requires access to multiple receptacles
24 in the performance of his or her duties; that access is limited solely to that employee during his or her
25 assigned shift; and each of the receptacles contains either gambling equipment or confidential documents,
26 those receptacles may have a key, combination, or access code in common with each other.

27 (B) Cardroom owner type licensees and key employee supervisors licensees whose duties include the
28 supervision or oversight of cardroom employee type licensees who utilize and have access to gambling
29 equipment or confidential documents in the performance of their assigned duties, may have a master or
30 duplicate key that will open some or all of the locking mechanisms for the receptacles to which any of
31 their subordinate employees have access.

32 (3) Any cabinet having a drawer, compartment, or receptacle containing gambling equipment or
33 confidential documents must be located so that it is clearly visible for security and surveillance purposes.

1 The cabinet must be kept under continuous recorded video surveillance, in accordance with the applicable
2 provisions of Section 12396.

3 (4) No gambling equipment or confidential documents will be commingled with or kept in the same
4 drawer or compartment with a floor bank, or commingled with or kept in the same drawer or
5 compartment with any personal property or possession of any cardroom employee type licensee, patron,
6 or any other person.

7 (5) The cardroom business licensee's policies and procedures must include specific provisions
8 governing the storage, distribution, and tracking of gambling equipment kept, held, or stored on or near
9 the gaming floor or in any other public area of the gambling establishment.

10 (c) If a cardroom business licensee provides to any TPPPS business licensee or its employees access
11 to or the use of any cabinet, or any receptacle, drawer, or compartment in any cabinet described in
12 subsection (a) or (b), that access or use must be exclusive to that TPPPS business licensee and its
13 employees, and that cabinet may not be used by the cardroom business licensee for any purpose.

14 Note: Authority cited: Sections 19840, 19841, and 19924, Business and Professions Code. Reference: Sections
15 19841, 19922, and 19924, Business and Professions Code.
16

17 **§ 12388. Extension of Credit, Check Cashing, and Automatic Teller Machines (ATMS).**

18 (a) A cardroom business licensee may extend credit to a patron if, prior to extending credit to the
19 patron, the cardroom business licensee determines that an extension of credit is not prohibited by any
20 statute, law, regulation, or local ordinance. A cardroom business licensee may not extend credit to a
21 TPPPS category licensee that is a party to a contract with the TPPPS owner type licensee to provide third-
22 party proposition player services. A cardroom business licensee may not extend credit to an employee of
23 the licensee to act as a "house prop player" or "public relations player" in any controlled game. In
24 addition to complying with all laws regarding the issuance of credit, a cardroom business licensee that
25 extends credit to a patron must address, in written policies and procedures and credit application form(s),
26 the following requirements for the extension and collection of credit:

27 ...

28 (3) ...

29 (A) Receipt of patron information on a credit application form which includes the patron's name and
30 signature, current address, telephone number, social security number, bank and/or trade references,
31 employment information and income information, which must be verified and used to form an assessment
32 of the patron's financial situation, collateral circumstances and credit worthiness.

33 ...

34 (4) A cardroom owner type licensee or designated key employee licensee other than a dealer must
35 approve any credit application.

1 ...

2 (6) Notify the patron of the issuance or denial of credit. The notification for issuing credit must
3 include the date of issuance, terms of repayment, and interest charges, if applicable. If a patron is denied
4 credit, and the denial is based, in whole or part, on any information contained in a consumer credit report,
5 the cardroom business licensee must comply with Civil Code section 1785.20.

6 (7) If a patron is approved for credit pursuant to subparagraph (B) of paragraph (3), a copy of the
7 patron's consumer credit report obtained by the cardroom business licensee must be kept on file with the
8 cardroom for as long as that patron's credit account is open.

9 (8) Written or electronic records must be maintained on each attempt to collect on delinquent credit
10 accounts.

11 (9) For each patron issued credit, the cardroom business licensee must maintain a record of the
12 patron's credit limit, payment schedule, outstanding credit balance, and the patron's signature on a credit
13 agreement.

14 (b) For each patron that is issued credit for the first time, the following information must be collected
15 and maintained:

16 ...

17 (c) If payment upon an extension of credit is delinquent for more than 90 days, as determined by the
18 original credit agreement, the person to whom credit was extended must be prohibited from obtaining
19 additional credit until the amount owed is paid in full.

20 (d) No cardroom business licensee may cash any check if cashing such a check is prohibited by any
21 statute, regulation, or ordinance. No cardroom employee type licensee will be permitted to cash any
22 check drawn against any federal, state, county, or other government fund, including, but not limited to,
23 social security, unemployment insurance, disability payments, or public assistance payments, as outlined
24 in Business and Professions Code section 19841, subdivision (q), unless the check is for wages or
25 payment for goods or services.

26 (e) A cardroom business licensee who does not deposit a patron's check within three banking days
27 after receipt will be considered to have extended credit to that patron.

28 (f)(1) A cardroom business licensee will not allow a patron to replace, redeem, reclaim or repurchase
29 a personal check with a subsequent personal check, unless that patron has been approved for an extension
30 of credit as provided in this Article and the amount of the check or checks to be replaced is within the
31 patron's approved credit limit.

32 (2) A subsequent personal check used by a patron to replace a previous personal check may not be
33 replaced with another personal check at any time after receipt by the cardroom business licensee.

1 (3) Paragraph (1) of this subsection does not apply to a personal check that has not been deposited by
2 a cardroom business licensee within three banking days after a receipt, or to a dishonored check.

3 (g) A cardroom business licensee that cashes checks for a patron must address, in written policies and
4 procedures, the following requirements for the cashing of checks:

5 (1) Prior to cashing a check for a patron, the designated employee must determine that:

6 (A) The cardroom business licensee's records do not contain information reflecting that the patron
7 presenting the check has signed a self-exclusion form or self-restricted access to check cashing for the
8 time period of the exclusion or restriction,

9 ...

10 (C) Cashing such check conforms to the cardroom business licensee's approval process,

11 ...

12 (2) If personal checks, cashier's checks, or payroll checks are cashed, the cardroom business licensee
13 or designated employee must examine and, if the patron is not approved for credit or check cashing,
14 record an unexpired government-issued form of identification evidencing residence and bearing a
15 photograph of the patron, such as a driver's license or passport. If the patron's identification information
16 is already on file with the cardroom business licensee, then retrieval and examination of this identification
17 file by the cardroom business licensee or designated employee will satisfy the provisions of this
18 paragraph.

19 (3) Records of all returned checks must be maintained by the gambling establishment and must
20 include, at a minimum, the following:

21 ...

22 (4) If a check is dishonored, the person who proffered the check must be prohibited from cashing
23 additional checks until the amount owed is paid in full, but may replace a dishonored check in accordance
24 with the policies of the licensed gambling establishment.

25 (5) The cardroom business licensee must include written procedures for the collection of checks
26 dishonored for non-sufficient funds (NSF), including a point in time that the NSF check will be written
27 off as a bad debt.

28 (h) If a cardroom business licensee that cashes checks for a patron charges a check-cashing fee, the
29 cardroom business licensee must obtain and maintain an unexpired California Department of Justice
30 Check Cashing Permit pursuant to Civil Code section 1789.37.

31 ...

32 (j) A licensed gambling establishment may not have an ATM (automatic teller machine or cash- or
33 voucher-dispensing machine) accessible by an individual while physically seated at a gaming table, unless
34 otherwise required under the Americans with Disabilities Act.

(k) ATMs must be configured to reject Electronic Benefit Transfer cards (EBTs) issued by the State of California or by any city, county, or city and county, therein.

Note: Authority cited: Sections 19811, 19823, 19840, 19841(g), 19841(o), 19841(q), 19901, 19905, and 19920, Business and Professions Code. Reference: Sections 19801, 19841(g), 19841(o), 19841(q), 19901, 19905, and 19920, Business and Professions Code.

§ 12391. Gambling Floor Operation.

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

(1) Except as provided in Business and Professions Code sections 19844, 19845, 19861 and 19921, all areas of the gambling establishment in which controlled games and gaming activity are being conducted must be open to the public.

(2) No cardroom category licensee may, as a consequence of an employee's refusal to play a controlled game, coerce that employee, or take or threaten to take any action adversely affecting the terms and conditions of employment for that employee. Notwithstanding the forgoing, where an employee's duties or scope of employment includes the play of controlled games, a cardroom category licensee may take action adversely affecting the terms and conditions of employment against that employee for his or her refusal to play a controlled game. This paragraph does not create any new civil liability.

(3) A cardroom business licensee may not have in any room or combination of rooms where controlled games or gaming activities are being conducted, more gaming tables than the total number of tables the cardroom business licensee is authorized to operate, unless all excess gaming tables are covered or prominently labeled as being non-operational and are under continuous recorded video surveillance, in accordance with paragraph (1), subsection (a) of Section 12396.

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

(b) In addition to the requirements of subsection (a), the policies and procedures for Tiers III through and including V must include standards for gambling floor operations that provide for, Title 11, CCR, Section 2050 notwithstanding, at least one cardroom owner type licensee or key employee license to be on the premises at all times that the gambling establishment is open to the public to supervise the gambling operation and ensure immediate compliance with the Act and these regulations.

Note: Authority cited: Sections 19801(l), 19811, 19840, 19841, 19861 and 19920, Business and Professions Code. Reference: Sections 19801(a), 19801(g), 19801(h), 19801(j), 19801(l), 19823, 19841, 19861, 19914(a)(2), 19920 and 19924, Business and Professions Code.\

§ 12392. House Rules.

The policies and procedures for all Tiers must meet or exceed the following standards for house rules:

(a) A cardroom business licensee must adopt and implement general house rules, written, at a minimum, in English, which promote the fair and honest play of all controlled games and gaming activity, and which at a minimum:

...

(3) Where applicable during the play of any controlled game or gaming activity, must address the following:

...

(b) A cardroom business licensee's house rules must be in addition to, and may not conflict with, the game rules approved by the Bureau for any controlled game or gaming activity.

(c) A cardroom business licensee's house rules must be readily available and provided upon request to patrons and the Bureau.

Note: Authority cited: Sections 19801(l), 19811, 19840, 19841 and 19920, Business and Professions Code.
Reference: Sections 19801(g), 19801(h), 19823, 19841 and 19920, Business and Professions Code.

§ 12395. Security.

(a) The policies and procedures for all Tiers must meet or exceed the following standards for security:

(1) Access to restricted areas of the gambling establishment, including but not limited to cages, count rooms, vaults, security offices and surveillance rooms, must be limited to authorized personnel in the performance of their duties and must be closely controlled.

(2) For the purpose of video surveillance recordings, gambling establishments must provide adequate lighting of all public areas, entrances and exits, and for all adjoining parking areas owned, operated or otherwise controlled by the cardroom business licensee for use by its patrons.

(3) Cardroom business licensees must file an incident report with the Bureau's Criminal Intelligence Unit within five business days of either of the following:

(A) Any cardroom owner type licensee or key employee licensee contacting a local law enforcement agency, pursuant to the provisions of the licensee's security plan, regarding any reasonably suspected violation of the Act, this division, Division 3 of Title 11 of the California Code of Regulations, any statute set forth in sections 330 through 337z of the Penal Code that pertains to gambling, section 1916-3(b) of the Civil Code (loan-sharking), chapter 1 (commencing with section 11000) of division 10 of the Health and Safety Code (illegal possession or distribution of controlled substances), section 4022 of the Business & Professions Code (illegal possession or distribution of dangerous drugs), or any violation of the following Penal Code sections: 186.10 (money laundering), 211 (robbery), 245 (assault with deadly weapon), 266h (pimping), 266i (pandering), 459 (burglary), 470 (forgery), 476 (fraud), 487 (grand theft),

488 (petty theft), 503 (embezzlement), 518 (extortion), 641.3 (commercial bribery), 648 (counterfeit currency), 653.22 (loiter for prostitution), 653.23 (pimping), or 647(b) (prostitution).

(B) Any cardroom owner type licensee or key employee licensee obtaining knowledge or notice of any reasonably suspected violation listed in subparagraph (A).

(4) An incident report must include, when available and applicable, the following information:

...

(5) Cardroom business licensees must maintain a list of all mechanical keys or electronic card keys to the locking devices used to secure the gambling establishment, restricted areas of the gambling establishment, or any fixtures, appurtenances and equipment used in the gambling operation, the names of all cardroom employee type licensees who have been issued, possess or have access to any of those keys, and the location where un-issued keys are stored. If any coded mechanical or electronic locking devices are used, the list must include all access codes and combinations, as applicable, and the names of all cardroom employee type licensees who possess any code or combination, or who control the mechanism to open any of the locks. The cardroom business licensee may maintain a master list or separate departmental lists. Each list must be:

...

(b) In addition to the requirements of subsection (a), the policies and procedures for Tiers III through and including V must meet or exceed the following standards for security:

(1) Except as otherwise provided, cardroom business licensees must install and maintain a minimum of at least one secure key control box for the storage and safeguarding of all un-issued gambling-related keys and access code cards associated with the gambling establishment; e.g., keys to the gambling establishment, cage, count room or other restricted areas of the gambling establishment, and any fixtures, appurtenances and equipment used in the gambling operation, including but not limited to gambling tables and drop boxes. This paragraph does not apply to an individual cardroom business licensee, who does not employ, except in unforeseeable exigencies, more than one person or any person except members of his or her immediate family. For the purposes of this paragraph, "immediate family member" means spouse, child, stepchild, brother, stepbrother, sister, stepsister, mother, stepmother, father, or stepfather.

(2) All key control boxes must meet or exceed the following requirements:

(A) The key control box must have a minimum of one keyed locking mechanism. A coded key lock or a mechanical or electronic combination lock is acceptable.

(B) The key control box must be securely attached to a permanent structure within the gambling establishment. The hardware used to attach the box must not be visible or accessible externally.

(C) All keys, stored within a key control box must be easily identifiable and individually labeled.

1 (D) Access to a key control box must be limited to the cardroom category licensees designated by the
2 cardroom business licensee.

3 (3) Cardroom business licensees must maintain a key control log for each key control box maintained
4 pursuant to paragraph (1). The key control log must document the issuance and return of all gambling-
5 related keys used to control access by cardroom employee type licensees to restricted areas of the
6 gambling establishment, or any fixtures, appurtenances and equipment, associated with the department or
7 operation.

8 (4) During any period of time, between one-half hour before or after sunset and one-half hour before
9 or after sunrise, in which the gambling establishment is open for business or patrons are present on the
10 premises, cardroom business licensees must have at least one uniformed security officer on duty, who
11 must periodically patrol the exterior of the gambling establishment, including all adjoining and adjacent
12 parking areas owned, operated or otherwise controlled by the cardroom business licensee for use by its
13 patrons. Any security officer, whether an employee, agent or contractor of the cardroom business
14 licensee, who is a gambling enterprise employee as defined in subdivision (m) of section 19805 of the
15 Business and Professions Code, will be required to hold a work permit pursuant to paragraph (1) of
16 subdivision (a) of section 19912 of the Business and Professions Code, and Chapter 2 of this division.
17 Any contract security officer whose scope of employment is limited to performance of his or her duties
18 exclusively outside the cardroom business licensee's gambling establishment will not be required to hold
19 a Commission work permit.

20 (c) In addition to the requirements of subsections (a) and (b), the policies and procedures for Tiers IV
21 and V must meet or exceed the following standards for security:

22 (1) Cardroom business licensees must install and maintain a backup generator that is sufficient,
23 during power outages, to provide for the operation of lighting systems, information systems, and
24 surveillance and recording systems for a time necessary to protect the safety and security of patrons and
25 employees, patrons' property, and the cardroom business licensee's assets and property while gambling
26 operations are terminated and patrons exit the premises.

27 (2) Any gambling establishment that elects to continue gambling operations during a power outage
28 must install and maintain a backup generator that is sufficient to provide for the full and continued
29 operation of all lighting systems, all information systems, and all surveillance and recording systems.

30 (d) In addition to the requirements of subsections (a), (b) and (c), the policies and procedures for Tier
31 IV must include standards for security that require at least two uniformed security officers, as specified in
32 paragraph (4) of subsection (b), to be on duty during all hours of operation, one of which must
33 periodically patrol the exterior of the gambling establishment, including all adjoining and adjacent

1 parking areas owned, operated or otherwise controlled by the cardroom business licensee for use by its
2 patrons.

3 (e) In addition to the requirements of subsections (a), (b), (c) and (d), the policies and procedures for
4 Tier V must include standards for security that require at least two uniformed security officers, as
5 specified in paragraph (4) of subsection (b), to be on duty during all hours of operation, one of which
6 must continuously patrol the exterior of the gambling establishment, including all adjoining and adjacent
7 parking areas owned, operated or otherwise controlled by the cardroom business licensee for use by its
8 patrons.

9 Note: Authority cited: Sections 19801(g), 19826(b), 19840, 19841, 19856(c), 19857 and 19924, Business and
10 Professions Code. Reference: Sections 19841, 19856(c), 19857, 19912, 19922 and 19924, Business and Professions
11 Code.
12

13 **§ 12396. Surveillance.**

14 (a) The policies and procedures for all Tiers must meet or exceed the following standards for
15 surveillance:

16 (1) Cardroom business licensees must install and maintain, on site in their gambling establishment, a
17 surveillance system, with video recording and closed circuit television (CCTV) monitoring capabilities, to
18 record critical activities related to the cardroom business licensees' gambling operations. The surveillance
19 system must record with reasonable coverage and clarity, at a minimum, the gambling operation, the
20 payment of player drop fees, the collection of drop boxes, the drop count processes, cage and cashier
21 activities, gambling equipment storage areas, except for furniture storage areas, and the interior of
22 gambling establishment entrances and exits. The video recording equipment must include date and time
23 generators which must display the current date and time of recorded events on videotape or digital
24 recordings. The displayed date and time must not significantly obstruct the view of recorded images. The
25 surveillance system may have remote, off-site access capabilities, but only ancillary to any on-site
26 systems required by this section.

27 (2) All surveillance recordings must be made in real time mode, or at a speed sufficient to capture and
28 record with reasonable completeness the actions of all individuals being observed, except that any
29 recordings of the gambling establishment parking areas, and the gambling establishment entrances and
30 exits may be recorded in time-lapse mode, at a minimum speed of 15 frames per second.

31 (3) All video surveillance cameras must be installed in a manner that prevents them from being
32 intentionally obstructed, tampered with or disabled by patrons or employees, to the extent reasonably
33 possible. All recording and monitoring equipment must be located in secure rooms or areas of the
34 gambling establishment so that access is controlled.

1 (4) The surveillance system operation must be checked daily to ensure that all surveillance equipment
2 is functioning properly and reasonable efforts must be made to repair malfunctioning surveillance
3 equipment within 72 hours of the discovery of the malfunctions.

4 (5) If a digital video recording (DVR) system is utilized, the system must meet the following
5 standards:

6 (A) The DVR system must have a failure notification system that, at a minimum, provides a visual
7 notification of any failure in the surveillance system or the DVR media storage system.

8 (B) The DVR system must have a media storage system that is configured so that a failure of any
9 single component will not result in the loss of any data from the media storage system.

10 (C) The DVR system must have the capability to reproduce or copy all or any portion of the stored
11 data from the media storage system to a digital video disk (DVD).

12 (D) A single DVR system may not have more than 8 cameras required by the standards of this
13 section, unless the DVR system has an appropriate backup system to ensure that there is no loss of data in
14 the event of a failure of the primary DVR system or any single component of that system.

15 (6) Videotapes or other recording media must be marked or coded to denote the activity recorded.

16 (7)(A) Unless otherwise requested by the Bureau, all recordings must be retained for a minimum of
17 seven complete days of operation, except that recordings that are determined by the Bureau or a law
18 enforcement agency to be of evidentiary value must be retained for a period specified in writing by the
19 determining agency. Recordings of any criminal offense subject to reporting pursuant to paragraph (3) of
20 subsection (a) of Section 12395 must be retained indefinitely, or until the Bureau authorizes their
21 disposal.

22 (B) Subsection (f) notwithstanding, the seven day retention period specified in subparagraph (A) must
23 be increased to 14 days no later than June 1, 2013.

24 (8) For the purpose of enforcing the provisions of the Act, this division, or Division 3 of Title 11 of
25 the California Code of Regulations, Bureau staff, with the approval of the chief, may, at any time during
26 the gambling establishment's actual hours of operation, demand immediate access to the surveillance
27 room and any area of the gambling establishment where surveillance equipment is installed or maintained
28 or where surveillance video recordings are stored, and such access must be provided by the cardroom
29 business licensee or the cardroom business licensee's authorized representative. The Bureau may,
30 pursuant to subparagraph (D) of paragraph (1) of subdivision (a) of section 19827 of the Business and
31 Professions Code, take custody of and remove from the gambling establishment the original of any video
32 recording, or a copy of any digital recording, required to be made and maintained pursuant to the Act or
33 this division. Any surveillance video recording that is in the custody of the Bureau pursuant to this
34 paragraph may be disclosed by the Bureau only when necessary to administer or enforce the provisions of

1 the Act, this division, or Division 3 of Title 11 of the California Code of Regulations, or when necessary
2 to comply with a court order. Upon reasonable request of the cardroom business licensee or the cardroom
3 business licensee's authorized representative, a copy of the recordings must be made and left on the
4 premises if copying equipment is available to enable Bureau staff to make copies. If copying equipment is
5 not available to Bureau staff, upon reasonable request of the cardroom business licensee or the cardroom
6 business licensee's authorized representative, a copy of the recordings will be provided to the cardroom
7 business licensee at the cardroom business licensee's expense, unless the Bureau expressly waives its
8 costs of providing the copies.

9 (9) Cardroom business licensees must prominently display in a place and manner conspicuous to all
10 patrons entering and exiting the gambling establishment, a sign containing the following statement
11 printed in bold lettering of sufficient size to be visible and readable: "All Public Areas, Entrances and
12 Exits of This Establishment are Subject to Surveillance and Video Recording." The lettering and
13 background must be of contrasting colors, and the sign must comply in all respects with applicable
14 signage requirements, if any, of the local jurisdiction.

15 (b) In addition to the requirements of subsection (a), the policies and procedures for Tiers II through
16 and including V must meet or exceed the following standards for surveillance:

17 (1) The surveillance system must, at a minimum, record both the interior and the exterior of gambling
18 establishment entrances and exits.

19 (2) The surveillance system must have a sufficient number of cameras dedicated to gambling tables to
20 be capable of viewing and recording, with reasonable coverage and clarity, patrons, dealers, wagers,
21 cards, and game outcome at each table. For the purposes of this paragraph, an overhead view of patrons
22 and dealers is acceptable. This paragraph does not apply to demonstration or instructional tables, when
23 cash or prizes are not being wagered, won or lost.

24 (3) The surveillance system must include an audio recording of, at a minimum, any areas of the
25 gambling establishment that are used for vault or count room functions.

26 (c) In addition to the requirements of subsections (a) and (b), the policies and procedures for Tiers III
27 through and including V must include standards for surveillance that require the surveillance system to
28 include coverage and recording of all adjoining parking areas owned, operated or otherwise controlled by
29 the cardroom business licensee for use by its patrons.

30 (d) In addition to the requirements of subsections (a), (b) and (c), the policies and procedures for Tier
31 IV must include a requirement that, during all hours of operation, a cardroom owner type licensee or key
32 employee licensee be on duty who has the ability to access live video from surveillance cameras and
33 previous surveillance video recordings.

(e) In addition to the requirements of subsections (a), (b), (c) and (d), the policies and procedures for Tier V must meet or exceed the following standards for surveillance:

(1) Cardroom business licensees must establish a surveillance unit separate and apart from the security department. The head of the surveillance unit and all surveillance unit personnel must be independent of the security department and have no other gambling-related duties.

(2) Cardroom business licensees must establish and maintain a separate surveillance room that meets or exceeds the following requirements:

(A) The surveillance room must have controlled access through a secured door or doors, which must be under constant recorded video surveillance.

(B) No entrance or exit door of a surveillance room must be readily observable or accessible from the gambling operation area.

(3) Routine access and entry into the surveillance room must be limited to on-duty employees of the surveillance unit assigned to monitor gambling operations. Cardroom employee type licensees may be granted access to the surveillance room for the purpose of performing their duties. Other persons may be granted limited access to the surveillance room for educational, investigative or maintenance purposes, if accompanied at all times by a surveillance unit employee.

(4) At least one surveillance employee must be present in the surveillance room and actively monitoring the gambling operations, via the surveillance room equipment, during all hours of operation, except that the surveillance room may be unattended for no more than a total of one hour during any shift or eight-hour period to allow for required meal and rest breaks for staff. No controlled gambling may take place when a surveillance employee is not present and on duty in the gambling establishment, whether on a break or not.

(5) Count room surveillance must include closed circuit television (CCTV) monitoring and video recording.

(6) Cardroom business licensees must maintain a record of all surveillance activity in the surveillance room, by surveillance period or shift, in a surveillance activity log. The surveillance activity log entries must be made by on-duty surveillance personnel and must include, at a minimum, the following:

...

Note: Authority cited: Sections 19840, 19841 and 19924, Business and Professions Code. Reference: Sections 19827, 19841, 19922 and 19924, Business and Professions Code.

ARTICLE 9. PROGRAM FOR RESPONSIBLE GAMBLING.

§ 12460. Article Definitions.

For purposes of this Article:

(a) “Self-Exclusion” means voluntary agreement to be excluded from all gambling establishments and all controlled games or gaming activities or privileges. A list of self-excluded persons will be maintained by the Bureau and will not be open to public inspection.

(b) “Self-Restriction” means a voluntary agreement with a single gambling enterprise that is irrevocable for a specified term to:

...

(2) Be restricted from the play of a particular controlled game or gaming activity, if the cardroom business licensee determines that such segregation is feasible;

...

(4) Be restricted from all direct marketing or promotional activities conducted by or on behalf of the particular cardroom business licensee where any of the patron's information for direct marketing matches the information on the exclusion.

Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions Code Reference: Section 19845, Business and Professions Code.

§ 12461. Posting Referral Information.

(a) Each cardroom business licensee must 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 or TPPPS business licensee must 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 or TPPPS business licensee must contain a responsible gambling message and must 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 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.

(b)(1) New employee orientations must be completed within 60 days of the issuance of a cardroom category license, or the employee's start date, whichever is later.

...

(3) Each cardroom business licensee must designate a person(s) responsible for maintaining the program, coordinating training, and documenting employee completion. The program must be reviewed at least once a year to ensure that the information provided is current. Records of employee completion documentation must be maintained in accordance with Section 12003, and must include the date of the training, the topics covered, the name of the employee receiving the training and the name of the employee responsible for coordinating training. Training records may include, but need not be limited to, sign-in sheets and training certificates.

(c) At a minimum, the following employee groups must have training, as specified:

(1) Cardroom employee type licensees, whose duties include interacting with gambling patrons in gambling areas, but do not have duties related to the operation of the games, such as food and beverage providers, must receive training concerning the nature and symptoms of problem gambling behavior.

(2) Cardroom employee type licensees, whose duties include interacting with gambling patrons in gambling areas and who have duties related to the operation of a controlled game must receive the training specified in paragraph (1) and training on how to assist patrons in obtaining information about problem gambling programs.

(3) Key employees licensees must receive the training specified in paragraph (2), and must receive information on the self-restriction and self-exclusion programs, information about any treatment options and prevention programs offered by the State Department of Public Health, Office of Problem Gambling, and may receive information about any problem gambling programs or services available in and around the location of the gambling establishment.

(d) This section must not be construed to require employees to identify problem gamblers.

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.

§ 12463. Self-Restriction Program.

(a) Cardroom business licensees must implement a program that allows patrons to self-limit their access to the gambling establishment entirely, or to the issuance of credit, check cashing, or marketing by that cardroom business licensee. That program must contain, at a minimum, the following:

...

(2) The development of written forms allowing patrons to participate in the program, which may include use of a form entitled Self-Restriction Request, form CGCC-CH7-04 (New 05/20), attached in Appendix A to this chapter;

...

(4) Policies and procedures that allow a patron to be restricted from certain controlled games or gaming activities within the gambling establishment, if the cardroom business licensee determines that the segregation of games is feasible, or from the gambling establishment completely during the term of restriction, with the exception of access for the sole purpose of carrying out the duties of employment, including:

...

(B) Maintenance of records of any incidents of removal where law enforcement is called to remove a person from the premises. The records must be accessible by Bureau staff or law enforcement personnel pursuant to an investigation; and,

...

(6) Policies and procedures that allow a patron to restrict his or her inclusion on customer lists maintained by the cardroom business licensee for direct mail marketing, telephone marketing, and other direct marketing regarding gaming opportunities or promotions at the gambling establishment during the term of restriction.

(b) This section does not mandate that a cardroom business licensee provide the services of a notary public for persons who wish to complete a Self-Restriction Request form.

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.

§ 12464. Self-Exclusion Program.

(a) Cardroom business licensees must implement a program that allows patrons to exclude themselves from gambling establishments using a form entitled Self-Exclusion Request, form CGCC-CH7-05 (New 05/20), attached in Appendix A to this chapter. That program must contain, at a minimum, the following:

...

(6) Policies and procedures for removal of a patron from customer lists maintained by the cardroom business licensee for direct mail marketing, telephone marketing, and other direct marketing or marketing opportunities regarding gaming opportunities or promotions at the gambling establishment;

(7) Policies and procedures for removal of a patron from check-cashing, or credit services offered by the cardroom business licensee; and,

...

(b) This section does not mandate that a cardroom business licensee provide the services of a notary public for persons who wish to complete the Self-Exclusion Request form.

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.

§ 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-CH7-06 (New 05/20), 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.

(b) Failure by a cardroom business licensee to establish the programs set forth in this article, or to cure a deficiency identified pursuant to paragraph (1) of subsection (a), will constitute a ground for disciplinary action under Chapter 10 of this division.

...

Note: Authority cited: Sections 19811, 19840, 19841(o) and 19920, Business and Professions Code. Reference: Sections 19801 and 19920, Business and Professions Code; and Section 4369.4, Welfare and Institutions Code.

ARTICLE 10. GAMING TABLES.

§ 12470. Request for Additional Temporary Tables for Tournaments or Special Events.

(a) A cardroom business licensee may apply to operate, on a limited and temporary basis, for a tournament or special event (hereinafter, event), more tables than the gambling establishment is authorized to regularly operate. To apply for additional tables, the applicant must submit to the Bureau, no less than 45 business days prior to the event, the following for each event:

(1) A completed and signed application form entitled Cardroom Business License: Gaming Tables, CGCC-CH7-07 (New 05/20), which is attached in Appendix A to this chapter.

...

(3) The temporary table fee, as calculated pursuant to subsection (f).

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

...

(3) The cardroom business license is suspended or contains conditions precluding the approval of a temporary increase in the number of tables.

...

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

(e) The Bureau will complete its review of the application and submit its findings to the Commission within 25 days of receipt of the application. The Commission will either approve or deny the request within 13 days of receiving the Bureau's findings and notify the applicant, in writing, of its decision. The Commission may delegate the authority to deny the requested temporary increase or to issue a license certificate approving the requested temporary increase in the number of tables to any employee of the Commission.

(f) The temporary table fee is determined as follows:

(1) Add the current number of authorized tables licensed by the Commission to operate to the number of additional temporary tables being requested.

(2) Multiply the value determined in paragraph (1) by the appropriate value:

(A) If the value of paragraph (1) is between one to five, inclusive, \$300;

(B) If the value of paragraph (1) is between six to eight, inclusive, \$550;

(C) If the value of paragraph (1) is between nine to fourteen, inclusive, \$1,300;

(D) If the value of paragraph (1) is between fifteen to twenty-five, inclusive, \$2,700;

(E) If the value of paragraph (1) is between twenty-six to seventy, inclusive, \$4,000; or,

(F) If the value of paragraph (1) is seventy-one or more, \$4,700,

(3) Subtract the value determined in paragraph (2) by the most recent payed annual fee pursuant to Section 12162.

(4) Divide the value determined in paragraph (3) by 365 and multiple by 2 to determine the daily table fee for the event.

(5) Multiply the daily table fee for the event determined in paragraph (4) by the total number of calendar days of the event. Any partial calendar-days should be counted as a full day. Round this value up to the nearest whole number.

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

§ 12472. Request for Additional Permanent Tables.

(a) The cardroom business licensee may apply to operate additional tables on a permanent basis by submitting the following to the Bureau:

(1) A completed and signed application form entitled Cardroom Business License: Gaming Tables, CGCC-CH7-07 (New 05/20), referenced in paragraph (1) of subsection (a) of Section 12470.

...

(b) The Commission will not grant the application if any of the following are disclosed by the application or the results of the investigation of the applicant by the Bureau:

...

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

...

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

(d) The Bureau will complete its review of the application and submit its findings to the Commission within 25 calendar-days of receipt of the application. Commission staff will then set the request on the Commission agenda within 90 calendar-days of receiving the Bureau's findings and advise the applicant

of the agenda date and any required annual fees due. If the request for additional permanent tables is approved, the applicant must pay the required annual fees due before placing the additional tables in operation.

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

§ 12474. Reduction in Permanent Tables

(a) The cardroom business licensee may apply to reduce the number of tables operating on a permanent basis by submitting a completed and signed application form entitled Gambling Establishment: Gaming Tables, CGCC-CH7-07 (New 05/20), referenced in paragraph (1) of subsection (a) of Section 12470.

(b) The request will be effective upon submittal.

(c) The Bureau will notify the Commission in writing within 10 calendar days of the receipt of the application. A new cardroom business license will be issued within 5 calendar days of notification from the Bureau.

(d) Any decrease in permanent tables does not provide for any refund of fees already paid.

Note: Authority Cited: Sections 19811, 19824, 19826, 19840, 19841, and 19864, Business and Professions Code. Reference: Sections 19816 and 19951, Business and Professions Code.

CHAPTER 8. BINGO.

ARTICLE 2. MANUFACTURERS, DISTRIBUTORS, AND VENDORS OF BINGO EQUIPMENT, DEVICES, SUPPLIES, AND SERVICES.

§ 12492. Interim Licenses; Initial and Renewal; Conditions.

...

(d) ...

...

(3) If the applicant is an individual residing in the state of California, a completed Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including ATI Number, confirming that the applicant has submitted his or her fingerprints to the BCII for an automated criminal history check and response.

...

(e) ...

...

(3) If the applicant is an individual residing in the state of California, a completed Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including ATI Number, confirming that the applicant has submitted his or her fingerprints to the BCII for an automated criminal history check and response.

...

Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3 and 326.5, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Sections 326.3 and 326.5, Penal Code.

ARTICLE 10. REMOTE CALLER BINGO INTERIM LICENSES AND INTERIM WORK PERMITS.

§ 12500. Interim Licenses; Initial and Renewal; Conditions.

...

(c) ...

...

(3) Completed Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including ATI Number, confirming that the applicant has submitted his or her fingerprints to the BCII for an automated criminal history check and response.

...

Note: Authority cited: Section 19850.5, Business and Professions Code; and Section 326.3, Penal Code. Reference: Section 19850.5, Business and Professions Code; and Section 326.3, Penal Code.

§ 12503. Interim Work Permits; Initial and Renewal; Conditions.

...

(b) ...

...

(3) A completed Request for Live Scan Service [California Department of Justice Form, BCIA 8016 (Rev. 05/18)], including ATI Number, confirming that the applicant has submitted his or her fingerprints to the BCII for an automated criminal history check and response.

...

Note: Authority cited: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal Code. Reference: Sections 19850.5 and 19850.6, Business and Professions Code; and Section 326.3, Penal Code.

CHAPTER 10. DISCIPLINE, HEARINGS, AND DECISIONS.

§ 12550. Purpose and Scope.

...

(d) Nothing in this chapter will be construed to prevent the Commission from:

...

Note: Authority: Sections 19840, 19841 and 19930, Business and Professions Code. Reference: Sections 19823, 19912, 19913, 19914, 19920, 19922, 19930, 19931 and 19984, Business and Professions Code.

§ 12554. Formal Hearing Process.

(a) Upon the filing with the Commission of an accusation by the Bureau recommending revocation, suspension, or other discipline of a holder of a license, registration, permit, finding of suitability, or approval, the Commission will proceed under Chapter 5 (commencing with section 11500) of Part 1 of Division 3 of Title 2 of the Government Code.

...

(c) The Administrative Law Judge and Commission will base their decisions on written findings of fact, including findings concerning any relevant aggravating or mitigating factors. Findings of fact will be based upon a preponderance of the evidence standard. The “preponderance of the evidence standard” is such evidence as when considered and compared with that opposed to it, has more convincing force, and produces a belief in the mind of the fact-finder that what is sought to be proved is more likely true than not true.

(d) Upon a finding of a violation of the Act, any regulations adopted pursuant thereto, any law related to gambling or gambling establishments, violation of a previously imposed disciplinary or license condition, or laws whose violation is materially related to suitability for a license, registration, permit, or approval, the Commission may do any one or more of the following:

(1) Revoke the license, registration, permit, finding of suitability, or approval;

(2) Suspend the license, registration, or permit;

(3) Order the licensing authority of a city, county, or city and county, to revoke a local work permit, pursuant to Business and Professions Code section 19914, subdivision (a),

...

(6) Stay, in whole or in part, the imposition of a revocation or suspension against the holder of a license, registration, work permit, finding of suitability, or approval, or

(7) ...

(A) If the respondent is a cardroom business licensee, the monetary penalty will be equivalent of fifty percent of the average daily gross gaming revenue, but not less than \$300, for the number of days for which the suspension is stayed.

(B) ...

(C) If the respondent is a TPPPS owner type licensee and the violation involved a fraudulent, expired, borrowed, or stolen badge, or involved a non-registered or non-licensed employee of the TPPPS owner

1 type licensee, the monetary penalty will be the sum of \$500 plus the total of \$300 multiplied by the
2 maximum number of tables for which proposition player services have been contracted at the gambling
3 establishment where the violation was charged, which sum will be multiplied by the number of calendar
4 days for which the suspension is stayed.

5 (D) If the respondent is a key employee licensee or TPPPS supervisor licensee, the monetary penalty
6 will be \$100 per day for the number of calendar-days for which the suspension is stayed.

7 (E) If the respondent is a holder of a work permit or TPPPS worker license, or a person not otherwise
8 described above, the monetary penalty will be \$50 per day for the number of calendar-days for which the
9 suspension is stayed.

10 (e) If a person's cardroom business license is revoked by the Commission pursuant to this chapter, the
11 Commission may stay such revocation for a reasonable period of time to allow such person to sell or
12 divest himself or herself of such person's ownership interest in the gambling establishment, provided that
13 after the date on which the revocation is stayed by the Commission, such person will not be entitled to,
14 realize, or receive any profits, distributions, or payments that might directly or indirectly be due to such
15 person or which arise out of, are attributable to, or are derived from controlled gambling.

16 (f) If a TPPPS owner type licensee has his or her TPPPS owner type license revoked by the
17 Commission pursuant to this chapter, the Commission may stay such revocation for a reasonable period
18 of time to allow such person to sell or divest himself or herself of such person's ownership interest in the
19 TPPPS business license, provided that after the date on which the revocation is stayed by the
20 Commission, such person will not be entitled to realize or receive any profits, distributions, or payments
21 that might directly or indirectly be due to such person or which arise out of, are attributable to, or are
22 derived from the provision of proposition player services.

23 (g) For decisions concerning a cardroom business licensee, findings must be made regarding the
24 number of tables in operation at the establishment and the annual gross gaming revenue of the
25 establishment

26 (h) For decisions concerning TPPPS owner type licensee, findings must be made regarding the
27 maximum number of tables for which proposition player services have been contracted at the gambling
28 establishment where the violation was charged.

29 ...

30 (j) For multiple violations, or for suspensions imposed by other jurisdictions based on the same
31 violations, the decision must state whether any Commission-imposed suspensions must run consecutively
32 or concurrently.

(k) Where a violation arises from a practice that is repeated many times an hour or day in the conduct of controlled games, each instance of the practice will not be charged as a separate violation; however, the frequency and duration of the practice will be treated as aggravating or mitigating factors.

Note: Authority: Sections 19824, 19825, 19840, 19841, and 19930, Business and Professions Code. Reference: Sections 19879, 19930, and 19984, Business and Professions Code; Section 11045, Government Code; and Section 10335, Public Contract Code.

§ 12556. Factors in Mitigation or Aggravation of Penalty.

Factors in mitigation may reduce a minimum penalty of suspension listed in this chapter, either in number of days suspended and/or in the proposal to stay a suspension for a period of probation and the payment of any monetary penalty. Factors in aggravation may increase a penalty or be taken into consideration in determining whether or not to allow a suspension to be stayed upon payment of a monetary penalty. If presented by complainant or respondent, the Commission will consider the following factors in mitigation or aggravation of the penalty imposed:

...

(k) The extent to which a cardroom business licensee, key employee licensee, TPPPS owner type licensee, or TPPPS supervisor licensee exercised due diligence in management or supervision.

(l) If the violation was caused by an employee category licensee or independent contractor of an owner category licensee, the extent to which the owner category licensee knew or should have known of the employee category licensee's or independent contractor's improper conduct; the level of authority of the employee category licensee or independent contractor involved and the extent to which the employee category licensee or independent contractor acted within the scope of his or her authority in committing the violation.

(m) If the violation was caused by an owner category licensee, the extent to which the owner category licensee knew or should have known of the improper conduct.

(n) If the violation was caused or committed by a TPPPS category licensee, the extent to which the cardroom business licensee or TPPPS owner type licensee knew or should have known of the TPPPS category licensee's improper conduct.

(o) ...

Note: Authority: Sections 19825, 19840, and 19930, Business and Professions Code. Reference: Sections 19825, 19920, 19930, and 19984, Business and Professions Code.

§ 12558. Disciplinary Guidelines for Holders of Work Permits.

Pursuant to Business and Professions Code, section 19914, the holder of a Commission work permit will be subject to a minimum penalty of a three-day suspension, which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554, up to a maximum penalty of revocation by the Commission if the Commission finds that the holder:

...

(c) Violated or is in violation of any condition, limitation, or directive previously imposed on the work permit.

...

Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code. Reference: Section 19824, 19878, 19912, 19914, 19920 and 19930, Business and Professions Code.

§ 12560. Disciplinary Guidelines for Third-Party Proposition Player Services Licensees.

(a) If the Commission finds that a TPPPS owner type licensee, 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 be one day of suspension of proposition player services from either a specified cardroom business licensee or all cardroom business licensees, 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.

(b) A TPPPS owner type licensee will be subject to a minimum discipline of suspension of five calendar-days from either a specified cardroom business licensee or all cardroom business licensees, 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, if the Commission finds that:

(1) The TPPPS owner type 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 license, renewal license, or pursuant to disciplinary action;

(2) The TPPPS owner type 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 type licensee has intentionally misrepresented a material fact on an application or supplemental application for licensure;

(4) The TPPPS owner type licensee has engaged in any dishonest, fraudulent, or deceptive activities in connection with controlled gambling or the provision of proposition player services;

(5) The TPPPS owner type licensee has violated any law or ordinance with respect to campaign finance disclosure or contribution limitations, pursuant to Business and Professions Code section 19982;

(6) The TPPPS owner type licensee has violated California Code of Regulations, Title 4, regarding annual fees for third-party proposition player services;

(7) The TPPPS owner type licensee has provided proposition player services in violation of California Code of Regulations, Title 4, Section 12270, subsection (b)(9) or (b)(11);

1 (8) The TPPPS owner type licensee has failed to fully disclose financial arrangements in violation of
2 California Code of Regulations, Title 4, Section 12270, subsection (b)(14);

3 (9) The TPPPS business licensee has failed to report cheating, in violation of California Code of
4 Regulations, Title 4, Section 12270, subsection (b)(17);

5 (10) The TPPPS owner type licensee has purchased, leased, or controlled equipment in violation of
6 California Code of Regulations, Title 4, Section 12270, subsection (b)(20);

7 (11) The TPPPS owner type licensee has failed to have the TPPPS contract approved, in violation of
8 California Code of Regulations, Title 4, Section 12270, subsection (b)(21), or Section 12272;

9 (12) The TPPPS owner type licensee has authorized or provided payment to or receipt by the
10 cardroom business licensee, in violation of California Code of Regulations, Title 4, Section 12270,
11 subsection (c);

12 (13) The TPPPS owner type licensee has been cheating, or has induced or instructed another to cheat,
13 pursuant to Penal Code sections 337t, 337u, 337v, 337w, or 337y;

14 (14) The TPPPS owner type licensee has committed extortion (as that term is defined in Chapter 7 of
15 Title 13 of Part 1 of the Penal Code, commencing with section 518);

16 (15) The TPPPS owner type licensee has committed loan-sharking [as that term is used in Civil Code
17 section 1916-3, subdivision (b)];

18 (16) The TPPPS owner type licensee has conducted or negotiated illegal sales of controlled
19 substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the
20 Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code,
21 section 4022);

22 (17) The TPPPS owner type licensee has committed bribery (as that term is used in Penal Code
23 section 67 or 67.5);

24 (18) The TPPPS owner type licensee has committed money laundering (as that term is used in
25 Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9);

26 (19) The TPPPS owner type licensee has granted rebates to patrons without full disclosure, in
27 violation of California Code of Regulations, Title 4, Section 12270, subsection (b)(18);

28 (20) The TPPPS owner type licensee has violated the provisions regarding playing books listed in
29 California Code of Regulations, Title 4, Section 12250;

30 (21) The TPPPS owner type licensee committed, attempted to commit, or conspired to commit any
31 act prohibited by the Act or this chapter;

32 (22) The TPPPS owner type licensee concealed or refused to disclose any material fact in any inquiry
33 by the Bureau or the Commission;

1 (23) The TPPPS owner type licensee bought or sold chips other than to or from the cardroom
2 business licensee, except for exchanging with a patron, chips of one denomination for chips of another
3 denomination;

4 (24) The TPPPS owner type licensee lent money or chips to a patron;

5 (25) The TPPPS owner type licensee knowingly permitted one or more of the TPPPS owner type
6 licensee's TPPPS employee type licensees to commit any act described in paragraph (9) of subsection (c)
7 or paragraphs (9) to (17), inclusive, of subsection (d);

8 (26) The TPPPS owner type licensee knew, or failed to implement reasonable oversight procedures
9 that would have apprised the TPPPS owner type licensee, that one or more of the TPPPS owner type
10 licensee's TPPPS employee type licensees was in violation of one or more provision the Act or regulation
11 and failed or refused to take action to prevent the recurrence of the violation or violations;

12 (27) The TPPPS owner type licensee provided proposition player services to a gambling enterprise
13 without a Bureau-approved contract on and after April 30, 2004; or,

14 (28) The TPPPS owner type licensee provided prohibited player-dealer services.

15 (c) A TPPPS employee type licensee will be subject to a minimum monetary penalty of \$100 and/or a
16 suspension of three calendar-days and a maximum penalty of revocation if the Commission finds that:

17 (1) The TPPPS employee type licensee has violated or is out of compliance with conditions,
18 limitations, orders, or directives imposed by the Commission, either as part of an initial license, renewal
19 licensee, or pursuant to disciplinary action;

20 (2) The TPPPS employee type licensee has engaged in any dishonest, fraudulent, or deceptive
21 activities in connection with controlled gambling or the provision of proposition player services;

22 (3) The TPPPS employee type licensee has committed any act punishable as a crime, not otherwise
23 listed in these disciplinary guidelines, which substantially relates to the duties and qualifications of the
24 licensee, or which occurred in a gambling establishment or the associated adjacent property;

25 (4) The TPPPS employee type licensee has engaged in any conduct on the premises of the gambling
26 establishment or in connection with controlled gambling or the provision of proposition player services
27 which is inimical to the health, welfare, or safety of the general public;

28 (5) The TPPPS employee type licensee has either failed to wear a badge, worn a badge which was
29 covered, worn a false or altered badge, worn another person's badge, or worn an expired badge;

30 (6) The TPPPS employee type licensee has engaged in fighting or has intentionally provoked a patron
31 or employee of a cardroom business licensee;

32 (7) The TPPPS employee type licensee has maliciously or willfully destroyed or damaged the
33 property of a cardroom business licensee, cardroom employee type licensee, or patron;

1 (8) The TPPPS employee type licensee has accepted tips, gratuities, complimentaries, or gifts from a
2 cardroom category licensee or cardroom businesses licensee's patrons;

3 (9) The TPPPS employee committed, attempted to commit, or conspired to commit any act prohibited
4 by the Act or this chapter; or,

5 (10) The TPPPS employee type licensee has failed to comply with California Code of Regulations,
6 Title 4, Section 12290.

7 (d) A TPPPS employee type licensee will be subject to a minimum monetary penalty of \$300 and/or a
8 suspension of five calendar-days and a maximum penalty of revocation if the Commission finds that:

9 (1) The TPPPS employee type licensee has intentionally misrepresented a material fact on an
10 application, or supplemental application for licensure or approval;

11 (2) The TPPPS employee type licensee has been cheating, pursuant to Penal Code, section 337x;

12 (3) The TPPPS employee type licensee has committed extortion (as that term is defined in Chapter 7
13 of Title 13 of Part 1 of the Penal Code, commencing with section 518);

14 (4) The TPPPS employee type licensee has committed loan-sharking (as that term is used in Civil
15 Code section 1916-3, subdivision (b));

16 (5) The TPPPS employee type licensee has conducted or negotiated illegal sales of controlled
17 substances (as that term is used in Chapter 1 (commencing with section 11000) of Division 10 of the
18 Health and Safety Code) or dangerous drugs (as that term is used in Business and Professions Code,
19 section 4022);

20 (6) The TPPPS employee type licensee has committed bribery (as that term is used in Penal Code
21 section 67 or 67.5);

22 (7) The TPPPS employee type licensee has committed money laundering (as that term is used in
23 Chapter 10 of Title 7 of Part 1 of the Penal Code, commencing with section 186.9);

24 (8) The TPPPS employee type licensee has granted rebates to patrons without full disclosure, in
25 violation of California Code of Regulations, Title 4, Section 12270, subsection (b)(18);

26 (9) The TPPPS employee type licensee intentionally misrepresented a material fact on an application
27 or supplemental application for licensure

28 (10) The TPPPS employee type licensee engaged in any dishonest, fraudulent, or unfairly deceptive
29 activity in connection with controlled gambling, including any violation of laws related to cheating;

30 (11) The TPPPS employee type licensee concealed or refused to disclose any material fact in any
31 inquiry by the Bureau or the Commission;

32 (12) The TPPPS employee type licensee committed, attempted to commit, or conspired to commit an
33 act of embezzlement or larceny;

(13) The TPPPS employee type licensee has been lawfully excluded from being present upon the premises of any licensed gambling establishment for any reason relating to cheating or any violation of the Act;

(14) The TPPPS employee type licensee bought or sold chips other than to or from the house, except for exchanging with a patron, chips of one denomination for chips of another denomination;

(15) The TPPPS employee type licensee lent money or chips to a gambling enterprise patron; or,

(16) The TPPPS employee type licensee made a wager that was not specifically authorized by the game rules as approved by the Bureau.

(e) A TPPPS category licensee will be subject to revocation if the Commission finds that:

(1) The TPPPS category licensee has been convicted of a felony or a crime of moral turpitude that would disqualify the holder from licensure; or,

(2) The TPPPS employee type licensee no longer meets any criterion for eligibility, pursuant to Section 12040.

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

§ 12564. Disciplinary Guidelines for Manufacturers or Distributors.

A registration granted by the Commission for a manufacturer or distributor of gambling equipment will be subject to suspension or revocation by the Commission if the Commission finds that the registrant has violated California Code of Regulations, Title 4, Section 12303, subsection (b).

Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code. Reference: Section 19930, Business and Professions Code.

§ 12566. Disciplinary Guidelines for Cardroom Owner Type Licenses

(a) If the Commission finds that a cardroom business licensee is out of compliance with any mandatory duty specified in or imposed by the Act or any Commission or Bureau regulation, or any local ordinance which directly affects the public health, safety, or welfare, which is not otherwise listed in these disciplinary guidelines, pursuant to Business and Professions Code section 19922, the penalty will be one day of suspension, stayed upon the payment of a penalty, within the guidelines of Business and Professions Code, sections 19930, subdivision (c), and 19943, subdivision (b), as follows:

(1) If the cardroom business licensee has five tables or less and has an annual gross gaming revenue up to and including \$10,000, the penalty will be between \$50 and \$100, based upon the factors in mitigation and aggravation.

(2) If the cardroom business licensee has ten tables or less or has an annual gross gaming revenue over \$10,000, up to and including \$200,000, the penalty will be between \$100 and \$2000, based upon the factors in mitigation and aggravation.

1 (3) If the cardroom business licensee has an annual gross gaming revenue over \$200,000, the penalty
2 will be between \$250 and \$5,000, based upon the factors in mitigation and aggravation.

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

9 ...

10 (3) Violated Business and Professions Code, section 19878 (contract with, employment of, services
11 provided by person(s) with denied, suspended, or revoked license),

12 (4) ...

13 (5) ...

14 (6) ...

15 (7) ...

16 (8) ...

17 (9) Violated California Code of Regulations, Title 11, Section 2050, subsection (a) (failure to
18 maintain cardroom owner type licensee or key employee licensee on premises),

19 (10) ...

20 (11) ...

21 (c) A cardroom business licensee will be subject to a minimum discipline of suspension for five days
22 of normal business operation and a maximum discipline of revocation, which may be stayed on terms and
23 conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554, if
24 the Commission finds that the establishment has:

25 (1) Violated or is out of compliance with conditions, limitations, or orders or directives imposed by
26 the Commission, either as part of an initial license, renewal license, or pursuant to disciplinary action,

27 ...

28 (3) Intentionally misrepresented a material fact on an application or supplemental application for
29 licensure,

30 ...

31 (5) Failed to report to the Commission and Bureau, pursuant to Section 12369, the operation of a
32 business organization participating in a California game when the owners or management of the
33 establishment knew or should have known that a business organization was operating in the establishment
34 in violation of Section 12005,

...

(7) Violated Business and Professions Code, section 19878 (contract with, employment of, services provided by person(s) with denied, suspended, or revoked license or registration), and has been disciplined by the Commission for such a violation previously,

...

(9) Violated Business and Professions Code, section 19921 (failure to exclude persons under 21 from access to gambling areas), and has been disciplined by the Commission for such a violation previously, or violated Business and Professions Code, section 19941 (failure to prohibit persons under 21 from gambling, loitering, being employed in gambling areas, or using fraudulent identification to gamble, loiter, or be employed), unless the cardroom business licensee provides the defense described in Business and Professions Code, section 19941, subdivision (c), or unless the cardroom business licensee shows that the cardroom business licensee has reasonably relied on picture identification which appears to be government issued, including determining that the identification looks real, there are no obvious alterations, the photograph and description reasonably match the person, and the person reasonably looks age 21 or over.

...

(15) Violated California Code of Regulations, Title 11, Section 2050, subsection (a) (failure to maintain cardroom owner type licensee or key employee licensee on premises), and has been disciplined by the Commission for such a violation previously,

...

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

§ 12568. Disciplinary Guidelines for Holders of Licenses, Findings of Suitability, or Approvals.

(a) A license for an individual or any finding of suitability or approval granted by the Commission, other than a work permit, and a cardroom endorsee licensee who has committed a separate violation from the cardroom business licensee will be subject to a minimum discipline of suspension for one day of normal business operation and a maximum discipline of revocation, which may be stayed on terms and conditions and any monetary penalty as described in paragraph (7) of subsection (d) of Section 12554, if the Commission finds that the holder has:

(1) Violated or is out of compliance with conditions, limitations, or orders or directives imposed by the Commission, either as part of an initial license or registration, renewal of such, or pursuant to disciplinary action,

...

(b) A license, finding of suitability, or approval granted by the Commission, other than a work permit, and a cardroom endorsee licensee who has committed a separate violation from the cardroom business licensee will be subject to a minimum discipline of suspension for five days of normal scheduled work 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, if the Commission finds that the holder has:

(1) Intentionally misrepresented a material fact on an application or supplemental application for licensure or registration,

...

(8) As a cardroom owner type licensee, not taken reasonable steps to prevent the crimes listed in subsection (b), paragraphs (5) through and including (7), from occurring at the gambling establishment, when the cardroom owner type licensee knew or should have known that these crimes were being committed,

...

(c) A cardroom owner type license, finding of suitability, or approval granted by the Commission, other than a work permit, and a cardroom endorsee licensee who has committed a separate violation from the cardroom business licensee must be subject to revocation by the Commission on any of the following grounds:

...

Note: Authority: Sections 19825, 19840, 19841 and 19930, Business and Professions Code. Reference: Sections 19823, 19824, 19827, 19857, 19858, 19859, 19860, 19863, 19878, 19880, 19922, 19923, 19924, 19930, 19942 and 19944, Business and Professions Code.

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CHAPTER 1: APPENDIX A

Notice of Contact Information Change

CGCC-CH1-01 (New 05/20)

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BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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

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). To notify the Bureau of the physical relocation of a gambling establishment, please use form Notice of Relocation, CGCC-CH7-02 (New 05/20).

Please note: To change your name you must submit a Badge Replacement Request

All information must be typed or printed legibly in blue or black ink.

SECTION 1: INFORMATION

NAME		LICENSE/PERMIT NUMBER, IF APPLICABLE	
REQUESTOR			
<input type="checkbox"/> Cardroom Business Licensee	<input type="checkbox"/> Cardroom Endorsee Licensee	<input type="checkbox"/> Key Employee Licensee	<input type="checkbox"/> Commission Work Permittee
<input type="checkbox"/> TPPPS Business Licensee	<input type="checkbox"/> TPPPS Endorsee Licensee	<input type="checkbox"/> TPPPS Supervisor Licensee	<input type="checkbox"/> TPPPS Worker Licensee
<input type="checkbox"/> Manufacturer or Distributor	<input type="checkbox"/> Designated Agent	<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 RESIDENCE/PHYSICAL OFFICE ADDRESS (STREET, CITY, STATE, ZIP CODE)		
<input type="checkbox"/> NEW MAILING ADDRESS IF DIFFERENT THAN NEW OR CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)		
<input type="checkbox"/> NEW PRIMARY NUMBER:	<input type="checkbox"/> NEW ALTERNATIVE 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 information in this form is 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:

- If applicant/licensee is a corporation, LLC, or joint venture then by an authorized officer.
- If applicant/licensee is a general partnership or limited partnership then by an authorized partner.
- If applicant/licensee is a sole proprietor then by the owner.
- If applicant/licensee is a trust then by an authorized trustor or trustee.
- If applicant/licensee is a natural person then by the applicant/licensee.

Subpoena

CGCC-CH1-02 (New 05/20)

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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"/> Applicant <input type="checkbox"/> Presiding Officer <input type="checkbox"/> Other	<i>(name, address and telephone number of contact person)</i>
<i>(party name)</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: <i>NOTE: 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-CH1-03 (New 05/20)

Page 1 of 2



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

In the Matter of:

CGCC No.

Failure to submit this Notice of Defense to the California Gambling Control Commission (Commission) and the Bureau of Gambling Control (Bureau) may result in a default decision being issued by the Commission. The Notice of Defense must be received by the Commission and Bureau within 21 days of service by the Commission or Bureau.

SECTION 1: HEARING REQUEST

PLEASE ANSWER THE FOLLOWING:

☐ I REQUEST AN EVIDENTIARY HEARING WHERE THE COMMISSION WILL CONSIDER THE MERITS OF MY APPLICATION, THE BUREAU REPORT, AND ANY RECOMMENDATION OF THE BUREAU.

SECTION 2: HEARING WAIVER

PLEASE ONLY ANSWER THE FOLLOWING IF A HEARING IS NOT REQUESTED UNDER SECTION 1 ABOVE AND IF APPLICABLE:

1 ☐ I ACKNOWLEDGE AND ACCEPT THAT THE CONDITIONS, LIMITATIONS AND RESTRICTIONS ATTACHED TO THE NOTICE WILL BE PLACED ON MY LICENSE, REGISTRATION, FINDING OF SUITABILITY OR OTHER APPROVAL, AND I WAIVE MY RIGHT TO AN EVIDENTIARY HEARING. (SEE BOX 2)

☐ I WAIVE MY RIGHT TO AN EVIDENTIARY HEARING. (SEE BOX 2)

2 _____

THE WAIVER OF MY RIGHT TO AN EVIDENTIARY HEARING INCLUDES A WAIVER OF THE FOLLOWING ASSOCIATED RIGHTS:

- THE RIGHT TO BE HEARD AT THE HEARING
- THE RIGHT TO A COPY OF THE HEARING'S GOVERNING PROCEDURE
- THE RIGHT TO DISCOVERY
- THE RIGHT TO PRESENT ORAL EVIDENCE
- THE RIGHT TO PRESENT AND EXAMINE WITNESSES
- THE RIGHT TO INTRODUCE RELEVANT EXHIBITS
- THE RIGHT TO CROSS-EXAMINE OPPOSING WITNESSES
- THE RIGHT TO IMPEACH WITNESSES
- THE RIGHT TO OFFER REBUTTAL EVIDENCE
- THE RIGHT TO CHALLENGE EVIDENCE USED AGAINST ME
- THE RIGHT TO REQUEST RECONSIDERATION FOLLOWING THE DECISION'S ISSUANCE
- THE RIGHT TO PETITION FOR REVIEW OF THE DECISION UNDER SECTION 1085 OF THE CODE OF CIVIL PROCEDURE

THE WAIVER OF AN EVIDENTIARY HEARING MAY RESULT IN A DEFAULT DECISION BEING ISSUED BY THE COMMISSION BASED UPON THE BUREAU REPORT, ANY SUPPLEMENTAL REPORTS BY THE BUREAU AND ANY OTHER DOCUMENTS OR TESTIMONY ALREADY PROVIDED OR WHICH MAY BE PROVIDED TO THE COMMISSION, OR THAT THE HEARING MAY CONTINUE TO OCCUR ON THE ORIGINALLY NOTICED DATE WITHOUT APPLICANT PARTICIPATION.

SECTION 3: LANGUAGE PREFERENCEPLEASE ANSWER **ONE** OF THE FOLLOWING (IF YOU REQUIRE ASSISTANCE, PLEASE CONTACT THE COMMISSION AT (916) 263-0700):

<input type="checkbox"/>	I UNDERSTAND ENGLISH AND HAVE READ AND UNDERSTAND THIS FORM.	
<input type="checkbox"/>	I DO NOT UNDERSTAND ENGLISH AND HAVE HAD AN INTERPRETER READ AND EXPLAIN THIS FORM TO ME.	
<input type="checkbox"/>	I WILL REQUIRE AN INTERPRETER AT THE HEARING.	INTERPRETER LANGUAGE:

SECTION 4: REPRESENTED BY AN ATTORNEY

PLEASE ONLY ANSWER THE FOLLOWING IF YOU ARE REPRESENTED BY AN ATTORNEY:

<input type="checkbox"/>	I AM REPRESENTED BY AN ATTORNEY, WHOSE NAME, ADDRESS, TELEPHONE NUMBER, AND EMAIL ADDRESS APPEAR BELOW:	
NAME:		
MAILING ADDRESS:		
CITY, STATE AND ZIP CODE:		
TELEPHONE NUMBER:		
EMAIL ADDRESS:		
<input type="checkbox"/>	MY ATTORNEY REQUESTS THAT ALL NOTICES OR WRITTEN COMMUNICATIONS FOR PURPOSES OF THE EVIDENTIARY HEARING BE PROVIDED VIA EMAIL, INSTEAD OF VIA MAIL.	

SECTION 5: SELF-REPRESENTED (WITH OR WITHOUT LAY REPRESENTATION)

PLEASE ANSWER THE FOLLOWING IF YOU ARE NOT REPRESENTED BY AN ATTORNEY OR IF YOU HAVE THE ASSISTANCE OF A LAY REPRESENTATIVE:

<input type="checkbox"/>	I AM NOT REPRESENTED BY AN ATTORNEY. IF AND WHEN AN ATTORNEY IS RETAINED, IMMEDIATE NOTIFICATION OF THE ATTORNEY'S NAME, ADDRESS, TELEPHONE NUMBER, AND EMAIL ADDRESS WILL BE PROVIDED TO THE COMMISSION AND THE BUREAU SO THAT THE ATTORNEY WILL BE ON THE RECORD TO RECEIVE LEGAL NOTICES, PLEADINGS, AND OTHER PAPERS. MY ADDRESS, TELEPHONE NUMBER, AND EMAIL ADDRESS APPEAR BELOW:	
MAILING ADDRESS:		
CITY, STATE AND ZIP CODE:		
TELEPHONE NUMBER:		
EMAIL ADDRESS:		
<input type="checkbox"/>	I REQUEST THAT ALL NOTICES OR WRITTEN COMMUNICATIONS FOR PURPOSES OF THE EVIDENTIARY HEARING BE PROVIDED TO ME VIA EMAIL, INSTEAD OF VIA MAIL.	
<input type="checkbox"/>	I WILL HAVE THE ASSISTANCE OF A LAY REPRESENTATIVE DURING THE HEARING.	

SECTION 6: SIGNATURE

PLEASE FILL OUT THE FOLLOWING. FOR CAPACITY PLEASE LIST THE RELATIONSHIP TO THE APPLICANT (I.E. OWNER, OFFICER, DIRECTOR, MANAGING MEMBER, GENERAL PARTNER, ETC. WRITE N/A IF INDIVIDUAL SIGNING ON OWN BEHALF. LAY REPRESENTATIVES MAY NOT COMPLETE THIS SECTION ON BEHALF OF THE APPLICANT).

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)

Appointment of Designated Agent

CGCC-CH1-04 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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) to the extent consistent with Title 11, Cal. Code Reg., Section 2030(a). The Bureau Chief has the authority to require a designated agent to be appointed, if it is determined that such a need exists to the extent consistent with 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

REQUESTOR

- ☐ OWNER CATEGORY LICENSEE (BUSINESS)
 ☐ OWNER CATEGORY LICENSEE (INDIVIDUAL)
 ☐ KEY EMPLOYEE OR TPPPS SUPERVISOR LICENSEE
 ☐ WORK PERMIT, TPPPS WORKER LICENSEE
- ☐ GAMING RESOURCE SUPPLIER
 ☐ TRIBAL KEY
 ☐ OTHER _____

NAME OF REQUESTOR

TYPE OF ASSOCIATED BUSINESS

- ☐ CARDROOM BUSINESS LICENSEE
 ☐ TRIBAL GAMING RESOURCE SUPPLIER/FINANCIAL SOURCE (VENDOR)
 ☐ 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

- ☐ PROVIDED BY EMPLOYER
 ☐ EMPLOYEE
 ☐ ATTORNEY
 ☐ CERTIFIED PUBLIC ACCOUNTANT
 OTHER _____

MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE)

PRIMARY TELEPHONE NUMBER

ALTERNATE TELEPHONE NUMBER

FAX NUMBER

EMAIL ADDRESS

COMMISSION LICENSE NUMBER(S), IF APPLICABLE

DOES 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.

☐ YES ☐ NO

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:

Please note: this cannot include a designation to assist in an evidentiary hearing

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.

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:

- If applicant/licensee is a corporation, LLC, or joint venture then by an authorized officer.
- If applicant/licensee is a general partnership or limited partnership then by an authorized partner.
- If applicant/licensee is a sole proprietor then by the owner.
- If applicant/licensee is a trust then by an authorized trustor or trustee.
- If applicant/licensee is a natural person then by the applicant/licensee.

CHAPTER 2: APPENDIX A

Badge Replacement Request

CGCC-CH2-01 (New 05/20)

Page 1 of 1

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE 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

SECTION 2: REPLACEMENT INFORMATION**A) TYPE OF APPROVAL**

Provide one of the following:

LICENSE NUMBER

☐ Cardroom Endorsee License
(natural person only)☐ Key Employee License☐ Commission Work Permit☐ TPPPS Endorsee License
(natural person only)☐ TPPPS Supervisor License☐ TPPPS Worker License**B) PURPOSE OF REQUEST**

BADGE WAS:

☐ LOST ☐ STOLEN ☐ DAMAGED☐ CHANGE OF NAME:

FORMER NAME: _____

NEW NAME: _____

INCLUDE ONE OF THE FOLLOWING:

- 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 the information in this form is 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-CH2-02 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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.

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST

FIRST

MIDDLE

SECTION 2: STATUS INFORMATION

A) LICENSE:

LICENSE NUMBER

☐ Key Employee License☐ Commission Work Permit☐ TPPPS Supervisor License☐ TPPPS Worker License**B) EMPLOYMENT CHANGE INFORMATION**

1) PLEASE MARK THE APPROPRIATE BOX BELOW REGARDING YOUR CURRENT EMPLOYMENT STATUS:

☐ 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 AM NO LONGER INTERESTED IN PURSUING THE APPLICATION AND I WISH TO WITHDRAWAL MY APPLICATION PURSUANT TO TITLE 4, CCR, SECTION 12015.

☐ YES ☐ No☐ I AM NO LONGER EMPLOYED WITH: _____ ; and, as of: _____

Name of Owner Category Licensee

Date

HAVE ACCEPTED EMPLOYMENT WITH: _____

Name of Owner Category Licensee

☐ I AM CURRENTLY EMPLOYED WITH: _____ ; and, as of: _____

Name of Owner Category Licensee

Date

HAVE ALSO ACCEPTED EMPLOYMENT WITH: _____

Name of Owner Category Licensee

DESCRIPTION OF DUTIES AT NEW PLACE OF EMPLOYMENT:

2) PLEASE MARK THE APPROPRIATE BOX BELOW REGARDING YOUR PRIOR EMPLOYMENT STATUS:

☐ MY EMPLOYMENT WITH: _____ ended on: _____
Name of Owner Category Licensee Date

☐ I AM NOT WORKING IN A POSITION THAT REQUIRES THE INDICATED LICENSE OR COMMISSION WORK PERMIT SINCE LAST SUBMITTING A NOTIFICATION.

SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the information in this form is 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 employee providing notification.

Notification of Employee Separation

CGCC-CH2-03 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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.

SECTION 1: OWNER CATEGORY LICENSEE INFORMATION

TYPE OF LICENSE

☐

CARDROOM BUSINESS LICENSE

☐

TPPPS BUSINESS LICENSE

NAME OF BUSINESS

SECTION 2: EMPLOYEE CATEGORY LICENSEE INFORMATION**Provide the following information about the employee category licensee who has separated employment.**

FULL NAME: LAST

FIRST

MIDDLE

A) EMPLOYEE CATEGORY LICENSE

Provide one of the following:

LICENSE NUMBER

☐ Key Employee License☐ Commission Work Permit☐ TPPPS Supervisor License☐ TPPPS Worker License

PLEASE PROVIDE THE REASON(S) FOR SEPARATION:

SECTION 3: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the information in this form is 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:

- *If licensee is a corporation, LLC, or joint venture then by an authorized officer.*
- *If licensee is a general partnership or limited partnership then by an authorized partner.*
- *If licensee is a sole proprietor then by the owner.*
- *If licensee is a trust then by an authorized trustor or trustee.*
- *If licensee is a natural person then by the licensee.*

Application for Employee Category License

CGCC-CH2-04 (New 05/20)

Page 1 of 3

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE 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 for an Employee Category 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 an Employee Category 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 (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.

By filing an application, an applicant understands that pursuant to Business and Professions Code section 19828, the Bureau or Commission may make public any communication or publication from, or concerning an applicant's application or corresponding background investigation. By submitting this application, an applicant accepts any risks of adverse action, financial loss, or public notice which may result from any Commission or Bureau action taken with respect to the application, as the action is absolutely privileged and so shall not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action consistent with Business and Professions Code section 19828.

An applicant may request an application be withdrawn pursuant to Title 4, Cal. Code Regs., 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 Category License. As an applicant, it is your responsibility to ensure that you thoroughly understand the questions in this application. If you do not understand any question(s), 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_____
Associated Owner Category Licensee_____
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 WORKER LICENSE |

B) SELECT IF THIS IS AN APPLICATION FOR AN INITIAL OR RENEWAL LICENSE (CHECK APPROPRIATE BOX)

- | | |
|--|--|
| <input type="checkbox"/> <u>INITIAL APPLICATION</u> <ul style="list-style-type: none"> • Key Employee License or TPPPS Supervisor License, an application fee of \$750 • TPPPS Worker License, an application fee of \$500 • Commission Work Permit, an application fee of \$250 | <input type="checkbox"/> <u>RENEWAL APPLICATION</u> <ul style="list-style-type: none"> • Key Employee License or TPPPS Supervisor License, an application fee of \$750 • TPPPS Worker License, an application fee of \$500 • Commission Work Permit, an application fee of \$250 |
| <input type="checkbox"/> <u>ADDITIONAL REQUEST FOR A TEMPORARY LICENSE</u>
Include additional temporary license fee of \$25. | |

NOTE: INITIAL APPLICANTS DO NOT COMPLETE SECTION 3.**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.

ALL APPLICANTS

- | | | |
|--|------------------------------|-----------------------------|
| 1. 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 |
| 2. Have you been convicted of any crime (misdemeanor or felony) since last filing a license or Commission work permit application?
Note: It is your responsibility to verify the circumstances and status of all crimes and you should err on the side of disclosure as failing to disclose a conviction can weigh against your application being approved. | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| KEY EMPLOYEE OR TPPPS SUPERVISOR | | |
| 3. 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 |
| 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 since last applying for a license? 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 COMPLETED AND COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- ☐ COMPLETED REQUEST FOR LIVE SCAN SERVICE (BCIA 0816), INCLUDING THE ATI NUMBER
- ☐ AUTHORIZATION TO RELEASE INFORMATION [CGCC-CH2-13 (New 05/20)] – **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-CH2-08 (New 05/20)
Commission Work Permit and TPPPS Worker License: Commission Work Permit or TPPPS Worker: Supplemental Information, CGCC-CH2-10 (New 05/20)

SECTION 5: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the information in this form is 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.

Application for Owner Category License

CGCC-CH2-05 (New 05/20)

Page 1 of 4

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE/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 Owner Category 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 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 (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.

By filing an application, an applicant understands that pursuant to Business and Professions Code section 19828, the Bureau or Commission may make public any communication or publication from, or concerning an applicant's application or corresponding background investigation. By submitting this application, an applicant accepts any risks of adverse action, financial loss, or public notice which may result from any Commission or Bureau action taken with respect to the application, as the action is absolutely privileged and so shall not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action consistent with Business and Professions Code section 19828.

An applicant may request an application be withdrawn pursuant to Title 4, California Code of Regulations, 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 any question(s), 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_____
Associated Owner Category Licensee_____
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 LICENSE
The sole proprietor, LLC, corporation, partnership, trust, or business entity that operates a gambling establishment | <input type="checkbox"/> TPPPS BUSINESS LICENSE
The sole proprietor, LLC, 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 LICENSE
An endorsed licensee is any other type not covered above, such as: an officer in a corporation, a shareholder, 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 LICENSE
An owner is any other type not covered above, such as: an officer in a corporation, a shareholder, 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"/> <u>INITIAL APPLICATION</u> <ul style="list-style-type: none"> \$1000 Application Fee Cardroom business licensee, 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"/> <u>INITIAL APPLICATION WITH REQUEST FOR TEMPORARY LICENSE</u> <ul style="list-style-type: none"> \$1000 Application Fee Cardroom business licensee, 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 Include additional temporary license fee of \$25. | <input type="checkbox"/> <u>RENEWAL APPLICATION</u> <ul style="list-style-type: none"> \$1000 Application Fee Cardroom business licensee, Cardroom endorsee licensee, Cardroom business licensee, or Cardroom endorsee licensee, a delinquency fee of \$1000, if applicable Cardroom business licensee, a background investigation deposit required in Title 11, Cal. Code Regs., Section 2037 |
| <input type="checkbox"/> <u>BADGE REQUIRED</u> <ul style="list-style-type: none"> \$25 Application Fee | <input type="checkbox"/> <u>BADGE REQUIRED</u> <ul style="list-style-type: none"> \$25 Application Fee | <input type="checkbox"/> <u>BADGE REQUIRED</u> <ul style="list-style-type: none"> \$25 Application Fee |

NOTE: INITIAL APPLICANTS AND INITIAL APPLICANTS WITH REQUEST FOR TEMPORARY LICENSE DO NOT COMPLETE SECTION 2.

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.

ALL APPLICANTS

- | | | | | |
|--|--------------------------|-----|--------------------------|----|
| 1. Have you been a party to any civil litigation since last filing a license application? | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |
| 2. Have you been named in any administrative action affecting any license certification since last filing a license application? | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |
| 3. Have you been convicted of any crime (misdemeanor or felony) since last filing a license or Commission work permit application?
Note: It is your responsibility to verify the circumstances and status of all crimes and you should err on the side of disclosure as failing to disclose a conviction can weigh against your application being approved. | <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 application? | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |
| 5. 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 |
| 6. Do you have a financial interest in the cannabis industry? If yes, answer question 7. | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |
| 7. If the answer to Question 6 was yes, do you currently have or do you intend to acquire a license or permit in the cannabis industry? | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |

CARDROOM BUSINESS LICENSEE OR TPPPS BUSINESS LICENSEE

- | | | | | |
|--|--------------------------|-----|--------------------------|----|
| 8. Have there been any changes affecting ownership or controlling interest in this business since last filing a license application? | <input type="checkbox"/> | YES | <input type="checkbox"/> | No |
| 9. 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 |
| 10. 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 LICENSEE

- | | | | | |
|---|--------------------------|-----|--------------------------|----|
| 11. Has there been any change to the terms (financial or otherwise) of the business' lease or a change of landlord since last filing a license application? | <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 a cardroom business licensee.**

<input type="checkbox"/> GAMING HOURS 24 HOURS/365 DAYS 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							
<p>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.</p>							
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 COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

<input type="checkbox"/> COMPLETED REQUEST FOR LIVE SCAN SERVICE (BCIA 0816), INCLUDING THE ATI NUMBER
<input type="checkbox"/> AUTHORIZATION TO RELEASE INFORMATION [CGCC-CH2-13 (New 05/20)] – PROVIDE ORIGINAL
<input type="checkbox"/> NOTE: INITIAL APPLICANTS MUST ALSO ATTACH A COMPLETED SUPPLEMENTAL BACKGROUND INFORMATION FORM, AS INDICATED BELOW: <u>Cardroom business licensee or TPPPS business licensee:</u> Business Entity: Supplemental Information, CGCC-CH2-06 (New 05/20) in addition to any other form required below <u>Individual Applicants:</u> Individual Owner/Principal: Supplemental Information, CGCC-CH2-07 (New 05/20) <u>Entity Applicants:</u> Business Entity: Supplemental Information, CGCC-CH2-06 (New 05/20) <u>*Trust Applicants:</u> Trust: Supplemental Information, CGCC-CH2-09 (New 05/20) *Current beneficiaries do not need to submit an application if the beneficiary is less than 21 years of age. 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 the information in this form is 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:

- *If applicant is a corporation, LLC, or joint venture then by an authorized officer.*
- *If applicant is a general partnership or limited partnership then by an authorized partner.*
- *If applicant is a sole proprietor then by the owner.*
- *If applicant is a trust then by an authorized trustor or trustee.*
- *If applicant is a natural person then by the applicant/.*

Business Entity: Supplemental Information

CGCC-CH2-06 (New 05/20)

Page 1 of 13

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.

Applicant's Full Name_____
Associated Owner Category Licensee**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

- ☐ General Partnership
 ☐ Corporation:
 ☐ Publicly Traded
 ☐ Private:
 ☐ Sub-Chapter S
 ☐ Sub-Chapter C
- ☐ Limited Partnership
- ☐ Joint Venture
- ☐ Limited Liability Company
- ☐ Other: _____

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

EMAIL ADDRESS (IF APPLICABLE)

WEBSITE ADDRESS (IF APPLICABLE)

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)?
IF YES, PROVIDE THE FOLLOWING DETAILS.

☐ YES☐ NO

1) BUSINESS NAME

STATE/PROVINCE, COUNTRY

2) BUSINESS NAME

STATE/PROVINCE, COUNTRY

B) DOES THIS BUSINESS ENTITY HAVE PARENT COMPANIES, SUBSIDIARIES, OR AFFILIATES?

IF YES, PROVIDE THE FOLLOWING DETAILS AND ATTACH ORGANIZATION CHART.

☐ YES☐ NO

1) BUSINESS NAME

STATE/PROVINCE, COUNTRY

☐

PARENT

☐

SUBSIDIARY

☐

AFFILIATE

2) BUSINESS NAME

STATE/PROVINCE, COUNTRY

☐

PARENT

☐

SUBSIDIARY

☐

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?
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."

☐ YES☐ 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).

☐ Yes ☐ No

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER		TYPE OF APPLICATION		ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)		
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		ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)		
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		ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)		
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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 VOCATIONAL, PROFESSIONAL, OR OCCUPATIONAL LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY NOT RELATED TO GAMING? HAS THE BUSINESS ENTITY EVER HAD ANY OTHER LICENSE PERMIT, CERTIFICATION, OR FINDING OF SUITABILITY NOT RELATED TO GAMING DENIED, SUSPENDED, OR REVOKED?

IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER

TYPE OF APPLICATION

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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	DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)
2) STATE/PROVINCE, COUNTRY	REGISTRATION OR LICENSE NUMBER	DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)
3) STATE/PROVINCE, COUNTRY	REGISTRATION OR LICENSE NUMBER	DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)
4) STATE/PROVINCE, COUNTRY	REGISTRATION OR LICENSE NUMBER	DATE HELD FROM (MM/DD/YYYY)	DATE HELD 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. A LAWSUIT OR ARBITRATION THAT HAS BEEN SEALED OR ALLOWED TO PROCEED ANONYMOUSLY PURSUANT TO A COURT ORDER NEED NOT BE PROVIDED. If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.			<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 THE 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 THE 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 THE 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. If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.			<input type="checkbox"/> YES <input type="checkbox"/> NO
DATE (MM/DD/YYYY)	COUNTRY	PROVIDE DETAILS	

SECTION 5: PAYMENTS EXCEEDING \$100,000

DID THIS BUSINESS ENTITY MAKE PAYMENTS TO OR RECEIVE ANY PAYMENTS FROM ANY PERSON IN CONNECTION WITH GAMING ACTIVITY IN THE PREVIOUS CALENDAR YEAR THAT EXCEEDED \$100,000? (PLEASE EXCLUDE EMPLOYEES, SHAREHOLDERS, 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.

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

DATE FILED (MM/DD/YYYY)	CASE NUMBER (IF KNOWN)	DATE OF DISCHARGE (MM/DD/YYYY)
FEDERAL DISTRICT COURT WHERE FILED	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 TO ITS OWNERSHIP AND/OR CONTROLLING INTEREST WITHIN THE LAST THREE YEARS?

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

BRIEFLY EXPLAIN THE CIRCUMSTANCES.

D) HAS THIS BUSINESS ENTITY BEEN AUDITED BY ANY TAXING AUTHORITY WITHIN THE LAST 10 YEARS?

If YES, PROVIDE DETAILS AND DATES BELOW.

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

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?

If Yes, provide the following details.

☐ Yes ☐ No

If this applicant currently holds a valid license, this question need only be answered in a manner to update since the last time this form or another supplemental information form was submitted and licensure granted.

☐ JUDGMENT
☐ LIEN

DATE FILED (MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

☐ JUDGMENT
☐ LIEN

DATE FILED (MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

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.

☐ Yes ☐ No

If this applicant currently holds a valid license, this question need only be answered in a manner to update since the last time this form or another supplemental information form was submitted and licensure granted.

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 BINGO PARLOR, BOOKMAKING OPERATION, CARD GAME, CASINO, GAMBLING EQUIPMENT, GAMBLING ESTABLISHMENT (CARDROOM), LOTTERY, PARI-MUTUEL OPERATION, RACE HORSE/DOG, OR RACE TRACK? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.				<input type="checkbox"/> YES <input type="checkbox"/> NO			
1) NAME OF BUSINESS		LOCATION OF BUSINESS (CITY, STATE)		NAME OF PARTNERS		INTEREST/TYPE OF VENTURE	
DATE INVOLVED FROM (MM/DD/YYYY)		DATE INVOLVED TO (MM/DD/YYYY)		PERCENTAGE OF OWNERSHIP			
2) NAME OF BUSINESS		LOCATION OF BUSINESS (CITY, STATE)		NAME OF PARTNERS		INTEREST/TYPE OF VENTURE	
DATE INVOLVED FROM (MM/DD/YYYY)		DATE INVOLVED TO (MM/DD/YYYY)		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? PLEASE NOTE, THIS DOES NOT INCLUDE PLAYERS' BANKS. 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 INFORMATION, CGCC-CH2-09 (NEW 05/20).						<input type="checkbox"/> YES <input type="checkbox"/> NO	
NAME OF TRUST							

K) 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.

☐ YES

☐ 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			
6) 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			
7) 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			
8) 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 LICENSEE OR TPPPS BUSINESS LICENSEE'S REVENUE?

EACH PERSON WHO RECEIVES A PERCENTAGE OF REVENUES FROM THE CARDROOM BUSINESS LICENSEE OR TPPPS BUSINESS LICENSEE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION FOR A CARDROOM ENDORSEE 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 LICENSEE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION FOR A CARDROOM ENDORSEE LICENSE.

☐ YES ☐ NO

1) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE)	ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)	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/PROVINCE, COUNTRY)	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/PROVINCE, COUNTRY)	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/PROVINCE, COUNTRY)	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.		<input type="checkbox"/> YES <input type="checkbox"/> NO
AMOUNT OF MONEY RECORDS SHOW AS BEING DEPOSITED BY PLAYERS \$	FINANCIAL INSTITUTION WHERE ACCOUNT IS MAINTAINED	CURRENT BALANCE \$

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 LICENSEE IS REQUIRED TO SUBMIT A SEPARATE APPLICATION FOR A CARDROOM ENDORSEE LICENSE.

☐ YES ☐ NO

1) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE)		ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)
	COMPENSATION ARRANGEMENT/PERCENTAGE OF REVENUE	GAME INVENTED/BEING PLAYED
2) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE)		ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)
	COMPENSATION ARRANGEMENT/PERCENTAGE OF REVENUE	GAME INVENTED/BEING PLAYED
3) NAME OF PERSON WITH INTEREST (LAST, FIRST, MIDDLE)		ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)
	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 COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

<input type="checkbox"/>	BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037
<input type="checkbox"/>	APPOINTMENT OF DESIGNATED AGENT [CGCC-CHI-04 (New 05/20)] – PROVIDE ORIGINAL
<input type="checkbox"/>	IF CORPORATION: CURRENT ARTICLES OF INCORPORATION, STATEMENT OF INFORMATION, AND BYLAWS
<input type="checkbox"/>	IF LIMITED LIABILITY COMPANY (LLC): CURRENT ARTICLES OF ORGANIZATION, OPERATING AGREEMENT, AND STATEMENT OF INFORMATION
<input type="checkbox"/>	IF LIMITED PARTNERSHIP: CERTIFICATE OF LIMITED PARTNERSHIP, PARTNERSHIP AGREEMENT, AND OPERATING AGREEMENT
<input type="checkbox"/>	IF PARTNERSHIP: PARTNERSHIP AGREEMENT AND STATEMENT OF PARTNERSHIP AUTHORITY IF ONE WAS FILED
<input type="checkbox"/>	ORGANIZATIONAL CHART – SHOWS NAMES OF SUPERVISORS, JOB TITLES, NUMBER OF EMPLOYEES REPORTING TO SUPERVISORS AND LINES OF ACCOUNTABILITY
<input type="checkbox"/>	BUSINESS OWNERSHIP ORGANIZATIONAL CHART – SHOW ENTITY'S OWNERSHIP HIERARCHY CONSISTENT WITH BUSINESS AND PROFESSIONS CODE SECTION 19852, IF APPLICABLE
<input type="checkbox"/>	FICTITIOUS BUSINESS NAME FILING
<input type="checkbox"/>	MANAGEMENT COMPANY/CONSULTANT AGREEMENT, IF APPLICABLE
<input type="checkbox"/>	ANY ACTIVE STATE OR LOCAL LICENSE, PERMIT, OR REGISTRATION
<input type="checkbox"/>	LOAN DOCUMENTATION RELATING TO THE PURCHASE OF THE CARDROOM BUSINESS LICENSEE/TPPPS BUSINESS LICENSEE, IF APPLICABLE
<input type="checkbox"/>	FEDERAL AND STATE BUSINESS TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS
<input type="checkbox"/>	INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) – PROVIDE ORIGINAL
<input type="checkbox"/>	PROVIDE A COPY OF ANY TAXING AUTHORITY AUDIT RESULTS/FINDINGS
<input type="checkbox"/>	CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR EACH BUSINESS
<input type="checkbox"/>	MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
<input type="checkbox"/>	MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS
<input type="checkbox"/>	BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE)
<input type="checkbox"/>	SCHEDULES A THROUGH K FROM SUPPLEMENTAL INFORMATION: SCHEDULES [CGCC-CH2-11 (New 05/20)] – PROVIDE ORIGINAL
<input type="checkbox"/>	CURRENT COPY OF BUSINESS LICENSE/TAX CERTIFICATE
<input type="checkbox"/>	CURRENT CONDITIONAL USE PERMIT, IF APPLICABLE
<input type="checkbox"/>	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 cardroom business license:	
<input type="checkbox"/>	STATEMENT FOR CHIPS IN USE ACCOUNT (MOST RECENT)
<input type="checkbox"/>	STATEMENT FOR PLAYERS' BANK ACCOUNT (MOST RECENT)
<input type="checkbox"/>	CHART OF ACCOUNTS REQUIRED PURSUANT TO TITLE 4, CAL. CODE REGS., SECTION 12312(D)
<input type="checkbox"/>	CARDROOM SECURITY PLAN/CARDROOM FLOOR AND GAMBLING TABLE LAYOUT (BUSINESS AND PROFESSIONS CODE §19924)
<input type="checkbox"/>	EMERGENCY PREPAREDNESS AND EVACUATION PLAN (CAL. CODE REGS., TITLE 4, §12370)
<input type="checkbox"/>	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 the information in this form is 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:

- *If applicant is a corporation, LLC, or joint venture then by an authorized officer.*
- *If applicant is a general partnership or limited partnership then by an authorized partner.*
- *If applicant is a sole proprietor then by the owner.*
- *If applicant is a trust then by an authorized trustor or trustee.*
- *If applicant is a natural person then by the applicant.*

**Individual Owner/Principal:
Supplemental Information**

CGCC-CH2-07 (New 05/20)

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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 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_____
Associated Owner Category Licensee_____
Associated Endorsed Owner, if Applicable**TYPE OF OWNER APPLICANT (CHECK APPROPRIATE BOX):**☐ TPPPS BUSINESS LICENSEE☐ CARDROOM BUSINESS LICENSEE☐ TPPPS ENDORSEE LICENSEE☐ CARDROOM ENDORSEE LICENSEE

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST		FIRST		MIDDLE	
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES					
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	
DATE OF BIRTH (MM/DD/YYYY)	DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER			STATE	EXPIRATION DATE (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 YOUR A-NUMBER			SOCIAL SECURITY NUMBER		
DISCLOSURE					
DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER IS MANDATORY. BUSINESS AND PROFESSIONS CODE SECTION 30 AND PUBLIC LAW 94-455 [42 USC SECTION 405(C)(2)(C)] AUTHORIZE COLLECTION OF YOUR SOCIAL SECURITY NUMBER. YOUR SOCIAL SECURITY NUMBER WILL BE USED EXCLUSIVELY FOR TAX ENFORCEMENT PURPOSES, FOR PURPOSES OF COMPLIANCE WITH ANY JUDGMENT OR ORDER FOR FAMILY SUPPORT IN ACCORDANCE WITH FAMILY CODE SECTION 17520 OR FOR DATABASE INQUIRIES REQUIRED FOR LICENSURE. IF YOU FAIL TO DISCLOSE YOUR SOCIAL SECURITY NUMBER, YOUR APPLICATION WILL NOT BE PROCESSED AND YOU WILL BE REPORTED TO THE FRANCHISE TAX BOARD, WHICH MAY ASSESS A \$100 PENALTY AGAINST YOU.					
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	
RELATIONSHIP TO OWNER CATEGORY LICENSEE LIST ALL THAT APPLY.					
<input type="checkbox"/> Sole Proprietor		<input type="checkbox"/> Officer		<input type="checkbox"/> Trustor	
<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"/> Current Beneficiary	
<input type="checkbox"/> Shareholder		<input type="checkbox"/> LLC Member		<input type="checkbox"/> Contingent Beneficiary	
				<input type="checkbox"/> Financial Interest Holder	
				<input type="checkbox"/> TPPPS Funding Source	
				<input type="checkbox"/> Community Property Interest	
				<input type="checkbox"/> Other: _____	

SECTION 2: FAMILY/COHABITANT INFORMATION

A) RELATIONSHIP STATUS			
<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		
B) CURRENT SPOUSE/REGISTERED DOMESTIC PARTNER			
FULL NAME: LAST		FIRST	MIDDLE
			FORMER NAME
DATE OF BIRTH (MM/DD/YYYY)		DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY)	
RESIDENCE IF DIFFERENT FROM APPLICANT (STREET, CITY, STATE, ZIP CODE)			

C) FORMER SPOUSE/REGISTERED DOMESTIC PARTNER

FULL NAME: LAST		FIRST	MIDDLE	FORMER NAME
DATE OF BIRTH (MM/DD/YYYY)	DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY)		DATE OF DIVORCE (MM/DD/YYYY)	STATE IN WHICH DIVORCE OCCURRED

D) 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.

☐ YES ☐ NO

1) FULL NAME: LAST	FIRST	MI	FORMER NAME	RELATIONSHIP
NAME OF BUSINESS			FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD	
2) FULL NAME: LAST	FIRST	MI	FORMER NAME	RELATIONSHIP
NAME OF BUSINESS			FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD	

E) CHILDREN AND DEPENDENTS

PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING NATURAL, ADOPTED, CURRENT FOSTER AND STEP-CHILDREN) AND DEPENDENTS.

☐ N/A

NAME (LAST, FIRST, MIDDLE, FORMER NAME)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP	OCCUPATION

F) CO-HABITANTS AND ROOMMATES

PROVIDE THE FOLLOWING INFORMATION FOR ANY PERSONS 18 YEARS OF AGE OR OLDER (NOT OTHERWISE DISCLOSED) WITH WHOM YOU RESIDE.

☐ N/A

NAME (LAST, FIRST, MIDDLE, FORMER NAME)	DATE OF BIRTH	EMPLOYER/OCCUPATION	EMPLOYER ADDRESS AND TELEPHONE	RELATIONSHIP

G) 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, FORMER NAME)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP	OCCUPATION

H) 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.

☐ N/A

NAME (LAST, FIRST, MIDDLE, FORMER NAME)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP	OCCUPATION

SECTION 3: MILITARY EXPERIENCE**A) HAVE YOU EVER SERVED IN ANY ARMED FORCES?**

IF YES, PROVIDE THE FOLLOWING DETAILS. (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.)

☐ YES ☐ NO

BRANCH OF SERVICE AND COUNTRY IF NOT THE U.S.	DATES OF SERVICE FROM (MM/DD/YYYY)	DATES OF SERVICE TO (MM/DD/YYYY)
RANK AT SEPARATION		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.

☐ YES ☐ NO

DATE (MM/DD/YYYY)	FINAL CHARGE	COURT LOCATION (CITY, STATE/PROVINCE/COUNTRY)
EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS		

SECTION 4: CRIMINAL CONVICTIONS/PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION

FOR THE FOLLOWING SECTION:

YOU ARE REQUIRED TO DISCLOSE ANY AND ALL CRIMINAL CONVICTIONS REGARDLESS OF:

- 1) THE DATE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED NO MATTER HOW OLD THE CONVICTION IS;**
- 2) THE DEGREE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED WHETHER IT WAS A FELONY OR MISDEMEANOR, WHICH INCLUDES TRAFFIC VIOLATIONS** CHARGED AS MISDEMEANORS OR FELONIES, INCLUDING DRIVING UNDER THE INFLUENCE, DRIVING ON A SUSPENDED LICENSE, ETC.;
- 3) THE STATUS OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED REGARDLESS OF WHETHER YOU HAD THE CONVICTION REDUCED, DISMISSED, OR EXPUNGED, OR WHETHER YOU ARE ON OR OFF PROBATION; AND**

YOU ARE NOT REQUIRED TO DISCLOSE:

- 1) **INFRACTIONS**, I.E. SPEEDING OR PARKING TICKETS. HOWEVER, IT IS YOUR RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND **YOU SHOULD ERR ON THE SIDE OF DISCLOSURE AS FAILING TO DISCLOSE A CONVICTION CAN WEIGH AGAINST YOUR APPLICATION BEING APPROVED.**
- 2) **ANY CONVICTION SEALED PURSUANT TO A COURT ORDER.** PLEASE NOTE THAT ANY CONVICTIONS REDUCED, EXPUNGED, OR DISMISSED INCLUDING THOSE UNDER PENAL CODE SECTION 1203.4, 1203.4A, OR 1203.45 ARE NOT SEALED AS A MATTER OF COURSE AND **MUST STILL BE DISCLOSED.**

A) HAVE YOU EVER BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY?

IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH CONVICTION.

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 THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) APPROXIMATE DATE OF CONVICTION
(MM/DD/YYYY)

ARRESTING AGENCY

COURT LOCATION (CITY, STATE)

IDENTIFY CRIMINAL CONVICTIONS BELOW AND ON A SEPARATE PIECE OF PAPER 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 BELOW AND ON A SEPARATE PIECE OF PAPER 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 ILLEGAL GAMBLING ACTIVITIES THAT YOU KNEW OR SHOULD HAVE KNOWN WERE ILLEGAL?

☐ 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 EVER BEEN FOUND IN VIOLATION OF THE U.S. FOREIGN CORRUPT PRACTICES ACT OR EQUIVALENT IN ANOTHER COUNTRY?

☐ YES ☐ NO

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

G) HAVE YOU, AS AN INDIVIDUAL OR IN CONNECTION WITH ANY BUSINESS ENTITY, BEEN PARTY TO A LAWSUIT OR ARBITRATION WITHIN THE LAST 10 YEARS?

A LAWSUIT OR ARBITRATION THAT HAS BEEN SEALED, ALLOWED TO PROCEED ANONYMOUSLY PURSUANT TO A COURT ORDER, OR WHERE THE APPLICANT IS A CLASS MEMBER IN A CLASS ACTION LAWSUIT NEED NOT BE PROVIDED.

☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

1) APPROXIMATE DATE FILED
(MM/DD/YYYY)

PARTIES INVOLVED

CASE NUMBER

COURT LOCATION (CITY, STATE)

DISPOSITION DATE (MM/DD/YYYY)

FINAL DISPOSITION

BRIEFLY EXPLAIN THE 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 THE 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE NUMBER	EXT	
Do you have a written 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE NUMBER	EXT	
REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES.					

3) 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE	TELEPHONE 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE	TELEPHONE NUMBER	EXT		
REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES.								

SECTION 7: LICENSING INFORMATION

A) HAVE YOU EVER APPLIED FOR OR BEEN ISSUED A LICENSE, PERMIT, CERTIFICATE, REGISTRATION, OR FINDING OF SUITABILITY <u>RELATED TO GAMING</u> 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.					<input type="checkbox"/> YES <input type="checkbox"/> NO	
1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER		TYPE OF APPLICATION			ISSUING AGENCY	
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)				
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			ISSUING AGENCY	
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)				
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) 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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) HAVE YOU EVER HELD OR APPLIED FOR A VOCATIONAL, PROFESSIONAL, OR OCCUPATIONAL LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY NOT RELATED TO GAMING? HAVE YOU EVER HAD ANY OTHER LICENSE PERMIT, CERTIFICATION, OR FINDING OF SUITABILITY NOT RELATED TO GAMING DENIED, SUSPENDED, OR REVOKED?

IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER

TYPE OF APPLICATION

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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

ISSUING AGENCY

DATE HELD FROM (MM/DD/YYYY)

DATE HELD TO (MM/DD/YYYY)

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

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.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

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.

☐ YES ☐ 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.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) NAME OF BUSINESS ENTITY	BUSINESS TELEPHONE NUMBER	INVOLVED FROM (MM/DD/YYYY)	INVOLVED 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 TELEPHONE NUMBER	INVOLVED FROM (MM/DD/YYYY)	INVOLVED 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		
3) NAME OF BUSINESS ENTITY	BUSINESS TELEPHONE NUMBER	INVOLVED FROM (MM/DD/YYYY)	INVOLVED 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	INVOLVED FROM (MM/DD/YYYY)	INVOLVED 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 9: BUSINESS INTEREST – NON-GAMING RELATED

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.

☐ Yes ☐ No

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 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		
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		
7) 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

DATE FILED (MM/DD/YYYY)

CASE NUMBER (IF KNOWN)

DATE OF DISCHARGE (MM/DD/YYYY)

FEDERAL DISTRICT COURT WHERE FILED

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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO☐ JUDGMENT
☐ LIEN

DATE FILED (MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

☐ JUDGMENT
☐ LIEN

DATE FILED (MM/DD/YYYY)

NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ 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. DO NOT INCLUDE ANY INFORMATION PROVIDED BELOW IN PART E.

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NOADDRESS 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ 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 OWNER CATEGORY LICENSEE HELD BY A TRUST (ESTATE PLANNING OR OTHER)? IF YES, YOU MUST ALSO COMPLETE AND SUBMIT A TRUST: SUPPLEMENTAL INFORMATION, CGCC-CH2-09 (NEW 05/20) 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					
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					
J) HAVE YOU GIVEN OR RECEIVED ANY GIFT(S), WHETHER TANGIBLE OR INTANGIBLE WHICH EITHER INDIVIDUALLY OR IN THE AGGREGATE EXCEEDED \$10,000 IN VALUE IN ANY ONE-YEAR PERIOD WITHIN THE LAST THREE YEARS? IF YES, PROVIDE THE FOLLOWING DETAILS.					<input type="checkbox"/> YES <input type="checkbox"/> NO
1) NAMES OF THE PARTIES GIVING OR RECEIVING GIFT		TOTAL AMOUNT OF GIFT		GIVEN OR RECEIVED	
2) NAMES OF THE PARTIES GIVING OR RECEIVING GIFT		TOTAL AMOUNT OF GIFT		GIVEN OR RECEIVED	
K) HAVE YOU EXCHANGED CURRENCY IN AN AMOUNT OF MORE THAN \$10,000 WITHIN THE LAST THREE YEARS?					<input type="checkbox"/> YES <input type="checkbox"/> NO

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 COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- | | |
|--------------------------|---|
| <input type="checkbox"/> | BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037 |
| <input type="checkbox"/> | APPOINTMENT OF DESIGNATED AGENT [CGCC-CH1-04 (New 05/20)] – PROVIDE ORIGINAL |
| <input type="checkbox"/> | SPOUSAL INFORMATION [CGCC-CH2-12(New 05/20)] – PROVIDE ORIGINAL |
| <input type="checkbox"/> | MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), OR EQUIVALENT, IF APPLICABLE |
| <input type="checkbox"/> | ALL ACTIVE BADGES, PERMITS, ETC. ISSUED BY A CALIFORNIA CITY OR COUNTY (FRONT AND BACK COPY) |
| <input type="checkbox"/> | MANAGEMENT COMPANY/CONSULTANT AGREEMENT RELATING TO THE GAMING RELATED BUSINESS, IF APPLICABLE |
| <input type="checkbox"/> | FEDERAL AND STATE INDIVIDUAL AND BUSINESS TAX RETURNS. INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS |
| <input type="checkbox"/> | INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T). PROVIDE ORIGINAL |
| <input type="checkbox"/> | CURRENT BALANCE SHEET AND INCOME STATEMENT FOR YOURSELF AND ALL OF YOUR BUSINESSES FOR THE MOST RECENT CALENDAR YEAR |
| <input type="checkbox"/> | MONTHLY BANK STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS |
| <input type="checkbox"/> | MONTHLY/QUARTERLY INVESTMENT ACCOUNT STATEMENTS FOR ALL PERSONAL AND BUSINESS ACCOUNTS FOR THE LAST 12 MONTHS |
| <input type="checkbox"/> | BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE) |
| <input type="checkbox"/> | SCHEDULES A THROUGH J FROM SUPPLEMENTAL INFORMATION: SCHEDULES [CGCC-CH2-11(New 05/20)] – 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 the information in this form is 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.

**Key Employee or TPPPS Supervisor:
Supplemental Information**

CGCC-CH2-08 (New 05/20)

Page 1 of 12

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 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_____
Associated Owner Category Licensee**TYPE OF APPLICANT (CHECK APPROPRIATE BOX):**☐ TPPPS SUPERVISOR LICENSEE☐ KEY EMPLOYEE LICENSEE

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST		FIRST	MIDDLE	
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES				
CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)				
PRIMARY TELEPHONE NUMBER		ALTERNATE TELEPHONE NUMBER	EMAIL ADDRESS	
DATE OF BIRTH (MM/DD/YYYY)	DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER		STATE	EXPIRATION DATE (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 YOUR A-NUMBER			SOCIAL SECURITY NUMBER	
DISCLOSURE				
DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER IS MANDATORY. BUSINESS AND PROFESSIONS CODE SECTION 30 AND PUBLIC LAW 94-455 [42 USC SECTION 405(C)(2)(C)] AUTHORIZE COLLECTION OF YOUR SOCIAL SECURITY NUMBER. YOUR SOCIAL SECURITY NUMBER WILL BE USED EXCLUSIVELY FOR TAX ENFORCEMENT PURPOSES, FOR PURPOSES OF COMPLIANCE WITH ANY JUDGMENT OR ORDER FOR FAMILY SUPPORT IN ACCORDANCE WITH FAMILY CODE SECTION 17520 OR FOR DATABASE INQUIRIES REQUIRED FOR LICENSURE. IF YOU FAIL TO DISCLOSE YOUR SOCIAL SECURITY NUMBER, YOUR APPLICATION WILL NOT BE PROCESSED AND YOU WILL BE REPORTED TO THE FRANCHISE TAX BOARD, WHICH MAY ASSESS A \$100 PENALTY AGAINST YOU.				
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

A) RELATIONSHIP STATUS				
<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	FORMER NAME
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				
FULL NAME: LAST		FIRST	MIDDLE	FORMER NAME
DATE OF BIRTH (MM/DD/YYYY)	DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY)	DATE OF DIVORCE (MM/DD/YYYY)	STATE IN WHICH DIVORCE OCCURRED	
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	FORMER NAME	RELATIONSHIP
NAME OF BUSINESS		FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD		

2) FULL NAME: LAST	FIRST	MI	FORMER NAME	RELATIONSHIP
NAME OF BUSINESS			FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD	

D) CHILDREN AND DEPENDENTS PROVIDE THE FOLLOWING INFORMATION FOR EACH OF YOUR CHILDREN (INCLUDING NATURAL, ADOPTED, CURRENT FOSTER, AND STEP-CHILDREN) AND DEPENDENTS.				<input type="checkbox"/> N/A
NAME (LAST, FIRST, MIDDLE, FORMER NAME)	DATE OF BIRTH	RESIDENCE ADDRESS	RELATIONSHIP	OCCUPATION
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, FORMER NAME)	DATE OF BIRTH	EMPLOYER/OCCUPATION	EMPLOYER ADDRESS AND TELEPHONE	RELATIONSHIP

SECTION 3: MILITARY EXPERIENCE

A) HAVE YOU EVER SERVED IN ANY ARMED FORCES? IF YES, PROVIDE THE FOLLOWING DETAILS. (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 AND COUNTRY IF NOT THE U.S.	DATES OF SERVICE FROM (MM/DD/YYYY)	DATES OF SERVICE TO (MM/DD/YYYY)		
RANK AT SEPARATION		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/PROVINCE/COUNTRY)		
EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS				

SECTION 4: CRIMINAL CONVICTIONS/PENDING, CURRENT AND PAST LITIGATION AND ARBITRATION

FOR THE FOLLOWING SECTION:

YOU ARE REQUIRED TO DISCLOSE ANY AND ALL CRIMINAL CONVICTIONS REGARDLESS OF:

- 1) THE DATE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED NO MATTER HOW OLD THE CONVICTION IS;**
- 2) THE DEGREE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED WHETHER IT WAS A FELONY OR MISDEMEANOR, WHICH INCLUDES TRAFFIC VIOLATIONS** CHARGED AS MISDEMEANORS OR FELONIES, INCLUDING DRIVING UNDER THE INFLUENCE, DRIVING ON A SUSPENDED LICENSE, ETC.;
- 3) THE STATUS OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED REGARDLESS OF WHETHER YOU HAD THE CONVICTION REDUCED, DISMISSED, OR EXPUNGED, OR WHETHER YOU ARE ON OR OFF PROBATION; AND**

YOU ARE NOT REQUIRED TO DISCLOSE:

- 1) **INFRACTIONS, I.E. SPEEDING OR PARKING TICKETS. HOWEVER, IT IS YOUR RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND YOU SHOULD ERR ON THE SIDE OF DISCLOSURE AS FAILING TO DISCLOSE A CONVICTION CAN WEIGH AGAINST YOUR APPLICATION BEING APPROVED.**
- 2) **ANY CONVICTION SEALED PURSUANT TO A COURT ORDER. PLEASE NOTE THAT ANY CONVICTIONS REDUCED, EXPUNGED, OR DISMISSED INCLUDING THOSE UNDER PENAL CODE SECTION 1203.4, 1203.4A, OR 1203.45 ARE NOT SEALED AS A MATTER OF COURSE AND **MUST STILL BE DISCLOSED.****

A) HAVE YOU EVER BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY?

IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH CONVICTION.

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 THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) APPROXIMATE DATE OF CONVICTION (MM/DD/YYYY)

ARRESTING AGENCY

COURT LOCATION (CITY, STATE)

IDENTIFY CRIMINAL CONVICTIONS BELOW AND ON A SEPARATE PIECE OF PAPER 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 BELOW CONVICTIONS AND ON A SEPARATE PIECE OF PAPER 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 ILLEGAL GAMBLING ACTIVITIES THAT YOU KNEW OR SHOULD HAVE KNOWN WERE ILLEGAL?**☐ 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?

A LAWSUIT OR ARBITRATION THAT HAS BEEN SEALED OR ALLOWED TO PROCEED ANONYMOUSLY PURSUANT TO A COURT ORDER NEED NOT BE PROVIDED.

☐ YES ☐ NO

IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 THE 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 THE GENERAL SUBJECT OF LITIGATION		

SECTION 5: RESIDENCES

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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) CURRENT ADDRESS (NUMBER/STREET/APT)				FROM (MM/DD/YYYY)
CITY	STATE	COUNTRY IF OUTSIDE U.S.	ZIP/POSTAL 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/POSTAL 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/POSTAL 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/POSTAL 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE NUMBER	EXT	
REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES.					
DO YOU HAVE A WRITTEN 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE 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/PROVINCE & COUNTRY	ZIP/POSTAL CODE	TELEPHONE 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 RELATED TO GAMING IN ANY JURISDICTION.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
2) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
3) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER		TYPE OF APPLICATION	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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.			

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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.			<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.			
D) HAVE YOU EVER HELD OR APPLIED FOR A VOCATIONAL, PROFESSIONAL, OR OCCUPATIONAL LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY <u>NOT</u> RELATED TO GAMING? HAVE YOU EVER HAD <u>ANY</u> OTHER LICENSE PERMIT, CERTIFICATION, OR FINDING OF SUITABILITY <u>NOT</u> RELATED TO GAMING DENIED, SUSPENDED, OR REVOKED? IF YES, PROVIDE THE FOLLOWING DETAILS. IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.			<input type="checkbox"/> YES <input type="checkbox"/> NO
1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER		TYPE OF APPLICATION	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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**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.

☐ YES ☐ NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

NAME OF BUSINESS ENTITY

BUSINESS TELEPHONE NUMBER

DATE INVOLVED FROM (MM/DD/YYYY)

DATE INVOLVED TO (MM/DD/YYYY)

BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)

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**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.

☐ YES ☐ NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

NAME OF BUSINESS ENTITY

BUSINESS TELEPHONE NUMBER

DATE INVOLVED FROM (MM/DD/YYYY)

DATE INVOLVED TO (MM/DD/YYYY)

BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)

PRIMARY PURPOSE OF BUSINESS

YOUR CAPACITY/TITLE

INDIVIDUALS (LAST, FIRST, MIDDLE) 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.

☐ YES ☐ NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

DATE FILED (MM/DD/YYYY)

CASE NUMBER (IF KNOWN)

DATE OF DISCHARGE (MM/DD/YYYY)

FEDERAL DISTRICT COURT WHERE FILED

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 A JUDGMENT OR LIEN FILED AGAINST YOU OR HAD YOUR WAGES GARNISHED WITHIN THE LAST 10 YEARS?

If YES, PROVIDE THE FOLLOWING DETAILS.

☐ YES ☐ NO

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

<input type="checkbox"/> JUDGMENT <input type="checkbox"/> LIEN	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN
--	-------------------------	---

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

<input type="checkbox"/> JUDGMENT <input type="checkbox"/> LIEN	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN
--	-------------------------	---

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

C) HAVE YOU BEEN AUDITED BY ANY TAX AUTHORITY WITHIN THE LAST 10 YEARS?

If YES, PROVIDE THE FOLLOWING DETAILS.

☐ YES ☐ NO

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

AGENCY (STATE/FEDERAL/FOREIGN)	DATE AUDIT COMMENCED (MM/DD/YYYY)	TAX YEAR AUDITED (MM/DD/YYYY)
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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. DO NOT INCLUDE ANY INFORMATION PROVIDED BELOW IN E.

☐ YES ☐ NO

If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) NAME OF CREDITOR	ACTION TAKEN (REPOSSESSION, COLLECTION, CHARGE-OFF)	DATE OF ACTION (MM/DD/YYYY)
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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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 COMPLETED AND 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-CH1-04(New 05/20)] – **PROVIDE ORIGINAL**
- ☐ MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), 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
- ☐ 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-CH2-11(New 05/20)] – **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 the information in this form is 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.

Trust: Supplemental Information

CGCC-CH2-09 (New 05/20)

Page 1 of 9

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 any percentage share of revenue from a Trust which holds the assets of a business or person that requires licensure. [Business and Professions Code sections 19850, 19852(e), 19852(h), and 19852(g)] For example, under the terms of the Washington Family Trust, beneficiary William Washington is to receive 10% of the net gaming revenue from Washington's Cardroom every six months. However, a current beneficiary who is less than 21 years of age does not need to submit an application, as they would otherwise be disqualified. [Business and Professions Code section 19859(g)] In lieu of the two forms required above of other current beneficiaries, the trustee shall submit, as part of the trust application package, a copy of a birth certificate or other documentation of the birth date and identity of the underage beneficiary.

NOTE: Pursuant to Business and Professions Code section 19859(g), any person less than 21 years of age is disqualified from receiving an owner category license. Thus, a current beneficiary who is less than 21 years of age cannot be licensed and accordingly should not submit an application. In lieu of the two forms required above of other current beneficiaries, the trustee shall submit, as part of the trust application package, a copy of a birth certificate or other documentation of the birth date and identity of the underage beneficiary.

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 Owner Category License, CGCC-CH2-05 (New 05/20).
- Individual Owner/Principal: Supplemental Information CGCC-CH2-07 (New 05/20)

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-CH2-07 (New 05/20), 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

Associated Owner Category Licensee

Associated Endorsed Owner, if Applicable

TYPE OF OWNER APPLICANT (CHECK APPROPRIATE BOX):
☐ TPPPS BUSINESS LICENSEE

☐ TPPPS ENDORSEE LICENSEE

☐ CARDROOM BUSINESS LICENSEE

☐ CARDROOM ENDORSEE LICENSEE

SECTION 1: TRUST INFORMATION

TRUST NAME

TYPE OF TRUST

☐ REVOCABLE ☐ IRREVOCABLE

ORIGINAL DATE OF TRUST (MM/DD/YYYY)

AMENDMENT DATE(S) (MM/DD/YYYY)

RELATIONSHIP OF TRUST TO OWNER CATEGORY LICENSEE (IF TRUST IS NOT THE CARDROOM BUSINESS LICENSEE)

☐ SHAREHOLDER ☐ MEMBER ☐ PARTNER ☐ OTHER: _____

DESCRIBE THE PURPOSE OF THE TRUST

SECTION 2: TRUST STRUCTURE

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

☐ YES ☐ 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

☐ YES ☐ 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

☐ YES ☐ 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

☐ YES ☐ 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

☐ YES ☐ NO

ADDRESS (STREET, CITY, STATE, ZIP CODE)

IDENTIFY THE CONTINGENT EVENT(S)

SECTION 3: TRUST AUTHORITY

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

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.

A LAWSUIT OR ARBITRATION THAT HAS BEEN SEALED OR ALLOWED TO PROCEED ANONYMOUSLY PURSUANT TO A COURT ORDER NEED NOT BE PROVIDED.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

APPROXIMATE DATE FILED (MM/DD/YYYY)	PARTIES INVOLVED	CASE NUMBER
COURT LOCATION (CITY, STATE)	DISPOSITION DATE (MM/DD/YYYY)	FINAL DISPOSITION
BRIEFLY EXPLAIN THE GENERAL SUBJECT OF LITIGATION		

SECTION 5: LICENSING INFORMATIONA) HAS THE TRUST 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER	TYPE OF APPLICATION	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)	
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		ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)		
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		ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)		
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 TRUST 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.				<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.				

C) HAS THE TRUST EVER HELD OR APPLIED FOR A VOCATIONAL, PROFESSIONAL, OR OCCUPATIONAL LICENSE, PERMIT, CERTIFICATE, OR FINDING OF SUITABILITY NOT RELATED TO GAMING? HAS THE BUSINESS ENTITY EVER HAD ANY OTHER LICENSE PERMIT, CERTIFICATION, OR FINDING OF SUITABILITY NOT RELATED TO GAMING DENIED, SUSPENDED, OR REVOKED?
If Yes, provide the following details.

☐ Yes ☐ No

If this applicant currently holds a valid license, this question need only be answered in a manner to update since the last time this form or another supplemental information form was submitted and licensure granted.

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER	TYPE OF APPLICATION	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)	DATE HELD TO (MM/DD/YYYY)	
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 6: BUSINESS INTEREST – GAMING RELATED

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.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) NAME OF BUSINESS ENTITY		BUSINESS TELEPHONE NUMBER
DATE INVOLVED FROM (MM/DD/YYYY)	DATE INVOLVED TO (MM/DD/YYYY)	
BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)		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
DATE INVOLVED FROM (MM/DD/YYYY)	DATE INVOLVED TO (MM/DD/YYYY)	
BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)		PRIMARY PURPOSE OF BUSINESS
CAPACITY/TITLE	INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED	

SECTION 7: 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.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) NAME OF BUSINESS ENTITY		BUSINESS TELEPHONE NUMBER
DATE INVOLVED FROM (MM/DD/YYYY)	DATE INVOLVED TO (MM/DD/YYYY)	
BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)		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
DATE INVOLVED FROM (MM/DD/YYYY)	DATE INVOLVED TO (MM/DD/YYYY)	
BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)		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
DATE INVOLVED FROM (MM/DD/YYYY)	DATE INVOLVED TO (MM/DD/YYYY)	
BUSINESS ENTITY MAILING ADDRESS (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)		PRIMARY PURPOSE OF BUSINESS
CAPACITY/TITLE	INDIVIDUALS (LAST, FIRST, MIDDLE) OR ENTITIES SHARING INTEREST AND PERCENTAGE OWNED	

SECTION 8: 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.

☐ YES ☐ NO

TRUST TAX ID NUMBER

NAME OF INDIVIDUAL (LAST, FIRST MIDDLE) OR ENTITY UNDER WHICH TAXES ARE FILED	RELATIONSHIP TO THE TRUST (E.G. TRUSTOR)
---	--

MAILING ADDRESS OF INDIVIDUAL (STREET, CITY, STATE, ZIP CODE/PROVINCE, COUNTRY)

C) HAS THE TRUST FILED FOR BANKRUPTCY WITHIN THE LAST 10 YEARS?

IF YES, PROVIDE THE FOLLOWING DETAILS.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

DATE FILED (MM/DD/YYYY)	CASE NUMBER (IF KNOWN)	DATE OF DISCHARGE (MM/DD/YYYY)
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FEDERAL DISTRICT COURT WHERE FILED	AMOUNT OF DISCHARGE, IF APPLICABLE
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BRIEFLY EXPLAIN THE CIRCUMSTANCES THAT LED TO THE BANKRUPTCY FILING, INCLUDING THE NATURE OF THE DEBT.

D) 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

<input type="checkbox"/> JUDGMENT <input type="checkbox"/> LIEN	DATE FILED (MM/DD/YYYY)	NAME OF PERSON/ENTITY THAT FILED THE JUDGMENT OR LIEN
--	-------------------------	---

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.

NAME OF PERSON ENTITY JUDGMENT OR LIEN WAS FILED AGAINST

E) 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. If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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
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. DO NOT INCLUDE ANY INFORMATION PROVIDED BELOW IN G. If THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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 9: 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 COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- | | |
|--------------------------|---|
| <input type="checkbox"/> | BACKGROUND INVESTIGATION DEPOSIT REQUIRED IN TITLE 11, CAL. CODE REGS., SECTION 2037 |
| <input type="checkbox"/> | APPOINTMENT OF DESIGNATED AGENT (CGCC-CH1-04) – PROVIDE ORIGINAL |
| <input type="checkbox"/> | TRUST DOCUMENT AND ALL AMENDMENTS, INCLUDING ITEMIZED LIST OF ALL ASSETS HELD IN THE TRUST – PROVIDE SIGNED COPIES |
| <input type="checkbox"/> | 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 |
| <input type="checkbox"/> | IF THE TRUST FILES SEPARATE TAX RETURNS, PROVIDE FEDERAL AND STATE TAX RETURNS – INCLUDE ALL SCHEDULES AND ATTACHMENTS FOR THE LAST THREE YEARS |
| <input type="checkbox"/> | INTERNAL REVENUE SERVICE REQUEST FOR TRANSCRIPT OF TAX RETURN (4506-T) FOR THE TRUST, IF APPLICABLE – PROVIDE ORIGINAL |
| <input type="checkbox"/> | CURRENT FISCAL YEAR AND PRIOR TWO YEARS BALANCE SHEETS AND INCOME STATEMENTS FOR THE TRUST AND ALL BUSINESS OWNED BY THE TRUST |
| <input type="checkbox"/> | MONTHLY BANK STATEMENTS – COPIES OF ALL MONTHLY STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS |
| <input type="checkbox"/> | MONTHLY/QUARTERLY INVESTMENT STATEMENTS FOR ALL TRUST ACCOUNTS FOR THE LAST 12 MONTHS |
| <input type="checkbox"/> | BANKRUPTCY COURT PETITION AND ORDER (IF APPLICABLE) |
| <input type="checkbox"/> | SCHEDULES A THROUGH K FROM FORM SUPPLEMENTAL INFORMATION: SCHEDULES [CGCC-CH2-11(NEW 05/20)] – 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 10: DECLARATION

I declare under penalty of perjury under the laws of the State of California that the information in this form is 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 an authorized trustor or trustee.

Commission Work Permit or TPPPS Worker: Supplemental Information

CGCC-CH2-10 (New 05/20)

Page 1 of 8

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 applying for either a Commission work permit or a TPPPS worker license.

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_____
Associated Owner Category Licensee**TYPE OF APPLICANT (CHECK APPROPRIATE BOX):**☐ TPPPS WORKER LICENSEE☐ COMMISSION WORK PERMITEE

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST		FIRST		MIDDLE	
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES					
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	
DATE OF BIRTH (MM/DD/YYYY)		DRIVER'S LICENSE/IDENTIFICATION CARD NUMBER			STATE EXPIRATION DATE (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 YOUR A-NUMBER				SOCIAL SECURITY NUMBER	
DISCLOSURE					
DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER IS MANDATORY. BUSINESS AND PROFESSIONS CODE SECTION 30 AND PUBLIC LAW 94-455 [42 USC SECTION 405(C)(2)(C)] AUTHORIZE COLLECTION OF YOUR SOCIAL SECURITY NUMBER. YOUR SOCIAL SECURITY NUMBER WILL BE USED EXCLUSIVELY FOR TAX ENFORCEMENT PURPOSES, FOR PURPOSES OF COMPLIANCE WITH ANY JUDGMENT OR ORDER FOR FAMILY SUPPORT IN ACCORDANCE WITH FAMILY CODE SECTION 17520 OR FOR DATABASE INQUIRIES REQUIRED FOR LICENSURE. IF YOU FAIL TO DISCLOSE YOUR SOCIAL SECURITY NUMBER, YOUR APPLICATION WILL NOT BE PROCESSED AND YOU WILL BE REPORTED TO THE FRANCHISE TAX BOARD, WHICH MAY ASSESS A \$100 PENALTY AGAINST YOU.					

SECTION 2: FAMILY/COHABITANT INFORMATION

A) RELATIONSHIP STATUS					
<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	
				FORMER NAME	
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					
FULL NAME: LAST		FIRST		MIDDLE	
				FORMER NAME	
DATE OF BIRTH (MM/DD/YYYY)		DATE OF MARRIAGE/REGISTRATION (MM/DD/YYYY)		DATE OF DIVORCE (MM/DD/YYYY)	
				STATE IN WHICH DIVORCE OCCURRED	

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	FORMER NAME	RELATIONSHIP	
NAME OF BUSINESS		FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD			
2) FULL NAME: LAST	FIRST	MI	FORMER NAME	RELATIONSHIP	
NAME OF BUSINESS		FINANCIAL INTEREST (INC. PERCENTAGE OWNED) AND/OR POSITION HELD			

SECTION 3: MILITARY EXPERIENCE

A) HAVE YOU EVER SERVED IN ANY ARMED FORCES? If YES, PROVIDE THE FOLLOWING DETAILS. (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 AND COUNTRY IF NOT THE U.S.	DATES OF SERVICE FROM (MM/DD/YYYY)	DATES OF SERVICE TO (MM/DD/YYYY)	
RANK AT SEPARATION		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/PROVINCE/COUNTRY)	
EXPLAIN THE INCIDENT THAT LED TO THE COURT-MARTIAL AND PROVIDE RELATED DOCUMENTS			

SECTION 4: CRIMINAL CONVICTIONS

FOR THE FOLLOWING SECTION:

YOU ARE REQUIRED TO DISCLOSE ANY AND ALL CRIMINAL CONVICTIONS REGARDLESS OF:

- 1) THE DATE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED NO MATTER HOW OLD THE CONVICTION IS;**
- 2) THE DEGREE OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED WHETHER IT WAS A FELONY OR MISDEMEANOR, WHICH INCLUDES TRAFFIC VIOLATIONS** CHARGED AS MISDEMEANORS OR FELONIES, INCLUDING DRIVING UNDER THE INFLUENCE, DRIVING ON A SUSPENDED LICENSE, ETC.;
- 3) THE STATUS OF THE CONVICTION, I.E. **IT MUST BE DISCLOSED REGARDLESS OF WHETHER YOU HAD THE CONVICTION REDUCED, DISMISSED, OR EXPUNGED, OR WHETHER YOU ARE ON OR OFF PROBATION; AND**

YOU ARE NOT REQUIRED TO DISCLOSE:

- 1) **INFRACTIONS**, I.E. SPEEDING OR PARKING TICKETS. HOWEVER, IT IS YOUR RESPONSIBILITY TO VERIFY THE CIRCUMSTANCES AND STATUS OF ALL CRIMES AND **YOU SHOULD ERR ON THE SIDE OF DISCLOSURE AS FAILING TO DISCLOSE A CONVICTION CAN WEIGH AGAINST YOUR APPLICATION BEING APPROVED.**
- 2) **ANY CONVICTION SEALED PURSUANT TO A COURT ORDER.** PLEASE NOTE THAT ANY CONVICTIONS REDUCED, EXPUNGED, OR DISMISSED INCLUDING THOSE UNDER PENAL CODE SECTION 1203.4, 1203.4A, OR 1203.45 ARE NOT SEALED AS A MATTER OF COURSE AND **MUST STILL BE DISCLOSED.**

A) HAVE YOU EVER BEEN CONVICTED OR PLED GUILTY OR NOLO CONTENDERE (NO CONTEST) TO A MISDEMEANOR OR FELONY?

IF YES, PROVIDE THE FOLLOWING DETAILS FOR EACH CONVICTION.

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 THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

☐ YES ☐ NO

1) APPROXIMATE DATE OF CONVICTION
(MM/DD/YYYY)

ARRESTING AGENCY

COURT LOCATION (CITY, STATE)

IDENTIFY CRIMINAL BELOW CONVICTIONS AND ON A SEPARATE PIECE OF PAPER 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 BELOW CONVICTIONS AND ON A SEPARATE PIECE OF PAPER EXPLAIN THE FACTUAL CIRCUMSTANCES THAT LED TO THE CONVICTION.

3) APPROXIMATE DATE OF CONVICTION
(MM/DD/YYYY)

ARRESTING AGENCY

COURT LOCATION (CITY, STATE)

IDENTIFY CRIMINAL BELOW CONVICTIONS AND ON A SEPARATE PIECE OF PAPER 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 ILLEGAL GAMBLING ACTIVITIES THAT YOU KNEW OR SHOULD HAVE KNOWN WERE ILLEGAL?

☐ YES ☐ NO

D) ARE YOU CURRENTLY ON PROBATION?

☐ YES ☐ NO

IF YES TO ANY OF THE ABOVE, PROVIDE DETAILS.

SECTION 5: RESIDENCES

A) LIST ALL RESIDENCES DURING THE LAST TEN 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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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

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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE	TELEPHONE NUMBER		EXT
REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES.						

DO YOU HAVE A WRITTEN 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE		TELEPHONE 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE		TELEPHONE 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE		TELEPHONE NUMBER	
						EXT	
REASON FOR LEAVING. IF TERMINATED, EXPLAIN THE CIRCUMSTANCES.							
5) 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/PROVINCE & COUNTRY		ZIP/POSTAL CODE		TELEPHONE 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 RELATED TO GAMING IN ANY JURISDICTION.

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
2) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	FROM (MM/DD/YYYY)	TO (MM/DD/YYYY)
3) NAME OF EMPLOYER	CITY, COUNTY, STATE/PROVINCE, COUNTRY	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 LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

1) LICENSE/PERMIT/CERTIFICATION/REGISTRATION NUMBER		TYPE OF APPLICATION	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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	ISSUING AGENCY
DATE HELD FROM (MM/DD/YYYY)		DATE HELD TO (MM/DD/YYYY)	
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.			

C) HAVE YOU EVER BEEN DISCIPLINED, FINED, ETC. BY A GAMING REGULATORY AGENCY (LOCAL, STATE, TRIBAL, OR INTERNATIONAL)?

IF YES, PROVIDE THE FOLLOWING DETAILS.

☐ YES ☐ NO

IF THIS APPLICANT CURRENTLY HOLDS A VALID LICENSE, THIS QUESTION NEED ONLY BE ANSWERED IN A MANNER TO UPDATE SINCE THE LAST TIME THIS FORM OR ANOTHER SUPPLEMENTAL INFORMATION FORM WAS SUBMITTED AND LICENSURE GRANTED.

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

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 COMPLETED AND RECEIVED BY THE STATE.

MARK THE BOX NEXT TO EACH ATTACHED ITEM.

- ☐ APPOINTMENT OF DESIGNATED AGENT [CGCC-CH1-04(New 05/20)] – **PROVIDE ORIGINAL**
- ☐ MILITARY FORM DD-214 (A COMPLETE “UNDELETED” COPY), 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

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 the information in this form is 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.

**Supplemental Information:
Schedules**

CGCC-CH2-11 (New 05/20)

Page 1 of 12

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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):☐ TPPPS OWNER TYPE LICENSEE☐ TPPPS SUPERVISOR LICENSEE☐ CARDROOM OWNER TYPE LICENSEE☐ KEY EMPLOYEE LICENSEE

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(S) OF PERSON(S) WITH SIGNATURE AUTHORITY ON ACCOUNT	YEAR END BALANCE*	CURRENT BALANCE	DATE BALANCE WAS RECORDED
				TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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 B – ASSETS
Stocks and Bonds

List stocks, bonds, mutual funds, or other similar investments held or controlled

ISSUER	REGISTERED OWNER	LAST 6 DIGITS OF ACCOUNT NUMBER	TYPE (NOTE IF STOCK, BOND, MUTUAL FUND, ETC.)	NUMBER OF SHARES OR UNITS	YEAR END MARKET VALUE*	CURRENT MARKET VALUE	DATE MARKET VALUE WAS RECORDED
				TOTAL			

*Market value as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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). 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*	BALANCE	DATE BALANCE WAS RECORDED
				TOTAL					

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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 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, joint ventures, partnerships, limited liability companies, and corporations.

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	DATE AMOUNT WAS RECORDED
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____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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)	INVESTMENT AMOUNT	PURCHASE PRICE	CURRENT INVESTMENT AMOUNT**	CURRENT MARKET VALUE	DATE VALUE WAS RECORDED
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.									
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 the information contained in this form is 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)

Other Assets

TYPE OF ASSET	DESCRIPTION	DATE OF PURCHASE	PURCHASE PRICE	YEAR END MARKET VALUE*
		TOTAL		

Date: _____

City and State

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	DATE BALANCE WAS RECORDED
					TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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	DATE BALANCE WAS RECORDED
					TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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 applicant). 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	DATE BALANCE WAS RECORDED
								TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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	DATE BALANCE WAS RECORDED
						TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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	DATE BALANCE WAS RECORDED
							TOTAL			

*Balance as of the most recent calendar year: December 31, 20____.

Signature of Preparer: _____ Date: _____

I declare under penalty of perjury under the laws of the State of California that the information contained in this form is 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-CH2-12 (New 05/20)

Page 1 of 3

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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 an owner category 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 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 (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.

By filing an application, an applicant understands that pursuant to Business and Professions Code section 19828, the Bureau or Commission may make public any communication or publication from, or concerning an applicant's application or corresponding background investigation. By submitting this application, an applicant accepts any risks of adverse action, financial loss, or public notice which may result from any Commission or Bureau action taken with respect to the application, as the action is absolutely privileged and so shall not form a basis for imposing liability for defamation or constitute a ground for recovery in any civil action consistent with Business and Professions Code section 19828.

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 an owner category licensee then this form does not need to be completed.

Name of Applicant's Spouse

Name of Applicant

Associated Owner Category Licensee

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 owner category licensee.

<input type="checkbox"/>	1) THE OWNER CATEGORY LICENSE OR OWNERSHIP INTEREST IN THE OWNER CATEGORY LICENSE 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 OWNER CATEGORY LICENSE.
<input type="checkbox"/>	3) THE SPOUSE HAS DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE OWNER CATEGORY LICENSE.
<input type="checkbox"/>	4) THE SPOUSE IS ENGAGED IN ANY CONDUCT AS PART OF THE CARDROOM BUSINESS LICENSE OR TPPPS BUSINESS LICENSE FOR WHICH LICENSURE COULD BE REQUIRED PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19850, 19851, 19853, 19854, 19912, OR 19984.
NOTE: IF ANY OF THE ABOVE ITEMS ARE SELECTED, THE SPOUSE IS REQUIRED TO SUBMIT A COMPLETE APPLICATION AS A CARDROOM ENDORSED OWNER OR TPPPS ENDORSED OWNER.	
<input type="checkbox"/>	5) THE OWNER CATEGORY LICENSE 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 owner category license 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:

<hr/> Spouse	<hr/> Applicant	I ACCEPT THAT THE APPLICANT BEARS THE BURDEN OF ESTABLISHING THE INTEREST IN THE OWNER CATEGORY LICENSEE 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.
<hr/> Spouse	<hr/> Applicant	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.
<hr/> Spouse	<hr/> Applicant	THE SPOUSE WILL NOT BE INVOLVED, DIRECTLY OR INDIRECTLY, WITH ANY MANAGEMENT DECISIONS, OF ANY NATURE, REGARDING THE OPERATION OF THE OWNER CATEGORY LICENSEE.
<hr/> Spouse	<hr/> Applicant	THE SPOUSE WILL HAVE NO DIRECT OR INDIRECT AUTHORITY OR INFLUENCE IN THE DECISION-MAKING PROCESS RELATED TO THE OPERATION OF THE OWNER CATEGORY LICENSEE.
<hr/> Spouse	<hr/> Applicant	THE SPOUSE WILL NOT BE ENGAGED IN ANY CONDUCT AS PART OF THE OWNER CATEGORY LICENSEE FOR WHICH LICENSURE COULD BE REQUIRED PURSUANT TO BUSINESS AND PROFESSIONS CODE SECTIONS 19850, 19851, 19853, 19854, 19912, OR 19984 OR COMMISSION REGULATIONS.
<hr/> Spouse	<hr/> Applicant	IN THE EVENT OF THE SPOUSE INHERITING, RECEIVING A GIFT, OR OTHERWISE OBTAINING ANY OWNERSHIP INTEREST IN THE OWNER CATEGORY LICENSEE, THE SPOUSE WILL BE REQUIRED TO UNDERGO LICENSURE PRIOR TO RECEIVING ANY OWNERSHIP INTEREST OR REVENUES FROM THE BUSINESS.
<hr/> Spouse	<hr/> 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 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.
<hr/> Spouse	<hr/> Applicant	THAT IF ANY STATEMENT IN THIS DECLARATION OF SOLE AND SEPARATE PROPERTY IS FALSE, 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 COMPLETED AND 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, BCIA 8016 (REV. 05/18)] , INCLUDING THE ATI NUMBER; 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 OWNER CATEGORY LICENSEE 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 OWNER CATEGORY LICENSEE AS SOLE AND SEPARATE PROPERTY THROUGH GIFT OR INHERITANCE

☐ ANY DOCUMENTATION THAT DEMONSTRABLY SHOWS THE ACQUISITION OF THE OWNER CATEGORY LICENSEE INTEREST TRACED TO SOLE AND SEPARATE PROPERTY OR FUNDS OF APPLICANT

☐ ANY COURT ORDERS CONCERNING THE OWNERSHIP CHARACTERIZATION OF THE OWNER CATEGORY LICENSEE 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 the information in this form is 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)



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 _____
(Agency Billing Number)

Place of Birth (State or Country) _____ Social Security Number _____ Misc. Number _____
(Other Identification Number)

Home Address _____ City _____ State _____ ZIP Code _____
Street Address or P.O. Box _____

Your Number: _____ Level of Service: ☐ DOJ ☐ FBI
OCA Number (Agency Identifying Number) _____
(If the Level of Service indicates FBI, the fingerprints will be used to check the criminal history record information of the FBI)

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



REQUEST FOR LIVE SCAN SERVICE

Privacy Notice

As Required by Civil Code § 1798.17

Collection and Use of Personal Information. The California Justice Information Services (CJIS) Division in the Department of Justice (DOJ) collects the information requested on this form as authorized by Business and Professions Code sections 4600-4621, 7574-7574.16, 26050-26059, 11340-11346, and 22440-22449; Penal Code sections 11100-11112, and 11077.1; Health and Safety Code sections 1522, 1416.20-1416.50, 1569.10-1569.24, 1596.80-1596.879, 1725-1742, and 18050-18055; Family Code sections 8700-87200, 8800-8823, and 8900-8925; Financial Code sections 1300-1301, 22100-22112, 17200-17215, and 28122-28124; Education Code sections 44330-44355; Welfare and Institutions Code sections 9710-9719.5, 14043-14045, 4684-4689.8, and 16500-16523.1; and other various state statutes and regulations. The CJIS Division uses this information to process requests of authorized entities that want to obtain information as to the existence and content of a record of state or federal convictions to help determine suitability for employment, or volunteer work with children, elderly, or disabled; or for adoption or purposes of a license, certification, or permit. In addition, any personal information collected by state agencies is subject to the limitations in the Information Practices Act and state policy. The DOJ's general privacy policy is available at <http://oag.ca.gov/privacy-policy>.

Providing Personal Information. All the personal information requested in the form must be provided. Failure to provide all the necessary information will result in delays and/or the rejection of your request.

Access to Your Information. You may review the records maintained by the CJIS Division in the DOJ that contain your personal information, as permitted by the Information Practices Act. See below for contact information.

Possible Disclosure of Personal Information. In order to process applications pertaining to Live Scan service to help determine the suitability of a person applying for a license, employment, or a volunteer position working with children, the elderly, or the disabled, we may need to share the information you give us with authorized applicant agencies.

The information you provide may also be disclosed in the following circumstances:

- With other persons or agencies where necessary to perform their legal duties, and their use of your information is compatible and complies with state law, such as for investigations or for licensing, certification, or regulatory purposes;
- To another government agency as required by state or federal law.

Contact Information. For questions about this notice or access to your records, you may contact the Associate Governmental Program Analyst at the DOJ's Keeper of Records at (916) 210-3310, by email at keeperofrecords@doj.ca.gov, or by mail at:

Department of Justice
Bureau of Criminal Information & Analysis
Keeper of Records
P.O. Box 903417
Sacramento, CA 94203-4170

CHAPTER 3: APPENDIX A

Application for Playing Book Approval

CGCC-CH3-01 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE 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 (check one box)

☐ INITIAL

☐ AMENDMENT

IN ADDITION TO THE SECTIONS IDENTIFIED ABOVE, COMPLETE SECTION 6

SECTION 3: TPPPS BUSINESS LICENSEE INFORMATION

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:

- *If licensee is a corporation, LLC, or joint venture then by an authorized officer.*
- *If licensee is a general partnership or limited partnership then by an authorized partner.*
- *If licensee is a sole proprietor then by the owner.*
- *If licensee is a trust then by an authorized trustor or trustee.*
- *If licensee is a natural person then by the licensee.*

Application for Contract Approval to Provide Proposition Player Services

CGCC-CH3-02 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE 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 of Gambling Control (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	<input type="checkbox"/> EXTENSION
------------------------------	--	------------------------------------	------------------------------------

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: CARDROOM BUSINESS LICENSEE 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:

- ☐ APPOINTMENT OF DESIGNATED AGENT [CGCC-CHI-04 (New 05/20)] – **PROVIDE ORIGINAL**
- ☐ 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:

- ☐ APPOINTMENT OF DESIGNATED AGENT [CGCC-CHI-04 (New 05/20)] – **PROVIDE ORIGINAL**
- ☐ 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:

- *If licensee is a corporation, LLC, or joint venture then by an authorized officer.*
- *If licensee is a general partnership or limited partnership then by an authorized partner.*
- *If licensee is a sole proprietor then by the owner.*
- *If licensee is a trust then by an authorized trustor or trustee.*
- *If licensee is a natural person then by the licensee.*

CHAPTER 7: APPENDIX A

Request for Statewide Involuntary Exclusion of an Individual

CGCC-CH7-01 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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. THIS FORM SHOULD NOT BE COMPLETED BY PATRONS.**

SECTION 1: IDENTIFYING INFORMATION OF PERSON TO BE EXCLUDED

FULL NAME: LAST		FIRST	MIDDLE
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES			
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 OF PERSON TO BE EXCLUDED

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)		
MAKE AND MODEL OF VEHICLE NORMALLY DRIVEN		LICENSE PLATE	

SECTION 3: AFFIRMATION BY CARDROOM BUSINESS LICENSEE, KEY EMPLOYEE LICENSEE, OR GOVERNMENT EMPLOYEE

NOTE: This form is not for voluntary self-restriction or self-exclusions. This form is not to be completed by patrons.

THE FACT(S) AND REASON(S) 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)
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PRINTED NAME	TITLE	GAMBLING ESTABLISHMENT, FACILITY NAME, OR GOVERNMENTAL ENTITY
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Notice of Relocation

CGCC-CH7-02 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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:

☐ **IS NOT** WITHIN 1000 FEET OF THE BOUNDARY LINE OF THE LOCAL JURISDICTION (COMPLETE SECTIONS 2 AND 3)

☐ **IS** WITHIN 1000 FEET OF THE BOUNDARY LINE OF THE LOCAL JURISDICTION (COMPLETE SECTIONS 2, 3, AND 4)
SECTION 2: REQUIRED DOCUMENTATION**A. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU WITH THIS FORM:**

- ☐ 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).

B. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU 30 DAYS PRIOR THE BUREAU'S SITE VISIT:

- ☐ THE FULLY EXECUTED LEASE AGREEMENT OR EVIDENCE OF THE OWNER CATEGORY LICENSEE'S OWNERSHIP OF THE BUILDING.
- ☐ A COPY OF THE OWNER CATEGORY LICENSEE'S FIRE SAFETY AND EVACUATION PLAN FOR THE NEW LOCATION, IN COMPLIANCE WITH CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTION 12370.
- ☐ A COPY OF THE OWNER CATEGORY LICENSEE'S SECURITY AND SURVEILLANCE PLAN FOR THE NEW LOCATION, IN COMPLIANCE WITH CALIFORNIA CODE OF REGULATIONS, TITLE 4, SECTION 12372.

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:

- ☐ 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.).

D. THE FOLLOWING INFORMATION MUST BE SUBMITTED TO THE BUREAU PRIOR TO THE COMMENCEMENT OF THE RELATED ACTIVITY:

- ☐ ANY REQUIRED APPROVALS, LICENSES, AND PERMITS BY ANY APPLICABLE STATE OR FEDERAL AGENCY (E.G., LIQUOR LICENSES, CHECK CASHING PERMITS, ETC.).

SECTION 3: NEIGHBORING JURISDICTION DOCUMENTATION

- ☐ I HAVE ATTACHED DOCUMENTATION FROM THE NEIGHBORING JURISDICTION PURSUANT TO TITLE 4, CCR., SECTION 12364(B)(2)(A).
- ☐ THE APPROPRIATE INDIVIDUAL HAS SIGNED BELOW CONFIRMING NO OBJECTIONS TO THE PROPOSED LOCATION PURSUANT TO TITLE 4, CCR., SECTION 12364(B)(2)(A).
- ☐ A NOTICE HAS BEEN PROVIDED TO THE NEIGHBORING JURISDICTION PURSUANT TO TITLE 4, CCR., 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 TITLE 4, CCR., SECTION 12364(B)(2)(C).

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)
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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 COMPLETED AND 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 the information in this form is true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)
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This form must be signed by the appropriate person identified below:

- If licensee is a corporation, LLC, or joint venture then by an authorized officer.
- If licensee is a general partnership or limited partnership then by an authorized partner.
- If licensee is a sole proprietor then by the owner.
- If licensee is a trust then by an authorized trustor or trustee.
- If licensee is a natural person then by the licensee.

f

Cardroom Business License: Annual Fee Calculation

CGCC-CH7-03 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE 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 cardroom business licensee and the number of authorized tables at the close of the cardroom business licensee'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: CARDROOM BUSINESS LICENSEE INFORMATION

ENTITY NAME

LICENSE 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)

\$

C. OTHER GAMES**REVENUE**

1)

\$

Gambling Establishment: Annual Fee Calculation

Page 2 of 2

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	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 the information in this form is true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)
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This form must be signed by the appropriate person identified below:

- If licensee is a corporation, LLC, or joint venture then by an authorized officer.
- If licensee is a general partnership or limited partnership then by an authorized partner.
- If licensee is a sole proprietor then by the owner.
- If licensee is a trust then by an authorized trustor or trustee.
- If licensee is a natural person then by the licensee.

Self-Restriction Request

CGCC-CH7-04 (New 05/20)

Page 1 of 2



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 requestor.

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(S), OTHER FORMER LEGAL NAMES			
RESIDENCE (STREET, CITY, STATE, ZIP CODE)			
MAILING ADDRESS IF DIFFERENT THAN CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)			
PRIMARY TELEPHONE NUMBER	SECONDARY TELEPHONE 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)		
MAKE AND MODEL 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

(INITIAL HERE)

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

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)

NOTARIZATION

OR

WITNESS BY KEY EMPLOYEE

Subscribed and sworn to (or affirmed) before me this _____ day of

As a Key Employee of _____, I affirm that on

(name of gambling establishment
or participating facility)

_____, 20_____, day of _____, 20_____.

By _____,

I witnessed _____

(individual's name)

☐ Personally known to me. OR ☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me.

complete this form and that this person is:
☐ Personally known to me. OR ☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me.

NOTARY PUBLIC SEAL:

Signature of Notary Public

Signature of Key Employee

My Commission expires on:

Printed Name

Self-Exclusion Request

CGCC-CH7-05 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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 requestor.

Disclaimer: This request applies to all gambling establishments licensed by the California Gambling Control Commission

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST		FIRST	MIDDLE
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES			
RESIDENCE (STREET, CITY, STATE, ZIP CODE)			
MAILING ADDRESS IF DIFFERENT THAN CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)			
PRIMARY TELEPHONE NUMBER	SECONDARY TELEPHONE NUMBER		EMAIL ADDRESS
GAMES MOST OFTEN PLAYED			

SECTION 2: EXCLUSION REQUEST

Initial Requested Term:	<input type="checkbox"/> ONE YEAR	<input type="checkbox"/> LIFETIME
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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)		
MAKE AND MODEL OF VEHICLE NORMALLY DRIVEN		LICENSE PLATE	

I understand English or have had an interpreter read and explain this form to me in _____.
 (Language)

SECTION 4: DECLARATION

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-CH7-06 (New 05/20).

(INITIAL HERE)

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-exclusion 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 _____,

☐ Personally known to me. OR ☐ 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:

As a Key Employee of _____, I affirm that on

(name of gambling establishment or participating facility)

_____ day of _____, 20____,

I witnessed _____
(individual's name)

complete this form and that this person is:

☐ Personally known to me. OR ☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me.

Signature of Key Employee _____

Printed Name _____

Self-Exclusion Removal Request

CGCC-CH7-06 (New 05/20)

Page 1 of 1

BUREAU USE ONLY

BGC ID# _____



MAIL COMPLETED FORM 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 requestor.

SECTION 1: PERSONAL INFORMATION

FULL NAME: LAST	FIRST	MIDDLE
ALIAS(ES), NICKNAME(S), OTHER FORMER LEGAL NAMES		
RESIDENCE (STREET, CITY, STATE, ZIP CODE)		
MAILING ADDRESS IF DIFFERENT THAN CURRENT RESIDENCE (STREET, CITY, STATE, ZIP CODE)		
PRIMARY TELEPHONE NUMBER	SECONDARY TELEPHONE NUMBER	EMAIL ADDRESS

SECTION 2: RESTRICTION REQUEST

Effective date of exclusion: _____
 (MM/DD/YYYY)

SECTION 3: DECLARATION

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 its 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.	
_____ (INITIAL HERE)		
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-CH7-07 (New 05/20)

Page 1 of 2

BUREAU USE ONLY

BGC ID# _____

**MAIL COMPLETED FORM AND FEE/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 licensee/applicant.

SECTION 1: CARDROOM BUSINESS LICENSEE INFORMATION

ENTITY NAME

LICENSE NUMBER

SECTION 2: REQUEST

Select one and submit any additional required items.

**New Permanent Tables**

Application fee pursuant to Title 11, CCR, Section 12166

Review Deposit pursuant to Title 11, CCR, Section 2037

**Temporary Tables**

Application fee pursuant to Title 11, CCR, Section 12164

Temporary table fee pursuant to S Title 11, CCR, Section 12164

Review Deposit pursuant to Title 11, CCR, Section 2037

**Reduce Permanent Tables****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 the information in this form is true, accurate, and complete, and that this declaration is executed by me at _____.

City and State

PRINTED NAME	SIGNATURE	CAPACITY	DATE (MM/DD/YYYY)
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- This form must be signed by the appropriate person identified below:*
- *If licensee is a corporation, LLC, or joint venture then by an authorized officer.*
 - *If licensee is a general partnership or limited partnership then by an authorized partner.*
 - *If licensee is a sole proprietor then by the owner.*
 - *If licensee is a trust then by an authorized trustor or trustee.*
 - *If licensee is a natural person then by the licensee.*

